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Report
by the Government of the Federal Republic of Germany
on Its Policy on Exports of Conventional Military Equipment
in 2002
(2002 Military Equipment Export Report)

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Summary

With reference to Section V of the “Political Principles of the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment”¹ as amended on 19 January 2000, the German government is pleased to submit herewith its fourth Report on Military Equipment Exports covering the year 2002.²

¹ Cf. Annex I

² The Military Equipment Export Reports submitted thus far have been published as Bundestag offprints (cf. BT-Drucksache 14/4179 for the year 1999; BT-Drucksache 14/7657 for the year 2000; and BT-Drucksache 15/230 for the year 2001) and may be found on the Internet at:

During the reporting year, effective war weapon exports³ totaled €318.4 million and declined 13% from their 2001 level. Recipients were almost exclusively countries from the EU and NATO and countries with NATO-equivalent status (Australia, Japan, New Zealand, and Switzerland). The share of exports going to so-called third countries, i.e. countries outside the EU, NATO, or the group of countries with NATO-equivalent status, continues to be small (approximately 1%). Thus, in 2002, classic developing countries⁴ again played no role as recipients of German exports of war weapons.

Owing to differences in the systematic approaches taken by the EU's Common List of Exports and the Eurostat list of goods, there are presently no statistics on actual exports of military equipment such as are found on the internationally largely harmonized so-called Common List of Military Equipment and also include – in addition to war weapons – other diverse items of military equipment and articles including pistols and hunting and sporting weapons; statistics have been compiled only from the applications filed for export licenses. Experience shows that figures for the military equipment actually exported normally fall short of those compiled on the basis of the export licenses.

In year under report, the total value of individual export licenses issued for military equipment amounted to roughly €3.3 billion (2001: approximately €3.7 billion). Of this amount, 77% was accounted for by countries from the EU and NATO and countries with NATO-equivalent status, and 23% by third countries (2001: 63% and 37% respectively). This constitutes a significant decline in individual licenses for exports to third countries; it should, however, be remembered that the pre-year figure was unusually high as the result of the licensing of the export of submarines to South Korea. Adjusted for this special factor, the figures for 2001 and 2002 move at comparable levels. Classic developing countries accounted for 5.6% of the total value of all individual export licenses issued in the year on report, with the result that they are not significant as countries of destination for export licenses issued.⁵ The value of the collective licenses granted for

<http://www.bmwa.bund.de> (click onto "Außenwirtschaft in Europa," then "Finanzierung und Recht," and finally "Exportkontrolle/Embargos"). For the English versions, select "English," and then "Publications."

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

⁴ Developing countries and developing territories pursuant to Part 1 of the List of the OECD's Development Assistance Committee for 2001 without the countries featuring high and upper medium incomes, e.g. NATO-partner Turkey, as well as Slovenia, Malaysia, and Saudi Arabia.

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

exports in connection with defense cooperation between EU and NATO partners amounted to just under €2.6 billion during the reporting year.

I. The German Control System for Military Equipment Exports

1. The German export control system

The military equipment (war weapons and other military equipment) that is subject to export controls is laid out in Part I Section A of the Export List;⁶ war weapons are additionally set forth in the itemized List of War Weapons.⁷ Since Part I of the 1999 Military Equipment Export Report already described in detail and context the German system of export controls for military equipment, and since it is again the case that no significant changes were made to the system during the year under report, readers are referred to the 1999 Military Equipment Export Report.

2. Application of the "Political Principles"

Of determinative importance for German military equipment exports and thus for decision-making by public authorities are the Political Principles of the German Government as amended on 19 January 2000 which, together with the criteria of the EU Code of Conduct⁸ for Arms Exports already in force since mid-1998, provide decision-makers with guidelines in these fields. The basic elements of the Political Principles were individually outlined in Part I.2. of the 2000 Military Equipment Export Report.

⁶ Cf. Annex 2a; the Export List is an Appendix to the Foreign Trade and Payments Ordinance in the version promulgated on 22 November 1993 (Federal Law Gazette I 1934, 2493) as last amended during the reporting year by Ordinance of 16 December 2002 (Federal Official Gazette p. 26498). The legal foundation for the Foreign Trade and Payments Ordinance is the Foreign Trade and Payment Act in the published, streamlined version promulgated in the Federal Law Gazette III, No. 7 400-1, both amended in the reporting year by Article 8 of the Act dating 16 August 2002 (Federal Law Gazette I, p. 3202).

⁷ Cf. Annex 2b; the List of War Weapons is an Appendix to the War Weapons Control Act in the version promulgated on 22 November 1990 (Federal Law Gazette I p. 2506) as amended by Article 1 of the Act of 10 November 2001 (Federal Law Gazette I, p. 2992).

⁸ Cf. Annex 1 to the 19 January 2000 Political Principles for full text.

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

1. Disarmament agreements

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

The German government's activities in this area were outlined in detail in the 2002 Annual Disarmament Report.⁹

2. Arms embargoes

The international community has adopted a number of arms embargoes that are implemented in Germany's export policy through export prohibitions or the non-issuance of licenses. The importance of such (arms) embargoes as a means of attaining specific policy objectives noticeably increased during the last decade relative to early years. The arms embargoes in force in 2002 are listed in Annex 3; some changes were made relative to 2001 (cf. Annex 3 of the 2001 Military Equipment Export Report). The arms embargo against Ethiopia and Eritrea thus expired in 2001, while the term of the corresponding EU Council Common Position was not extended.¹⁰ The arms embargo against those parts of Afghanistan controlled by the Taliban was rescinded after the relevant resolution by the UN Security Council expired.¹¹ The arms embargo against UNITA (Angola) was rescinded at the end of 2002.¹² A new arms embargo was imposed against Zimbabwe.¹³

⁹ <http://www.auswaertiges-amt.de/www/de/infoservice/download/pdf/friedenspolitik/abruestung/abrber2002.pdf>

¹⁰ Cf. EU Council Common Position of 15 March 1999 (1999/206/CFSP).

¹¹ EU Council Common Position of 27 May 2002 (2002/402/CFSP), UN Security Council Resolution 1333/2000.

¹² UN Security Council Resolution 1448/2002.

¹³ EU Council Common Position of 18 February 2002 (2002/145/CFSP).

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

Under the Code of Conduct on Arms Exports¹⁴ adopted by the EU Council on 8 June 1998 Member States politically committed themselves to observing certain standards in the export of conventional military equipment and dual-use goods intended for military and/or police purposes. In particular, the EU Code of Conduct lists eight criteria to be applied by Member States when deciding on individual export cases.¹⁵ Through its incorporation as Annex to the Political Principles of the Federal Government, the EU Code of Conduct has become an integral part of Germany's policy on the export of military equipment. Its operative provisions additionally oblige Member States to notify the EU partners of any exports that have been denied on the basis of the criteria set forth in the Code of Conduct; when notified of an export request denial, the EU partners are then politically required to take up consultations with the partner who issued the notification of denial if they themselves seek to authorize an essentially similar export transaction. These provisions of the Code of Conduct serve throughout the European Union to increase the transparency of the controls on exports of military equipment, further their harmonization, and foster the creation of equal terms of competition.

In the year on report, the EU Member States have continued their efforts to further develop the Code, aiming at greater harmonization and better transparency. The Member States were thus able to agree on a certain minimum of data that must be provided in the end-use statements submitted by recipients of military equipment exports. Substantial progress was made toward arriving at a Common Position on the Control of Arms Brokering.¹⁶ The dialogue with the EU accession candidates and with third countries that have committed themselves to applying the principles of the EU Code of Conduct was intensified by means such as *ad hoc* meetings of experts.

In compliance with the operative provisions of the Code of Conduct, the German government notified the EU partners in 2002 of a total of 65 denials. Twenty-four consultations with other EU Member States were conducted in connection with their export-license denials.

¹⁴ Here as Annex to the Political Principles of the Federal Government (Annex 1 to this Report). Available on the Internet at <http://ue.eu.int/pesc/ExportCTRL/en/Index.htm>.

¹⁵ For further details of the EU Code of Conduct confer the 1999 Military Equipment Export Report and the Fourth Annual Report of the Council pursuant to No. 8 of the Operative Provisions of the EU Code of Conduct on Arms Exports, in particular, Annex 1 ("Compendium"), Official Journal of the European Communities No. C 319 p. 1 dated 19 December 2002.

But further progress must be made to create uniform EU parameters governing policy for export controls on military equipment. The German government thus basically supports the proposals put forth by the European Parliament in its resolution of 26 September 2002¹⁷ and will continue its efforts in this spirit with respect to its EU partners.

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

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

All of the participating countries have now ratified the Framework Agreement and some of the participating countries have issued the first so-called global project licenses (GPL: comparable to Germany's collective export licenses), by which a number of goods movements in the framework of military equipment projects can be carried out among participating countries on the basis of a single license.

5. Wassenaar Arrangement

The Wassenaar Arrangement (WA),¹⁸ in force since 1996, was established to help improve international security and stability by preventing destabilizing arms stockpiling and dual-use goods and technologies. In ideal terms, this is done by the greatest possible harmonization of the policies of the 33 countries that are presently signatories (all of the countries that are now EU Member States, in addition to countries such as the United States, Japan, Russia, and Ukraine), above all on exports of conventional military equipment and related dual-use goods and technologies.

¹⁶ This led to the adoption in June 2003 of a Common Position on the Control of Arms Brokering (2003/468/CFSP of 23 June 2003, Official Journal of the European Communities Nr. L 156/79 of 25 June 2003).

¹⁷ European Parliament Resolution of 26 September 2002 on the Third Annual Report of the Council pursuant to Nr. 8 of the Operative Provisions of the EU Code of Conduct on Arms Exports (P5_TA(2002)0452).

¹⁸ Internet at <http://www.wassenaar.org>.

The German government has actively supported the speedy inclusion of the candidates for accession to the EU within the circle of signatories.

The WA provides, among other things, for the participating countries, which feature significant differences in export control philosophies, to mutually inform one another of exports where major weapon systems as designated in the WA control lists are involved and where such systems have been supplied to non-participating countries. With respect to dual-use goods, the Arrangement also requires the reporting of denied export applications.

Upon the simultaneous initiative of Germany and the United States, the Initial Elements of the Wassenaar Arrangement were supplemented in December 2001 to explicitly include as one of the WA's objectives the prevention of the export of weapons or dual-use goods where a danger existed of their being diverted for terrorist purposes. As part of this expanded objective, the signatories reached agreement in the reporting year, once again with decisive German support, on several initiatives to combat terrorism also in the field of export controls on military equipment. In particular, new ways of exchanging information were developed to prevent terrorists from gaining access to sensitive goods.

A decisive step forward was taken in the small arms area with the adoption of a new document entitled "Best Practice Guidelines for Exports of Small Arms and Light Weapons (SALW)" covering the control and the licensing criteria for this type of weapon (see details also on p. 11). Concrete steps toward further improvements (in particular the introduction of a notification obligation for the export of small arms and stricter guidelines for the control of MANPADS¹⁹) have been planned for 2003.

In 2002, the participating countries agreed on criteria for effective legislation to control arms brokering. This serves the more extensive goal of developing for this area a common policy shared by the countries participating in the Wassenaar Arrangement. On this basis, substantial progress is to be anticipated for 2003.

Partially in response to Germany's initiative, the so-called Munitions List (list of military equipment to be controlled) was supplemented and adapted to the latest developments. This involved,

¹⁹ Man-portable air defense systems

for example, an expansion of controls on equipment used for NBC defense and the inclusion of certain engines for unmanned aircraft (so-called UAVs), not least of all from the perspective of possible misuse for terrorist purposes. This list is the reference for Part I, Section A of the Export List, which sets forth the military equipment subject to controls under German statutes (cf. Annex 2a).

But international cooperation under the Wassenaar Arrangement must be further developed. The Federal Republic of Germany, together with its partners and allies in the EU and NATO, therefore advocates the WA's further development and, in particular, the step-by-step harmonization of the WA signatory countries' national military equipment export policies and practices, without which the goals of the Wassenaar Arrangement cannot be achieved. The German government, as also the large majority of the WA partners, is vigorously pursuing the inclusion of further weapon categories in the Arrangement's transparency mechanisms. Germany is also collaborating with other WA partners to increase the extent of reporting obligations for military equipment to what, at present, is the far higher level of reporting duties for dual-use goods. The overall review of the system in 2003 will give participating countries the opportunity to further develop the Wassenaar Arrangement in this direction and, in future, also to step up efforts (outreach activities) to attract interest in the goals of the WA among countries that export military equipment to a noteworthy extent but do not participate in the WA (e.g. China, India, South Africa, Brazil, Israel).

6. UN Register of Conventional Arms

UN Member States are required to report the export (and import) of weapons that are subject to notification (major weapon systems) to the UN Conventional Arms Register;²⁰ only unit quantities and not values are registered.²¹ For the year 2002, the Federal Republic of Germany reported the export of the following war weapons to the UN Conventional Arms Register:²²

- Greece: 22 Leopard 1 Main Battle Tanks
- Poland: 41 Leopard 2 Main Battle Tanks
- Lithuania: 36 Armored Personnel Carriers M 113

²⁰ Information available at Internet website <http://disarmament.un.org/cab/register.html>.

²¹ The weapons are classified into the following seven categories: battle tanks, other armored combat vehicles, artillery systems with caliber 100 mm and above, combat aircraft, attack helicopters, warships with a standard displacement of 750 metric tonnes and above, or armed with missiles or torpedoes with ranges of at least 25 km, and missiles and missile launchers with a range of at least 25 km.

- Egypt: one Class 148 Fast Patrol Boat
- Uruguay: one oceangoing tugboat Class 722 (demilitarized)

These consignments were older, used systems drawn from Bundeswehr stocks; there were no commercial deliveries during the reporting year.

7. International discussion on small arms and light weapons

Events since the second World War have shown that in many wars among nations and in civil wars most of the human casualties have been caused by small arms and light weapons (e.g. sub-machine guns, assault rifles, light mortars, etc.) and the associated ammunition. This problem is chiefly found in third-world countries, where small arms can often be procured inexpensively and illegally through internationally operating arms brokers. The German government therefore conducts a restrictive policy in this regard at the international level and is working to bring about the efficient prevention of the illegal proliferation of such weapons. With respect to the legal export of small arms, the German government advocates strict and efficient controls. Its goal is - for example in the framework of the OSCE Small Arms Document²³ and the UN Action Program of the UN Conference on the Illicit Trade in Small Arms and Light Weapons in all of its aspects²⁴ - the achievement of concrete results with the strongest possible obligations binding the participating countries to take action. As part of the information exchange pursuant to the OSCE Small Arms Document, Germany submitted its annual report for 2002, whose precursor was widely regarded as a model by international observers.²⁵

The discussion conducted in various international bodies on the small arms problem continued in 2001.²⁶ Special attention should be paid in this context to the Best Practice Guidelines for the Export of Small Arms and Light Weapons (SALW) of the Wassenaar Arrangement.²⁷ In this document, the participating countries set forth, among other things, specific criteria to be considered in taking decisions on export licenses and they formulate rejection criteria (relevant aspects in this context include human rights and terrorism). A further section is dedicated to the designa-

²² See Annex 4.

²³ OSCE Document on Small Arms and Light Weapons of 24 November 2000 (<http://www.osce.org/docs/english/fsc/2000/decisions/fscgw231.htm>); cf. also the 2000 Military Equipment Export Report, II.7.

²⁴ A/CONF.192/15 at http://www.disarmament.un.org/cab/smallarms/files/aconf192_15.pdf.

²⁵ http://www.auswaertiges-amt.de/www/de/infoservice/download/pdf/friedenspolitik/abruestung/kleinw_2002.pdf

²⁶ On the topic of the small arms problem, cf. also No. VII. 1. of the 2002 Annual Disarmament Report (note 4).

²⁷ Published at http://www.wassenaar.org/docs/best_practice_salw.htm. See also II.4 above.

tion and registration of small arms. The document generally addresses central elements of the UN's above-named Action Program.

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

The following is an outline of licenses granted for military equipment exports in 2002; actual exports are also listed for the sub-sector war weapons. The outline is complete where disclosure has not been restricted by law. In particular, the names of the respective exporters cannot be released owing to the legal protection afforded business and industrial secrets under Section 30 of the Law on Administrative Procedure.

The Federal Office of Economics and Export Control (BAFA)²⁸ registers the export licenses granted for all military equipment (war weapons and other military equipment). The figures for reporting year 2002 are displayed below, under 1. and outlined in detail in Annex 5.

Statistics on actual exports of military equipment are presently recorded only for the sub-sector of "war weapons." Item 2 below presents annual values as determined by Germany's Federal Statistical Office.

The present Military Equipment Report for the first time presents relevant figures denominated in the euro currency. In the outlines comparing 2002 figures with those of previous years, DM values have been converted to euros for purposes of comparison.²⁹

Just as its predecessors, the present Military Equipment Export Report contains information on export licenses issued and, in a more general manner, on request denials; however, it presents no information in connection with decisions on advance inquiries made during the reporting year concerning respective export projects' eligibility for licenses. Advance inquiries are normally made by companies at a very early stage, usually prior to the start of negotiations with potential foreign clients. Positive decisions on advance inquiries are not suitable for use as indicators in evaluating policy on military equipment exports since, at the time of their submission, there is no certainty whether or not the project is going to be implemented. Moreover, advance inquiries are

²⁸ Internet address: <http://www.bafa.de>.

more strongly protected as business and industrial secrets under Section 30 of the Law on Administrative Procedure since potential competitors might benefit from the publication of a planned but not contractually agreed project in the Military Equipment Export Report. The non-inclusion of advance inquiries creates no gaps in export statistics since upon later implementation of the projects the still-required export licenses (and additionally the actual exports in the case of war weapons) are reflected by the statistics of the respective Military Equipment Export Report; the Report thus takes account of all administrative transactions at least once and, in the case of war weapons, twice.

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

Annex 5 presents an outline of military equipment licenses granted and/or denied in 2002, broken down by countries of destination.³⁰ The first part of this Annex shows EU Member States, the second part NATO and NATO-equivalent countries (excluding the EU Member States), and the third part all other countries (so-called third countries). For the sake of greater transparency in connection with exports to third countries, this country category has a column entitled EL Items that provides a more detailed break-down of the important products. Where applications for a country of destination have been denied, the relevant remarks have been made in the overview with details on the number of denials, the involved EL Items, and the value of the goods. When denial notifications have been made in accordance with the EU Code of Conduct, a corresponding remark is noted together with the reason for denial (number of the respective criterion in the Code of Conduct).

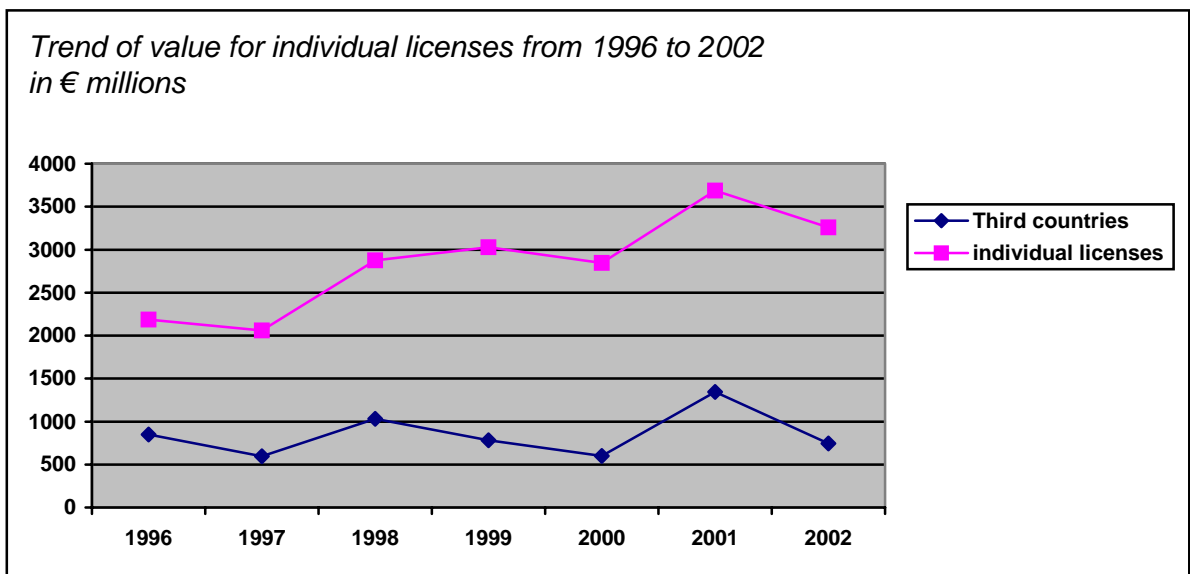
The figures presented in columns 2 to 4 relate to export licenses issued. Experience has shown that actual export values are significantly less than these license values. The reason is that licenses sometimes remain either partly or entirely unused. It should also be noted that the actual export, in part or in whole, is frequently not undertaken in the year of the license's issuance.

²⁹ Conversion factor: 1.95583.

³⁰ Goods in Part I Section A of the Export List, Appendix AL to the Foreign Trade and Payment Ordinance, attached here as Annex 2a to the Report.

a) Individual licenses

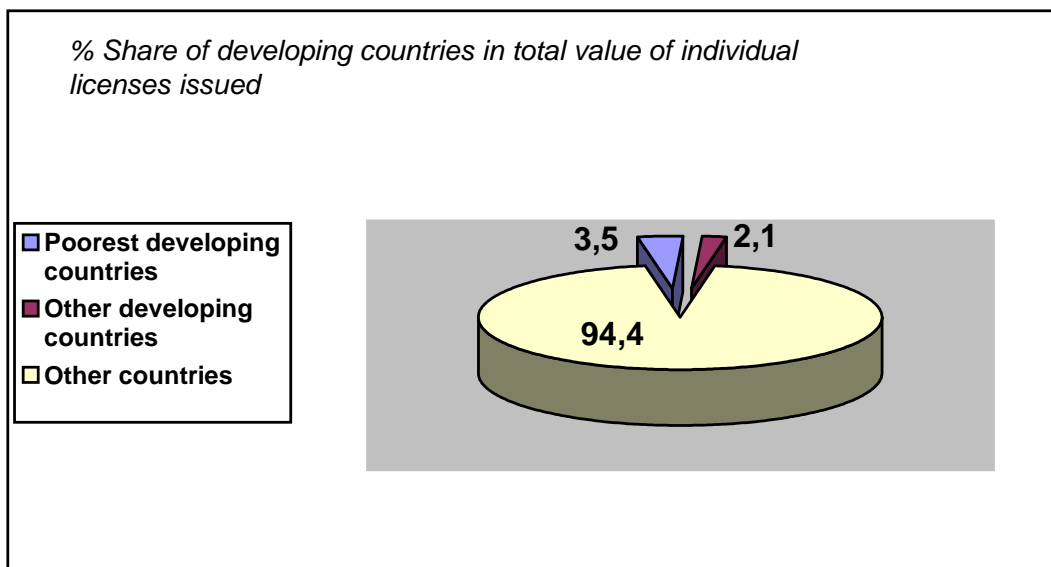
In 2002 a total of 11,317 individual license applications for the final³¹ export of military equipment were approved in Germany. The total value of the licenses – not that of actual exports – was €3,257,641,306. This was roughly a 12% decrease over figures for the year 2001 (€3,686,108,646). Individual licenses for countries designated in No. II of the Political Principles of 10 January 2000 (EU Member States, NATO and NATO equivalent countries) accounted for €2,513,075,020 of this amount, representing an approximately 7% increase from the previous year. Licenses for goods with end use in EU Member States reached a total value of €1,363,524,692; licenses for goods with end use in NATO and NATO equivalent countries (excluding EU Member States) had a total value of €1,149,550,328. The license figure for exports to third countries amounted to €744,566,286 and thus fell behind the level recorded for the previous year by some 45%. However, account should be taken here of the fact that in the previous year an unusually high value was registered as the result of a special factor (licensing of a consignment of submarines to South Korea); for this item, see the 2001 Military Equipment Export Report and the following chart. By comparison, the value of the year on report moves roughly within the range of the years prior to 2001 and of the value for 2001 after adjustment to account for the cited licensing of the submarines.



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

The chart shows that the value of licenses for the group of third countries has largely remained constant since 1996 (fluctuations between 500 million and one billion euros). The rising trend of the total value of individual licenses as is visible from the chart is consequently the result of licenses for exports to EU, NATO, and NATO equivalent countries.

For final exports of military equipment to developing countries³², a total of 1,368 individual licenses valued at €184.6 million (approximately 5.6% of the value of aggregate German individual licenses for military equipment) were issued in 2002; the figures for 2001 were €54 million or 1.5% of the value of individual licenses issued. The licenses issued involved, in particular, India (55%), South Africa (11.5%), Egypt (7%), Algeria (5.7%), and Tunisia (5%).



For all practical purposes, the only member of the group of poorest developing countries and other developing countries with low incomes³³ represented as end user was India (some 94% of license values). Such countries' total share amounted to €113,111,730 or roughly 3.5% of the value of all individual export licenses for military equipment in 2002 (2001: 0.1%; the increase derives nearly exclusively from the licenses for India,³⁴ which were of significant value). These figures prove that exports of military equipment to classic developing countries are only of small importance in overall German military equipment exports.

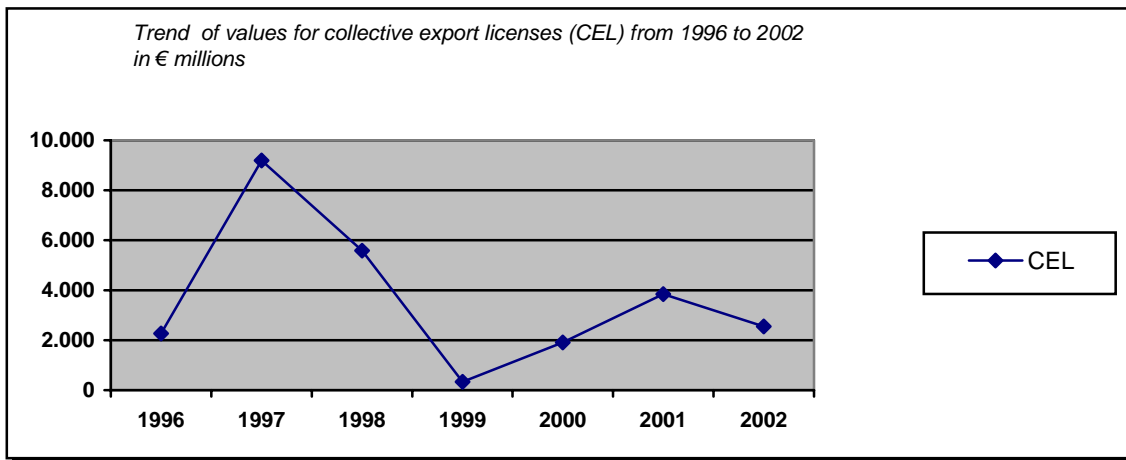
³² For the term "developing countries" see footnote 4.

³³ Poorest and other developing countries and areas with low incomes pursuant to Part 1 of the OECD's DAC List for 2001.

³⁴ Details on licenses for India may be found in the outline presented under d) and the associated text.

b) Collective export licenses

In addition to the above, collective export licenses were issued in the total amount of approximately €2.5 billion in 2002 (in 2001: some €3.8 billion); with these licenses, companies were able to undertake several exports to single or several consignees abroad (above all as part of inter-governmental project cooperation). Collective export licenses were granted only for exports to NATO and NATO equivalent countries.



Collective export licenses issued under cooperative programs are valid for two years. This results in fluctuations in the annual figures. The values applied for reflect applicants' anticipated needs in the license period. Since varying use is made of these values, which are licensed as maximum amounts, the aggregate figure for collective-export-license values is strongly subject to annual fluctuations and has only limited validity as a barometer of Germany's export policy.

The collective export licenses served as models for the creation of the global project license (mentioned under II.4), which was established to facilitate European armaments cooperation.

c) Export license denials

In 2002, there were 180 denials of applications for military equipment exports. The total value of the denials came to €19,485,152. The figure does not include applications withdrawn by applicants prior to notification because of poor chances of success.

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

d) Most important countries of destination

The 20 most important countries of destination for which individual export licenses were granted in 2002:

No. ³⁵	Country	Value in € millions	Export List Items ³⁶
1 (2)	USA	685.3	<p>Rifles and carbines (incl. war weapons), revolvers, pistols, sniper rifles, submachine guns, machine guns, hunting and sporting rifles, sporting pistols and revolvers, incl. parts, tube weapon mounts, cartridge clips, flash hiders, and weapon sighting units (0001/48.8%).</p> <p>Decontamination equipment, NBC protection equipment, radiation detection equipment; Parts for NBC protection equipment, radiation detection equipment, and chemical agent monitors (0007/21.5%).</p> <p>Trucks; Parts for tanks, armored self-propelled howitzers, amphibious craft, and other vehicles (0006/9.8%).</p>

³⁵ List position of previous year in brackets.

³⁶ Presented are the types of the chiefly involved military equipment for the respective country with the corresponding Export List item numbers and the respective share of the total value of military equipment licensed for export to the country. The share of the listed EL items amounts to at least 80% of the licensed exports for the respective country of destination.

2 (3)	Greece	266.2	<p>Armored self-propelled howitzers; Parts for armored self-propelled howitzers, armored vehicles, and other vehicles (0006/55.5%).</p> <p>Parts for armored self-propelled howitzers, cannons, and grenade launcher ammunition (0003/11.0%).</p> <p>Communication systems, component parts and assemblies; Parts for communication systems, detection systems, navigation systems, stabilization systems, and guidance systems (0011/10.7%).</p> <p>Firing mechanism for guided weapons, mine-clearing equipment; Parts for torpedoes and missiles (0004/8.7%).</p>
3 (11)	Spain	232.3	<p>Parts for tanks, armored self-propelled howitzers, armored vehicles, amphibious craft, and other vehicles (0006/59.2%).</p> <p>Rifles and carbines (war weapons), revolvers, pistols, sub-machine guns, incl. parts, tube weapon mounts, flash hiders, and weapon sighting units. (0001/18.9%).</p> <p>Machine cannons, mortars, grenade launchers; Parts for guns, cannons, mortars, and grenade launchers (0002/4.3%).</p>
4 (6)	Netherlands	219.7	<p>Guided weapons, irritant grenades, practice hand grenades, smoke canisters, illuminating cartridge and simulator ammunition and fuzes (0004/53.5%).</p> <p>Automotive cranes, trucks, fuel trucks, cross-country vehicles, trailers, cross-country high-lift trucks, semi-trailer towing vehicles, semi-trailers; Parts for tanks, armored self-propelled howitzers, armored vehicles, recovery vehicles, and other vehicles (0006/24.3%).</p> <p>Forging pieces, castings, and unfinished items (0016/8.2%).</p>
5 (-)	Israel	160.0	<p>Motors and transmissions (0006/69.4%).</p> <p>Production data for transmissions and circuit boards (0022/19.0%).</p>

6 (8)	UK	128.0	<p>Parts for combat aircraft, helicopters, other aircraft, and engines (0010/17.6%).</p> <p>Communication systems, detection systems, navigation systems, stabilization and guidance systems, data processing systems, measuring and test equipment, component parts and assemblies; Parts for communication systems, detection systems, navigation systems, stabilization and guidance systems, electronic warfare, data processing systems, and electronic equipment (0011/15.8%).</p> <p>Guidance and navigation equipment; Parts for combat vessels, frigates, submarines, guidance and navigation equipment, and underwater detection equipment (0009/13.6%).</p> <p>Trucks, fuel trucks, cross-country high-lift trucks, caterpillar dredgers; Parts for tanks, armored self-propelled howitzers, amphibious craft, and other vehicles (0006/12.6%).</p> <p>Forging pieces, casting pieces, and unfinished items (0016/10.6%).</p> <p>Grenades, smoke grenades, hand grenades, smoke canisters, military pyrotechnics, illuminating cartridges and simulator ammunition, ejection racks, decoys; Parts for rockets, missiles, smoke canisters, military pyrotechnics, illuminating cartridges and simulator ammunition (0004/5.0%).</p> <p>Parts for cameras and for IR and thermal imaging equipment (00015/4.4%).</p> <p>Rifles and carbines (war weapons), revolvers, pistols, sub-machine guns, machine guns, and weapon sighting units, including parts (0001/4.2%).</p>
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7 (5)	Turkey	124.0	<p>Smoke grenades, practice grenades, missile launching equipment; Parts for torpedoes, missiles, launching platforms for mine-sweeping devices (0004/39.7%).</p> <p>Thermal imaging devices; Parts for thermal imaging devices and image intensifier equipment (0015/19.9%).</p> <p>Fire control equipment, on-board weapons-control systems, laser range finders, testing and adjustment equipment; Parts for fire control equipment, on-board weapons-control systems, and fire control systems (0005/18.0%).</p> <p>Display units, navigation systems, data processing systems, measuring and test equipment, component parts and assemblies; Parts for communication systems, radar systems, and power supply systems (0011/5.7%).</p>
8 (15)	Australia	116.5	<p>Parts for tanks, armored self-propelled howitzers, armored vehicles, and other vehicles (0006/85.1%).</p>
9 (9)	Sweden	109.1	<p>Armored recovery vehicles, trucks; Parts for tanks, armored self-propelled howitzers, armored vehicles, recovery vehicles, and other vehicles (0006/68.3%).</p> <p>Machine cannons, mortars, weapon sighting units; Parts for guns, cannons, and weapon sighting units (0002/7.8%).</p> <p>Forging pieces, castings, and unfinished items (0016/5.2%).</p>
10 (-)	India	106.1	<p>Fire control instruments for submarines and on-board weapon-guidance systems (0005/53.0%).</p> <p>Underwater detection equipment; Parts for frigates and submarines (0009/21.3%).</p> <p>Semi-trailer towing vehicles; Motors, transmissions and parts thereof (0006/12.3%).</p>

11 (13)	France	105.5	<p>Helicopters, aircraft (museum), engines; Parts for combat aircraft, helicopters, other aircraft, drones, and engines (0010/33.4%).</p> <p>Simulator ammunition, launching equipment for missiles; Parts for torpedoes, rockets, missiles, grenades, illuminating cartridges, and simulator ammunition (0004/26.3%).</p> <p>Trucks, medical vehicle (museum), armored personnel carrier (museum); Parts for tanks, armored self-propelled howitzers, armored vehicles, amphibious craft, and other vehicles (0006/12.8%).</p> <p>Communication systems, stabilization systems, equipment for electronic warfare, data processing systems, measuring and test equipment; Parts for communication systems, detection, navigation, stabilization, and guidance systems, data processing systems, electronic equipment, and measuring and test equipment (0011/7.1%);</p> <p>Forging pieces, castings, and unfinished items (0016/5.2%).</p>
12 (10)	Singapore	96.1	<p>Folding bridge system, trucks; Parts for armored self-propelled vehicles, bridging and crossing vehicles, and trucks (0006/86.2%).</p>
13 (12)	Denmark	95.2	<p>Tanks; Parts for tanks, armored vehicles, and other vehicles (0006/87.6%).</p>
14 (1)	Korea, Republic of	83.5	<p>Parts for tanks, armored self-propelled howitzers, armored recovery vehicles, and trucks (0006/72.1%).</p> <p>Underwater detection equipment, guidance and navigation equipment; Parts for frigates, submarines, guidance and navigation equipment, underwater detection equipment, and torpedo countermeasures systems (0009/11.8%).</p>

15 (4)	Italy	78.6	<p>Guidance and navigation equipment, ship's body conduits; Parts for combat vessels, submarines, underwater detection equipment, and guidance and navigation equipment (0009/18.7%).</p> <p>Armored self-propelled howitzers; Parts for armored self-propelled howitzers, armored vehicles, and other vehicles (0006/15.8%).</p> <p>Communication systems, equipment for electronic warfare, data processing systems, measuring and testing equipment, gyroscopes, display units, component parts and assemblies; Parts for communication systems, radar, navigation, and guidance systems, data processing systems, power supply and electronic equipment (0011/13.6%).</p> <p>Production data for ammunition, radio relay service systems, communication equipment, tank parts, parts for armored self-propelled howitzer, vehicle parts, aircraft parts, small arms parts, transmission parts, electronic equipment (0022/12.3%).</p> <p>On-board equipment; Parts for combat aircraft, helicopters, other aircraft, and engines (0010/10.8%).</p> <p>Irritants, NBC protection equipment, chemical agent monitor; Parts for chemical agent monitors (0007/8.9%).</p>
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16 (7)	Switzerland	77.3	<p>Production data for ammunition, tank parts, vehicle parts, machine cannon parts, small arms parts, grenade parts, and transmission parts; Technical documents for fire control systems, tube-weapon sight-units, thermal imaging devices, range finders, engines, aircraft parts, unmanned-aircraft flight hardware components; Training documentation (0022/28.2%).</p> <p>Ammunition for cannons, rifles, hunting and sporting weapons, revolvers, pistols, grenade launchers; Parts for ammunition for howitzers, cannons, anti-tank weapons, rifles, hunting and sporting weapons, revolvers, pistols, machine guns, and grenade launchers (0003/27.5%).</p> <p>Automotive cranes; Parts for tanks, armored self-propelled howitzers, armored vehicles, and other vehicles (0006/11.3%).</p> <p>Rifles and carbines (incl. war weapons), revolvers, pistols, sniper rifles, submachine guns, hunting and sporting weapons, sporting pistols and revolvers, tube weapon mounts, cartridge clips, and weapon sighting units, incl. parts (0001/9.1%).</p> <p>Components for production equipment for armored self-propelled howitzer parts, vehicle parts, cannon parts, engine parts, small arms parts, ammunition; Reloading devices for hunting and sporting ammunition, environmental review unit, incl. parts (0018/6.4%).</p>
17 (14)	Belgium	51.1	<p>Production data for encryption devices, torpedo parts, hand grenade parts, radar parts, radio relay parts, night vision parts, short-wave system parts, communication assemblies, electronic equipment; Documentation for armored self-propelled howitzers and radar units (0022/53.1%).</p> <p>Automotive cranes, trucks, cross-country vehicles, semi-trailer towing vehicles, fire fighting vehicles, mobile excavators; Parts for tanks, armored self-propelled howitzers, armored vehicles, recovery tractors, and other vehicles (0006/20.4%).</p> <p>Communication systems, data processing systems, electronic equipment, test gear, component parts and assemblies; Parts for communication systems, radar units, displays and electronic equipment (0011/13.9%).</p>

18 (-)	Poland	49.9	<p>Amphibious tank (museum), amphibious vehicles, semi-trailers; Parts for tanks, armored self-propelled howitzers, amphibious vehicles, and other vehicles (0006/73.4%).</p> <p>Production data for ammunition, tank parts, vehicle parts, helicopter parts; Technical documents for minehunters, communication systems, and small arms (0022/10.5%)</p>
19(-)	Finland	43.1	<p>Guided missiles, hollow charges, smoke canisters; Parts for missiles, smoke canisters (0004/54.9%).</p> <p>Weapon sighting units, laser warning systems, test kits; Parts for weapon sighting units, tube-weapon sight unit, target ranging system, and laser warning systems (0005/13.1%).</p> <p>Communication systems, frequency transformers, component parts and assemblies; Parts for electronic equipment (0011/8.3%).</p> <p>Unfinished products (0016/8.3%).</p>
20 (18)	United Arab Emirates	39.7	<p>Trucks; Parts for tank transmissions, armored, self-propelled howitzers (power plants), armored vehicles, and trucks (0006/42.3%).</p> <p>Decontamination vehicles and equipment, NBC protective clothing (0007/28.5%).</p> <p>Communication systems, ground surveillance radar; Parts for radar units, navigation systems, and communication systems (0011/10.8%).</p>

No longer among the countries on the list of twenty most important recipient nations are Austria (rank 16 in 2001), Canada (17), Saudi Arabia (19), and Portugal (20). The fluctuations in country ranking (for example, in the case of South Korea, Spain, Italy, Israel, and India) result from the pronounced differences from year to year in the occurrence of orders eligible for export licenses. **South Korea's** leading position in 2001, for example, was chiefly the result of the approval of several submarines; this was a special factor that no longer played a role in 2002, with the result that the country then ranked 14th.

The license values for **India** rose by €100.3 million above their 2001 values to a total of €106 million. India thus ranks tenth (17th in 2000 but not in the top twenty in 2001) among the most important countries of destination for military equipment. This increase resulted from the fact

that during the year under report some applications were submitted for particularly high-value, licensable exports. A mere six individual export licenses for fire control systems, submarine parts, and motors/transmissions thus accounted for 90.3% of the total value of export licenses. At the same time, however, India, together with Russia, is the country having had the most license denials (19).

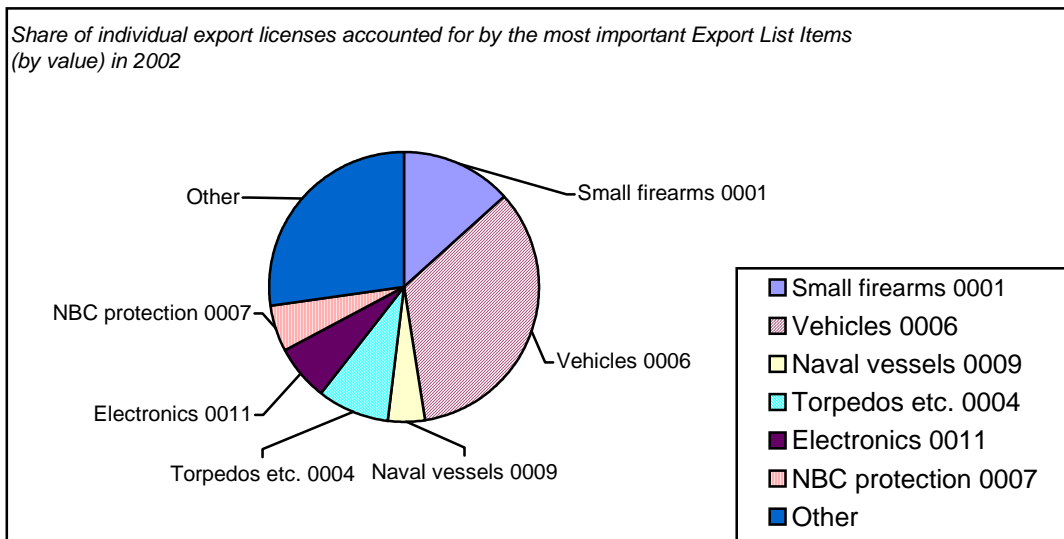
e) Individual export licenses broken down by Export List Items

The individual export licenses issued in 2002 are broken down in the following into the 23 EL Items (pre-year figures are printed in italics and shown in parentheses):

EL Item	Description of Item	Number	Value in € millions
A 0001	Small arms	4,114 (4,206)	438,3 (401.9)
A 0002	Large caliber weapons	163 (188)	32.1 (61.4)
A 0003	Ammunition	1,016 (978)	134.9 (214.2)
A 0004	Bombs, torpedoes, missiles	255 (214)	274.1 (205.5)
A 0005	Fire control systems	260 (299)	106.6 (175.1)
A 0006	Wheeled and tracked military vehicles	1,348 (1,402)	1,111.9 (662.7)
A 0007	Equipment for NBC defense, irritants ("tear gas")	245 (267)	186.2 (114.7)
A 0008	Explosives and fuels	476 (304)	6.3 (5.4)
A 0009	Naval vessels	361 (314)	152.4 (901.1)
A 0010	Military aircraft / aircraft engineering	371 (315)	117.3 (175.4)
A 0011	Military electronics	786 (759)	217.0 (178.4)
A 0013	Ballistic protection equipment	266 (270)	23.9 (61.3)
A 0014	Training and simulator equipment	72 (87)	27.7 (79.1)
A 0015	Infrared/thermal imaging equipment	153 (141)	96.8 (76.1)

A 0016	Semi-finished parts for the production of certain military equipment	565 (641)	104.8 (74.6)
A 0017	Miscellaneous equipment	332 (280)	22.7 (53.0)
A 0018	Production equipment for the production of military equipment	403 (438)	37.9 (17.7)
A 0021	Military software	103 (82)	11.2 (15.2)
A 0022	Technology	332 (297)	131.7 (211.5)
A 0023	Equipment suitable for security forces	299 (49)	23.9 (1.6)
Total ³⁷		11,920 (11,005)	3,257.6 (3,686.1)

The table shows that, in terms of value, licenses issued for the export of military equipment in 2002 focused on wheeled and tracked military vehicles (share of total value: 34.1%). The second most important item were small firearms (13.4%). The small firearms item number on the Export List (A 0001) includes not only small arms but also the so-called civilian weapons such as hunting, sporting, and self-defense weapons, which are much more important in terms of license values; more detailed information on this point is available below, under g).



³⁷ The addition of the number of individual licenses by positions A 0001 to A 0023 yields a higher value than the total number of individual licenses (= 11,317) since some of the applications are split among several positions and are therefore counted two or more times in the individual positions in this table.

The increase registered in equipment for security forces (A0023) results from the facts that compulsory licensing for goods of this type was introduced only on 31 October 2001³⁸ and figures for the year on comparison reflect only the months November and December.

f) Export licenses in the years from 1996 to 2002

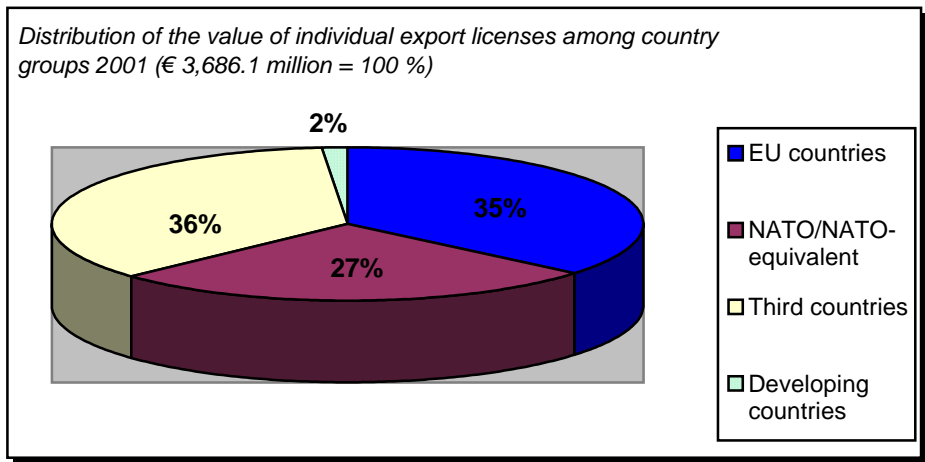
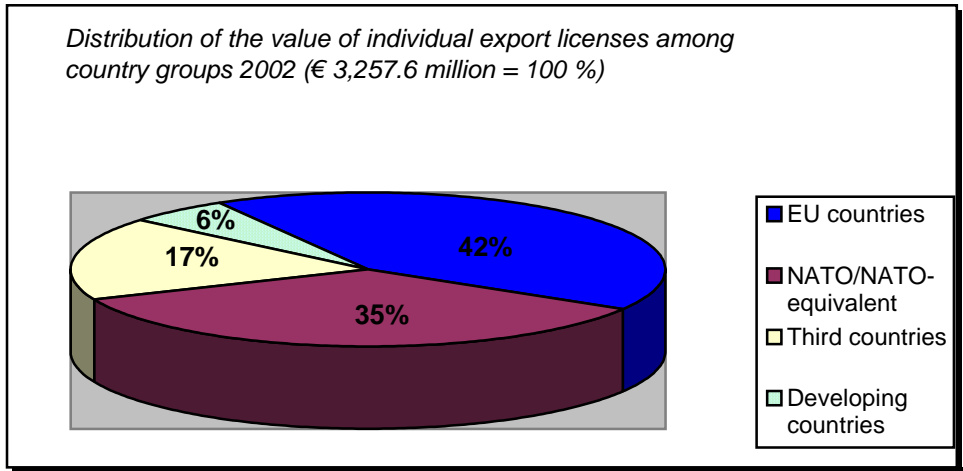
The following table compares the values (in €millions) of final export licenses issued in 1996 - 2002. For the sake of clarity, the values have not been classified by country of destination but are clustered together by country groups as privileged destinations (EU, NATO, and NATO-equivalent countries) and third countries. The period 1996 - 2002 has been chosen because a comparable analysis of BAFA statistics by individual country groups became possible only in 1996³⁹.

Year	EU Member States (€ millions)	NATO and NATO-equivalent countries excl. EU (€ millions)	Third countries (€ millions)	<u>Individual export licenses (total)</u> (€ millions)	Collective export licenses⁴⁰ (€ millions)
1996	615.2	720.2	850	2,185.4	2,271
1997	731.8	732.7	596.1	2,060.6	9,189.7
1998	632.3	1,208	1,033	2,873.7	5,577.8
1999	701.8	1,542.8	781.6	3,026.1	334.7
2000	1,283.8	963.5	599.7	2,846	1,909.1
2001	1,329.7	1,010.6	1,345.8	3,686.1	3,845.3
2002	1,363.5	1,149.5	744.6	3,257.6	2,550.6

The two following illustrations compare the values accounted for by the various country groups for the years 2001 and 2002. Pursuant to the Political Principles, the EU, NATO, and NATO-equivalent countries can more or less be regarded as a block since they are treated in largely the same manner with regard to the export of military equipment.

³⁸ 99th Ordinance amending the Export List.

³⁹ For the purpose of statistical comparability, the values of military equipment production documents (1999: €95.3 million and 2000: €14.9 million) would have to be added even though they are not military equipment in the meaning of the Export List.



g) Export licenses for small arms from 1996 to 2002

In view of the continuing special problems associated with the destabilizing effects of small arms accumulations in crisis areas,⁴¹ the German government is additionally reporting, just as in last year's Report, on individual licenses for the export of small arms in the years 1996 – 2002.

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

⁴⁰ Cf. III.1.b. on the limited meaningfulness of strongly fluctuating annual values of collective export licences.

⁴¹ Cf. Section II.6

values shown in the following tables A to C are therefore already included in the statistics under 1.a) to f) and in the values presented under Annex 5.

At the international level, the term "small arms" has various meanings and is defined differently in different forums. Although there are (to some extent considerable) differences in details, there is large agreement on basic elements. But there is still no uniform understanding of all weapon categories. The OSCE small arms definition⁴² and the EU's small arms definition⁴³ provide somewhat of a model. Both definitions take the lead from the internationally used term "small arms and light weapons" and distinguish between small arms (basically military small firearms) and light weapons (in particular portable rocket and artillery systems). Both definitions are also in agreement in that they include only such weapons as are specifically intended for military use, not, however, civilian weapons such as, in particular, hunting and sporting weapons, or civilian (i.e. not specifically designed for military use) weapons of self defense (revolvers and pistols).

The OSCE defines small arms as follows:

"[...] small arms and light weapons are man-portable weapons made or modified to military specifications for use as lethal instruments of war. Small arms are broadly categorized as those weapons intended for use by individual members of armed or security forces. They include revolvers and self-loading pistols; rifles and carbines; sub-machine guns; assault rifles; and light machine guns. Light weapons are broadly categorized as those weapons intended for use by several members of armed or security forces serving as a crew. They include heavy machine guns; hand-held under-barrel, and mounted grenade launchers; portable anti-aircraft guns; portable anti-tank guns; recoilless rifles; portable launchers of anti-tank missile and rocket systems; portable launchers of anti-aircraft missile systems; and mortars of calibers less than 100mm."

The above cited Joint Action of the EU distinguishes the following categories of small arms and light weapons:

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

- *machine guns (including heavy machine guns)*
- *submachine guns, including machine pistols*
- *fully automatic rifles*
- *semi-automatic rifles, if developed and/or introduced as a model for an armed force*
- *moderators (silencers)*

(b) Man or crew-portable light weapons:

- *cannon (including automatic cannon), howitzers, and mortars of less than 100mm caliber*
- *grenade launchers*

⁴² Cf. the OSCE small arms document, footnote 21.

⁴³ See Appendix of the Joint Action of 12 July 2002 on the European Union's Contribution to Combating the Destabilizing Accumulation and Spread of Small Arms and Light Weapons (2002/589/CFSP). For more details: Second Annual Report on the Implementation of the Joint Action of 2 July 2002 (2002//C330/01).

- *anti-tank weapons, recoilless guns (shoulder-fired rockets)*
- *anti-tank missiles and launchers*
- *anti-aircraft missiles / man-portable air defense systems (MANPADS)."*

Using the EU's small arms definition, the following tables show the value of *licenses* for the export of submachine guns, machine guns, automatic and semi-automatic weapons, smooth-bore military weapons, weapons for caseless ammunition and parts for such weapons (Table A),⁴⁴ and of ammunition for guns, submachine guns, and machine guns and parts for such ammunition (Table C)⁴⁵ are shown for 1996 – 2002.

In view of the particular attention paid to the export and control of small arms at international and national levels as an aspect of the problems associated with the destabilizing effects of small arms accumulations in crisis areas, a new section has been included in this year's Report under Table B. This Table shows the value of licenses for small arms exported to third countries as well as unit numbers, broken down by country. Also new is Table D, which lists the licenses granted for small arms ammunition exported to third countries.

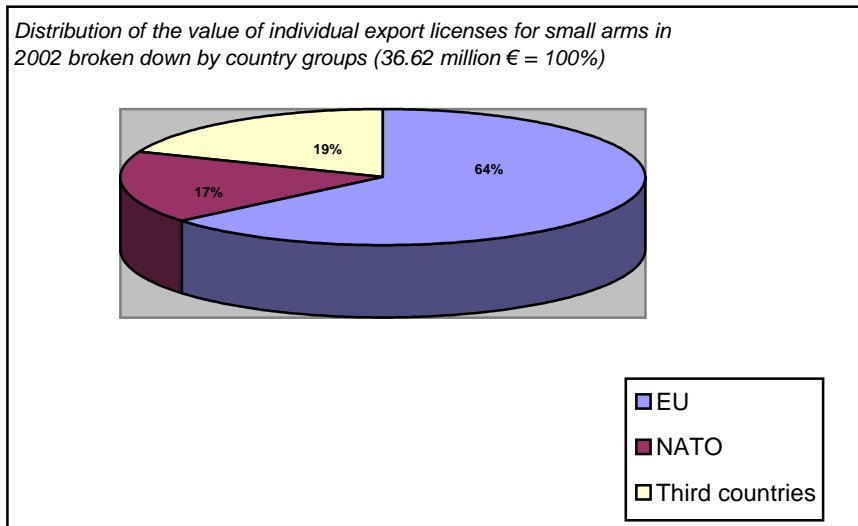
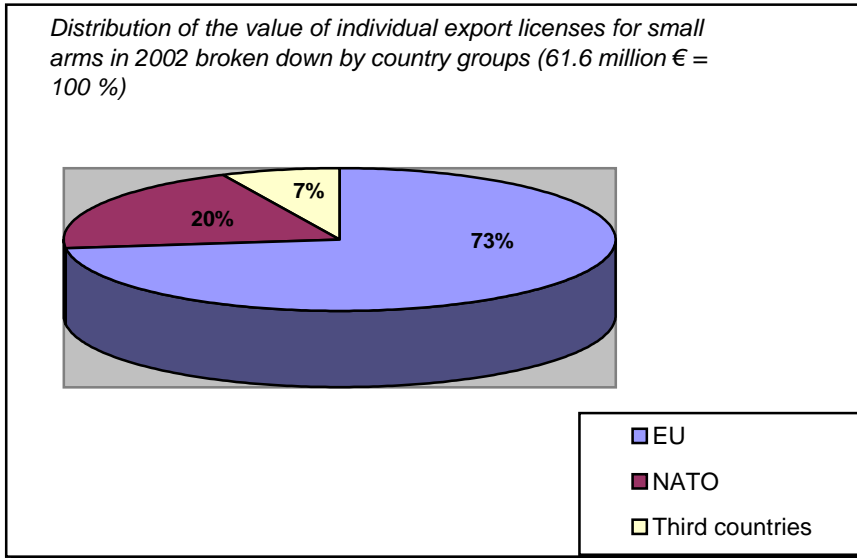
Table A: Individual Licenses for the Export of Small Arms – Values in €Millions

Year	EU Member States	NATO and NATO-equivalent countries (excl. EU countries)	Third countries	Individual export licenses (total)
1996	0.89	2.60	1.87	5.36
1997	5.60	4.11	6.24	15.95
1998	2.09	14.68	6.57	23.34
1999	10.14	6.38	4.74	21.26
2000	4.97	3.58	0.27	8.82
2001	24.57	6.62	7.43	38.62
2002	45.31	12.09	4.20	61.6

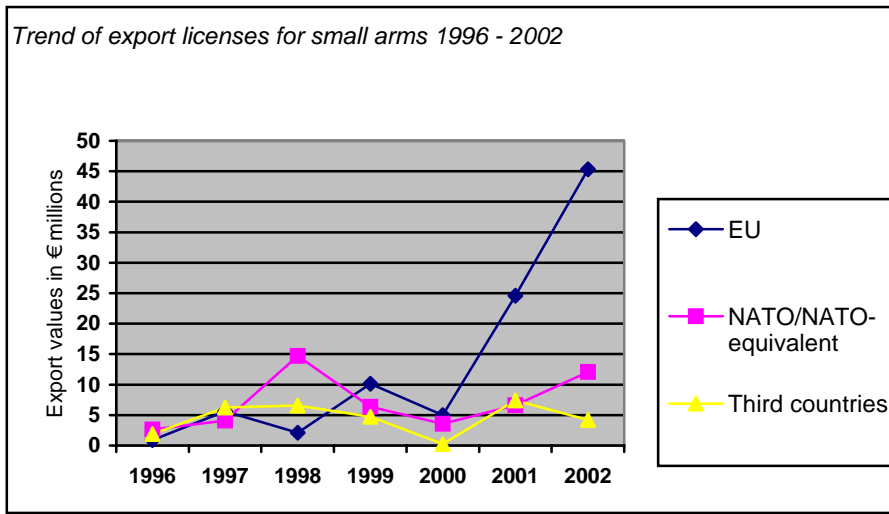
⁴⁴ Excluding hunting and sporting weapons.

⁴⁵ Excluding ammunition for hunting and sporting weapons.

The following diagrams display the value of licenses for the export of small arms in 2002 and 2001 broken down into the three country groups listed in the Table above.



The illustration reveals that the trend of licenses for the export of small arms to third countries stagnated at a low level.



The strong rise for the EU countries in 2001 and 2002 may be explained by initiation of the supply of the G 36 assault rifle to the Spanish armed forces which are introducing this weapon as the standard assault rifle for the troops.

The aggregate value of individual export licenses for small arms is significantly lower than the aggregate value of total export licenses for small firearms as listed above under e) for EL position 0001 (€438.3 million). As already explained, this is the result of the fact that the definition of small firearms found there also includes civilian weapons (revolvers, pistols) used for self defense and therefore extends far beyond the definition of small arms as understood internationally. Only 14% of the value of export licenses for small firearms is thus accounted for by small arms and less than 1% by licenses for the export of small arms to third countries.

Table B: Individual Licenses for the Export of Small Arms to Third Countries Broken down by Countries, License Values and Unit Numbers for 2002⁴⁶

Country	Licenses (total)	EL positions	Value (€)	Designation	Units
Egypt	1	0001a	18,279	Submachine guns	15
			2,442	Related components	30
Estonia	2	0001a	3,680	Rifles and carbines	4
			904	Related components	40
		0001a	275	Components for submachine guns	1
Hong Kong	1	0001a	17,976	Components for submachine guns	82
Kazakhstan	1	0001a	2,796	Components for submachine guns	2

⁴⁶ "Small arms" cover: guns (war weapons), machine guns, submachine guns, automatic and semi-automatic weapons, smooth-bore military weapons, weapons for caseless ammunition and parts for such weapons (not included are civilian weapons).

Country	Licenses (total)	EL positions	Value (€)	Designation	Units
Korea, Republic of	4	0001a	14,250	Rifles and carbines	5
			5,021	Related components	152
		0001a	350,420	Submachine guns	394
			13,816	Related components	588
Latvia	1	0001a	12,820	Submachine guns	10
			165	Related components	5
Lithuania	2	0001a	78,840	Rifles and carbines	72
			29,467	Related components	455
		0001a	2,500	Submachine guns	2
			850	Related components	4
Malaysia	2	0001a	6,090	Components for submachine guns	351
Mexico	3	0001a	102,178	Components for rifles and carbines	180,617
San Marino	2	0001a	1,514	Components for rifles and carbines	91
Saudi Arabia	6	0001a	1,580,880	Components for rifles and carbines	139,000
		0001a	553,590	Components for submachine guns	15,000
Serbia and Montenegro	1	0001a	36,800	Submachine guns	32
			11,872	Related components	128
Singapore	6	0001a	166,840	Submachine guns	160
			39,122	Related components	1,448
Slovakia	1	0001a	17,100	Submachine guns	15
			4,128	Related components	45
Slovenia	3	0001a	5,300	Rifles and carbines	5
			65	Related components	1
		0001a	19,074	Components for submachine guns	421
Thailand	13	0001a	114,864	Rifles and carbines	82
			249,998	Related components	2,851
		0001a	106,529	Submachine guns	80
			12,847	Related components	136
		0001a	8,579	Components for machine guns	117
United Arab Emirates	1	0001a	607,230	Rifles and carbines	351
Total	50		4,199,101		

Table C: Individual licenses for **Ammunition** for Small Arms, including Explosive Stores –
 Values in €Millions

Year	EU Member States	NATO/NATO-Equivalent Countries (without EU Countries)	Third Countries	Individual Licenses (Total)
1996	0.30	0.50	0.09	0.89
1997	4.60	5.00	0.74	10.34
1998	4.64	10.09	0.63	15.36
1999	2.83	14.95	0.15	17.93
2000	2.81	2.84	0.04	5.69
2001	2.20	12.46	1.80	16.46
2002	7.08	6.10	1.88	15.06

The two following illustrations show the distribution among the three above-named country groups of the licenses issued in 2001 and 2002 for the export of small arms ammunition:

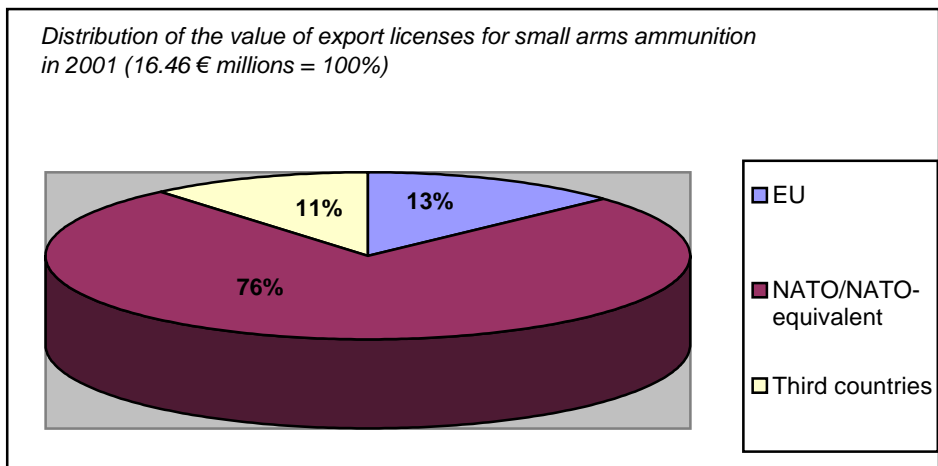
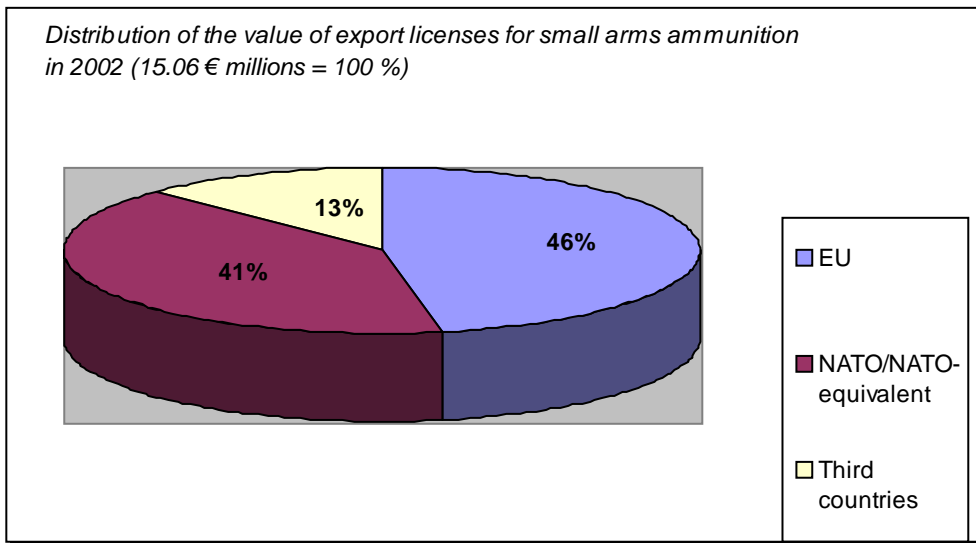


Table D: Individual Licenses for the Export of Small Arms **Ammunition** and Explosive Stores to Third Countries, by Country, for 2002⁴⁷

Country	Licenses (total)	EL positions	Value (€)	Designation	Units
Latvia	2	0003	330,813	Ammunition for rifles	4,090,000
San Marino	1	0003	16	Ammunition for rifles (parts)	4
Singapore	1	0003	423,000	Ammunition for machine guns (parts)	83,000
South Africa	2	0003	1,122,000	Ammunition for rifles (parts)	18,700,000
Thailand	3	0003	600	Ammunition for rifles	1,000
		0003	3,750	Ammunition for submachine guns	5,000
		0003	1,363	Ammunition for machine guns (parts)	6,030
Total	9		1,881,542		

The total value of export licenses accounted for by small arms and related ammunition continues to be extremely low. In 2002, its share amounted to 1.3% (prior year: 1.5%).

2. Exports of war weapons

a) War weapon exports in reporting year 2002

We have figures on actual exports made in 2002 in the sub-section comprising war weapons. Germany's Federal Statistical Office (DESTATIS) determined that goods for a total value of €318.4 million (0.06% of all German exports) were exported from Germany. Compared to the previous year (€367.3 million), this was a 13.31% decline. In value terms, 98% of the war weapons exports went to EU, NATO, and NATO-equivalent countries; according to the Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment⁴⁷, such exports are not to be restricted. The exports of war weapons are largely commercial transactions; to some extent, however, they are also transfers of Bundeswehr stocks.

⁴⁷ "Small arms ammunition" comprises ammunition for: guns (war weapons), submachine guns, automatic and semi-automatic weapons, smooth-bore military weapons, weapons for caseless ammunition and parts for such weapons). No license denial were registered for the year on report.

War weapons for a total value of €3.1 million (= roughly 1% of total war weapon exports) went to classic developing countries⁴⁸ in 2002. Of these, exports valued at €2.4 million went to Egypt and €0.4 million to Thailand. The share of exports going to classic developing countries thus continues to be extremely small. Just as the year before, no war weapons were exported in 2002 to the poorest and other developing countries with low incomes⁴⁹.

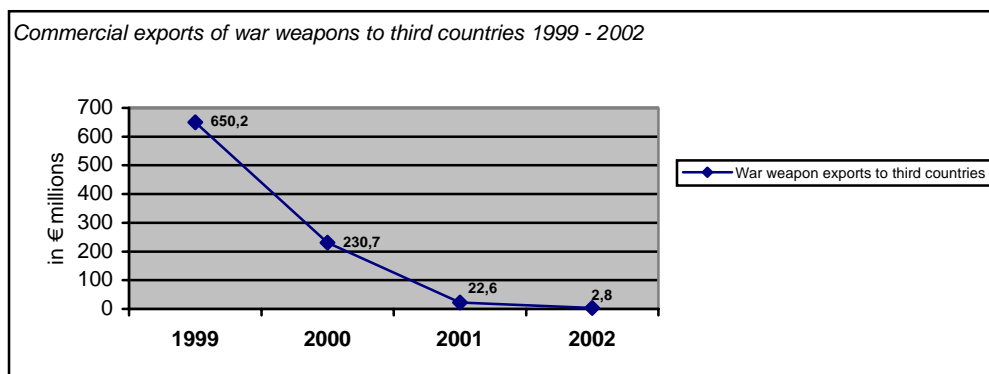
(1) Bundeswehr exports

Within the exports, a merchandise value of €22.3 million (some 7% of total exports of war weapons) was accounted for by the transfer of used, no longer needed material provided by the German Ministry of Defense. The exports went to Greece (44%), Poland (24%), Austria (16%), and Egypt (11%). The remaining 5% was spread among France, Italy, the United Kingdom, Sweden, Belgium, Lithuania, Canada, and Chile.

(2) Commercial exports

The value of German companies' commercial exports amounted to €296 million in 2002 (some 93% of total exports of war weapons). Of this amount, 99% (€293.2 million) of exports went to the countries named under II of the Political Principles of 19 January 2000, of which just under 7% (€20.1 million) went to NATO-equivalent countries outside the EU.

Commercial supplies of war weapons to third countries amounted to €2.8 million. This was another decline from the previous year, amounting to 87% less than the comparable figure for the year 2001. Ships accounted for approximately 18% of this figure, ammunition and shells roughly 46%, firearms and artillery some 25%.



⁴⁸ See footnote 4 for the definition of developing countries.

⁴⁹ Poorest and other developing countries and low-income areas under Part 1 of the OECD's DAC List for 2001.

Some 43% of commercial supplies to third countries consisted of exports to Israel (€1.2 million) and were chiefly comprised of bomblets, homing heads, and propellant charges. These were originally imported from Israel to Germany; the (re)export to Israel was undertaken with the purpose of returning or repairing defect units. Further exports to third countries went to Uruguay (17% tugboats), Thailand (12.5% above all submachine guns and barrels), and Egypt (7.5% above all submachine guns). The other exports went to Singapore, Latvia, Lithuania, Serbia and Montenegro, Brazil, and Saudi Arabia and principally consisted of small firearms and parts. In the case of Serbia and Montenegro, the exports were in connection with equipping the UN mission in Kosovo (submachine guns).

Included in total amount of commercial exports are also the so-called "processed exports" (such as the re-export of war weapons after repairs or upgrading in Germany) for a total of some €62 million. In this connection, it should be pointed out that re-exports are included in the overall export values of a respective year by Germany's Federal Statistical Office at the full original price. The upgrading in Germany is therefore considerably below the export value given.

The ten most important consignee countries for commercial exports of war weapons in 2002 were:

Netherlands	€63.7 million
Italy	€51.3 million
Denmark	€29.4 million
United Kingdom	€24.4 million
Greece	€23.8 million
France	€19.2 million
Switzerland	€17.0 million
Turkey	€13.0 million
Spain	€11.7 million
Sweden	€10.2 million
Total	€263.7 million

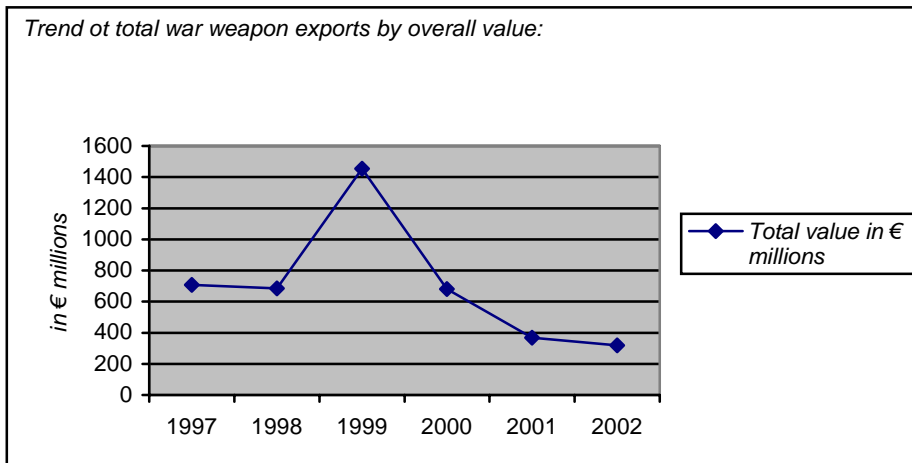
These ten countries were thus consignees for 89% of the commercial war weapon exports.

b) War weapon exports from 1997 to 2002

The table below shows the total value of annual war weapons exports (including supplies from the Bundeswehr) and their percentage value of total German exports in the course of the last six years.

Year	Total value in € million	% share of total German exports
1997	707.4	0.16
1998	683.9	0.14
1999	1454.2	0.29
2000	680.2	0.11
2001	367.3	0.06
2002	318.4	0.06

Plotted on a chart, the trend is as follows:



3. German military equipment exports by international comparison

The problems entailed in carrying out a worldwide comparison of actual exports of military equipment was outlined in some detail in the 2001 Military Equipment Export Report. In the meantime, no further measures have been undertaken to unify the relevant statistical foundations

or compilation techniques. It is important to note that even the minutely researched publications by non-government organizations and specialized institutions are ultimately only of limited value, a fact that is made clear by their broadly divergent findings.

The study by the United States Congressional Research Service on the arms trade, which was mentioned in last year's Report and continues to be relatively up-to-date does not rank Germany among the top eleven countries in terms of worldwide arms deliveries in 2001. In the category of supply contracts concluded, Germany stood at fourth place (behind the United States, Russia, and France). But neither deliveries nor contract closures were registered for developing countries.⁵⁰ According to these data, a strong increase in actual exports for 2002 was to be anticipated; however, this was not the case according to our Report on Military Equipment Exports.

According to the annual statistical comparison of the London International Institute for Strategic Studies (IISS), Germany was not among the top eleven countries in terms of arms deliveries in 2001.⁵¹ The Study shows that, with a market share of roughly 0.5%, Germany is likely to lag behind countries such as Slovakia, Belgium, Greece, and South Korea. Furthermore, the Study reveals the United States, the United Kingdom, and Russia, followed by France, China, Israel, and Ukraine as the clear leaders.⁵² According to a draft of the new Study, Germany is likely to rank number 8 for 2002.

The Stockholm SIPRI Institute puts Germany at fifth place for 2002, with a market share of somewhat under 5%.⁵³ For the period from 1998 to 2002, Germany ranked number four according to the Institute, and for the period 1997 to 2001 number five;⁵⁴ SIPRI's special analytical methods, which are explained in detail in the Yearbook that is cited, hardly permit a comparison with the results of other institutions.⁵⁵

⁵⁰ CRS Report for Congress: Conventional Arms Transfers to Developing Nations, 1994 – 2001 of 6 August 2002, at <http://www.fas.org/asmp/resources/govern/crs-rl31529.pdf>

⁵¹ For the year 2002, only a preliminary version of "The Military Balance 2003/2004" was available by the copy deadline of our Report; the preliminary version ranks Germany number 8 for 2002.

⁵² The International Institute of Strategic Studies, "The Military Balance 2002/2003," pp. 339-341.

⁵³ SIPRI Yearbook 2003, p. 444.

⁵⁴ SIPRI Yearbook 2003, p. 470.

⁵⁵ SIPRI bases its calculations on a so-called "trend indicator value." The attempt is made to estimate the actual value of a weapon system, independent of the purchasing price actually agreed on for the specific transaction, since gifts, over-priced offers, and military assistance otherwise remain unaccounted for. To determine this price (fictive but reflective of the significance of the transaction), SIPRI works with various estimates, rules of thumb, and comparative measures.

IV. Military Aid

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

V. Criminal Prosecution Statistics and Outline of Preliminary Criminal Proceedings

1. Criminal prosecution statistics

Criminal prosecution statistics⁵⁶ reveal that a total of 87 persons were convicted for violating the War Weapons Control Act in 2001 and 27 for violating the Foreign Trade and Payments Act. Of the 87 persons convicted for violations of the War Weapons Control Act in 2001, 85 were found guilty under general criminal statutes and 2 under criminal statutes applicable to juveniles. Forty-four persons convicted under the general criminal statutes for violations of the War Weapons Control Act received prison sentences, 40 of which were suspended on parole; 41 persons were fined. In the two cases in which juveniles were convicted, the violation was punished by corrective measures.

Of the 27 persons convicted in 2001 for violations of the Foreign Trade and Payments Act, 26 were found guilty under general criminal statutes and one person under criminal statutes applicable to juveniles. Fifteen persons convicted for violations of the Foreign Trade and Payments Act under general criminal statutes were given jail sentences, 14 of which were suspended on parole; 11 persons were fined. The person convicted under criminal statutes applicable to juveniles was punished by corrective measures.

⁵⁶ Criminal prosecution statistics are restricted to convictions in the Federal Republic's original states (including the former East and West Berlin). Figures for 2002 are not yet available.

The above mentioned convictions are only partly connected to the export of military equipment and are therefore only of limited significance in terms of the present Report. The convictions for violations of the War Weapons Control Act relate to dealing with war weapons but not necessarily to the export of war weapons. The convictions for violating the Foreign Trade and Payments Act relate to export transactions but not necessarily to the export of military equipment.

2. Outline of preliminary proceedings under criminal statutes

The information given below on investigations into unauthorized exports of military equipment was reported by the Zollkriminalamt (Customs Criminal Investigation Office) for 2002. The following table derives from information reported by the customs investigation offices, which, in turn, are obliged to notify the Zollkriminalamt of corresponding proceedings. Despite this reporting obligation, the outline below does not claim to be complete. Moreover, proceedings under the War Weapons Control Act, for which the police from the individual German states and the Bundeskriminalamt (Federal Criminal Police Office) are responsible, are not included.

a) Investigations concluded in the year under review

The Zollkriminalamt reported a total of 26 investigations against a total of 35 suspects (6 of which were conducted against unknown persons) that were concluded in the year on report. Among these are five proceedings (highlighted in *italics* in the table below) for violations of the War Weapons Control Act.

The individual cases are listed below. The following reasons for termination are relevant for the conclusion of proceedings without judgments:

Section 153 StPO: (Strafprozessordnung = German Code of Criminal Procedure): no major proceedings since potential guilt of the offender slight and no public interest in prosecution.

Section 153a StPO: waiver of public trial in return for constraints and instructions upon less seriousness of guilt.

Section 154 Subsection 1 Nr. 1 StPO: waiver of criminal prosecution if the penalty anticipated would not significantly add to penalties for other violations committed.

Section 170 Subsection 2 StPO: the investigative proceedings do not adequately provide the occasion for initiating public proceedings.

Country of destination of merchandise	Outcome of proceedings	Merchandise EL Part A
<i>Iran, Netherlands</i>	<i>Terminated under Sections 154 (1) (1), 170 (2), 204 (1) StPO</i>	<i>43 Lynx tanks (Iran) and 5 tank engines (NL) (War Weapons Control Act)</i>
<i>Pakistan</i>	<i>Terminated under Section 170(2) StPO</i>	<i>6 MI-17 helicopters (War Weapons Control Act)</i>
<i>Unknown</i>	<i>Terminated under Section 170(2) StPO</i>	<i>Unknown number and type of war weapons (War Weapons Control Act)</i>
Eritrea	Terminated under Section 153a StPO upon payment of €6,500 and €1,000	Tank engines, other military motors and vehicles
Libya	Terminated under Section 170(2) StPO	Spare parts for military vehicles
Libya, Iran, New Zealand	Terminated under Section 170(2) StPO	Direction finders, radio equipment, and navigation equipment
Iran	Terminated under Section 170(2) StPO	Tools for producing military equipment (cannons, rocket parts, etc.)
USA	Terminated under Section 153a StPO upon payment of €1,500	290 revolver magazines
EU countries and diverse third countries	Terminated under Section 153a StPO	Military coating lacquers
Italy, UK	Terminated under Section 170(2) StPO	Parts for combat aircraft TORNADO and light aircraft TUCAN
Israel, Switzerland	Terminated under Section 153a StPO upon payment of €15,000	Monitors for installation in tanks and military aircraft
EU countries, South Korea, Singapore, Switzerland, Czech Republic, Turkey	Terminated under Section 153 StPO	Mixed pigments to produce camouflage paint
Switzerland, Egypt	Terminated under Section 153 StPO	Single-base propellant and cartridge cases
Canada, France	Terminated under 153a StPO upon payment of DM 1,500	Ballistic sample and study for add-on armor of GBC 180 tactical vehicle
USA, Canada, Switzerland	Terminated under Section 153 StPO	Protective suits and precursor material for production
Bosnia-Herzegovina	Terminated under Section 153 StPO	2 mine clearance vehicles
Switzerland	Terminated under Section 153 StPO	685 barrel blanks for boring rifle barrels

<i>Jordan, Iraq</i>	<i>Terminated under Section 170 (2) StPO</i>	<i>40 rocket launchers, know-how for establishing a fiberglass and epoxy resin production for the manufacture of weapon parts (War Weapons Control Act)</i>
<i>Liberia</i>	<i>Terminated under Section 170(2)</i>	<i>AK 47 assault rifles, machine guns, shoulder-fired anti-tank weapons, multi-rocket launchers, spare parts and ammunition for a total value of approximately US \$16 million (War Weapons Control Act)</i>
Norway	Terminated under Section 153a StPO upon payment of DM 3,000	26 recovery winches
Oman	Terminated under Section 153 StPO	Electrical starter, propulsion bearings, carbon brushes for military ground vehicles
Nigeria	Terminated under Section 170(2) StPO	49 military trucks
EU countries	Terminated under Section 153 StPO	Insert cards for computers for the testing of military data bus systems
Norway, Czech Republic, Latvia	Terminated under Section 153 StPO	Technical fabric for camouflage
Israel	Terminated under Section 153 StPO	Hammer and twist spikes for the production of gun barrels
Slovenia	Terminated under Section 153 StPO	weapon components and accessories

b) Open investigations (initiated in the year under report)

The Zollkriminalamt launched 8 investigative proceedings, not concluded as yet, against a total of 12 suspects (one of which was filed against unknown) during the year on report⁵⁷. Among these are three proceedings in connection of violations of the War Weapons Control Act (in *italics*). The cases are as follows:

⁵⁷ Proceedings initiated prior to the year 2001 but not concluded in that year are not covered here. Figures for 2002 are not yet available.

Country of destination	Merchandise Part A of EL
<i>Iraq</i>	<i>Spare parts for American helicopters and Russian MIG-29 combat aircraft (War Weapons Control Act)</i>
<i>Czech Republic/Germany</i>	<i>Ten Skorpion submachine guns, ammunition, and C4 explosives (War Weapons Control Act)</i>
<i>Near/Middle East</i>	<i>Twelve MI-17, MI-25, and MI-35 military helicopters, 11,000 shoulder-fired anti-tank weapons, and 40 rocket launchers</i>
Switzerland, United States, East European and African countries	System technology for weapons (triggers, round followers, etc.)
Togo	35 military trucks
South Africa, Italy, Spain	blanks of gear parts for PH 2000 armored self-propelled howitzer
Unknown	Parts for military aircraft
Switzerland	One Bergstutzen rifle with telescopic sight and ammunition

VI. Military Equipment Cooperation

In 2002, no new intergovernmental cooperation measures with German participation were initiated on the export of military equipment.

VII. Concluding Remarks

In compliance with the Political Principles of 19 January 2000, the German government pursues a restrictive licensing policy with regard to military equipment exports. In the coalition agreement of 16 October 2002, the position described above was also confirmed as the policy of the new German government. The share of military equipment in total German exports has been very low for many years. In 2002, the share of actual war weapon exports in total German exports again stood at 0.06%.

The legal provisions on exports allow the export of military equipment from Germany only after a comprehensive authorization procedure. In considering its decision pursuant to the export criteria of the Political Principles and of the European Union Code of Conduct on Arms Exports, the German government pursues a restrictive licensing policy aimed at safeguarding the peace and preventing armed conflict and inhibiting the use of weapons from Germany in connection with

the violation of human rights, in particular in relation to the supply of military equipment to third countries, i.e. outside the EU, NATO, and NATO-equivalent countries (Australia, Japan, New Zealand, and Switzerland).

Annex 1a

Political Principles

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

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

The Government of the Federal Republic of Germany, desiring

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

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

I General Principles

1. The Federal Government's decisions regarding the export of war weapons¹ and other military equipment² are made in accordance with the provisions of the War Weapons Control Act and the Foreign Trade and Payments Act as well as the EU Code of Conduct for Arms Exports adopted by the European Council on 8 June 1998³ and such arrangements as may be agreed subsequently as well as the Principles Governing Conventional Arms Transfers adopted by the Organization for Security and Cooperation in Europe (OSCE) on 25 November 1993. The criteria laid down in the EU Code of Conduct are an integral part of these Policy Principles. The standards stipulated in the Code of Conduct will be superseded by any more stringent standards that may be derived from the following principles:

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

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

³ enclosed as annex

2. The issue of respect for human rights in the countries of destination and end-use is a key factor in deciding whether or not to grant licences for the export of war weapons and other military equipment.
3. On principle export licences for war weapons and other military equipment shall not be granted where there are reasonable grounds to suspect they will be used for internal repression as defined in the EU Code of Conduct for Arms Exports or the sustained and systematic abuse of human rights. In this context the assessment of the human rights situation in the recipient country is an important factor to be considered.
4. Such assessments will take into account the views of the European Union, the Council of Europe, the United Nations (UN), the OSCE and other international bodies. Reports issued by international human rights organizations will also be taken into consideration.
5. The end-use of war weapons and other military equipment must be definitively determined.

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

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

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

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

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

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

To give effect to its arms exports policy principles, the Federal Government reserves the right by way of consultations to object to particular export projects envisaged by its cooperation partners. All new cooperation agreements should therefore aim in principle to incorporate a consultations procedure enabling the Federal Government to raise effectively any objections it might have to exports

⁴ Area of application of NATO Treaty, Article 6

⁵ Australia, Japan, New Zealand, Switzerland

envisaged by its partner country. In so doing the Federal Government will seek, in the light of the human rights criterion, to strike a balance between its interest in cooperation and its fundamentally restrictive arms exports policy.

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

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

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

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

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

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

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

III Other countries

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

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

4. Export licences pursuant to the War Weapons Control Act and/or the Foreign Trade and Payments Act will not be granted where the internal situation in the country concerned precludes such action, e.g. in the case of armed conflict or where there are reasonable grounds for suspecting such exports may be used for internal repression or the sustained and systematic abuse of human rights. In this context the human rights situation in the recipient country is a major factor to be considered.
5. No licences will be granted for the export of war weapons and other military equipment related to war weapons⁶ to countries
 - involved in armed conflict or where armed conflict is imminent,
 - where the outbreak of armed conflict is imminent or where such exports would stir up, perpetuate or exacerbate latent tensions and conflicts.

⁶ Plant and documentation for the manufacturer of war weapons

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

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

IV Definitive determination of end-use

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

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

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

4. A recipient country that, in breach of an end-use certificate, authorizes or does not seek to prevent or sanction the unauthorized re-export of war weapons or other military equipment relevant to war weapons will on principle, as long as such conditions persist, be excluded from receiving any further deliveries of war weapons or other military equipment related to war weapons.

V Arms exports report

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

ANNEX

EU CODE OF CONDUCT FOR ARMS EXPORTS

adopted by the EU-Council on 8 June 1998

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

CRITERION ONE

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

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

...

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

CRITERION TWO

The respect of human rights in the country of final destination

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

- a) not issue an export licence if there is a clear risk that the proposed export might be used for internal repression.
- b) exercise special caution and vigilance in issuing licences, on a case-by-case basis and taking account of the nature of the equipment, to countries where serious violations of human rights have been established by the competent bodies of the UN, the Council of Europe or by the EU;

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

CRITERION THREE

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

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

CRITERION FOUR

Preservation of regional peace, security and stability

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

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

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

CRITERION FIVE

The national security of the member states and of territories whose external relations are the responsibility of a Member State, as well as that of friendly and allied countries

Member States will take into account:

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

CRITERION SIX

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

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

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

CRITERION SEVEN

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

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

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

CRITERION EIGHT

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

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

OPERATIVE PROVISIONS

1. Each EU Member State will assess export licence applications for military equipment made to it on a case-by-case basis against the provisions of the Code of Conduct.

2. This Code will not infringe on the right of Member States to operate more restrictive national policies.

3. EU Member States will circulate through diplomatic channels details of licences refused in accordance with the Code of Conduct for military equipment together with an explanation of why the licence has been refused. The details to be notified are set out in the form of a draft pro-forma at Annex A. Before any Member State grants a licence which has been denied by another Member State or States for an essentially identical transaction within the last three years, it will first consult the Member State or States which issued the denial(s). If following consultations, the Member State nevertheless decides to grant a licence, it will notify the Member State or States issuing the denial(s), giving a detailed explanation of its reasoning.

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

4. EU Member States will keep such denials and consultations confidential and not to use them for commercial advantage.

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

ANNEX A

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

Destination country:.....

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

Proposed consignee:.....

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

Reason for refusal:.....

Date of denial:.....

Annex 2 a

As at 24 October 2001

List of Controlled Export Goods

Part I

A Munitions List

0001 Arms and automatic weapons with a calibre of 12.7 mm (calibre 0.50 inches) or less and accessories, as follows, and specially designed components therefor:

a) Rifles, carbines, revolvers, pistols, machine pistols and machine guns;

Note:

Sub-item 0001a does not control the following weapons:

1. Muskets, rifles and carbines manufactured earlier than 1938,
2. reproductions of muskets, rifles and carbines, the originals of which were manufactured earlier than 1890,
3. revolvers, pistols and machine guns manufactured earlier than 1890, and their reproductions.

b) Smooth-bore weapons specially designed for military use;

Technical Note:

Smooth-bore weapons specially designed for military use as specified in sub-item 0001b are those which:

1. are proof tested at pressures above 1,300 bars,
2. operate normally and reliably at pressures above 1,000 bars and
3. are capable of accepting ammunition above 76.2 mm in length (i.e. longer than commercial 12-gauge magnum shotgun shells).

Note:

See also sub-item 0023a.

c) Weapons using caseless ammunition;

d) Silencers, special gun mountings, clips, flash suppressers for the arms controlled by sub-items 0001a, 0001b and 0001c, and weapon sights specially designed for military use;

Notes regarding sub-items 0001a to 0001d:

1. Sub-items 0001a to 0001d do not control smooth-bore weapons for hunting or sporting purposes. These weapons must not be specially designed for military use or of the fully automatic firing type.
2. Sub-items 0001a to 0001d do not control firearms specially designed for dummy ammunition and which are incapable of firing ammunition controlled by Item 0003.

3. Sub-items 0001a to 0001d does not control weapons using non-centre fire cased ammunition and which are not of the fully automatic firing type.

e) **Arms and automatic weapons of all types and specially designed components therefor – also so far as the weapons and components are not controlled by sub-items 0001a to 0001d –, if purchaser or country of destination is Bosnia and Herzegovina, the Federal Republic of Yugoslavia or Croatia.**

0002 Armament or weapons with a calibre greater than 12.7 mm (calibre 0.50 inches), projectors and accessories, as follows, and specially designed components therefor:

a) **Guns, howitzers, cannon, mortars, anti-tank weapons, projectile and rocket launchers, military flame-throwers, recoilless rifles and signature reduction devices therefor;**

Note:

Sub-item 0002a includes injectors, metering devices, storage tanks and other specially designed components for use with liquid propelling charges for any of the equipment controlled by sub-item 0002a.

b) **military smoke, gas and pyrotechnic projectors or generators;**

Note:

Sub-item 0002b does not control signal pistols.

c) **Weapon sights specially designed for the weapons controlled by sub-item 0002a.**

0003 Ammunition, and specially designed components therefor, for the weapons controlled by Items 0001, 0002 or 0012:

Notes:

1. Specially designed components include:

- a) Metal or plastic fabrications such as primer anvils, bullet cups, cartridge links, rotating bands and other munitions metal parts,
- b) safing and arming devices, fuses, sensors and initiation devices,
- c) power supplies with high one-time operational output,
- d) combustible cases for charges,
- e) submunitions including bomblets, minelets and terminally guided projectiles.

2. Item 0003 does not control ammunition crimped without projectile (blank star) and dummy ammunition with a pierced powder chamber, unless the purchasing country or country of destination is Bosnia and Herzegovina, the Federal Republic of Yugoslavia or Croatia.

3. Item 0003 does not control cartridges specially designed for any of the following purposes, unless the purchasing country or country of destination is Bosnia and Herzegovina, the Federal Republic of Yugoslavia or Croatia:

- a) Signalling,
- b) bird-scaring or
- c) lighting of gas flares at oil wells.

4. Item 0003 does not control cal. 22 non-centre fire cased ammunition, unless the purchasing country or country of destination is Bosnia and Herzegovina, the Federal Republic of Yugoslavia or Croatia.

0004 Bombs, torpedoes, rockets, missiles, and related equipment and accessories, as follows, specially designed for military use, and specially designed components therefor:

- a) **Bombs, torpedoes, grenades, smoke canisters, rockets, mines, missiles, depth charges, demolition charges, demolition devices and demolition kits, military pyrotechnic devices, cartridges and simulators (i.e. equipment simulating the characteristics of any of these items);**

Note:

Sub-item 0004a includes:

1. Smoke grenades, fire bombs, incendiary bombs and explosive devices,
2. missile rocket nozzles and re-entry vehicle nosetips.

- b) **Equipment specially designed for the handling, control, activation, powering with one-time operational output, launching, laying, sweeping, discharging, decoying, jamming, detonation or detection of items controlled by sub-item 0004a.**

Note:

Sub-item 0004b includes:

1. Mobile gas liquefying equipment capable of producing 1,000 kg or more per day of gas in liquid form,
2. buoyant electric conducting cables suitable for sweeping magnetic mines.

Technical Note:

Hand-held devices, limited by design solely to the detection of metal objects and incapable of distinguishing between mines and other metal objects, are not considered to be specially designed for the detection of items controlled by sub-item 0004a.

0005 Fire control, and related alerting and warning equipment, and related systems, test and alignment and countermeasure equipment, as follows, specially designed for military use, and specially designed components and accessories therefor:

- a) **Weapon sights which are not controlled by sub-items 0001d or 0002c, bombing computers, gun laying equipment and weapon control systems;**
- b) **target acquisition, designation, range-finding, surveillance and tracking systems, detection, data fusion, recognition or identification equipment and sensor integration equipment;**
- c) **countermeasure equipment for equipment controlled by sub-items 0005a and 0005b;**
- d) **field test or alignment equipment, specially designed for the maintenance and servicing of equipment controlled by sub-items 0005a or 0005b.**

0006 Ground vehicles and components therefor, specially designed or modified for military use

Technical Note:

For the purposes of Item 0006, the term 'ground vehicles' includes trailers.

Notes:

...

1. Item 0006 includes:
 - a) Tanks and other military armed vehicles and military vehicles fitted with mountings for arms or equipment for mine laying or the launching of munitions controlled by Item 0004,
 - b) armoured vehicles,
 - c) amphibious and deep water fording vehicles,
 - d) recovery vehicles and vehicles for towing or transporting ammunition or weapon systems and associated load handling equipment.
2. Modification of a ground vehicle for military use entails a structural, electrical or mechanical change involving one or more specially designed military components. Such components include:
 - a) Pneumatic tyre casings of a kind specially designed to be bullet-proof or to run when deflated,
 - b) tyre inflation pressure control systems, operated from inside a moving vehicle,
 - c) armoured protection of vital parts (e.g., fuel tanks or vehicle cabs),
 - d) special reinforcements for mountings for weapons,
 - e) multicolour camouflage coating of the vehicle.
3. Item 0006 does not control civil automobiles or trucks designed for transporting money or valuables, having armoured protection.
4. Item 0006 does not control the following military components:
 - a) Lighting including blackout lighting,
 - b) brackets for rifles or other weapons,
 - c) brackets for camouflage nets,
 - d) NATO-type clutches,
 - e) roof hatches, round, with swivelling or hinged cover.

Supplementary Note:

See also sub-item 0023b and Part I C, Item 9A991.

0007 Chemical or biological toxic agents, tear gases, radioactive materials, related equipment, components, material and technology, as follows:

Note:

CAS numbers are shown as examples. They do not cover all the chemicals and mixtures controlled by Item 0007.

- a) **Biological agents and radioactive material adapted for use in war (to produce casualties in humans or animals, degrade equipment or damage crops or the environment) and chemical warfare (CW) agents;**
- b) **CW binary precursors and key precursors, as follows:**

...

1. **Alkyl (Methyl, Ethyl, n-Propyl or Isopropyl) Phosphonyl Difluorides, such as DF: Methyl Phosphonyldifluoride (CAS 676-99-3);**
 2. **O-Alkyl (H or equal to or less than C₁₀, including cycloalkyl), O-2-dialkyl (Methyl, Ethyl, n-Propyl or Isopropyl) aminoethyl alkyl (Methyl, Ethyl, n-Propyl or Isopropyl) phosphonite and corresponding alkylated or protonated salts, such as QL: O-Ethyl-2-di-isopropylaminoethyl methyl phosphonite (CAS 57856-11-8);**
 3. **Chlorosarin: O-Isopropyl methylphosphonochloridate (CAS 1445-76-7);**
 4. **Chlorosoman: O-Pinakolyl methylphosphonochloridate (CAS 7040-57-5);**
- c) **Tear gases and riot control agents including:**
1. **CA: Bromobenzyl cyanide (CAS 5798-79-8);**
 2. **CS: o-Chlorobenzylidenemalononitrile (CAS 2698-41-1);**
 3. **CN: ω-chloroacetophenone (CAS 532-27-4);**
 4. **CR: Dibenz-(b,f)-1,4-oxazepine (CAS 257-07-8);**
- d) **equipment specially designed or modified for the dissemination of any of the following and specially designed components therefor:**
1. **materials or agents controlled by sub-items 0007a or 0007c, or**
 2. **CW made up of precursors controlled by sub-item 0007b;**
- e) **equipment specially designed for defence against materials controlled by sub-items 0007a or 0007c, and specially designed components therefor:**
- Note:
- Sub-item 0007c includes protective clothing.
- f) **Equipment specially designed for the detection or identification of materials controlled by sub-items 0007a or 0007c, and specially designed components therefor:**
- Note:
- Sub-item 0007f does not control personal radiation monitoring dosimeters.
- Supplementary Note:
- For civil gas masks and protective equipment see also Part I C, Item 1A004.
- g) **Biopolymers specially designed or processed for the detection or identification of CW agents controlled by sub-item 0007a, and the cultures of specific cells used to produce them;**
- h) **biocatalysts for the decontamination or degradation of CW agents, and biological systems therefor, as follows:**
1. **Biocatalysts specially designed for the decontamination or degradation of CW agents controlled by sub-item 0007a, resulting from directed laboratory selection or genetic manipulation of biological systems;**
 2. **biological systems, as follows:**

Expression vectors, viruses or cultures of cells containing the genetic information specific to the production of biocatalysts controlled by sub-item 0007h1;

i) technology, as follows:

- 1. Technology for the development, production or use of toxicological agents, related equipment or components controlled by sub-items 0007a to 0007f;**
- 2. technology for the development, production or use of biopolymers or cultures of specific cells controlled by sub-item 0007g,**
- 3. technology exclusively for the incorporation of biocatalysts, controlled by sub-item 0007h1, into military carrier substances or military material.**

Notes:

1. Sub-item 0007a includes the following:

a) CW nerve agents:

1. O-Alkyl (equal to or less than C₁₀, including cycloalkyl) alkyl (Methyl, Ethyl, n-Propyl or Isopropyl) phosphonofluoridates, such as: Sarin (GB): O-Isopropyl methylphosphonofluoridate (CAS 107-44-8) and Soman (GD): O-Pinacolyl methylphosphonofluoridate (CAS 96-64-0);
2. O-Alkyl (equal to or less than C₁₀, including cycloalkyl) N,N-dialkyl (Methyl, Ethyl, n-Propyl or Isopropyl) phosphoramidocyanidates, such as: Tabun (GA): O-Ethyl N,N-dimethylphosphoramidocyanidate (CAS 77-81-6);
3. O-Alkyl (H or equal to or less than C₁₀, including cycloalkyl), S-2-dialkyl (Methyl, Ethyl, n-Propyl or Isopropyl) phosphonothiolates and corresponding alkylated or protonated salts, such as VX: O-Ethyl S-2-diisopropylaminoethyl methyl phosphonothiolate (CAS 50782-69-9);

b) CW vesicant agents:

1. Sulphur mustards, such as: 2-Chloroethylchloromethylsulphide (CAS 2625-76-5), Bis (2-chloroethyl) sulphide (CAS 505-60-2), Bis (2-chloroethylthio) methane (CAS 63869-13-6), 1,2-bis (2-chloroethylthio) ethane (CAS 3563-36-8), 1,3-bis (2-chloroethylthio)-n-propane (CAS 63905-10-2), 1,4-bis (2-chloroethylthio)-n-butane, 1,5-bis (2-chloroethylthio)-n-pentane, Bis (2-chloroethylthiomethyl) ether, Bis (2-chloroethylthioethyl) ether (CAS 63918-89-8);
2. Lewisites, such as: 2-chlorovinyl dichloroarsine (CAS 541-25-3), Bis (2-chlorovinyl) chloroarsine (CAS 40334-69-8), Tris (2-chlorovinyl) arsine (CAS 40334-70-1);
3. nitrogen mustards, such as: HN1: bis (2-chloroethyl) ethylamine (CAS 538-07-8), HN2: bis (2-chloroethyl) methylamine (CAS 51-75-2), HN3: tris (2-chloroethyl) amine (CAS 555-77-1);

c) CW incapacitating agents, such as:

BZ: 3-Quinuclidinyl benzilate (CAS 6581-06-2);

d) CW defoliants, such as:

1. Butyl (2-chloro-4-fluorophenoxy) acetate (LNF);
2. 2,4,5-trichlorophenoxyacetic acid mixed with 2,4-dichlorophenoxyacetic acid (Agent Orange).

...

2. Sub-item 0007e includes air conditioning units specially designed or modified for nuclear, biological or chemical filtration.
3. Sub-items 0007a and 0007c do not control:
 - a) Cyanogen chloride (CAS 506-77-4);
 - b) hydrocyanic acid (CAS 74-90-8);
 - c) chlorine (CAS 7782-50-5);
 - d) carbonyl chloride (phosgene) (CAS 75-44-5);
 - e) trichloromethyl chloroformate (diphosgene) (CAS 503-38-8);
 - f) ethyl bromoacetate (CAS 105-36-2);
 - g) xylyl bromide, ortho: (CAS 89-92-9), meta: (CAS 620-13-3), para: (CAS 104-81-4);
 - h) benzyl bromide (CAS 100-39-0);
 - i) benzyl iodide (CAS 620-05-3);
 - j) bromo acetone (CAS 598-31-2);
 - k) cyanogen bromide (CAS 506-68-3);
 - l) bromo methylethylketone (CAS 816-40-0);
 - m) chloro acetone (CAS 78-95-5);
 - n) ethyl iodoacetate (CAS 623-48-3);
 - o) iodo acetone (CAS 3019-04-3);
 - p) chloropicrin (CAS 76-06-2).
4. The technology, cultures of cells and biological systems listed in sub-items 0007g, 0007h2 and 0007i3 are exclusive and these sub-items do not control technology, cells or biological systems for civil purposes, such as agricultural, pharmaceutical, medical, veterinary, environmental or in the food industry.
5. Sub-item 0007c does not control tear gases or riot control agents individually packaged for personal self defence purposes.
6. Sub-items 0007d, 0007e and 0007f control equipment specially designed or modified for military purposes (i.e. the equipment meets the requirements of military standards).
7. See also Part I C, Item 1A004.
8. For precursors for the preparation of toxicological agents see Part I C, Item 1C350.
9. For related biological agents see Part I C, Items 1C351 to 1C354. The biological agents referred to therein are only controlled by sub-item 0007a, if they correspond to the term 'adapted for use in war'.

The export of these agents is forbidden according to Article 17 or 18 of the War Weapons Control Act, if they have war weapon characteristics.

0008 Military explosives and fuels, including propellants, and related substances, as follows:

...

Note:

CAS numbers are shown as examples. They do not cover all the chemicals and mixtures controlled by Item 0008.

a) Substances, as follows, and mixtures thereof:

- 1. Spherical aluminium powder (CAS 7429-90-5) with a particle size of 60 µm or less, manufactured from material with an aluminium content of 99 percent or more;**
- 2. metal fuels in particle form (whether spherical, atomised, flaked or ground), manufactured from material consisting of 99 percent or more of any of the following:**
 - a) Metals and mixtures thereof:**
 - 1. Beryllium (CAS 7440-41-7) in particle sizes of less than 60 µm;**
 - 2. iron powder (CAS 7439-89-6) with a particle size of 3 µm or less, produced by the reduction of iron oxide with hydrogen;**
 - b) mixtures, which contain any of the following:**
 - 1. Zirconium (CAS 7440-67-7), magnesium (CAS 7439-95-4) and alloys of these in particle sizes of less than 60 µm;**
 - 2. boron (CAS 7440-42-8) or boron carbide (CAS 12069-32-8) of 85 percent or higher purity and particle sizes less than 60 µm;**
- 3. perchlorates, chlorates and chromates composited with powdered metal or other high-energy fuel components;**
- 4. for the controlling of nitroguanidine (NQ) (CAS 556-88-7) see Part I C, Item 1C011d;**
- 5. compounds composed of fluorine and any of the following: other halogens, oxygen, nitrogen;**
- 6. carboranes, decaborane (CAS 17702-41-9), pentaborane and derivatives thereof;**
- 7. cyclotetramethylenetetranitramine (HMX) (CAS 2691-41-0);**
- 8. hexanitrostilbene (HNS) (CAS 20062-22-0);**
- 9. diaminotrinitrobenzene (DATB) (CAS 1630-08-6);**
- 10. triaminotrinitrobenzene (TATB) (CAS 3058-38-6);**
- 11. triaminoguanidinenitrate (TAGN) (CAS 4000-16-2);**
- 12. titanium subhydride of stoichiometry TiH 0.65-1.68;**
- 13. dinitroglycoluril (DNGU, DINGU) (CAS 55510-04-8), tetranitroglycoluril (TNGU, SORGUYL) (CAS 55510-03-7);**
- 14. tetranitrobenzotriazolobenzotriazole (TACOT) (CAS 25243-36-1);**
- 15. diaminohexanitrodiphenyl (DIPAM) (CAS 17215-44-0);**
- 16. picrylaminodinitropyridine (PYX) (CAS 38082-89-2);**
- 17. 3-nitro-1,2,4-triazol-5-one (NTO or ONTA) (CAS 932-64-9);**

...

18. hydrazine (CAS 302-01-2) in concentrations of 70 percent or more, hydrazine nitrate (CAS 37836-27-4), hydrazine perchlorate (CAS 27978-54-7), unsymmetrical dimethyl hydrazine (CAS 57-14-7), monomethyl hydrazine (CAS 60-34-4) and symmetrical dimethyl hydrazine (CAS 540-73-8);
 19. ammonium perchlorate (CAS 7790-98-9);
 20. cyclotrimethylenetrinitramine (RDX) (CAS 121-82-4);
 21. hydroxylammonium nitrate (HAN) (CAS 13465-08-2), hydroxylammonium perchlorate (HAP) (CAS 15588-62-2);
 22. 2-(5-cyanotetrazolato) penta amine-cobalt (III) perchlorate (CP) (CAS 70247-32-4);
 23. cis-bis (5-nitrotetrazolato) tetra amine-cobalt (III) perchlorate (BNCP);
 24. 7-amino-4,6-dinitrobenzofurazane-1-oxide (ADNBF) (CAS 97096-78-1), aminodinitrobenzofuroxane;
 25. 5,7-diamino-4,6-dinitrofurazan-1-oxide (CL-14) (CAS No. 117907-74-1) or amino dinitrobenzofuroxan;
 26. 2,4,6-trinitro-2,4,6-triazacyclohexanone (K-6 or Keto-RDX) (CAS 115029-35-1);
 27. 2,4,6,8-tetranitro-2,4,6,8-tetraazabicyclo [3,3,0]-octanone-3 (CAS 130256-72-3) (tetranitrosemiglycoluril, K-55 or keto-bicyclic HMX);
 28. 1,1,3-trinitroazetidine (TNAZ) (CAS 97645-24-4);
 29. 1,4,5,8-tetranitro-1,4,5,8-tetraazadecalin (TNAD) (CAS 135877-16-6);
 30. hexanitrohexaazaisowurtzitane (CAS 135285-90-4) (CL-20 or HNIW) and clathrates of CL-20;
 31. polynitrocubanes with more than four nitro groups;
 32. ammonium dinitramide (ADN or SR 12) (CAS 140456-78-6);
 33. trinitrophenylmethylnitramine (tetryl) (CAS 479-45-8);
- b) explosives and propellants that meet the following performance parameters:
1. Any explosive with a detonation velocity exceeding 8,700 m/s or a detonation pressure exceeding 34 GPa (340 kbar);
 2. other organic explosives not listed in Item 0008, yielding detonation pressures of 25 GPa (250 kbar) or more that will remain stable at temperatures of 523 K (250 °C) or higher for periods of 5 minutes or longer;
 3. any other United Nations (UN) Class 1.1 solid propellant not listed in Item 0008, with a theoretical specific impulse (under standard conditions) of more than 250 seconds for non-metallised, or more than 270 seconds for aluminised compositions;
 4. any other United Nations (UN) Class 1.3 solid propellants not listed in Item 0008, with a theoretical specific impulse of more than 230 seconds for non-halogenised, 250 seconds for non-metallised and 266 seconds for metallised compositions;
 5. any other gun propellants not listed in Item 0008 having a force constant of more than 1,200 kJ/kg;

6. any other explosive, propellant or pyrotechnic not listed in Item 0008 that can sustain a steady-state, uniform burning rate of more than 38 mm/s at 6.89 MPa (68.9 bar) pressure and 294 K (21 °C); or
 7. elastomer modified cast double-base propellants with (EMCDB), with extensibility at maximum stress of more than 5 percent at 233 K (-40 °C);
- c) military pyrotechnics;
- d) other substances, as follows:
1. aircraft fuels specially formulated for military purposes;
 2. military materials containing thickeners for hydrocarbon fuels specially formulated for use in flame-throwers or incendiary bombs, such as metal stearates or palmates (also known as octal) (CAS 637-12-7) and M1, M2, M3 thickeners;
 3. liquid oxidisers comprised of or containing inhibited red fuming nitric acid (IRFNA) (CAS 8007-58-7) or oxygen difluoride;
- e) additives and precursors, as follows:
1. Azidomethylmethyloxetane (AMMO) and its polymers;
 2. basic copper salicylate (CAS 62320-94-9), lead salicylate (CAS 15748-73-9);
 3. bis(2,2-dinitropropyl) formal (CAS 5917-61-3) or bis(2,2-dinitropropyl) acetal (CAS 5108-69-0);
 4. bis-(2-fluoro-2,2-dinitroethyl) formal (FEFO) (CAS 17003-79-1);
 5. bis-(2-hydroxyethyl) glycolamide (BHEGA) (CAS 17409-41-5);
 6. bis(2-methyl aziridiny) methylamino phosphine oxide (Methyl BaPO), (CAS 85068-72-0);
 7. bisazidomethyloxetane and its polymers (CAS 17607-20-4);
 8. bischloromethyloxetane (BCMO) (CAS 142173-26-0);
 9. butadienenitrileoxide (BNO);
 10. butanetrioltrinitrate (BTTN) (CAS 6659-60-5);
 11. catocene (CAS 37206-42-1) (2,2-Bis-ethylferrocenyl propane), ferrocene carboxylic acids, N-butyl-ferrocene (CAS 319904-29-7), butacene (CAS 125856-62-4) and other adducted polymer ferrocene derivatives;
 12. dinitroazetidine-t-butyl salt;
 13. energetic monomers, plasticisers and polymers containing nitro, azido, nitrate, nitraza or difluoramino groups;
 14. FPF-1: Poly-2,2,3,3,4,4-hexafluoropentane-1,5-diol formal;
 15. FPF-3: Poly-2,4,4,5,5,6,6-heptafluoro-2-tri-fluoromethyl-3-oxaheptane-1,7-diol formal;
 16. glycidylazide polymer (GAP) (CAS 143178-24-9) and its derivatives;
 17. hexabenzylhexaazaisowurtzitane (HBIW) (CAS 124782-15-6);

18. hydroxyl terminated polybutadiene (HTPB) with a hydroxyl functionality equal to or greater than 2.2 and less than or equal to 2.4, a hydroxyl value less than 0.77 meq/g, and a viscosity at 303 K (30 °C) of less than 47 poise (CAS 69102-90-5);
19. superfine iron oxide (Fe₂O₃ hematite) with a specific surface area greater than 250 m²/g and an average particle size of 0.003 μm or less (CAS 12309-37-1);
20. lead beta-resorcylate (CAS 20936-32-7);
21. lead stannate (CAS 12036-31-6), lead maleate (CAS 19136-34-6), lead citrate (CAS 14450-60-3);
22. lead-copper-chelates of beta-resorcylate and/or salicylate (CAS 68411-07-4);
23. nitratomethylmethyloxetane or poly (3-nitratomethyl, 3-methyl oxetane) (Poly-NIMMO, NMMO) (CAS 84051-81-0);
24. 3-nitrazo-1,5-pentane diisocyanate (CAS 7406-61-9);
25. N-methyl-p-nitroaniline (CAS 100-15-2),
26. organo-metallic coupling reagents, specifically titanium-IV-compounds:
 - a) 2,2-[bis-2-propenolato-methyl, butanolato tris (dioctyl) phosphato] (LICA 12) (CAS 103850-22-2);
 - b) [(2-propenolato-1) methyl, n-propenolatomethyl] butanolato-1, tris(dioctyl)pyrophosphate (KR 3538);
 - c) [(2-propenolato-1) methyl, n-propenolatomethyl] butanolato-1, tris(dioctyl)phosphate;
27. polycyanodifluoroaminoethyleneoxide (PCDE);
28. polyfunctional aziridine amides with isophthalic, trimesic (BITA or butylene imine trimesamide), isocyanuric or trimethyladipic backbone structures and 2-methyl or 2-ethyl substitutions on the aziridine ring;
29. polyglycidylnitrate or poly (nitratomethyl oxirane), (Poly-GLYN, PGN) (CAS 27814-48-8);
30. polynitroorthocarbonates;
31. propyleneimide, 2-methylaziridine (CAS 75-55-8);
32. tetraacetyldibenzylhexaazaisowurtzitane (TAIW);
33. tetraethylenepentaamineacrylonitrile (TEPAN) (CAS 68412-45-3), cyanoethylated polyamines and their salts;
34. tetraethylenepentaamineacrylonitrileglycidol (TEPANOL) (CAS 68412-46-4), cyanoethylated polyamines adducted with glycidol and their salts;
35. triphenyl bismuth (TPB) (CAS 603-33-8);
36. tris-1-(2-methyl)aziridinyl phosphine oxide (MAPO) (CAS 57-39-6), bis(2-methyl aziridinyl) 2-(2-hydroxypropanoxy) propylamino phosphine oxide (BOBBA 8) and other MAPO derivatives;
37. 1,2,3-tris[(1,2-bis-difluoroamino)ethoxy] propane (TVOPA) (CAS 53159-39-0);

...

38. 1,3,5-trichlorobenzene (CAS 108-70-3);
39. 1,2,4-butanetriol (1,2,4-trihydroxybutane);
40. 1,3,5,7-tetraacetyl-1-3,5,7-tetraaza cyclo-octane (TAT) (CAS 41378-98-7);
41. 1,4,5,8-tetraazadecalin (CAS 5409-42-7);
42. **low (less than 10,000) molecular weight, alcohol-functionalised, poly(epichlorohydrin), poly(epichlorhydrindiol).**

Notes:

1. The military explosives and fuels containing the metals or alloys listed in sub-items 0008a1 and 0008a2 are controlled whether or not the metals or alloys are encapsulated in aluminium, magnesium, zirconium or beryllium. See also Part I C, Item 1C011.
2. Item 0008 does not control boron or boron carbide enriched with boron-10 (20 percent or more of total boron content).
3. Aircraft fuels controlled by sub-item 0008d1 are finished products not their constituents.
4. Item 0008 does not control perforators specially designed for oil well logging.
5. Item 0008 does not control the following substances when not compounded or mixed with military explosives or powdered metals, i.e. they are not controlled if they exist in pure form or as intermixtures:
 - a) ammonium picrate;
 - b) black powder;
 - c) hexanitrodiphenylamine;
 - d) difluoramine (HNF₂);
 - e) nitrostarch;
 - f) potassium nitrate;
 - g) tetranitronaphtalene;
 - h) trinitroanisol;
 - i) trinitronaphtalene;
 - j) trinitroxylene;
 - k) fuming nitric acid, non-inhibited and not enriched;
 - l) acetylene;
 - m) propane;
 - n) liquid oxygen;
 - o) hydrogen peroxide in concentrations of less than 85 percent;
 - p) misch metal;

- q) N-pyrrolidinone, 1-methyl-2-pyrrolidinone;
- r) dioctylmaleate;
- s) ethylhexylacrylate;
- t) triethylaluminium (TEA), trimethylaluminium (TMA), and other pyrophoric metal alkyls and aryls of lithium, sodium, magnesium, zinc and boron;
- u) nitrocellulose;
- v) nitroglycerin (or glycerolnitrate);
- w) 2,4,6-trinitrotoluene (TNT);
- x) ethylenediaminedinitrate;
- y) pentaerythrite tetranitrate;
- aa) lead azide, normal and basic lead styphnate, and primary explosives or priming compositions containing azides or azide complexes;
- bb) triethyleneglycoldinitrate (TEGDN);
- cc) 2,4,6-trinitroresorcinol (styphnic acid);
- dd) diethyldiphenyl urea, dimethyldiphenyl urea, methylethyldiphenyl urea (Centralites);
- ee) N,N-diphenylurea (unsymmetrical diphenylurea);
- ff) methyl-N,N-diphenylurea (methyl unsymmetrical diphenylurea);
- gg) ethyl-N, N-diphenylurea (ethyl unsymmetrical diphenylurea);
- hh) 2-nitrodiphenylamine (2-NDPA);
- ii) 4-nitrodiphenylamine (4-NDPA);
- jj) 2,2-dinitropropanol;
- kk) chlorine trifluoride.

0009 Vessels of war, special naval equipment and accessories, as follows, and components therefor, specially designed for military use:

- a) Combatant vessels and vessels specially designed or specially modified for offensive or defensive action (surface or underwater), whether or not converted to non-military use and regardless of current state of repair or operating condition, and whether or not containing weapon direction systems or armour, and hulls or parts of hulls for such vessels;**
- b) engines, as follows:**
 - 1. Diesel engines, specially designed for submarines, having all of the following characteristics:**
 - a) A power output of 1.12 MW (1,500 hp) or more, and**
 - b) a rotary speed of 700 r.p.m. or more;**

2. **electric motors, specially designed for submarines, having all of the following characteristics:**
 - a) **A power output of more than 0.75 MW (1,000 hp);**
 - b) **quick reversing;**
 - c) **liquid cooled and**
 - d) **totally enclosed;**
 3. **non-magnetic diesel engines, with a power output of 37.3 kW (50 hp) or more and with a non-magnetic content in excess of 75 percent of total mass;**
- c) **underwater detection devices specially designed for military use and controls therefor;**
 - d) **submarine and torpedo nets;**
 - e) **equipment for guidance and navigation specially designed for military use;**
 - f) **hull penetrators and connectors specially designed for military use that enable interaction with equipment external to a vessel;**

Notes:

1. Sub-item 0009f includes connectors for vessels which are of the single-conductor, multi-conductor, coaxial and waveguide type, and hull penetrators for vessels, both of which are capable of remaining impervious to leakage from without and of retaining required characteristics at marine depths exceeding 100 metres; and fibre-optic connectors and optical hull penetrators specially designed for laser beam transmission, regardless of depth.
 2. Sub-item 0009f does not include ordinary propulsive shaft and control-rod hull penetrators.
- g) **Silent bearings with aerodynamic/aerostatic lubrication or magnetic suspension, active signature or vibration suppression controls, and equipment containing those bearings, specially designed for military use.**

Note:

See also sub-item 0023d1.

0010 Aircraft, unmanned airborne vehicles, aero-engines and aircraft equipment, related equipment and components, specially designed or modified for military use, as follows:

- a) **Combat aircraft and specially designed components therefor;**
- b) **other aircraft, specially designed or modified for military use, including military reconnaissance, assault, military training, transporting and airdropping troops or military equipment, logistics support, and specially designed components therefor;**
- c) **aero-engines specially designed or modified for military use, and specially designed components therefor;**
- d) **unmanned airborne vehicles and related equipment, specially designed or modified for military use, as follows, and specially designed components therefor:**
 1. **Unmanned airborne vehicles including remotely piloted air vehicles (RPVs) and autonomous programmable vehicles;**
 2. **associated launchers and ground support equipment;**

...

3. **related equipment for command and control;**
- e) **airborne equipment including airborne refuelling equipment, specially designed for use with the aircraft controlled by sub-items 0010a or 0010b or the aero-engines controlled by sub-item 0010c, and specially designed components therefor;**
- f) **pressure refuelers, pressure refuelling equipment, equipment specially designed to facilitate operations in confined areas and ground equipment, developed specially for aircraft controlled by sub-items 0010a or 0010b or for aero-engines controlled by sub-item 0010c;**
- g) **pressurised breathing equipment and partial pressure suits for use in aircraft, anti-G suits, military crash helmets and protective masks, liquid oxygen converters used for aircraft or missiles and catapults and cartridge-actuated devices for emergency escape of personnel from aircraft;**
- h) **parachutes used for combat personnel, cargo dropping or aircraft deceleration, as follows:**
 1. **Parachutes for**
 - a) **pin point dropping of rangers;**
 - b) **dropping of paratroopers;**
 2. **cargo parachutes;**
 3. **paragliders, drag parachutes, drogue parachutes for stabilisation and attitude control of dropping bodies (e.g. recovery capsules, ejection seats, bombs);**
 4. **drogue parachutes for use with ejection seat systems for deployment and inflation sequence regulation of emergency parachutes;**
 5. **recovery parachutes for guided missiles, drones and space vehicles,**
 6. **approach parachutes and landing deceleration parachutes;**
 7. **other military parachutes;**
- i) **automatic piloting systems for parachuted loads, equipment specially designed or modified for military use for controlled opening jumps at any height, including oxygen equipment.**

Notes:

1. Sub-item 0010b does not control aircraft or variants of these aircraft specially designed for military use which
 - a) are not configured for military use and are not fitted with equipment or attachments specially designed or modified for military use, and
 - b) have been certified for civil use by a civil aviation authority in a participating state.
2. Sub-item 0010c does not control:
 - a) aero-engines designed or modified for military use which have been certified by a civil aviation authority in a participating state for use in civil aircraft, or specially designed components therefor;
 - b) reciprocating engines or specially designed components therefor.

Supplementary Note:

...

See also Part I C, Item 9A994.

3. The control in sub-items 0010b and 0010c on specially designed components and related equipment for non-military aircraft or aero-engines modified for military use applies only to those military components and to related military equipment required for the modification to military use.

0011 Electronic equipment, not controlled elsewhere in Part I A, specially designed for military use and specially designed components therefor.

Note:

Item 0011 includes:

- a) Electronic countermeasure and electronic counter-countermeasure equipment (i.e., equipment designed to introduce extraneous or erroneous signals into radar or radio communication receivers or otherwise hinder the reception, operation or effectiveness of adversary electronic receivers including their countermeasure equipment), including jamming and counter-jamming equipment;
- b) frequency agile tubes;
- c) electronic systems or equipment designed either for surveillance and monitoring of the electromagnetic spectrum for military intelligence or security purposes or for counteracting such surveillance and monitoring;
- d) underwater countermeasures, including acoustic and magnetic jamming and decoy, equipment designed to introduce extraneous or erroneous signals into sonar receivers;
- e) data processing security equipment, data security equipment and transmission and signalling line security equipment, using ciphering processes;
- f) identification, authentication and keyloader equipment and key management, manufacturing and distribution equipment.

0012 High velocity kinetic energy weapon systems and related equipment, as follows, and specially designed components therefor:

- a) **Kinetic energy weapon systems specially designed for destruction or effecting mission-abort of a target;**
- b) **specially designed test and evaluation facilities and test models, including diagnostic instrumentation targets for dynamic testing of kinetic energy projectiles and systems.**

Notes:

1. Item 0012 includes the following when specially designed for kinetic energy weapon systems:
 - a) Launch propulsion systems capable of accelerating masses larger than 0.1 g to velocities in excess of 1.6 km/s, in single or rapid fire modes;
 - b) prime power generation, electric armour, energy storage, thermal management, conditioning, switching or fuel-handling equipment, and electrical interfaces between power supply, gun and other turret electric drive functions;
 - c) target acquisition, tracking, fire control or damage assessment systems;
 - d) homing seeker, guidance or divert propulsion (lateral acceleration) systems for projectiles.
2. Item 0012 controls weapon systems using any of the following methods of propulsion:

...

- a) Electromagnetic;
 - b) electrothermal;
 - c) plasma;
 - d) light gas; or
 - e) chemical (when used in combination with any of the above).
3. Item 0012 does not control technology for magnetic induction for continuous propulsion of civil transport devices.
4. For weapon systems using sub-calibre ammunition or employing solely chemical propulsion and ammunition therefor, see Items 0001, 0002, 0003 and 0004.

0013 Special armoured or protective equipment and constructions and components, as follows:

a) armoured plate, as follows:

- 1. manufactured to comply with a military standard or specification; or**
- 2. suitable for military use;**

b) constructions of metallic or non-metallic materials or combinations thereof specially designed to provide ballistic protection for military systems, and specially designed components therefor;

c) military helmets;

d) body armour (e.g., armoured vests, armoured suits) manufactured according to military standards or specifications, or equivalent, and specially designed components therefor.

Notes:

- 1. Sub-item 0013b includes materials specially designed to form explosive reactive armour or to construct military shelters.
- 2. Sub-item 0013c does not control conventional steel helmets neither modified or designed to accept, nor equipped with any type of accessory device.
- 3. Sub-item 0013d does not control individual suits of body armour for personal protection and accessories therefor when accompanying their users.

Supplementary Note:

See also Part I C, Item 1A005.

0014 Specialised equipment for military training or for simulating military scenarios and specially designed components and accessories therefor.

Technical Note:

The term 'specialised equipment for military training' includes military types of the following equipment:

Attack trainers;

operational flight trainers;

radar target trainers;

...

radar target generators;
gunnery training devices;
anti-submarine warfare trainers,
flight simulators including human-rated centrifuges for pilot and astronaut training;
radar trainers;
instrument flight trainers;
navigation trainers;
missile launch trainers, target equipment;
drone aircraft, armament trainers;
pilotless aircraft trainers;
mobile training units.

Note:

Item 0014 includes image generating and interactive environment systems for simulators when specially designed or modified for military use.

Supplementary Note:

See also sub-item 0023c.

0015 Imaging or countermeasure equipment, as follows, specially designed for military use, and specially designed components and accessories therefor:

- a) Recorders and image processing equipment;**
- b) cameras, photographic equipment and film processing equipment;**
- c) image intensifier equipment;**
- d) infrared or thermal imaging equipment;**
- e) imaging radar sensor equipment;**
- f) countermeasure and counter-countermeasure equipment for the equipment controlled by sub-items 0015a to 0015e.**

Note:

Sub-item 0015f includes equipment designed to degrade the operation or effectiveness of military imaging systems or to minimise such degrading effects.

Notes:

1. The term 'specially designed components' includes the following when specially designed for military use:
 - a) Infrared image converter tubes;
 - b) image intensifier tubes (other than first generation);

- c) microchannel plates;
 - d) low-light-level television camera tubes;
 - e) detector arrays (including electronic interconnection or read out systems);
 - f) pyroelectric television camera tubes;
 - g) cooling systems for imaging systems;
 - h) electrically triggered shutters of the photochromic or electro-optical type having a shutter speed of less than 100 μ s, except in the case of shutters which are an essential part of a high speed camera;
 - i) fibre optic image converters;
 - j) compound semiconductor photocathodes.
2. Item 0015 does not control first generation image intensifier tubes or equipment specially designed to incorporate first generation image intensifier tubes.

Supplementary Note:

For the status of weapon sights incorporating first generation image intensifier tubes see sub-items 0001d, 0002c and 0005a.

Supplementary Note:

See also Part I C, sub-items 6A002a2 and 6A002b.

0016 Forgings, castings and other unfinished products the use of which in a controlled product is identifiable by material composition, geometry or function, and which are specially designed for any products controlled by Items 0001, 0002, 0003, 0004, 0006, 0009, 0010, 0012 or 0019.

Note:

See also sub-item 0023d2.

0017 Miscellaneous equipment, materials and libraries, as follows, and specially designed components therefor:

- a) **Self-contained diving and underwater swimming apparatus, as follows:**
 - 1. **Closed or semi-closed circuit (rebreathing) apparatus specially designed for military use (e.g., specially designed to be non-magnetic);**
 - 2. **specially designed components for use in the conversion of open-circuit apparatus to military use;**
 - 3. **articles designed exclusively for military use with the equipment controlled by sub-item 0017a;**
- b) **construction equipment specially designed for military use;**
- c) **fittings, coatings and treatments for signature suppression, specially designed for military use;**
- d) **field engineer equipment specially designed for use in a combat zone;**
- e) **robots, robot controllers and robot end-effectors, having any of the following characteristics:**

...

1. **Specially designed for military use;**
 2. **incorporating means of protecting hydraulic lines against externally induced punctures caused by ballistic fragments (e.g., incorporating self-sealing lines) and designed to use hydraulic fluids with flash points higher than 839 K (566 °C); or**
 3. **specially designed or rated for operating in an electro-magnetic pulse (EMP) environment;**
- f) libraries (parametric technical databases) specially designed for military use with equipment controlled by Part I A;**
- g) nuclear power generating equipment or propulsion equipment, including nuclear reactors, specially designed for military use and components therefor specially designed or modified for military use;**
- h) equipment and material, coated and treated for signature suppression, specially designed for military use, other than those controlled elsewhere in Part I A;**

Note:

Sub-item 0017h does not control individual products manufactured from the above material including clothing, when accompanying their users as personal effects.

- i) simulators specially designed for military nuclear reactors;**
- j) mobile repair shops specially designed to service military equipment;**
- k) field generators specially designed for military use;**
- l) containers specially designed for military use;**

Technical Note:

For the purpose of sub-item 0017l, the term 'specially designed for military use' means that the equipment has any of the following characteristics:

- a) EMP protection;
 - b) NBC protection;
 - c) coating for signature suppression (infrared or radar); or
 - d) ballistic protection;
- m) bridges specially designed for military use.**
- n) Test models specially designed for the "development" of items controlled by ML4., ML6., ML9. or ML10.;**

Technical Note:

For the purpose of Item 0017, the term 'library' (parametric technical database) means a collection of technical information of a military nature, reference to which may enhance the performance of military equipment or systems.

0018 Equipment and technology for the production of products referred to in Part I A, as follows:

- a) Specially designed or modified production equipment for the production of products controlled by Part I A, and specially designed components therefor;**

...

- b) **specially designed environmental test facilities and specially designed equipment therefor, for the certification, qualification or testing of products controlled by Part I A;**
- c) **specific production technology for the production of products controlled by Part I A, even if the equipment with which such technology is used is not controlled;**
- d) **technology specific to the design of, the assembly of components into, and the operation, maintenance and repair of complete production installations even if the components themselves are not controlled.**

Notes:

1. Sub-items 0018a and 0018b include the following equipment:
 - a) Continuous nitrators;
 - b) centrifugal testing apparatus or equipment having any of the following characteristics:
 1. Driven by a motor or motors having a total rated horsepower of more than 298 kW (400 hp);
 2. capable of carrying a payload of 113 kg or more; or
 3. capable of exerting a centrifugal acceleration of 8 g or more on a payload of 91 kg or more ($g = 9.81 \text{ m/s}^2$);
 - c) dehydration presses;
 - d) screw extruders specially designed or modified for military explosive extrusion;
 - e) cutting machines for the sizing of extruded propellants;
 - f) sweetie barrels (tumblers) 1.85 m or more in diameter and having over 227 kg product capacity;
 - g) continuous mixers for solid propellants;
 - h) fluid energy mills for grinding or milling the ingredients of military explosives;
 - i) equipment to achieve both sphericity and uniform particle size in metal powder listed in sub-item 0008a1;
 - j) convection current converters for the conversion of materials listed in sub-item 0008a6.
2.
 - a) The term 'products referred to in Part I A' includes:
 1. Products not controlled if inferior to specified concentrations as follows:
 - a) hydrazine (see sub-item 0008a18);
 - b) military explosives (see Item 0008);
 2. superconductive materials excluded from control under Part I C, Item 1C005;

superconductive electromagnets excluded from control under Part I C, sub-item 3A001e3;

superconductive electrical equipment excluded from control under Part I C, sub-item 0020b;

3. metal fuels and oxidants deposited in laminar form from the vapour phase (see sub-item 0008a2);

b) The term 'products referred to in Part I A' does not include:

1. Signal pistols (see sub-item 0002b);

2. the substances excluded from control under Note 3 to Item 0007;

3. personal radiation monitoring dosimeters (see sub-item 0007f) and masks for protection against specific industrial hazards;

4. acetylene, propane, liquid oxygen, difluoramine (HNF₂), fuming nitric acid and potassium nitrate powder (see Note 5 to Item 0008);

5. aero-engines excluded from control under Item 0010 with reference to Part I C, Item 9A001;

6. conventional steel helmets not equipped with, or modified or designed to accept, any type of accessory device (see Note 2 to Item 0013);

7. equipment fitted with industrial machinery, which is not controlled such as coating machinery not elsewhere specified and equipment for the casting of plastics;

8. muskets, rifles and carbines dated earlier than 1938, reproductions of muskets, rifles and carbines dated earlier than 1890, revolvers, pistols and machine guns dated earlier than 1890, and their reproductions.

3. Note 2b8 of Item 0018 does not release from controls technology or production equipment for non-antique firearms, even if used to produce reproductions of antique firearms.

4. Sub-item 0018d does not control technology for civil purposes, such as agricultural, pharmaceutical, medical, veterinary, environmental, or in the food industry (see Note 4 to Item 0007).

0019 Directed energy weapon systems (DEW), related or countermeasure equipment and test models, as follows, and specially designed components therefor:

a) Laser systems specially designed for destruction or effecting mission-abort of a target;

b) particle beam systems capable of destruction or effecting mission-abort of a target;

c) high power radio-frequency (RF) systems capable of destruction or effecting mission-abort of a target;

d) equipment specially designed for the detection or identification of, or defence against, systems controlled by sub-items 0019a, 0019b or 0019c;

e) physical test models and related test results for the systems, equipment and components controlled by this Item;

f) continuous wave or pulsed laser systems specially designed to cause permanent blindness to unenhanced vision, i.e., to the naked eye or to the eye with corrective eyesight devices.

Notes:

...

1. Directed energy weapon systems controlled by Item 0019 include systems whose capability is derived from the controlled application of:
 - a) Lasers of sufficient continuous wave or pulsed power to effect lethality similar to that of conventional ammunition;
 - b) particle accelerators which project a charged or neutral particle beam with destructive power;
 - c) high pulsed power or high average power radio frequency beam transmitters which produce fields sufficiently intense to disable electronic circuitry at a distant target.
2. Item 0019 includes the following when specially designed for direct energy weapon systems:
 - a) Prime power generation, energy storage, switching, power conditioning or fuel-handling equipment;
 - b) target acquisition or tracking systems;
 - c) systems capable of assessing target damage, destruction or mission-abort;
 - d) beam-handling, propagation or pointing equipment;
 - e) equipment with rapid beam slew capability for rapid multiple target operations;
 - f) adaptive optics and phase conjugators;
 - g) current injectors for negative hydrogen ion beams;
 - h) space qualified accelerator components;
 - i) negative ion beam funnelling equipment;
 - j) equipment for controlling and slewing a high energy ion beam;
 - k) space qualified foils for neutralising negative hydrogen isotope beams.

0020 Cryogenic and superconductive equipment, as follows, and specially designed components and accessories therefor:

- a) **Equipment specially designed or configured to be installed in a vehicle for military ground, marine, airborne or space applications, capable of operating while in motion and of producing or maintaining temperatures below 103 K (-170 °C);**

Note:

Sub-item 20a includes mobile systems incorporating or employing accessories or components manufactured from non-metallic or non-conductive materials, such as plastics or epoxy-impregnated materials.

- b) **Superconductive electrical equipment (rotating machinery and transformers) specially designed or configured to be installed in a vehicle for military ground, marine, airborne or space applications, capable of operating while in motion;**

Note:

Sub-item 0020b does not control direct-current hybrid homopolar generators that have single-pole normal metal armatures which rotate in a magnetic field produced by superconducting windings, provided those windings are the only superconducting component in the generator.

0021 Software, as follows:

- a) **Software specially designed or modified for the development, production or use of equipment and materials controlled by Part I A;**
- b) **specific software, as follows:**
 - 1. **Software specially designed for:**
 - a) **Modelling, simulation or evaluation of military weapon systems;**
 - b) **development, monitoring, maintenance or up-dating of software embedded in military weapon systems;**
 - c) **modelling or simulating military operation scenarios, not controlled by Item 14;**
 - d) **command, communications, control and intelligence (C³I) or Command, Communications, Control, Computer and Intelligence (C⁴I) applications;**
 - 2. **software for determining the effects of conventional, nuclear, chemical or biological warfare weapons;**
 - 3. **software, not controlled by sub-items 0021a, 0021b1 or 0021b2, specially designed or modified to enable equipment not controlled by Part I A to perform the military functions of equipment controlled by Items 0005, 0011, 0014, 0015, or 0018 and sub-items 0007f, 0009c, 0009e, 0010e or 0017i.**

0022 Technology according to the General Technology Note of the Munitions List for the development, production or use of items controlled in Part I A, other than that technology controlled in Items 0007 and 0018.

Note:

Item 0022 does not control technology information the supply of which in the course of quotation processes is absolutely necessary.

0023 Security and para-military equipment, except those specified in items 0001 to 0022, as follows:

- a) **smooth-bore weapons of semi-automatic or pump-action type and specially designed components and accessories therefor;**

Note:

Sub-item 0023a controls only weapons capable of firing more than three shots before re-loading.

- b) **Ground vehicles: all wheel-drive vehicles capable of off-road use which have been manufactured or fitted with metallic or non-metallic materials to provide ballistic protection;**

Note:

Sub-item 0023b does not include vehicles for transportation of valuables and funds.

- c) **Simulators: simulators specially designed or represented by the manufacturers as suitable for training in the use of any firearm or weapon covered by provisions of the common list, and specially designed or modified components or accessories therefor;**
- d) **Other equipment, as follows;**

1. **Ferries, rafts not covered by item 9 and components therefor, specially designed or modified for military use,**
2. **Forging, castings and semi-finished products specially designed for weapons controlled by sub-item 0023a,**
3. **Ammunition and cartridges, including projectiles, for weapons controlled by sub-item 0023a and specially designed components therefor.**

Annex 3

Arms Embargoes in Force in 2002

Country	Date	Legal Basis
Armenia and Azerbaijan	29 July 1993	UN SC Resolution No. 853
Angola	15 September 1993	UN SC Resolution No. 864
China	27 June 1989	Declaration of the European Council
Democratic Republic of Congo (Zaire)	7 April 1993	Declaration of the European Council
	21 October 2002	EU Council Common Position (2002/829/CFSP)
Iraq	6 August 1990	UN SC Resolution No. 661
Liberia	19 November 1992	UN Resolution No. 788
	7 March 2001	UN Resolution No. 1343
	7 May 2001	EU Council Common Position (2001/357/CFSP)
	13 June 2002	Last extended to 7 May 2003 (2002/457/CFSP)
Libya	31 March 1992	UN SC Resolutions No. 748
	11 November 1993	and 883
	27 August 1998	Suspension by UN SC Resolution No. 1192

...

	16 April 1999	Suspension of the embargo; however, continuation of the weapons embargo by the EU Council Common Position (1999/261/CFSP)
Myanmar (Burma)	28 October 1996	EU Council Common Position (96/635/CFSP)
	26 April 2000	Last extended to 29 October 2000 (2000/346/CFSP)
	29 October 2001	Last extended to 29 April 2002 (2001/757/CFSP)
	22 April 2002	Last extended to 29 October 2002 (2002/310/CFSP)
	21 October 2002	Last extended to 29 April 2003 (2002/831/CFSP)
Rwanda	17 May 1994	UN SC Resolution No. 918
Sierra Leone	5 June 1998	UN SC Resolution No. 1171
	29 June 1998	EU Council Common Position (98/409/CFSP)
Somalia	23 January 1992	UN SC Resolution No. 733
	10 December 2002	EU Council Common Position (2002/960/CFSP)
Sudan	15 March 1994	EU Council Common Position (94/165/CFSP)

States of the former Yugoslavia (Bosnia and Herzegovina, Croatia, Federal Republic of Yugoslavia with Serbia and Montenegro)	31 March 1998	UN SC Resolution No. 1160*
	26 February 1996	EU Council Common Position (96/184/CFSP)
	19 July 1999	Confirmed by Council Resolution (1999/481/CFSP)
	20 November 2000	EU Council Common Position (2000/722/CFSP): Deletion of Croatia
	8 October 2001	Amendment of the Common Position (96/184/CFSP): Deletion of the Federal Republic of Yugoslavia by Common Position (2001/719/CFSP)
Zimbabwe	18 February 2002	EU Council Common Position (2002/145/CFSP)

* Not implemented by the EU since it had independently continued the weapons embargo (that the UN had allowed to expire in 1996) based on UN SC Resolution No. 713 of 25 September 1991.

Annex 4

EXPORTS

REPORT OF INTERNATIONAL CONVENTIONAL ARMS TRANSFERS

(ACCORDING TO UNITED NATIONS GENERAL ASSEMBLY RESOLUTION 46/36 L OF DECEMBER 9, 1991)

Reporting country: GERMANY

Calendar year: 2002

A	B	C	D	E
Category I through VII	Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location
I Battle tanks	Greece Poland	22 41		
II Armoured combat vehicles	Lithuania	36		
III Large calibre artillery systems		nil		
IV Combat aircraft		nil		
V Attack helicopters		nil		
VI Warships	Egypt Uruguay	1 1		
VII Missiles and missile launchers		nil		

REMARKS	
Description of item	Comments on the transfer
Leopard 1 Leopard 2	
M-113	12 used only for spare parts
fast patrol boat 148 ocean going tug 722	demilitarised

EU - Countries

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
Austria	320	0001	16,972,803					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0011						
		0013						
		0014						
		0015						
		0016						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0017 0018 0022 0023						
Belgium	261	0001 0003 0004 0005 0006 0007 0008 0010 0011 0013 0014 0016 0017 0018	51,099,079		2	0007	155,775	

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0021						
		0022						
Denmark	147	0001	95,245,945					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0010						
		0011						
		0013						
		0014						
		0015						
		0016						
		0017						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0018 0022						
Finland	87	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0016 0017 0018 0021	43,109,288		1	0006	21,000	

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0022						
		0023						
France	477	0001	105,459,621					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
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		0009						
		0010						
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		0013						
		0014						
		0015						
		0016						
		0017						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0018 0021 0022						
Greece	150	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016	266,202,434		1	0007	20,758	

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0017 0018 0021 0022 0023						
Ireland	23	0001 0003 0004 0006 0007 0011 0013 0014 0017 0018 0021	3,231,193					
Italy	526	0001	78,591,950					

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0010						
		0011						
		0013						
		0014						
		0015						
		0016						
		0017						
		0018						
		0021						
		0022						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0023						
Luxembourg	59	0001 0002 0003 0004 0005 0006 0007 0010 0011 0013 0014 0015 0018 0022	6,838,338					
Netherlands	539	0001 0002	219,665,094					

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0010						
		0011						
		0013						
		0014						
		0015						
		0016						
		0017						
		0018						
		0021						
		0022						
		0023						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
Portugal	35	0001	7,738,263					
		0002						
		0004						
		0007						
		0008						
		0009						
		0010						
		0011						
		0015						
		0016						
		0017						
		0018						
Spain	465	0001	232,291,839					
		0002						
		0003						
		0004						
		0005						
		0006						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0007						
		0008						
		0009						
		0010						
		0011						
		0013						
		0015						
		0016						
		0017						
		0018						
		0021						
		0022						
		0023						
Sweden	270	0001	109,050,097					
		0002						
		0003						
		0004						
		0005						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0006						
		0007						
		0008						
		0009						
		0010						
		0011						
		0013						
		0014						
		0015						
		0016						
		0017						
		0018						
		0021						
		0022						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
United Kingdom	693	0001	128,028,748					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0010						
		0011						
		0013						
		0014						
		0015						
		0016						
		0017						
		0018						
		0021						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0022						
Total	4,052		1,363,524,692		4		197,533	

NATO and NATO - Equivalent Countries

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
Australia	231	0001	116,493,085					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0009						
		0010						
		0011						
		0013						
		0014						
		0015						
		0016						
		0017						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0018						
		0021						
		0022						
		0023						
Canada	272	0001	30,091,278					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0010						
		0011						
		0014						
		0015						
		0016						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0017						
		0018						
		0022						
		0023						
Czech Republic	382	0001	8,932,178					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0010						
		0011						
		0013						
		0014						
		0015						
		0016						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0017 0018 0021 0022 0023						
Hungary	152	0001 0003 0005 0006 0007 0008 0011 0013 0015 0016 0017 0018	9,531,678					

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0021 0023						
Iceland	27	0001 0003 0018 0023	33,675					
Japan	153	0001 0002 0003 0004 0005 0006 0007 0008 0010 0011 0013	13,022,441					

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/Reasons/EL Item
		0014 0015 0016 0017 0018 0021 0023						
Liechtenstein	11	0001 0003 0018	83,034					
New Zealand	75	0001 0003 0004 0005 0006 0009 0016	3,258,284					

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0018 0023						
Norway	396	0001 0002 0003 0004 0005 0006 0007 0008 0009 0011 0013 0015 0016 0017 0018 0021	30,034,055					

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0022						
		0023						
Poland	274	0001	49,949,818		1	0005	395,734	
		0002				0006		
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0010						
		0011						
		0013						
		0014						
		0015						
		0016						
		0017						
		0018						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0021						
		0022						
		0023						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
Switzerland	1,140	0001	77,310,365					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0010						
		0011						
		0013						
		0014						
		0016						
		0017						
		0018						
		0021						
		0022						
		0023						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
Turkey	272	0001	123,999,861		5	0006	1,665,710	
		0002				0007		
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0010						
		0011						
		0013						
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		0015						
		0016						
		0017						
		0018						
		0021						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0022						
		0023						
United States	936	0001	685,310,576		1	0006	1,856	
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
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		0009						
		0010						
		0011						
		0013						
		0014						
		0015						
		0016						
		0017						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0018 0021 0022 0023						
Vatican City	1	0023	1,500,000					
Collective export licenses: NATO and NATO-equivalent countries	200	0004 0006 0009 0010 0011 0014 0018 0021 0022	2,550,573,42 6					
Total	4,522		3,700,123,75 4		7		2,063,300	

Third Countries

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
Afghanistan	4	0023	1,102,858	Armored cross-country vehicles (personal security) for foreign diplomatic missions				
Algeria	6	0006 0011 0015 0017 0023	10,531,794	Surveillance systems with multi-sensor platform, incl. parts (0015/96.8%)	1	0018	4,647	1 Criteria 2, 3 / 0018
Andorra	29	0001 0003 0018 0023	304,877	Ammunition for revolvers, pistols, hunting and sporting weapons, incl. parts (0003/50.8%); Revolvers and carbines (not war weapons), revolvers, pistols, hunting	3	0001 0003 0023	7,288	3 Criterion 7 / 0001, 0003

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/Reasons/EL Item
				and sporting weapons, sport pistols and revolvers, incl. parts (0001/45.0%)				
Angola	1	0006	44,994	Trucks	1	0001 0003 0023	981	
Argentina	15	0001 0003 0004 0009 0010 0011 0013 0018 0022	7,342,593	Parts for frigates, corvettes, and submarines (0009/84.5%)	4	0001 0016	29,707	
Azerbaijan	1	0023	256,812	Armored cross-country vehicles (personal security)				

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
Bahrain	33	0003 0005 0017	5,739	Parts for diving apparatus (0017/77.0%); Training ammunition for grenade launchers (0003/22.3%)				
Bangladesh	52	0001 0003 0009 0011 0014 0023	721,558	Armored cross-country vehicles (personal security) (0023/36.9%); Parts for radio equipment (0011/32.5%); Training ammunition (0014/27.2%)	1	0023	10	1 Criterion 3 / 0001, 0003, 0023
Barbados	1	0001	488	Parts for hunting and sporting pistols and revolvers				
Belarus	28	0001 0003	361,629	Armored cross-country vehicles (personal security) (0023/66.4%);	1	0023	1,253	1

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0016 0023		Hunting and sporting rifles, incl. parts (0001/28.0%)				Criterion 7 / 0005
Belize	1	0001	2,156	Revolvers and pistols				
Benin	1	0001 0003	946	Revolvers and pistols, incl. parts (0001/95.6%)				
Bolivia	8	0001 0007	6,824	Revolvers, pistols, sporting pistols and revolvers, incl. parts (0001/94.4%)				
Bosnia and Herzegovina	1	0007	15,750	NBC protective clothing (for OSCE staff)	1	0013	85,000	
Botswana	16	0001 0006 0023	1,536,955	Parts for armored vehicles (0006/97.2%)				
Brazil	48	0001 0002 0003	23,780,355	Radio equipment, measuring and test equipment, parts for communication systems				

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0006 0009 0010 0011 0013 0016 0017 0022		(0011/47.9%); Parts for submarines and sonar systems (0009/39.9%)				
Brunei	5	0001 0006 0014 0017	313,168	Sub-caliber training equipment and sub-caliber training ammunition for shoulder-fired anti-tank weapons (0014/91.6%)				
Bulgaria	31	0001 0003 0007 0008	511,977	Revolvers, pistols, hunting and sporting rifles, incl. parts, Weapon sighting units (0001/42.1%);	8	0001 0023	323,049	1 Criterion 7 / 0001

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/Reasons/EL Item
		0009 0010 0023		Patrol boat (0009/18.0%); Drag parachutes (0010/16.9%); Shotguns, incl. ammunition for shotguns (0023/14.1%)				
Burundi					1	0017	10,226	
Cameroon					2	0023	670	
Chad					1	0001	300	
Chile	74	0001 0003 0004 0005 0006 0007 0008	18,608,428	Ship navigation systems Parts for submarines, sonar equipment, sonar sounding sets, and ship navigation systems (0009/42.7%); Armored recovery vehicles, trucks	1	0001	13,950	

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0009 0010 0011 0013 0014 0022 0023		Parts for tanks and armored vehicles (0006/33.2%); Smoke grenades, Parts for torpedoes and decoy launching systems (0004/6.7%)				
China, Peoples Republic	1	0008	10	Laboratory chemicals	2	0006 0016	91,529	2 Criterion 1a / 0006, 0016
China (Macao)								1 Criterion 7 / 0016
Columbia	2	0009	3,000,000	Parts for submarines	2	0016	66,836	2

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
								Criterion 3 / 0016
Congo, Democratic Republic	1	0006	2,301	Trucks for humanitarian aid organizations				
Costa Rica	5	0001 0003	5,450	Hunting and sporting rifles, incl. parts (0001/96.6%)	2	0001	2,173	3 Criteria 3, 7 / 0001
Côte d'Ivoire	1	0001	883	Revolvers and pistols				
Croatia	24	0001 0003 0006 0015 0016 0017 0021	687,708	Parts for mine clearing cutters (0006/82.9%)	3	0001 0023	8,290	1 Criterion 4 / 0023

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
Cyprus South	2	0001 0003	2,399	Hunting and sporting weapons (0001/79.2%); Ammunition for hunting and sporting weapons (0003/20.8%)				
Dominican Republic					4	0001 0023	58,368	3 Criteria 2, 7 / 0001, 0023
Ecuador	5	0004 0005 0009 0010	441,376	Parts submarines (0009/66.5%); Parts for fire control instruments for submarines (0005/20.5%)				2 Criteria 2, 7 / 0001, 0016
Egypt	114	0001 0003 0006	12,583,495	Ammunition for revolvers and pistols, Parts for cannon ammunition	4	0007 0016	1,430,899	1 Criterion 4 /

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0007 0008 0009 0011 0013 0014 0017 0018 0023		(0003/48.6%); Fast patrol boat (0009/20.7%); Parts for armored vehicles (0006/18.8%)				0016
El Salvador	1	0001	1,200	Parts for sporting pistols and - revolvers	2	0016	30,335	2 Criteria 3, 7 / 0016
Eritrea	1	0006	110,830	Mine detection vehicle				
Estonia	39	0001 0003 0006	851,922	Mine warfare vessels (0009/40.5%); Parts for optical surveillance	1	0001	2,448	

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/Reasons/EL Item
		0007 0009 0015 0023		systems (0015/24.6%); Rifles and carbines (including war weapons), revolvers, pistols, hunting and sporting rifles, sporting pistols and revolvers, incl. parts Parts for submachine guns (0001/15.7%)				
Ethiopia	1	0001	1,790	Revolvers and pistols				
Gabon	2	0001 0003	740	Revolvers and pistols, incl. parts (0001/94.6%)				
Georgia	1	0001	15,000	Hunting and sporting rifles	2	0001	17,600	
Ghana	4	0001 0003 0011	1,016,572	Communication devices (0011/99.8%)				
Greenland	9	0001 0003	29,335	Hunting and sporting rifles, incl. parts (0001/90.3%)				

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0023						
Haiti	1	0023	225,650	Armored cross-country vehicles (personal security)				
Honduras	1	0001	1,005	Sporting pistols and revolvers				1 Criteria 3, 7 / 0001
India	87	0001 0003 0004 0005 0006 0007 0008 0009 0010 0011	106,084,562	Fire control instruments for submarines and on-board weapons-control systems (0005/53.0%); Underwater detection equipment, Parts for frigates and submarines (0009/21.3%); Semi-trailer towing vehicles, Motors and transmissions	19	0005 0006 0009 0010 0011 0016	2,752,776	1 Criteria 4a, 4d / 0002

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0016 0017 0018 0021 0022		(0006/12.3%)				
Indonesia	4	0010 0011 0013	225,444	Parts for training aircraft (0010/55.7%); Splinter protection suits (0013/42.6%)	5	0001 0006 0022 0023	5,012,301	3 Criteria 2, 3 / 0001, 0013, 0023
Iran					1	0008	52	
Israel	157	0002 0003 0004 0005 0006 0007	159,988,679	Parts for motors and transmissions (0006/69.); Production data for transmissions and circuit boards (0022/19.0%)	2	0001 0018	47,644	

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0022 0023						
Jamaica	1	0001	892	Parts for revolvers and pistols				1 Criterion 7 / 0001
Jordan	4	0001	156,313	Splinter protection suits and	3	0016	45,170	1

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0007 0013		soldier's helmets (0013/70.0%); NBC protective clothing (0007/27.4%)		0023		Criteria 4, 7 / 0023
Kazakhstan	51	0001 0003 0008 0023	1.,62,824	Fuel and fuel components for satellites (0008/40.8%); Revolvers, pistols, sniper rifles, hunting and sporting rifles, incl. parts, Parts for submachine guns (0001/31.7%); Armored cross-country vehicles (personal security), shotguns, shotgun ammunition (0023/22.1%)	5	0001 0023	91,448	1 Criterion 4 / 0023
Kenya	4	0001	11,550	Ammunition for revolvers and	2	0001	25,381	2

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0003		pistols (0003/67.5%); Revolvers, pistols, hunting and sporting rifles (0001/32.5%)				Criterion 7 / 0001
Krgyzstan	1	0013	2,850	Ballistic body armor vests				
Korea, Republic	148	0001 0003 0004 0005 0006 0007 0008 0009 0010 0011	83,521,584	Parts for tanks, armored self-propelled howitzers, armored recovery vehicles, armored vehicles, and trucks (0006/72.1%); Underwater detection equipment, ship navigation equipment, Parts for frigates, submarines, ship navigation equipment, underwater detection equipment, and torpedo				

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0013		countermeasures systems (0009/11.8%)				
		0016						
		0018						
		0021						
		0022						
		0023						

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/Reasons/EL Item
Kuwait	26	0001 0002 0003 0007 0010 0011 0013 0014 0023	1,691,225	Decontamination vehicles and equipment, NBC protective clothing (0007/50.2%); Ammunition for hunting and sporting weapons, revolvers, pistols, and grenade launchers (colored smoke canisters), Parts for illuminating grenades (0003/19.1%); Sub-caliber adapters and sub-caliber training ammunition (0014/17.7%)				
Laos, Democratic People's Republic	1	0001	812	Revolver and pistols				

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
Latvia	68	0001 0003 0023	2,092,388	Rifles and carbines (not war weapons) revolvers, pistols, submachine guns, hunting and sporting rifles, incl. parts, weapon sighting units (0001/56.0%); Ammunition for rifles, revolvers, pistols, and hunting and sporting weapons (0003/37.5%)	9	0001 0003 0023	129,713	
Lebanon					1	0001	800	1 Criterion 4 / 0004
Libya					3	0006 0015	2,938,608	1

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
						0023		Criterion 1a / 0015
Lithuania	73	0001 0002 0003 0006 0007 0011 0015 0018 0021 0023	25,681,410	Airspace surveillance radar unit and computer systems (0011/90.4%)				
Malawi	2	0001 0003	2,368	Revolvers, pistols, hunting and sporting rifles (0001/94.6%)				
Malaysia	39	0001 0002 0003	23,048,778	Parts for armored vehicles and bridge layer systems (0006/51.8%);				

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/Reasons/EL Item
		0004 0005 0006 0009 0010 0011 0016 0017 0018 0022		Parts for corvettes (0009/27.0%); Communication systems, test equipment, Parts for communication systems (0011/11.6%)				
Maldives	1	0007	32,380	Decontamination equipment				
Malta	1	0001	5,710	Rifles and carbines (not war weapons), revolvers, pistols, hunting and sporting weapons				
Morocco	5	0006 0010 0011	4,547,014	Trucks and parts (0006/97.5%)				

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/Reasons/EL Item
Macedonia	1	0007	4,200	NBC protective clothing (OSCE staff)	1	0005	167,687	
Mexico	10	0001 0011 0013 0016 0018 0022 0023	1,433,958	Radio equipment, electronic assemblies, Parts for communication systems (0011/66.6%); Armored cross-country vehicles (personal security) (0023/13.4%); Semi-finished parts for automatic rifles (0016/8.9%)				
Moldavia, Republic	1	0001	587	Revolvers and pistols	5	0001 0023	2,228	
Mongolia	8	0001 0003	27,541	Rifles and carbines (not war weapons), hunting and sporting rifles, incl. parts (0001/92.4%)				
Namibia	28	0001	329,498	Trucks (0006/68,6%);	4	0003	480,423	1

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
		0003 0006 0016 0023		Revolvers, pistols, hunting and sporting rifles, sport pistols and revolvers, incl. parts (0001/27.8%)		0010 0023		Criterion 7 / 0001, 0003
Nepal	2	0018	482,365	Manufacturing equipment for small caliber ammunition	2	0016 0018	685,657	1 Criteria 2, 3 / 0001, 0003
Netherlands Antilles	1	0013	23,420	Ballistic body armor vests				
New Caledonia	9	0001	30,432	Hunting and sporting rifles, incl. parts				
Nigeria	5	0023	1,675,910	Armored cross-country vehicles (personal security)				2 Criteria 2, 4 / 0010, 0013, 0018

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Oman	187	0001 0003 0004 0006 0007 0010 0011 0014 0022 0023	2,175,008	Trucks, Parts for armored vehicles and trucks (0006/69.9%); Utilization technology for a command, control, and information system (0022/15.1%)				
Pakistan	1	0023	225,000	Armored cross-country vehicles (personal security)	4	0003 0009 0010 0018	390,650	2 Criterion 4 / 0009, 0011
Papua-New Guinea	2	0001	575	Parts for revolvers and pistols				
Peru	3	0004	2,035,464	Parts for submarines (0009/98.3%)				

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		0009						
Philippines	4	0001 0010 0014	383,785	Sub-caliber guns and sub-caliber training ammunition (0014/94.3%)				1 Criteria 3, 7 / 0001
Qatar	13	0001 0003 0005 0017 0023	398,643	Revolvers, pistols, sniper rifles, hunting and sporting rifles, incl. parts, weapon sighting units (0001/65.7%); Diving apparatus (0017/31.1%)				
Romania	123	0001 0003 0006 0007 0008 0010	1,121,985	Parts for armored vehicles (0006/54.5%); Underwater telephone system and electronic assemblies (0011/24.0%);				

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/Reasons/EL Item
		0011 0017 0021 0022 0023		Rifles and carbines (not war weapons), revolvers, pistols, hunting and sporting rifles, incl. parts (0001/8.7%)				
Russian Federation	258	0001 0003 0006 0007 0008 0010 0017 0023	7,718,091	Armored cross-country vehicles (personal security) and shotgun ammunition (0023/48.6%); Rifles and carbines (not war weapons) hunting and sporting weapons, sport pistols and revolvers, incl. parts (0001/45.2%)	19	0001 0003 0023	725,589	4 Criteria 3, 4, 7 / 0006, 0017, 0023
San Marino	25	0001 0003 0013 0018	41,904	Rifles and carbines (incl. war weapons), revolvers, pistols, sniper rifles, hunting and sporting rifles, incl. parts, weapon sighting units				

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/Reasons/EL Item
		0023		(0001/63.5%); Parts for ammunition for rifles, revolvers, pistols, and hunting and sporting weapons (0003/33.3%)				
Saudi-Arabia	59	0001 0003 0004 0005 0006 0007 0008 0010 0011 0014 0016 0018 0022	26,522,870	Parts for combat aircraft (0010/27.2%); Roughcast parts and unfinished items for military goods (0016/13.5%); Maintenance documents for armored vehicles, manufacturing kit for small caliber ammunition, manufacturing kit for parts for sub-machine guns and automatic rifles (0018/11.6%);				

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		0023		<p>Ammunition for howitzers (smoke projectiles), hunting and sporting weapons,</p> <p>Parts for illumination and smoke ammunition (0003/9.3%);</p> <p>NBC protective clothing and C detection equipment (0007/9.0%);</p> <p>Sporting pistols and revolvers, Parts for rifles and carbines (incl. war weapons) and sub-machine guns (0001/8.3%);</p> <p>Firing-range facilities (0023/5.8%)</p>				
Senegal	1	0013	3,190	Ballistic body armor vests				
Singapore	135	0001	96,136,733	Folding bridge systems, trucks,	1	0003	3,000	

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		0002		Parts for armored self-propelled howitzers, armored vehicles, bridging and crossing vehicles, and trucks (0006/86.2%)				
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0011						
		0013						
		0014						
		0015						
		0016						
		0017						
		0018						
		0022						
		0023						
Slovak	122	0001	2,476,414	Rifles and carbines (not war	2	0001	317,830	

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/Reasons/EL Item
Republic		0003 0004 0005 0006 0008 0011 0013 0015 0017 0018 0022 0023		weapons), revolvers, pistols, sub-machine guns, hunting and sporting rifles, incl. parts, weapon sighting units (0001/48.2%); Thermal imaging devices, incl. parts (0015/21.3%); Secondary radar units and electronic assemblies (0011/13.7%)		0006		
Slovenia	132	0001 0003 0004 0006 0008 0011	12,786,431	Folding bridge systems, Parts for armored vehicles (0006/78.8%); Container and coating materials for camouflage				

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/Reasons/EL Item
		0013 0014 0015 0017 0018 0022 0023		nets (0017/11.4%)				
Sri Lanka	1	0001	17	Parts for sport pistols	2	0003 0017	28,625	1 Criterion 3 / 0017
Suriname	1	0023	477,245	Armored cross-country vehicles (personal security)				
South Africa	110	0001 0003 0004 0005	21,220,637	Technology documents for torpedoes, armored vehicles, communication systems, radar systems, transmissions, corvettes,	5	0001 0003	259,482	1 Criterion 7 / 0003

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		0006		corvette switchboards, submarine				
		0007		periscopes, manufacture of large				
		0008		caliber ammunition (0022/37.9%);				
		0009						
		0011		Manufacturing set for sonar units,				
		0013		ammunition, hunting and sporting				
		0015		weapons,				
		0016		Parts for ammunition test equipment				
		0017		(0018/26.6%);				
		0018						
		0021		Fire control units, on-board weapon				
		0022		guidance systems for tanks, bore				
				sight testing units,				
				Parts for fire control units for				
				submarines (0005/9.5%);				
				Parts for armored vehicles, trucks,				
				and bridge layers (0006/9.1%)				

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Syrian Arab Republic	2	0001	9,649	Sport pistols and -revolvers, incl. parts	1	0006	765,376	3 Criteria 4, 7 / 0006, 0014, 0016
Tanzania, United Republic	48	0001 0003 0006 0023	14,059	Revolvers, pistols, hunting and sporting rifles, incl. parts (0001/75.7%); Ammunition for revolvers, pistols, hunting and sporting weapons (0003/9.3%)	2	0001	1,438	
Thailand	162	0001 0003 0005 0006 0007	5,112,114	Ship navigation equipment, Parts for frigates, underwater detection equipment, ship navigation equipment (0009/37.9%);	5	0001	18,135	1 Criterion 7 / 0001

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		0009 0010 0011 0014 0016 0017 0018 0023		Rifles and carbines (incl. war weapons) revolvers, pistols, hunting and sporting rifles, sport pistols and revolvers, incl. parts, Silencers, gun carriages, weapon sighting units, parts for machine guns (0001/25.4%); Communication systems, Parts for electricity supply and communication systems (0011/11.5%); Ammunition for cannons (flak ammunition), rifles, hunting and sporting weapons, revolvers, pistols, and sub-machine guns, Parts for machine gun ammunition				

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				(0003/10.6%)				
Togo								1 Criteria 2, 3 / 0006
Trinidad and Tobago	8	0001	28,880	Revolvers and pistols, incl. parts	2	0016	6,729	2 Criterion 2 / 0016
Tunisia	6	0001 0011 0018 0021	9,163,406	Communication systems, ground surveillance radar, Parts for communication systems (0011/98.2%)	1	0003 0004	262	
Turkmenistan	2	0001 0003	4,156	Hunting and sporting rifles (0001/73.1%); Ammunition for hunting and				

Country	No. of Licenses	EL Item	Total Value (in euros)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (in euros)	No. of Denials/ Reasons/ EL Item
				sporting weapons (0003/26.9%)				
Uganda					1	0001	1,273	
Ukraine	102	0001 0003 0008 0018 0023	1,589,252	Hunting and sporting rifles, incl. parts, weapon sighting units (0001/70.3%); Armored cross-country vehicles (personal security) and shotgun ammunition (0023/21.0%)	5	0001 0023	21,408	3 Criteria 4, 7 / 0005, 0006, 0023
United Arab Emirates	80	0001 0002 0003 0004 0006 0007 0009 0010	39,653,087	Trucks, Parts for tank transmissions, armored self-propelled howitzers (transmissions), armored vehicles, and trucks (0006/42.3%); Decontamination vehicles and equipment, NBC protective clothing				

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		0011 0013 0016 0017 0018 0021 0023		(0007/28.5%); Communication systems, ground surveillance radar, Parts for radar systems, navigation systems, and communication systems (0011/10.8%)				
Uruguay	3	0001 0009	513,642	Seagoing tug (0009/99.5%)				
Venezuela	3	0001 0006 0013	202,285	Parts for military vehicles (0006/95.2%)	3	0001 0005 0016	44,799	2 Criteria 2, 3, 7 / 0005, 0016
Vietnam	1	0011 0021 0022	766,216	Communication equipment (0011/99.9%)				2 Criteria

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								2, 4, 8 / 0005, 0014, 0015
West Bank/ Gaza	1	0023	238,622	Armored cross-country vehicles (personal security)				
Yemen	2	0001 0018	20,443	Ballistic measuring outfit (0018/88.3%)				
Yugoslavia	8	0001 0004 0007 0013 0023	189,619	Revolvers, pistols, submachine guns (United Nations), hunting rifles, incl. parts, weapon sighting units (United Nations) (0001/44.3%); Armored cross-country vehicles (personal security) and shotgun ammunition (0023/40.6%)				1 Criteria 4d, 7 / 0017
Zambia	19	0001 0003	45,270	Revolvers, pistols, hunting and sporting rifles, incl. parts	4	0001 0003	20,063	1

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		0023		(0001/66.0%); Shotguns, incl. parts and shotgun ammunition (0023/29.9%)		0023		Criterion 4 / 0001
Zimbabwe	1	0001	800	Revolvers and pistols for the staff of an embassy				
==								
Hong Kong	6	0001 0008 0017	35,394	Sniper rifles, sport pistols and - revolvers, incl. parts, Parts for sub-machine guns (0001/99.7%)				
Macao					1	0016	31,696	
Taiwan	34	0001 0003 0004	16,663,139	Ship navigation systems for patrol boats, Parts for submarines, mine-hunters,	2	0007 0011 0013	22,517	

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		0005 0007 0008 0009 0011 0014 0016 0022		underwater detection equipment and ship navigation systems (0009/61.5%); Parts for antenna masts and communication equipment for submarines (0011/14.6%); Parts for minesweeping equipment and remotely operated submersibles (0004/9.0%)				
Total	2,943		744,566,286		169		17,224,319	

Besides rejected applications for export authorization, the denials cited above also include negatively answered initial inquiries relating to specific export projects. They are visible as deviations in the column headed "Number of Denials/Reasons/EL Item" as compared with the Column headed "Denials of Final Exports."