



Federal Ministry
for Economic Affairs
and Energy

Report by the Government of the Federal Republic of Germany on Its Policy on Exports of Conventional Military Equipment in 2017

2017 Military Equipment Export Report

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Introduction

The Federal Government's report on exports of military equipment provides the Bundestag and the public with a comprehensive picture of German policy on the export of military equipment – including in the international context – and furnishes information about the licences issued for the export of military equipment and the actual exports of war weapons in the reference year. In the Military Equipment Export Reports, which are published periodically, the Federal Government makes an important contribution towards an objective and informed debate on the issue of exports of military equipment.

1. A restrictive and transparent policy on exports of military equipment

The Federal Government is pursuing a restrictive and responsible policy on the export of military equipment, also in line with the Coalition Agreement. Decisions on licences for exports of military equipment are taken by the Federal Government on a case-by-case basis and in the light of the respective situation following careful scrutiny including consideration of foreign and security policy aspects. This decision is based on the statutory requirements of the War Weapons Control Act¹, the Foreign Trade and Payments Act², and the Foreign Trade and Payments Ordinance³, as well as on the Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment of 2000 (“Political Principles”)⁴, the Council Common Position of the EU defining common rules governing control of exports of military technology and equipment of 8 December 2008 (“EU Common Position”)⁵ and the Arms Trade Treaty (ATT)⁶. Respect for human rights in the recipient country plays an important role in the decision-making process. If there is sufficient suspicion that the military equipment will be misused for internal repression or other ongoing and systematic violations of human rights, a licence is not issued as a matter of principle.

In its decisions relating to export control policy, the Federal Government upholds its Alliance commitments and its responsibility for European and international security. Germany and its allies were again confronted with great security policy challenges in 2017 in view of terrorist threats and numerous international crises. Exports of military equipment which serve cooperation with our Alliance partners or help to equip them also uphold Germany's own security policy interests. This is also true of exports to third countries⁷ which, for example, can help to secure borders or to tackle international terrorism.

For example, in the context of the Federal Government's Enable & Enhance Initiative, Marder infantry fighting vehicles were exported to Jordan to improve its border security, paid for with German funding. The aim of the Enable & Enhance Initiative is to enable selected partners, including regional organisations and allies, to manage throughout the entire crisis cycle their own crisis prevention, crisis management, post-crisis rehabilitation and peace consolidation and thus to contribute to regional stability. Enable & Enhance projects cover the fields of training, advice and equipment for civilian and military security forces. They thus take a comprehensive approach.

The Federal Government attaches great importance to creating transparency of decisions on exports of military equipment. For the fifth time, the Federal Government is publishing the German version of the report before the summer break. In addition to this, in June 2017 (i. e. before the elections to the German Bundestag in September 2017), an interim report was published covering policy on exports of military equipment in the first four months of 2017.

Also, the Federal Government discloses final decisions on export licences taken by the Federal Security Council to parliament. Parliament was informed several times about final decisions on export licences by the Federal Security Council in 2017. In each case, the Federal Government ex-

1 War Weapons Control Act in the version promulgated on 22 November 1990 (Federal Law Gazette I, p. 2506), last amended by Article 6(2) of the Act of 13 April 2017 (Federal Law Gazette I p. 872).

2 Foreign Trade and Payments Act of 6 June 2013 (Federal Law Gazette I p. 1482), last amended by Article 4 of the Act of 20 July 2017 (Federal Law Gazette I p. 2789).

3 Foreign Trade and Payments Ordinance of 2 August 2013 (Federal Law Gazette I p. 2865), last amended by Article 1 of the Ordinance of 13 December 2017 (Federal Gazette AT 20.12.2017_V1).

4 See Annex 1a.

5 See Annex 2.

6 See Annex 3.

7 Third countries are all countries which do not belong to the EU, NATO or NATO-equivalent countries.

plained the main reasons for the respective decision to the Bundestag's Economic Affairs and Energy Committee.

The Federal Government again answered a large number of questions in parliament in 2017 about a wide range of aspects of military equipment export policy; the answers can be found (in German) at www.bmwi.de.

2. Particularly strict approach to licensing exports of small arms and to post-shipment controls

The Principles for the Issue of Licences for the Export of Small and Light Weapons, Related Ammunition and Corresponding Manufacturing Equipment to Third Countries (Small Arms Principles)⁸, which were adopted in March 2015 and which aim to substantially reduce the risk of the spread of small arms, have proved their worth. The first test in practice of the post-shipment controls introduced in addition to these principles took place in 2017 (cf. also Section I. 4.). These are controls which German authorities can exercise on the spot following the supply of military equipment to the relevant state recipient. In 2017, the first on-the-spot controls to verify the actual final destination of small arms were carried out at state recipients in India and the United Arab Emirates. They did not reveal any problems. Further post-shipment controls are being prepared. By introducing the post-shipment controls on a pilot basis, Germany is a pioneer, alongside just a few other countries, at European and international level, and was the only EU Member State to carry out such controls in 2017. Other EU Member States have since announced their intention to introduce similar verification. The Federal Government will continue to devote special attention to the control of small arms exports; in line with the Coalition Agreement, licences for exports of small arms to third countries will in future not generally be issued.

3. Licensing figures for 2017

The government's policy on the export of military equipment is based on careful case-by-case scrutiny. A generalised numbers-based analysis on the basis of the pure licensing values for a reference period is not a useful means of assessing how restrictive the policy on exports of military equipment is. Any such assessment rather requires a case-based evaluation of licensing decisions in terms of the country of destination, the type of military equipment, and the envisaged use for the equipment. The definition of military equipment embraces a wide range of goods which extends beyond the terms generally used in the public debate

such as "weapons" or "tanks". The goods covered by the Military Equipment Export List⁹ also include items like mine-clearance equipment, radio equipment, NBC protection equipment, safety glass, and special armoured vehicles which not least serve to protect the personnel and facilities of embassies and United Nations peace missions. In the reference period, for example, four licences were issued for the delivery to Syria of vehicles to protect UN staff.

An objective view must also bear in mind that the statistics are regularly affected by the licence values of individual or several large projects. Also, decisions about the licences for such large-scale projects (e.g. frigates or submarines) are generally taken several years before the actual export. This means that the corresponding licensing decisions only feed into the statistics for exports of military equipment after quite some delay. For this reason, licensing values cannot be considered separately from decisions in previous years or previous legislative terms.

Individual licences

In 2017, individual licences (i.e. licences for single transactions) worth €6.24 billion were issued for the export of military equipment (2016: €6.85 billion). Here, a proportion of 39.2% (2016: 46.4%) went to licences for exports to EU/NATO and NATO-equivalent countries.

Export licences worth €3.795 billion (2016: €3.67 billion) were issued for third countries. The value of licences for third countries was largely determined by a few high-value contracts. These included licences for the delivery of a frigate to the Algerian navy and for a submarine to the Egyptian navy; these account for a substantial proportion of the total value of licences for third countries.

Collective export licences

37 collective export licences with a total value of €325 million were issued in 2017. Collective export licences are also issued on the basis of case-by-case scrutiny (Section 8 Foreign Trade and Payments Act in conjunction with Section 4 Foreign Trade and Payments Ordinance); these licensing decisions are covered by the same political principles as govern individual licences. Collective licences are mainly issued in connection with defence cooperation between EU and NATO partners. The collective export licences primarily refer to the production phase of an item of military equipment, during which military equipment is frequently imported and exported in the context of the industrial collaboration. Also, movements of equipment relating

⁸ See Annex 1b.

⁹ See Annex 4.

to maintenance and repair are handled via collective export licences. The licences can be used both for temporary and for final exports. They permit any number of movements of goods up to a certain value based on the likely need to export the goods in the course of the multiple movements. The collective export licences are issued for a maximum value. There are varying degrees of take-up of the approved maximum value; it does not provide any indication of actual shipments of goods – not least because reimports are not discounted. Equating collective export licences with individual export licences or actual exports, or adding up the figures, therefore makes no sense for systemic reasons.

A comparison of figures for collective export licences for 2017 (€325 million), 2016 (€58.7 million) and 2015 (€4.96 billion) shows that the total figure is subject to sharp fluctuations. In view of the long-term nature of the projects for which collective export licences are issued, and the possibilities to extend them (up to a total of 10 years), there may be large numbers of applications and of licences in a calendar year, and there may also be years with a small amount of licences. These statistical figures are therefore not meaningful in terms of an assessment of policy on the export of military equipment.

I. The German Control System for Military Equipment Exports

1. The German export control system

Germany's military equipment exports are governed by the Basic Law, the War Weapons Control Act and the Foreign Trade and Payments Act in conjunction with the Foreign Trade and Payments Ordinance. The Political Principles of the Federal Government, the EU Common Position and the ATT provide the guidelines for the licensing authorities.

The Foreign Trade and Payments Act and the Foreign Trade and Payments Ordinance require the licensing of all military equipment exports. The military equipment is listed in full in Part I Section A of the Export List (EL, Annex to Foreign Trade and Payments Ordinance).¹⁰ It is broken down into 22 positions (No. 0001 to No. 0022) that have their own sub-divisions. As with the EU's Common Military List, these positions are closely oriented to the corresponding list of the Wassenaar Arrangement (Munitions List), which the Federal Government has thereby converted into national law to meet its political commitments (more details on the Wassenaar Arrangement may be found under II. 4. and on the EU under II. 3.).

Some of the military equipment articles falling under the Export List are also war weapons as defined by Art. 26(2) of the Basic Law and the War Weapons Control Act. Pursuant to Section 1 subsection 2 of the War Weapons Control Act, war weapons are items, substances or organisms that are capable alone or in conjunction with each other or with other items, substances or organisms of causing disruption or damage to persons or things and of being used as a means of violence in armed conflicts between states. They are displayed in the 62 positions of the War Weapons List (Annex to the War Weapons Control Act)¹¹ and listed in full in Part I Section A of the Export List. For the export of these weapons, a licence must be obtained under the War Weapons Control Act ("transport authorisation for the purpose of export"), and additionally an export licence pursuant to the Foreign Trade and Payments Act in conjunction with the Foreign Trade and Payments Ordinance. By contrast, the export of such military items in Part I Section A of the Export List as are not war weapons ("other military equipment") requires – merely – a licence pursuant to the Foreign Trade and Payments Act in conjunction with the Foreign Trade and Payments Ordinance.

The War Weapons Control Act provides that all activities in connection with war weapons (production, acquisition and transfer of actual control, every type of transport or brokering transaction) require prior licensing by the Federal Government (cf. Sections 2 - 4a of the War Weapons Control Act). The Federal Ministry for Economic Affairs and Energy is the licensing agency for commercial transactions; the Federal Ministry of Finance, Federal Ministry of the Interior, Building and Community, and Federal Ministry of Defence, whose portfolios include the handling of war weapons, are responsible for the respective approvals pursuant to the War Weapons Control Act falling within their scope of competence.

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

In all of the other cases, the Federal Government decides on the issuance of export licences for war weapons in accordance with the discretion it must exercise under the Political Principles, the EU Common Position and the ATT.

The export of "other military equipment" is governed by the export rules in the Foreign Trade and Payments Act in conjunction with the Foreign Trade and Payments Ordinance. In accordance with the principle of the freedom of external economic transactions, on which the systematic approach of the Foreign Trade and Payments Act is based, the applicant has a fundamental right to the issuance of an export licence (Section 1 of the Foreign Trade and Payments Act), unless a licence may be denied because of a violation of interests protected under Section 4 subsection 1 of the Foreign Trade and Payments Act. Section 4 Subsection 1 of the Foreign Trade and Payments Act states as follows:

¹⁰ See Annex 4.

¹¹ See Annex 5.

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

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

As is also the case for war weapons, the Federal Government takes decisions on the issuance of export licences for other military equipment in keeping with the Political Principles, the EU’s Common Position and the ATT.

The Federal Office for Economic Affairs and Export Control, which is a subordinate agency of the Federal Ministry for Economic Affairs and Energy, is responsible for granting/denying export licences under the Foreign Trade and Payments Act in conjunction with the Foreign Trade and Payments Ordinance.¹² The Federal Office for Economic Affairs and Export Control submits projects of particular political impact to the Federal Government for its assessment and decision from a political perspective. Since 2014, the Federal Office for Economic Affairs and Export Control has had a hotline to provide applicants with information about the status of the licensing procedures. Also, they receive information about the processing status via the electronic application procedure.

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

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

Advance inquiries relating to war weapons must be submitted to the Federal Foreign Office; advance inquiries relating to other military equipment must be filed with the Federal Office for Economic Affairs and Export Control. The answers to advance inquiries are governed by the same criteria as applications for export licences.

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

2. Guidelines for the licensing of exports of military equipment

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

These Political Principles contain the following main elements:

- The preservation of human rights is of particular importance for every export decision, irrespective of the envisaged recipient country. Military equipment exports are therefore not approved as a matter of principle where there is “sufficient suspicion” that the military equipment will be misused for internal repression or other ongoing and systematic violations of human rights. In this context the human rights situation in the recipient country is a major factor to be considered. The Political Principles are more restrictive than the EU Common Position (more detail on this aspect below, under II. 3.), which rules out export licences only where a “clear risk” exists.
- Following the General Section, a distinction is made between EU, NATO, and NATO-equivalent countries (Australia, New Zealand, Japan, Switzerland) on the one hand, and other countries (“third countries”) on the other. For the first group of countries, licences are the rule and denials the exception; for the second group, there is a restrictive policy with respect to licence issuance.

¹² www.bafa.de

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

The export of war weapons is approved only in exceptional cases where, as justified by the individual situation, special foreign policy or security policy interests of the Federal Republic of Germany support the granting of a licence. For other military equipment, licences are granted only insofar as such action does not endanger the interests to be protected under foreign trade and payments statutes (Section 4 subsection 1 of the Foreign Trade and Payments Act as cited above under 1.).

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

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

respect to international humanitarian law, as well as in the areas of non-proliferation, military weapons, and arms control.

The EU Common Position of 8 December 2008¹³ contains eight specific criteria for decisions on export applications (cf. Annex 2, Article 2) and is an integral element of the Political Principles. In the case of each application the Federal Government conducts a very thorough examination in the light of the situation in the region and the relevant country, including the significance of the exports in question for the preservation of regional peace, security and stability (Criterion Four of the EU Common Position). The examination also attaches special significance to the observance of human rights in the country of destination (Criterion Two of the Common Position) and the dangers of misuse of the specific military equipment. It is appropriate to take a differentiated view in the light of the varying political developments in the countries and regions and in line with the aforementioned principles governing the decision-making.

The ATT entered into force on 24 December 2014. The Treaty has been signed by 130 countries, and currently (as of May 2018) has 95 contracting parties. Germany was one of the very first signatories of the ATT. This Treaty establishes the first internationally binding uniform minimum standards for the export of military equipment. The core of the Treaty is formed by Articles 6 and 7, which stipulate criteria for the scrutiny of applications for export licences. Section II. 7. provides details of the Arms Trade Treaty.

3. Small Arms Principles

In internal and cross-border conflicts, by far the greatest share of human casualties are caused by the use of small arms and light weapons ("small arms"). National control measures tend to be underdeveloped in conflict areas. In many cases, the misuse of small arms by criminal or militant groups impedes economic and social development and frequently contributes to a violent escalation of conflicts. The Federal Government therefore applies particularly strict standards when issuing licences for small-arms exports to third countries.

The main guidance for decisions on whether to issue export licences for small arms to third countries continues to be the Principles for the Issue of Licences for the Export of Small and Light Weapons, Related Ammunition and Corresponding Manufacturing Equipment to Third Countries (Small Arms Principles)¹⁴, which were adopted in March

13 Cf. Section II. 3. for details.

2015 and have imposed stricter rules on the export of small arms. A particularly strict approach is taken to the licensing of small arms exports. The intention is to further reduce the risk of stockpiling and proliferation of small arms. In particular, the Small Arms Principles state that no licences to export components and technology to third countries (e.g. in the context of the granting of licences to manufacture) will normally be granted where such exports would lead to the establishment of a new manufacturing line for small arms or corresponding ammunition.

The end-use certificates for third countries must also include the commitment that, in addition to the usual re-export provision (reexport may only take place with the approval of the Federal Government) the small arms in the country of destination cannot be passed on to another end-user in the country of destination without the Federal Government's approval.

Also, for the export of small arms to third countries, the "New for Old" principle is applied. More specifically, this means that the governments of countries receiving small arms must commit to destroying the weapons that are being replaced by the imported arms. If a credible need for additional weapons is to be met, i.e. no "old" weapons are to be replaced, the principle "New, destroy when discarded" is applied. In this case, the recipient has to promise to destroy the new weapons after they have been discarded. The country of destination must undertake corresponding commitments in the respective end-use certificates which are submitted in the context of the export licence approval procedure.

The Federal Government is continuing to call for a harmonisation of policy on the export of military equipment at European level with a view to controls which are as far-reaching as possible. Germany will continue to advocate the widespread use of the principle "New for old" and its variant "New, destroy when discarded" and the system of post-shipment controls at European and international level.

4. Controlling end-use (post-shipment controls)

Pursuant to the principles governing export control policy, licences for the export of military equipment are only issued if it has been ensured what the end-use of these goods will be in the country of final destination. Prior to the issuing of a licence, all the available information – particularly assur-

ances about end-use – is thoroughly checked and assessed by the Federal Government. If there are doubts about whether the end-use is as stated, export applications will be rejected.

In addition to this, the Federal Government decided in July 2015 to introduce post-shipment controls for certain German exports of military equipment on a pilot basis, i.e. controls which can take place on the spot once the military equipment has been dispatched to the respective state recipient.¹⁵ The governmental recipients of small and light weapons and certain firearms (pistols, revolvers, sniper rifles) in third countries must now agree to a subsequent check on the end-use of the military equipment in the country of destination when the export licence is issued.

Corresponding post-shipment controls can be used to determine whether the countries of destination are adhering to their commitments in the end-use certificate, i.e. whether the exported weapons are actually received by, kept by and remain with the final recipient cited in it. If violations of the end-use certificate are identified or permission to undertake on-the-spot controls is refused despite its having been agreed to in the end-use certificate, in accordance with Section IV No. 4 of the Political Principles it will basically be excluded from future exports of war weapons and other military equipment similar to war weapons until these circumstances have been remedied.

In 2017, the first on-the-spot controls to verify the actual final destination of small arms were carried out at state recipients in India and the United Arab Emirates. They did not reveal any problems. Further post-shipment controls are being prepared. The implementation of further controls depends on factors on which the Federal Government has no influence, such as the production or physical delivery of the military equipment. There can be considerable delays in this following the issuing of the export licence.

The Federal Office for Economic Affairs and Export Control (BAFA) and the relevant German mission abroad are charged with preparing and implementing the post-shipment controls. By introducing the post-shipment controls on a pilot basis, Germany is a pioneer, alongside just a few other countries, at European and international level. Germany was the only EU Member State to carry out such controls in 2017. Other EU Member States have since announced their intention to introduce similar verification.

¹⁴ See Annex 1b.

¹⁵ See Annex 1c.

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

1. Disarmament agreements

In certain areas, export control policy for conventional military equipment is heavily influenced by disarmament agreements that are binding under international law. The Federal Government supports corresponding initiatives and emphatically advocates strict compliance with internationally agreed rules.

Furthermore, it advocates and supports all steps to facilitate worldwide recognition of these commitments and promotes projects which can assist the specific implementation of these international standards.

The Federal Government's activities in this area are outlined in detail in the Annual Disarmament Report¹⁶, to which reference is made.

2. Arms embargoes

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

Details of the arms embargoes in place in 2017 are listed in Annex 6.

3. Common Foreign and Security Policy of the EU

The Federal Government actively advocates further harmonisation of export controls at EU level in order to put in place control standards that are as uniform and high as possible and to create a level playing field for German industry. The Federal Government succeeded in anchoring further work towards the goal of enhanced cooperation and convergence of export controls for military equipment within the Common Foreign and Security Policy (CFSP) of the EU as a priority in the programme of work of the Council Working Party on Conventional Arms Exports (COARM) in

Brussels for 2018. The programme of work also includes dialogue on aspects like technology transfer, transparency initiatives, post-shipment controls, export controls for small arms and new-for-old mechanisms and aims to publish the 20th annual report on the implementation of the Common Position by the end of 2018.

The legally binding EU Common Position contains eight criteria (cf. Annex 2, Article 2) to be used by all member states in decisions on applications for export licences. Through its incorporation in the Political Principles of the Federal Government, the Common Position is an integral part of Germany's policy on the export of military equipment. Its operative part contains rules aimed at improving coordination between the licensing bodies. For example, all member states must be informed about rejections of export licence applications. If, despite the existence of such a notification of denial by a different member state, a member state nevertheless intends to authorise an "essentially identical" transaction, it must first consult the relevant member state. These provisions serve to increase the transparency of the controls on exports of military equipment amongst the member states throughout the European Union, to further their harmonisation, and to foster the creation of a level playing field. The regular exchange of information about various countries of destination in the context of COARM also serves this purpose.

Further to this, the EU's User's Guide regulates details of the denial procedure and provides detailed pointers for a uniform interpretation and application of criteria¹⁷. The Council concluded the work on updating it in 2015. This explicitly confirmed that the risk of usage in the context of gender-related violence forms part of the risk assessment to be undertaken under criterion 2 (human rights).

In February 2018, the Council adopted the nineteenth common annual report on the implementation of the Common Position¹⁸. In line with the Council's conclusions of July 2015, 2018 will see an evaluation of the implementation and attainment of the goals of the Common Position, ten years after its adoption.

The dialogue with the European Parliament, EU accession candidates and third countries that have committed them-

¹⁶ Annual Disarmament Report 2017, Bundestag printed paper 19/1380 of 23 March 2018, at: <https://www.auswaertiges-amt.de/blob/271790/b85b3378685a17cd7f729e696d103fe4/170531-jab-2017-data.pdf>

¹⁷ <http://data.consilium.europa.eu/doc/document/ST-10858-2015-INIT/en/pdf>

¹⁸ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2018:056:0001:0559:EN:PDF>

selves to applying the principles of the EU Common Position, and with international NGOs and business representatives, was further developed and deepened in 2017.

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

4. Wassenaar Arrangement

The Wassenaar Arrangement (WA)¹⁹ was co-founded by Germany in 1996 to help improve transparency, the exchange of views and of information and to increase the level of responsibility in the transfer of conventional military equipment and of dual-use goods and technologies which can serve their manufacture. Following India's accession in December 2017, 42 states are now signatories of this politically binding convention (all the EU member states except Cyprus as well as Argentina, Australia, Canada, India, Japan, Republic of Korea, Mexico, New Zealand, Norway, Russia, South Africa, Switzerland, Turkey, Ukraine, United States). The participating countries aim to harmonise their controls of the export of such goods with a view to preventing destabilising stockpiling of conventional military equipment. The cooperation amongst the WA signatories generally serves to develop and deepen international export control standards. Further to this, the WA provides that the participating countries should inform one another about denied export licences for dual use goods to non-participating countries.

The core element of the Wassenaar Arrangement in terms of military equipment export control is the ongoing development of the "Munitions List", i.e. the list of military equipment to be subject to controls by the signatory states. The List determines the content of the EU's Common List of Military Equipment and thus also of Part I Section A of the German Export List. In particular, the increase in transparency and the step-by-step harmonisation of the national military equipment export policies are significant interests, and Germany remains a firm advocate of these.

Also, amongst other things, the Federal Government uses the WA to advocate the anchoring of key elements of the Federal Government's Small Arms Principles at international level, and particularly the "New for old" principle and the post-shipment controls.

The Federal Government continued to participate actively in the WA in 2017, and contributed particularly to the ongoing updating of the lists of goods and the drafting of recommendations for action. Further to this, it continued its efforts to lend greater importance to the human rights criterion in the WA context.

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

Several pending requests for membership underline the attractiveness of the WA. Germany is actively involved as a co-rapporteur in the evaluation of and support for the applications of two candidate countries wishing to join the WA.

5. UN Register of Conventional Arms

The UN Register of Conventional Arms, adopted by General Assembly Resolution 46/36L of 6 December 1991, has collected information on the import and export of conventional major weapons systems²⁰ and – on a voluntary basis – data on national arms inventories and procurement from national production since 1992. The member countries of the United Nations provide this information by 31 May for the preceding calendar year. Since 2003, there has also been the possibility to report imports and exports of small arms and light weapons. The aim of the register is to build confidence by increasing the level of transparency regarding conventional arms.

So far, a total of 170 countries have reported at least once to the UN Arms Register. However, since 2008 there has been a decline in the tendency to report, especially in Africa, Asia and Latin America. Germany has participated in the reporting system since the register was set up and reports regularly to fulfil its obligations. Further to this, Germany also voluntarily reports exports of small arms and light weapons²¹ (cf. Annex 11).

For the year 2017, the Federal Republic of Germany reported the export of the following war weapons to the UN Conventional Arms Register:

¹⁹ <http://www.wassenaar.org>

²⁰ Reports must be made for weapons classified in the following seven categories: battle tanks, other armoured combat vehicles, large calibre artillery systems, combat aircraft, combat helicopters, warships, missiles and missile launch systems including man portable air defence systems (MANPADS).

²¹ Concerning the terms small arms and light weapons, see III. 1. g).

Table A

Country	Item	Quantity
Algeria	MEKO A-200 AN frigate	1
	RBS-15 guided missile	16
Austria	Individual components/spare parts for Strela	6
Belgium	NH90 NFH helicopter	1
Croatia	Armoured self-propelled howitzer 2000	13
Egypt	Submarine class 209 type 1400	2
Indonesia	Leopard 2 main battle tank	21
Republic of Korea	Taurus guided missile	149
Lithuania	Armoured self-propelled howitzer 2000	12
	OTO Melara cannon	1
Qatar	Leopard 2 main battle tank	12
	Fennek combat vehicles	25
Singapore	Leopard 2 main battle tank	18
United Kingdom	Stormshadow guided missile	2

Going beyond the obligation imposed by the UN Register of Conventional Arms, Germany also voluntarily reported exports of small arms and light weapons to the UN Register of Conventional Arms in 2017 (cf. Annex 11).

6. International discussion on small arms and light weapons

In internal and cross-border conflicts, by far the greatest share of human casualties are caused by the use of small arms and light weapons (“small arms”; e.g. submachine guns, assault rifles, light mortars). However, the majority of casualties due to small arms are caused by violent crime. Developing countries and states with a high level of violence where small arms can be procured inexpensively and illegally are particularly susceptible to this. National control mechanisms are mostly underdeveloped in these countries. Groups involved in organised crime are therefore able to supply themselves with small arms and ammunition on a long-term basis via smuggling routes through permeable borders. In many cases, small arms impede economic and social development and frequently contribute to a violent escalation of conflicts. Quite frequently, violent conflicts

threaten to destroy the success achieved in many years of development work. Further, man-portable air defence systems (MANPADS), which are counted as light weapons, represent a danger to both civil and military aviation due to their high relevance to terrorism. Experience shows that deficiencies in managing and safeguarding the stocks of arms and munitions held by the state in the relevant countries also represent a significant source of illegal transfers.

For this reason, the Federal Government applies particularly strict standards when issuing licences for small-arms exports to third countries in order to ensure coherence with foreign, security and development policies. It is working at international level to prevent the illegal proliferation of such weapons and their ammunition.

With respect to the legal export of small arms, the Federal Government advocates strict and efficient controls. Its goal is – in the framework of the UN Small Arms Action Programme²² and via regional initiatives, e.g. in the context of the EU Small Arms Strategy²³, the OSCE Small Arms Document²⁴, and the OSCE Document on Stockpiles of Conventional Ammunition²⁵ – the achievement of concrete results with obligations for the participating countries to take action which are as binding as possible. Small arms are also a focus of the efforts in the context of the Arms Trade Treaty (see also Section II. 7.). Further to this, the Federal Government assists other states, both bilaterally and in the context of the EU, on the basis of the EU Small Arms Strategy, as they establish national and regional small arms control systems (see the relevant comments in the current Annual Disarmament Report²⁶). This includes the implementation of the International Small Arms Control Standards (ISACS), the development of which was substantially fostered by the Federal Government. The ISACS give the states comprehensive recommendations on the management of small arms and light weapons; these are based on the Small Arms Programme of Action, the International Tracing Instrument and the Firearms Protocol.

The Federal Government is working at international level to have small arms labelled in a manner which makes them permanently traceable. In view of the long lifetime of small arms, it is important to use the latest technology to apply markings to arms in a way that is as permanent and indelible as possible. In recent years, the Federal Foreign Office has organised and funded a range of events and studies on

22 Cf. UN document A/CONF.192/15, at <https://www.un.org/disarmament/convarms/salw/programme-of-action/>

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

24 OSCE Document FSC.DOC/1/00 on Small Arms and Light Weapons of 24 November 2000, at <https://www.osce.org/fsc/20783?download=true>

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

26 Annual Disarmament Report 2017, Bundestag printed paper 19/1380 of 23 March 2018, at <https://www.auswaertiges-amt.de/blob/271790/b85b3378685a17cd7f729e696d103fe4/170531-jab-2017-data.pdf>

the use of modern technologies to label and secure small arms and their ammunition. The Federal Government is also actively pursuing this goal in the UN context.

Mention should also be made in this context of the German involvement in the conclusion of the Arms Trade Treaty, which covers the control of transfers of conventional arms including small arms. Germany is actively advocating the continuing universalisation and effective implementation of the Treaty.

Germany pursues a particularly restrictive policy on the export of small arms. As war weapons they are subject to the particularly strict rules of the “Political Principles” (Annex 1a of this Report), according to which licences for the export of war weapons to third countries may be issued only by way of exception and only in the case of special foreign or security policy interests of the Federal Republic of Germany. In 2017, the Federal Government continued its advocacy of better principles for export controls on small arms. For example, it worked amongst the EU Member States, in the context of the ATT, the Wassenaar Arrangement and the G7 to spread the use of the “New for old” principle and of post-shipment controls as a basis for the responsible control of the export of small arms and light weapons and as a way to help minimise the risks of diversion.

7. Arms Trade Treaty (ATT)²⁷

Unregulated trade in military equipment creates significant dangers and negative effects. They take the form of the regular misuse of weapons to violate human rights and international humanitarian law, and of the existence of a large illegal market. This is the point from which the Arms Trade Treaty operates.²⁸ The ATT entered into force on 24 December 2014. It has been signed by 130 countries, and currently (as of May 2018) has 95 contracting parties. Germany was one of the very first signatories of the ATT.

The first ever agreement under international law on globally applicable, legally binding, minimum standards for cross-border trade in conventional defence-related goods imposes responsibility on states. They commit themselves to controlling exports, imports, transits, trans-shipment and brokering of arms (“transfers”) and in particular to subjecting exports to a structured risk analysis on the basis of internationally comparable decision-making criteria.

Following the taking of major decisions on the Treaty’s institutional design at the first Conference of States Parties to the ATT in 2015, the second Conference of States Parties in 2016 established the conditions for the commencement of the substantive work under the ATT. The last Conference of States Parties, which took place in Geneva in September 2017, mandated the work for important Treaty bodies for the coming year and discussed for the first time what contribution the ATT can make towards the attainment of the Sustainable Development Goals.

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

It is particularly important to offer assistance and support to countries which do not yet have a significant transfer control system. This applies in particular to developing countries. To this end, the Federal Government is supporting a number of initiatives. In 2017, Germany chaired the selection committee for the Voluntary Trust Fund of the ATT, which was set up in 2016 to support administratively weak states with the implementation of the Treaty. In this role, Germany made major progress on the assumption of the Fund’s work, and is currently the second largest donor behind Japan (2016: €500,000, 2017: €370,000, the total volume amounting to €1.9 million). Even before the Voluntary Trust Fund was set up, the Federal Government utilised from 2013 the donor facility in the context of the UN Office for Disarmament Affairs (UNODA) for the implementation of the ATT and for projects relating to small arms (UNSCAR) in order to help states put their structures in place to implement the ATT. In total, €3.5 million was provided in this context up to 2017. That makes Germany the largest donor in the UNSCAR context. In the context of an EU Council decision²⁹ of December 2013, the Federal Government provided a national contribution of nearly 20% of co-finance (in addition to the regular German share of the EU budget) for planned EU measures to support the implementation of the ATT, which were implemented by the Federal Office for

²⁷ Cf. the more detailed article on the Arms Trade Treaty in the 2012 Military Equipment Export Report and the Memorandum on the Arms Trade Treaty: <https://www.auswaertiges-amt.de/blob/254196/1663215627aac722c8a7a3e2271f4124/att-denkschrift-data.pdf>

²⁸ <http://www.un.org/disarmament/ATT/>. Annex 3 contains a link to the text of the treaty.

²⁹ Council decision 2013/768/CFSP of 16 December 2013 on EU activities in support of the implementation of the Arms Trade Treaty, in the framework of the European Security Strategy, at https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=uriserv:OJ.L_.2013.341.01.0056.01.DEU&toc=OJ:L:2013:341:TOC

Economic Affairs and Export Control in 2014 - 2016. The continuation of this ATT outreach project for another three years was decided by the Council of the EU on 29 May 2017, with total funding of €8.3 million³⁰. This follow-up project is being implemented by the Federal Office for Economic Affairs and Export Control, and is co-funded by Germany and France with the EU.

8. Outreach activities

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

Following the conclusion of the EU's outreach activities implemented by the Federal Office for Economic Affairs and Export Control in the field of military equipment (EU Council Working Group COARM) in 2013 and 2014 and of the project financed by the Federal Foreign Office at national level in 2015, the Federal Office for Economic Affairs and Export Control was again mandated to implement COARM out-

reach activities in the period between January 2016 and February 2017 on the basis of Council Decision 2015/2309/CFSP of 10 December 2015. In addition to regional events for south-east European and for eastern European and Caucasian partner countries, individual activities took place for Georgia and Serbia. This project was co-financed by the Federal Foreign Office and the Federal Office for Economic Affairs and Export Control.

Based on Council Decision 2013/768/CFSP of 16 December 2013 on EU activities in support of the implementation of the Arms Trade Treaty in third countries, in the framework of the European Security Strategy, the Federal Office for Economic Affairs and Export Control carried out a wide-ranging EU project (ATT-OP). The main aim of this project was to support the rapid entry into force of the Arms Trade Treaty and to promote its unreserved implementation and universal application. In the 3-year project period (April 2014 - April 2017), support programmes were carried out which were oriented to the national needs of the partner countries selected by the COARM working group, and there were also individual ad-hoc assistance measures and regional seminars. This project was funded by the Federal Foreign Office alongside the EU. 2017 also saw a large number of events with the partner countries. Further to this, it was possible to jointly develop long-term roadmaps for co-operation with nine ATT-OP partner countries. The second - 3-year - phase of the EU ATT-OP was decided by the Council of the EU on 29 May 2017 and commenced in August 2017. This follow-up project is being implemented by the Federal Office for Economic Affairs and Export Control, and is co-funded by Germany and France with the EU.

³⁰ Council Decision (CFSP) 2017/915 of 29 May 2017 on Union outreach activities in support of the implementation of the Arms Trade Treaty, published in the Official Journal of the EU, L 139/38 of 30 May 2017.

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

The following is an outline of licences granted for military equipment exports in 2017; actual exports are also listed for the sub-sector of war weapons. The outline is complete to the extent that disclosure has not been restricted by constitutional and sub-constitutional law.

The Federal Office of Economics and Export Control (BAFA) compiles a list of the export licences granted for all military equipment (war weapons and other military equipment). The figures for reference year 2017 are displayed under III. 1. and outlined in further detail in Annex 8. A detailed overview of the 20 countries of destination with the highest licence values in the reference year can be found in Annex 7.

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

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

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

spective business deals by exporters located in countries with different (and especially with less restrictive) export control policies.

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

Annex 8 presents an outline of military equipment³¹ export licences granted or denied in 2017, broken down by countries of destination. The first part of this Annex shows EU countries, the second part NATO and NATO-equivalent countries (excluding the EU countries), and the third part all other countries (so-called third countries). For the sake of greater transparency in connection with exports to third countries, this country category has a column entitled EL (Export List) positions that provides a more detailed breakdown of the important products. Where applications for a country of destination have been denied, the relevant remarks have been made in the overview with details on the number of denials, the EL positions involved, and the value of the goods.

Corresponding German denial notifications in accordance with the EU Common Position (cf. II. 3.) are listed, citing the reason for denial (number of the respective criterion in the EU Common Position).

a) Individual licences

In 2017 a total of 11,491 individual licence applications for the final³² export of military equipment were approved in Germany (year earlier: 12,215). The total value of the licences – not that of actual exports – was €6.242 billion. This was roughly a €600 million decline against figures for the year 2016 (€6.848 billion).

Individual licences for countries designated in No. II of the Political Principles (EU countries, NATO and NATO-equivalent countries) accounted for €2.448 billion of this amount (previous year: €3.180 billion). Licences for goods with an end-use in EU countries totalled €1.483 billion (previous year: €1.353 billion). Licences for goods with end-use in NATO or NATO-equivalent countries (not including EU countries) had a total value of €965 million (preceding

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

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

year: €1.827 billion). 39.2% (2016: 46.4%) went to EU/NATO and NATO-equivalent countries.

The licence value for exports to third countries amounted to €3.795 billion (previous year: €3.668 billion). The value of licences for third countries was largely determined by a few high-value contracts. These included licences for the delivery of a frigate to the Algerian navy and for a submarine to the Egyptian navy; these account for a substantial proportion of the total value of licences for third countries.

Numerous export licences for recipients in third countries refer to supplies of components to European and American partners, which themselves decide again on whether the export should take place.

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

For exports of military equipment to developing countries³³, individual licences valued at a total of approx. €1,048 million were issued in 2017 (2016: €581.1 million). This is equivalent to 16.79% of the value of all German individual licences for military equipment (the proportion in 2016 was around 8.5%). The leading countries of destination amongst the developing countries in 2017 were Egypt (€708.3 million), India (€131.1 million), Indonesia (€108 million) and Pakistan (€32.4 million). A breakdown of the various types of goods for which export licences were issued can be found in Annex 8.

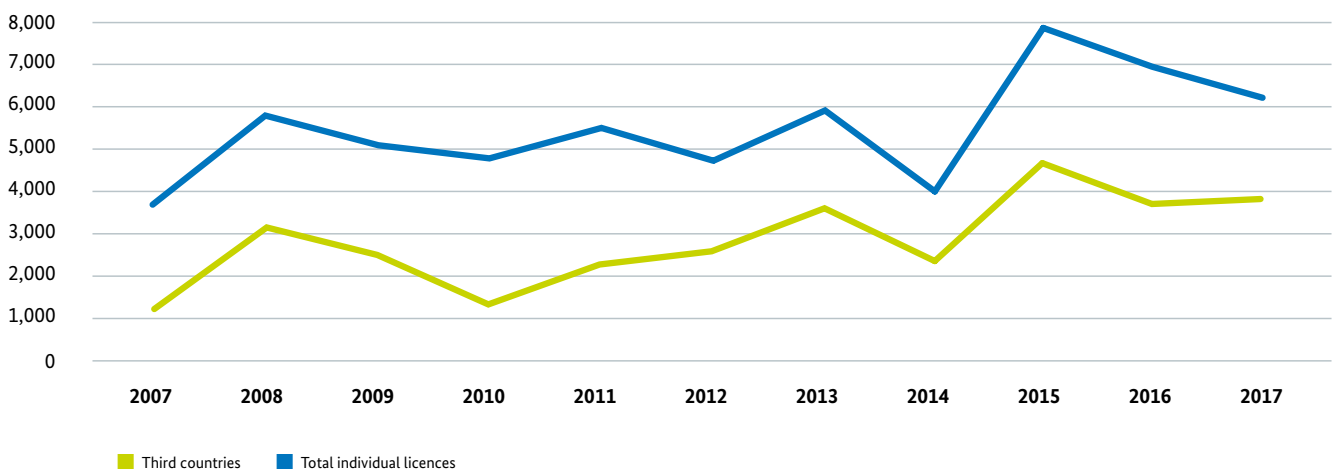
The licence values for the group of the poorest and other low-income developing countries³⁴ amounted to €39.1 million in 2017 (2016: €7.2 million) or 0.63% (2016: 0.11%) of the value of all individual export licences for military equipment in 2017³⁵.

b) Collective export licences

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

The value of a collective export licence is set as a maximum figure and is based on applicants' figures for their anticipated needs in the licence period. The collective export licences primarily refer to the production phase of an item of military equipment, during which military equipment is frequently imported and exported. The extent to which use is made of the maximum amount covered by the licence varies widely. However, the maximum value does not provide any indication of actual shipments of goods – not least

Figure 1: Development of the value of individual licences from 2007 to 2017 (€ million)



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

34 Poorest and other low-income developing countries and areas pursuant to Columns 1 and 2 of the OECD's DAC List of ODA Recipients for 2014, 2015, 2016 and 2017. Cf. Annex 13.

35 The licence values do not include export licences particularly for UN missions, EU delegations and aid organisations.

because reimports are not discounted. Equating collective export licences with individual export licences or actual exports, or adding up the figures, therefore makes no sense for systemic reasons.

The total figure of collective export licences is generally subject to sharp annual fluctuations. In view of the long-term nature of the projects for which collective export licences are issued, and the possibilities to extend them (up to a total of 10 years), there may be coincidental large numbers of applications and of licences in a calendar year, and there may also be years with a small amount of licences. These statistical figures are therefore not meaningful in terms of an assessment of policy on the export of military equipment.

In 2017, 37 applications for the issuing of a collective export licence relating to conventional military equipment within the meaning of Part I Section A of the Export List (EL) of the Foreign Trade and Payments Ordinance were approved by the Federal Office for Economic Affairs and Export Control. The issuing of the licence is subject to the same principles as apply in the individual licence procedure. The examination thus observes the Political Principles, the EU Common Position and the ATT for an individual case.

The 37 (2016: 12) relevant licences issued in the above-mentioned period covered goods worth a total value of €325 million (2015: €58.7 million). Annex 9 contains an overview of the countries covered by the collective export licences.

The 37 collective export licences issued in the context of programmes and cooperation break down as follows:

- In **thirty cases**, exports in the context of official inter-governmental cooperation. **Official intergovernmental cooperation** covers development and manufacturing programmes if the contracts to develop or manufacture certain goods for the respective programmes were agreed with state involvement.
- In **seven cases**, in the context of TAGs (technology transfers for study purposes) outside a licensed joint programme.

c) Export licence denials

In 2017, 89 applications for military equipment exports (preceding year: 61) were denied. The total value of the denials came to €14.37 million (preceding year: €11.03 million). The figure does not include applications withdrawn by applicants prior to notification because of poor chances of success or for other reasons. Like the values for licences for third countries, the figures for export licence denials are also subject to great fluctuations for this group of countries.

Since the acquisition of new orders costs money, many applicants seeking to export to sensitive destinations make an inquiry with the control authorities about the prospects of their applications prior to the submission of a licence request. Where the response to the inquiry is negative, there are only very rare cases in which a formal application is filed, the denial of which is then included in the statistical overview (Annex 8). As a rule, when an advance inquiry receives a negative response, applications appearing to have no prospects of success are not submitted in the first place.

The highest-value denials in 2017 affected Turkey (€4.85 million), the People's Republic of China (€2.89 million) and Iraq (€1.92 million). Details of other denials can be found in the overview in Annex 8.

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

Table B provides a breakdown of the individual export licences issued in 2017 into the 22 EL positions.

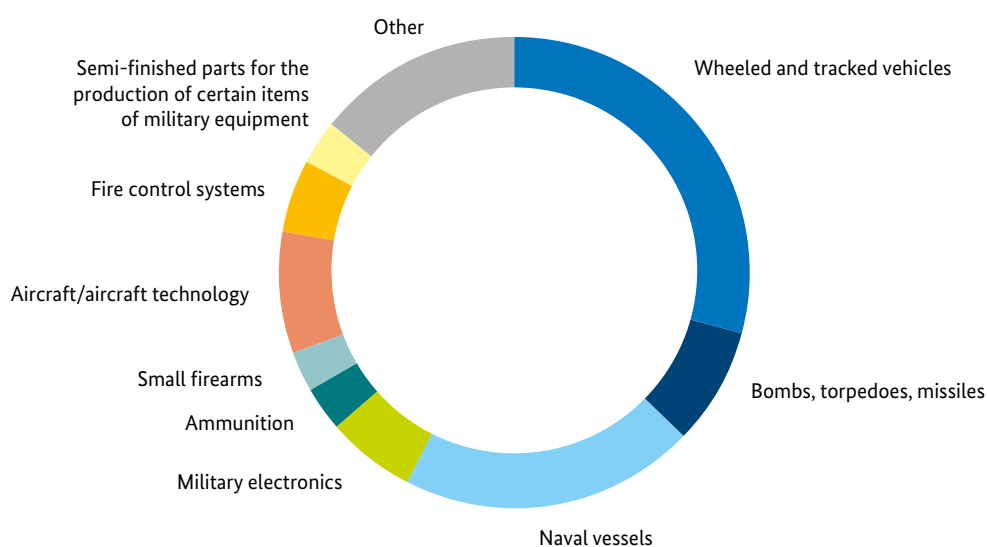
The table is based on the 12,124 individual licences issued in 2017³⁶. It shows that the category which accounted for the largest share of exports of military equipment in terms of value in 2017 was "wheeled and tracked military vehicles", totalling approx. €1.8 billion.

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

³⁶ The addition of the number of individual licences by positions A 0001 to A 0022 yields a higher value than the total number of individual licences since some of the applications are split among several positions and are therefore counted two or more times in the individual positions in this table.

Table B: Individual export licences broken down by Export List (EL) positions

EL position	Description of Item	Quantity	Value in €
A 0001	Small firearms	1,970	215,507,369
A 0002	Large calibre weapons	323	98,302,922
A 0003	Ammunition	597	193,872,740
A 0004	Bombs, torpedoes, missiles	227	502,130,747
A 0005	Fire control systems	547	318,456,123
A 0006	Wheeled and tracked military vehicles	2,139	1,820,248,031
A 0007	Equipment for NBC defence, irritants	105	16,884,875
A 0008	Explosives and fuels	295	49,494,856
A 0009	Naval vessels	679	1,257,194,328
A 0010	Military aircraft/aircraft technology	1,160	471,067,150
A 0011	Military electronics	962	377,971,716
A 0013	Ballistic protection equipment	56	127,453,023
A 0014	Training and simulator equipment	78	91,932,623
A 0015	Infrared/thermal imaging equipment	150	122,021,014
A 0016	Semi-finished parts for the production of certain items of military equipment	492	183,474,887
A 0017	Miscellaneous equipment	546	128,750,001
A 0018	Manufacturing equipment for the production of military articles	616	88,787,131
A 0019	HF weapon system	5	1,296,421
A 0021	Military software	410	34,618,895
A 0022	Technology	767	142,867,964
Total		12,124	6,242,333,086

Figure 2: Proportion of the leading EL positions in terms of individual licences (by value) in 2017

e) Export licences from 2007 to 2017t

The following table C compares the values of the licences issued in 2007 to 2017 for final exports. To provide a better basis for comparison, the values are not broken down by individual countries of destination but are packaged together for the privileged countries of destination (EU, NATO, NATO-equivalent) on the one hand and third countries on the other. A breakdown by individual country can be found in Annex 8.

Figure 3 shows the monetary values of export licences issued for all country groups in 2017 and 2016. Pursuant to the Political Principles, EU, NATO and NATO-equivalent countries can be taken together, since all have essentially the same status with regard to German arms exports.

f) War weapons' share of licensed values in 2017

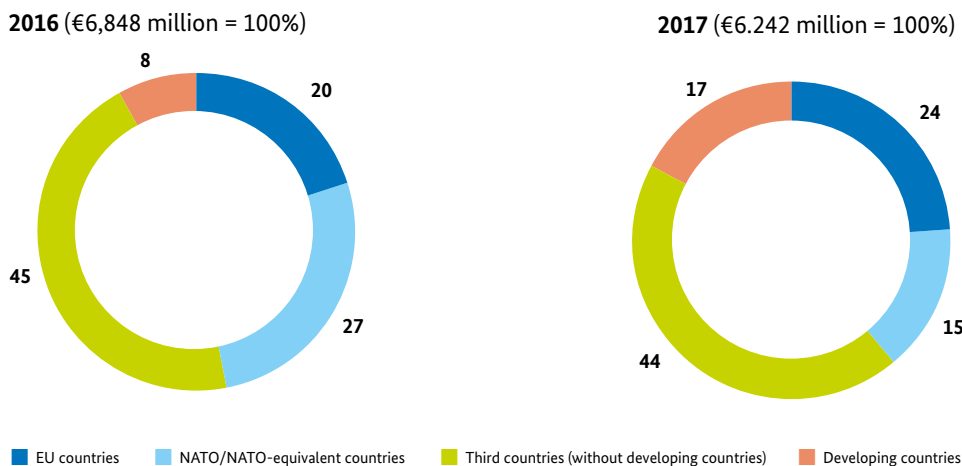
The licence values shown under e) relate to articles from Part I Section A of the Export List, i.e. to all military equipment including war weapons. By contrast, the following identifies the war weapons' share of overall values for individual licences in 2017. Individual licences for the export of war weapons add up to a total of €2.65 billion, i.e. approximately 42.5% of the total for overall individual licences (the figures for 2016 were €1.88 billion and 27.5%).

Table D displays – broken down by country – total licences for the export of war weapons to third countries in 2017 (total value €1.58 million; value in 2016: €1.39 million). The licences with the highest values refer to Algeria and Egypt.

Table C: Export licences from 2007 to 2017

Year	EU countries (in € million)	NATO or NATO-equivalent countries (without EU countries) (in € million)	Third countries (in € million)	Individual export licences total (in € million)	Collective export licences total (in € million)
2007	1,297	1,141	1,230	3,668	5,053
2008	1,839	809	3,141	5,788	2,546
2009	1,445	1,106	2,492	5,043	1,996
2010	2,315	1,056	1,383	4,754	737
2011	1,954	1,162	2,298	5,414	5,381
2012	971	1,129	2,604	4,704	4,172
2013	1,168	1,071	3,606	5,846	2,495
2014	817	753	2,404	3,961	2,545
2015	2,475	763	4,621	7,859	4,960
2016	1,353	1,827	3,668	6,848	59
2017	1,483	965	3,795	6,242	325

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



The licence values for the war weapons in Table D by no means reflect the actual figure for exports of war weapons named in Section III. 2. Due to the periods of validity of the licences, the issuance of the licence and its utilisation for the actual export may take place in different calendar years and thus in different reference periods. It also happens that, although a licence has been issued, there is no export because the corresponding procurement project has been postponed or abandoned in the country of final destination.

Table D: Licences for exports of war weapons to third countries in 2017

Country	Individual decisions or applications for war weapons	Value in €
Algeria	4	901,159,780
Botswana	1	70,754
Brazil	2	111,609
Chile	1	25,000
Egypt	4	445,445,933
Georgia	1	68,673
India	3	4,946,800
Indonesia	3	3,258,700
Israel	2	1,101,200
Jordan	3	12,102,870
Korea, Republic	3	753,501
Lebanon	1	9,500
Malaysia	1	1,500,375
Mali [UN mission]	1	111,100
Oman	4	2,466,610
Saudi Arabia	5	152,192,743
Singapore	4	10,316,970
South Africa [Dutch Army]	1	25,000
Trinidad and Tobago	1	301,200
Tunisia	1	22,800
United Arab Emirates	4	45,093,621
Total	50	1,581,084,739

g) Export licences for small arms 2007 to 2017

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

The total value of the licences for small arms in 2017 amounted to €47.82 million. The 2016 figure was €46.89 million. The licences for small arms for third countries in 2017 (€15.1 million) fell below the preceding year's low level (2015: €16.4 million).

In the statistics kept by the Federal Government, "small arms" comprise, against the background of the definition of the Joint Action of the EU of 12 July 2002 on the European Union's Contribution to Combating the Destabilising Accumulation and Spread of Small Arms and Light Weapons: rifles with war weapons list number (semi- and fully automatic rifles), submachine guns, machine guns, smoothbore guns for military purposes, weapons for caseless ammunition, and parts for such weapons (other small arms are excluded: rifles without war weapons list number, revolvers, pistols, sniper rifles, inoperative weapons, hunting rifles, sporting pistols and revolvers, sporting rifles, semi-automatic hunting and sporting rifles and other smoothbore guns).

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

Breakdown by country group	Licences issued – Value in €
EU countries	27,266,972
NATO and NATO-equivalent countries	5,451,804
Third countries (other countries)	15,096,254
Total	47,815,030
EU countries	57.03 %
NATO and NATO-equivalent countries	11.40 %
Third countries (other countries)	31.57 %

Table E.1: Individual licences for the export of small arms – values in € millions

Year	EU countries	NATO or NATO-equivalent countries (without EU countries)	Third countries	Individual licenses (total)
2007	9.35	9.38	30.2	48.93
2008	22.72	28.94	17.18	68.85
2009	35.97	20.10	14.32	70.40
2010	19.42	13.81	16.30	49.54
2011	10.03	9.95	17.92	37.90
2012	12.84	26.22	37.09	76.15
2013	6.80	33.59	42.23	82.63
2014	6.23	19.57	21.63	47.43
2015	11.13	6.81	14.49	32.43
2016	27.96	2.55	16.38	46.89
2017	27.27	5.45	15.10	47.82

Figure 4: Individual export licences broken down by country group

2016 (€46.89 million = 100%)

2017 (€47.82 million = 100%)

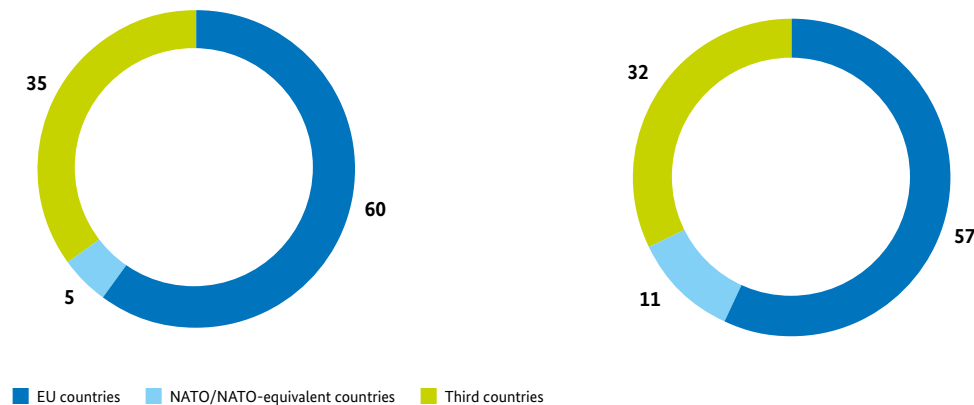


Figure 4 displays the value of licences for the export of small arms in 2017 and 2016 broken down into the different country groups.

The value of small arms export licences to third countries in 2017 amounted to €15.10 million (2016: €16.38 million; 2015: €14.49 million). The highest figure for a third country was recorded for India (€6.80 million).

The aggregate value of individual export licences for small arms is significantly lower than the aggregate value of total export licences for small firearms as listed above under d)

for EL position 0001 (€215.51 million). This is the result of the fact that the definition of small firearms found in EL position 0001 also includes firearms used for civilian purposes (revolvers, pistols), as well as hunting and sporting weapons, and therefore extends far beyond that of small arms as understood internationally in terms of the problems relating to destabilising accumulations of small arms and light weapons.

The developing countries (cf. footnote 33) accounted for licences for small arms exports worth approx. €9.7 million in 2017 (exports to India and Indonesia).

Table F: Individual licences for small arms to third countries broken down by countries, licence values and unit numbers for 2017

Country	Licences total	EL position	Value in €	Description of articles	Quantity
Algeria	1	0001A	239,694	Machine gun [onboard weapon for combat helicopter]	1
			108,529	Parts for machine guns	10
Barbados	1	0001A	1,151	Parts for machine guns	80
Brazil	1	0001A	95,819	Rifles with war weapons list number	18
				Parts for rifles with war weapons list number	504
India	3	0001A	4,803,230	Submachine guns	3,433
			2,000,373	Parts for submachine guns	37,314
		0001A	9	Parts for machine guns	12
Indonesia	3	0001A	976,500	Rifles with war weapons list number	450
			160,260	Parts for rifles with war weapons list number	1,800
		0001A	976,700	Submachine guns	540
			736	Parts for submachine guns	1,080
		0001A	505,000	Machine guns	50
	242,265	Parts for machine guns	700		
Iraq	2	0001A	106,966	Parts for rifles with war weapons list number	31
Israel	1	0001A	12,160	Parts for rifles with war weapons list number	32,000
Jordan	2	0001A	23,200	Rifles with war weapons list number	20
		0001A	25,770	Submachine guns	20
		0001A	429,000	Machine guns [for fitting to tanks]	55
			121,000	Parts for machine guns	various
Korea, Republic	1	0001A	712,500	Rifles with war weapons list number	460
			56,233	Parts for rifles with war weapons list number	3,630
Lebanon	2	0001A	9,500	Rifles with war weapons list number	5
			3,892	Parts for rifles with war weapons list number	62
Malaysia	1	0001A	573,000	Rifles with war weapons list number	300
		0001A	396,000	Submachine guns	300
		0001A	469,500	Machine guns	50
			104,715	Parts for machine guns	250
Oman	3	0001A	859,339	Rifles with war weapons list number	1,000
			17,271	Parts for rifles with war weapons list number	60
		0001A	700,000	Submachine guns	500
Saudi Arabia	1	0001A	11,250	Parts for rifles with war weapons list number	75,000
Singapore	2	0001A	1,850	Rifles with war weapons list number	1
		0001A	1,385	Submachine guns	1
			180	Parts for submachine guns	135
Taiwan	2	0001A	164	Parts for rifles with war weapons list number	201
		0001A	780	Parts for submachine guns	300
Trinidad and Tobago	1	0001A	301,200	Submachine guns	400
			3,200	Parts for submachine guns	100
Tunisia	1	0001A	22,800	Rifles with war weapons list number	12
			1,084	Parts for rifles with war weapons list number	24
United Arab Emirates	1	0001A	800	Parts for rifles with war weapons list number	400
Total	29		15,096,254		

Table G: Individual licences for ammunition for small arms, including ammunition parts – values in € million for 2007 to 2017

In the statistical evaluation, “ammunition for small arms” includes all ammunition which, in view of its technical characteristics (e.g. calibre and projectile type), can theoretically be fired from small arms. Some of this ammunition is used for hunting and sports. The licences cited here can therefore cover supplies of ammunition used for hunting and sports.

Year	EU countries	NATO/NATO-equivalent countries (without EU countries)	Third countries	Individual licences (total)
2007	16.77	13.59	1.40	31.76
2008	10.10	10.18	18.65	38.94
2009	41.18	17.53	2.63	61.35
2010	10.35	17.13	2.00	29.48
2011	15.15	17.63	1.77	34.55
2012	7.04	7.25	3.75	18.04
2013	29.74	19.96	2.82	52.51
2014	4.45	17.23	5.53	27.21
2015	11.80	15.29	4.28	31.36
2016	39.05	271.10	17.61	327.76
2017	18.58	9.21	0.91	28.69

Figure 5: Export licences for small arms ammunition broken down by country group

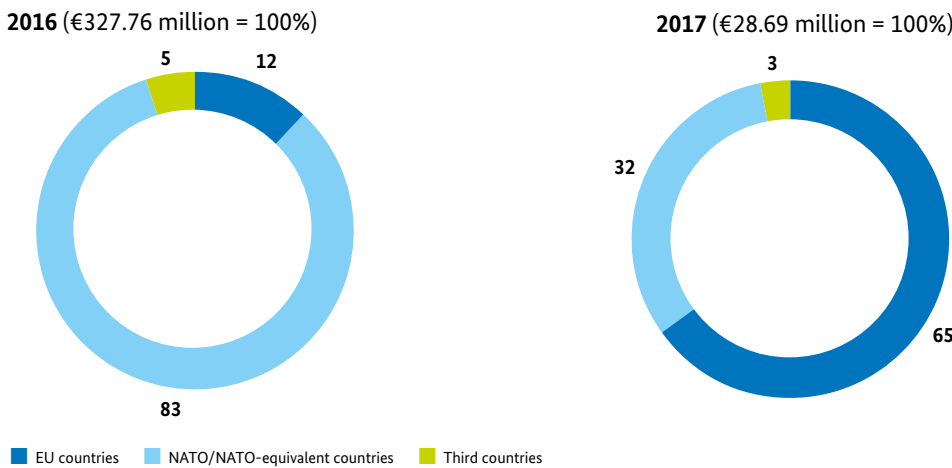


Figure 5 shows the distribution among the three above-named country groups of the licences issued in 2017 and 2016 for the export of small arms ammunition.

Third countries accounted for a share of approximately 3% of the total value of individual licences for small arms ammunition in 2017. Just under 40% of the total value for third countries (approx. €346,000) was for licences for deliveries in support of United Nations missions.

Table H: Individual licences for the export of small arms ammunition to third countries, by country, for 2017

Country	Licences total	EL position	Value in €	Description of articles	Quantity
Algeria	1	0003A	57,500	Ammunition for machine guns [war weapons list no.: 50]	10,000
Andorra	1	0003A	4,971	Ammunition for rifles [without war weapons list number]	14,000
Brazil	1	0003A	2,765	Parts for rifle ammunition [without war weapons list number]	20,000
Central African Republic	2	0003A	63,000	Ammunition for rifles [without war weapons list number] [UN mission]	150,000
Indonesia	1	0003A	405,000	Ammunition for machine guns [war weapons list no.: 50]	500,000
Iraq	1	0003A	2,340	Ammunition for rifles [without war weapons list number] [UN mission]	2,000
Kazakhstan	1	0003A	11,085	Ammunition for rifles [without war weapons list number]	6,600
Kenya	1	0003A	8,400	Ammunition for rifles [without war weapons list number] [UN mission]	20,000
Korea, Republic	2	0003A	41,001	Ammunition for submachine guns [war weapons list no.: 50]	100,000
Lebanon	1	0003A	4,730	Ammunition for rifles [without war weapons list number] [UN mission]	11,000
Mali	2	0003A	11,100	Ammunition for rifles [war weapons list no.: 50] [UN mission]	140,000
			43,600	Ammunition for rifles [without war weapons list number] [UN mission]	80,000
Oman	2	0003A	32,340	Ammunition for rifles [without war weapons list number]	80,000
Somalia	1	0003A	112,900	Ammunition for rifles [without war weapons list number] [UN mission]	140,000
United Arab Emirates	1	0003A	10,680	Ammunition for rifles [without war weapons list number]	30,000
Total	18		911,412		

h) Licences for brokering transactions in 2017

The rules on the licensing of trading and brokering transactions involving military equipment covered by Part I Section A of the Export List derive from Sections 46 - 48 of the Foreign Trade and Payments Ordinance. Statistics are only kept on trading and brokering transactions for military equipment located in a non-EU country – cf. Section 2 subsection 8 of the Foreign Trade and Payments Act – and which are to be exported to another non-EU country. For

war weapons, the licensing obligation applies pursuant to Section 4a War Weapons Control Act even if the war weapons are outside Germany and are to be exported to other countries.

In 2017, a total of 17 (previous year: 27) licences for brokering transactions for military equipment were issued for recipients in third countries, worth approx. €3 million (preceding year: €29.23 million). Annex 10 contains an overview of these licences and of denials.

2. Exports of war weapons

a) War weapon exports in 2017

In 2017, Germany's Federal Statistical Office determined that war weapons worth a total value of €2.65 billion (0.21% of all German exports) were exported from Germany (2016: €2.5 billion, 0.21%). In value terms, approx. 9.5% of the war weapons exports went to EU, NATO, and NATO-equivalent countries; according to the Political Principles, the export of military equipment to such countries is not to be restricted. Although a vast majority of these transactions involved commercial companies and governments, in some cases they were transfers from the Bundeswehr. Annex 12 contains an overview of war weapons exports by country of destination.

(1) Bundeswehr exports

Within the total exports, a merchandise value of €1.72 million was accounted for by the transfer of material by the German Ministry of Defence (2016: €20.56 million).

(2) Commercial exports

The value of German companies' commercial exports amounted to €2.65 billion in 2017 (2016: €2.48 billion). Approx. 9.4% of these exports (€249.6 million) went to EU, NATO or NATO-equivalent countries.

Table I: Commercial war weapons exports to third countries from 2007 to 2017 (€ million)

Year	Total value (in € million)
2007	275.8
2008	388.8
2009	179.7
2010	453.0
2011	842.8
2012	559.1
2013	568.1
2014	1,338
2015	1,173
2016	2,297
2017	2,400

The volume of commercial exports of war weapons to third countries was approx. €2.40 billion (2016: €2.30 billion). These included exports worth €901.8 million to Algeria, €637.6 million to Egypt, and €350.9 million to Qatar.

b) War weapon exports from 2007 to 2017

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

Table J: War weapon exports from 2007 to 2017

Year	Total value (in € million)	Share as % of total German exports
2007	1,510.1	0.16
2008	1,427.2	0.14
2009	1,338.8	0.17
2010	2,119.0	0.22
2011	1,284.7	0.12
2012	946.0	0.09
2013	956.6	0.09
2014	1,826.0	0.16
2015	1,554.9	0.13
2016	2,501.8	0.21
2017	2,651.7	0.21

3. German military equipment exports by international comparison

According to calculations by SIPRI, the Stockholm-based peace research institute, Germany's exports of military equipment dropped by 14% in the 2013 - 2017 period compared with the 2008 - 2012 period, whilst the global volume of military equipment exports rose by 10%. Germany registered the greatest drop amongst the 10 leading exporting countries in the past five-year period.

Germany's share of global exports of military equipment dropped from 7.4% to 5.8% between the afore-mentioned periods. Germany is ranked fourth by SIPRI on the list of leading exporters, behind the United States, Russia and France.

SIPRI takes its own approach to compiling statistics, which differs considerably from that used in the Federal Government's reports on the export of military equipment. For example, it does not use the actual licence values for the exports, but fictitious figures ("trend indicator values") based

on the production costs of weapon systems. Also, it only covers the exports of principal weapon systems and their components. It disregards many types of military equipment included in the statistics of the Federal Government's reports on the export of military equipment (e.g. military trucks, small arms and ammunition).

Due to its methodology, which is intended to achieve international comparability, the SIPRI statistics are suited to highlighting global trends in exports of military equipment. But it is not possible to compare the SIPRI statistics with the Federal Government's military equipment export reports, which are based on the licensing values for all exports of military equipment.

The annual statistics for exports of military equipment are generally subject to substantial fluctuations. This is not usually a reflection of a changed licensing policy, but largely depends on other factors, e.g. the economy, available budgets for defence spending, or applications for licences for high-value individual projects.

Annex 1a

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

The Government of the Federal Republic of Germany, desiring

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

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

I. General principles

1. The Federal Government's decisions regarding the export of war weapons³⁷ and other military equipment³⁸ are made in accordance with the provisions of the War Weapons Control Act and the Foreign Trade and Payments Act as well as the EU Code of Conduct on Arms Exports adopted by the European Council on 8 June 1998³⁹ and such arrangements as may be agreed subsequently as well as the Principles Governing Conventional Arms Transfers adopted by the Organisation for Security and Cooperation in Europe (OSCE) on 25 November 1993. The criteria laid down in the EU Code of Conduct are an integral part of these Political Principles. The standards stipulated in the Code of Conduct will be superseded by any more stringent standards that may be derived from the following principles:

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

II. NATO countries⁴⁰, EU Member States, countries with NATO-equivalent status⁴¹

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

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

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

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

³⁷ Weapons (complete weapons as well as components classed separately as weapons) listed in the War Weapons List (Annex to the War Weapons Control Act).

³⁸ Goods specified in Part I, Section A of the Export List (Annex to the Foreign Trade and Payment Ordinance) with the exception of war weapons.

³⁹ Attached as Annex 2.

⁴⁰ Area of application of NATO Treaty, Article 6.

⁴¹ Australia, Japan, New Zealand, Switzerland.

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

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

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

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

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

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

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

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

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

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

III. Other countries

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

terests that German law on foreign trade and payments serves to protect, namely, security, peace among the nations and Germany's foreign relations.

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

4. Export licences pursuant to the War Weapons Control Act and/or the Foreign Trade and Payments Act will not be granted where the internal situation in the country concerned precludes such action, e.g. in the case of armed conflict or where there are reasonable grounds for suspecting such exports may be used for internal repression or the sustained and systematic abuse of human rights. In this context the human rights situation in the recipient country is a major factor to be considered.
5. No licences will be granted for the export of war weapons⁴² and other military equipment related to war weapons to countries
 - involved in armed conflict or where armed conflict is imminent,
 - in which there is a risk of an outbreak of armed conflict or existing tensions and conflicts would be triggered, maintained or exacerbated by the export.
 - Exports to countries involved in external armed conflicts or where there is a danger such conflicts may erupt are therefore ruled out on principle except in cases covered by Article 51 of the UN Charter.
6. Decisions on whether to grant export licences for war weapons and other military equipment will take into account whether sustainable development in the recipient country is being seriously impeded by excessive arms spending.
7. Also to be taken into account is the recipient country's conduct in terms of whether it supports and promotes terrorism and international organised crime, complies with international obligations, especially renunciation of the threat or use of force, including obligations under humanitarian law on international or non-international conflicts, has assumed obligations in the area of non-proliferation and other aspects of arms control and disarmament, notably by signing, ratifying and implementing the arms control and disarmament arrangements specified in the EU Code of Conduct on arms exports, supports the UN Arms Register.

IV. Definitive determination of end-use

1. Export licences for war weapons and other military equipment will be granted only on the basis of prior knowledge of definitive end-use in the country of final destination. This will generally require a written assurance by the end-user as well as other appropriate documentation.
2. Export licences for war weapons or other military equipment of a quantity and type relevant to war weapons may be granted only on presentation of governmental end-use certificates that preclude re-exports without prior authorisation. This applies mutatis mutandis to any other military equipment related to war weapons exported in connection with a manufacturing licence. For the export of such equipment used for the manufacture of war weapons definitive end-use certificates must be furnished.
3. Stringent standards are to be applied in assessing whether the recipient country is capable of carrying out effective export controls.
4. War weapons and other military equipment relevant to war weapons may only be re-exported to third countries or transferred inside the EU Internal Market with the written approval of the Federal Government.
5. A recipient country that, in breach of an end-use certificate, authorises or does not seek to prevent or sanction the unauthorised re-export of war weapons or other military equipment relevant to war weapons will on principle, as long as such conditions persist, be excluded from receiving any further deliveries of war weapons or other military equipment related to war weapons.

V. Military Equipment Export Report

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

⁴² Plant and documentation for the manufacture of war weapons.

Annex 1b

Principles Adopted by the Government of the Federal Republic of Germany for the Issue of Licences for the Export of Small and Light Weapons, Related Ammunition and Corresponding Manufacturing Equipment to Third Countries⁴³

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

1. The principles follow the definition of “small arms and light weapons” used in the annex to the Joint Action of the EU of 12 July 2002 and include sniper rifles and pump guns.⁴⁴
2. In principle no licences to export components and technology to third countries (e.g. in the context of the granting of licences to manufacture) will be granted where such exports would lead to the establishment of a new manufacturing line for small arms and light weapons or the corresponding ammunition.
3. In the case of spare and wear-and-tear parts, of replacement machinery of the same type and of consumable material for manufacturing lines exported in the past, consideration will be given to the legal principle of legitimate expectations. For this reason, licences will in principle continue to be issued in future. This shall not apply to exports intended to increase capacity or widen the product range (“upgrading”).
4. Licences for the export of sniper rifles and pump guns to private end-users in third countries will not be issued in principle.⁴⁵
5. Licences for the export of war weapons to non-state bodies in third countries will not be issued in principle.
6. The principle of “New for old” will in principle be applied to licences for the export of small arms and light weapons.⁴⁶ This means that state recipients of small arms and light weapons must in principle issue a declaration committing them to destroy the small arms and light weapons to be replaced by the new purchase. Where the new purchase covers a plausible increased need and old weapons are therefore not destroyed, a commitment will in principle instead be required stating that the new weapons to be exported will be destroyed when they are taken out of service in future (variant: “New, destroy when discarded”). The willingness to make and comply with such a declaration shall help to determine the decision on whether to license the export. The Federal Government will ensure that the implementation of the principle “New for old” and its variant “New, destroy when discarded” will be monitored.
7. The declaration of end-use must also – going beyond the existing customary re-export clause – include a commitment that small arms and light weapons, related ammunition or manufacturing equipment will not be transferred in the country of destination without the approval of the Federal Government.
8. The Federal Government will advocate the widespread use of the principle “New for old” and its variant “New, destroy when discarded” in the international arena.
9. Small arms and light weapons must be labelled in a way that is easily recognisable, legible, permanent and, within the bounds of technical possibilities, restorable. The comprehensive labelling of small arms and light weapons manufactured in Germany will be stipulated in law and will observe international obligations.
10. In this context, the Federal Government confirms that surplus small arms and light weapons within the field of responsibility of the Federal Armed Forces will in principle be destroyed.

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

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

45 This shall not apply to hunting and sporting weapons.

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

Annex 1c

Key principles for the introduction of post-shipment controls for German exports of military equipment

In addition to the strict application of the Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment from 2000, as cited in the Coalition Agreement, the Federal Government also introduced an instrument to conduct selective post-shipment controls for future deliveries of war weapons and other specific firearms to third countries as of 8 July 2015. The Federal Government has supplemented the Foreign Trade and Payments Ordinance correspondingly to embrace the following principles. The intention is to improve end-use verification for military equipment exported from Germany. The new system of post-shipment controls is based on the following principles:

- Post-shipment controls shall initially be carried out with in the framework of pilot checks. A standardised procedure shall then be developed in an interministerial process for the checks to be performed in any given year.
- The controls shall be introduced on the basis of end-use certificates in which the foreign state recipients grant Germany the right to perform on-the-spot checks. Third countries as defined by the Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment shall be required to submit such end-use certificates.
- The goods to be inspected shall comprise all war weapons and specific types of firearms (pistols, revolvers and sniper rifles) that are destined for state recipients. Of the listed war weapons, the only exceptions are components or assemblies that are to be incorporated into weapons systems abroad.
- The purpose of the controls is to inspect whether the weapons supplied are still present in the recipient country and in the possession of the end-user specified by the end-use certificate. A visual inspection is usually sufficient for this purpose. Random checks shall be made for inspections of large quantities of arms.
- If non-compliance with the end-user certificate is ascertained or on-the-spot checks are refused despite consent given in the end-use certificate, the end-user shall face the consequences set out in Section IV (4) of the “Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment” in 2000.
- In accordance with the Federal Government’s organisation of responsibilities, the Federal Office for Economic Affairs and Export Control and the respective mission abroad shall be tasked with the preparation and performance of post-shipment controls.
- The funds required for preparing and performing the post-shipment controls (expenditure and personnel requirements) shall be provided from the budgets available to the relevant ministries.
- The Federal Foreign Office shall inform the affected third countries as to the introduction of post-shipment controls.
- The competitiveness of German industry and armaments cooperation with third countries must not be compromised by the post-shipment controls system.
- Germany shall address the system of post-shipment controls at the EU level in order to align national arms export guidelines in the EU in accordance with the aims set out in the coalition agreement. Moreover, the Federal Foreign Office shall advocate the introduction of comparable controls on the part of their partners in the EU and NATO.
- The Federal Ministry for Economic Affairs and Energy shall inform the affected German companies about the new system of post-shipment controls and the resulting additional requirements for the end-use certificate.
- The following conditions must first be met in order to ensure the proper functioning of the system of post-shipment controls:
 - Amendment to the Foreign Trade and Payments Ordinance
 - Receipt of export authorisation applications for third countries with an end-use certificate in which the recipient country consents to later on-the-spot checks
 - Information on weapons actually exported to third countries that have consented to an inspection of this nature
 - Determining the third country to be inspected that has received a relevant delivery
 - Performing the inspection

The instrument shall be evaluated two years after the performance of the first on-the-spot check.

Annex 2

COUNCIL COMMON POSITION 2008/944/CFSP of 8 December 2008 defining common rules governing control of exports of military technology and equipment

THE COUNCIL OF THE EUROPEAN UNION,

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

Whereas:

- (1) Member States intend to build on the Common Criteria agreed at the Luxembourg and Lisbon European Councils in 1991 and 1992, and on the European Union Code of Conduct on Arms Exports adopted by the Council in 1998.
- (2) Member States recognise the special responsibility of military technology and equipment exporting States.
- (3) Member States are determined to set high common standards which shall be regarded as the minimum for the management of, and restraint in, transfers of military technology and equipment by all Member States, and to strengthen the exchange of relevant information with a view to achieving greater transparency.
- (4) Member States are determined to prevent the export of military technology and equipment which might be used for internal repression or international aggression or contribute to regional instability.
- (5) Member States intend to reinforce cooperation and to promote convergence in the field of exports of military technology and equipment within the framework of the Common Foreign and Security Policy (CFSP).
- (6) Complementary measures have been taken against illicit transfers, in the form of the EU Programme for Preventing and Combating Illicit Trafficking in Conventional Arms.
- (7) The Council adopted on 12 July 2002 Joint Action 2002/589/CFSP⁴⁷ on the European Union's contribution to combating the destabilising accumulation and spread of small arms and light weapons.
- (8) The Council adopted on 23 June 2003 Common Position 2003/468/CFSP⁴⁸ on the control of arms brokering.
- (9) The European Council adopted in December 2003 a strategy against the proliferation of weapons of mass destruction, and in December 2005 a strategy to combat illicit accumulation and trafficking of SALW and their ammunition, which imply an increased common interest of Member States of the European Union in a coordinated approach to the control of exports of military technology and equipment.
- (10) The UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects was adopted in 2001.
- (11) The United Nations Register of Conventional Arms was established in 1992.
- (12) States have a right to transfer the means of self-defence, consistent with the right of self-defence recognised by the UN Charter.
- (13) The wish of Member States to maintain a defence industry as part of their industrial base as well as their defence effort is acknowledged.
- (14) The strengthening of a European defence technological and industrial base, which contributes to the implementation of the Common Foreign and Security Policy, in particular the Common European Security and Defence Policy, should be accompanied by cooperation and convergence in the field of military technology and equipment.
- (15) Member States intend to strengthen the European Union's export control policy for military technology and equipment through the adoption of this Common Position, which updates and replaces the European Union Code of Conduct on Arms Exports adopted by the Council on 8 June 1998.
- (16) On 13 June 2000, the Council adopted the Common Military List of the European Union, which is regularly reviewed, taking into account, where appropriate, similar national and international lists.⁴⁹

⁴⁷ OJ L 191 of 19 July 2002, p. 1.

⁴⁸ OJ L 156 of 25 June 2003, p. 79.

⁴⁹ Last amended on 10 March 2008, OJ C 98 of 18 April 2008, p. 1.

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

HAS ADOPTED THIS COMMON POSITION:

Article 1

- (1) Each Member State shall assess the export licence applications made to it for items on the EU Common Military List mentioned in Article 12 on a case-by-case basis against the criteria of Article 2.
- (2) The export licence applications as mentioned in paragraph 1 shall include:
 - applications for licences for physical exports, including those for the purpose of licensed production of military equipment in third countries,
 - applications for brokering licences,
 - applications for “transit” or “transshipment” licences,
 - applications for licences for any intangible transfers of software and technology by means such as electronic media, fax or telephone.

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

Article 2

Criteria

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

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

- a) the international obligations of Member States and their commitments to enforce United Nations, European Union and Organisation for Security and Cooperation in Europe arms embargoes;

- b) the international obligations of Member States under the Nuclear Non-Proliferation Treaty, the Biological and Toxin Weapons Convention and the Chemical Weapons Convention;
- c) the commitment of Member States not to export any form of anti-personnel landmine;
- d) the commitments of Member States in the framework of the Australia Group, the Missile Technology Control Regime, the Zangger Committee, the Nuclear Suppliers Group, the Wassenaar Arrangement and The Hague Code of Conduct against Ballistic Missile Proliferation.

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

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

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

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

⁵⁰ OJ L 159 of 30 June 2000, p. 1.

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

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

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

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

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

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

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

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

Member States shall take into account:

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

- b) the risk of use of the military technology or equipment concerned against their forces or those of Member States and those of friendly and allied countries.

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

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

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

- (7) **Criterion 7:** Existence of a risk that the military technology or equipment will be diverted within the buyer country or re-exported under undesirable conditions.

In assessing the impact of the military technology or equipment to be exported on the recipient country and the risk that such technology or equipment might be diverted to an undesirable end-user or for an undesirable end use, the following shall be considered:

- a) the legitimate defence and domestic security interests of the recipient country, including any participation in United Nations or other peace-keeping activity;
- b) the technical capability of the recipient country to use such technology or equipment;
- c) the capability of the recipient country to apply effective export controls;
- d) the risk of such technology or equipment being re-exported to undesirable destinations, and the record of the recipient country in respecting any re-export provision or consent prior to re-export which the exporting Member State considers appropriate to impose;

- e) the risk of such technology or equipment being diverted to terrorist organisations or to individual terrorists;
 - f) the risk of reverse engineering or unintended technology transfer.
- (8) **Criterion 8:** Compatibility of the exports of the military technology or equipment with the technical and economic capacity of the recipient country, taking into account the desirability that states should meet their legitimate security and defence needs with the least diversion of human and economic resources for armaments.

Member States shall take into account, in the light of information from relevant sources such as United Nations Development Programme, World Bank, International Monetary Fund and Organisation for Economic Cooperation and Development reports, whether the proposed export would seriously hamper the sustainable development of the recipient country. They shall consider in this context the recipient country's relative levels of military and social expenditure, taking into account also any EU or bilateral aid.

Article 3

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

Article 4

- (1) Member States shall circulate details of applications for export licences which have been denied in accordance with the criteria of this Common Position together with an explanation of why the licence has been denied. Before any Member State grants a licence which has been denied by another Member State or States for an essentially identical transaction within the last three years, it shall first consult the Member State or States which issued the denial(s). If following consultations, the Member State nevertheless decides to grant a licence, it shall notify the Member State or States issuing the denial(s), giving a detailed explanation of its reasoning.
- (2) The decision to transfer or deny the transfer of any military technology or equipment shall remain at the national discretion of each Member State. A denial of a licence is understood to take place when the Member State has refused to authorise the actual sale or export of the military technology or equipment concerned, where a sale would otherwise have come about, or the

conclusion of the relevant contract. For these purposes, a notifiable denial may, in accordance with national procedures, include denial of permission to start negotiations or a negative response to a formal initial enquiry about a specific order.

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

Article 5

Export licences shall be granted only on the basis of reliable prior knowledge of end use in the country of final destination. This will generally require a thoroughly checked end-user certificate or appropriate documentation and/or some form of official authorisation issued by the country of final destination. When assessing applications for licences to export military technology or equipment for the purposes of production in third countries, Member States shall in particular take account of the potential use of the finished product in the country of production and of the risk that the finished product might be diverted or exported to an undesirable end user.

Article 6

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

Article 7

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

Article 8

- (1) Each Member State shall circulate to other Member States in confidence an annual report on its exports of military technology and equipment and on its implementation of this Common Position.

(2) An EU Annual Report, based on contributions from all Member States, shall be submitted to the Council and published in the “C” series of the Official Journal of the European Union.

(3) In addition, each Member State which exports technology or equipment on the EU Common Military List shall publish a national report on its exports of military technology and equipment, the contents of which will be in accordance with national legislation, as applicable, and will provide information for the EU Annual Report on the implementation of this Common Position as stipulated in the User’s Guide.

Article 9

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

Article 10

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

Article 11

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

Article 12

Member States shall ensure that their national legislation enables them to control the export of the technology and equipment on the EU Common Military List. The EU Common Military List shall act as a reference point for Member States’ national military technology and equipment lists, but shall not directly replace them.

Article 13

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

Article 14

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

Article 15

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

Article 16

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

Done at Brussels, 8 December 2008.

For the Council

The President

B. KOUCHNER

Annex 3

Arms Trade Treaty

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

Annex 4

Export List Part I

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

However, the Common Military List of the European Union, Official Journal C 97/1, 28 March 2017 is almost identical with the German Munitions List and can therefore be used as a point of reference.

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

Annex 5

War Weapons List

In the version promulgated on 22 November 1990 (Federal Law Gazette I, p. 2506), last amended by Article 6(2) of the Act of 13 April 2017, Federal Law Gazette I p. 872.

Part A

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

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

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

Part B – Other War Weapons

I. Projectile

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

II. Combat Aircraft and Helicopters

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

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

III. Vessels of War and Special Naval Equipment

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

IV. Combat Vehicles

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

V. Barrel Weapons

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

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

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

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

VII. Torpedoes, Mines, Bombs, Autonomous Ammunition

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

VIII. Other Ammunition

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

IX. Other Essential Components

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

X. Dispensers

61. Dispensers for the systematic distribution of submunition

XI. Laser Weapons

62. Laser weapons specially designed for causing permanent blindness.

Annex 6

Arms embargoes in 2017

The group of these countries can change at any time.

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

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

Armenia
 Azerbaijan
 Belarus
 Central African Republic
 China
 Congo, Democratic Republic
 Eritrea
 Iran
 Iraq
 Korea, Democratic People’s Republic
 Lebanon
 Libya
 Myanmar
 Russian Federation
 Somalia
 South Sudan
 Sudan
 Syria, Arab Republic
 Venezuela (with effect from 21 December 2017)
 Zimbabwe

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

- to combat terrorism;
- in view of the situation in Afghanistan;
- which are connected to the IS (Da’esh) and Al-Qaida organisations;
- in view of the situation in Somalia;
- in view of the situation in Yemen.

Annex 7

Countries of destination with the highest licence values

The 20 most important countries of destination for which individual export licences were granted in 2017:

No. ⁵¹	Country	Value in 2017 (€)	Description of articles
1 (1)	Algeria	1,358,774,362	<p>Frigate and parts for frigate, minesweepers (A0009/41.5%);</p> <p>trucks, cross-country vehicles and parts for armoured vehicles, trucks, cross-country vehicles (A0006/18.4%);</p> <p>shipboard helicopters and parts for helicopters (A0010/15.2%);</p> <p>torpedoes, missiles, underwater grenades, firing equipment, transport containers, missile warners and parts for torpedoes, anti-missile systems for aircraft (A0004/9.4%)</p>
2 (4)	Egypt	708,258,491	<p>Submarine and parts for submarines, minesweepers (A0009/43.6%);</p> <p>torpedoes, missiles, firing equipment, equipment for firing equipment and parts for torpedoes, missiles, firing equipment, anti-missile systems for aircraft (A0004/30.4%);</p> <p>fire control systems and parts for fire control equipment, target range-finding systems (A0005/13.5%)</p>
3 (35)	Lithuania	492,606,168	<p>Armoured wheeled vehicles, armoured vehicles, cross-country vehicles and parts for armoured vehicles (A0006/88.8%)</p>
4 (2)	United States	345,194,081	<p>Rifles with war weapons list number, submachine guns, rifles without war weapons list number, revolvers, pistols, sniper rifles, hunting rifles, sporting rifles, sporting revolvers, sporting pistols, self-loading rifles, semi-automatic smoothbore guns, repeating smoothbore guns, self-loading smoothbore hunting weapons, pump guns, silencers, tube weapon mounts, magazines, flash suppressors, weapon sights and parts for rifles with war weapons list number, submachine guns, machine guns, rifles without war weapons list number, revolvers, pistols, sniper rifles, hunting rifles, sporting rifles, sporting revolvers, sporting pistols, self-loading rifles, magazines, flash suppressors, weapon sights (A0001/43.6%);</p> <p>engines, ground support equipment and parts for combat aircraft, combat helicopters, aircraft, helicopters, unmanned aircraft, engines, in-flight refuelling equipment, ground support equipment, parachutes (A0010/8.4%);</p> <p>electronic equipment, communications equipment, electronic warfare equipment, assemblies, components, travelling wave tubes, navigation equipment and parts for electronic equipment, communications equipment, electronic warfare, jamming system, measuring equipment, testing equipment, assemblies, positioning equipment, navigation equipment, guidance equipment, electricity supplies, space flight vehicles (A0011/7.3%);</p> <p>smoke hand grenades, marine minesweeping equipment and parts for rockets, missiles, firing equipment, anti-missile systems for aircraft (A0004/6.4%);</p> <p>ammunition for pyrotechnic launchers, grenade launchers, automatic grenade launchers, rifles, hunting weapons, sporting weapons, revolvers, pistols, smoothbore weapons, fuse-setting devices and parts for ammunition for cannons, launchers, grenade launchers, automatic grenade launchers, rifles, hunting weapons, sporting weapons, revolvers, pistols, smoothbore weapons, decoys (A0003/5.2%);</p> <p>technology for military equipment (A0022/4.2%);</p> <p>explosives, pyrotechnic substances, airbag propellants, laboratory chemicals, synthetic substances, satellite fuel, metal powder mixture and aluminium powder (A0008/3.9%);</p> <p>trucks, cross-country vehicles, trailers and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, amphibious vehicles, trucks, air-defence system, ground vehicles (A0006/3.7%)</p>

51 Previous year's ranking in brackets.

No. ⁵¹	Country	Value in 2017 (€)	Description of articles
5 (7)	Australia	265,421,710	<p>Tanks [museum], armoured trucks, trucks and parts for armoured vehicles, trucks, cross-country vehicles, semi-trailers, ground vehicles (A0006/52.7%);</p> <p>secondary radar equipment, communications equipment, measuring equipment, testing equipment, condensers, positioning equipment and parts for electronic equipment, communications equipment, positioning equipment, electricity supplies (A0011/20.6%);</p> <p>forged and unfinished components (A0016/13.2%)</p>
6 (3)	Saudi Arabia	254,457,823	<p>Patrol boats and parts for mine-hunters, patrol boats (A0009/62.2%);</p> <p>trucks and parts for armoured vehicles, trucks (A0006/24.6%)</p>
7 (6)	Korea, Republic	253,626,707	<p>Submarine diesel engines, underwater detection equipment, ship body conduits and parts for submarines, frigates, mine-sweepers, combat vessels, ships, submarine diesel engines, submarine electric motors, air-independent propulsion systems, underwater detection equipment, control devices for positioning equipment, ship body conduits (A0009/44.3%);</p> <p>parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks and ground vehicles (A0006/23.4%);</p> <p>parts for torpedoes, rockets, missiles, firing equipment, ground support equipment and missile defence systems for aircraft (A0004/10.8%);</p> <p>electronic equipment, communications equipment, measuring equipment, testing equipment, electron tubes, navigation equipment, electricity supplies, encryption equipment and parts for electronic equipment, communications equipment, direction finders, assemblies, positioning equipment, navigation equipment, guidance equipment, electricity supplies, battery monitoring equipment (A0011/5.1%)</p>
8 (8)	United Arab Emirates	213,866,923	<p>Armoured plate, reactive armour and helmet (A0013/54.2%);</p> <p>armoured vehicles, armoured engineering vehicles, armoured cross-country vehicles [UN mission] and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, amphibious vehicles, trucks, mine clearance vehicles, ground vehicles (A0006/20.8%);</p> <p>combat training centre and parts for training equipment (A0014/16.3%)</p>
9 (5)	United Kingdom	168,015,319	<p>Ground support equipment, pilot helmets, ejection seats and parts for combat aircraft, combat helicopters, aircraft, helicopters, engines, in-flight refuelling equipment, ground support equipment, ejection seats (A0010/22.3%);</p> <p>technology for military equipment (A0022/19.6%);</p> <p>communications equipment, electronic warfare equipment, data processing equipment, measuring equipment, testing equipment, assemblies, electricity supplies and parts for electronic equipment, communications equipment, electronic warfare equipment, measuring equipment, testing equipment, assemblies, positioning equipment, navigation equipment (A0011/15.2%);</p> <p>forged, cast and unfinished components (A0016/9.3%);</p> <p>ammunition for mortars, grenade launchers, automatic grenade launchers, submachine guns and parts for ammunition for howitzers, cannons, mortars, anti-tank weapons, launchers, grenade launchers, automatic grenade launchers (A0003/8.8%);</p> <p>ship body conduits and parts for submarines, destroyers, combat vessels, ships, underwater detection equipment (A0009/5.5%)</p>

No. ⁵¹	Country	Value in 2017 (€)	Description of articles
10 (12)	Netherlands	151,815,643	<p>Ammunition for cannons, anti-tank weapons, recoilless weapons, grenade launchers, automatic grenade launchers, rifles, machine guns and parts for ammunition for howitzers, cannons, mortars, anti-tank weapons, rifles (A0003/38.6%);</p> <p>armoured bridgelayers, semi-trailer towing vehicles, trucks, cross-country vehicles, field kitchen and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks, ground vehicles (A0006/32.5%);</p> <p>communications equipment, navigation equipment, guidance equipment, electricity supplies and parts for communications equipment, measuring equipment, testing equipment, assemblies, navigation equipment, electricity supplies (A0011/5.4%);</p> <p>testing equipment and parts for fire control equipment, weapon sights, onboard weapons-control systems, target ranging systems, positioning equipment, testing equipment (A0005/5.4%)</p>
11 (17)	Austria	137,068,359	<p>Armoured vehicles, trucks and parts for main battle tanks, other tanks, armoured vehicles, trucks, cross-country vehicles, transport vehicles, ground vehicles, ballistic protection (A0006/92.3%)</p>
12 (10)	Switzerland	133,992,408	<p>Armoured bridgelayers, trailers, semi-trailers, armoured cross-country vehicles and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks, cross-country vehicles, semi-trailers, antenna supports, ground vehicles (A0006/39.7%);</p> <p>night vision equipment, thermal imaging equipment and parts for night vision equipment, infrared equipment (A0015/15.3%);</p> <p>weapon training equipment and parts for helicopter simulators, flight simulators, target simulators, weapon training equipment, training equipment, simulation equipment (A0014/15.2%);</p> <p>ammunition for cannons, mortars, grenade launchers, automatic grenade launchers, submachine guns and ammunition parts for the following: cannons, mortars, anti-tank weapons, grenade launchers, automatic grenade launchers, rifles, machine guns, revolvers, pistols, launchers (A0003/5.9%);</p> <p>gun laying equipment, target range-finding systems, testing equipment and parts for fire control equipment, weapon sights, gun laying equipment, onboard weapons-control systems, target range finders, positioning equipment, testing equipment (A0005/4.6%)</p>
13 (14)	India	131,097,535	<p>Submarine diesel engines, ship body conduits and parts for submarines, aircraft carriers, destroyers, combat vessels, ships, submarine electric motors, underwater detection equipment (A0009/36.5%);</p> <p>parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles and trucks (A0006/30.3%);</p> <p>target range-finders, testing equipment and parts for fire control systems, onboard weapon control systems, target acquisition systems, radar systems (A0005/11.4%);</p> <p>submachine guns, revolvers, hunting rifles, sporting rifles, self-loading smoothbore hunting weapons, sporting pistols, sporting revolvers, magazines, weapon sights and parts for submachine guns, machine guns, sniper rifles, revolvers, hunting rifles, sporting rifles, sporting pistols (A0001/5.8%)</p>
14 (28)	Israel	123,298,112	<p>Parts for main battle tanks, armoured vehicles and ballistic protection [embassies] (A0006/45.5%);</p> <p>engines and parts for combat aircraft, training aircraft, helicopters, unmanned aircraft, engines, ground support equipment (A0010/33.6%);</p> <p>tools, measuring equipment, testing equipment, load test rig, lessons and parts for load test rigs (A0018/6.8%)</p>

No. ⁵¹	Country	Value in 2017 (€)	Description of articles
15 (9)	Canada	122,590,872	<p>Armoured engineering vehicles and parts for main battle tanks, armoured vehicles, ground vehicles (A0006/47.7%);</p> <p>forged, cast and unfinished components (A0016/19.6%);</p> <p>helicopters, target simulation drones, ground support equipment for target simulation drones, ground support equipment for aircraft and parts for combat aircraft, transport aircraft, aircraft, helicopters, target simulation drones, engines, in-flight refuelling equipment (A0010/12.5%);</p> <p>weapon sights and parts for fire control systems, weapon sights, onboard weapon control systems, target acquisition systems, target classification systems, target range-finder systems, equipment for counteraction (A0005/5.7%)</p>
16 (37)	Indonesia	107,962,648	<p>Amphibious vehicles and parts for main battle tanks, armoured vehicles, amphibious vehicles (A0006/71.8%);</p> <p>assemblies for cameras, communications equipment, testing equipment, navigation equipment, encryption equipment, jamming equipment for satellite navigation systems and parts for radar equipment, communications equipment, positioning equipment, navigation equipment (A0011/11.2%)</p>
17 (13)	France	90,525,113	<p>Ammunition for grenade launchers, automatic grenade launchers, pyrotechnic launchers, submachine guns, machine guns and parts for ammunition for guns, howitzers, cannons, mortars, anti-tank weapons, pyrotechnic launchers, grenade launchers, automatic grenade launchers (A0003/17.5%);</p> <p>ground support equipment, pilot helmet and parts for combat aircraft, combat helicopters, aircraft, helicopters, engines, in-flight refuelling equipment, ground support equipment (A0010/17.3%);</p> <p>rifles with war weapons list number, submachine guns and parts for rifles with war weapons list number, submachine guns (A0001/12.2%);</p> <p>electronic equipment, communications equipment, measuring equipment, testing equipment, cathode-ray tubes, assemblies, components, navigation equipment, encryption equipment and parts for electronic equipment, communications equipment, measuring equipment, testing equipment, assemblies, positioning equipment, navigation equipment, electricity supplies, encryption equipment (A0011/11.5%);</p> <p>target range-finders and parts for fire control systems, weapon sights, onboard weapon control systems, target classification systems, target range-finder systems, positioning equipment, equipment for counteraction (A0005/10.4%);</p> <p>forged, cast and unfinished components (A0016/9.3%);</p> <p>flight simulator, training equipment for helicopter maintenance and parts for flight simulator, training equipment (A0014/7.0%)</p>
18 (16)	Singapore	90,175,721	<p>Recovery vehicles, trucks and parts for main battle tanks, armoured vehicles, amphibious vehicles, recovery vehicles, armoured engineering vehicles, armoured vehicle-launched assault bridge, trucks, cross-country vehicles, ground vehicles (A0006/56.3%);</p> <p>ground support equipment and parts for training aircraft, tanker aircraft, in-flight refuelling equipment, ground support equipment, personnel equipment (A0010/19.7%);</p> <p>ammunition parts for howitzers, cannons, mortars, grenade launchers and automatic grenade launchers (A0003/11.5%)</p>

No. ⁵¹	Country	Value in 2017 (€)	Description of articles
19 (19)	Poland	81,594,922	<p>Trucks, cross-country vehicles, trailers, mobile test beds, ground vehicles and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks, cross-country vehicles, ground vehicles (A0006/42.3%);</p> <p>parts for guns, howitzers and cannons (A0002/18.1%);</p> <p>gun laying equipment, testing equipment, calibration equipment and parts for fire control equipment, onboard weapons-control systems, target acquisition systems, testing equipment (A0005/11.1%);</p> <p>ammunition for cannons, grenade launchers, automatic grenade launchers and parts for ammunition for howitzers, cannons, mortars, anti-tank weapons, grenade launchers, automatic grenade launchers (A0003/10.2%)</p>
20 (44)	Brazil	62,573,653	<p>Parts for main battle tanks and armoured vehicles (A0006/51.8%);</p> <p>submarine diesel engines, ship body conduits and parts for submarines, submarine diesel engines (A0009/19.5%);</p> <p>parts for combat aircraft, transport aircraft, aircraft, helicopters, in-flight refuelling equipment, ground support equipment and personnel equipment (A0010/14.1%)</p>

Annex 8

Export licences by country groups and countries in 2017

EU countries

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position								
Austria	438	A0001	137,068,359													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Belgium							171	A0001	27,105,720					
										A0002						
										A0003						
										A0004						
										A0005						
A0006																
A0007																
A0009																
A0010																
A0011																
A0014																
Bulgaria	11	A0005	1,655,731													
		A0011														
		A0016														
		A0018														
		A0021														

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position								
Croatia	12	A0003	674,670													
		A0006														
		A0015														
		A0017														
		A0018														
		A0021														
		A0022														
Czech Republic	145	A0001	31,391,330													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Denmark							139	A0001	33,137,322					
										A0002						
										A0003						
										A0005						
										A0006						
A0009																
A0010																
A0011																
A0014																
A0015																
A0016																
A0017																
A0018																
A0021																
A0022																
Denmark (Greenland)	3	A0001	48,433													
Estonia	13	A0001	308,025													
		A0003														
		A0005														
		A0011														
		A0017														
		A0018														
		A0021														

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position								
Finland	54	A0001	16,686,682													
		A0002														
		A0003														
		A0005														
		A0006														
		A0010														
		A0011														
		A0013														
		A0015														
		A0016														
		A0017														
		A0018														
		A0022														
		France							581	A0001	90,525,113					
A0002																
A0003																
A0004																
A0005																
A0006																
A0007																
A0009																
A0010																
A0011																
A0014																
A0015																
A0016																
A0017																
A0018																
A0021																
A0022																
France (French Polynesia)	1		A0010	1,100												
France (New Caledonia)	11		A0001	47,608												
			A0003													
			A0016													
			A0022													
Greece	80	A0002	5,152,133													
		A0003														
		A0004														
		A0005														
		A0006														
		A0009														
		A0011														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Hungary	51	A0001	12,234,725					
		A0003						
		A0005						
		A0006						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						
Ireland	52	A0001	2,672,231					
		A0002						
		A0005						
		A0006						
		A0011						
		A0016						
		A0017						
Italy	404	A0001	55,288,073					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						
		Latvia						
A0003								
A0005								
A0011								
A0017								
A0018								
Lithuania	37	A0001	492,606,168					
		A0002						
		A0005						
		A0006						
		A0007						
		A0010						
		A0011						
		A0014						

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Lithuania		A0015						
		A0016						
		A0018						
		A0021						
		A0022						
	Luxembourg	73	A0001 A0002 A0003 A0004 A0005 A0006 A0010 A0011 A0014 A0015 A0017 A0018 A0021	10,070,495				
Malta	2	A0001 A0004 A0009	1,524,150					
Netherlands	519	A0001 A0002 A0003 A0004 A0005 A0006 A0009 A0010 A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022	151,815,643					
Netherlands (Aruba)	1	A0014 A0021	102,895					

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position							
Poland	167	A0001	81,594,922			A0001									
		A0002													
		A0003													
		A0004													
		A0005													
		A0006													
		A0009													
		A0010													
		A0011													
		A0014													
		A0015													
		A0016													
		A0017													
		A0018													
		A0021													
		A0022													
		Portugal				47			A0001	7,686,031			A0001		
									A0002						
									A0005						
									A0006						
									A0009						
									A0011						
A0015															
A0016															
A0018															
A0021															
A0022															
Romania	45		A0001	41,745,998				A0001							
			A0002												
			A0003												
			A0004												
			A0006												
			A0011												
			A0016												
			A0017												
			A0018												
			A0021												
			A0022												
		Slovakia	23			A0001		1,139,569				A0001			
						A0002									
						A0003									
						A0006									
						A0010									
						A0016									
						A0017									
						A0018									
						A0022									

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position								
Slovenia	31	A0001	559,093													
		A0002														
		A0003														
		A0006														
		A0015														
		A0017														
		A0018														
		A0021														
		A0022														
Spain	408	A0001	56,164,499													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0009														
		A0010														
		A0011														
		A0014														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Sweden							255	A0001	53,717,598					
										A0002						
A0003																
A0004																
A0005																
A0006																
A0007																
A0009																
A0010																
A0011																
A0014																
A0016																
A0017																
A0018																
A0021																
A0022																

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position								
United Kingdom	717	A0001	168,015,319													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0019														
		A0021														
		A0022														
		United Kingdom (St. Helena, Ascension and Tristan da Cunha)							1	A0018	1,730					
		Total							4,509		1,482,575,200		0		0	

NATO and NATO-equivalent countries

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Albania	10	A0001	1,345,004					
		A0003						
		A0006						
		A0007						
		A0011						
		A0021						
Australia	427	A0001	265,421,710					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0008						
		A0009						
		A0010						

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Australia		A0011						
		A0014						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						
	Canada	355	A0001	122,590,872				
		A0002						
		A0003						
		A0004						
	A0005							
	A0006							
	A0009							
	A0010							
	A0011							
	A0014							
	A0015							
	A0016							
	A0017							
	A0018							
	A0021							
	A0022							
Iceland	6	A0001	228,957					
	A0008							
	A0011							
	A0016							
Japan	157	A0001	14,721,247					
	A0002							
	A0003							
	A0004							
	A0005							
	A0006							
	A0008							
	A0010							
	A0011							
	A0014							
	A0015							
	A0017							
	A0018							
	A0021							
	A0022							

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Liechtenstein	1	A0003	2,542					
Montenegro	5	A0001 A0005 A0007 A0013	64,503					
New Zealand	111	A0001 A0002 A0003 A0004 A0005 A0006 A0009 A0010 A0011 A0016 A0017 A0021 A0021	5,445,250					
Norway	216	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0015 A0016 A0017 A0018 A0021 A0022	41,931,283					
Switzerland	959	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0014	133,992,408					

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Switzerland		A0015 A0016 A0017 A0018 A0021 A0022						
Turkey	138	A0001 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0017 A0018 A0021 A0022	34,187,941		9	A0001 A0003 A0005 A0016	4,852,638	10/Criterion 2, 3, 7/ A0001, A0003, A0005, A0016
United States	1,527	A0001 A0002 A0003 A0004 A0005 A0006 A0008 A0009 A0010 A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022	345,194,081					
Individual licences NATO or NATO-equivalent countries, total	3,912		965,125,798		9		4,852,638	

Third countries

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Afghanistan	10	A0003	22,168,367	Missile defence systems for aircraft and parts for missile-defence systems for aircraft (A0004/87.4%)	1	A0001	20,422	1/Criterion 7/A0001
		A0004						
		A0005						
		A0006						
		A0011						
		A0011						
Algeria	28	A0001	1,358,774,362	Frigate and parts for frigate, minesweepers (A0009/41.5%); trucks, cross-country vehicles and parts for armoured vehicles, trucks, cross-country vehicles (A0006/18.4%); shipboard helicopters and parts for helicopters (A0010/15.2%); torpedoes, missiles, underwater grenades, firing equipment, transport containers, missile warners and parts for torpedoes, anti-missile systems for aircraft (A0004/9.4%)				
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0015						
		A0018						
A0021								
A0022								
Andorra	25	A0001	252,816	Hunting rifles, magazines and parts for hunting rifles, flash suppressors (A0001/62.1%); ammunition for rifles, revolvers, pistols, hunting weapons, sporting weapons, smoothbore weapons and parts for ammunition for hunting weapons, sporting weapons, smoothbore weapons (A0003/36.9%)				
		A0003						
		A0018						
Angola	1	A0006	200,000	Parts for mine-clearance equipment [aid organisation] (A0006/100%)				
Argentina	44	A0001	2,919,474	Ground surveillance radar and parts for ground surveillance radar (A0005/32.7%); parts for communications equipment and positioning equipment (A0011/24.5%); parts for combat aircraft and ejection seats (A0010/16.3%); hunting rifles, sporting rifles, gun mounts, magazines, flash suppressors, weapon sights and parts for revolvers, pistols, hunting rifles, sporting rifles, gun mounts, flash suppressors (A0001/14.2%)				
		A0004						
		A0005						
		A0006						
		A0008						
		A0009						
		A0010						
		A0011						
		A0018						
		A0022						

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Armenia								
Azerbaijan	1	A0006	302,750	Armoured cross-country vehicles (A0006/100%)	1	A0001	4,018	1/Criterion 1/A0001
Bahrain	6	A0003 A0005 A0008 A0009 A0015 A0021	250,969	Software for communications processing and transmission system (A0021/62.1%); image intensifier tubes (A0015/32.7%)	1	A0013	405,448	2/Criterion 1/A0005, A0013
Bangladesh	4	A0006 A0008 A0010	398,680	Armoured cross-country vehicles [World Bank] and parts for ballistic protection [World Bank] (A0006/97.1%)				
Barbados	1	A0001	1,151	Parts for small arms (A0001/100%)				
Belize								1/Criterion 7/ Firearms Regulation
Bosnia and Herzegovina	10	A0001 A0003 A0007 A0013	191,752	Hunting rifles, sporting rifles, self-loading smoothbore hunting weapons, magazines and parts for hunting rifles (A0001/82.7%)				1/Criterion 7/A0018
Botswana	12	A0001 A0004 A0006 A0008	2,872,319	Trucks, antenna supports and parts for armoured vehicles, antenna supports (A0006/85.3%)				
Brazil	134	A0001 A0002 A0003 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0016 A0017 A0018 A0021 A0022	62,573,653	Parts for main battle tanks and armoured vehicles (A0006/51.8%); submarine diesel engines, ship body conduits and parts for submarines, submarine diesel engines (A0009/19.5%); parts for combat aircraft, transport aircraft, aircraft, helicopters, in-flight refuelling equipment, ground support equipment and personnel equipment (A0010/14.1%)	2	A0001	4,762	1/ Criterion 7 / A0001
Brunei Darussalam	3	A0011	55,364	Parts for communications equipment (A0011/100%)				
Burkina Faso	2	A0006 A0007	140,750	Armoured cross-country vehicles (A0006/98.7%)				

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Burundi	2	A0006	555,427	Armoured cross-country vehicles [UN mission and EU mission] and parts for cross-country vehicles [EU mission] (A0006/100%)				
Cambodia	1	A0003	6,000	Ammunition for revolvers [UN mission] and pistols [UN mission] (A0003/100%)				
Cameroon	2	A0006	557,729	Armoured cross-country vehicles [UN mission and World Bank] and parts for ballistic protection [World Bank] (A0006/100%)				
Central African Republic	5	A0003 A0006	1,117,871	Armoured cross-country vehicles [World Bank, UN mission, EU mission] and parts for armoured cross-country vehicles [World Bank], ballistic protection [EU mission] (A0006/90.3%)				
Chad	1	A0007	1,800	Fan filters (A007/100%)				
Chile	89	A0001 A0003 A0004 A0005 A0006 A0008 A0009 A0010 A0011 A0014 A0015 A0021 A0022	8,464,871	Ship body conduits and parts for submarines, frigate, patrol boats, combat vessels, underwater detection equipment (A0009/47.6%); IFF system, communications equipment, navigation equipment and parts for IFF system, communications equipment, navigation systems (A0011/30.2%); mobile crane and parts for main battle tanks, armoured vehicles, trucks (A0006/6.7%)	1	A0001	5,065	
China	14	A0007 A0008 A0021	40,778,985	Airbag fuel, pyrotechnic mixture, aluminium powder, iron oxide, laboratory chemicals and reference material (A0008/80.7%)	5	A0007 A0013 A0018 A0021 A0022	2,888,157	7/Criterion 1, 7/ A0007, A0013, A0017, A0018, A0021, A0022
China (Hong Kong)					5	A0001 A0003 A0005 A0017 A0022	87,234	4/Criterion 2, 7/ A0001, A0003, A0005, A0017
China (Macau)								1/Criterion 2/A0018

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Colombia	13	A0005	725,053	Secondary radar systems, communications equipment				
		A0010 A0011 A0021 A0022						
Congo, Dem. Republic	2	A0003	231,000	Armoured cross-country vehicles [EU mission] and parts for armoured cross-country vehicles [EU mission] (A0006/86.6%)				
		A0006						
Congo, Republik	1	A0002	7,693	Smoke dischargers and parts for smoke dischargers (A0002/100%)				1/Criterion 7/A0001
Dominican Republic								
Ecuador	6	A0009	563,489	Parts for submarines, frigates and corvettes (A0009/89.5%)				
		A0011 A0021						
Egypt	47	A0004	708,258,491	Submarine and parts for submarines, minesweepers (A0009/43.6%); torpedoes, missiles, firing equipment, equipment for firing equipment and parts for torpedoes, missiles, firing equipment, anti-missile systems for aircraft (A0004/30.4%); fire control systems and parts for fire control equipment, target range-finding systems (A0005/13.5%)				7/Criterion 2, 3, 7/ A0002, A0003, A0014, A0018, A0021
		A0005						
		A0006						
		A0008						
		A0009						
		A0010						
		A0011						
		A0015						
		A0016						
		A0017						
		A0021						
		A0022						
Equatorial Guinea	1	A0006	915,800	Armoured cross-country vehicles (A0006/100%)				
Fiji								
Georgia	4	A0001	91,782	Parts for missiles (A0004/74.8%); Speed indicator system (A0018/16.4%)				1/Criterion 3/A0001
		A0004						
		A0007						
		A0018						
Ghana	2	A0010	5,633	Parts for transport aircraft (A0010/100%)				
Haiti	1	A0001	47,118	Weapon sights [UN mission] (A0001/100%)				

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Honduras								
India	480	A0001 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0016 A0017 A0018 A0019 A0021 A0022	131,097,535	Submarine diesel engines, ship body conduits and parts for submarines, aircraft carriers, destroyers, combat vessels, ships, submarine electric motors, underwater detection equipment (A0009/36.5%) parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles and trucks (A0006/30.3%); target range-finders, testing equipment and parts for fire control systems, onboard weapon control systems, target acquisition systems, radar systems (A0005/11.4%); submachine guns, revolvers, hunting rifles, sporting rifles, self-loading smoothbore hunting weapons, sporting pistols, sporting revolvers, magazines, weapon sights and parts for submachine guns, machine guns, sniper rifles, revolvers, hunting rifles, sporting rifles, sporting pistols (A0001/5.8%)	2	A0016 A0001 A0003 A0022	705,128 19,780	5/ Criterion 7/A0001, A0003, A0018
Indonesia	61	A0001 A0002 A0003 A0005 A0006 A0007 A0009 A0010 A0011 A0015 A0016 A0018 A0021 A0022	107,962,648	Amphibious vehicles and parts for main battle tanks, armoured vehicles, amphibious vehicles (A0006/71.8%); assemblies for cameras, communications equipment, testing equipment, navigation equipment, encryption equipment, jamming equipment for satellite navigation systems and parts for radar equipment, communications equipment, positioning equipment, navigation equipment (A0011/11.2%)	1	A0005	171,990	6/ Criterion 2, 3, 7/ A0001, A0005, A0016, A0017
Iraq	28	A0001 A0003 A0004 A0006 A0007 A0013 A0017	14,989,773	Armoured cross-country vehicles, bulletproof windows and parts for tanks, armoured vehicles, trucks, cross-country vehicles, armoured cross-country vehicles, ballistic protection (A0006/71.1%); missile defence systems for aircraft and parts for rockets, missiles, anti-missile systems for aircraft (A0004/20.0%)	2	A0006	1,915,000	2/ Criterion 1/A0006

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position								
Israel ⁵²	247	A0001	123,298,112	Parts for main battle tanks, armoured vehicles and ballistic protection [embassies] (A0006/45.5%); engines and parts for combat aircraft, training aircraft, helicopters, unmanned aircraft, engines, ground support equipment (A0010/33.6%); tools, measuring equipment, testing equipment, load test rig, lessons and parts for load test rigs (A0018/6.8%)	1	A0001	3,880									
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0008														
		A0009														
		A0010														
		A0011														
		A0013														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Jordan							24	A0001	31,544,730	Flight simulators (A0014/40.9%); tanks, armoured cross-country vehicles [embassy] and parts for armoured vehicles (A0006/38.4%); secondary radar equipment and parts for secondary radar equipment (A0011/4.6%)				1/Criterion 7/A0003
										A0002						
										A0003						
A0005																
A0006																
A0007																
A0008																
A0010																
A0011																
A0014																
A0018																
A0021																
A0022																
Kazakhstan	39		A0001	3,784,463	Communications equipment and parts for communications equipment (A0011/47.8%); hunting rifles, sporting rifles, self-loading smoothbore hunting weapons, magazines and parts for hunting rifles, self-loading smooth-bore hunting weapons (A0001/42.0%)	6	A0001 A0003 A0006	249,949		5/Criterion 2, 7, national policy/A0001, A0003, A0006, Firearms Regulation						
		A0003														
		A0007														
		A0008														
		A0010														
		A0011														
		A0014														
		A0018														
		A0021														
		A0022														
Kenya	4	A0001	13,225,572	Airborne reconnaissance system (A0010/99.8%)	1	A0001	4,288	1/Criterion 7/A0001								
		A0003														
		A0010														

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

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position								
Korea, Republik	463	A0001	253,626,707	Submarine diesel engines, underwater detection equipment, ship body conduits and parts for submarines, frigates, mine-sweepers, combat vessels, ships, submarine diesel engines, submarine electric motors, air-independent propulsion systems, underwater detection equipment, control devices for positioning equipment, ship body conduits (A0009/44.3%); parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks and ground vehicles (A0006/23.4%); parts for torpedoes, rockets, missiles, firing equipment, ground support equipment and missile defence systems for aircraft (A0004/10.8%); electronic equipment, communications equipment, measuring equipment, testing equipment, electron tubes, navigation equipment, electricity supplies, encryption equipment and parts for electronic equipment, communications equipment, direction finders, assemblies, positioning equipment, navigation equipment, guidance equipment, electricity supplies, battery monitoring equipment (A0011/5.1%)				1/Criterion 7/A0022								
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0008														
		A0009														
		A0010														
		A0011														
		A0013														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Kosovo							2	A0001	11,050	Ammunition for revolvers [UN mission], pistols [UN mission], and smoothbore weapons [UN mission] (A0003/91.4%)				
										A0003						
		Kuwait							53	A0001	53,493,347	Mobile electricity generators (A0017/56.1%); communications equipment, electricity supplies and parts for communications equipment, self-defence systems, electricity supplies (A0011/35.0%)				
										A0003						
A0005																
A0007																
A0008																
A0010																
A0011																
A0016																
A0017																
A0021																
A0022																
Kyrgyzstan	3	A0001	42,374	Bomb protection suits (A0013/75.2%); hunting rifles and parts for hunting rifles (A0001/24.8%)												
		A0013														
Lao People's Democratic Republic	1	A0001	17,525	Pistols (A0001/100 %)												

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Lebanon	8	A0001	1,037,477	Armoured cross-country vehicles [UN mission and embassy]	2	A0001	405,103	1/Criterion 1/ A0001, A0005
		A0003						
		A0006						
Libya	1	A0006	540,000	Armoured cross-country vehicles [embassy] (A0006/100%)				
Macedonia, Former Yugoslav Republic	6	A0001	26,379	Hunting rifles, sporting rifles, magazines and parts for hunting rifles (A0001/93.7%)	2	A0001	30,408	2/Criterion 7/A0001
		A0007						
Malaysia	77	A0001	34,268,465	Electronic equipment, communications equipment, flame detectors, electricity supplies and parts for electronic equipment, communications equipment, navigation equipment, electricity supplies (A0011/73.8%); gun laying equipment and parts for fire control equipment, weapon sights, onboard weapons-control systems (A0005/12.7%)	2	A0001	8,428	3/Criterion 2, 3, 7/ A0001
		A0003						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0014						
		A0017						
		A0021						
		A0022						
Mali	11	A0003	4,683,936	Armoured cross-country vehicles [EU mission], trucks and parts for trucks (A0006/83.0%)				
		A0004						
		A0006						
		A0007						
		A0010						
		A0011						
Mauretania	2	A0007	91,305	Parts for parachutes (A0010/98.0%)				
		A0010						
Mauritius	7	A0001	61,007	Hunting rifles, sporting rifles, magazines, flash suppressors and parts for hunting rifles (A0001/58.8%); ammunition for revolvers and pistols (A0003/41.2%)				
		A0003						
Mexico	17	A0007	6,839,127	Parachutes and parts for transport aircraft, parachutes (A0010/43.2%); communications equipment, navigation equipment and parts for communications equipment, navigation systems (A0011/39.1%)				
		A0008						
		A0010						
		A0011						
		A0013						
		A0017						
		A0021						
		A0022						

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Moldova	1	A0007	6,640	Breathing masks [civil defence] (A0007/100%)				
Mongolia	18	A0001 A0003 A0006	268,448	Hunting rifles, magazines, flash suppressors and parts for hunting rifles, flash suppressors (A0001/75.9%); ammunition for hunting weapons, sporting weapons and smoothbore guns (A0003/16.7%)				
Morocco	24	A0001 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0016 A0021 A0022	11,347,757	Parts for cannon ammunition (A0003/58.9%); parts for unmanned aircraft and ground support equipment (A0010/26.6%)	2	A0002 A0003 A0021	125,565	2/ Criterion 2/A0002, A0003, A0021
Myanmar					1	A0007	5,070	4/ Criterion 1a/A0006, A0007, A0010
Namibia	14	A0001 A0003 A0005 A0006 A0016	115,204	Pistols, hunting rifles, magazines and parts for hunting rifles (A0001/55.1%); parts for gun laying equipment (A0005/30.4%)				
Nepal					1	A0010	81,747	2/ Criterion 3/A0004, A0010
Niger	1	A0007	1,800	Fan filters (A007/100%)				
Nigeria	6	A0005 A0006 A0008 A0013 A0014 A0021 A0022	3,384,845	Ground surveillance radar and parts for ground surveillance radar (A0005/87.1%)				
Oman	128	A0001 A0002 A0003 A0005 A0006 A0007 A0008 A0010	18,474,472	Parts for main battle tanks, armoured vehicles and trucks (A0006/32.2%); communications equipment and parts for communications equipment (A0011/29.3%);	2	A0003	22,954	2/ National policy (Small Arms Principles)/A0003

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Oman		A0011 A0013 A0016 A0021 A0022		rifles with war weapons list number, submachine guns, pistols, hunting rifles, sporting pistols, magazines and parts for rifles with war weapons list number, hunting rifles (A0001/9.9%); armoured plates (A0013/7.0%); ground support equipment and parts for combat aircraft, transport aircraft, helicopters, engines, ground support equipment (A0010/6.6%)				
Pakistan	50	A0004 A0005 A0006 A0010 A0011 A0016 A0021 A0022	32,395,672	Communications equipment, encryption equipment and parts for communications equipment, electronic warfare, measuring equipment, testing equipment, positioning equipment, navigation equipment, electricity supplies (A0011/39.1%); fire control systems and parts for fire control systems (A0005/31.6%); parts for reconnaissance aircraft, helicopters, unmanned aircraft and engines (A0010/22.3%)	1	A0017	115,837	4/Criterion 3, 4, 7/ A0003, A0010, A0017
Papua New Guinea	1	A0010	1,650	Parts for helicopters (A0010/100%)				1/Criterion 3, 7/ A0010
Paraguay	2	A0008	440	Laboratory chemicals (A0008/100%)				
Peru	19	A0001 A0005 A0006 A0009 A0010 A0011 A0018 A0021 A0022	22,862,668	Fire control systems and parts for fire control systems (A0005/86.6%)	1	A0001	2,200	1/Criterion 7/A0001
Philippines	7	A0001 A0005 A0007 A0010 A0021	1,125,324	Parachutes and parts for helicopters, parachutes (A0010/73.2%) parts for target acquisition systems (A0005/24.3%)	2	A0013	189,600	5/Criterion 2, 3, 7/ A0005, A0013, A0015

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position								
Qatar	24	A0001	43,316,613	Mobile electricity generators (A0017/91.2 %)												
		A0003														
		A0004														
		A0005														
		A0007														
		A0010														
		A0011														
		A0013														
		A0015														
		A0016														
		A0017														
		Russian Federation							7	A0001	2,520,867	Satellite fuel (A0008/96.7%)	2	A0006	347,550	2/Criterion 1/A0006, A0018
										A0008						
Saudi Arabia	129	A0001	254,457,823	Patrol boats and parts for mine-hunters, patrol boats (A0009/62.2%); trucks and parts for armoured vehicles, trucks (A0006/24.6%)	2	A0001	62,850	3/Criterion 4, 7, national policy/A0001, A0005, A0006, A0011								
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0008														
		A0009														
		A0010														
		A0011														
		A0017														
		A0018														
A0021																
A0022																
Senegal	1	A0010	9,971	Parts for training aircraft (A0010/100%)												
Serbia	38	A0001	479,129	Hunting rifles, sporting rifles, self-loading smoothbore hunting weapons, gun mounts, magazines and parts for hunting rifles (A0001/84.3%)	3	A0001	116,247	3/Criterion 7, national policy/A0001, A0003								
		A0003														
		A0021														
		A0022														
		Singapore				194			A0001	90,175,721	Recovery vehicles, trucks and parts for main battle tanks, armoured vehicles, amphibious vehicles, recovery vehicles, armoured engineering vehicles, armoured vehicle-launched assault bridge, trucks, cross-country vehicles, ground vehicles (A0006/56.3%); ground equipment and parts for training aircraft, tanker aircraft, in-flight refuelling equipment, ground support equipment, personnel equipment (A0010/19.7%);					
A0002																
A0003																
A0004																
A0005																
A0006																
A0007																
A0008																
A0009																
A0010																
A0011																
A0013																

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Singapore		A0015 A0017 A0018 A0021 A0022		ammunition parts for howitzers, cannons, mortars, grenade launchers and automatic grenade launchers (A0003/11.5%)				
Somalia	3	A0003 A0006	1,031,450	Armoured cross-country vehicles [embassy] (A0006/85.7%)				
South Africa	136	A0001 A0002 A0003 A0004 A0005 A0006 A0008 A0009 A0010 A0011 A0013 A0015 A0016 A0017 A0018 A0021 A0022	17,593,911	Parts for assemblies, navigation equipment and electricity supplies (A0011/25.6%); manufacturing equipment and testing equipment for military equipment (A0018/20.0%); water dispensing systems in containers (A0017/15.5%); night vision equipment (A0015/8.4%); rifles without war weapons list number, hunting rifles, sporting rifles, sporting pistols, gun mounts, magazines, flash suppressors, weapon sights and parts for revolvers, pistols, hunting rifles, sporting revolvers (A0001/6.6%); technology for missile parts, torpedo parts, periscope parts and ship parts (A0022/6.6%)	3	A0001	272,064	3/Criterion 7/A0001, Firearms Regulation
South Sudan	4	A0006	1,265,080	Armoured cross-country vehicles [embassy, EU mission, World Bank] and parts for armoured cross-country vehicles [EU mission, World Bank] (A0006/100%)				
Sri Lanka	4	A0001 A0008 A0013	319,865	Bomb protection suits (A0013/98.2%)				
Suriname								1/Criterion 7/ Firearms Regulation
Syria	4	A0006	723,339	Armoured cross-country vehicles [UN mission] and parts for ballistic protection [UN mission] (A0006/100%)				
Tajikistan	1	A0013	2,899	Demining helmets [EU mission] (A0013/100%)				
Tanzania	4	A0001	13,500	Hunting rifles and parts for hunting rifles (A0001/100%)				

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Thailand	36	A0001	12,637,715	Communications equipment, navigation equipment	7	A0005	45,443	18/Criterion 2, 3, 4, 7/A0001, A0005, A0006, A0010, A0013, A0014, A0015, A0017, A0018, A0021, A0022, Firearms Regulation
		A0004						
		A0005						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0017						
		A0021						
A0022								
Togo	1	A0006	26,000	Trucks (A0006/100%)				
Trinidad und Tobago	1	A0001	341,145	Submachine guns, magazines and parts for submachine guns (A0001/99.9%)				
		A0018						
Tunisia	17	A0001	58,240,895	Trucks, wheel loaders and parts for armoured vehicles (A0006/88.0%)				
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0015						
		A0022						
Turkmenistan	1	A0011 A0021	3,576,152	Communications equipment and parts for communications equipment (A0011/96.2%)				
Uganda	1	A0003	932	Ammunition for revolvers and pistols (A0003/100%)				
Ukraine	46	A0001	2,725,059	Hunting rifles, sporting rifles, gun mounts, magazines and parts for hunting rifles, sporting rifles, flash suppressors (A0001/47.0%); breathing masks, detection equipment and parts for detection equipment (A0007/43.6%)	2	A0003 A0017	129,227	7/Criterion 3, 7/A0001, A0003, A0011, A0017
		A0003						
		A0006						
		A0007						
United Arab Emirates	85	A0001	213,866,923	Armoured plate, reactive armour and helmet (A0013/54.2%); armoured vehicles, armoured engineering vehicles, armoured cross-country vehicles [UN mission] and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, amphibious vehicles, trucks, mine clearance vehicles, ground vehicles (A0006/20.8%); combat training centre and parts for training equipment (A0014/16.3%)				
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0013						
		A0014						
		A0016						

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
United Arab Emirates		A0017 A0021 A0022						
Uruguay	5	A0001 A0008	27,916	Hunting rifles, magazines and parts for hunting rifles (A0001/98.8%)	1	A0016	85,136	1/Criterion 2/A0016
Uzbekistan								
Venezuela								
Viet Nam	17	A0005 A0007 A0008 A0010 A0011 A0013 A0021 A0022	2,510,866	Communications equipment and parts for communications equipment (A0011/44.4%); decontamination equipment decontaminants and parts for decontamination equipment, detection equipment (A0007/29.7%); technology for detection equipment (A0022/18.6%)	3	A0005 A0006 A0013	455,664	4/Criterion 2, 7/ A0005, A0006, A0013
Yemen	1	A0006	5,858	Parts for ballistic protection [UN mission] (A0006/100%)	1	A0011	435,760	1/Criterion 3, 4/ A0011
Zambia	18	A0001 A0003 A0006	626,184	Armoured cross-country vehicles (A0006/80.4%)	2	A0001	8,320	3/Criterion 7/A0001
Cyprus, Northern								
Taiwan	22	A0001 A0005 A0007 A0008 A0009 A0011 A0017 A0018 A0022	4,078,674	Ship body conduits and parts for submarines, underwater detection equipment (A0009/81.2%)	3	A0009 A0010 A0022	61,219	4/Criterion 4, 7/ A0009, A0010, A0016, A0017, A0022
Total – Third countries	3,077		3,794,632,088		80		9,520,484	
Total NATO and NATO-equivalent countries and third countries	11,498		6,242,333,086		89		14,373,122	

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

Retrospective changes to the data used in the 2016 Report (status January 2017) with comparative data, status January 2018

Country	Quantity in 2016 Report	Value in 2016 Report	Altered licences / reports	Change in number	Change in value in €	Reason for change
Australia	414	201,714,795	1		+20	Price increase
Chile	76	43,326,919	1		+4,472	Alteration to the vehicle – price increase
France	615	119,573,395	1		+120	Price increase
India	431	104,685,099	1		+9,250	Price increase
Italy	442	79,662,792	1		+1,000	Exchange rate movements
Lebanon	27	4,660,233	1		+7,228	Price increase
Malaysia	107	61,856,877	1		+850,000	Additional costs
Pakistan	58	23,600,854	1		+5,566	Price increase
Turkey	213	83,900,411	1	-1	-2,500	Follow-up application to already approved application
United Arab Emirates	215	169,475,128	1		+22	Price increase
United States	1,552	1,156,475,661	1		+630	Calculation error by applicant
Total			11	-1	+875,808	

Change in designation

Country	Previous designation	Previous value	New designation	New value
-	-	-	-	-

Annex 9

Collective export licences in 2017

In 2017, a total of 37 new collective export licences were authorised for military equipment (final exports) with a total value of €324,932,000.

Number of collective licences	Export List positions	Total value in €
37	A0010 A0021 A0022	324,932,000

Countries of destination of the newly approved collective export licences (2017)

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

Country of destination	Number of collective licences
Australia	2
Austria	6
Belgium	7
Canada	2
Czech Republic	2
Denmark	5
Finland	1
France	18
Italy	32
Netherlands	4
Spain	25
Sweden	4
Switzerland	6
Turkey	2
United Kingdom	29
United States	13

Joint programmes for which collective export licences were approved in 2017

Joint programme	TAG – Technology transfer for study purposes
Number of collective licences	3
Value of collective licences	€0
Main EL positions	A0021, A0022
Countries of final destination	Australia, Denmark, Finland, France, Italy, Spain, Switzerland, Turkey, United Kingdom, United States

Joint programme	EDA – Mid Air Collisions Avoidance System (MIDCAS)
Number of collective licences	2
Value of collective licences	€382,000
Main EL positions	A0021, A0022
Countries of final destination	Belgium, France, Italy, Spain, Sweden

Joint programme	1092 – Eurofighter for Arab states
Number of collective licences	2
Value of collective licences	€24,200,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Austria, Belgium, France, Italy, Spain, United Kingdom, United States

Joint programme	1093 – EF Turbine EJ 200 Kuwait
Number of collective licences	5
Value of collective licences	€42,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Italy, Spain, United Kingdom

Joint programme	1094 – Eurofighter Kuwait
Number of collective licences	21
Value of collective licences	€257,100,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Austria, Belgium, Canada, Czech Republic, Denmark, France, Italy, Netherlands, Spain, Sweden, Switzerland, United Kingdom, United States

Joint programme	1097 – Eurofighter RSAF
Number of collective licences	1
Value of collective licences	€250,000
Main EL positions	A0010
Countries of final destination	France, United Kingdom, United States

Joint programme	4019 – Airbus Tanker
Number of collective licences	1
Value of collective licences	€1,000,000
Main EL positions	A0010
Countries of final destination	Australia, France, Spain, United Kingdom

Brokering licences by country in 2017 (Part IA – military articles; final exports)

Country of destination	Quantity	Total value in €	Description of articles	Value in €	EL position	Country of origin
Afghanistan	1	402,135	3 items cross-country vehicles [GIZ]	402,135	A0006B	United Arab Emirates
Korea, Republic	6	1,796,204	1 set parts for mine-clearance equipment; 433 kg RDX (hexogen); 11,700 kg HMX (octogen); 3,400 items parts for submarines	745,500 9,050 1,030,454 11,200	A0004B A0008A A0008A A0009A	Israel Norway Norway United States
Kuwait	1	3,980	1 item image intensifier equipment	3,980	A0015C	Switzerland
Norway	1	11,250	50 kg rocket fuel	11,250	A0008F	Republic of Korea
Qatar	1	42,504	6,000 items smoothbore ammunition	42,504	A0003A	United States
Somalia	2	422,451	2 items cross-country vehicles [GIZ]; 50 items body armour vests; 100 items armour for protective vests; 25 items night vision goggles; 100 items parts for image intensifier equipment	273,183 33,087 10,288 83,838 22,055	A0006B A0013D A0013D A0015C A0015C	United Arab Emirates United States United States United States United States
Switzerland	4	72,692	28 items ballistic protection plating; 1 item thermal imaging attachment; 54 items signature-suppressing coatings; 24 items test reports	3,920 50,000 17,667 1,105	A0013D A0015D A0017C A0022A	Israel Israel United States United States
Tunisia	1	244,866	37 items image intensifier equipment	244,866	A0015C	Switzerland
Total	17	2,996,082		2,996,082		

Rejected licences for trading and brokering transactions (Part IA – military articles, final exports) in 2017

Country of destination	Quantity	Total value in €	Description of articles	Value in €	EL position	Country of origin
Turkey	2	2,470,000	3,000,000 items ammunition for rifles	2,470,000	A0003A	United States
Total	2	2,470,000		2,470,000		

Annex 11

Reported exports of small arms and light weapons to the UN Register of Conventional Arms in 2017

1. Small arms

1.1 Revolvers and semi-automatic pistols

Final country of import	Quantity	Notes re transfer
	none	

1.2. Rifles and carbines

Final country of import	Quantity	Notes re transfer
United Kingdom	3	

1.3 Submachine guns

Final country of import	Quantity	Notes re transfer
Austria	30	
Belgium	156	
Czech Republic	350	
Denmark	24	
Estonia	10	
France	5,660	
Hungary	15	
Iceland	5	
India	3,433	
Indonesia	540	
Ireland	50	
Italy	130	
Jordan	20	
Latvia	341	
Lithuania	50	
Luxembourg	110	
Malaysia	300	
Malta	15	
Netherlands	52	
Norway	20	
Oman	500	
Poland	174	
Portugal	158	
Romania	30	
Singapore	1	

1.3 Submachine guns

Final country of import	Quantity	Notes re transfer
Spain	61	
Sweden	2,084	
Switzerland	444	
Trinidad and Tobago	400	
United States	51	

1.4 Assault rifles

Final country of import	Quantity	Notes re transfer
Austria	5	
Belgium	2	
Brazil	18	
Canada	13	
Czech Republic	302	
Finland	2	
France	8,436	
Hungary	5	
Indonesia	450	
Ireland	30	
Italy	175	
Japan	81	
Jordan	20	
Republic of Korea	460	
Latvia	229	
Lebanon	5	
Lithuania	609	
Malaysia	300	
Netherlands	121	
Norway	2	
Oman	1,000	
Poland	370	
Portugal	176	
Singapore	1	
Slovakia	287	
Slovenia	300	

1.4 Assault rifles

Final country of import	Quantity	Notes re transfer
Spain	610	
Sweden	4	
Tunisia	12	
United Kingdom	96	
United States	104	

1.5 Light machine guns

Final country of import	Quantity	Notes re transfer
Indonesia	50	
Jordan	55	
Lithuania	54	
Malaysia	50	
Spain	3	

2. Light weapons

2.1 Grenade launchers integrated into small arms or assembled individually

Final country of import	Quantity	Notes re transfer
Austria	3	
Canada	228	
Czech Republic	35	
France	664	
Indonesia	150	
Ireland	53	
Lithuania	2	
Netherlands	5	
Portugal	46	
Singapore	111	
Spain	1	
Switzerland	17	
United Kingdom	87	
United States	1	

2.2 Recoilless rifles

Final country of import	Quantity	Notes re transfer
Oman	200	

2.3 MANPADS

Final country of import	Quantity	Notes re transfer
Romania	157	

2.4 Mortars of less than 100m calibre

Final country of import	Quantity	Notes re transfer
Switzerland	1	

Annex 12

Exports of war weapons in 2017 (commercial and German Ministry of Defence), broken down by consignee country and value⁵³

Country	Value in €1,000	Country	Value in €1,000
Algeria	901,840	Luxembourg	159
Argentina	141	Malaysia	8,401
Australia	106	Mali	113
Austria	2,449	Netherlands	7,582
Belgium	3,437	Norway	8,121
Brazil	17	Oman	1,753
Canada	5,198	Pakistan	13,759
Chile	24	Poland	11,015
Croatia	1	Portugal	509
Czech Republic	24,489	Qatar	350,866
Denmark	54	Romania	39,879
Egypt	637,610	Saudi Arabia	110,303
Estonia	28	Singapore	82,005
Finland	18	Slovakia	681
France	12,118	Slovenia	360
Hungary	29	South Africa	2,170
Iceland	6	Spain	1,191
India	22,106	Sweden	17,111
Indonesia	35,886	Switzerland	10,578
Ireland	65	Turkey	62,272
Israel	338	United Arab Emirates	16,780
Italy	585	United Kingdom	10,557
Japan	60	United States	18,124
Jordan	3,966	Total:	2,651,658
Korea, Republic	212,326		
Latvia	267		
Lithuania	14,206		

53 Including exports to UN missions.

Annex 13

DAC List of ODA Recipients; Effective for reporting on 2014, 2015, 2016 and 2017 flows

Least Developed Countries	Other Low Income Countries (per capita GNI < \$1.045 in 2013)	Lower Middle Income Countries and Territories (per capita GNI \$1.046 – \$4.125 in 2013)	Upper Middle Income Countries and Territories (per capita GNI \$4.126 – \$12.745 in 2013)
Afghanistan	Democratic People's Republic of Korea	Armenia	Albania
Angola ¹	Kenya	Bolivia	Algeria
Bangladesh	Tajikistan	Cabo Verde	Antigua and Barbuda ³
Benin	Zimbabwe	Cameroon	Argentina
Bhutan		Congo	Azerbaijan
Burkina Faso		Côte d'Ivoire	Belarus
Burundi		Egypt	Belize
Cambodia		El Salvador	Bosnia and Herzegovina
Central African Republic		Georgia	Botswana
Chad		Ghana	Brazil
Comoros		Guatemala	Chile ²
Democratic Republic of the Congo		Guyana	China (People's Republic of)
Djibouti		Honduras	Colombia
Equatorial Guinea ¹		India	Cook Islands ⁴
Eritrea		Indonesia	Costa Rica
Ethiopia		Kosovo	Cuba
Gambia		Kyrgyzstan	Dominica
Guinea		Micronesia	Dominican Republic
Guinea-Bissau		Moldova	Ecuador
Haiti		Mongolia	Fiji
Kiribati		Morocco	Former Yugoslav Republic of Macedonia
Lao People's Democratic Republic		Nicaragua	Gabon
Lesotho		Nigeria	Grenada
Liberia		Pakistan	Iran
Madagascar		Papua New Guinea	Iraq
Malawi		Paraguay	Jamaica
Mali		Philippines	Jordan
Mauritania		Samoa	Kazakhstan
Mozambique		Sri Lanka	Lebanon
Myanmar		Swaziland	Libya
Nepal		Syrian Arab Republic	Malaysia
Niger		Tokelau	Maldives
Rwanda		Ukraine	Marshall Islands
Sao Tome and Principe		Uzbekistan	Mauritius
Senegal		Viet Nam	Mexico
Sierra Leone		West Bank and Gaza Strip	Montenegro
Solomon Islands			Montserrat
Somalia			Namibia
South Sudan			Nauru
Sudan			Niue
Tanzania			Palau ³
Timor-Leste			Panama
Togo			Peru
Tuvalu			Saint Helena
Uganda			Saint Lucia
Vanuatu ¹			Saint Vincent and the Grenadines
Yemen			Serbia
Zambia			Seychelles ²
			South Africa
			Suriname
			Thailand
			Tonga
			Tunisia
			Turkey
			Turkmenistan
			Uruguay ²
			Venezuela
			Wallis and Futuna

- (1) The United Nations General Assembly resolution A/RES/70/253 adopted on 12 February 2016 decided that Angola will graduate five years after the adoption of the resolution, i.e. on 12 February 2021. General Assembly resolution 68/L.20 adopted on 4 December 2013 decided that Equatorial Guinea will graduate from the least developed country category three and a half years after the adoption of the resolution. General Assembly resolution A/RES/68/18 adopted on 4 December 2013, decided that Vanuatu will graduate four years after the adoption of the resolution on 4 December 2017. General Assembly resolution A/RES/70/78 adopted on 9 December 2015, decided to extend the preparatory period before graduation for Vanuatu by three years, until 4 December 2020, due to the unique disruption caused to the economic and social progress of Vanuatu by Cyclone Pam.
- (2) At the time of the 2017 review of this List, the DAC agreed on the graduation of Chile, Seychelles and Uruguay as from 1 January 2018.
- (3) Antigua and Barbuda exceeded the high-income threshold in 2015 and 2016, and Palau exceeded the high-income threshold in 2016. In accordance with the DAC rules for revision of this List, if they remain high income countries until 2019, they will be proposed for graduation from the List in the 2020 review.
- (4) The DAC agreed to defer decision on graduation of Cook Islands until more accurate GNI estimations are available. A review of Cook Islands will take place in the first quarter of 2019.

