



MINISTRY OF  
INDUSTRY,  
TOURISM AND TRADE

SECRETARY OF STATE  
FOR TRADE

SPANISH STATISTICS ON THE  
EXPORT OF DEFENCE  
MATERIAL, OTHER MATERIAL  
AND DUAL USE ITEMS AND  
TECHNOLOGIES, 2009



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## INTRODUCTION

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This report includes the 2009 exports of defence material, other material and dual-use items and technologies authorised and completed in accordance with the terms of Article 16 of Law 53/2007 of 28 December 2007 on the control of external trade in defence and dual-use material.

Before delving into the analysis of specific export data, an explanation must first be given regarding the methodology followed in compiling the statistics contained herein.

The Secretariat-General for Foreign Trade attached to the Ministry of Industry, Tourism and Trade, duly informed by the Inter-Ministerial Regulatory Board on Foreign Trade in Defence and Dual-Use Material (Spanish acronym JIMDDU), is the body responsible for authorising each external trade transaction concerning defence material, other material and dual-use items and technologies. The Secretariat-General possesses the data concerning all of the authorised export licenses while the data corresponding to exports actually completed is available at the Department of Customs and Excise Duties of the National Tax Administration Agency attached to the Ministry of Economy and Finance.

This report presents the data concerning operations undertaken, the information having been obtained by the Customs and Excise Department individual review of export licenses issued and checking them against each one of the shipments made. Moreover, the Secretariat-General for Foreign Trade collected information regarding export shipments directly from companies

enabling it to correct any data discrepancy. This authority is envisaged under Article 9 of Royal Decree 2061/2008 of 12 December approving the control Regulation governing the external trade in defence material, other material and dual-use items and technologies and companies are called on to submit half-yearly reports regarding shipments made.

It should be pointed out that these statistics do not reflect temporary exports (shipments made for the purpose of repair, homologation, testing, fairs, defective goods returned to the manufacturer) which are void of any commercial value.

The 2009 statistics report is divided into two main blocks. The first covers information on Spanish law, Community regulations, data on Spain's export of defence material, other material and dual-use items and technologies and the main progress made at international control fora. The second block is composed of eight annexes containing export figures of these items in 2009, Spain's contribution to the United Nations Conventional Arms Register and to the OSCE Document on Small Arms and Light Weapons, the list of defence material embargos and a list of helpful links in this connection.

For the first time, this report contains specific information about countries which have been denied export transactions.

These statistics are published in the Economic Bulletin of the Spanish Trade Information Publication put out by the Ministry of Industry, Tourism and Trade. The unabridged version of the articles

can be found on the web page of the Secretariat of State for Trade.

[\(http://www.comercio.mityc.es/\)](http://www.comercio.mityc.es/)

In the event of doubt or error, the original version in Spanish prevails over the English translation.

## **PART I. LEGISLATION IN FORCE AND CONTROL BODIES**

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### **1. Legislation in force.**

Organic Law 3/1992 of 30 April introduced administrative crimes and infractions in connection with the smuggling of defence and dual-use material for the first time into domestic law. Law 3/1992 described the crime of smuggling in the same terms as today's Anti-smuggling Act, Organic Law 12/1995 of 12 December, as the unauthorised export of defence or dual-use material or export with authorisation obtained by means of a false or incomplete declaration.

To implement the aforementioned law, it was then necessary to enact a new law at the Royal Decree level as provided for in Organic Law 3/1992. This was accomplished by means of the publication of Royal Decree 824/1993 of 28 May approving the Regulation on external trade in defence and dual-use material. The disperse regulations existing up to that time were grouped together under this Regulation: registration, external export/import trade, the Inter-ministerial Board, lists of defence and dual-use material subject to control, types of licenses and control documents.

Royal Decree 824/1993 was replaced by Royal Decree 491/1998 of 27 March 1998 and the latter, in turn, by Royal Decree 1782/2004 of 30 July 2004.

And lastly, Law 53/2007 entered into force on 29 January 2008, marking the first time that Spanish law in this area was governed by a regulation of this level. The said law has been implemented through Royal Decree 2061/2008

of 12 December 2008 establishing the control Regulation on external trade in defence material, other material and dual-use items and technologies. This Royal Decree entered into force on 7 February 2009.

Approval of Directive 2009/43/EC of the European Parliament and of the Council of 6 May 2009 simplifying terms and conditions of transfers of defence-related products within the Community and the future signing of the Implementing Convention on Components Licenses within the framework of the Letter of Intent for the restructuring and integration of the defence industry, will require an amendment to Royal Decree 2061/2008. This amendment will be made in 2011

Transfer requests are analysed in accordance with the foregoing legislation on a case-by-case basis and the JIMDDU's mandatory and binding report is collected. The overarching purpose of that analysis is to prevent the proliferation of weapons of mass destruction and especially to prevent arms and dual-use items from falling into the hands of and being used by terrorists, all without prejudice to the legitimate sale of arms in accordance with Article 51 of the United Nations Charter which recognises the legitimate right to individual or collective defence of all member nations.

Analysis of defence material export operations applies the eight criteria of Common Position 2008/944/CFSP of 8 December defining the common regulations governing control of the export of military technology and equipment and, regarding the export of small arms and light weapons, the criteria laid down in

the OSCE Document on small arms and light weapons of 24 October 2000 are applied.

Resolution 55/255 of the United Nations General Assembly of 8 June 2001 approving the Protocol against the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, supplementing the United Nations Convention against transnational organized crime; the Programme of Action of the United Nations to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects; and the Council Common Position 2003/468/CFSP of 23 June 2003 on the Control of Arms Brokering and the Council Joint Action of 22 June 2000 concerning the control of technical assistance related to certain military end-uses, are likewise applicable.

Also in this connection, special mention should be made of the provisions of the Weapons Regulation approved by Royal Decree 137/1993 of 29 January 1993 and the Explosives Regulation approved by Royal Decree 230/1998 of 16 February 1998.

As for dual-use, the Spanish control authorities apply Council Regulation (EC) No 428/2009 of 05 May 2009 setting up a Community regime for the control of the export, the transfer, brokering and transit of dual-use items.

It is important to draw attention to United Nations Resolution 1540 (2004) of 28 April intended to prevent the proliferation of weapons of mass destruction and specifically to prevent non-State actors from acquiring them. Other international regulations include those forming part of the 03 December 1997 Convention on Anti-personnel Mines, the 03 December

2008 Convention on the Prohibition of Cluster Munitions, the 13 January 1993 Convention prohibiting the development, production, stockpiling and use of chemical weapons and on their destruction; and the 10 April 1972 Convention prohibiting the development, production and stockpiling of biological and toxin weapons and on their destruction.

The Convention on the Physical Protection of Nuclear Material of 3 March 1980 (whose 8 July 2005 amendment has been ratified by Spain) to prevent the dangers associated with the illegal use or takeover of nuclear materials, calls for the establishment of control measures, including import and export authorisations, for nuclear materials from States which are not party.

And lastly, the Spanish control system assumes the obligations undertaken within the framework of the most important international control and non-proliferation fora, i.e. the Wassenaar Arrangement, the Zangger Committee, the Missile Technology Control Regime, the Nuclear Suppliers Group and the Australia Group.

We should likewise note that in January 2010 the process began to amend the Anti-smuggling Act, Law 12/1995.

Included among the changes brought about by this amendment are the adaptations of the obligations arising from the Chemical Weapons Convention; the Biological and Toxin Weapons Convention; the most recent changes to Regulation (EC) 428/2009 of 5 May on dual-use items; the Council Joint Action of 22 June 2000 concerning the control of technical assistance related to certain military end-uses; Council Common Position 2003/468/CFSP of 23 June 2003 on the control of arms brokering; Council Regulation (EC) No



1236/2005 of 27 June 2005 concerning trade in certain goods which could be used for capital punishment or torture and Directive 2009/43/EC of the European Parliament and of the Council of 6 May 2009 simplifying terms and conditions of transfers of defence-related products within the Community.

Lists of items and equipment subject to control under Spanish legislation must be updated each year in accordance with the amendments approved in the international lists. Applicable checklists are those found in Royal Decree 2061/2008 of 12 December.

Control of the external trade in defence and dual-use material was boosted by the approval of the 20 July 2006 Order issued by the Secretariat of State for Trade. This order established the procedure whereby external trade authorisations are processed in application of Council Regulation (EC) No 1236/2005 of 27 June 2005 concerning trade in certain items that could be used in the enforcement of the death penalty or to inflict torture.

The Community Regulation contains nineteen Articles and five Annexes.

Annex II features a list of items related to the application of the death penalty whose export, import and related technical assistance are prohibited: gallows and guillotines, electric chairs, gas chambers, injection systems designed for the administration of a lethal chemical substances and electric-shock belts. This prohibition does not apply to shipments of this equipment to museums. Technical-health items are excluded as well.

Annex III includes equipment used for torture: restraint chairs and shackle

boards, leg-irons, gang chains, shackles, individual cuffs and shackle bracelets, thumb-cuffs, portable anti-riot devices for administering an electric shock, incapacitating chemical substance dispensing devices and two chemical substances used in the manufacture of tear gas. These items may be exported and imported but they need prior authorisation and a control document listing the recipient, use and end user.

Transit and brokering transactions are not included in this Regulation. A denial and consultation procedure similar to the one contained in Common Position 2008/944/CFSP of 8 December has been set up.

## 2. Control bodies

*A) Junta Interministerial Reguladora del Comercio Exterior de Material de Defensa y de Doble Uso (the Inter-Ministerial Regulatory Board on External Trade in Defence or Dual-Use Material – Spanish initials JIMDDU)*

This Board was first constituted in 1988 as an inter-ministerial administrative body and is vouchsafed to the Ministry of Industry, Tourism and Trade. The JIMDDU meets on a monthly basis with the exception of the month of August and has a Working Group responsible for preparing operations and reports.

Its makeup is determined by Article 13 of Law 53/2007 and Article 17 of Royal Decree 2061/2008. Those units of the administration which are directly involved in the control of external trade in defence material, other material and dual-use items and technologies (Ministries of Industry, Tourism and Trade; Foreign Affairs and Cooperation;

Economy and Finance; Defence; and the Interior) are represented.

The JIMDDU's most important function is the compulsory and binding review of administrative authorisations and preliminary agreements relating to the said materials and the compulsory review of amendments made to regulations governing this trade.

*B) General Secretariat for External Trade*

Authorisation for import/export transactions concerning defence material, other material and dual-use items and technologies, duly informed by the JIMDDU, is the responsibility of the General Secretariat for External Trade. The processing procedure for the issuing of licenses is undertaken by the Deputy Directorate-General of External Trade in Defence and Dual-use Material which, in turn, also serves as the Secretariat of the JIMDDU.

## PART II. DEFENCE MATERIAL EXPORTS

### 1. Legislation in force

The following laws were in force during the period covered by these statistics: the Anti-smuggling Act, Organic Law 12/1995 of 10 December 1995, Law 53/2007 of 28 December 2007 on the control of external trade in defence and dual-use material and Royal Decree 2061/2008 of 12 December establishing the Regulation controlling external trade in defence material, other material and dual-use items and technologies.

Defence material subject to control under Spanish law is based on the Wassenaar Arrangement Military List and on the Common List of Military Equipment laid down in Common Position 2008/944/CFSP of 8 December defining common rules governing control of exports of military technology and equipment and also includes categories I and II of the Missile Technology Control Regime.

### 2. Statistical analysis

#### A) Exports completed

The tables showing the export figures corresponding to defence material are included in Annex I of this report.

The import/export flow has stabilised over the last several years as a result of the participation of several Spanish companies in joint military cooperation programmes (Eurofighter programmes, the A 400M transport aircraft, the Tiger helicopter, the Leopard tank, Meteor and Iris-T Missiles and the MIDS electronic communications programme).

In 2009 there was an increase of 44.1% in the export of defence material in comparison with 2008. The value of exports totalled €1,346.50 million.

| Year | Amount (€ millions) |
|------|---------------------|
| 2003 | 383.10              |
| 2004 | 405.90              |
| 2005 | 419.45              |
| 2006 | 845.07              |
| 2007 | 932.94              |
| 2008 | 934.45              |
| 2009 | 1,346.52            |

The following table, based on the statistical data from Annex I, shows Spain's principal export markets. It lists countries and groups of countries (NATO and European Union), amount and percentage of exports and the main categories exported in each case.

| Countries DM                   | Amount (€ millions) | %            | Categories |
|--------------------------------|---------------------|--------------|------------|
| <b>EU NATO countries</b>       | <b>528.58</b>       | <b>39.26</b> |            |
| Germany                        | 160.22              | 11.90        | 4,10,11,15 |
| United Kingdom                 | 121.96              | 9.06         | 8,10,11,15 |
| Portugal                       | 105.88              | 7.86         | 1,2,4,6,10 |
| Italy                          | 70.83               | 5.26         | 1,4,10,15  |
| Others                         | 69.69               | 5.18         | 4,8,10,11  |
| <b>EU non-NATO countries</b>   | <b>1.86</b>         | <b>0.14</b>  |            |
| Ireland                        | 1.42                | 0.11         | 4          |
| Others                         | 0.44                | 0.03         | 6,10,15,18 |
| <b>NATO (non-EU) countries</b> | <b>341.83</b>       | <b>25.38</b> |            |
| Norway                         | 281.29              | 20.89        | 3,4,7,8,9  |
| United States                  | 55.40               | 4.11         | 1,3,4,5,11 |
| Others                         | 5.14                | 0.38         | 4,10,11,15 |
| <b>NATO + EU</b>               | <b>872.27</b>       | <b>64.78</b> |            |
| <b>Other countries</b>         | <b>373.20</b>       | <b>27.72</b> |            |
| Malaysia                       | 180.53              | 13.41        | 6,9,15     |
| Brazil                         | 46.96               | 3.49         | 4,6,8,10   |
| Mexico                         | 43.78               | 3.25         | 10         |
| Botswana                       | 37.50               | 2.78         | 10         |
| Colombia                       | 33.31               | 2.47         | 1.10       |
| Morocco                        | 31.12               | 2.32         | 2,3,6,10   |
| <b>Remaining countries</b>     | <b>101.05</b>       | <b>7.50</b>  |            |
| <b>TOTAL</b>                   | <b>1,346.52</b>     | <b>100</b>   |            |

The table shows that dispatch to European Union countries was lower in relative terms than in years past accounting

in 2009 for 39.4% of the total compared with, for example, 59.8% in 2005 and 79.6% in 2004.

However, sales to EU countries totalled €530.4 million which is higher than in previous years. Dispatches were basically distributed between Germany the United Kingdom, Portugal and Italy. Most of the exports were parts and components for the EF-2000 fighter jet to Germany, the United Kingdom and Italy and A400M military transport aircraft to the United Kingdom and Germany. Fuel was another important export category to the United Kingdom (aviation kerosene and NATO specification naval gas-oil). It is worthwhile mentioning that shipments to Germany also included parts and components for the Leopard tank and Iris-T missile. Noteworthy exports to Portugal included 5 transport planes and logistical support along with spare parts.

NATO countries accounted for 64.6% of the dispatches/exports, with very special mention of the export of a fourth frigate to the Norwegian navy (exports to that country totalling €281.3 million and accounting for 20.1%). Mention should also be made of exports to the United States (€55.4 million accounting for 4.1% consisting of parts and components for aircraft, ships, tanks and missiles in addition to small arms).

Aside from the shipments/exports to EU and NATO countries, the rest of the sales (€474.2 million accounting for 35.2% of the total), were divided among 41 countries of which mention should be made of Malaysia with €180.5 million accounting for 13.4 (stern of a submarine, 85 unarmoured off-road vehicles for the transport of troops, night sights); Brazil with €46.9 million ac-

counting for 3.5% (two transport planes and logistic support, spare parts for tanks and barges, munitions for small arms, gunpowder and small arms components; Mexico with €43.8 million accounting for 3.2% (two transport planes and logistic support and parts and components for the modernisation of aircraft; Botswana with €37.5 million accounting for 2.8% (two transport planes and logistic support with spare parts); Colombia with €33.3 million accounting for 2.5% (one transport plane and logistic support with spare parts); and Morocco with €31.1 million accounting for 2.3% (286 unarmoured off-road vehicles, ambulances and fuelling vehicles, fire engines and a crane, parts and components of aircraft and spare parts for small arms).

It is important to note exports to the following especially sensitive destinations listed alphabetically:

Cuba: €3,500 for 1 hunting rifle.

Gabon: €89,858 in spare parts for aircraft.

Ghana: €2.3 million for 30 non-armoured off-road vehicles for the transport of troops.

India: €10.6 million in equipment and spare parts for warships and munitions for small arms.

Indonesia: €5,758 for small arms for police and sporting use.

Israel: €790,635 for sport pistol components; calibre 30 x 173 mm rounds for operational tests of a remote control tower run by the same Israeli company which manufactured the tower for vehicles from different NATO countries; aircraft parts and components with zero

value because they were returned to the sender as material erroneously sent from Israel to the Spanish Armed Forces; electronic image processing cards to be incorporated into equipment to be fitted into aircraft for Brazil and launching systems for tests of a missile for the Spanish army.

Kazakhstan: €18.9 million for 1 piece of countermeasure equipment.

Kenya: €511,000 for aerial bombs.

Mauritania: €1,713 for one hunting rifle and small arms with munitions.

Pakistan: €760,321 for aircraft spare parts and illumination flares.

Philippines: €137,844 for parts and components of small sporting weapons.

Rwanda: €15.2 for one radar station for civilian and military use.

Saudi Arabia: €5.1 million in spare parts for aircraft and munitions for small arms.

South Africa: One hunting rifle.

Sri Lanka: €102,000 for aerial bombs.

Thailand: €526,351 for aircraft spare parts and spare parts for small navy arms.

Turkey: €1.2 million for aircraft parts and components, illuminating munitions for small arms and aerial bomb components.

Vietnam: €172 for one police shot gun and 1 chemical substance.

Exports completed (€1,346.5 million) accounted for 42.2% of those author-

ised (€3,193.4) owing mostly to the authorisation of two individual export licenses for 7 surveillance ships valued at €925 million to Venezuela and one individual export license for 4 aircraft valued at €100 million to the Czech Republic which did not materialise in 2009.

Focusing on product categories, we would draw attention to the export of "Warships" for €448.7 million accounting for 33.3% and "Aircraft" for €415.7 million accounting for 30.9% of the total.

*B) Operations processed and exempt from the preliminary report and/or control document*

This information can be found in Annex IV.

In 2009, a total of 807 applications for defence material export licenses were filed as follows: 533 individual licenses, 21 global project licenses (arising from cooperation programmes in the field of defence) and 253 temporary licenses. In addition to these, 7 inward processing traffic licenses were processed and rectifications were made to 180 licenses granted previously (rectification refers to an extension of the expiration date, the monetary value or a change in the customs release post).

Of the 533 individual licenses, 424 were approved, 4 denied, 15 were discontinued by the exporter, 32 expired due to failure to submit the end-use control document associated to the license by the deadline date and 58 were left pending authorisation in 2010. All of the global project licenses were approved except for one which was left pending. All of the 253 temporary licenses were approved except for 1 which was discontinued. All of the license rectifica-

tions were approved. The 7 traffic licenses were approved. Also in 2009, 20 preliminary export agreements were approved and 2 were denied. This is an administrative approval signalling initial conformity regarding future shipments.

Annex IV offers information concerning the time it takes to process licences and the number of licences exempt from the preliminary report and/or the control document.

The exemptions determined by the JIMDDU were limited to dispatches of non-sensitive material to allied countries or members of international control and non-proliferation fora.

Specifically, these exemptions were related to the following operations:

- a) The export-consignment and import-introduction arising from defence cooperation programmes classified as such by the Ministry of Defence in accordance with Article 25(2) a) of Royal Decree 2061/2008 of 12 December.
- b) The export-consignment and import-introduction of items requested by bodies of the Ministry of Defence and by companies within the sector in compliance with maintenance or repair contracts concluded with the Armed Forces, with a favourable report from the Directorate-General for Armament and Materiel of the Ministry of Defence.
- c) Temporary export-consignment and import-introduction of items for repair, check-up, replacement of faulty material free of charge, returns to place of ori-

gin, tests, homologations, fairs or exhibits and, in the case of operations having to do with firearms, in addition to the foregoing, those transactions intended for hunting outings or sport shooting.

- d) Temporary export-consignment under an outward processing procedure and export-consignment arising from previous imports-introductions under an outward processing procedure undertaken by bodies of the Ministry of Defence.
- e) The export-consignment and import-introduction of technology relating to defence material by operators with an internal compliance programme having regard to the control of the said transfers.
- f) The export-consignment of fuels meeting military specifications targeting countries of the European Union and the North Atlantic Treaty Organisation (NATO).
- g) Rectifications of authorisations having to do with effective term, customs and monetary value.

*C) Entries in the Special Register for External Trade Operators in Defence and Dual-use Material (Spanish acronym REOCE)*

In 2009, nine entries were made by defence material companies in the REOCE, a further nine made joint entries for defence and dual-use material, four made joint entries for defence and other material and two entries were made by companies involved in all three areas of activity.

#### *D) Licenses denied*

In 2009 there were 4 denials of licenses and 2 denials of preliminary export agreements for defence material resulting from enforcement of Common Position 2008/944/CFSP of 8 December. Details of these denials are found in Annex I.

We collaborated in the investigation of a case of alleged forgery of documents and diversion of defence material imported to non-public recipients. As a result of that investigation, two import licenses were denied. An appeal to a higher court was dismissed.

Prior to informing the operations, the JIMDDU conducted a case-by-case analysis of all 2009 transactions applying the following parameters:

- a) Full and absolute respect for United Nation, European Union and OSCE embargoes currently in force (Annex VII).
- b) Observance of commitments undertaken at international control and non-proliferation fora to which Spain is party.
- c) Enforcement of the 8 criteria laid down in Common Position 2008/944/CFSP of 8 December defining common rules governing control of exports of military technology and equipment.
- d) Enforcement of the 24 October 2000 OSCE Document and the latter's criteria concerning small arms and light weapons.
- e) Adoption of restrictive principles in approving exports to certain

countries immersed in domestic or regional situations of conflict thus preventing the shipment of arms or equipment that, in light of their characteristics, could be used to take life or injure or could be used for the purpose of domestic repression or as anti-riot material.

- f) As concerns transactions involving small arms and light weapons, in 2001 the JIMDDU took the decision to make export authorisation of these arms contingent upon the end recipient/user being a public body (armed forces and law enforcement officials) in the case of particularly sensitive countries or in those where there is a risk of diversion in terms of the end use made of this material.

The requirement of submitting a control document continued throughout all of 2009 specifying this point as a prerequisite for license authorisation.

- g) Spanish export of certain devices for the restriction of bodily movement such as leg shackles and waist chains has been prohibited as from December 2001.

This prohibition was incorporated as Additional Provision Twelve to the Fiscal, Administrative and Social Order Act, Law 24/2001 of 27 December.

- h) As of July 2008, external trade in cluster munitions is prohibited as the result of the unilateral moratorium on the use, development, production, acquisition

and external trade in cluster munitions pursuant to the Agreement approved by the Cabinet on 11 July 2008.

In 2009, the Ministry of Foreign Affairs and Cooperation authorised 463 transits of defence material and denied 28.

### 3. Principal actions undertaken and exchanges of information in the field of conventional arms in 2009

#### A) COARM – Working Group of the Council on conventional arms exports

The duty of the COARM Group is to study those initiatives whose purpose is to strengthen conventional arms trade controls. In addition to that, its main focus is on the discussion of aspects relating to Common Position 2008/944/CFSP of 8 December defining common rules governing control of exports of military technology and equipment. Said Common Position is comprised of 8 criteria and a series of operational provisions.

From among the most important advances made in 2009, we would stress the following (XI Annual Report on arms exports):

1. *Transformation of the Code of Conduct into a Common Position.* Technical discussions regarding the review of the Code concluded in June 2005. The 8 June 1998 European Union Code of Conduct on arms exports became a Common Position on 8 December 2008 (Common Position 2008/944/CFSP). The Common Position extends controls to arms brokering, transits and the intangible transfer of technology.
2. *Review of the Code of Conduct Common List of Military Equipment.* On 23 February 2009, the Council adopted an updated version of the Common List based on the changes made to the Wassenaar Arrangement Military Equipment List. It was published in the Official Journal C65 on 19 March 2009. This is the list included in the Annex of Directive 2009/43/EC.
3. *Improvement of the Code of Conduct “User’s Guide” and the denial database.* Both were compiled in 2003 and became fully operational as of 1 January 2004. The Guide features clarifications on procedures to be applied to the communication of denials and consultations stemming from the latter in addition to guidelines concerning the interpretation of the criteria and requirements for the provision of data for the Annual Report. The most recent update took place on 19 April 2009. The database, managed by the General Secretariat of the EU Council, contains all of the denials issued to and consultations made by Member States communicated by means of the *coreu* electronic system. Denials are organised by the country issuing the denial, the country denied and the criterion.
4. *Participation and information dissemination activities.* On 17 March 2008 the Member States adopted Joint Action



2008/230/CFSP to drive these activities.

The Slovenian Presidency organised the following seminar:

- Jable Castle (Slovenia): targeting Eastern European countries (Albania, Bosnia and Herzegovina, Croatia, the Former Yugoslav Republic of Macedonia, Montenegro and Serbia) on 4-6 May 2008.

The French Presidency organised the following seminar:

- Rabat (Morocco): targeting North African countries (Algeria, Tunisia, Egypt, Morocco and Libya) on 17 and 18 December 2008.

The Czech Presidency organised the following seminars:

- Kiev (Ukraine): targeting officials of that country on 22 to 24 April 2009.
- Tirana (Albania): targeting the same countries, from 4 to 6 June 2009.

The Swedish Presidency organised the following seminar:

- Tbilissi (Georgia): targeting countries of Eastern Europe and the Caucasus (Armenia, Azerbaijan, Georgia and Moldavia), on 27-28 October 2009.

These four Presidencies also held several meetings of the Troika with Canada, Norway, the Russian Federation, Ukraine and the United States within the framework of the political dialogue of the EU's Common Foreign and Security Policy (CFSP). The main issues covered were controls on arms exports, enforcement of Common Position 2008/944/CFSP, the future Arms Trade Treaty and the memberships of new countries in the international non-proliferation and control fora.

The following seminars are envisaged during the Spanish Presidency:

- Algiers (Algeria): 23 and 24 March 2010.
- Sarajevo (Bosnia and Herzegovina): 14 and 15 June 2010.

##### 5. *International Arms Trade Treaty.*

On 3 October 2005, the Council supported the principle of an Arms Trade Treaty, urging the commencement of a formal United Nations process, the only forum capable of enacting a universal instrument. On 19 January 2009 the Member States adopted Council Decision 2009/42/CFSP on support for EU activities in order to promote among third countries the process leading towards an Arms Trade Treaty, in the framework of the European Security Strategy. Representatives of the Member States actively participated in the following seminars:

- Dakar (Senegal): 27-29 April 2009.
- Mexico City (Mexico): 17 to 19 June 2009.
- Kuala Lumpur (Malaysia): 13 and 14 October 2009.
- Addis Abeba (Ethiopia): 14 and 15 December 2009.

One seminar will be held during the Spanish Presidency:

- Vienna (Austria) 11 and 12 February 2010.

In addition to these informational activities, at different international fora several Member States bilaterally promoted the idea of a legally binding Arms Trade Treaty.

6. *Standardisation of national contributions for the Annual Report.* While differences continue to exist in the way information is presented, significant progress has been made over the last several years in improving the standardisation of procedures used in obtaining statistical data. In 2009, particular attention was paid to the difficulties encountered in gathering information on exports completed.
7. *Arms brokering.* In 2003, the Council adopted Common Position 2003/468/CFSP of 23 June on the control of arms brokering. The Common Position contains the criteria, instruments (licenses, written authorisations, records of activity, consultations) and definitions needed for the ef-

fective control of these operations. In accordance to Article 5 of the Common Position, Member States must establish special mechanisms (specific databases) for the exchange of information on national legislation and registered intermediaries. At the COARM Group meeting held in April 2008, Member States also agreed to share, while respecting confidentiality, information on brokering licenses issued.

8. *Directive 2009/43/EC.* In the second half of this year, an information exchange scheme was launched regarding the way in which each Member State is planning to transpose and enforce the Directive.
9. *Dialogue with the European Parliament* Each Presidency must meet with the European Parliament Defence and Security Committee in order to submit a summary of COARM Group activities. The Czech and Swedish Presidencies informed the Committee of specific aspects of these activities such as the adoption of Common Position 2008/944/CFSP and the promotion of the Arms Trade Treaty.

Priority guidelines of the COARM Group for 2010 may be summarised as follows:

- Continuation of the adoption and harmonisation process of the national reports to foster more homogeneous statistical data thus facilitating their inclusion in the Annual Report of the European Union.

- Follow-up on the adaptation of the Common Position on control of arms brokering to national legislations, broadening of the information exchange mechanism and enhancement of the transparency of the reports.
- Maintenance of the policy to promote the principles and criteria of Common Position 2008/944/CFSP and maintain assistance to adhering countries and to third countries with a view to ensuring the harmonisation of policies concerning the control of arms exports.
- Contribution to the exchange of information on Directive 2009/43/EC and its enforcement.
- Promotion of the initiative based on an Arms Trade Treaty.
- Intensification of dialogue with the European Parliament and cooperation with international NGOs and the defence industry.

*B) Directive 2009/43/EC of the European Parliament and of the Council of 06 May 2009 simplifying terms and conditions of transfers of defence-related products within the Community.*

This Directive seeks to harmonise the legal and regulatory provisions of the Member States in order to simplify intra-Community transfers of defence-related items to ensure the proper operation of the internal market while at the same time enhancing competitiveness in the European arms industry and encouraging the participation of small and medium-sized undertakings in the

more efficient supply of military material.

The aim of protecting human rights, peace, security and stability laid down in the legal provisions and regulations of the Member States which restrict the transfer of defence-related items, require that the transfer of these items within the Community continue to be subject to the authorisation of the Member States of origin and the submission of guarantees in the recipient Member States under different safeguard mechanisms laid down in the Directive.

All transfers of defence-related items within the Community are subject to prior authorisation (individual, global or general license), although some specific exemptions are defined such as dispatches to the Armed Forces of a Member State, deliveries made by the EU, NATO or the IAEA and transfers within the framework of a cooperation programme.

To facilitate the transfer of defence-related products, general transfer licenses are issued which authorise transfers from Member States to undertakings which comply with the terms and conditions laid down in each general license. General licenses may be used in four concrete cases: when the recipient is the Armed Forces, when the undertaking is certified in accordance with the requirements laid down in the Directive, in the case of demonstrations, evaluations and temporary exhibits and in the case of transfers for the purpose of maintenance and repairs. General licenses may likewise be issued for inter-governmental cooperation programmes.

Suppliers must inform recipients of the terms and conditions of the general license as concerns the end use or export of these items. They must also inform the authorities of their intention to use a given general license for the first time 30 days prior to the first transfer. They must also furnish periodical information on the use made of the general licenses and the transfer of items for statistical purposes and keep these records with the required information on file for a minimum of five years so as to ensure the control of defence material.

Global transfer licenses are issued at the request of the individual supplier and authorise one or several transfers of defence-related items to one or several recipients in one or several Member States. They are valid for three years and may be renewed.

Individual transfer licenses are granted on an exceptional basis upon request by a specific supplier for one single transfer when necessary to protect the essential interest of security or public order in a Member State or in the case of a Member State which has serious reason to believe that a supplier will not be able to comply with the terms and conditions required for the issue of a global license.

The Directive provides for the possibility of certifying recipient undertakings of defence material to allow them to receive certain defence material in accordance with a general license issued by another Member State, providing that the undertaking meets the reliability criteria laid down in the Directive and the commitment to comply and enforce compliance with all of the specific conditions related to the end use and ex-

port of any specific item or component received.

The deadline for the transposition of the Directive for Member States is 30 June 2011. The measures proposed will be enforced as from 30 June 2012 thus allowing a year during which to foster mutual trust in the enforcement of the legal, regulatory and administrative provisions adopted to guarantee compliance with the Directive on the part of the Member States.

*C) Council Regulation (EC) 1236/2005 of 27 June 2005 concerning trade in certain goods which could be used for capital punishment, torture or other cruel, inhuman or degrading treatment or punishment*

The first Committee meeting on Council Regulation (EC) 1236/2005 of 27 June 2005 concerning trade in certain goods which could be used for capital punishment, torture or other cruel, inhuman or degrading treatment or punishment was held in January 2009. This Regulation entered into force on 30 July 2006.

The importance of this Regulation and its contribution in combating torture and cruel treatment, in line with EU Human Rights policy, was stressed at that meeting.

The Committee meeting was informative in nature and doubts and suggestions concerning the Regulation and its enforcement were discussed. In this connection, the Executive Secretary of the Council of Europe's Committee for the Prevention of Torture (CPT) was invited to attend.

Participants were reminded of the strict obligation to check certain sources of information before authorising the ex-

port of the items listed in Annex III of the Regulation. In order to facilitate consultation, the possibility of circulating a list of institutions was mentioned. The participants were invited to explain how they enforce the Regulation in everyday practice and a questionnaire was distributed in this connection.

The Regulation foresees the drafting of an annual activity report and the compulsory communication of denials among Member States.

The need to furnish information on the regulation in each Member State as regards sanctions and penalties for infringement was likewise stressed.

The Commission explained the work that the Omega Foundation is doing and urged the Member States to actively collaborate with that institution.

*D) Letter of intent (LOI) regarding the restructuring and integration of the European Defence industry.*

The signing of the Framework Agreement implementing this Letter of Intent took place on 27 July 2000 coinciding with the Farnborough aerospace trade fair (United Kingdom). This Agreement was drawn up based on the conclusions reached by six sub-committees whose creation stemmed from the 8 July 1998 signing of the Letter of Intent (LOI) on the restructuring and integration of the European defence industry by six countries: France, United Kingdom, Germany, Italy, Sweden and Spain.

The aim of the Letter of Intent is to encourage the creation of a competitive and flexible European industrial structure in the best possible position to

tackle future defence sector challenges. The Framework Agreement sets the stage for the creation of a sector-wide political and legal framework with three major aims: the industrial restructuring of the European defence sector, fostering the creation of transnational European companies in this field and encouraging the creation of a stronger and more competitive technological base.

In 2009 Spain continued to participate in the activities of the aforementioned subcommittees.

As concerns Subcommittee No 2 on Export Procedures, work focused primarily on the amendment of Article 2 of the Framework Agreement and the development of a Components License (CL) applicable to dispatches, outside of the sphere of cooperation programmes, of components, parts and subsystems between companies of the six countries and those countries on the list of permitted recipients. In 2005, representatives of the European defence industry suggested the study of the implementation of a more flexible control system of shipments, over and above cooperation programmes.

Work undertaken prior to the aforementioned Subcommittee revolved around the two essential instruments contained in part 3 of the Framework Agreement: the "Global Project License" (GPL) applicable to industrial cooperation programmes in the military field (Article 12) and the lists of allowed destinations associated with those licenses (Article 13).

In the first case it was decided to create an industrial project application, standardised to the degree possible, enabling the transfer of project-related in-

formation between the parties and the maintaining of different national formats as concerns the GPL.

As concerns the lists of allowed destinations, it was agreed that each main non-subcontracting company participating in a specific programme propose a list of potential export markets to the authorities of its country for the item arising from the programme. The governments will exchange the national lists but without informing their companies of the destinations mentioned by the other companies. The inclusion or elimination of a destination must be by consensus.

The GPL and the use of destination lists are regulated by Royal Decree 2061/2008 (Article 25).

In 2002 Subcommittee No 2 completed the Implementing Convention as concerns GPL and in 2009 that applying to the CL. In the case of the former, procedures are specified for the listing and management of the allowed export destinations and the basic pieces of information that national GPLs must contain. As for the latter, a series of procedures similar to those contained in the aforementioned Convention is regulated, in addition to the list of items applicable to the CL. Items classified as more sensitive on the national lists are excluded from this latter list. The operators of the CL can be the governments of the countries in question, the companies registered as beneficiaries of this type of license by the States party to the Framework Agreement and the governments and companies of the remaining countries which are on the list of allowed destinations.

Also in 2009, the six LOI countries fostered the use of Global Project Li-

censes between companies involved in cooperation programmes.

Another important aspect debated by Subcommittee No 2 in 2009 was Directive 2009/43/EC of the European Parliament and of the Council of 6 May 2009 simplifying terms and conditions of transfers of defence-related products within the Community. Two meetings were held with the Commission to discuss the main content of the Directive.

#### *E) European Union Joint Action on Small Arms and Light Weapons*

The European Union continues to be an actor and main contributor in the worldwide effort to combat unlawful trade in and proliferation and stockpiling of small arms and light weapons and their munitions.

Joint Action 1999/34/CFSP adopted by the European Union on 18 December 1998 and updated by Joint Action 2002/589/CFSP of 12 July on the European Union's contribution to combating the destabilising accumulation and spread of small arms and light weapons, reinforces other already existing initiatives in the European Union, namely the so-called Programme for Preventing and Combating Illicit Trafficking in Conventional Arms of 26 June 1997 and Council Common Position 2008/944/CFSP of 8 December 2008 defining common rules governing control of exports of military technology and equipment, replacing the Code of Conduct on Arms Exports of 8 June 1998.

Additionally, in December 2005 the EU Strategy against the stockpiling and illegal trafficking in small arms and light weapons and their munitions was put into operation as part of its 2003 Security Strategy. Other EU programmes

and strategies focusing on anti-personnel mines and the participation of children soldiers in conflicts will round-out the construction of the Security Strategy.

Joint Action 2002/589/CFSP focuses on regions in conflict and its objectives are to prevent the destabilising stockpiling and proliferation of light weapons and also to contribute to the reduction in stocks of these types of arms. The projects developed under the aegis of this Joint Action are mainly financed through the CFSP budget (specific article on "non-proliferation and disarmament").

Council Joint Action 2008/113/CFSP of 12 February 2008 was adopted in 2008 to promote the international instrument designed to allow States to accurately identify and trace, as needed, illegal small arms and light weapons (commonly known as the "Marking and Tracing Instrument") adopted by the UNGA on 8 December 2005.

This Joint Action included three regional workshops to familiarise the corresponding officials and others – including the points of contact for small arms and light weapons, members of the security forces, members of the national coordination bodies and parliamentary members- with the instrument's provisions.

Execution of this Joint Action cost €299,825 charged to the general budget of the European Union.

Also in 2009 the European Union continued to provide technical and financial assistance with funds from different budgets for programmes and projects undertaken by different international

and non-governmental organisations in the fight against the proliferation of small arms and light weapons and assistance for victims of armed conflicts.

The European Union continues to be one of the world's major contributors in this field: the total amount of EU financial resources earmarked for the fight against the stockpiling and trafficking in small arms and light weapons and their munitions was approximately €15 million from CFSP funds for the period 1999-2007 and €366 million from European Community funds and the European Development Fund for the period 1992-2007.

The Ministry of Foreign Affairs and Cooperation continued organising, as in previous years, seminars to train experts in which civil servants, members of Parliament and representatives of the civil society of the majority of the Latin America countries typically take part. Other bodies, namely the Ministry of the Interior, also collaborate in this task.

Spain has increased its participation as a donor country in the framework of the fight against the illegal trade in and proliferation of firearms both in terms of technical assistance and cooperation and in voluntary contributions made to international/regional organisations and NGOs.

Special mention should be made of the following activities:

- Within the framework of the UN, in 2009 Spain contributed to the funding of projects related to the fight against the illegal trade and proliferation of firearms and

the reduction of armed violence through the following UN organisations: The Office for Disarmament Affairs, €300,000; the UNDP Bureau for Crisis Prevention and Recovery, €250,000; and the United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UN-LiREC), €250,000.

- Within the framework of the Organisation for Security and Co-operation in Europe (OSCE), in 2009 Spain continued to donate funds in support of different projects related with the destruction of stockpiles of conventional arms, small arms and light weapons and munitions and explosives in the amount of €150,000.
- Within the framework of the Organisation of American States (OAS), Spain made a financial contribution of €320,000 in support of legislative assistance projects and to bolster parliamentary networks and also to combat crime and promote citizen security.
- In 2009, Spain approved a financial contribution of €500,000 for the Economic Community of West African States (ECOWAS). Of that amount, €200,000 was a general contribution and €300,000 was earmarked for

the Small Arms Control Programme in West Africa.

Also, the AECID funded projects focusing on care for victims, their families and communities of which special mention should be made to the reintegration of ex-soldiers with special emphasis on care for children soldiers.

The Arms and Explosives Intervention Unit of the Directorate-General for the Police and Guardia Civil (Ministry of the Interior) carried out the following activities in 2009: 24,589 inspections of manufacturing and storage plants of these weapons and explosive plants and warehouses; holding of 286,247 firearms of different types and characteristics; 19,452 weapons pending auction; 32,933 weapons pending scrapping; 1,174 lost weapons of which 408 were recovered; 151 sanction proceedings involving weapons and 591 involving explosives filed against factories, armouries, individuals and carrier companies; confiscation at border controls of 159 weapons from Schengen countries (Belgium, the Czech Republic, Italy and Portugal) and of 68 weapons from non-Schengen countries (USA and Turkey).

Regarding import and export, 1,627 import authorisations, 961 export authorisations and 1,440 Prior Consents and 250 Transfer Permits to the European Union were granted.

Since 1999, the Central Arms and Explosives Control Unit has been periodically attending meetings with other EU Member States regarding the European Firearms Directive focusing on, inter alia, the harmonisation of Member States' arms and explosives



laws and the transposition of the United Nations Protocol.

*F) United Nations Conference on the Illicit Trade in Small Arms and Light Weapons.*

*Action Programme*

Spain places a high priority on international cooperation in combating and eradicating unlawful trafficking in these types of arms. The Spanish Government has lent its support to all of the work conducted in this field within the scope of the United Nations as well as in other areas (OSCE, Wassenaar Arrangement) as evidenced by the different sections of this report.

The first Conference was held in New York from 9 to 20 July 2001 for the purpose of combating all aspects of illicit trade in small arms and light weapons including the role played by brokers.

Fruit of the work undertaken at the Conference was the political commitment called the Action Programme envisaging States' adoption of measures at national, regional and international level to combat illicit trade in small arms and light weapons. The said Programme of Action includes (among others) the following elements:

- The introduction of export criteria, albeit less ambitious than those laid down in the EU Code of Conduct.
- The marking of these arms making each one unique so that they can be identified and traced internationally implementing the current International Instrument on the marking and tracing of small arms.

- Development of an international agreement whereby transactions undertaken by brokers may be effectively controlled.
- Cooperation in the collection, control and destruction of these arms and likewise the integration and re-socialisation of combatants.
- Increase in police cooperation.

Part II of the Programme of Action envisages a series of legislative and regulatory measures to be adopted at national level (inter alia, regulation of the production, export, import, re-export and transit of small arms and light weapons and criminalisation of the production, possession, stockpiling and illegal trade in these arms). Most of these measures are much less stringent than the rules currently in force in Spain.

For example, as concerns control of the export of defence and dual-use material, the Programme of Action calls for the implementation of an authorisation system for the export of these arms which takes stock of "the risk of diversion to illicit trafficking". In authorising or denying exports of defence material, Spain applies Council Common Position 2008/944/CFSP of 8 December 2008 defining common rules governing control of exports of military technology and equipment. This Common Position features much more strict and precise criteria than those contained in the Programme of Action. Similarly, in other aspects such as the marking, registration and monitoring of these arms, Spanish and European rules are more thorough and ambitious than the Programme of Action provisions or the In-

ternational Instrument to identify and trace small arms and light weapons (adopted in 2005 within the framework of the UN General Assembly). Marking has been compulsory in Spain since 1929.

Moreover, the Spanish legal system already has legislation (the Criminal Code and the Anti-smuggling Act, Law 12/1995) regarding the criminal classification of the production, possession, stockpiling and illicit trade in these arms meaning that the enforcement of this Programme of Action has not required any change.

Classification of other illegal arms-related acts is regulated by Organic Law 10/1995 of the Criminal Code. Title XXII regarding "Crimes against public order", Chapter V, Section 1 describes the "possession, trafficking in and warehousing of arms, munitions and explosives" (Articles 563 to 570)

The Programme of Action also envisages State adoption of administrative measures to facilitate the coordination and transmission of information in the sphere of the small arms and light weapons trade. In this connection, States are urged to designate a "contact point" or are requested to voluntarily remit information regarding arms confiscated or destroyed to international organisations. In December 2003 the Ministry of Foreign Affairs and Cooperation communicated the Spanish contact point.

Lastly, the Programme of Action contains a series of political provisions. These provisions urge States to cooperate in the elimination of illicit trafficking in small arms and light weapons and to provide technical and financial assistance in this connection for States

in need and to promote transparency and customs cooperation measures at regional level. At European Union level, the Joint Action on small arms and light weapons and the Programme for Preventing and Combating Illicit Trafficking in Conventional Arms already address these issues in a broader way than the Programme of Action analysed.

In 2009, Spain continued carrying out a significant number of other legislative and executive activities along with multilateral, cooperation and international technical and financial assistance initiatives targeting third countries. Operations were undertaken to control trafficking in and the marking, tracking, registration and destruction of small arms and light weapons and for the purpose of training and exchanging information at institutional and international level. Details of all of the activities undertaken by Spain in carrying out the UN's Programme of Action on small arms and light weapons and the International Instrument on Marking and Tracing can be found in a thorough report drawn up for the Fourth Biannual Meeting of State Parties to the Programme of Action to be held in June 2010 in New York. This report was recently submitted to the United Nations and can be viewed on the UN website.

In close collaboration with the Programme of Action, in 2004 Spain initiated a series of meetings in the form of seminars on the control of the small arms and light weapons trade in Latin America using the training centres which the Spanish Agency for International Development Cooperation (AECID) has established throughout the region. Six seminars have been organised to date focusing on different facets of the problem surrounding the unlawful

trade in and proliferation of small arms and light weapons, the most recent of which was held in February 2009 in Cartagena de Indias (Colombia). Nearly 200 Latin American experts participated in these activities.

*Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition*

At the same time as the adoption of the Programme of Action, in 2001 the Protocol Against the Illicit Manufacturing of and Trafficking in Firearms, their parts, components and ammunition, added to the United Nations Convention against Transnational Organised Crime (hereafter the *Firearms Protocol*), was adopted and made available for signing and Spain also played an active role in those negotiations.

The Protocol was approved by virtue of Resolution 55/255 of 31 May 2001 at the 101st General Assembly plenary session and entered into force on 3 July 2005.

On 9 February 2007 Spain deposited its instrument of accession to the Protocol which entered into force in Spain on 11 March 2007.

The Firearms Protocol and the United Nations Programme of Action are the main reference documents taken into consideration in the reports submitted, inter alia, to the Multidisciplinary Group on Organised Crime (MDG) to introduce changes and amendments to Council Directive 91/477/EEC or EUROPOL's Group of Experts on arms trafficking and Tracing.

*Parliamentary Forum on Small Arms and Light Weapons*

Since its constitution in Madrid in October 2002, Spain has been taking part in the Parliamentary Forum on Small Arms and Light Weapons with the participation of MPs from Spain, Sweden, Finland, Colombia, Central America and the European Parliament (joined recently by MPs from some African nations), in addition to government officials and representatives from inter-governmental bodies and institutions and the civil society. The Parliamentary Forum is the only worldwide network of members of parliament devoted exclusively to the control of small arms and light weapons and to combating the proliferation of these arms.

The Forum mainly focuses on improving legislation and control mechanisms in respect of these arms; harmonisation and standardisation of attendant laws; the fostering and exchange of information between Members of Parliament and firearms commissions; and the bolstering of the role played by national Parliaments in all subjects having to do with the stabilisation and consolidation of democracy and peace and development processes in Latin America and the Caribbean (now broadened to include Africa).

It was constituted in the Spanish Congress of Deputies in October 2002, fruit of an initiative between Spain, Sweden and the countries of Central America. An annual meeting of representatives is held. To date, its ordinary meetings have been held in Panama (2003), Stockholm and Helsinki (2004), Mexico City (2005), Montevideo (2006), Panama (2007), Nairobi/Arusha (2008) and Managua (2009). Spain, which chaired the Forum from the time of its

constitution until September 2004, regularly takes part in its activities.

Spain contributes economically to the maintenance of the Forum: €30,000 were allocated in 2007, €80,000 in 2008 and €100,000 in 2009, amounts justified by the increase in the Forum's activities owing to its geographical expansion now covering countries of Latin America, Africa and Europe and expanding to the Balkans and other areas.

#### *Signing of the Geneva Declaration on Armed Violence and Development.*

In March 2007, Spain endorsed the Geneva Declaration on Armed Violence and Development forming part of the United Nations Programme of Action and now forms part of the "hard core" group of countries working together to develop concrete actions in fulfilment of the commitments adopted within the framework of the said Declaration: inter alia, to establish a road map and indicators to measure armed violence, to identify best practices to reduce armed violence and to prevent conflict in national development plans.

Spain drafted and endorsed Resolution 63/L.27 of 12 November 2008 entitled "Promoting development through the reduction and prevention of armed violence" which draws a parallel between armed violence and development. It points out that the main responsibility for repressing armed violence and promoting the Millennium Development Goals lies with national governments and underscores the need to apply a consistent and comprehensive focus of armed violence prevention with a view to achieving peace and sustainable development.

The Ministry of Foreign Affairs and Cooperation organised two seminars, one in 2008 and another in 2009 at La Antigua (Guatemala) and Cartagena de Indias (Colombia) respectively, targeting Latin American countries and seeking formulae for the enforcement of the Geneva Declaration and its objectives. The third of this series of seminars is scheduled for the end of this year and will take place in Antigua (Guatemala), the overarching aim being how to apply the objectives of the Guatemala Declaration, this being the "pilot country" in the region.

#### *G) International Arms Trade Treaty*

This is an initiative arising from a Committee of Nobel Prize winners in 1997 under the leadership of Costa Rica's Oscar Arias Foundation and with the support of several NGOs including IANSA, Amnesty International, Intermon-Oxfam and *Saferworld*. These NGOs launched a campaign in November 2003 called "Arms under control" with a view winning approval for the Treaty.

The Treaty is conceived as a legally binding instrument whereby all signatory countries commit to refrain from exporting arms to destinations where human rights and International Humanitarian Law is not respected.

This project was presented in July 2005 to the President of the Government.

Spain was one of the 117 co-sponsors of this project passed on 6 December 2006 at the 61st United Nations General Assembly. A Group of Governmental Experts was created to study its feasibility, scope and parameters and Spain is among the 28 countries selected. Spain was also one of the 114

co-sponsors of the Resolution adopted on 17 October 2008 at the 63rd General Assembly agreeing to move forward through the creation of an open-ended Working Group for the possible drafting of a future legally binding instrument laying down common international rules for the import, export and transfer of conventional arms.

That group met twice in 2009 and was replaced by a Preparatory Committee for the four periods of sessions scheduled for 2010 and 2011 leading up to the 2012 United Nations Conference on the Arms Trade Treaty. The activities of the group and the committee are supplemented by three annual regional seminars for the purpose of disseminating the initiative.

Moreover, in 2009 Spain co-sponsored all of the resolutions which directly or indirectly focused on small arms and light weapons or their ammunition, special mention being made of the following: “Illegal trade in all aspects of SALW” (A/RES/64/50); “Assistance to States in putting an end to illegal trafficking in SALW and their collection” (A/RES/64/30); “Problems caused by the stockpiling of conventional munitions” (A/RES/64/51); “Transparency in arms matters (Conventional Weapons Registry)” (A/RES/64/54); “Information regarding measures to foster trust in the area of conventional weapons” (A/RES/64/43); “Control of conventional weapons at regional and sub-regional level” (A/RES/64/42) and “Arms trade treaty” (A/RES/64/48).

#### *H) Convention on cluster munitions*

The precursors of these initiatives are found in the Ottawa Convention on anti-personnel mines. This convention was signed on 3 December 1997 following

the preparatory Oslo Conference of 18 September 1997. Spain ratified the Convention on 7 March 1999.

Under the agreed text, each State committed to refrain from using, developing, producing, acquiring, stockpiling, conserving or exporting anti-personnel mines. The signatory countries also committed to destroying their stocks of mines within a period of 4 years except in the case of already existing mine fields (10 years). Another exception allows holding on to or the transfer of a number of mines for the development of detection or destruction techniques.

The strength of this legal instrument lies in the verification mechanisms which were approved with a view to checking their effective enforcement and, more specifically, the creation of a United Nations database containing each country’s information on existing mines and their eradication programmes.

Spain has had a moratorium on the export of anti-personnel mines since 1 July 1994. The European Union adopted a similar moratorium in March 1996. Lastly, Law 33/1998 on the total prohibition of anti-personnel mines and similar arms was passed on 5 October.

Both the Convention and Law 33/1998 exclude cluster and fragmentation bombs from the scope of the aforementioned prohibition on manufacture and trade. Moreover, the requirements laid down in Protocol V of the 10 October 1980 Geneva Convention on the prohibition or restricted use of certain conventional arms considered excessively damaging or indiscriminate (CCW), did not apply either.

However, as from 2006 two parallel processes have taken place which

could pave the way for a prohibition of cluster bombs. The first is within the framework of the CCW.

The second, called the Oslo Process, has been more active. Spain was one of the 46 signatory countries of a declaration at the Oslo Conference held on 22-23 February 2007 whereby these countries undertook to conclude a process during 2008 to prohibit the manufacture, trade and use of cluster bombs. Discussion on this issue extended into successive conferences (Lima, Vienna, Wellington, Dublin).

Finally, at the Dublin Conference held from 19-30 May 2008 a draft convention was passed prohibiting cluster bombs with one exception – that they have fewer than 10 sub-munitions, weigh less than 4 kg, come equipped with a sensor or remote control to detect a single target and come equipped with self-destruction or self-deactivation mechanisms.

The Convention was signed on 3 December 2008 in Oslo and will enter into force on 01 August 2010 once the minimum 30 States ratify it. Spanish Parliament ratified it on 18 March 2009 and Spain deposited its requisite instrument of ratification on 17 June 2009.

The Spanish Government took the decision to act before the ratification of the Convention and established a unilateral moratorium on the use, development, production, acquisition and external trade in cluster munitions. The Agreement, approved by the Cabinet on 11 July 2008, was tabled jointly by the Ministries of Foreign Affairs and Cooperation, Defence and Industry, Tourism and Trade.

Spain, the tenth signatory country to ratify the Convention, has committed to contribute to the swift entry into force of the Convention along with those other countries which share the same concerns for the humanitarian problems caused by the use of certain especially harmful and indiscriminate weapons.

For its part, the Ministry of Defence completed the destruction of its arsenal of cluster munitions on 18 March 2009 in compliance with the agreement established in the unilateral moratorium. Spain thus became the first signatory country to destroy its arsenal of cluster munitions.

#### *1) United Nations Register of Conventional Arms*

Annex V outlines Spain's contribution to the United Nations Conventional Arms Register with a table showing exports of the seven categories of conventional arms and another table showing the exports of small arms and light weapons. This contribution is voluntary in nature.

The following are included in the seven categories of conventional arms: tanks, armoured combat vehicles, large calibre artillery systems, fighter jets, attack helicopters, warships and missiles and missile launchers.

The following categories are included under the "small arms" classification: automatic revolvers and pistols, rifles and carbines, light machine guns and others. Under light weapons we have: heavy machine guns, portable anti-aircraft weapons, portable anti-tank weapons, recoilless rifles, portable missile and rocket launching systems and under 75 mm calibre mortars.

Information exchange regarding arms recipients and the complete item excluding components and munitions is limited to armed and security forces and to United Nations member countries as regards countries of destination.

*J) OSCE Document on Small Arms and Light Weapons*

The OSCE Document was adopted in Plenary session on 24 November 2000 and addresses the fundamental objective of putting an end to the excessive stockpiling of SALW and their use in certain regional conflicts. By means of this document, the participating States commit to the development of regulations, measures and principles needed to achieve the said objective. In concrete terms, unlawful trafficking in these types of arms is pursued, measures are agreed to prevent their stockpiling and a recommendation is made to authorise shipments strictly for reasons of domestic security, legitimate defence or participation in peacekeeping forces under the auspices of the United Nations or the OSCE.

One of this initiative's most important instruments is the exchange of information and increased transparency pursuant to which all countries must file annual reports on the export and import of small arms and light weapons to and from other participating States. The most recent information furnished by Spain to the OSCE refers to exports authorised and undertaken in 2009 which are listed in Annex VI attached to this report.

Included under this classification under "small arms" are automatic revolvers and pistols, rifles and carbines, submachine guns, assault rifles and light ma-

chine guns. Under light weapons we have: grenade launchers, heavy machine guns, portable anti-aircraft weapons, portable anti-tank weapons, portable missile and rocket launching systems, portable anti-aircraft missile launching systems and mortars under 100 mm calibre.

It should be pointed out that the exchange of information in the OSCE concerning arms recipients and the complete item excluding components and munitions is limited to the armed forces and law enforcement officials while information regarding countries of destination is limited to OSCE countries meaning that Spanish exports included in this annex are a part of the total exports of SALW. Furthermore, the figures appearing in the tables regarding authorised licenses issued do not necessarily coincide with the figures appearing in the tables on operations undertaken because not all of the licenses give rise to shipments. Moreover, shipments made in one fiscal year could be carried out under a license issued the previous year.

In addition to these actions, in 2009 intense work was done to publicise new Spanish legislation through the following activities:

- VI - Seminar on Small Arms and Light Weapons, MAEC-AECID (Cartagena de Indias, Colombia, 16-20 February).
- II Defence Industry Legal Regime, Business Institute (Madrid 12 March).
- I Course on Armed Conflict and Human Development in Africa held at the Carlos III

University (Colmenarejo, Madrid, 12 March).

- II Advanced Material Logistics and Infrastructure Course, Ministry of Defence (Zaragoza Military Academy, 5 June).
- VI Meeting of the Defence and Security Sector, Editorial Unit (Madrid, 30 June).
- Conference on the future Arms Trade Treaty, MAEC-Elcano Institute (Madrid, 10 July).
- *Defence Exports Conference 2009*, Consultant SMi (Brussels, 5-6 October).



## PART III. EXPORTS OF OTHER MATERIAL

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### 1. Legislation in force

Smooth-bore barrel hunting and sporting arms and their ammunition which, due to their technical specifications, are not apt for military use and are not completely automatic, were not subject to control until the entry into force of Law 53/2007 (29 January 2008). This regulation extended control to all hunting and sporting arms, their parts and components and ammunition pursuant to the commitments undertaken by virtue of United Nations General Assembly Resolution 55/255 of 8 June 2001 approving the Protocol against the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition. Article 2(2) of Royal Decree 2061/2008 of 12 December regulates the said control.

### 2. Statistical analysis

#### A) Exports completed

Exports of police and security material totalled €6.3 million, the recipient countries being Angola (€4.1 million accounting for 65.0%), Bolivia (€1.0 million, 16.2%), Venezuela (€0.8 million, 13.4%), Nicaragua (€0.3 million, 5.4%) and Peru (€385.00, 0.0%). Exports completed were 287.2% of those authorised during the same period (€2.2 million) because 11 licenses were authorised for a total of €38.9 million for Angola in 2008 and were not fully completed that year.

As concerns transactions involving hunting and sporting arms (hunting shotguns, shells and spare parts), exports completed totalled €39.9 million the major destinations being the United

States (€9.9 million, accounting for 24.8%), the Republic of Guinea Conakry (€4.1 million, 10.3%), Ghana (€3.5 million, 8.9%) and Turkey (€3.2 million, 8.1%). The vast majority of these exports were hunting shells. The dispatches to the Republic of Guinea - Guinea Conakry took place before the entry into force of Common Position 2009/788/CFSP of 27 October 2009 concerning restrictive measures against that destination. The existing licenses at the date of entry into force of the embargo were revoked on 24 November 2009.

The rest of the transactions were divided among 54 destinations.

Exports completed accounted for only 49.1% of those authorised during the same period (€81.4 million).

#### B) Operations processed and exempt from the preliminary report and/or control document

Under the heading "Other Material" 269 individual licenses, 4 temporary licenses and 101 rectifications were processed. Of those 269 individual licenses, 228 were approved, 17 were left pending, 14 expired 9 were discontinued and 1 was denied. All of the temporary licenses and rectifications were approved.

#### C) Entries in the Special Register for External Trade Operators in Defence and Dual-use Material (Spanish acronym REOCE)

There were 9 entries of undertakings in the REOCE, a further 4 joint entries

with defence material and 2 of undertakings with activity in the three areas.

*D) Licenses denied*

One operation involving 1,100,000 shotgun shells intended for the Republic of Guinea (Guinea Conakry) was denied due to a negative report in application of Common Position 2009/788/CFSP of 27 October 2009 concerning restrictive measures against that destination. Also in application of this embargo, 14 export licenses for hunting ammunition were revoked.

## PART IV. EXPORTS OF DUAL-USE ITEMS AND TECHNOLOGIES

### 1. Legislation in force

Regulation of external trade in dual-use items and technologies is governed by Regulation (EC) No 428/2009 of 05 May 2009 setting up a Community regime for the control of the export, the transfer, brokering and transit of dual-use items.

The Community Regulation lays down a regime whereby the export of dual-use items and technologies included in Annex I must be controlled (checklist of 10 categories of dual-use items and technologies) along with others not included on this list pursuant to Article 4 (catch-all clause). Annex IV of the Regulation includes the subset of dual-use items and technologies whose shipments within the European Union are subject to control given their especially sensitive nature.

Mention should also be made of Joint Action 2000/401/CFSP of 22 June on the control of technical assistance concerning certain military aims. Here, special attention is paid to the control of technical assistance (including that transmitted verbally) which could foster or serve as the basis for the development of weapons of mass destruction. The Joint Action introduces control of technical assistance lent to non-community countries, allowing Member States to choose between an authorisation or prohibition system. Member States are also urged to consider the possible application of control when technical assistance has a conventional military end-use and focuses on

countries subject to international embargoes.

### 2. Statistical analysis

#### A) Exports completed

The tables corresponding to these exports are found in Annex III.

Exports of dual use material in 2009 fell by 35.7% vis-à-vis 2008 totalling €99.12 million.

| Year | Amount (€ millions) |
|------|---------------------|
| 2003 | 22.66               |
| 2004 | 28.05               |
| 2005 | 58.64               |
| 2006 | 79.04               |
| 2007 | 114.26              |
| 2008 | 154.24              |
| 2009 | 99.12               |

The following were the top ten countries of destination:

| DU countries            | Amount (€ millions) | %     | Categories |
|-------------------------|---------------------|-------|------------|
| Most relevant countries | 90.23               | 91.03 |            |
| Iran                    | 38.98               | 39.33 | 2          |
| Libya                   | 12.70               | 12.81 | 1.6        |
| P.R. China              | 9.65                | 9.74  | 2,3,5      |
| Argentina               | 7.11                | 7.17  | 1.3        |
| Russia                  | 5.67                | 5.72  | 2.3        |
| Venezuela               | 4.31                | 4.35  | 1          |
| United States           | 4.27                | 4.31  | 1,2,3      |
| Cuba                    | 3.07                | 3.09  | 0.1        |
| Brazil                  | 2.94                | 2.97  | 1,2,3      |
| India                   | 1.53                | 1.54  | 2          |
| Remaining countries     | 8.89                | 8.97  |            |
| TOTAL                   | 99.12               | 100   |            |

The number one destination of Spanish exports was Iran with €38.9 accounting for 39.3% of the total. Exports dropped by 62.0% compared with 2008.

Shipments consisted of steel pipes for the manufacture of steam boilers and air conditioners, steel pipes and valves

for the automobile, oil, petrochemical and gas industries and spare parts, tools and turbine accessories for the aforementioned sectors.

Spanish exports to this destination may seem surprising given that Iran is subject to embargoes and numerous restrictions from the United Nations and the European Union.

Export transactions to Iran were analysed on a case by case basis by the Inter-Ministerial Regulatory Board on External Trade in Defence and Dual-use Material (JIMDDU) and by the Secretariat-General for Foreign Trade of the Ministry of Industry, Tourism and Trade, taking account of United Nations Resolutions 1737 of 23 December, 1747 of 24 March 2007, 1803 of 3 March 2008 and Common Positions 2007/140/CFSP of 27 February, 2007/246/CFSP of 23 April and 2008/652/CFSP of 7 August 2008, as well as Regulations 423/2007 of 19 April, 618/2007 of 5 June, 116/2008 of 28 January 2008, 1110/2008 of 10 November 2008 and 1228/2009 of 15 December 2009 on restrictive measures against Iran consisting of the prohibition of supply of materials, equipment, goods and technology related to the development of nuclear and missile programmes and technical assistance.

As a result of the foregoing, the so-called catch-all clause is applied to the exports of some Spanish enterprises who ship to Iran. The application of this clause to items not included on checklists has given rise to a significant increase in the number of export licenses granted, approval being given exclusively to those which implied no risk whatsoever of diversion or use in prolif-

eration programmes. In comparison to previous years, the systematic and strict enforcement of control by means of the said clause has meant an increase in the amounts recorded for Iran and the denial of operations which failed to offer sufficient guarantee regarding their end use and destination.

The number two destination of Spanish exports was Libya with €12.7 million accounting for 12.8% of the total. Exports revolved around three radars for navigation and civil air traffic control with spare parts for maintenance purposes (€12.7 million) and chemicals for use in university laboratory analyses.

This country is not currently subject to any embargo given that in September 2003 the arms, trade and financial embargo imposed in 1992 by the United Nations was lifted and in October 2004 the European Union also lifted its embargo dating to 1986. The Government of Libya has renounced and claims to be dismantling its weapons of mass destruction programmes and has been collaborating with the IAEA and international inspectors verifying the said dismantling.

The P.R. of China was third with €9.6 million accounting for 9.7% of the total. Exports consisted of steam generators for nuclear plants for civilian use; power capacitors for electricity plants; machine-tools for the civil aviation, automobile and textile industries; electronic cards for telecommunications equipment with cryptographic functions; and a mass spectrometer for an agricultural science academy, in addition to electronic components for a meteorological satellite and a lunar exploration module.

Apart from the ten main destinations listed in the preceding table, the small remaining percentage (8.9%) was distributed among 54 countries from different areas.

Of these, special mention should be made of exports to some destinations which could be considered particularly sensitive. Cuba was the recipient of exports valued at €3.1 million consisting of graphite electrodes for electric furnaces and chemicals for pharmaceutical laboratories, a cement factory and a tobacco research institute.

Three machine tools valued at €1.5 million were exported to India for the petro-chemical sector and an aerospace research centre.

Shipments to Israel totalled €0.6 million and consisted of chemicals for the pharmaceutical industry and for galvanising and alkylation processes in the petrochemical industry; software for the development, analysis and simulation of Java applications for SIM cards and electronic image processing cards for subsequent incorporation into systems re-exported to India and Italy for use in several different aircraft.

Exports to Syria totalled €0.5 million consisting of a freeze-dryer for use in the pharmaceutical industry.

Exports to Iraq totalled €93 consisting of a chemical substance for use by the Oil Ministry.

And lastly, a shipment was sent to Yemen valued at €66 consisting of a chemical substance for a cement plant.

Exports completed accounted for 47.1% of those authorised (€210.3 million).

In 2009, sales were mostly concentrated in the "Processing of materials" category (€54.8 million accounting for 55.3%).

*B) Operations processed and exempt from the preliminary report and/or control document*

This information can be found in Annex IV.

In 2009, 442 license applications for the export of dual-use items and technologies were processed corresponding to 441 individual licenses and 1 temporary license. 17 rectifications of licenses already awarded and 3 preliminary agreements were processed as well. No inward processing traffics were handled. Seven general authorisations were granted pursuant to Article 9 and Annex II of the Community Regulation on dual-use. Of the 441 individual licenses, 420 were approved, 14 denied, 3 remained pending and 4 were discontinued by the exporter himself. All rectifications were approved as was the temporary license and preliminary agreements.

Annex IV offers information concerning the time it takes to process licences and the number of licences exempt from the preliminary report and/or control document.

The exemptions were determined by the JIMDDU also correspond to:

- a) Temporary exports-consignments and imports-introductions for repair, check-up, replacement of defective material at no charge, returns to origin, tests, homologations, fairs and exhibits.
- b) The export-consignment and import-introduction of dual-use technology in the case of those operators involved in an Internal Compliance Programme having to do with the control of the said transfers.
- c) The export-consignment of dual-use items and technologies intended for Member Countries of international export control regimes by virtue of which the items intended for export are subject to control with the exception of the items included in Annex II of Council Regulation (EC) No 1183/2007 of 18 September.
- d) Export-consignment of items, equipment and technology which, while included in the Controls of Military Goods and other Material of this Regulation and in Annex I of Council Regulation (EC) 1183/2007 of 18 September 2007 on the control of exports of dual-use items and technology, were eliminated from or are not included on the corresponding international lists.
- e) Introduction from another European Union country of the chemical substances included on Lists 1, 2 and 3 of the 13 January 1993 Convention on the Prohibition of the Development, Production, Stockpiling and use

of Chemical Weapons and on their Destruction, with the exception of ricin and saxitoxin.

- f) Rectifications of authorisations having to do with effective term, customs and monetary value.

*C) Entries in the Special Register for External Trade Operators in Defence and Dual-use Material (Spanish acronym REOCE)*

There were 23 entries of undertakings in the REOCE, a further 9 joint entries with defence material and 2 of undertakings with activity in the three areas.

*D) Licenses denied*

There were 14 denials in the sphere of dual-use. Details of these denials are found in Annex III.

It was likewise decided to apply the catch-all clause on 7 occasions corresponding to potential shipments of centrifugal pumps, machine tools and valve technology.

A communication was made of 16 denials in the Australia Group having to do with chemical substances, 1 joint denial in the Missile Technology Control Regime (MTCR) and the Wassenaar Arrangement corresponding to a machine-tool, 1 in the Nuclear Suppliers Group (NSG) of deuterium oxide and 1 joint denial in the NSG and MTCR of a machine-tool.

Also in 2009 within the sphere of dual-use transactions, information was provided regarding two investigations carried out by a country having to do with

proliferation programmes. The Department of Customs and Excise Duties decided to apply a red inspection filter on 4 occasions at the request of the JIMDDU Secretariat. Three appeals to a higher authority were dismissed as was one extraordinary appeal against a ruling dismissing a claim of asset liability.

### **3. Principal actions undertaken at international control and non-proliferation fora in 2009**

#### *A) Council Working Group on the export of dual-use items and technologies and the Commission Coordination Group*

The main duty of these groups is to review and implement Community regulations having to do with the control of exports of dual-use items. Their activities include the update of annexes using the checklists in order to adapt them to the changes decided at the main control and non-proliferation fora the previous year.

Following is a summary of the main subjects addressed and agreements reached by these groups in 2009.

#### *1. Council Regulation setting up a Community regime for the control of exports of dual-use items and technology.*

In 2009, the Council Working Group on dual-use items reached an agreement on a new Regulation to replace Regulation (EC) No 1334/2000 on the control of exports of dual-use items and technologies in force since the year 2000. The Coun-

cil of the European Union adopted the text of this new Council Regulation (EC) No 428/2009 of 05 May 2009 setting up a Community regime for the control of the export, the transfer, brokering and transit of dual-use items. The Regulation entered into force on 27 August 2009 and included the update of the Annexes.

The new Regulation includes the agreements figuring in the Thessaloniki Action Plan on the non-proliferation of weapons of mass destruction adopted by the Heads of State and Government of the EU in June 2003 as well as United Nations Security Council Resolution 1540 adopted on 28 April 2004 obliging States to adopt effective measures to prevent the proliferation of nuclear, chemical and biological weapons and their delivery systems, even establishing transit and brokering checks of items which could contribute to their design, development or production. The publication of this Regulation was likewise used to reorganise and clarify several of the Articles of the previous Regulation.

With the entry into force of this legal instrument, the European Union seeks to reinforce and achieve uniform and consistent application of controls of dual-use items and technologies with a view to promoting security around the world and within the EU and establishing a level

playing field among Community exporters.

The following novelties of this Regulation merit special attention:

- For the first time in a European Regulation, checks are set up on the rendering of brokering services for dual-use items. Operators established in the EU engaged in brokering activities involving the items listed in Annex I between two third countries will require a license when they suspect or have been informed that the items in question are going to be used for programmes to produce weapons of mass destruction.
- Controls of dual-use items in "transit" are also introduced, i.e. non-community items that are simply passing through Community territory. Pursuant to this provision, Member States may prevent the transit of the items included in Annex I when there is good reason to believe that they are going to be used for the production of weapons of mass destruction.
- Member States may extend to scope of brokering and transit controls

provided for in their national legislation to items not included in Annex I or in the case of the use of such items in military applications in a country subject to an arms embargo.

- It defines and clarifies the conditions of use of the different types of authorisations envisaged in the Regulation.
- Among the criteria for the concession of licenses, global licenses are awarded to those exporters that have suitable control procedures in place.
- Lastly, it enlarges the scope of information exchange between the competent authorities of the Member States. It provides the legal grounds for the creation of an electronic security system for this sharing of information.

2. *EU Action Plan and strategy against proliferation of weapons of mass destruction.* In December 2008 the Council adopted the conclusions of the plan to combat the proliferation of weapons of mass destruction passed in 2003 and likewise adopted the "*New lines of action to combat the proliferation of weapons of mass destruction and their delivery vehicles*". The plan sets 2010 as the



year by which to fulfil the objectives proposed.

In this regard, progress continued in the area of coordination and transparency, i.e. sharing information between the Member States and the European Commission as concerns domestic legislation and export data on dual-use items and technologies.

Further work was done on dissemination and awareness-raising as to the importance of export controls for European industry through conferences and other information media. Cooperation with third countries was also bolstered by helping them to improve their non-proliferation policies and export controls.

In order to enhance action procedures, the Commission presented a programme for the sharing of experiences in the performance of checks. This programme will be implemented during the course of 2010.

3. *Update of annexes I and IV of the Regulation on the control of exports of dual-use items and technology.* This update was done through the publication of Council Regulation (EC) No 428/2009 of 24 October 2008 and reflects the most recent changes approved within the framework of the Wassenaar Arrangement, the Missile Technology Control Regime and the Australia Group in its annexes.

4. *Strengthening of the restrictions on external trade with Iran and North Korea.* The European Union updated its restrictive measures against Iran with the publication and entry into force of Council Regulation (EC) 1228/2009 of 15 December 2009 amending Regulation (EC) 423/2007 concerning restrictive measures against Iran. This Regulation widens the scope of control on dual-use items making it necessary to acquire an export license for Iran.

Having regard to sanctions against the Popular Democratic Republic of Korea, the Council adopted Regulation (EC) 1283/2009 of 22 December 2009 amending Regulation (EC) 329/2007 concerning restrictive measures against the Democratic Republic of Korea. This Regulation implements Common Position 2009/573/CFSP (amending CP 2006/795/CFSP) and Decision 2009/1002/CFSP, adopted to comply with United Nations Security Council Resolution 1874 (2009).

Regulation (EC) No 1283/2009 prohibits the sale, supply or transfer of items included in Annex I of Regulation (EC) No 428/2009 on control of the export of dual-use items. Also included in this prohibition are other articles, material, equipment, goods and technologies which could contribute to North Korean programmes related to nuclear activity, other weapons

of mass destruction or ballistic missiles.

5. *Proposal of new General Community Authorisations* The Council's working group continued with discussion on the European Commission's proposal to introduce new General Community Authorisations to supplement the already existing EU001. The purpose of these new General Community Authorisations is to simplify the current system of General Authorisations and establish a level playing field for all EU exporters facilitating export formalities for certain items in certain amounts and to certain destinations considered to be less of a threat.

The legislative proposal introduces six new General Community Authorisations: limited value dispatches, export following repair/replacement, temporary export for exhibits or fairs, computers and analogous equipment, telecommunications and information security and chemical products.

6. *Coordination Group.* Work continued on improving the denials database corresponding to dual-use items and technologies and the implementation of a safe on-line communications system between Member States and access to that database.
7. *Support for requests for accession of candidate countries to international non-proliferation fora.* Member States supported the entry of

European Union countries into the fora of which they are not yet members.

8. *Dissemination activities.* Lastly, the European Union maintains an important cooperation and technical assistance programme with third countries (outreach) regarding the control of dual-use items and technologies.

Spain played an active role in 2009 in several of these issues by expressing its point of view and making suggestions on how to achieve the objectives set.

#### *B) Wassenaar Arrangement (WA)*

The Arrangement, having replaced the Coordination Committee on Multilateral Export Controls (COCOM) on 19 December 1995, is the principal international control and non-proliferation forum. It is comprised of 40 countries.

In 2009, the WA continued to focus on its overall operations and its contribution to regional and international security and stability.

*General Working Group* The following were the principal aspects debated in 2009:

1. *Exchange of general and specific information.* As part of the Initial Elements, the member of the WA agreed to exchange general information on risks associated with the transfer of conventional arms and dual-use items and technologies. To reach that objective, they also agreed to share information

on regions which are important for the purposes of the Arrangement. In 2009, presentations focused on Georgia, Africa, Asia/Pacific, South America and Central America. Spain presented two documents on arms trafficking in Central America and the tactics used by intermediaries and traffickers to avoid trade checks of defence material in the aeronautics sector. Spanish statistics on the export of defence material, other material and dual-use items and technologies, 2008 was also distributed.

As concerns the exchange of specific information, discussion continued on different proposals to achieve greater information transparency. In the area of conventional arms notifications, several proposals were discussed in 2009 and will remain on the agenda in 2010:

- *Munitions for small arms and light weapons*: In 2003, the Participating States agreed to provide notification on transfers of small arms and light weapons. The debate continued in 2009 on a proposal to provide notification on transfers of munitions for small arms and light weapons among WA Member States.

- *Geographical scope*: Discussion also continued on this proposal to widen the exchange of information on transfers of weapons between WA Member States. There is not much support for it among the States

which consider it an unnecessary measure.

- *Notifications regarding denials*: Two recommendations to increase the transparency of information as regards notifications of denials were approved at the 2007 plenary.

- *Artillery systems*: Russia launched this proposal to furnish information about 35-75 calibre artillery systems. However, given that these systems are not included in Category 3 and 8 of the Initial Elements, the debate continues on how this should be done. Moreover, this issue is under discussion at the United Nations Conventional Arms Register where a proposal has been tabled to reduce the calibre notification threshold to 50 mm (it is currently set at 75 mm).

In the sphere of dual-use notifications, a proposal on the establishment of a consultation procedure for the Sensitive and Very Sensitive List was discussed. This procedure would be applied in cases where a WA Member State had to approve an export license in a dual-use operation which had been denied by another Member State. Some states reject this initiative based on the belief that no dual-use export would destabilise a region.

2. *Terrorism*. The Security and Intelligence Subgroup of Experts commenced work in 2003 with the study and preparation of a

list of items and technologies liable to be used by terrorist groups and which are not necessarily on the Arrangement's checklists. Spain's participation in the Security and Intelligence Subgroup of Experts is the result of the active role Spain has played in the WA in this field through the timely exchange of information. The Subgroup has focused its activity on the exchange of information in counter-terrorism initiatives.

In 2009, attention was drawn to the way certain troublesome countries in the sphere of proliferation continue to try to develop ways and systems to acquire certain dual-use items by evading trade checks. Alerts also continued to sound with regard to illegal trafficking in small arms and light weapons to conflict and/or embargo areas by unscrupulous intermediaries and traffickers.

3. *Destabilising stockpiling of conventional arms.* At the request by the Russian delegation, the permanent inclusion of this point on the agenda of future General Working Groups and Plenaries was approved. The inclusion has to do with that country's expressed concern regarding the destabilising stockpiling of conventional arms during the armed conflict unleashed in Georgia. Also in 2009, the holding of an ad hoc working group alongside the meetings of the General Working Group was approved to debate this issue.

4. *Controls, Licenses and Customs.* Under this heading, information is shared with a view to enhancing the transparency of national export control policies and the development of best practices. At the May General Working Meeting Spain presented its new Royal Decree 2061/2008 of 12 December approving the Regulation on the control of external trade in defence material, other material and dual-use items and technologies. As for the development of best practices/guidelines, in 2009 discussions continued on control documents, MANPADS (man-portable air defence systems), internal compliance systems, transport, re-export and intermediation. In May, a questionnaire was circulated on national policies and procedures for the export of dual-use items which will serve as the basis of debate in 2010.
5. *Licensing and Enforcement Officers Meeting (LEOM).* This Group shared experiences on the processing and management of licenses and customs control. Thanks to those discussions, proposals and recommendation were made to the General Working Group. In 2009 discussion focused on subjects such as temporary license authorisation practices and small volumes, the role of Customs in external trade activities, end-use checks and verification of brokers, wholesalers and re-exporters of defence material and dual-use items, criteria for the awarding of licenses, de-

nial lists, import certificates and possible loop-holes in control processes.

6. *Participation/Outreach.* The first meeting of the Working Group created to furnish information to WA Member States was held in order to be able to take decisions on new accession applications. At the December Plenary, the Chairman provided information on WA accession by Serbia and Iceland. The accession of Cyprus was left pending due to a lack of consensus.

The Chairman also informed about outreach activities with a number of countries: Israel, Chile, United Arab Emirates and Mexico. An informative meeting was also held with Belorussia and similar meetings with China, Indonesia and Kazakhstan were left pending. The Secretary of the Arrangement reported on outreach work performed and assistance provided at the Plenary through participation in seminars, conferences, meetings, compiling of documentation, web page maintenance, response to consultations and other activities.

7. *Information systems enhancement.* Maintaining the reliability of the WA Information System (WAIS) was one of the priority objectives of the Arrangement's Secretariat during 2009. The system continues to operate properly.

#### C) Nuclear Suppliers Group (NSG)

The aim of the (NSG) is to prevent the proliferation of nuclear weapons by means of controlling the export of nuclear products and related dual-use items, equipment, software and technology, without hampering international cooperation in the peaceful use of nuclear energy. The NSG currently has 46 member countries and the European Commission is a permanent observer. The chairman of the Zangger Committee takes part in the meetings as an observer.

This forum held its annual plenary meeting on 11-12 June 2009 in Budapest (Hungary).

Iceland's candidacy as an NSG member was approved.

At that meeting the Member Countries analysed the current challenges of nuclear proliferation and called on all members to exercise extreme caution when it comes to exports to ensure that no transfer contributes to nuclear arms programmes, including the export of items not listed which could be either directly or indirectly used in such programmes.

In this connection, the members discussed the implications of the nuclear tests performed by North Korea on 25 May 2009 and the proliferation implications of Iran's nuclear programmes while supporting diplomatic efforts to denuclearise the Korean Peninsula and to find a peaceful solution to the Iranian dilemma.

The participants defined the current context as one where it is very important to fight against nuclear proliferation

in some parts of the planet by restricting the exports while at the same time recognising the growing use of nuclear energy for peaceful purposes.

Within this context, and with a view to striking a balance between concern for the proliferation associated with sensitive nuclear combustion cycle technologies and the growing demand for nuclear energy, the NSG agreed to continue its work on the Group's Guidelines focusing on the transfer of enrichment and reprocessing technologies. In 2009 the Group held several meetings where discussions focused on restricting the export of said technologies by bolstering the controls laid down in paragraphs 6 and 7 of the Guidelines in which Spain and Switzerland played a very active role in encouraging limitations on sensitive transfer but without restricting access to the enrichment market for peaceful uses in the case of countries which comply with international commitments. Talks also continued on whether to make the availability of these technologies contingent upon ratification of the Additional Protocol to which two members opposed. This debate will hopefully be resolved at the next NSG Plenary in June 2010.

The Group also shared information on implementation at national level of the United Nations Security Council Resolutions relevant to the NSG, reiterated its decision to collaborate with and support the Council and reaffirmed its commitment to take the appropriate measures to ensure full compliance with them.

The participating governments reaffirmed the value of outreach activities

and agreed to maintain contact with the governments outside of the NSG and with international organisations with a view to furnishing information regarding the Group's latest developments and to help with the application of export controls and facilitate compliance with NSG Guidelines.

Concerning the lists of items subject to control, the new control text for coordinate measurement devices proposed by the Technical Group was adopted under a silence procedure. The recommendations made by the Technical Group regarding Stable Isotope Separation Technologies were likewise approved in order to control civilian use of isotope separation processes and technologies which could be used for nuclear proliferation, and it was decided to keep this group in operation until the study is finalised. Account was taken of the recommendations made by the Technical Group on Frequency Converters to include these in the controls when their functions can be enhanced using software. Lastly, the Group spoke of the need to keep the Initial List and Dual-Use List updated to keep up with technological developments and contemplated the possibility of undertaking a general review of the said Lists.

The Group compiled best practices guides for internal use by participating countries and for presentation in outreach activities, indicating the steps to be followed to improve control of the intangible transfer of technology and control of end use.

Topics related to licenses and control enforcement were also addressed, focusing on their award, trends and inter-

national procurement networks and attempts to identify controlled items through national customs codes.

Having regard to the restriction exemption laid down in the NSG Guidelines awarded to India pursuant to the Group's statement of 06 September 2008 on civil nuclear cooperation with India, which allows nuclear and dual-use exports associated with civil nuclear facilities included within the safeguards agreement which India has with the IAEA, in accordance with the agreed requirements countries presented information on transfers and bilateral agreements with India.

The NSG's next plenary session will be held from 28 June to 02 July 2010 in New Zealand.

#### *D) Missile Technology Control Regime (MTCR)*

The MTCR was set up in 1987 in order to control the export of missiles capable of transporting weapons of mass destruction and related equipment and technology. The commitments made by the 34 Member Countries constitute a noteworthy international standard in terms of the control of exports in the field of non-proliferation thus contributing to global peace and security.

The Regime held its annual plenary meeting on 10-13 November 2009 in Rio de Janeiro (Brazil). At this meeting the Member States took stock of their activities, analysed missile proliferation challenges faced over the last several years, discussed the rapid changes taking place in relevant technology and re-

affirmed their intention to step-up efforts to prevent proliferation.

The delegations shared information on new trends in regional missile development programmes implying an increasing risk of the proliferation of weapons of mass destruction placing a special accent on the proliferation of missiles in North-east Asia, South-east Asia and the Middle East where programmes are under way to increase missile range and where there is an increase in export activity of such missiles. The participants reiterated their determination to make a more concerted effort to deter countries from taking part in missile proliferation activities by enforcing their national laws and respecting international regulations.

The importance of continuing with Regime information and outreach activities in non-member countries normally undertaken by the Chairmanship was stressed given the importance of this activity in promoting the objectives of the MTCR and acquiring new voluntary followers of its Guidelines. In this connection, the Group analysed the success of the "technical outreach meeting" held in Paris on 30 April 2009 where representatives from 15 non-member nations were informed about the changes in the items listed in the Annex, the reasons for these changes and how to apply the Guidelines.

The applications for accession to the Regime (which generally take several years) were returned to the Plenary for consideration but no consensus was reached in this regard.

Regarding the new technical challenges arising from missile proliferation, the

Regime adopted a new Annex of items subject to control including the new amendments agreed in 2009 by the Technical Working Group.

Presentations were also made on the different emerging technologies for the purpose of analysis and surveillance by countries in their control of exports with special mention made of new welding technologies, navigation systems and equipment including self-piloted, unmanned miniature planes whose range can be increased to over 300 km with the use of software, simulation software and penetration aids.

Having regard to commercial activities, the delegations agreed on underscoring the importance of controlling intermediation activities to combat missile proliferation.

In a broader context, the delegations reaffirmed their support of United Nations Resolution 1540 (2004) as a vital instrument to combat the proliferation of weapons of mass destruction and their means of delivery and their commitment with Committee 1540 to provide assistance to non-member countries upon request as laid down in the said Resolution, especially as concerns the implementation of MTCR Guidelines and its Annex, and to maintain contact between the Regime's Presidency and the Committee of the Resolution.

The participants agreed that in their bilateral contacts with non-member countries, they could remind said countries of their obligations deriving from United Nations Security Council Resolutions 1737 (2006), 1747 (2007) and 1803 (2008) regarding Iran, and 1718 (2006) and 1874 (2009) regarding North Korea, to refrain from supplying,

selling or transferring missile items or technologies directly or indirectly to those countries.

The next meeting of the MTCR will take place during the second half of 2010 but no country has yet volunteered to chair that meeting.

*E) Initiatives against the proliferation of weapons of mass destruction within the sphere of nuclear arms and missiles*

In 2009 Spain participated in the following international initiatives within the realm of the fight against the proliferation of weapons of mass destruction and the missiles able to deliver those weapons:

*Proliferation Security Initiative (PSI)*

This initiative dates back to the 9/11/2001 terrorist attacks. The PSI is not an institution with legal personality nor is it a treaty but is rather a collaboration forum for the exchange of information, discussion and debate regarding the different member countries' legal provisions and coordinates simulation exercises of maritime, land and air interception of sensitive items and technologies. These exercises are carried out in accordance with international (maritime and air) and national law when information is received regarding ships/aircraft transporting items related with the proliferation of weapons of mass destruction whose legality is questionable.

The initiative was announced in Krakow by the President of the United States on 31 May 2003, Spain being one of the founding States and the host of the first



multilateral (founding) meeting held in Madrid on 12 June 2003.

The Ministry of Foreign Affairs and Cooperation is the body responsible for the exchange of information and coordination of actions with other PSI nations and likewise coordinates with the rest of the Spanish organisations with competencies in this connection.

PSI meetings follow two different formats: 1) High-level political meetings and 2) meetings of the Operational Experts Group (OEG) focusing on more operational and practical state agencies and bodies.

The PSI's OEG met in 2009. The most important meetings took place on 12-14 May in Miami (United States) which included a regional meeting of the Western Hemisphere countries, and from 22-23 June in Sopot (Poland) to discuss the activities carried out in Europe. The most noteworthy was the Republic of Korea's participation in this latter meeting for the first time as it just subscribed to the PSI's Interception Principles.

OEG meetings revolve around general topics and interception with a special accent on bolstering international legal instruments aimed at combating proliferation.

In addition to the political plenaries during these seven years, more than 20 meetings and workshops including 17 operational expert meetings have been held. Moreover, approximately 30 sea, air and land interception exercises have been organised. Spain has led two of these exercises, one on sea interception ("Sanso 03") and another on air in-

terception ("Blue Action 05"), in addition to another series of smaller exercises.

#### *International Code of Conduct Against Ballistic Missile Proliferation (ICOC) or the Hague Code (HCOC)*

The Code is basically a political commitment for the purpose of preventing the development of missiles able to deliver weapons of mass destruction. It is based on transparency and trust-building measures (prior notification of test launchings) and compensations to states in exchange for refraining from developing these types of missiles.

The HCOC held its eighth Annual Meeting in Vienna on 28-29 May 2009.

The annual meeting focused on the critical situation facing the Code owing to very deficient compliance with pre-notification and annual statement requirements and no agreement was reached regarding measures to improve operability.

#### *Container Security Initiative (CSI)*

Similar to the PSI, this Initiative dates back to the 9/11/2001 terrorist attacks and seeks coordination among participating countries to increase and improve container inspections and confiscate shipments at the world's major mega-ports.

Spain participates in the US Customs Service's CSI through Customs at the ports of Algeciras, Valencia and Barcelona.

The European Union intends to give a unified response within the framework of this initiative. To that end, and within the parameters of the EU-US Agreement on Cooperation and Mutual Assistance in Customs Matters (which was broadened to cover this initiative), meetings are held with the US Customs Department (CSI) to establish working methods, hazard rules and procedures.

The following are just some of the meetings held in 2009 with respect to this initiative: two meetings of the Steering Group of the Joint EU-US Customs Cooperation Committee, several meetings of the EU's Risk Rules Group in connection with security and one CSI Conference.

#### *Global Initiative to Combat Nuclear Terrorism (GICNT)*

This is the most recent international initiative developed in the nuclear field which Spain formally joined in April 2007.

The GICNT was launched jointly by the Presidents of the United States and the Russian Federation at the G-8 Summit held in St. Petersburg in July 2006.

The aim of this Initiative is to expand a partnership to combat nuclear terrorism based on the existing legal frameworks in the international arena (mainly the International Convention for the Suppression of Acts of Nuclear Terrorism, the Convention on the Physical Protection of Nuclear Material and United Nations Security Council Resolutions 1540 and 1373). Its purpose does not include the creation of a new legal framework. One of the main goals of the GICNT is to mobilise States to adhere to the obli-

gations they took on by virtue of the aforementioned international instruments.

Development of the Initiative is reviewed at plenary meetings and operational activities organised by Member States.

The following plenary meetings have been held to date: the inaugural meeting in Rabat in October 2006, Ankara in February 2007, Astana in June 2007, Madrid on 16 to 18 June 2008 and The Hague in June 2009. In addition to the plenary meeting, a theoretical exercise was held in November in Utrecht.

#### *F) Australia Group (AG)*

The Australia Group was created in June 1985 to curtail the risk that certain exports and transfers have of contributing to the proliferation of chemical and biological weapons. The Group has 41 members. Nine new countries have joined since the last plenary.

The Plenary Assembly was held in Paris from 20-25 September.

Several countries emphasised the important role played by the Australia Group in supporting the enforcement of the Conventions on the Prohibition of Chemical and Biological Weapons.

The main points covered at the Plenary were the evaluation of the interest expressed by the Russian Federation in forming part of the Group; review and development of outreach activities taking account of the amendments and clarifications proposed for the chemical and biological checklists; analysis of current trends regarding the prolifera-

tion of chemical and biological weapons, including terrorism; sharing of presentations on export control systems; evaluation of progress made in the preparation of a best practices guide on the transfer of intangible technology; and rationalisation of the work performed by the Group's Secretariat.

Two best practice guideline proposals on the implementation of end uses were approved, similar to the ones already adopted in the Wassenaar Arrangement (2007), in the Missile Technology Control Regime (2008) and in the Nuclear Suppliers Group (2009).

The following topics were discussed regarding the checklist of chemical products:

- Approval of a proposal on the definition of alloys since the checklists include materials such as fluoropolymers and compounds of tantalum, titanium, zirconium and niobium as being subject to control but without defining them.
- Approval of two further proposals: one to append a technical note to the checklist of chemical weapon precursors regarding use of the nomenclature "CAS" just as with the European Union dual-use lists, and another clarifying the control of software for equipment having to do with the production of chemical and biological products.

The proposal to eliminate control of the white pox virus from the biological products checklists was accepted.

In addition to these topics, the decision was taken to create "Group of Experts on New and Developing Technologies" to focus on studies on synthetic biology and the sharing of related information, especially on an illustrative list of suspicious nuclide acid order sequence indicators and sequence selection methods.

Regarding the admission of new members, outreach visits were made to Mexico, Chile and Brazil which, like Russia and Serbia, have expressed interest in forming part of the Group. Mention was also made of the possibility of establishing a suitable relationship with India in light of the fact that this country's practices are aligning with those of the Group.

#### *G) Chemical Weapons Convention (CWC)*

At the end of 2009, 188 States had signed and ratified the Convention. This includes all Western Hemisphere States following the ratification of the Bahamas and the Dominican Republic. Special mention should be made of the signing and ratification of the Convention by Iraq. The Convention was signed on 13 January 1993 and entered into force on 29 April 1997, It was ratified by Spain on 03 August 1994.

In addition there are 2 signatory states, Israel and Myanmar, and only 5 countries which have not signed the Convention: Angola, Egypt, the Syrian Arab Republic, the Popular Democratic Republic of Korea and Somalia.

The body entrusted with the international enforcement of the Convention is the Organisation for the Prohibition of

Chemical Weapons (OPCW) whose mission is to ensure the destruction of chemical weapons and to prevent any form of development or proliferation in the future.

Since the Convention's entry into force, 3,000 inspections have been conducted in 80 Member States and 100% of the declared chemical weapon production facilities have been deactivated. The destruction of 38% of the 8.6 million chemical munitions and containers under the CWC has also been verified as has the destruction of 22% of the world's declared arsenals accounting for approximately 71,000 tons of chemical agents.

The Organisation for the Prohibition of Chemical Weapons (OPCW) provides support for all non-party States in joining the Convention and effectively implementing a world-wide prohibition on chemical weapons.

While the main objective of the OPCW is the prohibition of chemical weapons, it also pursues international cooperation between Contracting States in the use of chemicals for pacific purposes by sponsoring scientific research, providing legal assistance, improving the capacity of laboratories and providing specialised training regarding Convention enforcement and the safe handling of chemical substances.

The maximum decision taking body of the OPCW is the Conference of the States Parties which is also entrusted with the Convention's enforcement and outreach. The Convention's XIV Conference was held on 30 November to 04 December 2009 at The Hague and focused on topics such as the degree of

the Convention's implementation, especially Articles VII and X, and the concern that chemical arsenals may not be fully destroyed by the 29 April 2012 deadline.

The Executive Council is the OPCW governing body and answers to the Conference of the States Parties. It is comprised of 41 members elected for a period of two years and Spain is a member until 2010.

The following Executive Council meetings were held during 2009: meeting 55 (17-20 February), 56 (21-24 April), 57 (14-17 July) and 58 (13-16 October). In addition to organisational issues, these meetings focused on the destruction of chemical arsenals submitting reports on the three states which still have such arsenals: the United States, Russia and Libya. The first two have destroyed 62.5% and 49% respectively of their arsenals while Libya, which has just built its destruction plant, is at the initial phase. Iraq has 10 years to destroy its arsenals.

The Spanish authority entrusted with enforcing the CWC and centralising related activities is the National Authority for the Prohibition of Chemical Weapons (ANPAQ) with its headquarters at the Ministry of Industry, Tourism and Trade.

The affected facilities must report to ANPAQ as regards their production, manufacture, consumption, stockpiling and/or external trade as laid down in the section corresponding to each of the three CWC lists.

In 2009, declarations were filed for one plant corresponding to List one, 31 to

List two of which 27 exceeded the one-tonne verification threshold and 5 to List three of which 3 exceeded the 30-tonne verification threshold.

During the year, the OPCW conducted several inspections and visits to chemical plants in Spain. In January, an undertaking devoted to fatty acid and polyol esterification processes for the production of lubricants was inspected, as was a plant with three synthesis units devoted to the production of aromas and fragrances by means of hydrogenation, pyrolysis, esterification and condensation. In April a fact-finding visit was made to a new plant declaring List 2 consuming substances above the verification threshold. In June, two inspections were made to plants declaring List 3 and in September a further two inspections were made - a factory processing a derivative of phosphonic acid, a list 2 fire retardant, and a facility which manufactures, among other things, pharmaceutical active ingredients which are registered by the CWC as "organic substance containing PSF atoms". Activities were performed without incident in all cases.

On 1-3 September, the OPCW's International Cooperation and Assistance Division organised the X Regional Meeting of National Authorities from Latin America and the Caribbean in Mexico and on 29 September to 1 October a Training Course on Technical Aspects of the Transfer Regime for Customs Authorities of the States Parties from Latin America and the Caribbean in Viña del Mar, Chile.

On 12-14 November, the OPCW also held a meeting on Networks for Protection against Chemical Weapons at Barcelona's Peace Centre.

For its part, on 22-26 June the ANPAQ organised an advanced course on Declarations targeting National Authorities from Spanish-speaking nations in which 17 participants of 14 different nationalities took part.

Through the working group comprised of representatives from several different departments, the Secretariat-General of ANPAQ is putting together a Prevention and Protection Plan against Chemical Weapons and Hazardous Chemical Agents.

Having regard to the guidelines which will set the stage for OPCW action during the Spanish Presidency during the first half of 2010, in addition to the management of the Organisation's many everyday affairs, others will require special monitoring such as the destruction of arsenals and aspects like the boosting of international relations and advances within the sphere of universality.

#### *H) Biological and Toxin Weapons Convention (BTWC)*

The Convention prohibiting the development, production and stockpiling of biological and toxin weapons and on their destruction entered into force on 26 March 1975, was signed on 10 April 1972 and ratified by Spain on 20 June 1979.

This Convention is considered as the first multilateral disarmament treaty prohibiting the production and use of a whole category of weapons.

As of the end of 2009, there was no change in the number of Contracting States having signed and ratified the

BWC, the total remaining at 155. There are a further 16 signatory states which have yet to ratify the Convention and 23 States which are not members. The ratification process of the BWC's verification protocol is still pending. Generally speaking, the lack of formal verification systems to control compliance has limited its effectiveness which is why the need to reinforce the BWC has been stressed at other Conferences of States Parties.

A Meeting of Experts of the States Parties was held on 24-28 August in Geneva to discuss how to reinforce compliance with this Treaty. Discussions there revolved around State capacity-building in implementing the measures to carry out the prohibition of the stockpiling and use of biological weapons and promote the use of biological agents for peaceful purposes. They also highlighted how the H1N1 swine flu pandemic underscored the importance of making maximum use of biological science and technology for the benefit of mankind.

On 7 December a Meeting of the States Parties was also held in Geneva in order to comply with Article X of the BWC calling on States to share equipment, material and scientific and technological information for the peaceful use of biological agents and for the development and application of scientific discoveries in the prevention of diseases.

Lastly, in 2009 the following instructional activities were carried out:

- II Course on Proliferation and Technological Protection, Information Headquarters, Directorate-General of the

Police and Guardia Civil, Ministry of the Interior (Madrid 19 October).

- Conference on Spanish dual-use legislation, Arola Aduanas y Consignaciones, S.L. (Barcelona, 19 November).

## ANNEX I. EXPORT STATISTICS ON DEFENCE MATERIAL, 2009

| AUTHORISED EXPORTS OF DEFENCE MATERIAL<br>(BY COUNTRY)<br>2009 |         |             |
|--|---------|-------------|
| Country  | Lic. No | Amount €    |
| Algeria  | 1       | 0           |
| Andorra  | 9       | 11,773      |
| Argentina  | 9       | 265,431     |
| Australia  | 8       | 78,600,000  |
| Austria  | 10      | 705,572     |
| Bahrain  | 1       | 0           |
| Belgium  | 19      | 515,157     |
| Botswana   | 3       | 48,000,000  |
| Brazil   | 14      | 2,065,183   |
| Canada   | 7       | 1,751,642   |
| Chile  | 20      | 155,729,955 |
| Colombia   | 4       | 1,000,000   |
| Costa Rica   | 1       | 8,465       |
| Cuba   | 1       | 3,500       |
| Czech Rep.   | 12      | 105,449,939 |
| Denmark  | 15      | 12,880,225  |
| Dominican Rep.   | 1       | 5,000,000   |
| Ecuador  | 2       | 30,000,000  |
| Egypt  | 3       | 103,500     |
| Estonia  | 1       | 320,989     |
| Finland  | 6       | 605,100     |
| France   | 90      | 16,146,681  |
| Gabon  | 2       | 5,600,000   |
| Germany  | 67      | 250,746,600 |
| Ghana  | 1       | 2,293,800   |
| Greece   | 9       | 14,243,495  |
| Hungary  | 4       | 103,930     |
| India  | 3       | 5,753,420   |
| Indonesia  | 4       | 682,958     |
| Ireland  | 4       | 1,927,100   |
| Israel   | 20      | 2,805,955   |
| Italy  | 44      | 274,623,926 |
| Jordan   | 2       | 199,000     |
| Kenya  | 3       | 3,216,591   |
| Lesotho  | 1       | 2,000,000   |
| Libya  | 2       | 0           |
| Luxembourg   | 19      | 1,906       |
| Malaysia   | 6       | 180,551,314 |
| Mauritania   | 5       | 1,713       |
| Mexico   | 1       | 53,000,000  |
| Morocco  | 4       | 50,550,875  |
| Netherlands  | 10      | 262,070     |
| New Zealand  | 4       | 21,002      |
| Norway   | 18      | 319,031,702 |
| Oman   | 5       | 54,459,050  |
| Pakistan   | 5       | 15,200,000  |
| Panama   | 1       | 3,000       |
| Paraguay   | 1       | 5,000,000   |
| Peru   | 1       | 0           |
| Philippines  | 3       | 2,068,333   |

| AUTHORISED EXPORTS OF DEFENCE MATERIAL<br>(BY COUNTRY)<br>2009 (Continued) |            |                      |
|--|------------|----------------------|
| Country  | Lic. No    | Amount €             |
| Poland   | 5          | 2,099,957            |
| Portugal   | 20         | 1,608,945            |
| Qatar  | 1          | 326,436              |
| Romania  | 11         | 2,862                |
| Russia   | 5          | 0                    |
| Rwanda   | 1          | 15,175,000           |
| Saudi Arabia   | 3          | 9,320,165            |
| Singapore  | 1          | 0                    |
| Slovakia   | 2          | 57,814               |
| Slovenia   | 1          | 1,710                |
| South Africa   | 1          | 900                  |
| Sri Lanka  | 2          | 1,295,000            |
| Switzerland  | 22         | 8,068,332            |
| Thailand   | 3          | 50,155,878           |
| Turkey   | 1          | 357,000              |
| United Kingdom   | 63         | 365,982,197          |
| United States  | 93         | 85,479,409           |
| Uruguay  | 1          | 5,000,000            |
| Venezuela  | 2          | 945,000,000          |
| <b>TOTAL</b>   | <b>724</b> | <b>3,193,442,457</b> |

**Note.-** The number of defence material licenses is higher than the number of licenses actually processed given that the global and global project licenses affecting more than one country are computed as many times as there are countries included.



| AUTHORISED EXPORTS OF DEFENCE MATERIAL (BY COUNTRY AND ITEM) 2009 |                   |                  |                  |                   |                |                   |   |                   |                      |                      |                   |
|---|-------------------|------------------|------------------|-------------------|----------------|-------------------|---|-------------------|----------------------|----------------------|-------------------|
| Country   | Categories        |                  |                  |                   |                |                   |   |                   |                      |                      |                   |
|   | 1                 | 2                | 3                | 4                 | 5              | 6                 | 7 | 8                 | 9                    | 10                   | 11                |
| Algeria   |                   |                  |                  |                   |                |                   |   |                   |                      |                      |                   |
| Andorra   | 6,173             |                  | 5,600            |                   |                |                   |   |                   |                      |                      |                   |
| Argentina   | 137,931           |                  |                  | 127,500           |                |                   |   |                   |                      |                      |                   |
| Australia   |                   |                  | 0                |                   |                |                   |   |                   | 72,600,000           | 6,000,000            |                   |
| Austria   | 0                 |                  |                  |                   |                | 619,062           |   |                   |                      | 0                    |                   |
| Bahrain   |                   |                  | 0                |                   |                |                   |   |                   |                      |                      |                   |
| Belgium   | 2,550             |                  | 29,451           | 483,156           |                |                   |   |                   |                      | 0                    |                   |
| Botswana  |                   |                  |                  |                   |                |                   |   |                   |                      | 48,000,000           |                   |
| Brazil  | 2,590             |                  |                  | 796,592           |                | 100,560           |   | 1,165,441         |                      |                      |                   |
| Canada  | 0                 |                  |                  | 1,699,302         |                |                   |   |                   |                      | 0                    | 52,340            |
| Chile   | 79,873            |                  | 321,925          | 275,117           |                |                   |   |                   | 44,040               | 155,009,000          |                   |
| Colombia  | 0                 |                  |                  |                   |                |                   |   |                   |                      | 1,000,000            |                   |
| Costa Rica  | 8,465             |                  |                  |                   |                |                   |   |                   |                      |                      |                   |
| Cuba  | 3,500             |                  |                  |                   |                |                   |   |                   |                      |                      |                   |
| Czech Rep.  | 7,363             | 0                | 1,192,576        | 0                 |                |                   |   |                   |                      | 104,250,000          |                   |
| Denmark   |                   |                  |                  | 12,880,225        |                |                   |   |                   |                      |                      |                   |
| Dominican Rep.  |                   |                  |                  |                   |                |                   |   |                   |                      | 5,000,000            |                   |
| Ecuador   |                   |                  |                  |                   |                |                   |   |                   |                      | 30,000,000           |                   |
| Egypt   |                   |                  | 103,500          |                   |                |                   |   | 0                 |                      | 0                    |                   |
| Estonia   |                   | 320,989          |                  |                   |                |                   |   |                   |                      |                      |                   |
| Finland   | 5,100             |                  |                  | 0                 |                |                   |   |                   |                      |                      |                   |
| France  | 65,389            |                  | 1,500            | 5,447,741         |                | 0                 |   | 4,792,775         | 0                    | 1,062,725            | 4,176,551         |
| Gabon   |                   |                  |                  |                   |                |                   |   |                   |                      | 5,600,000            |                   |
| Germany   | 3,169             | 25,500           | 48,500           | 12,216,281        |                | 43,571            |   |                   |                      | 181,829,177          | 4,261,847         |
| Ghana   |                   |                  |                  |                   |                | 2,293,800         |   |                   |                      |                      |                   |
| Greece  | 1,750,750         |                  |                  |                   |                |                   |   | 12,204,565        |                      | 0                    | 188,180           |
| Hungary   | 1,530             |                  |                  | 102,400           |                |                   |   |                   |                      |                      |                   |
| India   |                   |                  |                  |                   |                |                   |   |                   |                      |                      | 5,753,420         |
| Indonesia   | 5,758             | 177,200          |                  |                   |                |                   |   |                   |                      | 500,000              |                   |
| Ireland   |                   |                  |                  | 1,927,100         |                |                   |   |                   |                      |                      |                   |
| Israel  | 144,850           |                  | 165,105          | 2,496,000         |                |                   |   |                   |                      | 0                    | 0                 |
| Italy   | 0                 |                  | 12,250           | 2,190,000         |                | 0                 |   |                   |                      | 268,101,076          | 0                 |
| Jordan  |                   |                  |                  | 199,000           |                |                   |   |                   |                      | 0                    |                   |
| Kenya   |                   |                  |                  | 511,000           |                |                   |   |                   | 2,705,591            |                      |                   |
| Lesotho   |                   |                  |                  |                   |                |                   |   |                   |                      | 2,000,000            |                   |
| Libya   |                   |                  |                  |                   |                |                   |   |                   |                      | 0                    |                   |
| Luxembourg  |                   |                  |                  | 0                 |                | 0                 |   |                   |                      | 1,906                |                   |
| Malaysia  |                   |                  |                  |                   |                | 8,825,725         |   |                   | 171,170,000          |                      |                   |
| Mauritania  | 1,600             |                  | 113              |                   |                |                   |   |                   |                      |                      |                   |
| Mexico  |                   |                  |                  |                   |                |                   |   |                   |                      | 53,000,000           |                   |
| Morocco   |                   |                  | 550,875          |                   |                |                   |   |                   |                      | 50,000,000           |                   |
| Netherlands   |                   |                  |                  | 0                 |                | 177,390           |   |                   |                      | 65,280               | 19,400            |
| New Zealand   | 18,002            |                  |                  | 3,000             |                |                   |   |                   |                      |                      |                   |
| Norway  |                   |                  | 1,155,580        | 7,124,374         |                |                   |   | 621,225           | 310,130,523          | 0                    | 0                 |
| Oman  |                   | 11,550           |                  | 4,447,500         |                |                   |   |                   |                      | 50,000,000           |                   |
| Pakistan  |                   |                  |                  | 0                 |                |                   |   |                   |                      | 5,000,000            |                   |
| Panama  | 3,000             |                  |                  |                   |                |                   |   |                   |                      |                      |                   |
| Paraguay  |                   |                  |                  |                   |                |                   |   |                   |                      | 5,000,000            |                   |
| Peru  |                   | 0                |                  |                   |                |                   |   |                   |                      |                      |                   |
| Philippines   | 2,068,333         |                  |                  |                   |                |                   |   |                   |                      |                      |                   |
| Poland  | 9,957             |                  | 1,490,000        | 0                 |                | 0                 |   |                   |                      |                      |                   |
| Portugal  | 8,141             | 112,946          |                  | 82,423            |                | 1,392,982         |   |                   |                      | 0                    |                   |
| Qatar   |                   |                  |                  | 326,436           |                |                   |   |                   |                      |                      |                   |
| Romania   | 2,862             |                  |                  |                   |                | 0                 |   |                   |                      |                      |                   |
| Russia  |                   |                  |                  | 0                 |                |                   |   |                   |                      | 0                    |                   |
| Rwanda  |                   |                  |                  |                   |                |                   |   |                   |                      |                      |                   |
| Saudi Arabia  |                   |                  |                  |                   |                | 1,320,165         |   |                   |                      | 8,000,000            |                   |
| Singapore   |                   |                  |                  |                   |                |                   |   |                   |                      |                      |                   |
| Slovakia  |                   |                  |                  | 57,079            |                |                   |   | 735               |                      |                      |                   |
| Slovenia  | 1,710             |                  |                  |                   |                |                   |   |                   |                      |                      |                   |
| South Africa  | 900               |                  |                  |                   |                |                   |   |                   |                      |                      |                   |
| Sri Lanka   |                   |                  |                  | 1,295,000         |                |                   |   |                   |                      |                      |                   |
| Switzerland   | 0                 | 2,480,640        | 197,540          | 488,094           | 172,992        |                   |   |                   | 37,572               |                      | 1,128,614         |
| Thailand  | 155,878           |                  |                  |                   |                |                   |   |                   |                      | 50,000,000           |                   |
| Turkey  |                   |                  |                  | 357,000           |                |                   |   |                   |                      |                      |                   |
| United Kingdom  | 0                 |                  | 0                | 1,022,865         |                | 0                 |   | 16,820,874        |                      | 347,992,308          | 0                 |
| United States   | 58,721,545        | 0                | 23,585           | 12,437,928        | 0              | 0                 |   | 14,296,351        | 0                    | 0                    | 0                 |
| Uruguay   |                   |                  |                  |                   |                |                   |   |                   |                      | 5,000,000            |                   |
| Venezuela   |                   |                  |                  |                   |                |                   |   |                   | 945,000,000          |                      |                   |
| <b>TOTAL</b>  | <b>63,216,919</b> | <b>3,128,825</b> | <b>5,298,100</b> | <b>68,993,113</b> | <b>172,992</b> | <b>14,773,255</b> |   | <b>49,901,966</b> | <b>1,501,687,726</b> | <b>1,382,411,472</b> | <b>15,580,352</b> |

**AUTHORISED EXPORTS OF DEFENCE MATERIAL BY COUNTRY AND ARTICLE  
2009 (Continued)**

| Country        | Categories |          |                   |                   |    |    |               |    |    |                  |          | Amount €             |
|----------------|------------|----------|-------------------|-------------------|----|----|---------------|----|----|------------------|----------|----------------------|
|                | 12         | 13       | 14                | 15                | 16 | 17 | 18            | 19 | 20 | 21               | 22       |                      |
| Algeria        |            |          |                   | 0                 |    |    |               |    |    |                  |          | 0                    |
| Andorra        |            |          |                   |                   |    |    |               |    |    |                  |          | 11,773               |
| Argentina      |            |          |                   |                   |    |    |               |    |    |                  |          | 265,431              |
| Australia      |            |          |                   |                   |    |    |               |    |    |                  | 0        | 78,600,000           |
| Austria        |            |          |                   |                   |    |    | 86,510        |    |    |                  |          | 705,572              |
| Bahrain        |            |          |                   |                   |    |    |               |    |    |                  |          | 0                    |
| Belgium        |            |          |                   |                   |    |    |               |    |    |                  |          | 515,157              |
| Botswana       |            |          |                   |                   |    |    |               |    |    |                  |          | 48,000,000           |
| Brazil         |            |          |                   |                   |    |    |               |    |    |                  |          | 2,065,183            |
| Canada         |            |          |                   | 0                 |    |    |               |    |    |                  |          | 1,751,642            |
| Chile          |            |          |                   |                   |    |    |               |    |    |                  |          | 155,729,955          |
| Colombia       |            |          |                   | 0                 |    |    |               |    |    |                  |          | 1,000,000            |
| Costa Rica     |            |          |                   |                   |    |    |               |    |    |                  |          | 8,465                |
| Cuba           |            |          |                   |                   |    |    |               |    |    |                  |          | 3,500                |
| Czech Rep.     |            |          |                   |                   |    |    |               |    |    |                  |          | 105,449,939          |
| Denmark        |            |          |                   |                   |    |    |               |    |    |                  |          | 12,880,225           |
| Dominican Rep. |            |          |                   |                   |    |    |               |    |    |                  |          | 5,000,000            |
| Ecuador        |            |          |                   |                   |    |    |               |    |    |                  |          | 30,000,000           |
| Egypt          |            |          |                   |                   |    |    |               |    |    |                  |          | 103,500              |
| Estonia        |            |          |                   |                   |    |    |               |    |    |                  |          | 320,989              |
| Finland        |            |          |                   | 600,000           |    |    |               |    |    |                  |          | 605,100              |
| France         |            |          | 0                 | 600,000           |    |    |               |    |    |                  |          | 16,146,681           |
| Gabon          |            |          |                   |                   |    |    |               |    |    |                  |          | 2,293,800            |
| Germany        |            |          | 0                 | 52,318,555        |    |    |               |    |    |                  | 0        | 250,746,600          |
| Ghana          |            |          |                   |                   |    |    |               |    |    |                  |          | 5,600,000            |
| Greece         |            |          | 100,000           |                   |    |    |               |    |    |                  |          | 14,243,495           |
| Hungary        |            |          |                   |                   |    |    |               |    |    |                  |          | 103,930              |
| India          |            |          |                   | 0                 |    |    |               |    |    |                  |          | 5,753,420            |
| Indonesia      |            |          |                   |                   |    |    |               |    |    |                  |          | 682,958              |
| Ireland        |            |          |                   |                   |    |    |               |    |    |                  |          | 1,927,100            |
| Israel         |            |          |                   | 0                 |    |    |               |    |    |                  |          | 2,805,955            |
| Italy          |            |          |                   | 4,320,600         |    |    |               |    |    |                  |          | 274,623,926          |
| Jordan         |            |          |                   |                   |    |    |               |    |    |                  |          | 199,000              |
| Kenya          |            |          |                   |                   |    |    |               |    |    |                  |          | 3,216,591            |
| Lesotho        |            |          |                   |                   |    |    |               |    |    |                  |          | 2,000,000            |
| Libya          |            |          |                   | 0                 |    |    |               |    |    |                  |          | 0                    |
| Luxembourg     |            |          |                   |                   |    |    |               |    |    |                  |          | 1,906                |
| Malaysia       |            |          |                   | 555,589           |    |    |               |    |    |                  |          | 180,551,314          |
| Mauritania     |            |          |                   |                   |    |    |               |    |    |                  |          | 1,713                |
| Mexico         |            |          |                   |                   |    |    |               |    |    |                  |          | 53,000,000           |
| Morocco        |            | 0        |                   |                   |    |    |               |    |    |                  |          | 50,550,875           |
| Netherlands    |            |          |                   | 0                 |    |    |               |    |    |                  |          | 262,070              |
| New Zealand    |            |          |                   | 0                 |    |    |               |    |    |                  |          | 21,002               |
| Norway         |            |          |                   |                   |    |    |               |    |    |                  |          | 319,031,702          |
| Oman           |            |          |                   |                   |    |    |               |    |    |                  |          | 54,459,050           |
| Pakistan       |            |          | 10,200,000        | 0                 |    |    |               |    |    |                  |          | 15,200,000           |
| Panama         |            |          |                   |                   |    |    |               |    |    |                  |          | 3,000                |
| Paraguay       |            |          |                   |                   |    |    |               |    |    |                  |          | 5,000,000            |
| Peru           |            |          |                   |                   |    |    |               |    |    |                  |          | 0                    |
| Philippines    |            |          |                   |                   |    |    |               |    |    |                  |          | 2,068,333            |
| Poland         |            |          |                   | 600,000           |    |    |               |    |    |                  |          | 2,099,957            |
| Portugal       |            |          |                   | 12,453            |    |    |               |    |    |                  |          | 1,608,945            |
| Qatar          |            |          |                   |                   |    |    |               |    |    |                  |          | 326,436              |
| Romania        |            |          |                   |                   |    |    |               |    |    |                  |          | 2,862                |
| Russia         |            |          |                   | 0                 |    |    |               |    |    |                  |          | 0                    |
| Rwanda         |            |          |                   | 15,175,000        |    |    |               |    |    |                  |          | 15,175,000           |
| Saudi Arabia   |            |          |                   |                   |    |    |               |    |    |                  |          | 9,320,165            |
| Singapore      |            |          |                   | 0                 |    |    |               |    |    |                  |          | 0                    |
| Slovakia       |            |          |                   |                   |    |    |               |    |    |                  |          | 57,814               |
| Slovenia       |            |          |                   |                   |    |    |               |    |    |                  |          | 1,710                |
| South Africa   |            |          |                   |                   |    |    |               |    |    |                  |          | 900                  |
| Sri Lanka      |            |          |                   |                   |    |    |               |    |    |                  |          | 1,295,000            |
| Switzerland    |            |          |                   | 0                 |    |    |               |    |    | 3,562,880        |          | 8,068,332            |
| Thailand       |            |          |                   |                   |    |    |               |    |    |                  |          | 50,155,878           |
| Turkey         |            |          |                   |                   |    |    |               |    |    |                  |          | 357,000              |
| United Kingdom |            | 0        |                   | 146,150           |    |    |               |    |    |                  | 0        | 365,982,197          |
| United States  |            |          |                   | 0                 |    |    |               |    |    |                  | 0        | 85,479,409           |
| Uruguay        |            |          |                   |                   |    |    |               |    |    |                  |          | 5,000,000            |
| Venezuela      |            |          |                   |                   |    |    |               |    |    |                  |          | 945,000,000          |
| <b>TOTAL</b>   |            | <b>0</b> | <b>10,300,000</b> | <b>74,328,347</b> |    |    | <b>86,510</b> |    |    | <b>3,562,880</b> | <b>0</b> | <b>3,193,442,457</b> |

| EXPORTS OF DEFENCE MATERIAL COMPLETED (BY COUNTRY AND ITEM) 2009 |                   |                   |                   |                   |                  |                   |                |                   |                    |                    |                   |
|--|-------------------|-------------------|-------------------|-------------------|------------------|-------------------|----------------|-------------------|--------------------|--------------------|-------------------|
| Country  | Categories        |                   |                   |                   |                  |                   |                |                   |                    |                    |                   |
|  | 1                 | 2                 | 3                 | 4                 | 5                | 6                 | 7              | 8                 | 9                  | 10                 | 11                |
| Algeria  |                   |                   |                   |                   |                  |                   |                |                   |                    | 3,394,210          |                   |
| Andorra  | 15,213            |                   | 6,027             |                   |                  |                   |                |                   |                    |                    |                   |
| Arab Emirates  |                   |                   |                   |                   |                  |                   |                |                   |                    |                    | 88,825            |
| Argentina  | 25,370            |                   |                   |                   |                  |                   |                |                   |                    |                    |                   |
| Australia  |                   |                   |                   |                   |                  |                   |                | 1,256             |                    | 100,174            |                   |
| Austria  | 0                 |                   |                   |                   |                  | 202,444           |                |                   |                    | 0                  |                   |
| Belgium  | 2,550             |                   | 24,075            | 4,026,849         |                  |                   |                |                   |                    |                    |                   |
| Bolivia  |                   |                   |                   |                   |                  |                   |                |                   |                    | 718,027            |                   |
| Botswana   |                   |                   |                   |                   |                  |                   |                |                   |                    | 37,499,264         |                   |
| Brazil   | 2,498             |                   |                   | 454,092           |                  | 78,268            |                | 1,165,441         |                    | 45,261,604         |                   |
| Canada   | 29,350            |                   |                   | 408,233           |                  |                   |                |                   |                    | 2,552,813          | 692,024           |
| Chile  | 79,970            | 9,835             | 303,025           | 722,345           | 44,040           |                   |                |                   |                    | 2,318,746          |                   |
| Colombia   | 0                 |                   |                   |                   |                  |                   |                |                   |                    | 33,311,960         |                   |
| Costa Rica   | 7,985             |                   |                   |                   |                  |                   |                |                   |                    |                    |                   |
| Cuba   | 3,500             |                   |                   |                   |                  |                   |                |                   |                    |                    |                   |
| Czech Rep.   |                   |                   |                   |                   |                  |                   |                |                   |                    | 5,666,442          |                   |
| Denmark  |                   |                   |                   | 8,824,920         |                  |                   |                |                   |                    |                    |                   |
| Dominican Rep.   |                   |                   |                   |                   |                  |                   |                |                   |                    | 66,458             |                   |
| Ecuador  |                   | 869,809           |                   | 279,809           |                  |                   |                |                   |                    | 86,458             |                   |
| Egypt  |                   |                   | 4,200             |                   |                  |                   |                |                   |                    | 0                  |                   |
| Estonia  |                   | 320,989           |                   |                   |                  |                   |                |                   |                    |                    |                   |
| Finland  | 818               |                   |                   |                   |                  |                   |                |                   |                    | 25,556             |                   |
| France   | 21,070            |                   |                   | 7,256,883         |                  |                   |                | 6,882,529         |                    | 1,391,816          | 870,165           |
| Gabon  |                   |                   |                   |                   |                  |                   |                |                   |                    | 89,858             |                   |
| Germany  | 16,800            | 8,500             | 8,560             | 33,868,198        |                  | 1,333,963         |                |                   |                    | 56,859,489         | 656,635           |
| Ghana  |                   |                   |                   |                   |                  | 2,293,800         |                |                   |                    |                    |                   |
| Greece   | 136,880           |                   |                   |                   |                  |                   |                | 30,858,615        |                    |                    | 201,760           |
| Hungary  | 1,530             |                   |                   | 102,400           |                  |                   |                |                   |                    |                    |                   |
| India  |                   | 6,031,000         |                   |                   |                  |                   |                |                   |                    |                    | 4,604,781         |
| Indonesia  | 5,758             |                   |                   |                   |                  |                   |                |                   |                    |                    |                   |
| Ireland  |                   |                   |                   | 1,415,000         |                  |                   |                |                   |                    |                    |                   |
| Israel   | 1,530             |                   | 165,105           | 624,000           |                  |                   |                |                   |                    | 0                  |                   |
| Italy  | 0                 |                   |                   | 190,000           |                  |                   |                |                   |                    | 36,085,374         |                   |
| Jordan   |                   |                   |                   |                   |                  |                   |                |                   |                    | 707,277            |                   |
| Kazakhstan   |                   |                   |                   |                   |                  |                   |                |                   |                    |                    | 18,930,000        |
| Kenya  |                   |                   |                   | 511,000           |                  |                   |                |                   |                    |                    |                   |
| Luxembourg   |                   |                   |                   | 1,906             |                  | 0                 |                |                   |                    | 0                  |                   |
| Malaysia   |                   |                   |                   |                   |                  | 8,800,170         |                |                   | 171,170,000        |                    |                   |
| Mauritania   | 1,600             |                   | 113               |                   |                  |                   |                |                   |                    |                    |                   |
| Mexico   |                   |                   |                   |                   |                  |                   |                |                   |                    | 43,782,215         |                   |
| Morocco  |                   | 912,800           | 353,355           |                   |                  | 28,099,280        |                |                   |                    | 1,752,908          |                   |
| Netherlands  |                   |                   |                   | 0                 |                  |                   |                |                   |                    | 54,630             | 38,800            |
| New Zealand  |                   |                   |                   | 0                 |                  |                   |                |                   |                    |                    |                   |
| Norway   |                   |                   | 926,600           | 2,538,937         |                  |                   | 113,000        | 286,096           | 277,424,154        |                    |                   |
| Oman   |                   | 10,796            |                   | 485,000           |                  |                   |                |                   |                    | 95,851             |                   |
| Pakistan   |                   |                   |                   | 17,985            |                  |                   |                |                   |                    | 742,336            |                   |
| Panama   | 3,000             |                   |                   |                   |                  |                   |                |                   |                    |                    |                   |
| Philippines  | 137,844           |                   |                   |                   |                  |                   |                |                   |                    |                    |                   |
| Poland   | 9,957             | 9,276             | 1,490,000         |                   |                  |                   |                |                   |                    | 253,350            |                   |
| Portugal   | 11,454            | 112,946           |                   | 552,993           |                  | 219,266           |                |                   |                    | 104,971,635        |                   |
| Qatar  |                   |                   |                   |                   |                  | 835,648           |                |                   |                    |                    |                   |
| Romania  | 3,871             |                   |                   |                   |                  |                   |                |                   |                    |                    |                   |
| Russia   |                   |                   |                   |                   |                  |                   |                |                   |                    |                    |                   |
| Rwanda   |                   |                   |                   |                   |                  |                   |                |                   |                    |                    | 15,175,000        |
| Saudi Arabia   |                   |                   | 4,636,582         |                   |                  |                   |                |                   |                    | 511,768            |                   |
| Singapore  |                   |                   |                   | 682,000           |                  |                   |                |                   |                    |                    |                   |
| Slovakia   |                   |                   |                   | 57,079            |                  |                   |                | 735               |                    |                    |                   |
| Slovenia   | 1,710             |                   |                   |                   |                  |                   |                |                   |                    |                    |                   |
| South Africa   | 900               |                   |                   |                   |                  |                   |                |                   |                    |                    |                   |
| South Korea  |                   |                   |                   |                   |                  |                   |                |                   |                    | 11,560,881         |                   |
| Sri Lanka  |                   |                   |                   | 102,000           |                  |                   |                |                   |                    |                    |                   |
| Switzerland  | 0                 | 1,772,420         | 98,770            | 0                 | 116,792          | 37,556            |                |                   |                    |                    | 2,760,846         |
| Thailand   | 155,878           |                   |                   |                   |                  |                   |                |                   |                    | 370,473            |                   |
| Turkey   |                   |                   | 316,500           | 357,000           |                  |                   |                |                   |                    | 576,345            |                   |
| United Kingdom   | 0                 |                   | 344,625           | 5,525,745         | 279,338          |                   |                | 30,236,723        |                    | 24,108,074         | 1,189,107         |
| United States  | 13,869,377        | 404,104           | 9,171,366         | 3,152,325         | 2,521,088        | 599,980           |                | 22,049,161        | 140,000            | 696,410            | 2,796,915         |
| Uruguay  |                   |                   |                   |                   |                  |                   |                |                   |                    | 69,985             |                   |
| Vietnam  | 0                 |                   |                   |                   |                  |                   |                | 172               |                    |                    |                   |
| <b>TOTAL</b>   | <b>14,546,413</b> | <b>10,462,475</b> | <b>17,848,903</b> | <b>72,156,699</b> | <b>2,961,258</b> | <b>42,500,375</b> | <b>113,000</b> | <b>91,480,728</b> | <b>448,734,154</b> | <b>415,682,387</b> | <b>48,004,858</b> |

**EXPORTS OF DEFENCE MATERIAL COMPLETED BY COUNTRY AND ITEM**  
**2009 (Continued)**

| Country        | Categories |    |    |                    |               |    |               |    |    |                   |                | Amount €             |
|----------------|------------|----|----|--------------------|---------------|----|---------------|----|----|-------------------|----------------|----------------------|
|                | 12         | 13 | 14 | 15                 | 16            | 17 | 18            | 19 | 20 | 21                | 22             |                      |
| Algeria        |            |    |    |                    |               |    |               |    |    |                   |                | 3,394,210            |
| Andorra        |            |    |    |                    |               |    |               |    |    |                   |                | 21,240               |
| Arab Emirates  |            |    |    |                    |               |    |               |    |    |                   |                | 88,825               |
| Argentina      |            |    |    | 0                  |               |    |               |    |    |                   |                | 25,370               |
| Australia      |            |    |    |                    |               |    |               |    |    |                   | 150,000        | 251,430              |
| Austria        |            |    |    | 154,010            |               |    | 84,347        |    |    |                   |                | 440,801              |
| Belgium        |            |    |    |                    |               |    |               |    |    |                   |                | 4,053,474            |
| Bolivia        |            |    |    |                    |               |    |               |    |    |                   |                | 718,027              |
| Botswana       |            |    |    |                    |               |    |               |    |    |                   |                | 37,499,264           |
| Brazil         |            |    |    |                    |               |    |               |    |    |                   |                | 46,961,903           |
| Canada         |            |    |    | 204,599            |               |    |               |    |    |                   |                | 3,887,019            |
| Chile          |            |    |    |                    |               |    |               |    |    |                   |                | 3,477,961            |
| Colombia       |            |    |    |                    |               |    |               |    |    |                   |                | 33,311,960           |
| Costa Rica     |            |    |    |                    |               |    |               |    |    |                   |                | 7,985                |
| Cuba           |            |    |    |                    |               |    |               |    |    |                   |                | 3,500                |
| Czech Rep.     |            |    |    |                    |               |    |               |    |    |                   |                | 5,666,442            |
| Denmark        |            |    |    |                    |               |    |               |    |    |                   |                | 8,824,920            |
| Dominican Rep. |            |    |    |                    |               |    |               |    |    |                   |                | 66,458               |
| Ecuador        |            |    |    |                    |               |    |               |    |    |                   |                | 1,236,076            |
| Egypt          |            |    |    |                    |               |    |               |    |    |                   |                | 4,200                |
| Estonia        |            |    |    |                    |               |    |               |    |    |                   |                | 320,989              |
| Finland        |            |    |    |                    |               |    |               |    |    |                   |                | 26,374               |
| France         |            |    |    | 1,195,796          |               |    |               |    |    |                   |                | 17,618,259           |
| Gabon          |            |    |    |                    |               |    |               |    |    |                   |                | 89,858               |
| Germany        |            |    |    | 67,439,973         | 24,171        |    |               |    |    |                   |                | 160,216,289          |
| Ghana          |            |    |    |                    |               |    |               |    |    |                   |                | 2,293,800            |
| Greece         |            |    |    |                    |               |    |               |    |    |                   |                | 31,197,255           |
| Hungary        |            |    |    |                    |               |    |               |    |    |                   |                | 103,930              |
| India          |            |    |    |                    |               |    |               |    |    |                   |                | 10,635,781           |
| Indonesia      |            |    |    |                    |               |    |               |    |    |                   |                | 5,758                |
| Ireland        |            |    |    |                    |               |    |               |    |    |                   |                | 1,415,000            |
| Israel         |            |    |    | 0                  |               |    |               |    |    |                   |                | 790,635              |
| Italy          |            |    |    | 34,557,158         |               |    |               |    |    |                   |                | 70,832,532           |
| Jordan         |            |    |    |                    |               |    |               |    |    |                   |                | 707,277              |
| Kazakhstan     |            |    |    |                    |               |    |               |    |    |                   |                | 18,930,000           |
| Kenya          |            |    |    |                    |               |    |               |    |    |                   |                | 511,000              |
| Luxembourg     |            |    |    |                    |               |    |               |    |    |                   |                | 1,906                |
| Malaysia       |            |    |    | 555,589            |               |    |               |    |    |                   |                | 180,525,759          |
| Mauritania     |            |    |    |                    |               |    |               |    |    |                   |                | 1,713                |
| Mexico         |            |    |    |                    |               |    |               |    |    |                   |                | 43,782,215           |
| Morocco        |            |    |    |                    |               |    |               |    |    |                   |                | 31,118,343           |
| Netherlands    |            |    |    |                    |               |    |               |    |    |                   |                | 93,430               |
| New Zealand    |            |    |    |                    |               |    |               |    |    |                   |                | 0                    |
| Norway         |            |    |    |                    |               |    |               |    |    |                   |                | 281,288,787          |
| Oman           |            |    |    |                    |               |    |               |    |    |                   |                | 591,647              |
| Pakistan       |            |    |    |                    |               |    |               |    |    |                   |                | 760,321              |
| Panama         |            |    |    |                    |               |    |               |    |    |                   |                | 3,000                |
| Philippines    |            |    |    |                    |               |    |               |    |    |                   |                | 137,844              |
| Poland         |            |    |    |                    |               |    |               |    |    |                   |                | 1,762,583            |
| Portugal       |            |    |    | 12,453             |               |    |               |    |    |                   |                | 105,880,747          |
| Qatar          |            |    |    |                    |               |    |               |    |    |                   |                | 835,648              |
| Romania        |            |    |    |                    |               |    |               |    |    |                   |                | 3,871                |
| Russia         |            |    |    | 400,000            |               |    |               |    |    |                   |                | 400,000              |
| Rwanda         |            |    |    |                    |               |    |               |    |    |                   |                | 15,175,000           |
| Saudi Arabia   |            |    |    |                    |               |    |               |    |    |                   |                | 5,148,350            |
| Singapore      |            |    |    |                    |               |    |               |    |    |                   |                | 682,000              |
| Slovakia       |            |    |    |                    |               |    |               |    |    |                   |                | 57,814               |
| Slovenia       |            |    |    |                    |               |    |               |    |    |                   |                | 1,710                |
| South Africa   |            |    |    |                    |               |    |               |    |    |                   |                | 900                  |
| South Korea    |            |    |    |                    |               |    |               |    |    |                   |                | 11,560,881           |
| Sri Lanka      |            |    |    |                    |               |    |               |    |    |                   |                | 102,000              |
| Switzerland    |            |    |    |                    |               |    |               |    |    | 13,475,048        |                | 18,261,432           |
| Thailand       |            |    |    |                    |               |    |               |    |    |                   |                | 526,351              |
| Turkey         |            |    |    |                    |               |    |               |    |    |                   |                | 1,249,845            |
| United Kingdom |            |    |    | 60,271,476         |               |    |               |    |    |                   |                | 121,955,088          |
| United States  |            |    |    | 0                  |               |    |               |    |    |                   |                | 55,400,726           |
| Uruguay        |            |    |    | 3,500,000          |               |    |               |    |    |                   |                | 3,569,985            |
| Vietnam        |            |    |    |                    |               |    |               |    |    |                   |                | 172                  |
| <b>TOTAL</b>   |            |    |    | <b>168,291,054</b> | <b>24,171</b> |    | <b>84,347</b> |    |    | <b>13,475,048</b> | <b>150,000</b> | <b>1,346,515,870</b> |

| DEFENCE MATERIAL EXPORTS COMPLETED<br>INDICATING THE NATURE OF THE USER AND END USE<br>2009 |                 |         |            |
|---|-----------------|---------|------------|
| Country   | End user        | End use | Percentage |
| Algeria   | Armed Forces    | Public  | 100        |
| Andorra   | Armoury         | Private | 41.26      |
|   | Private company | Private | 40.62      |
|   | Private party   | Private | 18.12      |
| Arab Emirates   | Armed Forces    | Public  | 100        |
| Argentina   | Private company | Private | 76.55      |
|   | Armed Forces    | Public  | 0.00       |
|   | Private party   | Private | 23.45      |
| Australia   | Private company | Private | 40.34      |
|   | Armed Forces    | Public  | 59.66      |
| Austria   | Private company | Private | 100        |
|   | Armed Forces    | Public  | 0.00       |
| Belgium   | Armoury         | Private | 0.00       |
|   | Private company | Private | 99.94      |
|   | Private party   | Private | 0.06       |
| Bolivia   | Armed Forces    | Public  | 100        |
| Botswana  | Armed Forces    | Public  | 100        |
| Brazil  | Private company | Private | 11.50      |
|   | Armed Forces    | Public  | 88.50      |
|   | Private party   | Private | 0.00       |
| Canada  | Private company | Private | 100        |
| Chile   | Armed Forces    | Public  | 99.84      |
|   | Private party   | Private | 0.16       |
| Colombia  | Armed Forces    | Public  | 100        |
|   | Private party   | Private | 0.00       |
| Costa Rica  | Private party   | Private | 100        |
| Cuba  | Armed Forces    | Public  | 100        |
| Czech Rep.  | Armed Forces    | Public  | 100        |
| Denmark   | Private company | Private | 53.72      |
|   | Armed Forces    | Public  | 46.28      |
| Dominican Rep.  | Armed Forces    | Public  | 100        |
| Ecuador   | Armed Forces    | Public  | 100        |
| Egypt   | Private company | Private | 100        |
|   | Armed Forces    | Public  | 0.00       |
| Estonia   | Armed Forces    | Public  | 100        |
| Finland   | Armoury         | Private | 3.10       |
|   | Armed Forces    | Public  | 96.90      |
|   | Armoury         | Private | 0.03       |
| France  | Private company | Private | 91.65      |
|   | Public company  | Public  | 0.77       |
|   | Armed Forces    | Public  | 7.52       |
|   | Private party   | Private | 0.03       |
| Gabon   | Armed Forces    | Public  | 100        |
| Germany   | Armoury         | Private | 0.00       |
|   | Private company | Private | 50.35      |
|   | Public company  | Public  | 2.52       |
|   | Armed Forces    | Public  | 47.13      |
| Ghana   | Private party   | Private | 0.00       |
|   | Armed Forces    | Public  | 100        |
| Greece  | Private company | Private | 0.65       |
|   | Armed Forces    | Public  | 99.35      |

| DEFENCE MATERIAL EXPORTS COMPLETED<br>INDICATING THE NATURE OF THE USER AND END USE<br>2009 (continued) |                 |         |            |
|---|-----------------|---------|------------|
| Country   | End user        | End use | Percentage |
| Hungary   | Private company | Private | 98.53      |
|   | Private party   | Private | 1.47       |
| India   | Private company | Private | 37.36      |
|   | Armed Forces    | Public  | 62.64      |
| Indonesia   | Armoury         | Private | 100        |
| Ireland   | Armed Forces    | Public  | 100        |
| Israel  | Armoury         | Private | 0.00       |
|   | Private company | Private | 21.08      |
|   | Armed Forces    | Public  | 78.92      |
| Italy   | Private company | Private | 87.51      |
|   | Public company  | Public  | 6.51       |
|   | Armed Forces    | Public  | 5.98       |
|   | Private party   | Private | 0.00       |
| Jordan  | Armed Forces    | Public  | 100        |
| Kazakhstan  | Armed Forces    | Public  | 100        |
| Kenya   | Armed Forces    | Public  | 100        |
| Luxembourg  | Private company | Private | 100        |
|   | Armed Forces    | Public  | 0.00       |
| Malaysia  | Armed Forces    | Public  | 100        |
| Mauritania  | Private party   | Private | 100        |
| Mexico  | Armed Forces    | Public  | 100        |
| Morocco   | Private company | Private | 2.93       |
|   | Armed Forces    | Public  | 97.07      |
| Netherlands   | Private company | Private | 58.47      |
|   | Armed Forces    | Public  | 41.53      |
| New Zealand   | Armed Forces    | Public  | 100        |
| Norway  | Private company | Private | 1.32       |
|   | Armed Forces    | Public  | 98.68      |
| Oman  | Private company | Private | 1.00       |
|   | Armed Forces    | Public  | 99.00      |
| Pakistan  | Armed Forces    | Public  | 100        |
| Panama  | Private party   | Private | 100        |
| Philippines   | Private company | Private | 100        |
| Poland  | Private company | Private | 85.63      |
|   | Armed Forces    | Public  | 14.37      |
| Portugal  | Armoury         | Private | 0.00       |
|   | Private company | Private | 0.73       |
|   | Armed Forces    | Public  | 99.25      |
|   | Private party   | Private | 0.01       |
|   | Police          | Public  | 0.01       |
| Qatar   | Armed Forces    | Public  | 100        |
| Romania   | Private party   | Private | 100        |
| Russia  | Private company | Private | 100        |
| Rwanda  | Armed Forces    | Public  | 100        |
| Saudi Arabia  | Armed Forces    | Public  | 100        |
| Singapore   | Armed Forces    | Public  | 100        |
| Slovakia  | Private company | Private | 100        |
| Slovenia  | Private party   | Private | 100        |
| South Africa  | Private party   | Private | 100        |
| South Korea   | Armed Forces    | Public  | 100        |
| Sri Lanka   | Armed Forces    | Public  | 100        |

**DEFENCE MATERIAL EXPORTS COMPLETED  
INDICATING THE NATURE OF THE USER AND END USE  
2009 (continued)**

| Country        | End user        | End use | Percentage |
|----------------|-----------------|---------|------------|
| Switzerland    | Private company | Private | 12.05      |
|                | Armed Forces    | Public  | 87.95      |
|                | Private party   | Private | 0.00       |
| Thailand       | Armed Forces    | Public  | 100        |
| Turkey         | Private company | Private | 28.56      |
|                | Armed Forces    | Public  | 71.44      |
| United Kingdom | Armoury         | Private | 0.00       |
|                | Private company | Private | 69.35      |
|                | Public company  | Public  | 2.30       |
|                | Armed Forces    | Public  | 28.35      |
|                | Armoury         | Private | 6.73       |
| United States  | Private company | Private | 50.67      |
|                | Public company  | Public  | 0.01       |
|                | Armed Forces    | Public  | 42.57      |
|                | Private party   | Private | 0.02       |
| Uruguay        | Armed Forces    | Public  | 100        |
| Vietnam        | Private company | Private | 100        |
|                | Public company  | Public  | 0.00       |

**DEFENCE MATERIAL EXPORTS COMPLETED  
EXCEEDING €10 MILLION  
2009**

| Country        | Description  | Amount €millions | %            |
|----------------|--|------------------|--------------|
| Norway         | 1 Warship  | 277.29           | 20.59        |
| Malaysia       | 1 submarine  | 171.17           | 12.71        |
| Germany        | Parts and components for the EF-2000 aircraft and Iris-T missile | 112.78           | 8.38         |
| Portugal       | 5 planes and spare parts   | 104.97           | 7.80         |
| United Kingdom | Parts and components for the EF-2000 aircraft                    | 60.43            | 4.49         |
| Mexico         | 2 planes and spare parts   | 42.01            | 3.12         |
| Botswana       | 2 planes and spare parts   | 37.50            | 2.78         |
| Brazil         | 2 planes and spare parts   | 37.23            | 2.76         |
| Colombia       | 1 plane and spare parts  | 31.03            | 2.30         |
| Greece         | Military fuel for planes and ships                               | 30.86            | 2.29         |
| Italy          | Parts and components for the EF-2000 aircraft                    | 28.74            | 2.13         |
| Morocco        | 286 unarmoured off-road vehicles                                 | 28.10            | 2.09         |
| United States  | Military fuel for planes   | 21.35            | 1.59         |
| Kazakhstan     | Countermeasure equipment   | 18.93            | 1.41         |
| Rwanda         | 1 mobile radar station   | 15.18            | 1.13         |
| <b>TOTAL</b>   |  | <b>1,017.57</b>  | <b>75.57</b> |

**DEFENCE MATERIAL EXPORTS COMPLETED  
(LEASING, CESSIONS, DONATIONS, SECOND-HAND, TECHNICAL ASSISTANCE AND  
PRODUCTION UNDER LICENSE)  
2009**

| Country      | Item                    | Operation | Amount € |
|--------------|-------------------------|-----------|----------|
|              | NONE DURING THIS PERIOD |           |          |
| <b>Total</b> |                         |           |          |

| EXPORTS MADE AS PART OF THE MOST NOTEWORTHY DEFENCE MATERIAL PROGRAMMES |                      |              |
|---|----------------------|--------------|
| 2009  |                      |              |
| Programme/Country   | Amount €             | %            |
| <b>Eurofighter (combat aircraft)</b>                                    | <b>271,965,097</b>   | <b>20.20</b> |
| Germany   | 123,116,647          | 9.14         |
| United Kingdom  | 84,506,856           | 6.28         |
| Italy   | 64,187,584           | 4.77         |
| Austria   | 154,010              | 0.01         |
| <b>Iris-T (missile)</b>   | <b>31,246,428</b>    | <b>2.32</b>  |
| Germany   | 29,366,310           | 2.18         |
| Norway  | 1,880,118            | 0.14         |
| <b>MIDS (communications system)</b>                                     | <b>5,958,868</b>     | <b>0.44</b>  |
| Italy   | 5,958,868            | 0.44         |
| <b>Meteor (missile)</b>   | <b>3,955,854</b>     | <b>0.29</b>  |
| United Kingdom  | 3,900,220            | 0.29         |
| Germany   | 55,634               | 0.00         |
| <b>Taurus (missile)</b>   | <b>2,698,814</b>     | <b>0.20</b>  |
| Germany   | 2,698,814            | 0.20         |
| <b>Tigre (combat helicopter)</b>  | <b>1,423,712</b>     | <b>0.11</b>  |
| France  | 884,481              | 0.07         |
| Germany   | 506,000              | 0.04         |
| Canada  | 33,231               | 0.00         |
| Switzerland   | 0                    | 0.00         |
| <b>Leopard (tank)</b>   | <b>1,333,963</b>     | <b>0.10</b>  |
| Germany   | 1,333,963            | 0.10         |
| <b>A-400M (transport aircraft)</b>                                      | <b>1,172,264</b>     | <b>0.09</b>  |
| Germany   | 978,686              | 0.08         |
| France  | 136,343              | 0.01         |
| United Kingdom  | 49,741               | 0.00         |
| United States   | 7,494                | 0.00         |
| <b>Mistral (missile)</b>  | <b>1,068,692</b>     | <b>0.08</b>  |
| France  | 1,068,692            | 0.08         |
| <b>Total programmes</b>   | <b>320,823,692</b>   | <b>23.83</b> |
| <b>TOTAL DM</b>   | <b>1,346,515,870</b> | <b>100</b>   |

## DEFENCE MATERIAL EXPORTS DENIED

| 2009       |        |                                 |   |  |
|------------|--------|---------------------------------|---|--|
| Country    | Number | Item                            |   | Criterion (Common Position 2008/944/CFSP)  |
| Costa Rica | 4      | Small arms                      | 7 | The existence of a risk that the equipment will be diverted within the buyer country or re-exported under undesirable conditions for lack of sufficient guarantees offered by the end importer.  |
| Georgia    | 1 PA   | Anti-tank weapons and munitions | 4 | Preservation of regional peace, security and stability   |
| Syria      | 1 PA   | NRBC decontamination equipment  | 7 | Preservation of regional peace, security and stability<br>The existence of a risk that the equipment will be diverted within the buyer country to some unauthorised use or re-exported under undesirable conditions for lack of sufficient guarantees offered by the end importer. |



**DESCRIPTION OF THE 22 ITEMS ON THE DEFENCE MATERIAL LIST  
(ROYAL DECREE 2061/2008, OF 12 DECEMBER)**

| Category | Description 22 articles                                | List of items included   |
|----------|--|--|
| 1        | Smooth-bore weapons with a calibre of less than 20 mm. | Rifles, carbines, revolvers, pistols, machine pistols, machine guns, silencers, clips, sights and flash suppressors.   |
| 2        | Smooth-bore weapons with a calibre of 20 mm or more.   | Firearms (including pieces of artillery), rifles, howitzers, cannons, mortars, anti-tank weapons, projectile launchers, flame throwers, recoilless rifles, signature reduction devices, military smoke, gas and pyrotechnic projectors or generators and weapons sights. |
| 3        | Ammunition, devices and components                     | Ammunition for the weapons subject to control by articles 1, 2 or 12. Fuse-setting devices including cases, links, bands, power supplies with high operational output, sensors, sub-munitions.   |
| 4        | Bombs, torpedoes, rockets, missiles                    | Bombs, torpedoes, grenades, smoke canisters, rockets, mines, missiles, depth charges, demolition charges, "pyrotechnic" devices, cartridges and simulators, smoke grenades, incendiary bombs, missile rocket nozzles and re-entry vehicle nosetips.                      |
| 5        | Fire control systems                                   | Weapon sights, bombing computers, gun laying equipment, weapon control systems, systems for data collection, surveillance or tracking, recognition or identification   |
| 6        | Ground vehicles  | Vehicles especially designed or modified for military use, tanks and other armed military vehicles or equipment for the planting of mines, armoured vehicles, amphibious vehicles, bullet-proof tyres.   |
| 7        | Chemical or biological toxic agents                    | Biological agents and radioactive materials, nerve agents, vesicant agents, tear gases, anti-riot agents   |
| 8        | Energetic materials and related substances             | Explosives, propellants, pyrotechnics, fuels and related substances, perchlorates, chlorates and chromates, oxidizers, binders, additives and precursors   |
| 9        | Warships   | Combatant vessels and surface or underwater vessels and components therefor, diesel engines especially designed for submarines, electric motors especially designed for submarines, underwater detection devices, submarine and torpedo nets                             |
| 10       | Aircraft   | Combat aircraft, unmanned airborne vehicles, aero-engines, remotely piloted air vehicles, refuelling equipment, pressurised breathing equipment, parachutes, automatic piloting systems.   |
| 11       | Electronic equipment                                   | Countermeasure and electronic counter-countermeasure equipment, underwater acoustic material, data security equipment, equipment using ciphering processes, guidance, navigation and transmission equipment.   |
| 12       | Kinetic energy weapon systems                          | Kinetic energy weapon systems, test and evaluation facilities and test models, propulsion systems, homing seeker, guidance or divert propulsion systems for projectiles.   |
| 13       | Armoured equipment and constructions                   | Armoured plate, constructions of metallic or non-metallic materials, military helmets, body armour and protective garments.  |
| 14       | Military training or simulation equipment              | Attack trainers, flight trainers, radar target trainers, anti-submarine warfare trainers, missile launch trainers, image generating trainers.  |
| 15       | Imaging or countermeasure equipment                    | Recorders and image processing equipment, cameras, photographic equipment, image intensifier equipment, infrared or thermal imaging equipment, imaging radar sensor equipment.   |
| 16       | Forgings, castings and unfinished products             | Forgings, castings and unfinished product parts.   |
| 17       | Miscellaneous equipment, materials and libraries       | Self-contained diving and underwater swimming apparatus, closed and semi-closed circuit apparatus, robots, ferries.  |
| 18       | Production equipment                                   | Environmental test facilities, continuous nitrators, centrifugal testing apparatus or equipment, screw extruders.  |
| 19       | Directed energy weapon systems                         | Laser systems, particle beam systems, radio-frequency systems, particle accelerators.  |
| 20       | Cryogenic and superconductive equipment                | Equipment especially designed or configured to be installed in a vehicle for military ground, marine, airborne or space applications, superconductive electrical equipment.  |
| 21       | Software   | Software designed for modelling, simulation or evaluation of military weapon systems or for the simulation of military operation scenarios, for command, communications, control and intelligence applications.  |
| 22       | Technology   | Technology for the development, production or use of items controlled.   |



## ANNEX II. EXPORT STATISTICS ON OTHER ANTI-RIOT MATERIAL AND HUNTING AND SPORTING ARMS, 2009

| EXPORTS AUTHORISED OF OTHER MATERIAL (ANTI-RIOT) BY COUNTRY, 2009 |           |                  |
|---|-----------|------------------|
| Country   | Lic. No   | Amount €         |
| Bolivia   | 2         | 1,046,558        |
| Kenya   | 1         | 0                |
| Nicaragua   | 2         | 357,567          |
| Venezuela   | 5         | 784,816          |
| <b>TOTAL</b>  | <b>10</b> | <b>2,188,941</b> |

**Note 1.-** Value 0 €, indicates no charge made for export.

**Note 2.-** The number of licenses authorised is lower than the number of licenses actually processed given that the former does not include licences denied by the JIMDDU, discontinued by the company or expired for failure to submit control documents by the stipulated date.

| EXPORTS OF OTHER MATERIAL COMPLETED (ANTI-RIOT) BY COUNTRY, 2009 |                  |
|--|------------------|
| Country  | Amount €         |
| Angola   | 4,084,201        |
| Bolivia  | 1,018,017        |
| Nicaragua  | 341,626          |
| Peru   | 385              |
| Venezuela  | 841,692          |
| <b>TOTAL</b>   | <b>6,285,921</b> |

| EXPORTS OF OTHER MATERIAL COMPLETED (ANTI-RIOT) WITH INDICATION OF THE NATURE OF THE END USER AND FINAL USE MADE OF THE MATERIAL<br>2009 |              |         |            |
|--|--------------|---------|------------|
| Country  | End user     | End use | Percentage |
| Angola   | Police       | Public  | 100        |
| Bolivia  | Police       | Public  | 100        |
| Nicaragua  | Police       | Public  | 100        |
| Peru   | Armed Forces | Public  | 100        |
| Venezuela  | Armed Forces | Public  | 69.89      |
|  | Police       | Public  | 30.11      |

| EXPORTS AUTHORISED OF OTHER MATERIAL<br>(HUNTING AND SPORTING ARMS) BY COUNTRY, 2009 |            |                   |
|--|------------|-------------------|
| Country  | Lic. No    | Amount €          |
| Andorra  | 13         | 60,143            |
| Angola   | 1          | 450,000           |
| Argentina  | 6          | 996,400           |
| Australia  | 5          | 7,308,000         |
| Azerbaijan   | 1          | 5,550             |
| Bosnia and Herzegovina   | 1          | 180,000           |
| Cameroon   | 3          | 1,010,000         |
| Canada   | 6          | 600,300           |
| Central African Republic   | 5          | 1,145,000         |
| Chile  | 4          | 101,370           |
| Colombia   | 3          | 120,750           |
| Costa Rica   | 2          | 3,115             |
| Croatia  | 5          | 78,465            |
| Cuba   | 1          | 350,000           |
| Dominican Republic   | 2          | 295,000           |
| Ecuador  | 5          | 653,654           |
| France (French Guyana)   | 2          | 260,000           |
| France (Guadalupe)   | 2          | 450,000           |
| Georgia  | 1          | 2,000             |
| Ghana  | 6          | 8,710,000         |
| Guatemala  | 2          | 461,000           |
| Guinea Bissau  | 2          | 944,000           |
| Guinea Conakry   | 7          | 3,276,000         |
| Kazakhstan   | 3          | 977,780           |
| Kyrgyzstan   | 1          | 112,630           |
| Lebanon  | 11         | 3,900,200         |
| Malaysia   | 2          | 190,243           |
| Mexico   | 6          | 653,425           |
| Monaco   | 1          | 1,200             |
| Morocco  | 4          | 2,188,854         |
| New Zealand  | 1          | 90,000            |
| Nicaragua  | 1          | 150,000           |
| Norway   | 7          | 636,785           |
| Pakistan   | 4          | 345,150           |
| Peru   | 7          | 3,464,000         |
| Russia   | 5          | 1,018,862         |
| Senegal  | 1          | 330,000           |
| Serbia   | 1          | 205,000           |
| South Africa   | 4          | 432,500           |
| South Korea  | 2          | 425,820           |
| Surinam  | 1          | 140,000           |
| Tanzania   | 1          | 143,000           |
| Thailand   | 13         | 2,481,650         |
| Tunisia  | 1          | 66,500            |
| Turkey   | 7          | 3,584,400         |
| Ukraine  | 3          | 1,781,000         |
| United Arab Emirates   | 1          | 15                |
| United States  | 28         | 27,606,367        |
| Uruguay  | 5          | 536,760           |
| Venezuela  | 8          | 2,182,500         |
| Zambia   | 1          | 300,000           |
| <b>TOTAL</b>   | <b>215</b> | <b>81,405,388</b> |

| EXPORTS COMPLETED OF OTHER MATERIAL (HUNTING AND SPORTING ARMS)<br>BY COUNTRY<br>2009 |  |            |
|---|--|------------|
| Country   | Description                            | Amount €   |
| Andorra   | Shotguns and shotgun shells            | 12,025     |
| Angola  | Shotgun shells                         | 208,544    |
| Argentina   | Shotguns and cases with piston         | 739,439    |
| Armenia   | Shotguns                               | 8,501      |
| Australia   | Shotguns and shotgun shells            | 1,381,145  |
| Azerbaijan  | Shotguns                               | 5,550      |
| Bosnia and Herzegovina  | Shotgun shells                         | 60,534     |
| Burkina Faso  | Shotgun shells                         | 149,750    |
| Cameroon  | Shotgun shells                         | 247,238    |
| Canada  | Shotguns and shotgun shells            | 115,695    |
| Central African Republic  | Shot for shotgun shells                | 753,092    |
| Chile   | Shotguns and shotgun shells            | 322,808    |
| Colombia  | Shotguns and shotgun shells            | 471,280    |
| Costa Rica  | Shotguns and Carabines                 | 5,510      |
| Croatia   | Shotguns                               | 23,456     |
| Dominican Republic  | Shotgun shells                         | 255,639    |
| Ecuador   | Powder and pistons                     | 136,154    |
| France  | Shotgun shells                         | 134,288    |
| France (Guadalupe)  | Shotgun shells                         | 7,170      |
| Georgia   | Shotguns and shotgun shells            | 82,452     |
| Ghana   | Shotguns and shotgun shells            | 3,543,065  |
| Guatemala   | Shotguns and shotgun shells            | 140,577    |
| Guinea Bissau   | Shotgun shells                         | 374,845    |
| Guinea Conakry  | Shotgun shells                         | 4,135,091  |
| Honduras  | Shotgun shells                         | 164,775    |
| Iceland   | Shotguns                               | 25,986     |
| Israel  | Shotgun shells                         | 127,567    |
| Jamaica   | Shotgun shells                         | 96,387     |
| Japan   | Shotgun shells                         | 1,095,928  |
| Kazakhstan  | Shotguns                               | 76,234     |
| Kuwait  | Shotguns and shotgun shells            | 91,263     |
| Latvia  | Shot guns and cases with piston        | 26,641     |
| Lebanon   | Shotguns, shells and cases with piston | 1,087,243  |
| Malaysia  | Shotguns and shotgun shells            | 243        |
| Mali  | Shotgun shells                         | 356,675    |
| Mexico  | Shotguns and shotgun shells            | 274,731    |
| Moldavia  | Shotguns                               | 6,236      |
| Monaco  | Shotguns                               | 1,200      |
| Morocco   | Shot guns and cases with piston        | 975,690    |
| Namibia   | Shotgun shells                         | 181,670    |
| New Zealand   | Shotguns and shotgun shells            | 222,109    |
| Nicaragua   | Shotguns and shotgun shells            | 80,910     |
| Norway  | Shotguns and shotgun shells            | 772,623    |
| Pakistan  | Shotguns and shotgun shells            | 269,994    |
| Panama  | Shotgun shells                         | 66,060     |
| Paraguay  | Shotgun shells                         | 99,333     |
| Peru  | Shotgun shells                         | 1,424,319  |
| Philippines   | Shot guns and cases with piston        | 173,432    |
| Russia  | Shotguns and shotgun shells            | 987,255    |
| Senegal   | Shotguns and shotgun shells            | 23,238     |
| Serbia  | Shotgun shells                         | 81,357     |
| South Africa  | Shotguns and shotgun shells            | 1,293,844  |
| South Korea   | Shotguns and shotgun shells            | 157,300    |
| Surinam   | Shotgun shells                         | 22,869     |
| Switzerland   | Shotguns                               | 39,708     |
| Taiwan  | Shotgun shells                         | 117,845    |
| Thailand  | Shotguns and shotgun shells            | 630,104    |
| Tunisia   | Shotgun shells                         | 164,750    |
| Turkey  | Shotguns and shotgun shells            | 3,217,834  |
| Ukraine   | Shotgun shells                         | 1,223,156  |
| United Arab Emirates  | Cases without pistons                  | 127,515    |
| United States   | Shotguns and shotgun shells            | 9,892,058  |
| Uruguay   | Shotguns and shotgun shells            | 165,080    |
| Venezuela   | Shotgun shells                         | 784,703    |
| TOTAL   |  | 39,939,713 |

**EXPORTS COMPLETED OF OTHER MATERIAL (HUNTING AND SPORTING ARMS)  
WITH INDICATION OF THE NATURE OF THE END USER AND FINAL USE  
2009**

| Country                | End user        | End use | Percentage |
|------------------------|-----------------|---------|------------|
| Andorra                | Armoury         | Private | 73.56      |
|                        | Private company | Private | 12.77      |
|                        | Private party   | Private | 13.67      |
| Angola                 | Private company | Private | 100        |
| Argentina              | Armoury         | Private | 17.34      |
|                        | Private company | Private | 82.14      |
|                        | Private party   | Private | 0.52       |
| Armenia                | Private company | Private | 100        |
| Australia              | Armoury         | Private | 70.00      |
|                        | Private company | Private | 29.69      |
|                        | Private party   | Private | 0.31       |
| Azerbaijan             | Private company | Private | 100        |
| Bosnia and Herzegovina | Armoury         | Private | 100        |
| Burkina Faso           | Private company | Private | 100        |
| Cameroon               | Private company | Private | 100        |
| Canada                 | Armoury         | Private | 13.84      |
|                        | Private company | Private | 73.45      |
|                        | Private party   | Private | 12.71      |
| Chile                  | Armoury         | Private | 39.77      |
|                        | Private company | Private | 55.48      |
|                        | Private party   | Private | 4.75       |
| Colombia               | Armoury         | Private | 43.15      |
|                        | Private company | Private | 56.72      |
|                        | Private party   | Private | 0.13       |
| Costa Rica             | Armoury         | Private | 100        |
| Croatia                | Armoury         | Private | 87.59      |
|                        | Private company | Private | 12.41      |
| Ecuador                | Armoury         | Private | 58.69      |
|                        | Private party   | Private | 41.31      |
| France                 | Private company | Private | 100        |
| France (Guadalupe)     | Private company | Private | 100        |
| Georgia                | Private company | Private | 97.57      |
|                        | Private party   | Private | 2.43       |
| Ghana                  | Armoury         | Private | 80.98      |
|                        | Private company | Private | 19.02      |
| Guatemala              | Armoury         | Private | 56.34      |
|                        | Private company | Private | 43.66      |
| Guinea Bissau          | Private company | Private | 100        |
| Guinea Conakry         | Private company | Private | 100        |
| Honduras               | Private company | Private | 100        |
| Iceland                | Armoury         | Private | 13.57      |
|                        | Private company | Private | 86.43      |
| Israel                 | Private company | Private | 100        |
| Jamaica                | Private company | Private | 100        |
| Japan                  | Armoury         | Private | 2.51       |
|                        | Private company | Private | 97.49      |
| Kazakhstan             | Private company | Private | 100        |
| Kuwait                 | Private company | Private | 100        |
| Latvia                 | Armoury         | Private | 100        |
| Lebanon                | Armoury         | Private | 36.11      |
|                        | Private company | Private | 63.89      |
| Malaysia               | Armoury         | Private | 100        |
| Mali                   | Private company | Private | 100        |
| Mexico                 | Armoury         | Private | 19.29      |
|                        | Private company | Private | 55.08      |
|                        | Armed Forces    | Public  | 19.29      |
|                        | Private party   | Private | 6.34       |
| Morocco                | Private company | Private | 100        |
| Philippines            | Private company | Private | 100        |
| South Korea            | Armoury         | Private | 39.56      |
|                        | Private company | Private | 60.44      |
| United Arab Emirates   | Private company | Private | 100        |
| United States          | Armoury         | Private | 50.20      |
|                        | Private company | Private | 48.31      |
|                        | Private party   | Private | 1.49       |

| OTHER MATERIAL EXPORTS DENIED<br>2009 |        |                |                               |
|---------------------------------------|--------|----------------|-------------------------------|
| Country                               | Number | Item           | Reason                        |
| R. Guinea (Guinea Conakry)            | 1      | Hunting shells | Embargo<br>(CP 2009/788/CFSP) |

| LIST OF OTHER MATERIAL<br>(ROYAL DECREE 2061/2008, OF 12 DECEMBER)   |
|--|
| a. Firearms defined in Article 3 of United Nations General Assembly Resolution 55/255 approving the Protocol against the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition which are not included in Annex I.1, Article 1, 2 and 3 of the Defence Material List. |
| b. Visors and sights, telescopic sights and light or image intensification   |
| c. Generator devices, projectors, smoke dispensers, gases, "anti-riot agents" or incapacitating substances   |
| d. Launchers of the elements described in preceding paragraph c.   |
| e. Bombs, grenades and explosive devices and, as the case may be, their launchers and laying equipment.  |
| f. Armoured vehicles and vehicles equipped with metal or non-metal materials providing anti-ballistic protection   |
| g. Light and deafening sound equipment for riot control  |
| h. Anti-riot vehicles with any of the following characteristics: systems to produce electric shocks; systems to dispense incapacitating substances; systems to dispense anti-riot agents; water canons.  |





## ANNEX III. EXPORT STATISTICS ON DUAL-USE ITEMS AND TECHNOLOGIES 2009

| BY-COUNTRY AUTHORISED EXPORT OF DUAL-USE<br>ITEMS AND TECHNOLOGIES<br>2009 |         |            |
|--|---------|------------|
| Country  | Lic. No | Amount €   |
| Albania  | 1       | 0          |
| Algeria  | 9       | 324,053    |
| Andorra  | 1       | 80,900     |
| Argentina  | 44      | 11,518,013 |
| Australia  | 18      | 4,791      |
| Bangladesh   | 4       | 4,274      |
| Bolivia  | 1       | 90         |
| Bosnia and Herzegovina   | 1       | 240        |
| Brazil   | 22      | 10,957,381 |
| Burkina Faso   | 1       | 190,000    |
| Cameroon   | 2       | 116        |
| Canada   | 1       | 54,431,538 |
| Chile  | 6       | 701,890    |
| China  | 28      | 14,959,146 |
| Colombia   | 42      | 1,122,093  |
| Croatia  | 4       | 834        |
| Cuba   | 12      | 6,832,905  |
| Egypt  | 2       | 32,684     |
| Ethiopia   | 4       | 631,254    |
| Ghana  | 2       | 701        |
| India  | 7       | 5,957,540  |
| Iran   | 31      | 67,176,866 |
| Israel   | 9       | 1,182,734  |
| Italy  | 2       | 5,375      |
| Jordan   | 2       | 7,721      |
| Kazakhstan   | 1       | 0          |
| Kuwait   | 3       | 2,709      |
| Libya  | 1       | 129        |
| Malaysia   | 2       | 389,922    |
| Mali   | 2       | 52,200     |
| Mauritania   | 3       | 80,400     |
| Mauritius Islands  | 1       | 191        |
| Mexico   | 5       | 410,032    |
| Morocco  | 7       | 130,377    |
| Netherlands (Dutch A.)   | 1       | 1,222,800  |
| New Zealand  | 2       | 164        |
| Nicaragua  | 1       | 240,000    |
| Nigeria  | 4       | 910,500    |
| Oman   | 1       | 59         |
| Paraguay   | 2       | 237,000    |
| Peru   | 9       | 245,652    |
| Portugal   | 2       | 10,439     |
| Russia   | 31      | 6,836,443  |
| Rwanda   | 2       | 25         |
| Saudi Arabia   | 21      | 1,710,094  |
| Senegal  | 3       | 115        |

| BY-COUNTRY AUTHORISED EXPORT OF DUAL-USE<br>ITEMS AND TECHNOLOGIES<br>2009 (continued) |            |                    |
|--|------------|--------------------|
| Country  | Lic. No    | Amount €           |
| Singapore  | 12         | 1,701,703          |
| South Africa   | 4          | 1,882,950          |
| Sudan  | 1          | 93,750             |
| Sweden   | 1          | 6,390              |
| Switzerland  | 5          | 1,979,000          |
| Syria  | 1          | 499,265            |
| Taiwan   | 11         | 555,033            |
| Thailand   | 5          | 11,675             |
| Tunisia  | 4          | 16,771             |
| Turkey   | 13         | 2,829,681          |
| United Arab Emirates   | 3          | 600,350            |
| United Kingdom   | 1          | 315,000            |
| United States  | 1          | 366,077            |
| Uruguay  | 3          | 386,200            |
| Venezuela  | 5          | 10,471,090         |
| Vietnam  | 3          | 1,225              |
| <b>TOTAL</b>   | <b>433</b> | <b>210,318,550</b> |

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## EXPORTS AUTHORISED OF DUAL-USE ITEMS AND TECHNOLOGIES BY COUNTRY OF DESTINATION AND CATEGORY, 2009

| Country                | Categories       |                    |                   |                   |                  |                  |              |   |   | Amount €       |                    |
|------------------------|------------------|--------------------|-------------------|-------------------|------------------|------------------|--------------|---|---|----------------|--------------------|
|                        | 0                | 1                  | 2                 | 3                 | 4                | 5                | 6            | 7 | 8 |                | 9                  |
| Albania                |                  | 0                  |                   |                   |                  |                  |              |   |   |                | 0                  |
| Algeria                |                  | 324,053            |                   |                   |                  | 0                |              |   |   |                | 324,053            |
| Andorra                |                  |                    |                   |                   |                  | 80,900           |              |   |   |                | 80,900             |
| Argentina              |                  | 6,774,078          |                   | 4,738,998         |                  |                  | 4,937        |   |   |                | 11,518,013         |
| Australia              |                  | 4,791              |                   |                   |                  |                  |              |   |   |                | 4,791              |
| Bangladesh             |                  | 4,274              |                   |                   |                  |                  |              |   |   |                | 4,274              |
| Bolivia                |                  | 90                 |                   |                   |                  |                  |              |   |   |                | 90                 |
| Bosnia and Herzegovina |                  | 240                |                   |                   |                  |                  |              |   |   |                | 240                |
| Brazil                 |                  | 10,275,154         | 0                 | 682,227           |                  |                  |              |   |   |                | 10,957,381         |
| Burkina Faso           |                  | 190,000            |                   |                   |                  |                  |              |   |   |                | 190,000            |
| Cameroon               |                  | 116                |                   |                   |                  |                  |              |   |   |                | 116                |
| Canada                 |                  | 54,431,538         |                   |                   |                  |                  |              |   |   |                | 54,431,538         |
| Chile                  |                  | 701,890            |                   |                   |                  |                  |              |   |   |                | 701,890            |
| China                  |                  |                    | 5,599,316         | 4,359,830         |                  | 5,000,000        |              |   |   |                | 14,959,146         |
| Colombia               | 922              | 1,121,171          |                   |                   |                  |                  |              |   |   |                | 1,122,093          |
| Croatia                |                  | 834                |                   |                   |                  |                  |              |   |   |                | 834                |
| Cuba                   | 6,831,000        | 1,905              |                   |                   |                  |                  |              |   |   |                | 6,832,905          |
| Egypt                  |                  | 184                | 32,500            |                   |                  |                  |              |   |   |                | 32,684             |
| Ethiopia               |                  | 203,976            | 427,278           |                   |                  |                  |              |   |   |                | 631,254            |
| Ghana                  |                  | 701                |                   |                   |                  |                  |              |   |   |                | 701                |
| India                  |                  | 720,000            | 5,237,540         |                   |                  |                  |              |   |   |                | 5,957,540          |
| Iran                   |                  |                    | 67,176,866        |                   |                  |                  |              |   |   |                | 67,176,866         |
| Israel                 |                  | 8,945              |                   |                   | 1,169,339        | 4,450            |              |   |   |                | 1,182,734          |
| Italy                  |                  | 5,375              |                   | 0                 |                  |                  |              |   |   |                | 5,375              |
| Jordan                 |                  | 7,721              |                   |                   |                  |                  |              |   |   |                | 7,721              |
| Kazakhstan             |                  |                    |                   |                   |                  |                  |              |   |   | 0              | 0                  |
| Kuwait                 |                  | 2,709              |                   |                   |                  |                  |              |   |   |                | 2,709              |
| Libya                  |                  | 129                |                   |                   |                  |                  |              |   |   |                | 129                |
| Malaysia               |                  | 175                |                   |                   |                  |                  |              |   |   | 389,747        | 389,922            |
| Mali                   |                  | 52,200             |                   |                   |                  |                  |              |   |   |                | 52,200             |
| Mauritania             |                  | 80,400             |                   |                   |                  |                  |              |   |   |                | 80,400             |
| Mauritius Islands      | 191              |                    |                   |                   |                  |                  |              |   |   |                | 191                |
| Mexico                 |                  | 234,000            | 176,032           |                   |                  |                  |              |   |   |                | 410,032            |
| Morocco                |                  | 130,377            |                   |                   |                  |                  |              |   |   |                | 130,377            |
| Netherlands (Dutch A.) |                  | 1,222,800          |                   |                   |                  |                  |              |   |   |                | 1,222,800          |
| New Zealand            |                  | 164                |                   |                   |                  |                  |              |   |   |                | 164                |
| Nicaragua              |                  | 240,000            |                   |                   |                  |                  |              |   |   |                | 240,000            |
| Nigeria                |                  | 910,500            |                   |                   |                  |                  |              |   |   |                | 910,500            |
| Oman                   |                  | 59                 |                   |                   |                  |                  |              |   |   |                | 59                 |
| Paraguay               |                  | 237,000            |                   |                   |                  |                  |              |   |   |                | 237,000            |
| Peru                   | 415              | 245,237            |                   |                   |                  |                  |              |   |   |                | 245,652            |
| Portugal               |                  | 10,439             |                   |                   |                  |                  |              |   |   |                | 10,439             |
| Russia                 |                  |                    | 4,136,586         | 2,699,857         | 0                |                  |              |   |   |                | 6,836,443          |
| Rwanda                 |                  | 25                 |                   |                   |                  |                  |              |   |   |                | 25                 |
| Saudi Arabia           |                  | 1,577,290          | 132,804           |                   |                  |                  |              |   |   |                | 1,710,094          |
| Senegal                |                  | 115                |                   |                   |                  |                  |              |   |   |                | 115                |
| Singapore              |                  | 1,701,703          |                   |                   |                  |                  |              |   |   |                | 1,701,703          |
| South Africa           |                  | 1,882,950          |                   |                   |                  |                  |              |   |   |                | 1,882,950          |
| Sudan                  |                  | 93,750             |                   |                   |                  |                  |              |   |   |                | 93,750             |
| Sweden                 |                  |                    |                   |                   |                  | 6,390            |              |   |   |                | 6,390              |
| Switzerland            |                  | 1,979,000          |                   |                   |                  |                  |              |   |   |                | 1,979,000          |
| Syria                  |                  |                    | 499,265           |                   |                  |                  |              |   |   |                | 499,265            |
| Taiwan                 |                  | 555,033            |                   |                   |                  |                  |              |   |   |                | 555,033            |
| Thailand               |                  | 11,675             |                   |                   |                  |                  |              |   |   |                | 11,675             |
| Tunisia                |                  | 16,771             |                   |                   |                  |                  |              |   |   |                | 16,771             |
| Turkey                 |                  | 2,829,681          |                   |                   |                  |                  |              |   |   |                | 2,829,681          |
| United Arab Emirates   |                  | 600,350            |                   |                   |                  |                  |              |   |   |                | 600,350            |
| United Kingdom         |                  |                    |                   |                   |                  | 315,000          |              |   |   |                | 315,000            |
| United States          |                  |                    | 366,077           |                   |                  |                  |              |   |   |                | 366,077            |
| Uruguay                |                  | 386,200            |                   |                   |                  |                  |              |   |   |                | 386,200            |
| Venezuela              |                  | 10,471,090         |                   |                   |                  |                  |              |   |   |                | 10,471,090         |
| Vietnam                |                  | 1,225              |                   |                   |                  |                  |              |   |   |                | 1,225              |
| <b>TOTAL</b>           | <b>6,832,528</b> | <b>100,250,083</b> | <b>83,784,264</b> | <b>12,480,912</b> | <b>1,169,339</b> | <b>5,406,740</b> | <b>4,937</b> |   |   | <b>389,747</b> | <b>210,318,550</b> |

| EXPORTS OF DUAL-USE ITEMS AND TECHNOLOGIES COMPLETED BY COUNTRY OF DESTINATION AND CATEGORY 2009 |                  |                   |                   |                  |                |                  |                   |   |   |          |                   |
|--|------------------|-------------------|-------------------|------------------|----------------|------------------|-------------------|---|---|----------|-------------------|
| Country  | Categories       |                   |                   |                  |                |                  |                   |   |   | Amount € |                   |
|  | 0                | 1                 | 2                 | 3                | 4              | 5                | 6                 | 7 | 8 |          | 9                 |
| Albania  |                  | 0                 |                   |                  |                |                  |                   |   |   |          | 0                 |
| Algeria  |                  | 192,050           |                   |                  |                |                  |                   |   |   |          | 192,050           |
| Andorra  |                  |                   |                   |                  |                | 80,900           |                   |   |   |          | 80,900            |
| Argentina  |                  | 2,118,219         |                   | 4,995,431        |                |                  |                   |   |   |          | 7,113,650         |
| Australia  |                  | 3,682             |                   |                  |                |                  |                   |   |   |          | 3,682             |
| Bangladesh   |                  | 4,274             |                   |                  |                |                  |                   |   |   |          | 4,274             |
| Bolivia  |                  | 10,710            |                   |                  |                |                  |                   |   |   |          | 10,710            |
| Bosnia and Herzegovina   |                  | 2,410             |                   |                  |                |                  |                   |   |   |          | 2,410             |
| Brazil   |                  | 2,592,720         | 0                 | 352,138          |                |                  |                   |   |   |          | 2,944,858         |
| Cameroon   |                  | 87                |                   |                  |                |                  |                   |   |   |          | 87                |
| Canada   | 40,650           | 6,051             |                   |                  |                |                  |                   |   |   |          | 46,701            |
| Chile  |                  | 702,265           |                   |                  |                |                  |                   |   |   |          | 702,265           |
| China  |                  |                   | 6,816,347         | 2,364,666        |                | 465,127          |                   |   |   |          | 9,646,140         |
| Colombia   | 922              | 191,133           |                   |                  |                |                  |                   |   |   |          | 192,055           |
| Croatia  |                  | 834               |                   |                  |                |                  |                   |   |   |          | 834               |
| Cuba   | 3,067,772        | 1,811             |                   |                  |                |                  |                   |   |   |          | 3,069,583         |
| Egypt  |                  | 81,576            |                   |                  |                |                  |                   |   |   |          | 81,576            |
| Ethiopia   |                  | 115,288           | 427,278           |                  |                |                  |                   |   |   |          | 542,566           |
| Germany  |                  |                   |                   |                  | 88,158         |                  |                   |   |   |          | 88,158            |
| Ghana  |                  | 360               |                   |                  |                |                  |                   |   |   |          | 360               |
| India  |                  |                   | 1,533,440         |                  |                |                  |                   |   |   |          | 1,533,440         |
| Iran   |                  |                   | 38,983,596        |                  |                |                  |                   |   |   |          | 38,983,596        |
| Iraq   |                  | 93                |                   |                  |                |                  |                   |   |   |          | 93                |
| Israel   |                  | 30,220            |                   |                  | 587,608        | 4,450            |                   |   |   |          | 622,278           |
| Italy  |                  |                   |                   | 0                |                |                  |                   |   |   |          | 0                 |
| Japan  |                  | 750               |                   |                  |                |                  |                   |   |   |          | 750               |
| Jordan   |                  | 3,274             |                   |                  |                |                  |                   |   |   |          | 3,274             |
| Kazakhstan   |                  |                   |                   |                  |                |                  |                   |   |   | 0        | 0                 |
| Kuwait   |                  | 1,405             |                   |                  |                |                  |                   |   |   |          | 1,405             |
| Libya  |                  | 129               |                   |                  |                |                  | 12,700,000        |   |   |          | 12,700,129        |
| Malaysia   |                  | 175               |                   |                  |                |                  |                   |   |   |          | 175               |
| Mali   |                  | 25,920            |                   |                  |                |                  |                   |   |   |          | 25,920            |
| Mauritania   |                  | 18,144            |                   |                  |                |                  |                   |   |   |          | 18,144            |
| Mauritius Islands  | 191              |                   |                   |                  |                |                  |                   |   |   |          | 191               |
| Mexico   |                  | 2,860             | 176,032           |                  |                |                  |                   |   |   |          | 178,892           |
| Morocco  |                  | 1,035,935         |                   |                  |                |                  |                   |   |   |          | 1,035,935         |
| Netherlands (Dutch A.)   |                  | 515,192           |                   |                  |                |                  |                   |   |   |          | 515,192           |
| New Zealand  |                  | 164               |                   |                  |                |                  |                   |   |   |          | 164               |
| Nigeria  |                  | 420,328           |                   |                  |                |                  |                   |   |   |          | 420,328           |
| Norway   |                  | 319,871           |                   |                  |                |                  |                   |   |   |          | 319,871           |
| Oman   |                  | 59                |                   |                  |                |                  |                   |   |   |          | 59                |
| Panama   |                  | 10,681            |                   |                  |                |                  |                   |   |   |          | 10,681            |
| Paraguay   |                  | 78,912            |                   |                  |                |                  |                   |   |   |          | 78,912            |
| Peru   | 83               | 21,671            |                   |                  |                |                  |                   |   |   |          | 21,754            |
| Portugal   |                  | 11,430            |                   |                  |                |                  |                   |   |   |          | 11,430            |
| Russia   |                  |                   | 4,136,586         | 1,537,670        |                |                  |                   |   |   |          | 5,674,256         |
| Rwanda   |                  | 182               |                   |                  |                |                  |                   |   |   |          | 182               |
| Saudi Arabia   |                  | 140,758           | 88,674            |                  |                |                  |                   |   |   |          | 229,432           |
| Senegal  |                  | 115               |                   |                  |                |                  |                   |   |   |          | 115               |
| Singapore  |                  | 219               |                   |                  |                |                  |                   |   |   |          | 219               |
| South Africa   |                  | 343,641           |                   |                  |                |                  |                   |   |   |          | 343,641           |
| Switzerland  |                  | 837,727           |                   |                  |                |                  |                   |   |   |          | 837,727           |
| Syria  |                  |                   | 499,265           |                  |                |                  |                   |   |   |          | 499,265           |
| Taiwan   |                  | 102,389           |                   |                  |                |                  |                   |   |   |          | 102,389           |
| Thailand   |                  | 22,876            |                   |                  |                |                  |                   |   |   |          | 22,876            |
| Tunisia  |                  | 13,660            |                   |                  |                |                  |                   |   |   |          | 13,660            |
| Turkey   |                  | 922,012           |                   |                  |                |                  |                   |   |   |          | 922,012           |
| United Arab Emirates   |                  | 22,766            |                   |                  |                |                  |                   |   |   |          | 22,766            |
| United Kingdom   |                  |                   |                   |                  |                | 591,390          |                   |   |   |          | 591,390           |
| United States  |                  | 2,047,087         | 2,134,291         | 86,767           |                |                  |                   |   |   |          | 4,268,145         |
| Uruguay  |                  | 77,040            |                   |                  |                |                  |                   |   |   |          | 77,040            |
| Venezuela  |                  | 4,308,253         |                   |                  |                |                  |                   |   |   |          | 4,308,253         |
| Vietnam  |                  | 1,593             |                   |                  |                |                  |                   |   |   |          | 1,593             |
| Yemen  |                  | 66                |                   |                  |                |                  |                   |   |   |          | 66                |
| <b>TOTAL</b>   | <b>3,109,618</b> | <b>17,361,067</b> | <b>54,795,509</b> | <b>9,336,672</b> | <b>675,766</b> | <b>1,141,867</b> | <b>12,700,000</b> |   |   | <b>0</b> | <b>99,120,499</b> |

**EXPORTS OF DUAL-USE ITEMS AND TECHNOLOGIES COMPLETED  
INDICATING THE NATURE OF THE USER AND END USE  
2009**

| Country                | End user        | End use | Percentage |
|------------------------|-----------------|---------|------------|
| Albania                | Private company | Private | 100        |
| Algeria                | Private company | Private | 100        |
| Andorra                | Public company  | Public  | 100        |
| Arab Emirates          | Private company | Private | 100        |
| Argentina              | Private company | Private | 29.78      |
|                        | Public company  | Public  | 70.22      |
| Australia              | Private company | Private | 100        |
| Bangladesh             | Private company | Private | 100        |
| Bolivia                | Private company | Private | 100        |
| Bosnia and Herzegovina | Private company | Private | 100        |
| Brazil                 | Private company | Private | 91.17      |
|                        | Public company  | Public  | 8.83       |
| Cameroon               | Private company | Private | 100        |
| Canada                 | Private company | Private | 100        |
| Chile                  | Private company | Private | 1.89       |
|                        | Armed Forces    | Public  | 98.11      |
| China                  | Public company  | Public  | 20.27      |
|                        | Private company | Private | 79.73      |
| Colombia               | Private company | Private | 100        |
| Croatia                | Private company | Private | 100        |
| Cuba                   | Private company | Private | 99.98      |
|                        | Public company  | Public  | 0.02       |
| Egypt                  | Private company | Private | 100        |
| Ethiopia               | Private company | Private | 21.25      |
|                        | Public company  | Public  | 78.75      |
| Germany                | Armed Forces    | Public  | 100        |
| Ghana                  | Private company | Private | 100        |
| India                  | Private company | Private | 43.73      |
|                        | Public company  | Public  | 56.27      |
| Iran                   | Private company | Private | 3.33       |
|                        | Public company  | Public  | 96.67      |
| Iraq                   | Private company | Private | 100        |
| Israel                 | Private company | Private | 4.86       |
|                        | Public company  | Public  | 0.71       |
|                        | Armed Forces    | Public  | 94.43      |
| Italy                  | Private company | Private | 100        |
| Japan                  | Private company | Private | 100        |
| Jordan                 | Private company | Private | 100        |
| Kazakhstan             | Public company  | Public  | 100        |
| Kuwait                 | Private company | Private | 100        |
| Libya                  | Public company  | Public  | 100        |
| Malaysia               | Private company | Private | 100        |
| Mali                   | Private company | Private | 100        |
| Mauritania             | Private company | Private | 100        |
| Mauritius Islands      | Private company | Private | 100        |
| Mexico                 | Private company | Private | 100        |
| Morocco                | Private company | Private | 100        |
| Netherlands (Dutch A.) | Private company | Private | 100        |
| New Zealand            | Private company | Private | 100        |
| Nigeria                | Private company | Private | 100        |
| Norway                 | Private company | Private | 100        |

**EXPORTS OF DUAL-USE ITEMS AND TECHNOLOGIES COMPLETED  
INDICATING THE NATURE OF THE USER AND END USE  
2009 (continued)**

| Country        | End user        | End use | Percentage |
|----------------|-----------------|---------|------------|
| Oman           | Private company | Private | 100        |
| Panama         | Private company | Private | 100        |
| Paraguay       | Private company | Private | 100        |
| Peru           | Private company | Private | 100        |
| Portugal       | Private company | Private | 100        |
| Russia         | Private company | Private | 78.59      |
|                | Public company  | Public  | 21.41      |
| Rwanda         | Private company | Private | 100        |
| Saudi Arabia   | Private company | Private | 100        |
| Senegal        | Private company | Private | 100        |
| Singapore      | Private company | Private | 100        |
| South Africa   | Private company | Private | 100        |
| Switzerland    | Private company | Private | 100        |
| Syria          | Private company | Private | 100        |
| Taiwan         | Private company | Private | 100        |
| Thailand       | Private company | Private | 100        |
| Tunisia        | Private company | Private | 100        |
| Turkey         | Private company | Private | 100        |
| United Kingdom | Public company  | Public  | 100        |
| United States  | Private company | Private | 100        |
| Uruguay        | Private company | Private | 100        |
| Venezuela      | Private company | Private | 100        |
| Vietnam        | Private company | Private | 100        |
| Yemen          | Private company | Private | 100        |

**EXPORT AUTHORISATIONS DENIED FOR DUAL USE ITEMS AND TECHNOLOGIES  
2009**

| Country  | Number | Item   | Reason   |
|----------|--------|--|--|
| Egypt    | 1      | Chemical substances  | Risk of diversion to the production of weapons of mass destruction and denied authorisation from other countries |
| Iran     | 6      | Chemical substances, machine tools, steel tubing, gas turbines | Risk of diversion to the production of weapons of mass destruction and denied authorisation from other countries |
| Pakistan | 1      | Chemical substances  | Risk of diversion to the production of weapons of mass destruction and denied authorisation from other countries |
| Syria    | 4      | Chemical substances  | Risk of diversion to the production of weapons of mass destruction and denied authorisation from other countries |
| Yemen    | 2      | Chemical substances  | Risk of diversion to the production of weapons of mass destruction and denied authorisation from other countries |

**APPLICATION OF THE CATCH-ALL CLAUSE IN THE EXPORT OF DUAL-USE ITEMS AND TECHNOLOGIES  
2009**

| Country | Number | Item  | Reason  |
|---------|--------|---|---|
| India   | 1      | Machine-tool  | Risk of being diverted to nuclear and missile proliferation |
| Iran    | 6      | Technology for the manufacture of valves, machine tools and centrifugal pumps | Risk of being diverted to nuclear and missile proliferation |

| EXPORTS OF DUAL-USE ITEMS AND TECHNOLOGIES COMPLETED<br>EXCEEDING €10 MILLION<br>2009 |              |                  |              |
|---|--------------|------------------|--------------|
| Country   | Description  | Amount €millions | %            |
| Iran  | Steel tubing | 11.19            | 11.29        |
| <b>Total</b>  |              | <b>11.19</b>     | <b>11.29</b> |

| DESCRIPTION OF THE 10 CATEGORIES OF DUAL-USE ITEMS AND TECHNOLOGIES (REGULATION EC 428/2009 OF 5 MAY AND SUCCESSIVE AMENDMENTS) |  |   |
|---|--|---|
| Category  | Description 10 categories                                | List of items included  |
| 0   | Nuclear material, facilities and equipment               | Nuclear reactors, plants for the separation of isotopes of natural uranium, depleted uranium and fertile materials, gas centrifuges, mass spectrometers, graphite electrodes  |
| 1   | Materials, chemicals, "microorganisms" and "toxins"      | Gas masks, body armour, personal dosimeters, prepregs, tools, dies, moulds, continuous mixers, filament winding machines, fluids and lubricating materials, fluorides, sulphides, cyanides and halogenated derivatives  |
| 2   | Materials processing                                     | Bearings, crucibles, machine tools, isostatic presses, measuring instruments, robots, motion simulators and machining centres   |
| 3   | Electronics  | Electronic components, integrated circuits, microprocessor microcircuits, programmable gate logic arrays, microwave components, mixers and converters and electrically fired explosive detonators   |
| 4   | Computers  | Electronic, hybrid, digital, analogue, systolic array, neural and optical computers   |
| 5   | Telecommunications and "information security"            | Telecommunications transmission equipment and systems, underwater communication systems, radio equipment, optic fibre cables, remote metering and remote control equipment and security systems   |
| 6   | Sensors and lasers                                       | Acoustics, image intensifier tubes, optical sensors, instrumentation cameras, optics, lasers, gravity meters, gravity gradiometers and radar systems  |
| 7   | Navigation and avionics                                  | Inertial navigation accelerometers, gyros, GPS and GLONASS, hydraulic, mechanical, electro-optical and electro-mechanical flight control systems including <i>fly-by-wire</i> types   |
| 8   | Marine   | Submersible vehicles and surface vessels, hydrofoil vessels, underwater vision systems, diving and underwater swimming apparatus  |
| 9   | Propulsion systems, space vehicles and related equipment | Aero and marine gas turbine engines, space launchers and space vehicles, solid and liquid rocket propulsion systems, ramjet, turbojet and turbofan engines, sounding rockets, hybrid rocket propulsion systems, launch support equipment, environmental and anechoic chambers and re-entry vehicles |





## ANNEX IV. LICENSES PROCESSED AND OPERATIONS EXEMPT

| NUMBER OF EXPORT LICENSES PROCESSED<br>2009 |          |         |         |        |                   |       |
|---|----------|---------|---------|--------|-------------------|-------|
| DEFENCE MATERIAL                            |          |         |         |        |                   |       |
| TYPE OF LICENSE                             | Approved | Pending | Expired | Denied | Discontin-<br>ued | TOTAL |
| INDIVIDUAL                                  | 424      | 58      | 32      | 4      | 15                | 533   |
| GLOBAL PROJECT                              | 20       | 1       |         |        |                   | 21    |
| TEMPORARY                                   | 252      |         |         |        | 1                 | 253   |
| RECTIFICATIONS                              | 180      |         |         |        |                   | 180   |
| PRELIM. AGREEMENTS                          | 20       |         |         | 2      |                   | 22    |
| INWARD PROCESSING<br>TRAFFIC                | 7        |         |         |        |                   | 7     |
| OTHER MATERIAL                              |          |         |         |        |                   |       |
| TYPE OF LICENSE                             | Approved | Pending | Expired | Denied | Discontin-<br>ued | TOTAL |
| INDIVIDUAL                                  | 228      | 17      | 14      | 1      | 9                 | 269   |
| TEMPORARY                                   | 4        |         |         |        |                   | 4     |
| RECTIFICATIONS                              | 101      |         |         |        |                   | 101   |
| DUAL-USE ITEMS AND TECHNOLOGIES             |          |         |         |        |                   |       |
| TYPE OF LICENSE                             | Approved | Pending | Expired | Denied | Discontin-<br>ued | TOTAL |
| INDIVIDUAL                                  | 420      | 3       |         | 14     | 4                 | 441   |
| TEMPORARY                                   | 1        |         |         |        |                   | 1     |
| RECTIFICATIONS                              | 17       |         |         |        |                   | 17    |
| PRELIM. AGREEMENTS                          | 3        |         |         |        |                   | 3     |
| GENERAL AUTHORISA-<br>TIONS                 | 7        |         |         |        |                   | 7     |

| LICENSE PROCESSING TIME FOR DEFENCE MATERIAL, OTHER MATERIAL AND<br>DUAL-USE ITEMS AND TECHNOLOGIES |                    |               |       |
|---|--------------------|---------------|-------|
| 2009  |                    |               |       |
| DEFENCE MATERIAL  | Preliminary report | = 0 < 30 days | 56.4% |
|   |                    | > 30 days     | 43.6% |
|   | Exempt from report | = 0 < 5 days  | 57.4% |
|   |                    | > 5 days      | 42.6% |
| OTHER MATERIAL  | Preliminary report | = 0 < 30 days | 78.4% |
|   |                    | > 30 days     | 21.6% |
|   | Exempt from report | = 0 < 5 days  | 66.7% |
|   |                    | > 5 days      | 33.3% |
| DUAL-USE ITEMS AND<br>TECHNOLOGIES  | Preliminary report | = 0 < 30 days | 71.1% |
|   |                    | > 30 days     | 28.9% |
|   | Exempt from report | = 0 < 5 days  | 66.4% |
|   |                    | > 5 days      | 33.6% |

| EVOLUTION OF EXPORTS OF DEFENCE MATERIAL, OTHER MATERIAL AND DUAL-USE ITEMS AND TECHNOLOGIES |                                |                              |                           |                        |
|--|--------------------------------|------------------------------|---------------------------|------------------------|
| 2009   |                                |                              |                           |                        |
|  | DEFENCE MATERIAL<br>(Amount €) | OTHER MATERIAL<br>(Amount €) |                           | DUAL-USE<br>(Amount €) |
|  |                                | Anti-riot                    | Hunting and sporting arms |                        |
| Authorised   | 3,193,442,457                  | 2,188,941                    | 81,405,388                | 210,318,550            |
| Completed  | 1,346,515,870                  | 6,285,921                    | 39,939,713                | 99,120,499             |
| Percentage   | 42.17                          | 287.17                       | 49.06                     | 47.13                  |

**DEFENCE MATERIAL TRANSACTIONS EXEMPT FROM THE JIMDDU PRELIMINARY REPORT AND FROM END USE CONTROL DOCUMENTS  
2009**

| Art. RMD     | Eurofighter | A400M    | Tiger Eurocopter | Leopard  | Iris-T Missile | Military fuel | Repairs    | Fairs     | Tests Demonstration Homologation | Return to origin |
|--------------|-------------|----------|------------------|----------|----------------|---------------|------------|-----------|----------------------------------|------------------|
| 1            |             |          |                  |          |                |               | 27         | 6         | 5                                | 9                |
| 2            |             |          |                  |          |                |               |            | 2         |                                  | 1                |
| 3            |             |          |                  |          |                |               |            | 1         | 3                                |                  |
| 4            |             |          |                  |          | 6              |               | 17         | 3         | 3                                | 2                |
| 5            |             |          |                  |          |                |               | 2          | 1         |                                  |                  |
| 6            |             |          |                  | 9        |                |               | 9          | 5         | 6                                | 3                |
| 8            |             |          |                  |          |                | 8             |            |           | 1                                |                  |
| 9            |             |          |                  |          |                |               |            |           | 2                                |                  |
| 10           | 24          | 1        | 5                |          |                |               | 56         |           | 13                               | 19               |
| 11           | 1           |          |                  |          |                |               | 8          |           | 5                                | 2                |
| 13           |             |          |                  |          |                |               | 1          |           | 1                                |                  |
| 14           |             |          |                  |          |                |               | 1          |           |                                  |                  |
| 15           |             |          |                  |          |                |               | 9          |           | 4                                | 1                |
| 21           |             |          |                  |          |                |               |            |           | 4                                |                  |
| 22           |             | 1        |                  |          |                |               | 1          |           |                                  |                  |
| <b>TOTAL</b> | <b>25</b>   | <b>2</b> | <b>5</b>         | <b>9</b> | <b>6</b>       | <b>8</b>      | <b>131</b> | <b>18</b> | <b>47</b>                        | <b>37</b>        |

**DUAL-USE ITEMS AND TECHNOLOGY TRANSACTIONS EXEMPT FROM THE JIMDDU PRELIMINARY REPORT AND FROM END USE CONTROL DOCUMENTS - 2009**

| Category     | Exemption from the Board Report                          |
|--------------|--|
|              | Member countries of international non-proliferation fora |
| 1            | 156  |
| 2            | 7  |
| 3            | 35   |
| 5            | 1  |
| <b>TOTAL</b> | <b>199</b>   |



## ANNEX V. SPANISH STATISTICS AS CONCERNS THE UNITED NATIONS CONVENTIONAL ARMS REGISTER

Information regarding international export of conventional arms, small arms and light weapons.

### Exports

Country submitting information: Spain

National contact point: Ministry of Defence (DGAM/SDG REIN)

Calendar year: 2009

| Conventional arms                          |                       |                 |   |                                       |                         |                                 |
|--|-----------------------|-----------------|---|---------------------------------------|-------------------------|---------------------------------|
| A  | B                     | C               | D                                       | E                                     | Observations            |                                 |
| Categories (I-VII)                         | End importer state(s) | Number of items | Country of origin (if not the exporter) | Intermediate location (if applicable) | Description of the item | Comments regarding the transfer |
| I. Tanks                                   |                       |                 |   |                                       |                         |                                 |
| II. Armoured combat vehicles               | Ghana                 | 10              |   |                                       | VAMTAC                  | EUD                             |
| III. Large calibre artillery systems       |                       |                 |   |                                       |                         |                                 |
| IV. Combat aircraft                        |                       |                 |   |                                       |                         |                                 |
| V. Attack helicopters                      |                       |                 |   |                                       |                         |                                 |
| VI. Warships                               | Malaysia<br>Norway    | 1<br>1          |   |                                       | Submarine<br>Frigate    | EUD<br>IIC                      |
| VII. Missiles and a) missile launcher d b) |                       |                 |   |                                       |                         |                                 |

| Small arms and light weapons                               |   |                     |   |                                       |                         |                                 |
|--|---|---------------------|---|---------------------------------------|-------------------------|---------------------------------|
| A  | B   | C                   | D                                       | E                                     | Observations            |                                 |
| Category VIII  | End importer state(s)                         | Number of items     | Country of origin (if not the exporter) | Intermediate location (if applicable) | Description of the item | Comments regarding the transfer |
| <b>Small arms</b>  |   |                     |   |                                       |                         |                                 |
| 1. Revolvers and automatic pistols                         |   |                     |   |                                       |                         |                                 |
| 2. Rifles and Carabines                                    | Chile<br>Cuba                                 | 1<br>1              |   |                                       |                         | EUU<br>"                        |
| 3. Machine guns  |   |                     |   |                                       |                         |                                 |
| 4. Assault rifles  |   |                     |   |                                       |                         |                                 |
| 5. Light machine guns                                      | Chile<br>Greece                               | 15<br>3             |   |                                       |                         | EUD<br>IIC                      |
| 6. Other   |   |                     |   |                                       |                         |                                 |
| <b>Light weapons</b>                                       |   |                     |   |                                       |                         |                                 |
| 1. Heavy machineguns                                       |   |                     |   |                                       |                         |                                 |
| 2. Portable grenade launcher with and without support      | Ecuador<br>Estonia<br>Portugal<br>Switzerland | 6<br>203<br>56<br>5 |   |                                       |                         | EUD<br>IIC<br>"<br>"            |
| 3. Portable anti-tank cannons                              |   |                     |   |                                       |                         |                                 |
| 4. Recoilless rifles                                       |   |                     |   |                                       |                         |                                 |
| 5. Portable anti-tank missile launchers and rocket systems |   |                     |   |                                       |                         |                                 |
| 6. Mortars under 75mm calibre                              | Chile<br>Denmark<br>United Kingdom            | 18<br>1<br>10       |   |                                       |                         | EUD<br>IIC<br>"                 |
| 7. Other   |   |                     |   |                                       |                         |                                 |

Note. – Recipients are the Armed Forces and law enforcement officials and the items are complete except for parts and ammunition.



## ANNEX VI. SPANISH STATISTICS AS CONCERNS THE OSCE DOCUMENT ON SMALL ARMS AND LIGHT WEAPONS

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### EXPORTS AUTHORISED IN 2009 □ Annual information regarding the export of small arms and light weapons

Reporting country Spain

Reporting year: 2009

Original language: Spanish

Report date: May 2010

| Category and sub-category                                      | End importing State | Number of items | State of origin (if not the importer) | Intermediate situation (if applicable) | Commentary on the transfer* |
|--|---------------------|-----------------|---------------------------------------|--|-----------------------------|
| <b>A. Small arms</b>   |                     |                 |                                       |  |                             |
| 1. Revolvers and automatic pistols                             |                     |                 |                                       |  |                             |
| 2. Rifles and Carabines  |                     |                 |                                       |  |                             |
| 3. Submachine guns   |                     |                 |                                       |  |                             |
| 4. Assault rifles  |                     |                 |                                       |  |                             |
| 5. Light machine guns  | Greece              | 3               |                                       |  | IIC                         |
|  | Czech Rep.          | 6               |                                       |  | EUD                         |
| <b>B. Light weapons</b>  |                     |                 |                                       |  |                             |
| 1. Heavy machine guns  |                     |                 |                                       |  |                             |
| 2. Portable grenade launchers with and without support         | Estonia             | 203             |                                       |  | IIC                         |
|  | Portugal            | 56              |                                       |  | "                           |
|  | Switzerland         | 5               |                                       |  | "                           |
| 3. Portable anti-aircraft cannons                              |                     |                 |                                       |  |                             |
| 4. Portable anti-tank cannons                                  |                     |                 |                                       |  |                             |
| 5. Recoilless cannons  |                     |                 |                                       |  |                             |
| 6. Launchers for portable anti-tank missile and rocket systems |                     |                 |                                       |  |                             |
| 7. Launchers for portable anti-aircraft missiles               |                     |                 |                                       |  |                             |
| 8. Mortars under 100 mm calibre                                | Denmark             | 1               |                                       |  | IIC                         |
|  | United Kingdom      | 10              |                                       |  | "                           |

\* Control document.

Note. – Recipients are the Armed Forces and Police and Security Forces of the OSCE countries and the items are complete except for parts and ammunition.

## EXPORTS COMPLETED IN 2009

## Annual information regarding the export of small arms and light weapons

Reporting country Spain  
Original language: Spanish

Reporting year: 2009  
Report date: May 2010

| Category and sub-category                                       | End importing State                | Number of items | State of origin (if not the importer) | Intermediate situation (if applicable) | Commentary on the transfer* |
|---|------------------------------------|-----------------|---------------------------------------|--|-----------------------------|
| <b>C.. Small arms</b>   |                                    |                 |                                       |  |                             |
| 6. Revolvers and automatic pistols                              |                                    |                 |                                       |  |                             |
| 7. Rifles and Carabines   |                                    |                 |                                       |  |                             |
| 8. Sub-machine guns   |                                    |                 |                                       |  |                             |
| 9. Assault rifles   |                                    |                 |                                       |  |                             |
| 10. Light machine guns  | Greece                             | 3               |                                       |  | IIC                         |
| <b>D. Light weapons</b>   |                                    |                 |                                       |  |                             |
| 9. Heavy machine guns   |                                    |                 |                                       |  |                             |
| 10. Portable grenade launchers with and without support         | Estonia<br>Portugal<br>Switzerland | 203<br>56<br>5  |                                       |  | IIC<br>"<br>"               |
| 11. Portable anti-aircraft cannons                              |                                    |                 |                                       |  |                             |
| 12. Portable anti-tank cannons                                  |                                    |                 |                                       |  |                             |
| 13. Recoilless cannons  |                                    |                 |                                       |  |                             |
| 14. Launchers for portable anti-tank missile and rocket systems |                                    |                 |                                       |  |                             |
| 15. Launchers for portable anti-aircraft missiles               |                                    |                 |                                       |  |                             |
| 16. Mortars under 100 mm calibre                                | Denmark<br>United Kingdom          | 1<br>10         |                                       |  | IIC<br>"                    |

\* Control document.

Note. – Recipients are the Armed Forces and Police and Security Forces of the OSCE countries and the items are complete except for parts and ammunition.



## ANNEX VII. DEFENCE AND DUAL-USE MATERIAL EMBARGOES CURRENTLY IN FORCE.

| Countries                | United Nations                     | European Union                        | OSCE              |
|--------------------------|------------------------------------|---------------------------------------|-------------------|
| Armenia                  | March 2000 (v)                     |                                       | March 2000 (v)    |
| Azerbaijan               |                                    |                                       | February 1992 (*) |
| China                    |                                    | June 1989 (v)                         |                   |
| Ivory Coast              | November 2004                      | November 2004                         |                   |
| Eritrea                  | December 2009                      | February 2010                         |                   |
| Iraq                     | August 1990                        | August 1990                           |                   |
| Iran                     | March 2007 (v)                     | April 2007                            |                   |
| Lebanon                  | August 2006                        | September 2006                        |                   |
| Liberia                  | March 1992<br>December 2006 (Mod.) | May 2001<br>February 2008 (Mod.)      |                   |
| Myanmar (Burma)          |                                    | July 1991<br>April 2006 (Mod.)        |                   |
| Dem. Rep. Congo (Zaire)  | July 2003<br>August 2007 (Mod.)    | April 1993<br>October 2007 (Mod.)     |                   |
| Republic of Guinea       |                                    | October 2009                          |                   |
| Democratic Rep. of Korea | October 2006                       | November 2006<br>January 2008 (Mod.)  |                   |
| Sierra Leone             | June 1998<br>May 2000 (Mod.)       | June 1998                             |                   |
| Somalia                  | January 1992<br>July 2009 (Mod.)   | December 2002<br>February 2009 (Mod.) |                   |
| Sudan                    | July 2004                          | March 1994<br>May 2005 (Mod.)         |                   |
| Zimbabwe                 |                                    | February 2002<br>February 2010 (Mod.) |                   |

The United Nations (January 2002) and the European Union (May 2002) agreed to prohibit the export of arms and all types of related equipment to Osama Bin Laden, members of Al-Qaeda and the Taliban and to other individuals, groups and organisations related to these.

The embargoes reflected in this table exclude prohibitions on the export of non-lethal equipment for humanitarian purposes or for certain International Organisations and United Nations personnel as well as those used for mine removal actions except in the case of China. In the case of the embargoes against Iraq, Lebanon, the Democratic Republic of Congo, Liberia and Sierra Leone, the prohibition of arms shipments to their governments and international peace-keeping forces is excluded. The embargo on North Korea also applies to items, equipment, materials, items and technology related to nuclear and missile programmes.

(\*) The region of Nagorno-Karabakh is subject to an OSCE embargo.

(v) Voluntary embargo.

(Mod.) Date of modification.

| Countries               | United Nations  | European Union                 | Restrictive measure  |
|-------------------------|---|--------------------------------|--|
| Non-governmental agents | April 2004 (1540)<br>April 2006 (1673)  |                                | Prevent all transfer for use in WMD and their delivery vehicles  |
| North Korea             | July 2006 (1695)<br>October 2007 (1718)<br>June 2009 (1874)   | November 2006<br>December 2009 | Prevent all transfer of conventional weapons, dual-use items and luxury items  |
| Iran                    | July 2006 (1696)<br>December 2006 (1737)<br>March 2007 (1747) (v)<br>March 2008 (1803)<br>September 2008 (1835) | February 2007<br>December 2009 | Prevent all transfer of arms and related material and dual-use items except when it is certain that these cannot be used for WMD or their delivery vehicles. |

The United Nations Resolution calls on Member States to prevent the direct or indirect supply, sale or transfer through their territories or by their nationals, or using their flag vessels or aircraft, of items and their related technology, including technical or financial assistance, investments, brokering or other related services, having to do with unlawful uses and the transfer of persons related with the proliferation of WMD.

WMD: weapons of mass destruction  
(v) Voluntary embargo.

## ANNEX VIII. LINKS

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### International fora web pages

1. United Nations

<http://www.un.org>

2. European Union

<http://europa.eu>

3. Organisation for Security and Co-operation in Europe (OSCE)

<http://www.osce.org>

4. Chemical Weapons Convention (CWC)

<http://www.opcw.org>

<http://www.mityc.es/industria/anpaq>

5. Biological and Toxin Weapons Convention (BTWC)

<http://www.opbw.org>

6. *Australia Group (AG)*

<http://www.australiagroup.net>

7. International Atomic Energy Agency (IAEA)

<http://www.iaea.org>

8. Nuclear Suppliers Group (NSG)

<http://www.nsg-online.org>

9. Wassenaar Arrangement (WA)

<http://www.wassenaar.org>

10. Missile Technology Control Regime (MTCR)

<http://www.mtcr.info>

11. Zangger Committee

<http://www.zanggercommittee.org>

### Other links of interest

1. Stockholm International Peace Research Institute

<http://www.sipri.org>

2. Small Arms Survey

<http://www.smallarmssurvey.org>