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2015 Military Equipment Export Report

**Report by the Government of the
Federal Republic of Germany
on Its Policy on Exports of
Conventional Military Equipment
in 2015**

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Introduction

The Federal Government's report on exports of military equipment provides the Bundestag and the public with a comprehensive picture of German policy on the export of military equipment – including in the international context – and furnishes information about the licences issued for the export of military equipment and the actual exports of war weapons in the reference year.

1. Transparent policy on exports of military equipment

The Federal Government attaches great importance to boosting transparency. For the third time in succession, the Federal Government is publishing the German version of the report before the summer break. In addition to this, another interim report on the licensing of such exports in the first half of 2015 was presented in October 2015.

Under the transparency rules adopted by the Federal Government, the final decisions on the granting of export licences by the Federal Security Council are also disclosed to the public. An addition to the Rules of Procedure of the Federal Security Council made in August 2015 put the pre-conditions in place for the Bundestag to be informed not only about the nature, number and country of destination, but also about the German firms involved and the total volume of the transaction, unless constitutionally protected interests prevent such disclosure.

Parliament was informed several times about final decisions on export licences by the Federal Security Council in 2015. In each case, the Federal Government explained the main reasons for the respective decision to the Bundestag's Economic Affairs and Energy Committee.

Further to this, the Federal Government answered a large number of questions in parliament about a wide range of aspects of military equipment export policy; the answers can be found (in German) at www.bmwi.de.

The Federal Government is vigorously promoting an intensive dialogue about German policy on the export of military equipment with churches, trade unions, industry, NGOs and other groups in society. To this end, a dialogue forum on German policy on the export of military equipment was

set up in July 2015 in the Federal Ministry for Economic Affairs and Energy; its second meeting was held in April 2016.

By providing comprehensive transparency and engaging in a dialogue with groups interested in the issue, the Federal Government is laying the foundations for a well-informed parliamentary and public debate on exports of military equipment, and is thus helping to make the political debate on the issue more objective. This includes the intention on the part of Federal Minister for Economic Affairs and Energy Sigmar Gabriel to examine whether it would make sense to bring together the statutory rules and regulations which apply to exports of military equipment and place them in a single Act on Exports of Military Equipment. A commission is to discuss this and to draw up proposals in a dialogue-oriented process. The Federal Ministry for Economic Affairs and Energy is currently looking into the details of this.

2. Greater regulation of small arms and post-shipment controls

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"). Further information about the definition of small arms and light weapons can be found in section III. 1. g) of this report. In developing countries¹ in particular, small arms can often be procured cheaply on the black market, from corrupt representatives of state security forces and via internationally operating arms brokers. National control mechanisms are mostly underdeveloped in these countries. In many cases, the misuse of small arms by criminal or militant groups impedes economic and social development and frequently contributes to a violent escalation of conflicts. The Federal Government therefore applies particularly strict standards when issuing licences for small-arms exports to third countries.

In order to improve the control of small arms exports, the Federal Government adopted the "Small Arms Principles" (Principles for the Issue of Licences for the Export of Small and Light Weapons, Related Ammunition and Corresponding Manufacturing Equipment to Third Countries) on

¹ Developing countries and developing territories pursuant to the List of the OECD's Development Assistance Committee without the countries featuring upper medium incomes, which include NATO partner Turkey and countries like Brazil, Malaysia and South Africa (column four of this list). The list is attached as Annex 13 of this Report.

18 March 2015 (cf. Annex 1b). The intention is to significantly reduce the risk of proliferation of small arms. The Small Arms Principles state that no licences to export components and technology to third countries (e.g. in the context of the granting of licences to manufacture) will be granted where such exports would lead to the establishment of a new manufacturing line for small arms or corresponding ammunition.

Also, for the export of small arms to third countries, the “New for Old” principle is applied in principle. What this means is that state recipients of small arms and light weapons must in principle issue a declaration committing them to destroy the weapons to be replaced by the new purchase. If no “old” weapons are to be replaced, but rather a credible need for addition weapons met, the principle “New, destroy when discarded” is applied. In this case, the recipient has to promise to destroy the new weapons after they have been discarded. The country of destination must undertake corresponding commitments in the respective end-use statements which are submitted in the context of the export licence approval procedure. The end-use statements must now also include the commitment that the small arms in the country of destination cannot be passed on to another end-user without the Federal Government’s approval.

In addition to this, it was decided in July 2015 to introduce post-shipment controls in third countries on a pilot basis, i.e. controls which can take place on the spot once the military equipment has been dispatched to the respective state recipient. During a two-year pilot phase, post-shipment controls are initially being introduced for government recipients of small arms and light weapons, and of certain firearms (pistols, revolvers and sniper rifles). The controls are intended to verify whether the weapons supplied are still in the country of destination in the possession of the end-user cited in the end-use statement. If it is found that violations of the end-use statement have taken place, or if the carrying out of agreed on-the-spot controls is refused, the country of destination will in principle be excluded from deliveries of further war weapons and other military equipment closely related to war weapons until the problem has been resolved. This improves end-use verification for military equipment exported from Germany.

The first controls in third countries are scheduled to take place soon. Germany is thus a pioneer, alongside just a few other countries, at European and international level.

Once again, the Federal Government is calling for a harmonisation of policy on the export of military equipment at European level with a view to controls which are as far-reaching as possible. At Germany’s initiative, it proved possible to anchor further work towards the goal of enhanced cooperation and convergence of export controls for military equipment within the Common Foreign and Security Policy (CFSP) of the EU as one of the key priorities for 2016. Here, Germany will also advocate the widespread use of the principle “New for old” and its variant “New, destroy when discarded” and flag up the system of post-shipment controls.

3. Licensing figures for 2015

The Federal Government is pursuing a restrictive policy on the issuing of licences for the export of military equipment. In addition to the War Weapons Control Act and the Foreign Trade and Payments Act, the Political Principles adopted by the Federal Government in 2000, the EU Common Position of 2008 and the Arms Trade Treaty provide the framework for this approach to licensing. Respect for human rights in the recipient country plays an important role in the decision-making process. The Political Principles set out clear requirements here: if there is sufficient suspicion that the military equipment will be misused for internal repression or other ongoing and systematic violations of human rights, a licence is not normally issued. Here, consideration is given to the country’s conduct in the past relating to the use of military equipment. The Federal Government scrutinises each individual case, giving consideration to all the circumstances, including Germany’s foreign and security policy interests. For this reason, the total value of the licences issued in a reference period is not a suitable criterion for the assessment of the policy on the export of military equipment.

Consideration is given to current developments, such as the global challenges posed by terrorist organisations like Islamic State (IS/Daesh), particularly in the North African region and the Middle East; these play a major role in the assessment of specific cases.

Individual licences

In 2015, individual licences (i.e. licences for single transactions) worth €7.86 billion were issued for the export of military equipment. A large proportion (41%) went to EU/NATO and NATO-equivalent countries. Here, the licensing of the export of four tanker aircraft to the United Kingdom played a major role; the total value was €1.1 billion, and the manufacture took place in several European countries as part of a joint European programme agreed in 2008.

Shipments of this nature to EU and NATO partners and to equivalent countries are, according to the Political Principles, not subject to restrictions, and serve not least to strengthen systems of collective security and to protect justified security interests of the Federal Republic of Germany.

Of particular note is the licence for the export to Qatar of Leopard 2 main battle tanks and armoured self-propelled howitzers plus ammunition and other accompanying vehicles worth approx. €1.6 billion, which had been preceded by a corresponding licence under the War Weapons Control Act in 2013.

Numerous export licences for recipients in third countries refer to supplies of components to European and American partners, which themselves decide again on whether the export should take place. Germany has had commitments from international intergovernmental agreements for many years in the relevant joint programmes.

A large proportion of the value of licences for exports to Saudi Arabia cited in the statistics refers to such joint programmes or component supplies, such as the delivery of chassis for unarmed transport vehicles to France, which are subsequently exported to Saudi Arabia under a French export licence.

Significant fall in the licence values for small arms

There is a significant fall in the case of small arms. The total value of the licences for small arms in 2015 amounted to €32.4 million (the 2014 figure was €47.4 million). This corresponds to a fall of nearly €15 million, and is the lowest figure for 15 years. The figures for export licences for small

arms to third countries also reveal a decline from the previous year, by €7.1 million from €21.6 million in 2014 to €14.5 million in 2015.

Collective export licences

119 collective export licences with a total value of €4.960 billion were issued in 2015. The issuing of the licence is subject to the same principles as apply in the individual licence procedure.

Apart from a few exceptions, collective licences are only issued in connection with defence cooperation between EU and NATO partners. The collective export licences primarily refer to the production phase of an item of military equipment, during which military equipment is frequently imported and exported. The cooperation necessitates transfers of the equipment between the relevant parties. Also, shipments of equipment relating to maintenance and repair are handled via collective export licences. They permit any number of shipments of goods up to a certain value; in many cases, full use of the licence is not made.

The maximum value does not provide any indication of actual shipments of goods – not least because reimports are not discounted. Equating collective export licences with individual export licences or actual exports, or adding up the figures, therefore makes no sense for systemic reasons. The aggregate figure for collective export licence values is subject to strong annual fluctuations and has only limited validity as a barometer of Germany's export policy.²

² Further details in Section III. 1. b).

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 Act³ and the Foreign Trade and Payments Act⁴ in conjunction with the Foreign Trade and Payments Ordinance. 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 2000⁵ ("Political Principles"), the Council Common Position of the EU defining common rules governing control of exports of military technology and equipment of 8 December 2008⁶ ("EU Common Position") and the Arms Trade Treaty⁷ provide the licensing authorities with guidelines.

The Foreign Trade and Payments Act and the Foreign Trade and Payments Ordinance require the licensing of **all** military equipment exports. The military equipment is listed in full in Part I Section A of the Export List (EL, Annex to Foreign Trade and Payments Ordinance).⁸ It is broken down into 22 positions (No. 0001 to No. 0022) that have their own sub-divisions. As with the EU's Common Military List, these positions are closely oriented to the corresponding list of the Wassenaar Arrangement (Munitions List), which the Federal Government has thereby converted into national law to meet its political commitments (more details on the Wassenaar Arrangement may be found under II. 4. and on the EU under II. 3.).

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. Pursuant to Section 1 subsection 2 of the War Weapons Control Act, war weapons are items, substances or organisms that are capable alone or in conjunction with each other or with other items, substances or organisms of causing disruption or damage to persons or things and of being used as a means of violence in armed conflicts between states. They are displayed in the 62 positions of the War Weapons List (Annex to the War Weapons Control Act)⁹ and provided in full in Part I Section A of the Export List. For the export of

these weapons, a licence must be obtained under the War Weapons Control Act ("transport authorisation for the purpose of export"), and then an export licence pursuant to the Foreign Trade and Payments Act and Ordinance. By contrast, the export of such military items in Part I Section A of the Export List as are not war weapons ("**other military equipment**") requires – merely – a licence pursuant to the Foreign Trade and Payments Act and Ordinance.

The War Weapons Control Act provides that all activities in connection with **war weapons** (production, acquisition and transfer of actual control, every type of transport or brokering transaction) require prior licensing by the Federal Government (cf. Sections 2–4a of the War Weapons Control Act). The Federal Ministry for Economic Affairs and Energy 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 responsible for the respective approvals falling within their scope of competence.

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

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

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

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

4 Revised by the Act Modernising Foreign Trade and Payments Law of 6 June 2013 (Federal Law Gazette I, p. 1482).

5 See Annex 1a.

6 See Annex 2.

7 See Annex 3.

8 See Annex 4.

9 See Annex 5.

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

“(1) In foreign trade and payments transactions, legal transactions and actions can be restricted and obligations to act can be imposed by ordinance, in order

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

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

The Federal Office for Economic Affairs and Export Control (BAFA), which is an executive agency operating under the jurisdiction of the Federal Ministry for Economic Affairs and Energy, is responsible for granting/denying export licences under the Foreign Trade and Payments Act and Ordinance.¹⁰ The Federal Office for Economic Affairs and Export Control submits projects of particular political impact to the Federal Government for its assessment and decision from a political perspective. A hotline was set up by the Federal Office for Economic Affairs and Export Control in 2014 to provide applicants with information about the status of the licensing procedures. Also, they receive information about the processing status via the electronic application procedure.

The so-called advance inquiry practice has become customary in the course of the past several decades; the discussion of this within the Federal Government is part of the core area of executive government responsibility.

The idea of the advance inquiry is that potential applicants can obtain an orientation regarding the potential outcome of an intended export application even before a contract is signed. The answering of advance inquiries does not amount to a decision on the export, and is not a substitute for it. Since the circumstances in which export applications can be licensed can change, the response to the advance inquiry cannot be binding.

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 for Economic Affairs and Export Control. The answers to advance inquiries are governed by the same criteria as applications for export licences.

Germany’s Federal Security Council is normally included in deliberations on export projects that stand out, particularly for political reasons, because of the country of destination, the military equipment involved, or the volume of the transaction. The Federal Security Council is a Cabinet committee chaired by the Federal Chancellor. Its members comprise the Head of the Federal Chancellery, the Federal Ministers of Foreign Affairs, Finance, the Interior, Justice and Consumer Protection, Defence, Economic Affairs and Energy, and Economic Cooperation and Development.

2. Guidelines for the licensing of exports of military equipment

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

These Political Principles contain the following main elements:

- The preservation of human rights is of particular importance for every export decision, irrespective of the envis-

¹⁰ www.bafa.de

aged recipient country. Military equipment exports are therefore fundamentally not approved where there is “sufficient suspicion” that the military equipment will be misused for internal repression or other ongoing and systematic violations of human rights. In this context the assessment of the human rights situation in the recipient country is an important factor to be considered. The Political Principles are more restrictive than the EU Common Position (more detail on this aspect below, under II. 3.), which rules out export licences only where a “clear risk” exists.

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

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

tioning of world trade, the increasing threats from piracy, narcotics trafficking, the smuggling of weapons and humans, pollution, and illegal fishing in some regions of the world all play an increasing role here.

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

The **EU Common Position of 8 December 2008**¹¹ 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 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 for the preservation of regional peace, security and stability (Criterion Four of the EU Common Position). The examination also attaches special significance to the observance of human rights in the country of destination (Criterion Two of the Common Position) and the dangers of misuse of the specific military equipment. It is appropriate to take a differentiated view in the light of the varying political developments in the countries and regions and in line with the aforementioned principles governing the decision-making.

11 Cf. Section II. 3. for details.

The **Arms Trade Treaty** entered into force on 24 December 2014. The Treaty has been signed by 130 countries, and currently has 82 contracting parties (as of 31 May 2016); it will enter into force for three further states in August 2016.

This Treaty establishes the first internationally binding uniform minimum standards for the export of military equipment. The core of the Treaty is formed by Articles 6 and 7, which stipulate criteria for the scrutiny of applications for export licences. Section II. 7. provides details of the Arms Trade Treaty.

3. New small arms principles/ post-shipment controls

In order to improve the control of small arms, the Federal Government adopted the “Small Arms Principles” (Principles for the Issue of Licences for the Export of Small and Light Weapons, Related Ammunition and Corresponding Manufacturing Equipment to Third Countries) on 18 March 2015. The intention is to significantly reduce the risk of proliferation of small arms.

The Small Arms Principles state that, regarding the export of technology and production equipment, there is the fundamental rule that no licences will be issued in connection with the opening of new production lines for small arms and corresponding ammunition in third countries. This is intended to prevent the relocation abroad of entire production sites, which would undermine controls of the production of small arms and of their export to other countries. Licences for the export of sniper rifles and pump guns to private end-users in third countries will not be issued in principle.

Also, for the export of small arms to third countries, the “New for Old” principle is applied in order to prevent their dissemination. Here, the state recipient of small arms and light weapons must commit to destroying the old weapons which it discards in view of the new delivery. If no “old” weapons are to be replaced, but rather a credible need for addition weapons met, the principle “New, destroy when discarded” is applied. In this case, the recipient has to make a binding promise to destroy the new weapons when they are discarded. The country of destination must undertake corresponding commitments in the respective end-use statements which are submitted in the context of the export licence approval procedure.

The end-use statements must now also include the commitment that the small arms within the country of destination cannot be passed on to another end-user without the Federal Government’s approval.

In addition to this, and to the ex-ante examination which was all that was previously undertaken in order to ensure the end-use of equipment, it was decided in July 2015 to introduce post-shipment controls in third countries on a pilot basis, i.e. controls which can take place on the spot once the military equipment has been dispatched to the respective state recipient. During a two-year pilot phase, post-shipment controls are initially being introduced for government recipients of small arms and light weapons, and of certain firearms (pistols, revolvers and sniper rifles). The controls are intended to verify whether the weapons supplied are in the country of destination in the possession of the end-user cited in the end-use statement.

If it is found that violations of the end-use statement have taken place, or if the carrying out of agreed on-the-spot controls is refused, the country of destination will in principle be excluded from deliveries of further war weapons and other military equipment closely related to war weapons until the problem has been resolved.

The first controls in third countries are scheduled to take place soon. The Federal Office for Economic Affairs and Export Control (BAFA) and the relevant foreign mission are charged with preparing and implementing the post-shipment controls. Germany is thus a pioneer, alongside just a few other countries, at European and international level.

Germany will advocate the widespread use of the principle “New for old” and its variant “New, destroy when discarded” and the system of post-shipment controls with its partners in the EU and NATO.

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 Federal Government supports 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 and promotes projects which can assist the specific implementation of these international standards.

The Federal Government's activities in this area are outlined in detail in the Annual Disarmament Report¹², to which reference is made.

2. Arms embargoes

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

Details of the arms embargoes in place in 2015 are listed in Annex 6.

3. Common Foreign and Security Policy of the EU

The Federal Government actively advocates further harmonisation of export controls at EU level in order to put in place control standards that are as uniform and high as possible and to create a level playing field for German industry. At Germany's initiative, it proved possible to anchor further work towards the goal of enhanced cooperation and con-

vergence of export controls for military equipment within the Common Foreign and Security Policy (CFSP) of the EU as one of the key priorities for 2016.

The legally binding EU Common Position contains eight criteria (cf. Annex 2, Article 2) to be used by all member states in decisions on applications for export licences. Through its incorporation in the Political Principles of the Federal Government, the Common Position is an integral part of Germany's policy on the export of military equipment.

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

Further to this, the EU's User's Guide regulates details of the denial procedure and provides detailed pointers for a uniform interpretation and application of criteria.¹³ The Council concluded the work on updating it in 2015.

In March 2016, the Council adopted the seventeenth common annual report on the implementation of the Common Position.¹⁴

During the year under report, Germany held 12 active consultations¹⁵ and 72 passive consultations with other EU countries concerning export licence denials, with a view to implementing the operative provisions of the Common Position.

12 Most recent Annual Disarmament Report 2015, Bundestag Printed Paper 18/8065 of 7 April 2016, at: http://www.auswaertiges-amt.de/cae/servlet/contentblob/730798/publicationFile/215067/160406_JAB_2015.pdf

13 <http://data.consilium.europa.eu/doc/document/ST-10858-2015-INIT/en/pdf>

14 Published in the EU Official Journal, edition C163/01 of 4 May 2016, at: <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ:C:2016:163:TOC>

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.

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

Additional priorities of the Common Foreign and Security Policy in the field of export controls were the implementation of the Arms Trade Treaty (cf. Section II. 7.), and outreach activities to promote the principles and criteria of the Common Position and the Arms Trade Treaty (cf. Section II. 8.).

4. Wassenaar Arrangement

The Wassenaar Arrangement (WA)¹⁶ was co-founded by Germany in 1996 to help improve transparency, the exchange of views and of information and to increase the level of responsibility in the transfer of conventional military equipment and of dual-use goods and technologies which can serve their manufacture. The 41 countries that are presently signatories of this politically binding convention (all the EU member states except Cyprus as well as Argentina, Australia, Canada, Japan, Republic of Korea, Mexico, New Zealand, Norway, Russia, South Africa, Switzerland, Turkey, Ukraine, United States) aim to harmonise their controls of the export of such goods with a view to preventing destabilising stockpiling of conventional military equipment. The cooperation amongst the WA signatories generally serves to develop and deepen international export control standards. Further to this, the WA provides that the participating countries should inform one another about denied export licences for dual use goods to non-participating countries.

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

In particular, the increase in transparency and the step-by-step harmonisation of the national military equip-

ment export policies are significant interests, and Germany remains a firm advocate of these. In the context of the 2016 review of the Wassenaar Arrangement, Germany is chairing the working group on the control lists.

Also, the Federal Government is working in the WA to anchor key elements of the Federal Government’s Small Arms Principles at international level, and particularly the “New for old” principle.

The Federal Government also participates regularly in WA outreach activities in order to explain these standards and procedures to third countries. These include the regular technical briefings at the headquarters of the WA Secretariat in Vienna and the various missions by WA delegations, e.g. to Israel in April 2015, which frequently include representatives of the Federal Government.

Several pending requests for membership underline the attractiveness of the WA. Germany has assumed the role of co-rapporteur for two of the applications, and is providing regular reports on the progress made by the candidates.

5. UN Register of Conventional Arms

The UN Register of Conventional Arms, adopted by General Assembly Resolution 46/36L of 6 December 1991, has collected information on the import and export of conventional major weapons systems¹⁷ and – on a voluntary basis – data on national arms inventories and procurement from national production since 1992. The member countries of the United Nations provide this information by 31 May for the preceding calendar year. Since 2003, there has also been the possibility to report imports and exports of small arms and light weapons. The aim of the register is to build confidence by increasing the level of transparency regarding conventional arms. Germany has participated in the reporting system since the register was set up and reports regularly to fulfil its obligations.

As a result of the last meeting of selected government experts which involved Germany, it was decided in 2013 to

¹⁶ <http://www.wassenaar.org>

¹⁷ Reports must be made for weapons classified in the following seven categories: battle tanks, other armoured combat vehicles, large calibre artillery systems, combat aircraft, attack helicopters, warships, missiles and missile launch systems including man portable air defence systems (MANPADS).

include armed unmanned aircraft in the reporting requirements. To this end, subcategories were formed for Categories IV (Military Aircraft) and V (Military and Attack Helicopters).

For the year 2015, the Federal Republic of Germany reported the export of the following war weapons to the UN Conventional Arms Register:

Table A

Country	Item	Quantity
Algeria	Fuchs 2 armoured carriers	4 (of which 3 in kit form)
Colombia	Class 206 submarine	2
Indonesia	Leopard 2 main battle tank	14
	Marder infantry fighting vehicle	6
Israel	Dolphin AIP class submarine	1
Poland	Leopard 2 A5 main battle tank	28
Qatar	Leopard 2 main battle tank	10
	Armoured self-propelled howitzer 2000	5
Sweden	NH90 NFH helicopter	1

Going beyond the obligation imposed by the UN Register of Conventional Arms, Germany also voluntarily reported exports of small arms and light weapons¹⁸ to the UN Register of Conventional Arms in 2015 (cf. Annex 11).

6. 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. sub-machine guns, assault rifles, light mortars). However, the

majority of casualties due to small arms are caused by violent crime. Developing countries and societies with a high level of violence, where small arms can often be procured inexpensively and illegally from corrupt state actors and through internationally operating arms brokers, are particularly susceptible to this. National control mechanisms are mostly underdeveloped in these countries. 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 Federal Government applies particularly strict standards when issuing licences for small-arms exports to third countries in order to ensure coherence with foreign, security and development policies. The Federal Government is working at international level to prevent the illegal proliferation of such weapons and their ammunition.

With respect to the legal export of small arms, the Federal Government advocates strict and efficient controls. Its goal is – in the framework of the UN Small Arms Action Programme¹⁹ and via regional initiatives, e.g. in the context of the EU Small Arms Strategy²⁰, the OSCE Small Arms Document²¹, and the OSCE Document on Stockpiles of Conventional Ammunition²² – the achievement of concrete results with obligations for the participating countries to take action which are as binding as possible. Small arms are also a focus of the efforts in the context of the Arms Trade Treaty (see Section II. 7.). Further to this, the Federal Government assists other states, both bilaterally and in the context of the EU, on the basis of the EU Small Arms Strategy, as they establish national and regional small arms control systems (see the relevant comments in the current Annual

18 Concerning the terms small arms and light weapons, see III. 1. g).

19 Cf. UN document A/CONF.192/15, at http://www.google.de/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0ahUKewi72Nn9wZXLahUECiwKHUVhDGwQFggfMAA&url=http%3A%2F%2Fwww.un.org%2Fevents%2Fsmallarms2006%2Fpdf%2F192.15%2520%28E%29.pdf&usq=AFOjCNHFhwsDYhb8Hb_tqx2UVxVoeqwNkg&bvm=bv.115339255,d.bGs&cad=rja

20 http://europa.eu/legislation_summaries/foreign_and_security_policy/cfsp_and_esdp_implementation/l33244_de.htm

21 OSCE Document FSC.DOC/1/00 on Small Arms and Light Weapons of 24 November 2000: <http://www.auswaertiges-amt.de/cae/servlet/contentblob/349292/publicationFile/4129/KleineLeichteWaffen-OSZE.pdf>

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

Disarmament Report²³). This includes the implementation of the International Small Arms Control Standards (ISACS), the development of which was substantially fostered by the Federal Government. The ISACS give the states comprehensive recommendations on the management of small arms and light weapons; these are based on the Small Arms Programme of Action, the International Tracing Instrument and the Firearms Protocol.

The Federal Government is working at international level to have small arms labelled in a manner which makes them permanently traceable. In view of the long lifetime of small arms, it is important to use the latest technology to apply markings to arms in a way that is as permanent and indelible as possible. In June 2013, the Federal Foreign Office held an international conference on the use of modern technologies to label and secure small arms. The Federal Government is also actively pursuing this goal in the UN context. A meeting of UN experts took place in this regard in New York in June 2015.

Mention should also be made in this context of the German involvement in the conclusion of the Arms Trade Treaty, which entered into force on 24 December 2014 and which covers the control of transfers of conventional arms including small arms. Germany is actively advocating the continuing universalisation of the Treaty.

Germany pursues a particularly restrictive policy on the export of small arms. As war weapons they are subject to the particularly strict rules of the “Political Principles” (Annex 1a 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.

7. Arms Trade Treaty (ATT)²⁴

Unregulated trade in military equipment creates significant dangers and negative effects. They take the form of the regular misuse of weapons to violate human rights and international humanitarian law, and of the existence of a large illegal market. This is the point from which the Arms Trade Treaty operates.²⁵ The first ever agreement on globally applicable, legally binding, common minimum standards for cross-border trade in conventional defence-related goods imposes responsibility on states. They commit themselves to controlling exports, imports, transits, trans-shipment and brokering of arms (“transfers”) and in particular to subjecting exports to a structured risk analysis on the basis of internationally comparable decision-making criteria. The core thrust of the Treaty is the regulation of the transfer of conventional weapons.

The Arms Trade Treaty entered into force on 24 December 2014. The Treaty has been signed by 130 countries, and currently has 82 contracting parties (as of 31 May 2016); it will enter into force for three further states in August 2016. The Federal Government deposited the instrument of ratification on 2 April 2014 (anniversary of the adoption of the ATT treaty text by the UN General Assembly) alongside those of countries including 16 other EU member states (Bulgaria, Croatia, Denmark, Estonia, Finland, France, Hungary, Ireland, Italy, Latvia, Malta, Romania, Slovakia, Slovenia, Spain, United Kingdom).

The first Conference of States Parties to the ATT was held in Cancún, Mexico, from 24 - 27 August 2015, and it witnessed major decisions on the Treaty’s institutional design. It has thus set the course for the ongoing implementation of the Treaty regime. Geneva was made the headquarters of the ATT secretariat.

23 Most recent Annual Disarmament Report 2015, Bundestag Printed Paper 18/8065 of 7 April 2016, at: http://www.auswaertiges-amt.de/cae/servlet/contentblob/730798/publicationFile/215067/160406_JAB_2015.pdf

24 Cf. the more detailed article on the Arms Trade Treaty in the 2012 Military Equipment Export Report and the Memorandum on the Arms Trade Treaty: http://www.auswaertiges-amt.de/cae/servlet/contentblob/674462/publicationFile/191501/ATT_Denkschrift.pdf.

25 <http://www.un.org/disarmament/ATT/>. Annex 3 contains a link to the text of the treaty.

In addition to the implementation of the Treaty, another key challenge is its universalisation. Germany is therefore continuing to urge other countries to accede to and ratify the Treaty. On the same note, the Federal Government is actively assisting other countries with the implementation of the Treaty in adequate national control systems. In addition to bilateral measures promoted by the Federal Foreign Office, the Federal Office for Economic Affairs and Export Control is implementing a broad spectrum of advisory projects in the field of export control in other countries on behalf of the European Union (cf. Section II. 8.). In so doing, it has gathered a degree of expertise that is highly regarded internationally.

It is particularly important to offer assistance and support to countries which do not yet have a significant transfer control system. This applies in particular to developing countries. To this end, the Federal Government is supporting a number of initiatives; for example, since 2013 it has provided a total of €2.2 million for projects of the UN Trust Facility Supporting Cooperation on Arms Regulation in the period up to 2016. In the context of an EU Council decision of December 2013²⁶, it is providing a national contribution of nearly 20% of cofinance (in addition to the regular German share of the EU budget) for planned EU measures to support the implementation of the ATT, which are being implemented by the Federal Office for Economic Affairs and Export Control in 2014 – 2016. The EU measures are supplemented by bilateral measures, carried out by the Federal Office for Economic Affairs and Export Control on behalf of the Federal Foreign Office. These measures totalled approx. €250,000 in 2015, and are likely to amount to around €400,000 in 2016.

In preparation for the second ATT conference of parties in Geneva at the end of August 2016, Germany is particularly calling for the establishment of the Voluntary Trust Fund, which is to assist contracting parties as they implement the Treaty.

An ongoing priority is to reach the most binding possible agreement on reporting templates, in order to foster the greatest possible transparency in the reporting system. The Federal Republic of Germany published its first report on

the ATT on schedule in December 2015²⁷. The first annual report on exports and imports of military equipment in the categories covered by the ATT for 2015 was published on 31 May 2016.²⁸

8. Outreach activities

Export control can only achieve maximum effectiveness if as many countries as possible apply similar rules and processes 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 or improving export controls. One of the major focuses here is on efforts to promote transfer control standards for small arms and light weapons in conjunction with the offer of advice and support for the implementation of such measures.

Following the completion in December 2014 of the EU outreach activities in the field of military equipment (COARM) carried out by the Federal Office for Economic Affairs and Export Control, the outreach measures to promote effective arms export controls were for the first time continued by a project at national level financed by the Federal Foreign office and implemented by the Federal Office for Economic Affairs and Export Control in 2015. In addition to regional events for south-east European and for eastern European and Caucasian partner countries, individual activities took place for Georgia and Serbia. In the context of Council Decision 2015/2309/CFSP of 10 December 2015, the Federal Office for Economic Affairs and Export Control was again mandated to implement COARM outreach activities in the period between January 2016 and December 2017. As in the preceding COARM project, numerous activities are scheduled to take place, including regional seminars, study visits to EU Member States and individual assistance measures for partner countries in the south-eastern European, eastern European, Caucasian and North African region. Also, in the context of this project, regional seminars are being

26 Council decision 2013/768/CFSP of 16 December 2013 on EU activities in support of the implementation of the Arms Trade Treaty, in the framework of the European Security Strategy, published in the Official Journal of the EU, L 341 of 18 December 2013

27 Published under <http://www.thearmstradetreaty.org/index.php/en/resources/reporting>

28 Published under <http://www.thearmstradetreaty.org/index.php/en/resources/reporting>

organised for the first time in West Africa, to which Chinese representatives are also to be invited. This project is cofunded by the Federal Foreign Office.

Based on Council Decision 2013/768/CFSP of 16 December 2013 on EU activities in support of the implementation of the Arms Trade Treaty in third countries, in the framework of the European Security Strategy, the Federal Office for Economic Affairs and Export Control is carrying out a wide-ranging EU project (ATT-OP). In the 3-year project period, support programmes are being carried out which are oriented to the national needs of the partner countries selected by the COARM working group, and there are also to be individual ad-hoc assistance measures and regional seminars. This project is funded by the Federal Foreign Office alongside the EU. Last year saw a large number of events with the partner countries. Mention should especially be made of three regional seminars, one for ECOWAS member states and some of their neighbours in Senegal, another for the entire Asian region in the Philippines, and an event for the other African states in Pretoria, South Africa. The last ATT-OP regional seminar was held in Georgia in March 2016 for OSCE member states. Further to this, it was possible to jointly develop long-term roadmaps for cooperation with nine ATT-OP partner countries.

In 2015, the Federal Foreign Office charged the Federal Office for Economic Affairs and Export Control with the implementation of a national ATT outreach project, which supplements the EU ATT-OP. The national ATT project is primarily targeted at regions which have not so far been so clearly addressed by the ATT-OP. For example, two sub-regional workshops were held for southern Africa and various Caribbean states. Also, the Federal Office for Economic Affairs and Export Control organised an ATT round table in Frankfurt as part of the national ATT support measures; at this event, EU experts, representatives of international organisations and 40 participants from nine ATT-OP partner countries were offered the possibility to discuss current developments in ATT ratification and implementation in the various countries as well as experience gained within the project. The Federal Foreign Office has again charged the Federal Office for Economic Affairs and Export Control with the implementation of national ATT outreach projects in 2016, with a focus on the Asian and Caribbean regions.

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

The following is an outline of **licences** granted for military equipment exports in 2015; **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.

The Federal Office for Economic Affairs and Export Control (BAFA)²⁹ compiles a list of the **export licences** granted for all military equipment (war weapons and other military equipment). The figures for reporting year 2015 are displayed under III. 1. and outlined in further detail in Annex 8. A detailed overview of the 20 leading countries of destination in the reference year can be found in Annex 7.

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

Like 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. At the time when they are decided, there is no certainty whether or not the project is going to be implemented. Moreover, advance inquiries enjoy increased confidentiality under constitutional law as business and industrial secrets since potential competitors could benefit from the publication in the Military Equipment Export Report of a planned but not contractually agreed project. The non-inclusion of advance inquiries creates no gaps in export statistics since upon later implementation of the projects the still-required export licences (and additionally the actual exports in the case of war weapons) are reflected by the statistics of the respective Military Equipment Export Report. The Report thus takes account of all administrative transactions at least once and, in the case of war weapons, twice (when licensed and when exported).

It is only possible to offer generalised information on **denied requests** in order to avoid the Military Equipment Export Report serving as an information source for pro-

spective 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 8 presents an outline of military equipment³⁰ licences granted and/or denied in 2015, broken down by countries of destination. The first part of this Annex shows EU countries, the second part NATO and NATO-equivalent countries (excluding the EU countries), and the third part all other countries (so-called third countries). For the sake of greater transparency in connection with exports to third countries, this country category has a column entitled EL (Export List) positions 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 EL positions involved, and the value of the goods.

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

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

a) Individual licences

In 2015 a total of 12,687 individual licence applications for the final³¹ export of military equipment were approved in Germany (year earlier: 12,090). The total value of the licences – not that of actual exports – was €7.859 billion. This was a sharp rise against figures for 2014 (€3.974 billion).

29 <http://www.bafa.de>.

30 Goods in Part I Section A of the Export List, Appendix AL to the Foreign Trade and Payments Ordinance, cf. also Annex 4 to this Report.

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

Individual licences for countries designated in No. II of the Political Principles of 19 January 2000 (EU countries, NATO and NATO-equivalent countries) accounted for €3.238 billion of this amount (previous year: €1.570 billion). Licences for goods with an end-use in EU countries totalled €2.474 billion (previous year: €817 million). This corresponds to an increase of €1.657 billion. Licences for goods with end-use in NATO or NATO-equivalent countries (not including EU countries) had a total value of €763 million (preceding year: €753 million). A large proportion (41%) went to EU/NATO and NATO-equivalent countries. Here, the licensing of the export of four tanker aircraft to the United Kingdom played a major role; the total value was €1.1 billion, and the manufacture took place in several European countries as part of a joint European programme agreed in 2008.

The licence value for exports to third countries amounted to €4.621 billion (previous year: €2.404 billion). This corresponds to an increase of €2.2 billion.

Of particular note is the licence for the export to Qatar of Leopard 2 main battle tanks and armoured self-propelled howitzers plus ammunition and other accompanying vehicles worth approx. €1.6 billion, which had been preceded by a corresponding licence under the War Weapons Control Act in 2013.

Numerous export licences for recipients in third countries refer to supplies of components to European and American partners, which themselves decide again on whether the export should take place. Germany has had commitments from international intergovernmental agreements for many years in the relevant joint programmes.

A large proportion of the value of licences for exports to Saudi Arabia cited in the statistics refers to such joint programmes or component supplies, such as the delivery of chassis for unarmed transport vehicles to France, which will subsequently be exported to Saudi Arabia under a French export licence.

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

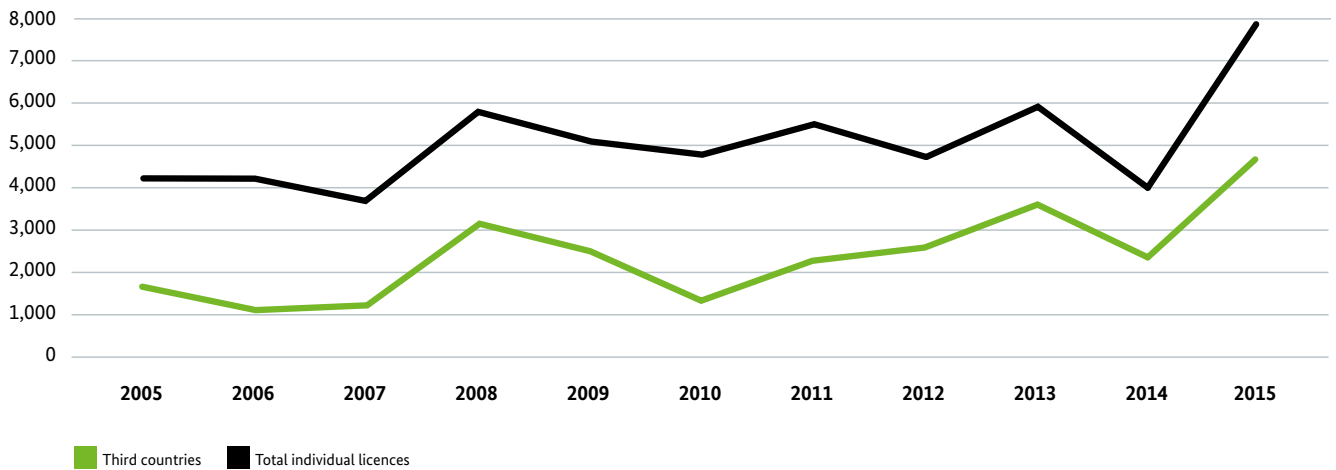
For exports of military equipment to developing countries³², individual licences valued at a total of approx. €277.5 million were issued in 2015 (2014: €217.8 million). This is equivalent to 3.5% of the value of all German individual licences for military equipment (the proportion in 2014 was around 5.5%). The leading countries of destination amongst the developing countries in 2015 were India (€153.6 million), Indonesia (€36.5 million), Pakistan (approx. €35.9 million) and Egypt (€18.7 million). A breakdown of the various types of goods for which export licences were issued can be found in Annex 8.

The licence values for the group of the poorest and other low-income developing countries³³ amounted to €8.2 million in 2015 (2014: €5.54 million) or 0.10% (2014: 0.14%) of the value of all individual export licences for military equipment in 2015.

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 export licences worth a total of approx. €2.2 million, mainly for UN missions, EU delegations and aid organisations (e.g. €5.6 million for Afghanistan, €3.2 million for Mali, €2.9 million for Somalia and €2.2 million for South Sudan).

32 For the term “developing countries,” see footnote 1.

33 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 2014, 2015 and 2016. Cf. Annex 13.

Figure 1: Development of the value of individual licences from 2005–2015 (€ million)

b) Collective export licences

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

The values shown on the applications reflect applicants' figures for their anticipated needs in the licence period. Since varying use is made of these values, which are licensed as maximum amounts, the aggregate figure for collective export licence values is subject to strong annual fluctuations and has only limited validity as a barometer of Germany's export policy. The collective export licences primarily refer to the production phase of an item of military equipment, during which military equipment is frequently imported and exported. The maximum value does not provide any indication of actual shipments of goods – not least because reimports are not discounted. Equating collective export licences with individual export licences or actual exports, or adding up the figures, therefore makes no sense for systemic reasons.

In the period from 1 January to 31 December 2015, 119 applications for the issuing of a collective export licence relating to conventional military equipment within the meaning of Part I Section A of the Export List (EL) of the Foreign Trade and Payments Ordinance were approved by the BAFA. The issuing of the licence is subject to the same principles as apply in the individual licence procedure. The examination thus observes the EU Common Position and the Political Principles for an individual case.

The 119 relevant licences issued in the above-mentioned period covered goods worth a total value of €4.960 billion. By way of comparison: in the period from 1 January to 31 December 2014, 62 collective export licences were issued with a value of €2.545 billion. Annex 9 contains an overview of the countries covered by the collective export licences.

The 119 collective export licences issued in the context of programmes and cooperation break down as follows:

- In 73 cases, exports in the context of joint programmes. “**Joint programmes**” are the bilateral, trilateral and multinational development and manufacturing programmes for dual-use and military equipment. They are thus international development and manufacturing programmes involving the Federal Government. The relevant German ministry commissions a main German contractor, as the leader of the consortium, with implementing the programme.
- In 35 cases, exports in the context of official intergovernmental cooperation. **Official intergovernmental cooperation** covers development and manufacturing

programmes if the contracts to develop or manufacture certain goods for the respective programmes were agreed with state involvement. These cases are treated as joint programmes.

- In 2 cases, exports in the context of **other international projects**. The category of other international projects which can be recognised by the BAFA particularly includes cooperation between companies based in countries covered by the Letter of Intent (LoI countries) of 6 July 1998. The LoI countries are France, the United Kingdom, Germany, Sweden, Spain and Italy. These cases are treated as joint programmes.
- In one case, exports in the category “after-sale service” (rapid handling by the export control authorities of necessary service deployments in cases of damage – outside a licensed joint programme).
- In 7 cases, in the context of TAGs (technology transfers for study purposes) outside a licensed joint programme.
- In one case, in the context of the “Patchbond” EDA study, which is subsumed under TAGs outside a licensed joint programme.

c) Export licence denials

In 2015, 100 applications for military equipment exports (preceding year: also 100) were denied. The total value of the denials came to €7.42 million (preceding year: €9.72 million). The figure does not include applications withdrawn by applicants prior to notification because of poor chances of success or for other reasons. Like the values for licences for third countries, the figures for export licence denials are also subject to great fluctuations for this group of countries.

Since the acquisition of new orders costs money, many applicants seeking to export to sensitive destinations make a formal or informal inquiry with the control authorities about the prospects of their applications prior to the submission of a licence request. Where the response to the inquiry is negative, there are only very rare cases in which a formal application is filed, the denial of which is then in-

cluded in the attached statistical overview (Annex 8). As a rule, applications appearing to have no prospects of success are not submitted in the first place.

The highest-value denials in 2015 affected Russia (€1.60 million), Georgia (€1.05 million) and Mexico (€0.6 million). Details of other denials can be found in the overview in Annex 8.

d) Individual export licences broken down by Export List (EL) position

Table B provides a breakdown of the individual export licences issued in 2015 into the 22 EL positions.

Table B is based on the 12,687 individual licences issued in 2015³⁴. It shows that the category which accounted for the largest share of exports of military equipment in terms of value in 2015 was “wheeled and tracked military vehicles”, totalling €3 billion, and “military aircraft / aircraft technology”, totalling €1.43 billion.

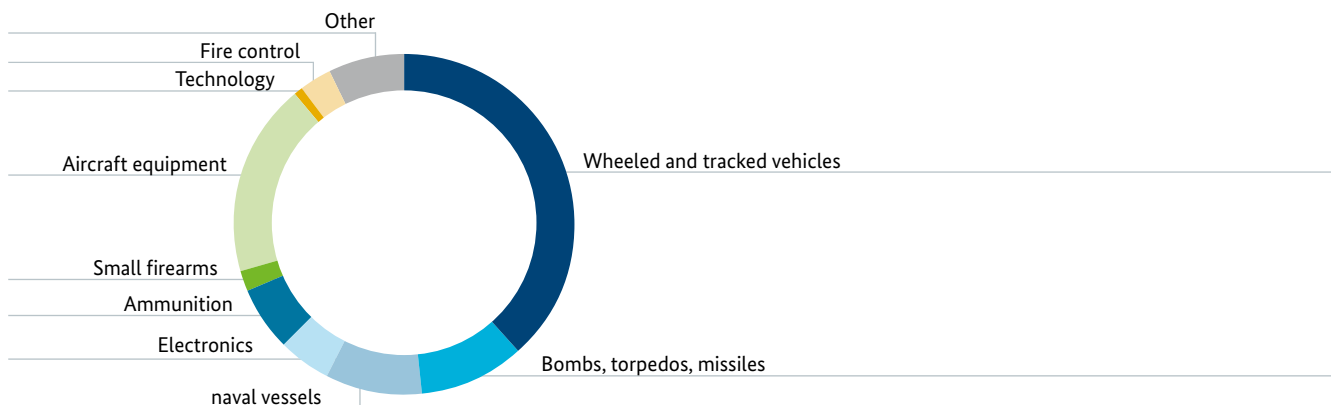
The small firearms position-number on the Export List (A 0001) includes not only small arms but also the so-called civilian weapons such as hunting, sporting, and self-defence weapons, which are much more important in terms of licence values; more detailed information on this point is available below,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

The share accounted for by the most important categories is clearly shown in figure 2:

³⁴ The addition of the number of individual licences by positions A 0001 to A 0022 yields a higher value than the total number of individual licences since some of the applications are split among several positions and are therefore counted two or more times in the individual positions in this table.

Table B

EL position	Description of Item	Number	Value in €
A 0001	Small firearms	2,318	149,166,004
A 0002	Large calibre weapons	304	83,066,882
A 0003	Ammunition	803	449,607,400
A 0004	Bombs, torpedoes, missiles	338	784,336,264
A 0005	Fire control systems	499	265,318,325
A 0006	Wheeled and tracked military vehicles	2,934	3,003,181,615
A 0007	Equipment for NBC defence, irritants	123	81,634,487
A 0008	Explosives and fuels	216	30,624,646
A 0009	Naval vessels	604	716,673,308
A 0010	Military aircraft / aircraft technology	1,142	1,427,864,637
A 0011	Military electronics	963	381,113,490
A 0013	Ballistic protection equipment	77	19,125,333
A 0014	Training and simulator equipment	84	53,283,038
A 0015	Infrared/thermal imaging equipment	229	59,537,636
A 0016	Semi-finished parts for the production of certain items of military equipment	509	127,172,174
A 0017	Miscellaneous equipment	494	35,476,723
A 0018	Manufacturing equipment for the production of military articles	550	34,203,551
A 0019	HF weapon system	3	4,384,100
A 0021	Military software	367	36,236,000
A 0022	Technology	683	116,761,247
Total		13,240	7,858,766,860

Figure 2: Proportion of the leading EL positions in terms of individual licences (by value) in 2015:

e) Export licences from 2005 to 2015

The following table compares the values of the licences issued in 2005 to 2015 for final exports. To provide a better basis for comparison, the values are not broken down by

individual countries of destination but are 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 8.

Table C

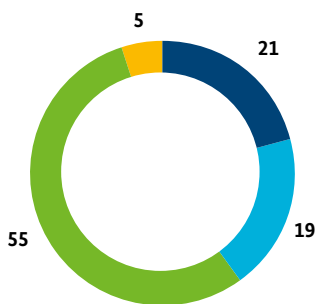
Year	EU countries (in € million)	NATO or NATO-equivalent countries (without EU countries) (in € million)	Third countries (in € million)	Individual export licences total (in € million)	Collective export licences total (in € million)
2005	1,440	1,120	1,656	4,216	2,032.8
2006	1,863	1,174	1,151	4,188	3,496.2
2007	1,297	1,141	1,230	3,668	5,053
2008	1,839	809	3,141	5,788	2,546
2009	1,445	1,106	2,492	5,043	1,996
2010	2,315	1,056	1,383	4,754	737
2011	1,954	1,162	2,298	5,414	5,381
2012	971	1,129	2,604	4,704	4,172
2013	1,168	1,071	3,606	5,846	2,495
2014	817	753	2,404	3,961	2,545
2015	2,475	763	4,621	7,859	4,960

The two charts below show the monetary values of export licences issued for all country groups in 2015 and 2014. Pursuant to the Political Principles, EU, NATO and NATO-

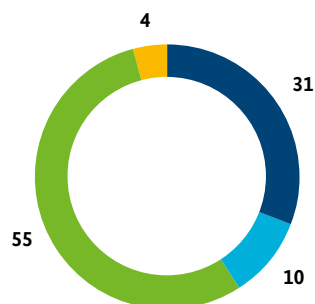
equivalent countries can be taken together, since all have essentially the same status with regard to German arms exports.

Figure 3: Individual export licences broken down by country group (in %)

2014 (€ 3,961 million = 100%)



2015 (€ 7,859 million = 100%)



■ EU countries ■ NATO or NATO-equivalent countries ■ Third countries (without developing countries) ■ Developing countries

f) War weapons' share of licensed values in 2015

The licence values shown under e) relate to articles from Part I Section A of the Export List, i.e. to all military equipment including war weapons. By contrast, the following identifies the war weapons' share of overall values for individual licences in 2015. Individual licences for the export of war weapons add up to a total of €2.87 billion, i.e. approximately 36.5% of the total for overall individual licences (the figures for 2014 were €1.41 billion and 37%).

Table D displays – broken down by country – total licences for the export of war weapons to third countries in 2015 (total value €2.477 million; value in 2014: €1.139 million). This represents a substantial increase over the preceding year. The licences with the highest values refer to Qatar, Israel and Korea.

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

g) Export licences for small arms 2005 to 2015

Small arms do not represent an independent category within the groups of military equipment and war weapons under German law, but they are contained within these groups of items. They thus represent a subset of the small firearms covered under EL position 0001 (see Section III. 1. d), which are covered in general by the Federal Government's restrictive export control policy. The values shown in the following tables E to H are therefore already included in the statistics under III. 1. a) to f) and in the values presented in Annex 8.

The total value of the licences for small arms in the first half of 2015 amounted to €32.43 million. (The 2014 figure was €47.4 million.) This represents a decline of around €15 million. The figures for export licences for small arms to third countries also reveal a decline of approx. €7.1 million from €21.6 million in 2014 to just under €14.5 million now.

Table D

Country	Individual decisions or applications for war weapons	Value in €
Andorra	1	3,130
Botswana	1	5,013,897
Brazil	6	20,682,736
Brunei	2	6,598,035
Central African Republic [UN mission]	7	5,987,524
Colombia	6	5,835,647
India	7	21,228,254
Indonesia	3	408,498,000
Iraq	2	28,700
Israel	5	3,984,467
Jordan	5	1,462,394,769
Kenya [UN mission]	2	64,380
Korea, Republic	1	68,100,000
Kosovo	6	286,956,596
Kuwait	1	68,400
Lebanon [UN mission]	2	77,768,407
Libya [UN mission]	2	19,080
Oman	1	61,024
Qatar	3	5,869,212
Saudi Arabia	17	23,753,779
Singapore	7	67,047,724
South Africa	9	2,146,367
Uganda [UN mission]	1	29,075
United Arab Emirates	1	32,550
Uruguay	4	5,066,766
Yemen [UN mission]	1	285,683
Total	103	2,477,524,202

In the statistics kept by the Federal Government, “small arms” comprise, against the background of the definition of 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: rifles with war weapons list number (semi and fully automatic rifles), 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.)

Figure 4 displays the value of licences for the export of small arms in 2015 and 2014 broken down into the three country groups listed in the table above. The shares fluctuate from year to year.

The value of small arms export licences to third countries in 2015 amounted to €14.49 million (2014: €21.63 million; 2013: €42.23 million). Qatar (€7.59 million) accounted for the largest share of this.

Breakdown of the licences issued for small arms by country group:

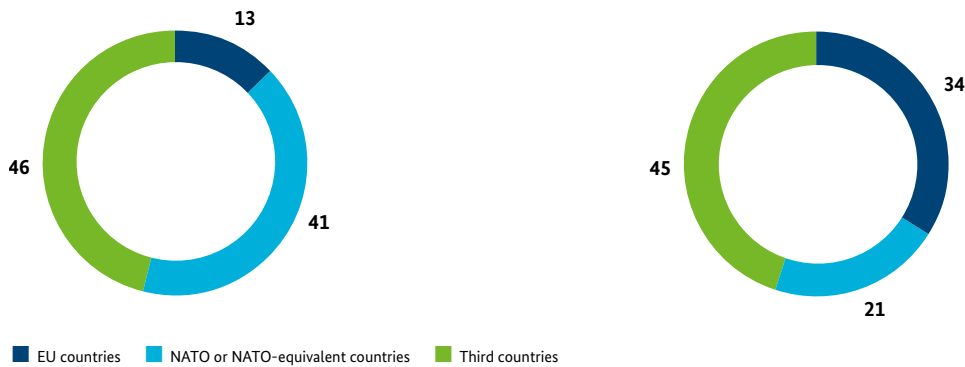
Breakdown by country group	Licences issued	
	Value in €	Value in %
EU countries	11,127,236	34.31
NATO and NATO-equivalent countries	6,808,734	21.00
Third countries (other countries)	14,490,888	44.69
Total	32,426,858	

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 d) for EL position 0001 (€149.17 million). This is the result of the fact that the definition of small firearms found in EL position 0001 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 in terms of the problems relating to destabilising accumulations of small arms and light weapons.

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

Year	EU countries	NATO or NATO-equivalent countries	Third countries	Individual licences (total)
2005	17.97	5.44	12.57	35.98
2006	11.45	10.23	15.6	37.28
2007	9.35	9.38	30.2	48.93
2008	22.72	28.94	17.18	68.85
2009	35.97	20.10	14.32	70.40
2010	19.42	13.81	16.30	49.54
2011	10.03	9.95	17.92	37.90
2012	12.84	26.22	37.09	76.15
2013	6.80	33.59	42.23	82.63
2014	6.23	19.57	21.63	47.43
2015	11.13	6.81	14.49	32.43

Figure 4: Individual export licences broken down by country group in 2015 (in %)
2014 (€ 47.43 million = 100%)

2015 (€ 32.43 million = 100%)


The developing countries (cf. footnote 1) accounted for licences for small arms worth approx. €1.1 million in 2015 (mainly exports to Indonesia and India)³⁵. The Federal Government will continue to take a particularly restrictive approach to exports of small arms to developing countries in future.

Table F: Individual licences for small arms to third countries broken down by countries, licence values and unit numbers for 2015:

Country	Licences Total	EL position	Value (€)	Description of articles	Unit
Andorra	1	0001A-05	3,130	Submachine guns	2
Brazil	6	0001A-02	347	Parts for rifles with war weapons list number;	18
		0001A-05	40,021	submachine guns;	31
		0001A-05	2,461	parts for submachine guns	292
Central African Republic	1	0001A-02	151,763	Rifles with war weapons list number [UN mission];	75
		0001A-05	133,920	submachine guns [UN mission]	50
Chile	3	0001A-06	11,310	Parts for machine guns	135
India	8	0001A-05	577,661	Submachine guns;	239
			61,298	parts for submachine guns	1,268
Indonesia	5	0001A-05	434,824	Submachine guns;	226
			14,873	parts for submachine guns;	703
		0001A-06	17,482	parts for machine guns	104
Iraq	3	0001A-02	364,474	Rifles with war weapons list number;	4,105
			7,192	parts for rifles with war weapons list number;	20
		0001A-06	29,568	machine guns	10

35 The licences for the developing countries in particular do not include export licences for UN missions (e.g. the Central African Republic, Kenya, Lebanon, Uganda and Yemen, worth approx. €0.45 million).

Table F: Individual licences for small arms to third countries broken down by countries, licence values and unit numbers for 2015:

Country	Licences Total	EL position	Value (€)	Description of articles	Unit
Jordan	7	0001A-02	811,440	Rifles with war weapons list number;	526
			54	parts for rifles with war weapons list number;	3
		0001A-05	2,027	submachine guns;	2
			188	parts for submachine guns	7
Kenya	2	0001A-02	55,050	Rifles with war weapons list number [UN mission];	30
			11,316	parts for rifles with war weapons list number [UN mission];	324
		0001A-05	9,330	submachine guns [UN mission];	5
			6,555	parts for submachine guns [UN mission]	20
Kosovo	2	0001A-02	100,030	Parts for rifles with war weapons list number	1,700
Lebanon	4	0001A-02	11,580	Rifles with war weapons list number [UN mission];	6
			1,770	parts for rifles with war weapons list number [UN mission];	60
		0001A-05	7,500	submachine guns [UN mission];	4
			1,100	parts for submachine guns [UN mission]	27
Libya	1	0001A-02	36,300	Rifles with war weapons list number [UN mission];	20
		0001A-05	24,724	submachine guns [UN mission];	10
			19,169	parts for submachine guns [UN mission]	351
Oman	1	0001A-06	30,465	Parts for machine guns	425
Qatar	2	0001A-02	1,150,000	Parts for rifles with war weapons list number;	517
		0001A-05	5,938,000	machine guns;	196
			499,520	parts for machine guns	392
Singapore	3	0001A-02	67	Parts for rifles with war weapons list number;	60
		0001A-05	57,487	parts for submachine guns;	650
Uganda	1	0001A-02	10,715	Rifles with war weapons list number [UN mission];	5
			780	parts for rifles with war weapons list number [UN mission];	2
		0001A-05	18,360	submachine guns [UN mission]	9
United Arab Emirates	5	0001A-02	167,816	Rifles with war weapons list number;	30
			1,599	parts for rifles with war weapons list number;	50
		0001A-05	3,510,000	submachine guns;	3,000
		96,372	parts for submachine guns;	3,002	
Uruguay	1	0001A-02	11,280	Rifles with war weapons list number;	12
		0001A-05	21,270	submachine guns	15
Yemen	2	0001A-02	12,450	Rifles with war weapons list number [UN mission];	10
		0001A-05	16,250	submachine guns [UN mission]	10
Total	58		14,490,888		

Table G: Individual licences for ammunition for small arms, including ammunition parts – values in € million for 2005–2015:

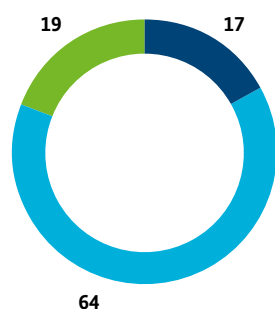
Year	EU countries	NATO or NATO-equivalent countries	Third countries	Individual licences (total)
2005	6.13	11.50	0.24	17.87
2006	13.31	7.76	0.15	21.22
2007	16.77	13.59	1.40	31.76
2008	10.10	10.18	18.65	38.94
2009	41.18	17.53	2.63	61.35
2010	10.35	17.13	2.00	29.48
2011	15.15	17.63	1.77	34.55
2012	7.04	7.25	3.75	18.04
2013	29.74	19.96	2.82	52.51
2014	4.45	17.23	5.53	27.21
2015	11.80	15.29	4.28	31.36

The two following diagrams show the distribution among the three above-named country groups of the licences issued in 2015 and 2014 for the export of small arms ammunition.

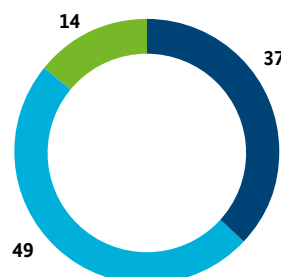
The value of licences for ammunition for small arms to third countries fell compared with the year before. The shares fluctuate from year to year. Third countries accounted for a share of approximately 14% of individual licences for ammunition.

Figure 5: Export licences for small arms ammunition broken down by country group (in %)

2014 (€ 27.21 million = 100 %)



2015 (€ 31,36 million = 100 %)



■ EU countries ■ NATO or NATO equivalent countries ■ Third countries

Table H: Individual licences for the export of small arms ammunition to third countries, by country, for 2015³⁶

Country	Licences Total	EL position	Value in €	Description of articles	Unit
Brazil	2	0003A-01	10,710	Ammunition for rifles (war weapons list number: 0)	7,000
		0003A-06	5,825	Parts for machine gun ammunition	25,000
Indonesia	2	0003A-05	134,283	Ammunition for submachine guns	306,561
Iraq	3	0003A-01	2,245,600	Ammunition for rifles (war weapons list number: 0)	4,400,000
			1,040,000	Ammunition for rifles (war weapons list number: 50)	1,604,000
		0003A-06	208,608	Ammunition for machine guns	508,800
Kazakhstan	3	0003A-01	16,308	Ammunition for rifles (war weapons list number: 0)	17,750
Kenya	1	0003A-01	58,500	Ammunition for rifles (war weapons list number: 0) [UN mission]	150,000
Kuwait	2	0003A-01	168,652	Ammunition for rifles (war weapons list number: 0)	600,000
Lebanon	5	0003A-01	30,140	Ammunition for rifles (war weapons list number: 0) [UN mission]	77,000
Mali	2	0003A-01	50,300	Ammunition for rifles (war weapons list number: 0) [UN mission]	90,000
Montenegro	1	0003A-01	2,585	Ammunition for rifles (war weapons list number: 0)	1,800
Oman	6	0003A-01	132,734	Ammunition for rifles (war weapons list number: 0)	311,600
		0003A-05	25,650	Ammunition for submachine guns	65,000
South Sudan	1	0003A-01	7,800	Ammunition for rifles (war weapons list number: 0) [UN mission]	20,000
United Arab Emirates	3	0003A-01	34,021	Ammunition for rifles (war weapons list number: 0)	29,900
Central African Republic	2	0003A-01	109,000	Ammunition for rifles(war weapons list number: 0) [UN mission]	250,000
Total	33		4,280,716		

h) Licences for brokering transactions in 2015

The rules on the licensing of trading and brokering transactions involving military equipment covered by Part I Section A of the Export List derive from Sections 46–48 of the Foreign Trade and Payments Ordinance; the rules on war weapons are based on Section 4a of the War Weapons Control Act. Statistics are only kept on trading and brokering transactions for military equipment located in a third country – i.e. a non-EU country, cf. Section 2 subsection 8 of the

Foreign Trade and Payments Ordinance – and which are to be exported to another third country. For war weapons, the licensing obligation applies even if the war weapons are outside Germany and are to be exported to other countries.

In 2015, a total of 16 (previous year: 27) licences for brokering transactions were issued for recipients in third countries, worth approx. €4.59 million (preceding year: approx. €102 million). Annex 10 contains an overview of these licences.

³⁶ “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.

2. Exports of war weapons

a) War weapon exports in 2015

In 2015, Germany's Federal Statistical Office determined that goods worth a total value of €1.555 billion (0.13% of all German exports) were exported from Germany (2014: €1.826 billion, 0.16%)³⁷. The total value thus declined by approx. €270 million compared with the year before. In value terms, approx. 20% of the war weapons exports went to EU, NATO, and NATO-equivalent countries; according to the Political Principles, the export of military equipment to such countries is not to be restricted. Although a vast majority of these transactions involved commercial companies and governments, in some cases they were transfers from the Bundeswehr. Annex 12 contains an overview of war weapons exports by country of destination.

(1) Bundeswehr exports

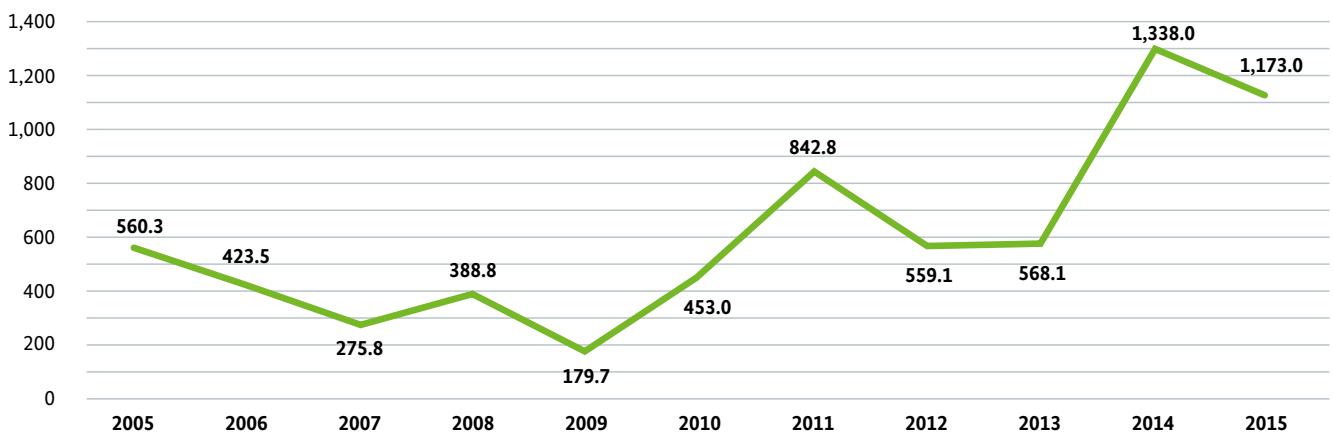
Within the total exports, a merchandise value of €156.3 million (some 10% of total exports of war weapons) was accounted for by the transfer of material by the German Ministry of Defence (2014: €218.8 million). Of these, a delivery worth €47.7 million went to Poland (an EU and NATO member state).

(2) Commercial exports

The value of German companies' commercial exports amounted to €1.40 billion in 2015 (2014: €1.61 billion). Approx. 16% of these exports (€225.6 million) went to EU, NATO or NATO-equivalent countries.

The volume of commercial exports of war weapons to third countries fell slightly to €1.17 billion from the 2014 figure of €1.34 billion. Of these, exports worth €356 million went to the Republic of Korea, exports worth €351 million to Israel, and exports worth €291 million to Qatar. These three countries thus accounted for approx. 85% of the total volume of commercial exports of war weapons to third countries.

Figure 6: Commercial war weapons exports to third countries from 2005 to 2015 (€ million)



37 Due to retrospective reports to the Federal Statistical Office on commercial exports to Switzerland (€484,000) and Indonesia (€2.46 million), the total volume of actual exports in 2014 was corrected slightly upwards.

b) War weapon exports from 2005 to 2015

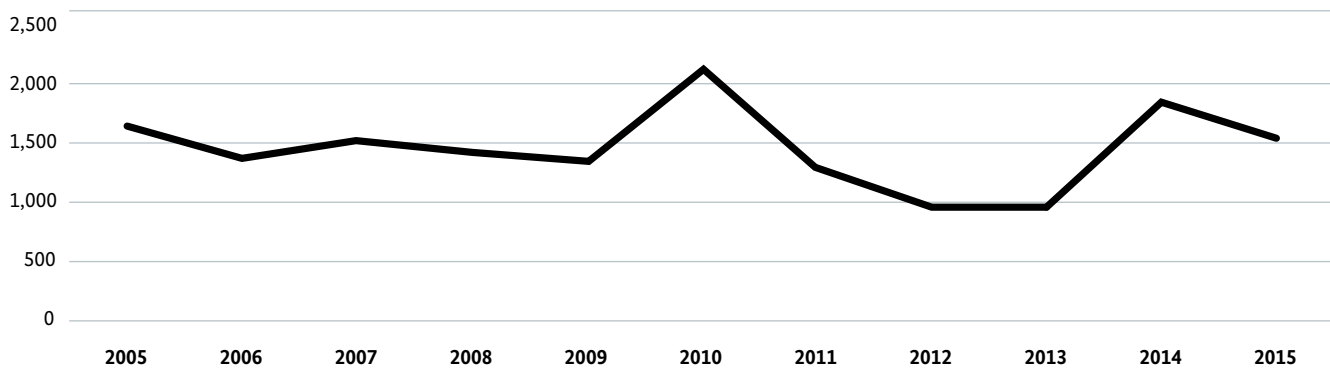
Table J shows the total value of German exports of military equipment (including weapons exported by the Bundeswehr), along with each year's share of total exports for the last several years.

Table J

Year	Total value in € million	Share as % of total German exports
2005	1,629.7	0.26
2006	1,374.2	0.15
2007	1,510.1	0.16
2008	1,427.2	0.14
2009	1,338.8	0.17
2010	2,119.0	0.22
2011	1,284.7	0.12
2012	946.0	0.09
2013	956.6	0.09
2014	1,826.0	0.16
2015	1,554.9	0.13

Plotted on a chart, the trend is as follows:

Figure 7: Development in total war weapons exports from 2005–2015 (in € million)



3. German military equipment exports by international comparison

According to calculations by SIPRI, the Stockholm-based peace research institute, Germany's exports of military equipment more than halved in the global comparison between the 2011–2015 period and the 2006–2010 period.

Germany's share of global exports of military equipment dropped from 11% to 4.7% in the above-mentioned period, whilst the volume of global exports of military equipment grew by 14%. Germany is now ranked fifth by SIPRI, behind the United States, Russia, China and France.

It is necessary to exercise caution when comparing the weapons exports of individual countries. For the most part, the parameters and criteria which are used to generate the statistics

for the relevant studies vary too greatly for any comparisons to be drawn. SIPRI, for example, does not use actual licensing figures for exports, but fictitious values. Also, each study only covers part of military equipment; on the other hand, goods are included which are not military equipment and not covered by the international list of military equipment.

Furthermore, the annual statistics for exports of military equipment are always subject to substantial fluctuations. This is not generally a reflection of a changed licensing policy, but depends on other factors, e.g. the global economy or applications for licences for very high-value individual projects.

Annex 1a

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 weapons³⁸ and other military equipment³⁹ are made in accordance with the provisions of the War Weapons Control Act and the Foreign Trade and Payments Act as well as the EU Code of Conduct on Arms Exports adopted by the European Council on 8 June 1998⁴⁰ and such arrangements as may be agreed subsequently as well as the Principles Governing Conventional Arms Transfers adopted by the Organisation for Security and Cooperation in Europe (OSCE) on 25 November 1993. The criteria laid down in the EU Code of Conduct are an integral part of these 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.

II. NATO countries⁴¹, EU Member States, countries with NATO-equivalent status⁴²

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

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

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

In the case of coproduction projects covered by inter-governmental agreements with countries referred to in this Section, these arms export principles will be given practical effect as far as possible. While mindful of its special interest in its cooperation standing, the Federal

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

39 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.

40 Attached as Annex 2.

41 Area of application of NATO Treaty, Article 6.

42 Australia, Japan, New Zealand, Switzerland.

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

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

To give effect to its arms exports policy principles, the Federal Government reserves the right by way of consultations to object to particular export projects envisaged by its cooperation partners. All new cooperation agreements should therefore aim in principle to incorporate a 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 cooperation and its fundamentally restrictive arms exports policy.

4. Before any exports of war weapons or other military equipment involving German components take place, the Federal Foreign Office, the Federal Ministry for Economic Affairs 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 cooperative venture and in maintaining good relations with its cooperation partner must rank second.

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

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

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

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

III. Other countries

1. A restrictive policy will be pursued regarding exports of war weapons and other military equipment to countries other than those covered by Section II. Notably the development of additional, specifically export-oriented capacities must be avoided. The Federal Government will not take the initiative to privilege any specific country or region.
2. Export licences for war weapons (subject to licensing under the War Weapons Control Act and the Foreign Trade and Payments Act) will not be granted unless in a specific case this is exceptionally warranted on particular foreign and security policy grounds, having due regard to Alliance interests. Labour policy considerations must not be a decisive factor.
3. Export licences for other military equipment (subject to licensing under the Foreign Trade and Payments Act) will be granted only where such exports will not prejudice interests that German law on foreign trade and payments serves to protect, namely, security, peace among the nations and Germany's foreign relations.

The protection of these interests takes priority over economic interests as defined in Section 3(1) of the Foreign Trade and Payments Act.

4. Export licences pursuant to the War Weapons Control Act and/or the Foreign Trade and Payments Act will not be granted where the internal situation in the country concerned precludes such action, e. g. in the case of armed conflict or where there are reasonable grounds for suspecting such exports may be used for internal repression or the sustained and systematic abuse of human rights. In this context the human rights situation in the recipient country is a major factor to be considered.
5. No licences will be granted for the export of war weapons⁴³ and other military equipment related to war weapons to countries
 - involved in armed conflict or where armed conflict is imminent,
 - in which there is a risk of an outbreak of armed conflict or existing tensions and conflicts would be triggered, maintained or exacerbated by the export.

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

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

IV. Definitive determination of end-use

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

⁴³ Plant and documentation for the manufacture of war weapons.

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

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

V. Military Equipment Export 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 1b

Principles Adopted by the Government of the Federal Republic of Germany for the Issue of Licences for the Export of Small and Light Weapons, Related Ammunition and Corresponding Manufacturing Equipment to Third Countries⁴⁴

Guided by the principles and considerations expressed in the Arms Trade Treaty, the Council Common Position 2008/944/CFSP defining common rules governing control of exports of military technology and equipment of 8 December 2008 and the Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment of 19 January 2000, on 18 March 2015 the Federal Government adopted, not least with a view to the general global risk of the dissemination of small arms in particular, the following principles for the issue of licences for the export of small arms and light weapons, related ammunition and corresponding manufacturing equipment to third countries:

1. The principles follow the definition of “small arms and light weapons” used in the annex to the Joint Action of the EU of 12 July 2002 and include sniper rifles and pump guns.⁴⁵
2. In principle no licences to export components and technology to third countries (e.g. in the context of the granting of licences to manufacture) will be granted where such exports would lead to the establishment of a new manufacturing line for small arms and light weapons or the corresponding ammunition.
3. In the case of spare and wear-and-tear parts, of replacement machinery of the same type and of consumable material for manufacturing lines exported in the past, consideration will be given to the legal principle of legitimate expectations. For this reason, licences will in principle continue to be issued in future. This shall not apply to exports intended to increase capacity or widen the product range (“upgrading”).
4. Licences for the export of sniper rifles and pump guns to private end-users in third countries will not be issued in principle.⁴⁶
5. Licences for the export of war weapons to non-state bodies in third countries will not be issued in principle.
6. The principle of “New for old” will in principle be applied to licences for the export of small arms and light weapons.⁴⁷ This means that state recipients of small arms and light weapons must in principle issue a declaration committing them to destroy the small arms and light weapons to be replaced by the new purchase. Where the new purchase covers a plausible increased need and old weapons are therefore not destroyed, a commitment will in principle instead be required stating that the new weapons to be exported will be destroyed when they are taken out of service in future (variant: “New, destroy when discarded”). The willingness to make and comply with such a declaration shall help to determine the decision on whether to license the export. The Federal Government will ensure that the implementation of the principle “New for old” and its variant “New, destroy when discarded” will be monitored.
7. The declaration of end-use must also – going beyond the existing customary re-export clause – include a commitment that small arms and light weapons, related ammunition or manufacturing equipment will not be transferred in the country of destination without the approval of the Federal Government.
8. The Federal Government will advocate the widespread use of the principle “New for old” and its variant “New, destroy when discarded” in the international arena.
9. Small arms and light weapons must be labelled in a way that is easily recognisable, legible, permanent and, within the bounds of technical possibilities, restorable. The comprehensive labelling of small arms and light weapons manufactured in Germany will be stipulated in law and will observe international obligations.

⁴⁴ “Third countries” means all countries apart from the EU countries, NATO countries and NATO-equivalent countries (Australia, Japan, New Zealand and Switzerland).

⁴⁵ This includes war weapons of nos. 10 and 11 (where these are portable weapons), 29, 30, 31 (where these are portable weapons), 32 (where these are portable weapons), 34, 35 and 37 of the War Weapons List, weapons for caseless ammunition, sniper rifles and pump guns.

⁴⁶ This shall not apply to hunting and sporting weapons.

⁴⁷ This shall also apply to other military equipment in certain cases.

10. In this context, the Federal Government confirms that surplus small arms and light weapons within the field of responsibility of the Federal Armed Forces will in principle be destroyed.

Annex 2

Council Common Position 2008/944/CFSP 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/CFSP⁴⁸ 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/CFSP⁴⁹ 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.
- (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.

⁴⁸ OJ L 191 of 19 July 2002, p. 1.

⁴⁹ OJ L 156 of 25 June 2003, p. 79.

(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.⁵⁰

(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.⁵¹

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.

- (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;

⁵⁰ Last amended on 10 March 2008, OJ C 98 of 18 April 2008, p. 1.

⁵¹ OJ L 159 of 30 June 2000, p. 1.

- b) exercise special caution and vigilance in issuing licences, on a case-by-case basis and taking account of the nature of the military technology or equipment, to countries where serious violations of human rights have been established by the competent bodies of the United Nations, by the European Union or by the Council of Europe;

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

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

- c) deny an export licence if there is a clear risk that the military technology or equipment to be exported might be used in the commission of serious violations of international humanitarian law.
- (3) **Criterion 3:** Internal situation in the country of final destination, as a function of the existence of tensions or armed conflicts.

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

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

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

- a) the existence or likelihood of armed conflict between the recipient and another country;
- b) a claim against the territory of a neighbouring country which the recipient has in the past tried or threatened to pursue by means of force;
- c) the likelihood of the military technology or equipment being used other than for the legitimate national security and defence of the recipient;
- d) the need not to affect adversely regional stability in any significant way.

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

Member States shall take into account:

- a) the potential effect of the military technology or equipment to be exported on their defence and security interests as well as those of Member State and those of friendly and allied countries, while recognising that this factor cannot affect consideration of the criteria on respect for human rights and on regional peace, security and stability;
- b) the risk of use of the military technology or equipment concerned against their forces or those of Member States and those of friendly and allied countries.

- (6) **Criterion 6:** Behaviour of the buyer country with regard to the international community, as regards in particular its attitude to terrorism, the nature of its alliances and respect for international law.

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

- a) its support for or encouragement of terrorism and international organised crime;
- b) its compliance with its international commitments, in particular on the non-use of force, and with international humanitarian law;
- c) its commitment to non-proliferation and other areas of arms control and disarmament, in particular the signature, ratification and implementation of relevant arms control and disarmament conventions referred to in point (b) of Criterion 1.

- (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

Arms Trade Treaty

<https://www.un.org/disarmament/convarms/att/>

Annex 4

Export List Part I

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 122/1, 14 March 2016 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 5

War Weapons List

Part A

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

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

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

Part B – Other War Weapons

I. Projectile

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

II. Combat Aircraft and Helicopters

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

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

III. Vessels of War and Special Naval Equipment

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

IV. Combat Vehicles

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

V. Barrel Weapons

29. a) Machine guns, except those with water cooling;
 - b) submachine guns, except those introduced as a model in a military armed force before September 2, 1945;
 - c) fully automatic rifles, except those introduced as a model in a military armed force before September 2, 1945;
 - d) semiautomatic rifles, except those introduced as a model in a military armed force before September 2, 1945, and rifles for hunting and sporting purposes

- 30. Machine guns, rifles, pistols for combat grenades
- 31. Cannons, howitzers, any kind of mortars
- 32. Automatic cannons
- 33. Armoured self-propelled guns for the weapons enumerated in items 31 and 32
- 34. Barrels for the weapons referred to in items 29, 31 and 32
- 35. Breech blocks for weapons referred to in items 29, 31 and 32
- 36. Revolving breeches for automatic cannons

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

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

VII. Torpedoes, Mines, Bombs, Autonomous Ammunition

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

VIII. Other Ammunition

- 49. Ammunition for the weapons listed in items 31 and 32
- 50. Ammunition for the weapons listed in item 29 a, c and d except cartridge ammunition having a soft core projectile with full casing, if the projectile does not contain any accessoires, particularly a flare, incendiary or explosive charge, and if cartridge ammunition of the same calibre is used for hunting and sporting purposes

- 51. Ammunition for weapons referred to in item 30
- 52. Ammunition for the weapons listed in items 37 and 39
- 53. Rifle grenades
- 54. Projectiles for the weapons enumerated in items 49 and 52
- 55. Propelling charges for the weapons specified in items 49 and 52

IX. Other Essential Components

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

X. Dispensers

- 61. Dispensers for the systematic distribution of submunition

XI. Laser Weapons

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

Annex 6

Arms embargoes in force in 2015

The group of these countries can change at any time.

Up-to-date information about the current arms embargoes and the relevant (legal) basis can be found (in German) on the website of the Federal Office for Economic Affairs and Export Control (www.ausfuhrkontrolle.info) under “Embargos”.

Here is a list of the countries subject to an arms embargo in the reference year.

Armenia
Azerbaijan
Belarus
Central African Republic
China
Congo, Democratic Republic
Côte d’Ivoire
Eritrea
Iran
Iraq
Korea, Democratic People’s Republic
Lebanon
Liberia
Libya
Myanmar
Russia
Somalia
South Sudan
Sudan
Syria, Arab Republic
Zimbabwe

In addition to this, there were arms embargoes in place against certain natural and legal persons, groups, organisations and establishments

- to combat terrorism;
- in view of the situation in Afghanistan;
- which are connected to the Al-Qaida network;
- in view of the situation in Somalia;
- in view of the situation in Yemen.

Annex 7

Most important countries of destination

The 20 most important countries of destination for which individual export licences were granted in 2015:

Nr. ⁵²	Country	Value in 2015 (€)	Description of articles
1 (34)	Qatar	1,662,776,604	Main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks, cross-country vehicle, trailers, antenna masts, armoured cross-country vehicles and parts for armoured vehicles (A0006 / 83.9%)
2 (5)	United Kingdom	1,635,649,275	Tanker and transport aircraft, engines, ground equipment, ejection seats and parts for combat aircraft, combat helicopters, aircraft, helicopters, engines, in-flight refuelling equipment, ground equipment, personnel equipment (A0010 / 66.6%); trucks, cross-country transporters, cross-country vehicles, tracked vehicle [demilitarised], bus, semi-trailer, trailer and parts for main battle tanks, armoured vehicles, amphibious vehicles, trucks, cross-country vehicles, ground vehicles, ballistic protection (A0006 / 21.8%)
3 (4)	Korea, Republic	515,915,442	Missiles and parts for rockets, missiles, anti-missile systems for aircraft (A0004 / 55.3%); armoured vehicle and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks, ground vehicles (A0006 / 14.6%); electronic equipment, communications equipment, measuring equipment, testing equipment, navigation equipment, radio frequency subsystem for radar satellite and parts for electronic equipment, communications equipment, communications intelligence, assemblies, positioning equipment, navigation equipment, radar satellite (A0011 / 11.9%)
4 (1)	Israel⁵³	507,240,809	Submarine, ship body conduits and parts for submarines, supply vessels, underwater detection equipment (A0009 / 69.9%); torpedoes, pyrotechnic ammunition and parts for torpedoes, missiles, anti-missile systems, explosive ordnance disposal, anti-missile systems for aircraft (A0004 / 12.5%)
5 (2)	United States	420,041,006	Simulator ammunition, pyrotechnic simulators, marine minesweeping equipment, gun mount and parts for missiles, marine minesweeping equipment (A0004 / 27.1%); rifles with war weapons list number, submachine guns, sniper rifles, rifles without war weapons list number, revolvers, pistols, hunting rifles, sporting rifles, self-loading rifles, smooth bore weapons, sporting pistols, sporting revolvers, silencers, tube weapon mounts, magazines, flash suppressors, weapon sights and parts for rifles with war weapons list number, submachine guns, machine guns, sniper rifles, rifles without war weapons list number, revolvers, pistols, hunting rifles, sporting rifles, self-loading rifles, sporting pistols, sporting revolvers, silencers, tube weapon mounts, magazines, weapon sighting units (A0001 / 20.7%); cast and unfinished components (A0016 / 7.7%);

⁵² List position of previous year in brackets.

⁵³ For reasons of international law, this list of documented exports to Israel can also include exports which were licensed for end-use by the Palestinian Authority or the Palestinian police force.

Nr. ⁵²	Country	Value in 2015 (€)	Description of articles
	United States		<p>fire control equipment, target range-finding systems and parts for fire control systems, gun laying equipment, on-board weapon-guidance systems, target acquisition systems, target classification systems, target range finding systems, positioning systems (A0005 / 6.9%);</p> <p>ammunition for rifles, hunting weapons, sporting weapons, revolvers, pistols, smooth bore weapons, smoke screening ammunition and parts for ammunition for howitzers, cannon, grenade launchers, automatic grenade launchers, rifles, hunting weapons, sporting weapons, revolvers, pistols, smooth bore weapons (A0003 / 6.4%);</p> <p>modular cameras, circuit boards, communications equipment, measuring equipment, testing equipment, cathode-ray tubes, substrates, travelling-wave tubes, plug connectors, navigation equipment, power supplies, and parts for electronic equipment, communications equipment, measuring equipment, testing equipment, assemblies, positioning equipment, navigation equipment, power supplies, space vehicles (A0011 / 6.2%);</p> <p>engines, ground equipment and parts for combat aircraft, combat helicopters, aircraft, helicopters, unmanned aircraft, engines, in-flight refuelling equipment, personnel equipment (A0010 / 6.0%)</p>
6 (7)	Algeria	411,408,582	Trucks and parts for trucks (A0006 / 87.8%)
7 (6)	Saudi-Arabia	270,040,534	<p>Chassis for unarmed transporters [via France], trucks, armoured cross-country vehicles and parts for tanks, armoured vehicles, trucks, cross-country vehicles, ballistic protection (A0006 / 49.6%);</p> <p>target simulation drones, launcher equipment, ground equipment, control equipment for target simulation drones, oxygen supply containers and parts for combat aircraft, transport aircraft, target simulation drones, in-flight refuelling equipment, ground equipment (A0010 / 21.1%);</p> <p>ammunition for revolvers, pistols, smooth bore weapons and parts for ammunition for guns, howitzers, cannon, mortars (A0003 / 8.8%);</p> <p>firing equipment and parts for missiles, firing equipment (A0004 / 7.0%)</p>
8 (15)	France	157,456,865	<p>Pyrotechnic ammunition, smoke hand grenades, rifle grenades, handheld firing devices and parts for torpedoes, rockets, missiles, explosive devices, hand grenades, anti-missile systems for aircraft (A0004 / 40.1%);</p> <p>electronic equipment, communications equipment, data processing equipment, measuring equipment, testing equipment, cathode ray tubes, displays, substrates, navigation equipment and parts for electronic equipment, communications equipment, measuring equipment, testing equipment, assemblies, friend-or-foe identification, positioning equipment, navigation equipment (A0011 / 12.6%);</p> <p>ammunition for grenade launchers, automatic grenade launchers, rifles, submachine guns, smoke ammunition and parts for ammunition for guns, howitzers, cannon, mortars, grenade launchers, automatic grenade launchers, rifles, illumination ammunition (A0003 / 12.3%);</p> <p>target range-finders and parts for fire control systems, weapon sighting units, target classification systems, target range-finding systems, target surveillance systems, radar equipment, positioning equipment, IR detectors (A0005 / 12.3%);</p> <p>ground equipment, pilot helmets and parts for combat aircraft, combat helicopters, aircraft, helicopters, unmanned aircraft, launching equipment for unmanned aircraft, control equipment for unmanned aircraft, engines, in-flight refuelling equipment, ground equipment (A0010 / 9.2%)</p>

Nr. ⁵²	Country	Value in 2015 (€)	Description of articles
9 (32)	India	153,645,088	Underwater detection equipment, ship body conduits and parts for submarines, aircraft carriers, frigates, combat vessels, transport vessels, vessels, underwater detection equipment (A0009 / 35.4%); ammunition for hunting weapons, sporting weapons, revolvers, pistols, smooth bore weapons and parts for howitzer ammunition (A0003 / 32.1%); target range-finders, testing equipment, and parts for fire control equipment, on-board weapons-control systems, target classification systems, target surveillance systems, testing equipment (A0005 / 12.8%)
10 (19)	Sweden	144,912,064	Combat helicopters and parts for combat aircraft, aircraft, engines (A0010 / 83.7%)
11 (53)	Kuwait	124,698,818	Armoured reconnaissance vehicles and parts for armoured vehicles (A0006 / 76.7%); technology for operation of recoilless naval guns and technical documents for armoured reconnaissance vehicles (A0022 / 9.8%)
12 (52)	Russia	119,040,927	Ice-breaking rescue and multipurpose vessels (A0009 / 94.5%)
13 (8)	United Arab Emirates	107,281,038	Trucks, heavy equipment transporters, semi-trailers, armoured cross-country vehicles and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, amphibious vehicles, trucks (A0006 / 41.6%); night-vision gear, surveillance systems, thermal imaging equipment and parts for surveillance systems (A0015 / 20.0%); pyrotechnic ammunition, marine minesweeping equipment, anti-missile systems for aircraft and parts for torpedoes, anti-missile systems, anti-missile systems for aircraft (A0004 / 12.8%); rifles with war weapons list number, submachine guns, revolvers, pistols, hunting rifles, sporting rifles, sporting pistols, smooth bore weapons, silencers, magazines, telescopic sights and parts for rifles with war weapons list number, submachine guns, sniper rifles, pistols, hunting rifles, smooth bore weapons, gun mounts, telescopic sights (A0001 / 6.6%)
14 (36)	Oman	95,894,240	Fire control systems for air defence systems and parts for fire control systems (A0005 / 24.7%); trucks and parts for armoured vehicles, trucks (A0006 / 22.5%); communications equipment, data processing equipment and parts for communications equipment, navigation equipment, electricity supplies (A0011 / 12.3%); decontamination equipment, decontaminants, detection equipment and parts for decontamination equipment, detection equipment (A0007 / 11.8%); automatic cannon and parts for automatic cannon (A0002 / 8.9%)
15 (3)	Singapore	95,870,126	Armoured engineering vehicles and parts for main battle tanks, armoured vehicles, amphibious vehicles, trucks, cross-country vehicles, mine-clearing equipment, ground vehicles (A0006 / 83.8%)
16 (49)	Colombia	88,515,236	Submarines, patrol boat (material package) and parts for submarines, echo sounding equipment (A0009 / 97.8%)

52 List position of previous year in brackets.

Nr. ⁵²	Country	Value in 2015 (€)	Description of articles
17 (16)	The Netherlands	88,415,574	<p>Trucks, cross-country vehicles, semi-trailer towing vehicles, semi-trailers, swing loaders, crawler loaders, trailers and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks, cross-country vehicles, ground vehicles (A0006 / 45.3%);</p> <p>ammunition for cannon, mortars, grenade launchers, automatic grenade launchers, rifles, submachine guns, machine guns, smoke cartridges and parts for ammunition for guns, mortars, machine guns (A0003 / 21.3%);</p> <p>parts for fire control equipment, weapon sights, gun-laying equipment, on-board weapons-control systems, positioning equipment, testing equipment (A0005 / 11.6%);</p> <p>communications equipment, data processing equipment, travelling-wave tubes, navigation equipment, electricity supplies and parts for electronic equipment, communications equipment, data processing equipment, assemblies, positioning equipment, navigation equipment, electricity supplies (A0011 / 5.4%)</p>
18 (13)	Canada	76,916,322	<p>Armoured recovery vehicles, trucks and parts for main battle tanks, armoured vehicles, trucks, ground vehicles (A0006 / 33.6%);</p> <p>accessories, automatic grenade launchers, smoke dischargers and parts for cannon, automatic grenade launchers, pyrotechnic launchers (A0002 / 24.0%);</p> <p>ammunition for grenade launchers, automatic grenade launchers, rifles, hunting weapons, sporting weapons, revolvers, pistols, smooth bore weapons, decoy launcher systems and ammunition parts for the following: cannon, mortars, submachine guns, hunting weapons, sporting weapons, revolvers, pistols, smooth bore weapons (A0003 / 8.7%);</p> <p>rifles with war weapons list number, submachine guns, sniper rifles, rifles without war weapons list number, revolvers, pistols, hunting rifles, sporting rifles, self-loading rifles, repeating smooth bore weapons, smooth bore hunting weapons, gun mounts, magazines, flash suppressors, weapon sights and parts for rifles with war weapons list number, submachine guns, rifles without war weapons list number, revolvers, pistols, hunting rifles, sporting rifles, self-loading rifles, self-loading smooth bore hunting weapons, sporting pistols, sporting revolvers, magazines, weapon sights (A0001 / 8.1%);</p> <p>electronic equipment, communications equipment and parts for electronic equipment, communications equipment, positioning equipment (A0011 / 7.9%)</p>
19 (11)	Italy	71,245,630	<p>Parts for combat aircraft, combat helicopters, aircraft, helicopters, unmanned aircraft, engines, ground equipment and aviation clothing (A0010 / 26.9%);</p> <p>technology for military equipment (A0022 / 22.9%);</p> <p>electronic equipment, communications equipment, measuring equipment, testing equipment, travelling-wave tubes, assemblies, navigation equipment and parts for electronic equipment, communications equipment, self-defence systems, electronic warfare, measuring equipment, testing equipment, assemblies, positioning equipment, navigation equipment, space equipment (A0011 / 16.0%);</p> <p>forged, cast and unfinished components (A0016 / 14.2%);</p> <p>ammunition for grenade launchers, automatic grenade launchers and parts for ammunition for guns, howitzers, cannon, mortars (A0003 / 9.6%)</p>

52 List position of previous year in brackets.

Nr. ⁵²	Country	Value in 2015 (€)	Description of articles
20 (17)	Switzerland	70,449,042	<p>Ambulances and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks, cross-country vehicles, ground vehicles (A0006 / 26.1%);</p> <p>ammunition for cannon, mortars, grenade launchers, automatic grenade launchers, rifles, submachine guns, fuse-setting devices and parts for ammunition for guns, howitzers, cannon, mortars, anti-tank weapons, pyro- technic launchers, grenade launchers, automatic grenade launchers, rifles, hunting weap- ons, sporting weapons (A0003 / 22.6%);</p> <p>forged, cast and unfinished components (A0016 / 13.3%);</p> <p>manufacturing equipment for military equipment (A0018 / 5.6%);</p> <p>software for military equipment (A0021 / 4.8%);</p> <p>technology for military equipment (A0022 / 4.4%);</p> <p>engines and parts for combat aircraft, aircraft, helicopters, engines (A0010 / 4.2%)</p>

Annex 8

Export licences by country groups and countries in 2015

EU countries

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position								
Austria	493	A0001	27,331,846													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Belgium							256	A0001	25,209,351					
										A0002						
										A0003						
										A0004						
										A0005						
										A0006						
A0007																
A0010																
A0011																
A0014																
A0015																
A0016																
A0017																
A0018																
A0021																
A0022																
Bulgaria	16	A0001	488,163													
		A0003														
		A0006														
		A0010														
		A0011														
		A0015														

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Bulgaria	16	A0016						
		A0017						
		A0018						
		A0022						
Croatia	8	A0001	35,259,011					
		A0003						
		A0006						
		A0007						
		A0015						
		A0017						
		A0018						
		A0018						
Cyprus ⁵⁴	1	A0010	3,150					
Czech Republic	118	A0001	22,551,356					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0010						
		A0011						
		A0013						
		A0015						
		A0016						
		A0017						
		A0018						
		A0022						
Denmark	105	A0001	21,857,540					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
		A0016						
		A0017						
		A0018						
A0021								
A0022								
Denmark (Greenland)	3	A0001	27,613					
		A0003						

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

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position								
Estonia	18	A0001	3,358,835													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0011														
		A0015														
		A0016														
		A0017														
		A0018														
		Finland							91	A0001	30,528,696					
										A0002						
										A0003						
										A0004						
										A0005						
										A0006						
										A0010						
A0011																
A0015																
A0016																
A0017																
A0018																
A0021																
A0022																
France	667		A0001	157,456,865												
			A0002													
			A0003													
			A0004													
			A0005													
			A0006													
			A0007													
			A0009													
		A0010														
		A0011														
		A0013														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0019														
		A0021														
		A0022														

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position							
France (New Caledonia)	21	A0001	89,868			A0001									
		A0003													
		A0016													
		A0022													
Greece	87	A0001	55,383,343			A0001									
		A0002													
		A0003													
		A0004													
		A0005													
		A0006													
		A0009													
		A0010													
		A0011													
		A0015													
		A0016													
		A0017													
		A0018													
		A0021													
		A0022													
Hungary	69	A0001	9,101,019			A0001									
		A0002													
		A0003													
		A0005													
		A0006													
		A0009													
		A0011													
		A0014													
		A0016													
		A0017													
		A0018													
		A0021													
		A0022													
		Ireland				19			A0001	1,028,274			A0001		
									A0002						
A0006															
A0011															
A0017															
A0022															
Italy	461	A0001	71,245,630			A0001									
		A0002													
		A0003													
		A0004													
		A0005													
		A0006													
		A0007													
		A0009													

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Italy	461	A0010 A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022						
Latvia	12	A0001 A0002 A0006 A0010 A0013 A0015 A0018	90,727					
Lithuania	17	A0003 A0005 A0006 A0011 A0016 A0018 A0022	5,977,087					
Luxembourg	95	A0001 A0002 A0003 A0004 A0005 A0006 A0010 A0011 A0015 A0017 A0018 A0022	20,771,196					
Malta	2	A0001 A0002	38,430					

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position								
The Netherlands	791	A0001	88,415,574													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0009														
		A0010														
		A0011														
		A0013														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		The Netherlands (Curacao)							1	A0001 A0018	7,720			A0001	689	2 / Criterion 7 / A0001, Firearms Regulation
		Poland							243	A0001	44,009,734					
A0002																
A0003																
A0004																
A0005																
A0006																
A0009																
A0010																
A0011																
A0013																
A0014																
A0015																
A0016																
A0017																
A0018																
A0021																
A0022																
Portugal	48		A0001	4,730,154												
			A0002													
			A0006													
			A0007													
			A0009													
		A0010														
		A0011														
		A0016														
		A0018														
		A0021														

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Romania	42	A0001	2,528,376					
		A0003						
		A0005						
		A0006						
		A0011						
		A0015						
		A0017						
		A0018						
		A0022						
Slovakia	33	A0001	2,050,220					
		A0003						
		A0006						
		A0007						
		A0010						
		A0011						
		A0015						
		A0017						
		A0018						
		A0021						
A0022								
Slovenia	17	A0002	111,089					
		A0003						
		A0004						
		A0006						
		A0007						
		A0010						
		A0014						
		A0015						
		A0017						
		A0018						
A0022								
Spain	387	A0001	63,939,236					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
		A0014						
A0015								
A0016								
A0017								
A0018								
A0021								
A0022								

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position								
Sweden	284	A0001	144,912,064													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		United Kingdom							766		1,635,649,275					
		United Kingdom (Falkland Islands)							3	A0001	339,250					
										A0002						
										A0003						
										A0004						
A0005																
A0006																
A0007																
A0008																
A0009																
A0010																
A0011																
A0014																
A0015																
A0016																
A0017																
A0018																
A0021																
A0022																
United Kingdom (Gibraltar)	2			1,100												
Total	5,176			2,474,491,792		1		689								

NATO and NATO-equivalent countries

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position								
Albania	16	A0001	16,732,459													
		A0002														
		A0003														
		A0006														
		A0010														
		A0018														
Australia	424	A0001	58,972,243													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0008														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0019														
		A0021														
		A0022														
		Canada							642	A0001	76,916,322					
										A0002						
										A0003						
A0004																
A0005																
A0006																
A0009																
A0010																
A0011																
A0014																
A0015																
A0016																
A0017																
A0018																
Iceland	4	A0003	689,050													
		A0011														
		A0016														

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Japan	163	A0001	11,310,391					
		A0002						
		A0003						
		A0005						
		A0006						
		A0008						
		A0009						
		A0010						
		A0011						
		A0014						
		A0015						
		A0017						
		A0018						
		A0021						
A0022								
Liechtenstein	5	A0003	9,059					
		A0010						
		A0016						
		A0018						
New Zealand	129	A0001	11,911,072					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
		A0014						
		A0016						
		A0017						
		A0018						
		Norway						
A0002								
A0003								
A0004								
A0005								
A0006								
A0007								
A0008								
A0009								
A0010								
A0011								
A0014								
A0015								
A0016								

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Norway		A0017 A0018 A0021 A0022						
Switzerland	826	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	70,449,042					
Turkey	270	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	38,965,369					
United States	1.644	A0001 A0002 A0003 A0004 A0005	420,041,006					

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
United States		A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022						
Individual licences NATO or NATO-equivalent countries, total	4,416		763,298,273		0			

Third countries

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Afghanistan	10	A0001 A0005 A0006 A0011 A0013 A0021	5,590,949	Communications equipment and parts for communications equipment (A0011 / 71.7%); laser range finders, testing equipment and parts for laser range finders (A0005 / 15.5%)				
Algeria	29	A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0014 A0015 A0017	411,408,582	Trucks and parts for trucks (A0006 / 87.8%)				1/Criterion 2/A0016

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Algeria		A0018 A0021 A0022						
Andorra	37	A0001 A0003 A0018	278,078	Submachine guns, hunting rifles, gun mounts, magazines, flash suppressors and parts for hunting rifles, sporting rifles (A0001 / 55.5%); ammunition for hunting weapons, sporting weapons, revolvers, pistols, smooth bore weapons and ammunition parts for hunting weapons and sporting weapons (A0003 / 44.3%)				
Angola	1	A0001	5,307	Hunting rifles and parts for hunting rifles (A0001 / 100%)				
Argentinien	28	A0001 A0003 A0005 A0006 A0008 A0010 A0011 A0013 A0022	2,299,532	Ground surveillance radar systems and parts for ground surveillance radar systems (A0005 / 72.3%); Concept study for destroyer propulsion (A0022 / 6.6%); parts for positioning equipment (A0011 / 6.6%)				
Armenia					1	A0001	54,243	1/Criterion 1/A0001
Azerbaijan					1	A0005	248,512	4/Criterion 1/A0004, A0005, A0009, A0011
Bahrain	6	A0001 A0003 A0006 A0009 A0013	1,012,343	Mine-clearance equipment and parts for mine-clearance equipment (A0006 / 93.8%)				1/Criterion 2/A0002
Bangladesch	9	A0003 A0006 A0007 A0008 A0010 A0011	1,411,277	Armoured cross-country vehicles and parts for ballistic protection (A0006 / 94.8%)				1/Criterion 2, 3, 7/ Firearms Regulation
Belarus	1	A0006	178,000	Armoured cross-country vehicles (A0006 / 100%)				
Belize								1/Criterion 3, 7/ Firearms Regulation

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Bhutan	1	A0001	985	Pistols (A0001 / 100%)				1/Criterion 3, 7/ Firearms Regulation
Bolivia								
Bosnia and Herzegovina	7	A0001 A0003 A0006 A0010	249,587	Parts for mine-clearance equipment (A0006 / 60.1%); hunting rifles, self-loading smooth bore hunting weapons and parts for hunting rifles (A0001 / 15.2%); ammunition for hunting weapons, sporting weapons and smooth bore weapons (A0003 / 12.8%)	4	A0001 A0003	24,141	4/Criterion 7/A0001, A0003
Botswana	12	A0001 A0004 A0006 A0010 A0011 A0022	13,861,762	Trucks and parts for trucks (A0006 / 59.4%); missile launchers and parts for missiles (A0004 / 39.3%)				
Brazil	148	A0001 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	60,981,886	Torpedoes, pyrotechnic simulators and parts for torpedoes, anti-missile systems for transport aircraft (A0004 / 65.4%); parts for tanks, armoured vehicles and trucks (A0006 / 14.8%)				2/Criterion 7/A0018, Firearms Regulation
Brunei Darussalam	17	A0002 A0003 A0006 A0009 A0011 A0021	8,413,439	Anti-tank weapons and parts for recoilless naval guns (A0002 / 80.9%)				
Cabo Verde	1	A0003	50	Ammunition for smooth bore weapons (A0003 / 100%)				

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Cambodia	1	A0006	288,000	Armoured cross-country vehicles (A0006 / 100%)				
Central African Republic	6	A0001 A0003 A0004 A0006	1,080,260	Armoured cross-country vehicles (A0006 / 49.3%); rifles with war weapons list number [UN mission], submachine guns [UN mission] and magazines [UN mission] (A0001 / 28.1%); ammunition for rifles [UN mission], revolvers [UN mission], pistols [UN mission], and smooth bore weapons (A0003 / 21.2%)				
Chile	81	A0001 A0003 A0005 A0006 A0009 A0010 A0011 A0015 A0017 A0018	22,854,587	Parts for tanks, armoured self-propelled howitzers, armoured vehicles and armoured carriers (A0006 / 48.5%); echo sounding facility and parts for submarines, frigates, patrol boats, underwater detection equipment (A0009 / 43.0%)	1	A0001	5,980	2/Criterion 7/A0001, Firearms Regulation
China	22	A0006 A0007 A0008 A0021	58,877,733	Detection equipment and parts for detection equipment (A0007 / 72.2%); airbag fuel, pyrotechnic mixture, aluminium powder, laboratory chemicals and reference material (A0008 / 18.4%)	3	A0001 A0018 A0022	699,510	4/Criterion 1, 3/A0001, A0018, A0022
China (Hongkong)	4	A0001 A0003 A0017 A0022	13,942	Parts for diving equipment (A0017 / 74.6%); ammunition for smooth bore weapons (A0001 / 11.0%)	3	A0001 A0003 A0010	358,403	3/Criterion 2, 7/A0001, A0003
Colombia	18	A0004 A0006 A0009 A0010 A0011 A0013 A0014 A0015 A0017 A0021 A0022	88,515,236	Submarines ⁵⁵ , patrol boat (material package) and parts for submarines, echo sounding equipment (A0009 / 97.8%)				

⁵⁵ Licence was already recorded in 2013 statistics. Due to a modification of the application, the licence was re-issued in 2015.

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Congo					3	A0002 A0003	139,545	4/Criterion/2, 3/ A0002, A0003
Congo, Dem. Republic	1	A0003	39,970	Ammunition for revolvers [UN mission], pistols [UN mission], and smooth bore weapons [UN mission] (A0003 / 100%)	2	A0006	13,900	2/Criterion 1/A0006
Cyprus (northern part of the island) ³⁶								3/Criterion 4, 7/ A0005, Firearms Regulation
Djibouti	1	A0015	4,960	Night vision equipment (A0015 / 100%)				
Ecuador	7	A0005 A0009 A0010 A0017	1,002,585	Containers (A0007 / 58.7%); parts for submarines and frigates (A0009 / 27.5%)				
Egypt	33	A0004 A0006 A0007 A0008 A0009 A0010 A0011 A0015 A0021 A0022	18,715,126	Parts for torpedoes and anti-missile systems for transport aircraft (A0004 / 57.6%); communications equipment, navigation equipment and parts for communications equipment, positioning equipment (A0011 / 17.0%); simulation software and software for communications equipment (A0021 / 10.2%)	1	A0018	62,489	2/Criterion 2/A0001, A0005, A0018
El Salvador					1	A0016	7,083	1/Criterion 3/A0016
Equatorial Guinea	1	A0006	1,515,720	Armoured cross-country vehicles (A0006 / 100%)				
Ethiopia	2	A0006 A0017	74,400	Trucks, field kitchen trailers and parts for trucks (A0006 / 98.0%)				
Gabon	2	A0006	2,130,753	Parts for armoured vehicles (A0006 / 100%)				
Georgia	5	A0001 A0003 A0007 A0017	406,667	Decontamination equipment (A0007 / 87.6%)	3	A0001	1,045,412	3/Criterion 3, 4, 7/ A0001, Firearms Regulation
Ghana	2	A0010	45,030	Parts for transport aircraft (A0010/100%)				
Guatemala	1	A0006	213,896	Armoured cross-country vehicles [EU mission] (A0006 / 100%)				

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

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Honduras	1	A0005	133,000	Parts for target acquisition systems (A0005 / 100%)				
India	356	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0016 A0017 A0018 A0021 A0022	153,645,088	Underwater detection equipment, ship body conduits and parts for submarines, aircraft carriers, frigates, combat vessels, transport vessels, vessels, underwater detection equipment (A0009 / 35.4%); ammunition for hunting weapons, sporting weapons, revolvers, pistols, smooth bore weapons and parts for howitzer ammunition (A0003 / 32.1%); target range-finders, testing equipment and parts for fire control equipment, on-board weapons-control systems, target classification systems, target surveillance systems, testing equipment (A0005 / 12.8%)	2	A0001 A0018 A0022	121,286	2/Criterion 2, 3, 7/ A0001
Indonesia	93	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0009 A0010 A0011 A0014 A0017 A0018 A0021 A0022	36,496,145	Firing mechanisms, maintenance equipment, anti-missile systems for aircraft and parts for torpedoes (A0004 / 34.8%); echo sounding facilities, ship body conduits and parts for submarines, underwater detection equipment (A0009 / 26.8%); communications equipment, electricity supplies and parts for communications equipment, positioning equipment, guidance equipment, electricity supplies, controller equipment for electricity supplies (A0011 / 11.6%); parts for tanks, armoured vehicles and cross-country vehicles (A0006 / 9.2%)	1	A0005	112,000	2/Criterion 2/A0001, A0005
Iraq	18	A0001 A0002 A0003 A0004 A0006 A0007 A0010	40,877,931 ⁵⁷	Missiles, hand grenades, firing mechanisms and parts for missiles (A0004 / 39.2%); helicopters and parts for combat aircraft helicopters, helicopters (A0010 / 33.8%); ammunition for anti-tank weapons, machine guns and rifles (A0003 / 12.3%)				

⁵⁷ This includes licences for material aid to the Kurdish regional government and for UN missions and programmes

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Iraq	18	A0011	507,240,809	Submarine, ship body conduits and parts for submarines, supply vessels, underwater detection equipment (A0009 / 69.9%); torpedoes, pyrotechnic ammunition and parts for torpedoes, missiles, anti-missile systems, explosive ordnance disposal, anti-missile systems for aircraft (A0004 / 12.5%)				
		A0013						
		A0014						
		A0017						
		A0021						
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0013						
		A0014						
		A0015						
A0016								
A0017								
A0018								
A0021								
A0022								
Jordan	21	A0001	7,252,338	Anti-tank weapons (A0002 / 43.7%); parts for armoured vehicles and ballistic protection (A0006 / 36.1%)				
		A0002						
		A0003						
		A0006						
		A0007						
		A0014						
		A0022						
		A0001						
		A0002						
		A0003						
A0006								
A0007								
A0010								
A0011								
A0013								
A0021								
Kazakhstan	62	A0001	33,105,459	Reconnaissance systems, radio jamming systems and parts for radio jamming systems (A0011 / 81.3%)				
		A0003						
		A0005						
		A0006						
		A0007						
		A0008						
		A0010						
		A0011						
		A0013						
		A0021						

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Kenya	7	A0001	1,268,647	Smoke grenades [UN mission], missile-defence systems for helicopters [UN mission] and parts for missile-defence systems for helicopters [UN mission] (A0004 / 73.4%);				
		A0003 A0004 A0015						
Korea, Republic	384			night vision equipment [UN mission] (A0015 / 11.8%)				
		A0001	515,915,442	Missiles and parts for rockets, missiles, anti-missile systems for aircraft (A0004 / 55.3%); armoured vehicle and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks, ground vehicles (A0006 / 14.6%); electronic equipment, communications equipment, measuring equipment, testing equipment, navigation equipment, radio frequency subsystem for radar satellite and parts for electronic equipment, communications equipment, communications intelligence, assemblies, positioning equipment, navigation equipment, radar satellite (A0011 / 11.9%)				
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0013						
		A0015						
		A0016						
		A0017						
		A0018						
A0021								
A0022								
Kosovo	2	A0001	100,030	Parts for rifles with war weapons list number (A0001 / 100%)	2	A0001 A0003	22,012	3/Criterion 4, 7/ A0001, A0003
Kuwait	23	A0001	124,698,818	Armoured reconnaissance vehicles and parts for armoured vehicles (A0006 / 76.7%); technology for operation of recoilless naval guns and technical documents for armoured reconnaissance vehicles (A0022 / 9.8%)	2	A0003	584,000	2/Criterion 2/A0003
		A0002						
		A0003						
		A0006						
		A0007						
		A0010						
		A0011						
A0013								
A0014								
A0018								
A0022								
Kyrgyzstan	10	A0001	115,674	Hunting rifles, self-loading smooth bore hunting weapons, flash suppressors and parts for hunting rifles (A0001 / 47.0%); bomb protection suits (A0013 / 27.6%); ammunition for hunting and sporting weapons (A0003 / 25.4%)				
		A0003						
		A0013						

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Laos	1	A0001	14,310	Pistols (A0001 / 100%)				
Lebanon	16	A0001 A0003 A0006 A0007 A0015	1,294,876	Armoured cross-country vehicles and parts for armoured vehicles, ballistic protection (A0006 / 60.2%); image intensifier tubes (A0015 / 29.7%)				
Liberia	1	A0003	14,000	Ammunition for revolvers [UN mission] and pistols [UN mission] (A0003 / 100%)				
Libya	1	A0001 A0018	133,399	Rifles with war weapons list number [UN mission], submachine guns [UN mission], magazines [UN mission], weapon sights [UN mission] and parts for submachine guns [UN mission] (A0001 / 98.9%)				1/Criterion 3/A0010
Macedonia, Former Yugoslav Republic	9	A0001 A0008 A0017	145,074	Hunting rifles, sporting rifles, magazines, telescopic sights and parts for hunting rifles, sporting rifles (A0001 / 85.3%)	2	A0001	23,889	2/Criterion 7/A0001
Malaysia	58	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0014 A0017 A0018 A0021 A0022	8,090,506	Fire control systems, gun laying equipment and parts for fire control systems, gun laying equipment (A0005 / 32.7%); electronic equipment, communications equipment, measuring equipment, testing equipment and parts for electronic equipment, communications equipment, navigation equipment (A0011 / 16.9%); parts for armoured vehicles (A0006 / 14.2%); ammunition for smooth bore weapons and parts for mortar ammunition, smoke containers (A0003 / 12.6%); parts for submarines, frigates, corvettes, mine-sweepers, research vessel and underwater detection equipment (A0009 / 10.4%)	6	A0001 A0003	112,393	6/Criterion 2, 3, 7/A0001, A0003
Maldives								1/Criterion 2, 3/A0010
Mali	9	A0001 A0003 A0005 A0006 A0007 A0013	3,223,270	Trucks [UN mission] and parts for trucks [UN mission], mine-clearing equipment [UN mission] (A0006 / 52.3%); multifunction radar [UN mission] and parts for multifunction radar [UN mission] (A0005 / 42.8%)				

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Mauritius	19	A0001 A0005	135,498	Revolvers, hunting rifles and parts for hunting rifles (A0001 / 98.0%)				
Mexico	22	A0001 A0006 A0007 A0009 A0010 A0011 A0018 A0019 A0021 A0022	8,785,169	High-power electromagnetic carstopper and parts for high-power electromagnetic carstopper (A0019 / 47.0%); armoured cross-country vehicles and parts for ballistic protection (A0006 / 25.4%); pilot helmets, parachutes and parts for transport aircraft (A0010 / 25.1%)	3	A0001 A0016 A0018	597,357	4/Criterion 2, 3, 7/ A0001, A0016, A0018, Firearms Regulation
Moldova	10	A0001 A0007 A0021	398,362	Hunting rifles, sporting rifles, magazines, flash suppressors and parts for hunting rifles (A0001 / 57.5%); detection equipment and parts for detection equipment (A0007 / 39.0%)	2	A0001 A0003	87,850	2/Criterion 3, 7/ A0001, A0003, Fire- arms Regulation
Mongolia	10	A0001 A0006	98,189	Pistols, hunting rifles, magazines and parts for pistols, hunting rifles (A0001 / 74.5%); trucks (A0006 / 25.5%)				
Montenegro	2	A0001 A0003	9,143	Ammunition for rifles, hunting weapons and sporting weapons (A0003 / 56.2%); telescopic sights (A0001 / 43.8%)				
Morocco	11	A0001 A0003 A0005 A0008 A0010 A0011 A0013 A0022	3,555,940	Ground surveillance radar and parts for ground surveillance radar (A0005 / 68.1%); decoy cartridges (A0003 / 18.2%)				
Mozambique	1	A0006	100,000	Parts for mine-clearance equipment [aid organisation] (A0006 / 100%)				

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Namibia	44	A0001	418,014	Pistols, hunting rifles, sporting rifles, smooth bore self-loading hunting weapons, magazines, flash suppressors, telescopic sights and parts for hunting rifles (A0001 / 49.7%); ammunition for hunting weapons, sporting weapons, revolvers, pistols, smooth bore weapons and ammunition parts for hunting weapons, sporting weapons, revolvers, pistols (A0003 / 45.3%)	2	A0001	400	2/Criterion 7/A0001
		A0003 A0016						
Niger	1	A0006	212,212	Armoured cross-country vehicles [EU mission] (A0006 / 100%)				
Nigeria	8	A0006	1,304,795	Armoured cross-country vehicles and parts for cross-country vehicles, ballistic protection (A0006 / 98.8%)	1	A0001	8,046	1/Criterion 7/A0001, Firearms Regulation
		A0010 A0013						
Oman	173	A0001	95,894,240	Fire control systems for air defence systems and parts for fire control systems (A0005 / 24.7%); trucks and parts for armoured vehicles, trucks (A0006 / 22.5%); communications equipment, data processing equipment and parts for communications equipment, navigation equipment, electricity supplies (A0011 / 12.3%); decontamination equipment, decontaminants, detection equipment and parts for decontamination equipment, detection equipment (A0007 / 11.8%); automatic cannon and parts for automatic cannon (A0002 / 8.9%)				
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0010						
		A0011						
		A0013						
		A0014						
		A0017						
		A0021 A0022						
Pakistan	31	A0003	35,977,707	Trucks, armoured cross-country vehicles [embassy] and parts for armoured vehicles, trucks, ballistic protection [UN mission] (A0006 / 51.5%); air reconnaissance systems and engines for helicopters (A0010 / 33.5%)	1	A0015	276,453	4/Criterion 4, 7/A0004, A0015, A0016, A0018
		A0004						
		A0006						
		A0009						
		A0010						
		A0011						
		A0014						
		A0017						
		A0021						
		A0022						

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Panama	2	A0005	16,326	Laser range finders (A005 / 78.2%); parts for tugs (A0009 / 21.8%)				1/Criterion national policy/A0001
		A0009						
Paraguay	1	A0006	948,550	Truck, crane and parts for trucks (A0006 / 100%)				
Peru	19	A0001	1,016,012	Software for satellite receiver station (A0021 / 43.6%); target location systems and parts for target location systems (A0005 / 20.2%); parts for submarines (A0009 / 14.1%); parts for transport aircraft (A0010 / 10.8%)				
		A0005						
		A0006						
		A0009						
		A0010						
		A0017						
		A0021						
A0022								
Philippines	6	A0006	1,715,793	Parts for combat aircraft and transport aircraft (A0010 / 91.9%)	1	A0001	97,317	5/Criterion 2, 3, 7/A0001, A0005, A0014, Firearms Regulation
		A0007						
		A0010						
Qatar	38	A0001	1,662,776,604	Main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks, cross-country vehicle, trailers, antenna masts, armoured cross-country vehicles and parts for armoured vehicles (A0006 / 83.9%)				
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0010						
		A0011						
		A0013						
		A0014						
		A0015						
		A0017						
		A0018						
A0021								
A0022								
Russia	93	A0001	119,040,927	Ice-breaking rescue and multipurpose vessels (A0009 / 94.5%)	16	A0001 A0003 A0006 A0007 A0008 A0009 A0011 A0017	1,606,018	21/Criterion 1, 3, 4, 7/A0001, A0003, A0006, A0008, A0009, A0010, A0011, A0014, A0015, A0017, A0018, A0022, Firearms Regulation
		A0003						
		A0006						
		A0007						
		A0008						
		A0009						

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position								
Saudi Arabia	128	A0001	270,040,534	Chassis for unarmed transporters (via France), trucks, armoured cross-country vehicles and parts for tanks, armoured vehicles, trucks, cross-country vehicles, ballistic protection (A0006 / 49.6%); target simulation drones, launcher equipment, ground equipment, control equipment for target simulation drones, oxygen supply containers and parts for combat aircraft, transport aircraft, target simulation drones, in-flight refuelling equipment, ground equipment (A0010 / 21.1%); ammunition for revolvers, pistols, smooth bore weapons and parts for ammunition for guns, howitzers, cannon, mortars (A0003 / 8.8%); firing equipment and parts for missiles, firing equipment (A0004 / 7.0%)	1	A0018	3,183	1/ Criterion 3, 4/ A0018								
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0008														
		A0009														
		A0010														
		A0011														
		A0013														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Serbia							30	A0001	591,191	Hunting rifles, sporting rifles, gun mounts, magazines and parts for hunting rifles, sporting rifles (A0001 / 51.2%); diving apparatus, jackets and parts for diving equipment (A0017 / 24.1%); ammunition for hunting weapons, sporting weapons and smooth bore weapons (A0003 / 23.4%)	2	A0001 A0016	33,347	5 / Criterion 4, 7 / A0001, A0010, A0016, A0017
										A0003						
										A0007						
										A0015						
A0017																
A0021																
Singapore	143		A0001	95,870,126	Armoured engineering vehicles and parts for main battle tanks, armoured vehicles, amphibious vehicles, trucks, cross-country vehicles, mine-clearing equipment, ground vehicles (A0006 / 83.8%)											
			A0002													
			A0003													
			A0004													
			A0005													
		A0006														
		A0007														
		A0008														
		A0009														
		A0010														
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		A0013														
A0014																
A0015																
A0017																
A0018																
A0021																
A0022																

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position								
Somalia	14	A0004	2,881,232	Armoured cross-country vehicles [EU mission and UN mission]												
		A0006 A0013							and parts for ballistic protection [EU mission] (A0006 / 95.9%)							
South Africa	201	A0001	19,539,308	Rifle barrels, barrel blanks and interior cladding for aircraft (A0016 / 19.0%); target range-finders, testing equipment, calibration equipment and parts for fire control systems, target locators (A0005 / 17.3%); ammunition for hunting weapons, sporting weapons, smoke dischargers, pyrotechnic launchers, grenade launchers, automatic grenade launchers and ammunition parts for howitzers, cannon, mortars, hunting weapons, sporting weapons, revolvers, pistols (A0003 / 14.3%); software for manufacturing ammunition parts, manufacturing software, combat management system software, software for submarine periscope and image analysis software (A0021 / 13.4%); night vision equipment, thermal imaging devices and parts for thermal imaging devices (A0015 / 10.9%); rifles without war weapons list number, hunting rifles, sporting rifles, sporting pistols, gun mounts, magazines, flash suppressors, telescopic sights and parts for pistols, hunting rifles, sporting revolvers (A0001 / 7.6%)	7	A0001	166,204	7/Criterion 3, 7/A0001, Firearms Regulation								
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0008														
		A0009														
		A0010														
		A0011														
		A0013														
		A0015														
		A0016														
		A0018														
		A0021														
		A0022														
		South Sudan							7	A0003	2,161,406	Mine-clearance equipment [UN mission], armoured cross-country vehicles [EU mission] and parts for mine-clearance equipment [UN mission] (A0006 / 99.1%)				
										A0006						
										A0013						

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Sri Lanka	2	A0010	23,945	Engine for reconnaissance drone and parts for helicopters (A0010 / 100%)	1	A0001	399	1/Criterion 3/A0001
Syria	3	A0006	484,754	Armoured cross-country vehicles [UN mission] and parts for ballistic protection [UN mission] (A0006 / 100%)				
Tanzania	6	A0001 A0006	66,992	Trucks (A0006 / 60.2%); hunting rifles (A0001 / 39.8%)	1	A0001	1,392	1/Criterion 7/A0001
Thailand	43	A0003 A0005 A0006 A0009 A0011 A0015 A0017 A0021 A0022	26,890,618	Fire control systems, ground surveillance radar, testing equipment and parts for fire control systems, ground surveillance radar (A0005 / 48.1%); electronic equipment, communications equipment, measuring equipment, testing equipment, navigation equipment, electricity supplies and parts for electronic equipment, communications equipment, positioning equipment, navigation equipment (A0011 / 39.0%)	13	A0001 A0004 A0005 A0006 A0010 A0011 A0013 A0018 A0021 A0022	354,070	39/Criterion 3, 4, 7/ A0001, A0003, A0004, A0005, A0006, A0010, A0011, A0013, A0014, A0015, A0017, A0018, A0021, A0022, Firearms Regulation
Togo	1	A0006	6,000	Trucks (A0006/100%)				
Tunisia	8	A0005 A0006 A0010 A0013	2,111,698	Parts for helicopters (A0010 / 52.1%); parts for armoured vehicles and trucks (A0006 / 17.0%); safety insulating glass and bomb protection suits (A0013 / 15.7%)				
Turkmenistan	8	A0004 A0006 A0011 A0018 A0021	10,627,936	Communications equipment, measuring equipment, testing equipment and parts for communications equipment (A0011 / 51.0%); semi-trailers (A0006 / 42.3%)				
Uganda	8	A0001 A0005 A0006	628,004	Armoured personnel carriers and trucks (A0006 / 55.2%); parts for fire control systems and target acquisition systems (A0005 / 39.6%)	1	A0006	26,500	1/Criterion 7/A0006
Ukraine	4	A0006 A0009 A0013 A0015	5,815,838	Power generator for a corvette (A0009 / 79.9%); multisensor platform for maritime surveillance (A0015 / 16.3%)	4	A0001 A0011 A0013 A0021	435,776	6/Criterion 3, 4, 7/ A0001, A0011, A0013, A0018, A0021

Country	No. of licences	EL position	Total value in €	Goods / as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Zambia	15	A0001 A0003	75,509	Hunting rifles, self-loading smooth bore hunting weapons, magazines, flash suppressors and parts for hunting rifles, magazines (A0001 / 97.1%)				
Taiwan	28	A0001 A0004 A0005 A0006 A0008 A0009 A0011 A0018 A0022	4,430,596	Parts for submarines, minesweepers, mine warfare ship and combat vessels (A0009 / 45.6%); parts for communications equipment and positioning equipment (A0011 / 31.5%); batteries for minehunting drone and parts for amphibious vehicles (A0006 / 13.9%)	1	A0001	1,354	6/Criterion 4, 7/ A0001, A0003, A0009, A0015, A0021, A0022
Western Sahara	1	A0005	3,935	Laser range finders [UN mission] (A0005 / 100%)				
Total – Third countries	3,095		4,620,976,795		99		7,422,425	
Total EU, NATO and NATO-equivalent countries and third countries	12,687		7,858,766,860		100		7,423,114	

The above cited denials contain, apart from denied licence applications, also denied temporary exports and denied advance inquiries about licensing intentions for a concrete export project. They may be recognised from discrepancies between the “No. of Denials/Reasons/EL position” column and the “Denials/Final Exports” column.

Annex 8a

Retrospective changes to the data used in the 2014 Report (comparison as of January 2015) with complementary licence reports

Country	Number in 2014 Report	Value in 2014	Altered licences / reports	Change in number	Change in value	Reason for change
Australia	364	23,125,867	1	+1	+€57,762	Changed country of destination from United Kingdom to Australia
Canada	629	90,733,270	1		+€752	Change in exchange rate
Chile	74	12,508,843	1		+€2,500	Change in exchange rate
France	612	84,787,928	1		+€2,250	Price increase
Indonesia	119	108,445,862	8	-8	-254,340	Data already reported in 2012 Report
Italy	457	101,158,712	1		+€1,947,000	Price increase
Malaysia	77	37,415,874	1		+€1,060	Corrected value from applicant
Qatar	22	15,439,245	1		+€200	Change in exchange rate
Russia	94	4,174,386	1		-€120	Product subsequently cancelled
Saudi Arabia	174	208,966,567	1		+700 €	Price increase
Switzerland	880	75,148,404	4		+€12,843	Increase in value due to depreciation problems; changes in exchange rate
Turkey	336	72,445,432	1		-€8,240	Change in value due to change in volume of shipment
Turkmenistan	6	4,273,526	1		+€30,169	Price increase due to change to contract
United Arab Emirates	139	121,219,530	1	-1	-€15,641,519	Retrospective change of type of export from final to follow-up application; value already included in original application
United Kingdom	741	217,167,600	(1) cf Australia	-1	-€57,762	Changed country of destination from United Kingdom to Australia
United States	1,405	415,431,945	1		+€213,144	Change in exchange rate
In total			25		-€13,693,601	

Annex 9

Collective export licences in 2015

In 2015, a total of 119 new collective export licences were authorised for military equipment (final exports) with a total value of €4,960,165,881.

Number of collective licences	EL positions	Total value in €
119	A0002 A0004 A0005 A0006 A0009 A0010 A0011 A0014 A0017 A0018 A0021 A0022	4,960,165,881

Countries of destination of the newly approved collective export licences (2015)

Collective licences generally cover more than one country of destination. The following overview shows how many collective export licences cite end-users from a certain country.

Country of destination	Number of collective licences
Australia	17
Austria	30
Belgium	44
Bulgaria	2
Canada	35
Chile	2
Croatia	5
Cyprus	1
Czech Republic	11
Denmark	19
Estonia	2
Germany ⁵⁸	1

Country of destination	Number of collective licences
Finland	17
France	76
Greece	23
Hungary	4
India	5
Indonesia	1
Ireland	7
Israel	4
Italy	74
Japan	6
Korea, Republic	1
Latvia	2
Lithuania	2
Luxembourg	21
Malaysia	14
Malta	2
The Netherlands	45
New Zealand	5
Norway	14
Oman	5
Poland	9
Portugal	14
Romania	10
Saudi Arabia	2
Slovakia	4
Slovenia	3
South Africa	11
Spain	65
Sweden	29
Switzerland	35
Turkey	28
United Kingdom	89
United States	60

Joint programmes for which collective export licences were approved in 2015	
Number of collective licences	4
Value of collective licences	€16,000,000
Main EL positions	A0004, A0021, A0022
Countries of final destination	Finland, Greece, Luxembourg, Netherlands, Switzerland, Turkey, United States
Joint programme	1070 – RAM – Rolling Airframe Missile – missile-based close-in weapon system
Number of collective licences	2
Value of collective licences	€100,000,000
Main EL positions	A0004, A0021, A0022
Countries of final destination	Belgium, Canada, France, Greece, Netherlands, Spain, Turkey, United Kingdom, United States
Joint programme	1090 - EUROFIGHTER/EF2000/EF200
Number of collective licences	14
Value of collective licences	€1,515,400,000
Main EL positions	A0002, A0004, A0010, A0021, A0022
Countries of final destination	Austria, Belgium, Canada, Denmark, France, Ireland, Italy, Netherlands, Spain, Sweden, Switzerland, United Kingdom, United States
Joint programme	1092 – Eurofighter for Arab states
Number of collective licences	8
Value of collective licences	€41,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Belgium, Denmark, France, Italy, Oman, Spain, United Kingdom, United States
Joint programme	1095 – EF Turbine EJ200 for Arab states
Number of collective licences	2
Value of collective licences	€40,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Italy, Oman, United Kingdom
Joint programme	1097 – Eurofighter RSAF
Number of collective licences	2
Value of collective licences	25,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Belgium, Canada, Italy, Spain, Switzerland, United Kingdom, United States
Joint programme	1120 – PAH-2/TIGER anti-tank helicopter
Number of collective licences	4
Value of collective licences	€37,500,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Australia, Belgium, Canada, France, Spain, Sweden, United Kingdom
Joint programme	1129 – PAH-2 MTR 390 engine
Number of collective licences	1
Value of collective licences	€0
Main EL positions	A0021, A0022
Countries of final destination	Australia, France, Spain, United Kingdom

Joint programmes for which collective export licences were approved in 2015	
Joint programme	1130 – NH 90 NATO helicopter
Number of collective licences	6
Value of collective licences	€76,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Australia, Austria, Belgium, Czech Republic, Finland, France, Greece, Italy, Netherlands, New Zealand, Norway, Oman, Portugal, Spain, Sweden, United Kingdom, United States
Joint programme	1170 – Transall – transport aircraft
Number of collective licences	2
Value of collective licences	€5,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	France, Turkey, United Kingdom
Joint programme	1390 – ESSM – Evolved Sea Sparrow Missile – ship-based air-defence missile
Number of collective licences	2
Value of collective licences	€50,000,000
Main EL positions	A0004, A0021, A0022
Countries of final destination	Australia, Denmark, Greece, Netherlands, Spain, United States
Joint programme	1480 – Airbus A 400 M
Number of collective licences	12
Value of collective licences	€1,726,810,879
Main EL positions	A0010, A0021, A0022
Countries of final destination	Austria, Belgium, Canada, Chile, Czech Republic, Denmark, Finland, France, India, Italy, Japan, Luxembourg, Malaysia, Netherlands, Portugal, Romania, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, United States
Joint programme	1489 – Airbus A 400 M – turbine
Number of collective licences	3
Value of collective licences	€858,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Austria, Belgium, Canada, France, Italy, Malaysia, Netherlands, Poland, Romania, Spain, Sweden, Switzerland, Turkey, United Kingdom, United States
Joint programme	1619 – DOLPHIN (vessel) – submarine
Number of collective licences	4
Value of collective licences	€41,700,000
Main EL positions	A0009, A0021, A0022
Countries of final destination	Australia, Denmark, France, Israel, Switzerland, United Kingdom, United States
Joint programme	1680 – Anti-submarine weapon 90 UAW90
Number of collective licences	2
Value of collective licences	€3,000,000
Main EL positions	A0004, A0021, A0022
Countries of final destination	France, Italy, Switzerland

Joint programmes for which collective export licences were approved in 2015	
Joint programme	1900 – Armoured self-propelled howitzer 2000
Number of collective licences	2
Value of collective licences	€50,000,000
Main EL positions	A0006, A0021, A0022
Countries of final destination	Austria, Canada, Croatia, Denmark, Greece, Italy, Luxembourg, Netherlands, Slovakia, Spain, Switzerland, United Kingdom
Joint programme	1920 – Missile – METEOR Programme – air-to-air missile
Number of collective licences	2
Value of collective licences	€500,000
Main EL positions	A0004, A0021, A0022
Countries of final destination	France, Spain, United Kingdom
Joint programme	1950 – Fennek – Light armoured reconnaissance vehicle
Number of collective licences	2
Value of collective licences	€50,000,000
Main EL positions	A0006, A0021, A0022
Countries of final destination	Austria, Canada, France, Greece, Italy, Luxembourg, Netherlands, Norway, Sweden, Switzerland, Turkey, United States
Joint programme	1980 – Submarines Type 209 GR Model
Number of collective licences	2
Value of collective licences	€15,000,000
Main EL positions	A0009, A0021, A0022
Countries of final destination	Greece, Italy, South Africa, United Kingdom, United States
Joint programme	2000 - MEKO A-200 AN – multipurpose naval vessel
Number of collective licences	2
Value of collective licences	€10,000,000
Main EL positions	A0009, A0021, A0022
Countries of final destination	Australia, Canada, Croatia, Finland, France, Italy, Netherlands, Norway, South Africa, Spain, Sweden, United Kingdom, United States
Joint programme	2050 – PARS 3 – Fire and Forget anti-tank weapon
Number of collective licences	4
Value of collective licences	€3,250,000
Main EL positions	A0004, A0021, A0022
Countries of final destination	Austria, France, Netherlands, Switzerland, United Kingdom
Joint programme	2090 – AWACS incl. mid-term
Number of collective licences	2
Value of collective licences	€135,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Belgium, Canada, Denmark, Greece, Ireland, Italy, Luxembourg, Netherlands, Norway, Poland, Portugal, Spain, Turkey, United Kingdom, United States

Joint programmes for which collective export licences were approved in 2015	
Joint programme	2230 – EFCS – Multiple Launch Rocket System
Number of collective licences	2
Value of collective licences	€33,500,000
Main EL positions	A0005, A0006, A0021, A0022
Countries of final destination	France, Italy
Joint programme	2250 – P-3C Orion CUP – maritime reconnaissance aircraft
Number of collective licences	2
Value of collective licences	€60,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Australia, Austria, Belgium, Canada, France, Italy, Netherlands, Norway, Portugal, Spain, United Kingdom, United States
Joint programme	2260 – AGBADS – Army Ground Based Air Defence System
Number of collective licences	2
Value of collective licences	€5,000,000
Main EL positions	A0011, A0021, A0022
Countries of final destination	Canada, Netherlands
Joint programme	3010 – MRCA Tornado – combat aircraft
Number of collective licences	8
Value of collective licences	€32,300,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	France, Italy, Switzerland, United Kingdom, United States
Joint programme	3014 – MRCA – Tornado RSAF
Number of collective licences	2
Value of collective licences	€1,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Italy, Saudi Arabia, United Kingdom
Joint programme	3017 – MRCA – Tornado engine
Number of collective licences	1
Value of collective licences	€0
Main EL positions	A0021, A0022
Countries of final destination	Italy, United Kingdom
Joint programme	3019 – MRCA – Tornado RSAF
Number of collective licences	1
Value of collective licences	€0
Main EL positions	A0021, A0022
Countries of final destination	Italy, United Kingdom

Joint programmes for which collective export licences were approved in 2015	
Joint programme	3020 - MILAN – MIRA + ADT/ER – anti-tank system
Number of collective licences	2
Value of collective licences	€300,000
Main EL positions	A0004, A0021, A0022
Countries of final destination	France
Joint programme	3040 – HOT – anti-tank system
Number of collective licences	2
Value of collective licences	€1,500,000
Main EL positions	A0004, A0021, A0022
Countries of final destination	France, United Kingdom
Joint programme	3350 – Military training facilities for the Swiss army
Number of collective licences	2
Value of collective licences	€25,000,000
Main EL positions	A0014, A0021, A0022
Countries of final destination	Switzerland
Joint programme	3360 – ETAP European Technology Acquisition Programme
Number of collective licences	2
Value of collective licences	€0
Main EL positions	A0021, A0022
Countries of final destination	Belgium, France, Italy, Spain, Sweden, United Kingdom

Brokering transactions by country in 2015
Brokering licences by country in 2015 (Part IA – military articles; final exports)

Country of destination	Number	Total value in €	Description of articles	Value in €	EL position	Country of origin
Afghanistan	1	156,000	1 armoured cross-country vehicle [French Embassy]	156,000	A0006B	United Arab Emirates
Brazil	1	1,196	3 units software for communications equipment	1,196	A0021A	Switzerland
Haiti	1	304,535	27,500 units ammunition for grenade launchers and automatic grenade launchers [UN mission]	256,665	A0003A	United States
			2,200 units smoke grenades [UN mission]	47,870	A0004A	United States
Indonesia	2	68,226	4 parts for communications equipment	65,822	A0011A	Switzerland
			4 units software for communications equipment	2,404	A0021A	Switzerland
Kenya	1	159,000	1 armoured cross-country vehicle [French Embassy]	159,000	A0006B	United Arab Emirates
Korea, Republic	3	2,385,472	1 set parts for mine-clearance equipment	530,000	A0004B	Israel
			20,200 kg octogen (HMX)	1,844,272	A0008A	Norway
			3,400 parts for submarines	11,200	A0009A	United States
Lebanon	1	216,896	1 armoured cross-country vehicle [EU delegation]	216,896	A0006B	Canada
Thailand	1	840,000	7 systems ship weapons deployment and command and control systems	840,000	A0021B	South Africa
Turkmenistan	2	33,242	2 parts for communications equipment	33,242	A0011A	Switzerland
United States	1	38,000	100,000 units ammunition for revolvers and pistols [UN mission]	38,000	A0003A	Switzerland
Venezuela	1	213,896	1 armoured cross-country vehicle [EU delegation]	213,896	A0006B	Canada
Viet Nam	1	179,236	2 trench diggers	179,236	A0006A	Ukraine
Total	16	4,595,699		4,595,699		

Rejected licences for trading and brokering transactions (Part IA – military articles, final exports) in 2015

Country of destination	Number	Total value in €	Description of articles	Value in €	EL position	Country of origin

Annex 11

Reported exports of small arms and light weapons to the UN Register of Conventional Arms in 2015

1. Small arms

1.1 Revolvers and semi-automatic pistols

Final country of import	Quantity	Notes re transfer
Iraq	40	Equipment aid to Kurdish regional government

1.2 Rifles and carbines

Final country of import	Quantity	Notes re transfer
Bulgaria	26	

1.3 Submachine guns

Final country of import	Quantity	Notes re transfer
Andorra	2	
Austria	1,001	1,000 units for conversion to deactivated weapons
Belgium	164	
Brazil	31	
Bulgaria	12	
Canada	7	
Central African Republic	50	UN mission
Czech Republic	102	
Estonia	32	
Finland	56	
France	2,013	
India	239	
Indonesia	226	
Italy	550	
Jordan	2	
Kenya	5	UN mission
Latvia	10	
Lebanon	4	UN mission
Libya	10	UN mission
Malta	20	
The Netherlands	54	
Norway	93	
Poland	220	
Romania	35	

1.3 Submachine guns

Final country of import	Quantity	Notes re transfer
Spain	15	
Sweden	30	
Switzerland	40	
Uganda	9	UN mission
United Arab Emirates	3,000	
United Kingdom	10	
United States	3	
Uruguay	15	
Yemen	10	UN mission

1.4 Assault rifles

Final country of import	Quantity	Notes re transfer
Austria	57,062	Conversion to deactivated weapons
Canada	18	
Central African Republic	75	UN mission
Croatia	12	
Czech Republic	42	
Estonia	25	
Finland	5	
France	963	
Greece	1	
Iraq	4,105	of which 4,080 as equipment aid to Kurdish regional government
Ireland	31	
Italy	151	
Japan	43	
Jordan	526	
Kenya	30	UN mission
Lebanon	6	UN mission
Libya	20	UN mission
Luxembourg	8	
The Netherlands	183	
Norway	2	
Poland	145	

1.4 Assault rifles

Final country of import	Quantity	Notes re transfer
Romania	30	
Spain	168	
Sweden	46	
Turkey	775	
Uganda	5	UN mission
United Arab Emirates	30	
United Kingdom	402	
United States	583	
Uruguay	12	
Yemen	10	UN mission

1.5 Light machine guns

Final country of import	Quantity	Notes re transfer
Albania	192	
Croatia	3	
Estonia	2	
Iraq	10	Equipment aid to Kurdish regional government
Japan	2	
Qatar	196	
Spain	1	
Turkey	5	

2. Light weapons

2.1 Grenade launchers integrated into small arms or assembled individually

Final country of import	Quantity	Notes re transfer
Canada	640	
Czech Republic	22	
Estonia	2	
France	110	
Hungary	30	
Italy	14	

2.1 Grenade launchers integrated into small arms or assembled individually

Final country of import	Quantity	Notes re transfer
Japan	2	
Luxembourg	8	
Malta	4	
Norway	3	
South Africa	2	
Spain	10	
Switzerland	1	
Turkey	141	
United Kingdom	8	
United States	2,861	

2.2 Recoilless rifles

Final country of import	Quantity	Notes re transfer
Belgium	111	
Brunei Darussalam	2,000	
Jordan	600	
Luxembourg	10	

2.3 MANPADS

Final country of import	Quantity	Notes re transfer
Belgium	30	
Botswana	15	
Indonesia	12	
Iraq	243	Equipment aid to Kurdish regional government
Qatar	53	

Annex 12

Exports of war weapons in 2015 (commercial and German Ministry of Defence), broken down by country of destination and value⁵⁹

Country	Value in € 1,000	Country	Value in € 1,000
Afghanistan	12	Jordan	3,171
Albania	1,333	Kenya	47
Algeria	8,629	Republic of Korea	355,875
Australia	174	Lebanon	19
Austria	13,705	Lithuania	56
Belgium	768	Luxembourg	5,514
Brazil	9,356	Latvia	10
Brunei Darussalam	6,375	Malta	38
Bulgaria	138	The Netherlands	12,937
Canada	7,576	Norway	3,194
Central African Republic	286	Poland	50,451
Colombia	67,862	Qatar	291,164
Croatia	1,462	Romania	130
Czech Republic	206	Singapore	108,808
Denmark	1,000	South Africa	3,106
Estonia	125	Spain	26,304
Finland	8,186	Sweden	390
France	36,636	Switzerland	11,591
Greece	49,671	Thailand	578
Iceland	1	Turkey	26,478
India	580	Uganda	29
Indonesia	19,156	United Arab Emirates	2,056
Iraq	22,934 ⁶⁰	United Kingdom	23,828
Ireland	26	United States	20,242
Israel	350,769	Yemen	29
Italy	1,758	Total:	1,554,926
Japan	111		

59 Including exports to UN missions.

60 Chiefly for equipment aid to Kurdish regional government.

Annex 13

List of the OECD Development Assistance Committee on developing countries and areas

DAC List of ODA Recipients Effective for reporting on 2014, 2015 and 2016 flows

Least Developed Countries	Other Low Income Countries (per capita GNI < \$1.045 in 2013)	Lower Middle Income Countries and Territories (per capita GNI \$1.046 – \$4.125 in 2013)	Upper Middle Income Countries and Territories (per capita GNI \$4.126 – \$12.745 in 2013)
Afghanistan	Democratic People's Rep. of Korea	Armenia	Albania
Angola	Kenya	Bolivia	Algeria
Bangladesh	Tajikistan	Cabo Verde	Antigua and Barbuda ²
Benin	Zimbabwe	Cameroon	Argentina
Bhutan		Congo	Azerbaijan
Burkina Faso		Côte d'Ivoire	Belarus
Burundi		Egypt	Belize
Cambodia		El Salvador	Bosnia and Herzegovina
Central African Republic		Georgia	Botswana
Chad		Ghana	Brazil
Comoros		Guatemala	Chile ²
Democratic Republic of the Congo		Guyana	China (People's Republic of)
Djibouti		Honduras	Colombia
Equatorial Guinea ¹		India	Cook Islands
Eritrea		Indonesia	Costa Rica
Ethiopia		Kosovo	Cuba
Gambia		Kyrgyzstan	Dominica
Guinea		Micronesia	Dominican Republic
Guinea-Bissau		Moldova	Ecuador
Haiti		Mongolia	Fiji
Kiribati		Morocco	Former Yugoslav Republic of Macedonia
Lao People's Democratic Republic		Nicaragua	Gabon
Lesotho		Nigeria	Grenada
Liberia		Pakistan	Iran
Madagascar		Papua New Guinea	Iraq
Malawi		Paraguay	Jamaica
Mali		Philippines	Jordan
Mauritania		Samoa	Kazakhstan
Mozambique		Sri Lanka	Lebanon
Myanmar		Swaziland	Libya
Nepal		Syrian Arab Republic	Malaysia
Niger		Tokelau	Maldives
Rwanda		Ukraine	Marshall Islands
Sao Tome and Principe		Uzbekistan	Mauritius
Senegal		Vietnam	Mexico
Sierra Leone		West Bank and Gaza Strip	Montenegro
Solomon Islands			Montserrat

Least Developed Countries	Other Low Income Countries (per capita GNI < \$1.045 in 2013)	Lower Middle Income Countries and Territories (per capita GNI \$1.046 – \$4.125 in 2013)	Upper Middle Income Countries and Territories (per capita GNI \$4.126 – \$12.745 in 2013)
Somalia			Namibia
South Sudan			Nauru
Sudan			Niue
Tanzania			Palau
Timor-Leste			Panama
Togo			Peru
Tuvalu			Saint Helena
Uganda			Saint Lucia
Vanuatu ¹			Saint Vincent and the Grenadines
Yemen			Serbia
Zambia			Seychelles
			South Africa
			Suriname
			Thailand
			Tonga
			Tunisia
			Turkey
			Turkmenistan
			Uruguay ²
			Venezuela
			Wallis and Futuna

- (1) The United Nations General Assembly resolution 68/L.20 adopted on 4 December 2013 decided that Equatorial Guinea will graduate from the least developed country category three and a half years after the adoption of the resolution and that Vanuatu will graduate four years after the adoption of the resolution.
- (2) Antigua and Barbuda, Chile and Uruguay exceeded the high income country threshold in 2012 and 2013. In accordance with the DAC rules for revision of this List, all three will graduate from the List in 2017 if they remain high income countries until 2016.

