



Federal Ministry  
for Economic Affairs  
and Energy

*2014 Military Equipment Export Report*

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**Report by the Government of  
the Federal Republic of Germany  
on Its Policy on Exports of  
Conventional Military Equipment  
in 2014**

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# Contents

<b>Summary</b> .....	<b>4</b>
<b>I. The German Control System for Military Equipment Exports</b> .....	<b>8</b>
1. The German export control system.....	8
2. Guidelines for the licensing of exports of military equipment.....	9
<b>II. German Policy on the Export of Military Equipment in the International Context</b> .....	<b>12</b>
1. Disarmament agreements.....	12
2. Arms embargoes.....	12
3. Common Foreign and Security Policy of the EU.....	12
4. EU Directive on transfers of defence-related products within the Community.....	13
5. Framework Agreement concerning Measures to Facilitate the Restructuring and Operation of the European Defence Industry.....	13
6. Wassenaar Arrangement.....	13
7. UN Register of Conventional Arms.....	14
8. International discussion on small arms and light weapons.....	15
9. Arms Trade Treaty (ATT).....	16
10. Outreach activities.....	17
<b>III. Licences for the Export of Military Equipment and War Weapons</b> .....	<b>19</b>
1. Export licences for military equipment (war weapons and other military equipment).....	19
a) Individual licences.....	19
b) Collective export licences.....	22
c) Export licence denials.....	23
d) Most important countries of destination.....	23
e) Individual export licences broken down by Export List (EL) Items.....	23
f) Export licences from 2004 to 2014.....	25
g) War weapons' share of licensed values in 2014.....	26
h) Licences for the export of small arms from 2004 to 2014.....	26
i) Licences for brokering transactions in 2014.....	32
2. Exports of war weapons.....	33
a) War weapon exports in reporting year 2014.....	33
(1) Bundeswehr exports.....	33
(2) Commercial exports.....	33
b) War weapons exports from 2004 to 2014.....	34
3. German military equipment exports by international comparison.....	35

**Annexes**

1a Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment.....	36
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 Countries.....	40
2 EU Council Common Position.....	42
3 Arms Trade Treaty – ATT.....	48
4 Export List Part I.....	48
5 War Weapons List.....	49
6 Arms Embargoes in Force in 2014.....	51
7 Most important countries of destination in 2014.....	52
8 Export licences by country groups and countries in 2014.....	58
9 Collective export licences in 2014.....	86
10 Brokerage transactions by country in 2014.....	87
11 Reported exports of small arms and light weapons to the UN Register of Conventional Arms in 2014.....	88
12 List of the OECD Development Assistance Committee on developing countries and areas.....	90

# Summary

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. For the second time, the Federal Government is publishing the German version of the report before the summer break.

## Greater transparency

In order to improve the transparency of exports of military equipment, the first interim report on the licensing of such exports in the first half of 2014 was presented on 15 October 2014. By doing this, the Federal Government is responding to the desire of parliament and the public for greater transparency in this field. In addition to the new transparency rules adopted by the coalition, the final decisions on export licences by the Federal Security Council will also be disclosed to parliament in accordance with the ruling by the Federal Constitutional Court of 21 October 2014 (2 BvE 5/11). Parliament has already been informed about several final decisions on export licences by the Federal Security Council. The Federal Government has in each case explained the main reasons for the respective decision to the Bundestag's Economic Affairs and Energy Committee. Further to this, the Federal Government explained a wide range of aspects of military equipment export policy in greater detail in response to questions from parliament in 2014. This has also significantly improved transparency in this sensitive policy field.

## Restrictive policy on exports of military equipment

The Federal Government is pursuing a restrictive policy on the export of military equipment. The Political Principles adopted by the Federal Government in 2000, the EU Common Position of 2008 and the Arms Trade Treaty provide the framework for this approach to licensing. Respect for human rights in the recipient country plays an important role in the decision-making process. The Political Principles set out clear requirements here: if there is "sufficient suspicion" that the military equipment will be misused "for internal repression or other ongoing and systematic violations of human rights", a licence is not normally issued. Here, consideration is given to the country's conduct

in the past relating to the use of military equipment. If there is no sufficient suspicion that the equipment will be misused, the Federal Government then examines the case, giving consideration to all the circumstances, including Germany's foreign and security policy interests, in the respective country and region. Such considerations are also customary in EU and NATO countries.

The Arms Trade Treaty entered into force on 24 December 2014. The Federal Government had already deposited the instrument of ratification at the United Nations on 2 April 2014. This Treaty establishes the first internationally binding rules for the export of military equipment. The Federal Government therefore also participates in outreach activities of the European Union in the context of the Arms Trade Treaty and of the Wassenaar Arrangement in order to explain these standards and procedures to third countries.

## Greater regulation of small arms

The overwhelming majority of casualties in internal and cross-border conflicts are caused by the use of small arms and light weapons. However, the majority of casualties due to small arms are caused by violent crime. Developing countries and societies with a high level of violence are particularly susceptible to this, where small arms can often be procured inexpensively and illegally from corrupt state actors and through internationally operating arms brokers. National control mechanisms are mostly underdeveloped in these countries. In many cases, the misuse of small arms 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, and particularly to developing countries, in order to prevent such misuse of German small arms.

In order to improve the control of small arms, the Federal Government adopted the "Small Arms Principles" (Principles for the Issue of Licences for the Export of Small and Light Weapons, Related Ammunition and Corresponding Manufacturing Equipment to Third Countries) on 18 March 2015. The intention is to significantly reduce the risk of proliferation of small arms. The Small Arms Principles state that, regarding the export of technology and production equipment, there is the fundamental rule that no licences will be issued in connection with the opening of new pro-

duction lines for small arms and ammunition in third countries. Also, for the export of small arms to third countries, the “New for Old” principle is applied, or, in cases where this is not applicable, the principle “New, destroy when discarded” is applied wherever possible. This calls for sales contracts to be worded to ensure that the recipient destroys small arms that are to be replaced by the new consignment, in order to prevent their proliferation. This principle can in certain cases also be applied to other military equipment.

One of the other key new features of the small-arms principles is the requirement for buyers to specifically commit to refraining from passing on the weapons to different recipients than those for whom the licence was issued, either abroad or in the recipient’s own country, without first seeking approval from the Federal Government. This requirement goes beyond the standard clause on re-exports that already applies.

#### End-use control

In addition to this reform of the principles governing **small arms**, the German military equipment export control system includes a careful scrutiny of the final destination of the exported military equipment. This aims to ensure that military equipment is not delivered to recipients if there is a danger that the goods will be diverted. The recipient certifies that it will ensure the final destination of the military equipment exported. If there are doubts about the end-use by the recipient, export applications are rejected. In the few isolated cases in which a diversion has come to light, the Federal Government vigorously follows up any such indications. If it is proven that assurances of end-use have been violated, the issuing of export licences for the relevant recipients is normally suspended until the facts have been clarified and the danger of renewed unauthorised re-exports has been removed. For example, last year the Federal Government suspended licences for small arms and light weapons for certain countries and subjected certain companies to a reliability test.

At the same time, the Federal Government is seeking ways to further improve the current end-use control system. The inter-ministerial discussions on this are underway.

#### Licensing figures for 2014

The contents of the 16th report on the export of military equipment, covering 2014, can be summarised as follows:<sup>1</sup>

In 2014, the total value of licences for the export of military equipment dropped considerably. This also applies to licences for developing countries and for small arms. A large proportion of the individual export licences refer to ships and submarines used to defend coasts and combat piracy. It is clear that these do not entail any violation of human rights or risk of repression.

In 2014, single-transaction export licences for military equipment totalled approximately € 3.974 billion (2013: approximately € 5.846 billion). The total value thus fell by approx. € 1.8 billion in year-on-year terms. Of this amount, approx. 39.5% was accounted for by countries from the EU and NATO and countries with NATO-equivalent status (2013: approx. 38%), and 60.5% by third countries (2013: approx. 62%). The high proportion of export licences for third countries is due to large-volume licences for Israel, Singapore, Korea and Saudi Arabia.

The total licence value of € 3.974 billion relates to articles from Part I Section A of the Export List, i.e. to all military equipment including war weapons.

Individual licences for the export of war weapons add up to a total of € 1.410 billion, or approximately 37% of the total for overall individual licences (2013: € 757.2 million). The largest third-country recipient and the main cause of the rise was Israel (including licence for a submarine).

The volume of export licences for small arms stood at € 47.43 in 2014, down by almost half from the previous year (€ 82.63 million). However, the volume of licences does fluctuate from year to year. The value of small arms export licences to third countries in 2014 amounted to € 21.63 million (2013: € 42.23 million). The largest item here was the granting of aid by the Federal Government to the Kurdish regional government in Iraq in the form of equipment (€ 15.27 million).

1 The Military Equipment Export Reports submitted thus far have been published as Bundestag Printed Papers and may be found at: <http://www.bmwi.bund.de>.

Developing countries<sup>2</sup> accounted for 5.5% of the overall value of all individual export licences in the reference year (2013: 9.6%)<sup>3</sup>. The value of the collective licences granted for exports in connection with defence cooperation between EU and NATO partners amounted to roughly € 2.545 billion during the reference year (2013: € 2.494 billion).

In 2014, 100 applications for military equipment exports (preceding year: 71) were denied. The total value of the denials came to € 9.72 million (preceding year: €10.04 million).

In general, the total values of the licences issued in a reference period do not provide any useful yardstick for assessing a specific policy on exports of military equipment. Rather – particularly when exports go to third countries – consideration must be given to the respective country of destination, the type of goods and the intended use when assessing the decision. This applies, for example, to the delivery of armoured cross-country vehicles for international organisations and the export of mine-clearing equipment for aid organisations, which are included in the total volume of exports. The Federal Government will continue to strictly scrutinise each case before deciding whether to issue the specific export licence.

In addition to the figures for the export licences issued, in the case of war weapons statistics are also kept for the actual exports (2014: € 1.823 billion, 2013: € 957 million<sup>4</sup>). The total value thus rose by € 866 million compared with the year before. The increase is mainly due to the delivery of a submarine to Israel, the export of which had been promised back in 2003. Previous reports have included comments on this licence.

Since the licences are not necessarily used for an export in the same year, the figures for licences and exports generally differ. The share of exports going to the EU, NATO, and countries with NATO-equivalent status stood at roughly 23% in the reference year (2013: approx. 35%); the share of exports to third countries amounted to approx. 77% (2013: approx. 65%). The countries of Israel, the Republic of Korea, the United Arab Emirates and Brunei Darussalam accounted for approx. 70% of the total volume of commercial exports of war weapons to third countries.

Details of German military equipment export policy in the international context can be found in Chapter II and Chapter III.3. The total licences for 2014 are described in Annex 8, ordered by country.

- 2 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 12 of this Report.
- 3 For details, see III.1.a).
- 4 Due to retrospective reports to the Federal Statistical Office on exports to Italy, the total volume of actual exports in 2013 was corrected upwards by €23.6 million.





# 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<sup>5</sup> and the Foreign Trade and Payments Act<sup>6</sup> in conjunction with the Foreign Trade and Payments Ordinance<sup>7</sup>. 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<sup>8</sup> ("Political Principles"), the Council Common Position of the EU defining common rules governing control of exports of military technology and equipment of 8 December 2008<sup>9</sup> ("EU Common Position") and the Arms Trade Treaty<sup>10</sup> provide the licensing authorities with guidelines.

The Foreign Trade and Payments Act and the Foreign Trade and Payments Ordinance require the licensing of **all** military equipment exports. The military equipment is listed in full in Part I Section A of the Export List (EL, Annex to Foreign Trade and Payments Ordinance).<sup>11</sup> 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.6. and on the EU under II.3. and 4.).

Some of the military equipment articles falling under the Export List are also **war weapons** as defined by Art. 26(2) of the Basic Law and the War Weapons Control Act. 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)<sup>12</sup> and provided in

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

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

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

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

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

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

7 Foreign Trade and Payments Ordinance in the version of 2 August 2013 (Federal Law Gazette I p. 2865).

8 See Annex 1a.

9 See Annex 2.

10 See Annex 3.

11 See Annex 4.

12 See Annex 5.

The export of so-called **other military equipment** is governed by the export rules in the Foreign Trade and Payments Act and Ordinance. In accordance with the principle of the freedom of external economic transactions, on which the systematic approach of the Foreign Trade and Payments Act is based, the applicant has a fundamental right to the issuance of an export licence (Section 1 of the Foreign Trade and Payments Act), unless a licence may be denied because of a violation of interests protected under Section 4 subsection 1 of the Foreign Trade and Payments Act. Section 4 subsection 1 (1-3) of the Foreign Trade and Payments Act reads as follows:

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

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

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

The Federal Office for Economic Affairs and Export Control (BAFA), which is an executive agency operating under the jurisdiction of the Federal Ministry for Economic Affairs and Energy, is responsible for granting/denying export licences under the Foreign Trade and Payments Act and Ordinance.<sup>13</sup> The Federal Office for Economic Affairs and Export Control submits projects of particular political impact to the Federal Government for its assessment and decision from a political perspective. A hotline was set up by the Federal Office for Economic Affairs and Export Control in 2014 to provide applicants with information about the status of the licensing procedures. Also, they receive information about the processing status via the electronic application procedure.

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

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

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

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

## 2. Guidelines for the licensing of exports of military equipment

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

13 [www.bafa.de](http://www.bafa.de).

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 fundamentally not approved where there is “sufficient suspicion” that the military equipment will be misused for internal repression or other ongoing and systematic violations of human rights. The human rights situation in the consignee country plays an important role in connection with this question. The Political Principles are more restrictive than the EU Common Position (more detail on this aspect below, under II.3.), which rules out export licences only where a “clear risk” exists.
- Following the General Section, a distinction is made between EU, NATO, and NATO-equivalent countries (Australia, New Zealand, Japan, Switzerland) on the one hand, and other countries (“third countries”) on the other. For the first group of countries, licences are the rule and denials the exception; for the second group, there is a restrictive policy with respect to licence issuance.
- In this context, the following applies for the group of third countries: The export of war weapons is approved only in exceptional cases where, as justified by the individual situation, special foreign policy or security policy interests of the Federal Republic of Germany would support the granting of a licence. For other military equipment, licences are granted only insofar as such action does not endanger the interests to be protected under foreign trade and payments statutes (Section 4 subsection 1 of the Foreign Trade and Payments Act as cited above under 1.).

Even under this restrictive licensing practice for third countries, the legitimate security interests of such countries may therefore argue for granting an export licence in individual cases. This situation arises in particular when the respective security interests are also internationally significant. The defence against terrorist threats and the combating of international drug trafficking are conceivable examples. In connection with the export of naval equipment to third countries, important aspects

may be the interest of the community of nations in secure seaways and an effective exercise of respective national sovereignty in coastal waters. Alongside the pre-eminent importance of the seaways for the 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 arms to third countries include – apart from the human rights, a factor which merits particular attention – the external and internal situation, as well as the extent to which the recipient country’s sustainable development might be jeopardised by disproportionate outlays on arms.
- Other factors come into play as well when assessing whether a licence can be issued for the export of military equipment: the recipient country’s conduct toward the international community concerning matters such as the fight against international terrorism and organised crime; the extent to which the recipient country meets its international obligations, particularly with respect to international human rights law, as well as in the areas of non-proliferation, military weapons, and arms control.

Germany’s control system for military equipment exports ensures the final destination of the exported military equipment in a reliable manner. The Federal Government has gathered decades of good experience with these rules. In the few isolated cases in which a diversion has come to light, the Federal Government vigorously follows up on any such indications. If it is proven that assurances of end-use have been violated, the issuing of export licences for the relevant recipients is normally suspended until the facts have been clarified and the danger of renewed unauthorised re-exports has been removed.

The examination of the end-use prior to the issuing of the export licence adheres to the usual system in Europe. It is recognised as an effective control system and enjoys a high reputation around the world.

The ex-ante examination ensures right from the start that defence goods are not delivered to recipients if there is a danger that the goods will be diverted. If there are doubts about the end-use by the recipient, export applications are rejected.

Nevertheless, the Federal Government is reviewing the current system of end-use control with regard to possible improvements, not least against the background of corresponding discussions in relevant international forums. The inter-ministerial discussions on this are underway. Even an export control system which conducts end-use controls in order to ensure the end-use of exported military equipment is not fully protected against illegal diversions of goods. But it may enable such activities to be discovered at an earlier juncture, and permit an appropriate response.

And finally, the Federal Government agrees to submit to the Bundestag a Military Equipment Export Report on the developments of the respectively concluded calendar year, a commitment that is now being honoured by the sixteenth submission of such a Report.

The **EU Common Position of 8 December 2008**<sup>14</sup> 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 **Arms Trade Treaty** entered into force on 24 December 2014. The Treaty currently has 69 contracting parties, and has been signed by a total of 130 states (as of 28 May 2015). This Treaty establishes the first internationally binding rules for the export of military equipment. Articles 6 and 7 of the Treaty stipulate criteria for the scrutiny of applications for export licences. They represent the core of the Treaty. Section II.9. provides details of the Arms Trade Treaty.

14 Cf. Section II.3. for details.

## 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 Report, to which reference is made<sup>15</sup>.

### 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 force in 2014 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 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 co-ordination between the EU licensing bodies. For example, all member states must be informed about rejections of export licence applications. If, despite the existence of such a notification of denial by a different member state, a member state nevertheless intends to authorise an "essentially identical" transaction, it must first consult the relevant member state. These provisions serve to increase the transparency of the controls on exports of military equipment amongst the member states throughout the European Union, to further their harmonisation, and to foster the creation of a level playing field. The regular exchange of information about various countries of destination in the context of the Brussels Council Working Party on Conventional Arms Exports (COARM) also serves this purpose.

Further to this, the EU's User's Guide regulates details of the denial procedure and provides detailed pointers for a uniform interpretation and application of criteria.<sup>16</sup> The Council continued the work on updating it in 2014 and 2015.

In March 2015, the Council adopted the sixteenth common annual report on the implementation of the Common Position.<sup>17</sup>

During the year under report, Germany held 16 active consultations and 62 passive consultations<sup>18</sup> with other EU countries concerning export licence denials, with a view to implementing the operative provisions of the Common Position.

15 Most recent Annual Disarmament Report 2014, Bundestag Printed Paper 18/4270 of 5 March 2015, at: [http://www.auswaertiges-amt.de/cae/servlet/contentblob/699620/publicationFile/203106/150304-JAB\\_2014.pdf](http://www.auswaertiges-amt.de/cae/servlet/contentblob/699620/publicationFile/203106/150304-JAB_2014.pdf).

16 <http://register.consilium.europa.eu/pdf/de/09/st09/st09241.de09.pdf>.

17 Published in the EU Official Journal, edition C103/1 of 27 March 2015, at: <http://eur-lex.europa.eu/legal-content/DE/TXT/PDF/?uri=OJ:C:2015:103:FULL&from=DE>

18 In the case of active consultations, Germany consults another EU member state; in the case of passive consultations, Germany is consulted by another EU member state.

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

Additional priorities of the Common Foreign and Security Policy in the field of export controls were the implementation of the Arms Trade Treaty (cf. Section II.9.), and outreach activities to promote the principles and criteria of the Common Position and the Arms Trade Treaty (cf. Section II.10.).

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

The German act implementing the Directive simplifying terms and conditions of transfers of defence-related products within the Community (2009/43/EC) entered into force on 4 August 2011 (Federal Law Gazette 2011 I p. 1595).

Like the directive, the national implementing act simplifies the transfer of defence-related products within the EU. To this end, companies in the EU are being provided with global (i.e. collective) and general licences. Reliable companies in the EU are given the opportunity to have themselves certified in order then to be supplied with defence-related products under simplified conditions on the basis of general licences. Such general licences for deliveries to certified companies improve the competitive prospects of small and medium-sized firms in particular. Eleven companies have so far been certified in Germany. Details can be found on the website of the Federal Office for Economic Affairs and Export Control, [www.bafa.de](http://www.bafa.de).

In the context of General Licence No. 26 (delivery to armed forces within Europe), goods worth approx. €178.1 million were delivered in the reference year.

In the context of General Licence No. 27 (deliveries to certified companies), goods worth approx. € 1.0 million were delivered in the reference year.

#### 5. Framework Agreement concerning Measures to Facilitate the Restructuring and Operation of the European Defence Industry

The Federal Government is also advocating, together with the partners (France, Italy, Spain, Sweden and the United Kingdom (“LoI” countries)) relaxed rules on cooperation within the European military equipment industry in the context of the “Letter of Intent” (LoI) process. In 2000, these countries adopted a Framework Agreement concerning Measures to Facilitate the Restructuring and Operation of the European Defence Industry (Farnborough Agreement<sup>19</sup>). A working party of the LoI countries meets at irregular intervals in order to engage in cross-border cooperation in the field of export control. There are regular attempts to achieve further harmonisation here.

#### 6. Wassenaar Arrangement

The Wassenaar Arrangement (WA)<sup>20</sup> was co-founded by Germany in 1996 to help improve transparency, the exchange of views and of information and to increase the level of responsibility in the transfer of conventional military equipment and of dual-use goods and technologies which can serve their manufacture. The 41 countries that are presently signatories of this politically binding convention (all the EU member states except Cyprus as well as Argentina, Australia, Canada, Japan, Republic of Korea, Mexico, New Zealand, Norway, Russia, South Africa, Switzerland, Turkey, Ukraine, USA) aim to harmonise their controls of the export of such goods with a view to preventing destabilising stockpiling of conventional military equipment. The cooperation amongst the WA signatories generally serves to develop and deepen international export control standards. Further to this, the WA provides that the participating countries should inform one another about denied export licences for dual use goods to non-participating countries.

The core element of the Wassenaar Arrangement in terms of military equipment export control is the ongoing further development of the “Munitions List”, i.e. the list of military

19 Federal Law Gazette 2001 II p. 91.

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



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.

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

Several pending requests for membership underline the attractiveness of the WA. Germany has assumed the role of co-rapporteur for one of the applications, and is providing an ongoing report on the progress made by the candidate.

## 7. 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 systems<sup>21</sup> and – on a voluntary basis – data on national arms inventories and procurement from national production since 1992. The member countries of the United Nations provide this information by 31 May for the preceding calendar year. Since 2003, there has also been the possibility to report imports and exports of small arms and light weapons. The aim of the register is to build confidence by increasing the level of transparency regarding conventional arms. Germany has participated in the reporting system since the register was set up and reports regularly to fulfil its obligations.

As a result of the last meeting of selected government experts which involved Germany, it was decided in 2013 to include armed unmanned aircraft in the reporting require-

ments. To this end, subcategories were formed for Categories IV (Military Aircraft) and V (Military and Attack Helicopters).

For the year 2014, the Federal Republic of Germany reported the export of the following war weapons to the UN Conventional Arms Register:

Going beyond the obligation imposed by the UN Register of Conventional Arms, Germany also voluntarily reported exports of small arms and light weapons<sup>22</sup> to the UN Register of Conventional Arms in 2014 (cf. Annex 11).

**Table A**

Country	Item	Quantity
Canada	Leopard 2 main battle tank	4
Indonesia	Leopard 2 main battle tank Leopard 2 A5 main battle tank	26
Poland	Leopard 2 A5 main battle tank Leopard 2 A4 main battle tank	77 14
Brazil	Gepard self-propelled anti-aircraft gun system	13
Indonesia	Marder infantry fighting vehicle	43
Algeria	Fuchs 2 armoured carriers	32
Belgium	NH90 NFH helicopter	2
Sweden	NH90 NFH helicopter	1
Israel	Dolphin AIP class submarine	1
Brunei Darussallam	Patrol boat armed with type PV 80 V2	1
United Arab Emirates	Floating platform with launching facility for torpedoes	2

21 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).

22 Concerning the terms small arms and light weapons, see III.1.h).



## 8. International discussion on small arms and light weapons

In internal and cross-border conflicts by far the greatest share of human casualties have been caused by the use of small arms and light weapons (“small arms”, e.g. submachine guns, assault rifles, light mortars, etc.).<sup>23</sup> However, the majority of casualties due to small arms are caused by violent crime. Developing countries and societies with a high level of violence are particularly susceptible to this, where small arms can often be procured inexpensively and illegally from corrupt state actors and through internationally operating arms brokers. National control mechanisms are mostly underdeveloped in these countries. In many cases, small arms impede economic and social development and frequently contribute to a violent escalation of conflicts. Quite frequently, violent conflicts threaten to destroy the success achieved in many years of development work. Further, man portable air defence systems (MANPADS), which are counted as light weapons, represent a danger to both civil and military aviation due to their high relevance to terrorism. Experience shows that deficiencies in managing and safeguarding the stocks of arms and munitions held by the state in the relevant countries also represent a significant source of illegal transfers.

For this reason, the Federal Government applies particularly strict standards when issuing licences for small-arms exports to third countries, and developing countries in particular, in order to ensure coherence with foreign, security and development policies. The Federal Government is working at the 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 Programme<sup>24</sup> and via regional initiatives, e.g. in the context of the EU Small Arms Strategy<sup>25</sup>, the OSCE Small Arms Docu-

ment<sup>26</sup>, which was adopted in November 2000, and the OSCE Document on Stockpiles of Conventional Ammunition<sup>27</sup> – the achievement of concrete results with obligations for the participating countries to take action which are as binding as possible. Small arms are also a focus of the efforts in the context of the Arms Trade Treaty (see Section II.9.). 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 Report<sup>28</sup>). This includes the implementation of 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 would like to see small arms labelled in a manner which makes them permanently traceable. In view of the long lifetime of small arms, it is important to use the latest technology to apply markings to arms in a way that is as permanent and indelible as possible. In June 2013, the Federal Foreign Office held an international conference on the use of modern technologies to label and secure small arms. The Federal Government is also actively pursuing this goal in the UN context. A meeting of experts will be held there on this issue in June 2015.

Mention should also be made in this context of the German involvement in the conclusion of the Arms Trade Treaty (cf. Section II.9.), which entered into force on 24 December 2014 and which covers the control of transfers of conventional arms including small arms. Germany is advocating the widest possible application of the treaty.

23 Concerning the terms small arms and light weapons, see III.1.h).

24 Cf. UN document A/CONF, 192/15: [http://www.poa-iss.org\(PoA/pohtml.aspx](http://www.poa-iss.org(PoA/pohtml.aspx)

25 Cf. UN document A/CONF, 192/15: [http://europa.eu/legislation\\_summaries/foreign\\_and\\_security\\_policy/cfsp\\_and\\_esdp\\_implementation/133244\\_de.htm](http://europa.eu/legislation_summaries/foreign_and_security_policy/cfsp_and_esdp_implementation/133244_de.htm)

26 OSCE Document FSC.DOC/1/00 on Small Arms and Light Weapons of 24 November 2000: <http://www.osce.org/de/fsc/20785>; siehe dazu ausführlich im Rüstungsexportbericht 2000 unter II.7.

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

28 Annual Disarmament Report 2014, Bundestag Printed Paper 18/4270 of 5 March 2015, at: [http://www.auswaertiges-amt.de/cae/servlet/contentblob/699620/publicationFile/203106/150304-JAB\\_2014.pdf](http://www.auswaertiges-amt.de/cae/servlet/contentblob/699620/publicationFile/203106/150304-JAB_2014.pdf)

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.

The Federal Government has also adopted **Small Arms Principles**, which must form a basis for decisions on export licences (Annex 1b of this Report). In particular, this means that, regarding the export of technology and production equipment, there is the fundamental rule that no licences will be issued in connection with the opening of new production lines for small arms and ammunition in third countries.

Also, for the export of small arms to third countries, the “New for old” principle is applied, or, in cases where this is not applicable, the principle “New, destroy when discarded” is applied wherever possible. This principle can in certain cases also be applied to other military equipment. This calls for sales contracts to be worded to ensure that the recipient destroys small arms that are to be replaced by the new consignment, in order to prevent their proliferation. Moreover, insofar as possible, in new supply contracts the exporter is to require the consignee in a third country to destroy the weapons supplied in the case of a later removal from use. In this way, exports and recipients make an active contribution towards not increasing the number of small arms available worldwide, and preventing their proliferation across to grey or black markets. Germany and, in particular the Bundeswehr, destroys surplus small arms. No other country applies the “New for old” principle in this way, and this underscores the Federal Government’s particularly restrictive small arms policy. The Federal Government will work in international forums (Wassenaar Arrangement, EU, UN Programme of Action on Small Arms and Light Weapons) towards the widespread use of the “New for old”/ “New, destroy when discarded” principle.

As a further condition, the transfer of small arms within the country of destination will be tied to the approval of the

Federal Government. The commitment contained in the coalition agreement to improve the labelling of weapons will also be stipulated.

Finally, licences for the export of war weapons, including small arms, are fundamentally issued only for government end-users, not for private entities. The Federal Government thereby applies a principle which, though it has yet to become majority opinion in the international community (including the UN framework), if universalised would go a long way toward limiting the illegal spread of small arms.

## 9. Arms Trade Treaty (ATT)<sup>29</sup>

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 human rights law, and of the existence of a large illegal market. This is the point from which the Arms Trade Treaty operates.<sup>30</sup> The first ever agreement on globally applicable, legally binding, common minimum standards for cross-border trade in conventional defence-related goods will impose responsibility on states. They will commit themselves to controlling exports, imports, transits, trans-shipment and brokering of arms (“transfers”) and in particular to subjecting exports to a structured risk analysis on the basis of internationally comparable decision-making criteria. The core thrust of the Treaty is the regulation of the transfer of conventional weapons.

The Arms Trade Treaty entered into force on 24 December 2014. The Treaty currently has 69 contracting parties, and has been signed by a total of 130 states (as of 28 May 2015).

The Federal Government deposited the instrument of ratification on 2 April 2014 (anniversary of the adoption of the ATT treaty text by the UN General Assembly) alongside those of 16 other EU member states (Bulgaria, Croatia, Denmark, Estonia, Finland, France, Hungary, Ireland, Italy, Latvia, Malta, Romania, Slovakia, Slovenia, Spain, United Kingdom) and El Salvador. Germany also made a declaration on the provisional application of Articles 6 and 7 of the

29 Cf. the more detailed article on the Arms Trade Treaty in the 2012 Military Equipment Export Report and the Memorandum on the Arms Trade Treaty:

[http://www.auswaertiges-amt.de/cae/servlet/contentblob/674462/publicationFile/191501/ATT\\_Denkschrift.pdf](http://www.auswaertiges-amt.de/cae/servlet/contentblob/674462/publicationFile/191501/ATT_Denkschrift.pdf).

30 <http://www.un.org/disarmament/ATT/>. Annex 3 contains the text of the treaty.

Treaty, which stipulate criteria for the scrutiny of applications for export licences and represent the core of the treaty.

The Federal Government is now actively involved in the implementation of the Treaty and is helping to prepare the first conference of states parties, which will take place in Mexico City from 24-27 August 2015. The second informal consultations were held in the Federal Foreign Office on 27-28 November 2014, and substantial steps were agreed there to prepare the formal preparation process following the entry into force of the Treaty on 24 December 2014.

Germany is also urging other countries to accede to and ratify the Treaty. It can play an important part in supporting the ratification of the treaty and its implementation in adequate national control systems. The Federal Office for Economic Affairs and Export Control is already 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.10.) and has thus acquired expertise which is highly regarded around the world.

It will be particularly important to offer assistance and support to countries, particularly developing countries, which do not yet have a significant transfer control system. To this end, the Federal Government is supporting a number of initiatives; for example, in 2014 it provided € 1.2 million for projects of the UN Trust Facility Supporting Cooperation on Arms Regulation in the period up to 2016. In the context of an EU Council decision of December 2013<sup>31</sup>, it is providing a national contribution of nearly 20% of cofinance (in addition to the regular German share of the EU budget) for planned EU measures to support the implementation of the ATT. These EU measures involve total funding of € 6.4m in 2014-16, and are being implemented by the Federal Office for Economic Affairs and Export Control. The EU measures are supplemented by bilateral measures, carried out by the Federal Office for Economic Affairs and Export Control on behalf of the Federal Foreign Office. These measures totalled € 100,000 in 2015 (status: June 2015).

## 10. Outreach activities

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

In the context of Council Decision 2102/711/CFSP of 19 November 2012, the Federal Office for Economic Affairs and Export Control was again mandated to implement outreach activities in the military equipment field (COARM) in the period between January 2013 and December 2014. In 2014, regional events were held, as well as individual support measures and study tours. From February 2015, the outreach measures in the field of military equipment will be continued in the context of a project at national level funded by the Federal Foreign Office and implemented by 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 the framework of the European Security Strategy, the Federal Office for Economic Affairs and Export Control is carrying out a wide-ranging EU project. The aim of this project is to support the rapid entry into force of the Arms Trade Treaty and to promote its unreserved implementation and universal application.

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

In a planned 3-year project period, support programmes are to be carried out which are oriented to the national needs of the partner countries selected by the COARM working group, and there are also to be individual ad-hoc assistance measures and regional seminars. This project is funded by the Federal Foreign Office alongside the European Commission. In August 2014, an inaugural meeting of international experts was held in Eschborn. This was followed by initial visits to Colombia and Jamaica which served to lay the foundations for intensive cooperation with these countries in the coming years. Also, at the end of 2014 a first regional seminar was held in Bogotá for South America and the Caribbean. In 2015, many more events will take place in the context of this project, and these will be supplemented by national outreach events funded by the Federal Foreign Office.

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

The following is an outline of **licences** granted for military equipment exports in 2014; **actual exports** are also listed for the sub-sector **war weapons**. The outline is complete to the extent that disclosure has not been restricted by law.

The Federal Office for Economic Affairs and Export Control (BAFA)<sup>32</sup> compiles a list of the **export licences** granted for all military equipment (war weapons and other military equipment). The figures for reporting year 2014 are displayed under III.1. and outlined in further detail in Annex 8. A detailed overview of the 20 leading countries of destination in the reference year can be found in Annex 7.

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

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

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

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

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

Annex 8 presents an outline of military equipment<sup>33</sup> licences granted and/or denied in 2014, 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) Items that provides a more detailed breakdown of the important products. Where applications for a country of destination have been denied, the relevant remarks have been made in the overview with details on the number of denials, the involved EL Items, and the value of the goods.

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

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

#### a) Individual licences

In 2014 a total of 12,090 individual licence applications for the final<sup>34</sup> export of military equipment were approved in Germany (year earlier: 17,280). The total value of the licences – not that of actual exports – was € 3.974 billion. This was roughly a € 1.8 billion fall against figures for 2013 (€ 5.846 billion).

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

33 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.

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

Individual licences for countries designated in No. II of the Political Principles of 19 January 2000 (EU countries, NATO and NATO-equivalent countries) accounted for € 1.570 billion of this amount (previous year: € 2.240 billion). Licences for goods with an end-use in EU countries totalled € 817 million (previous year: € 1.169 billion). This corresponds to a fall of € 352 million. Licences for goods with end-use in NATO or NATO-equivalent countries (not including EU countries) had a total value of € 753 million (preceding year: € 1.071 billion – in each case without collective export licences). The licence value for exports to third countries amounted to € 2.404 billion (previous year: € 3.606 billion). This corresponds to a fall of € 1.2 billion.

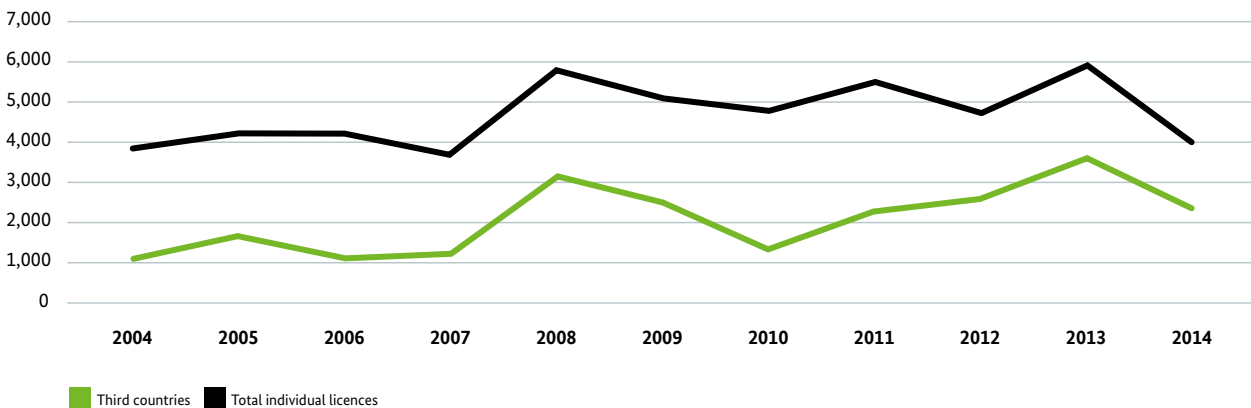
The diagram below shows that the licence figures for the last ten years are subject to fluctuation. It is necessary to bear in mind here that the values cited in this Report are nominal figures, i.e. they have not been adjusted for inflation.

For exports of military equipment to developing countries<sup>35</sup>, individual licences valued at a total of approx. € 217.8 million were issued in 2014 (2013: € 562.5 million). This is

equivalent to 5.5% of the value of all German individual licences for military equipment (the proportion in 2013 was around 9.6%). The leading countries of destination amongst the developing countries in 2014 were Indonesia (€ 108.4 million – e.g. parts for submarines and frigates, communications equipment), Ukraine (€ 25.4 million – e.g. helmets, ballistic body armour), Egypt (€ 22.7 million – e.g. technology for submarine parts), Pakistan (€ 21.8 million – e.g. missiles, communications equipment) and India (€ 21.3 million – e.g. underwater detection equipment, parts for submarines). 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 countries<sup>36</sup> amounted to €5.54 million in 2014 (2013: € 12.81 million) or 0.14% (2013: 0.22%) of the value of all individual export licences for military equipment in 2014. This figure includes communications equipment and an armoured cross-country vehicle for Afghanistan (for the Afghan President) worth €3.36 million and two armoured cross-country vehicles for the Ugandan President (€ 1.27 million).

Figure 1: Trend of value for individual licences from 2004–2014 (in € millions)



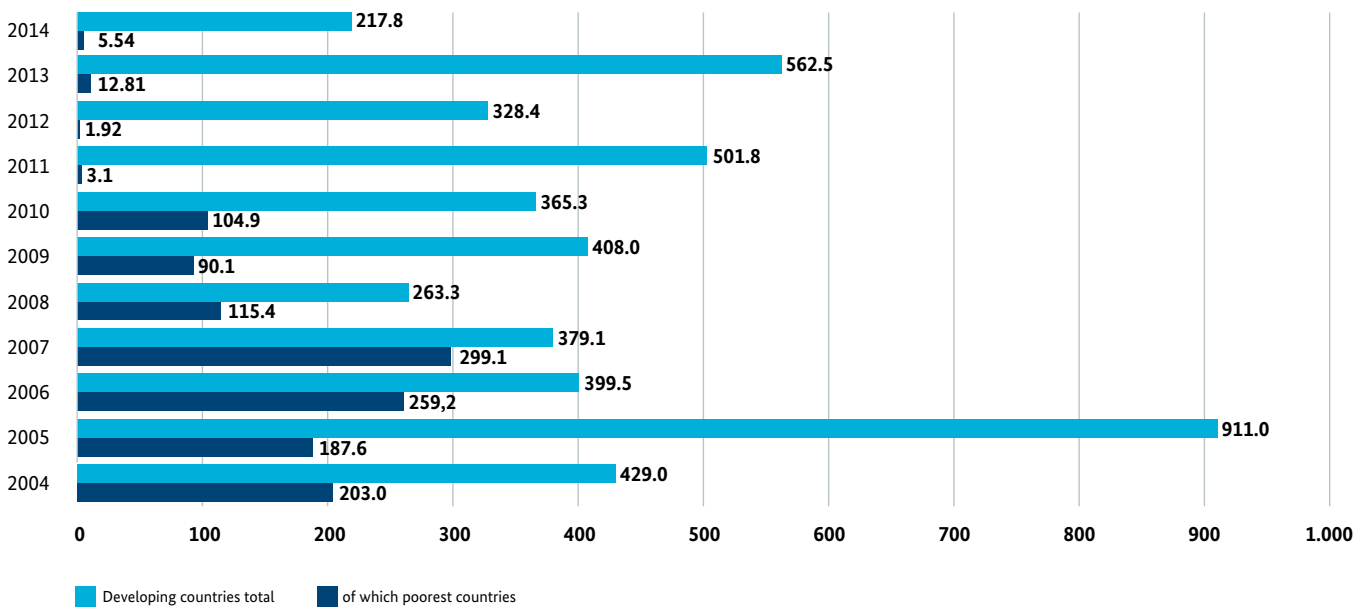
35 For the term “developing countries,” see footnote 2.

36 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 2011, 2012 and 2013. Cf. Annex 12.

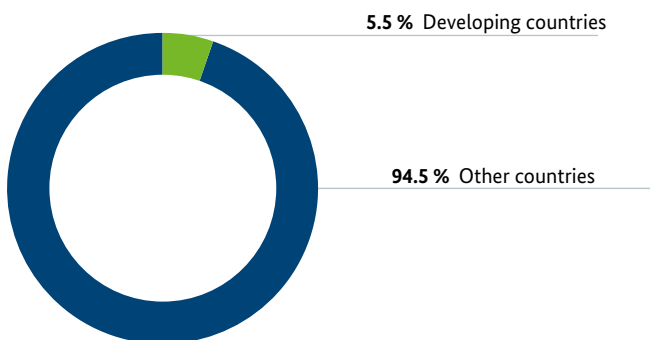
Note: The licence values for the developing countries in general and for the group of the poorest and other low-income developing countries do not include export licences worth a total of approx. € 6.31 million, mainly for UN mis-

sions, EU delegations and aid organisations (e.g. € 1.58 million for Somalia, € 0.800 million for Angola and € 0.783 million for Yemen).

**Figure 2: Licences for developing countries from 2004-2014 (in € millions)**



**Figure 3: Developing countries' share of total value of licences issued in 2014 (in %)**





### b) Collective export licences

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

The values shown on the applications reflect applicants' figures for their anticipated needs in the licence period. Since varying use is made of these values, which are licensed as maximum amounts, the aggregate figure for collective export licence values is subject to strong annual fluctuations and has only limited validity as a barometer of Germany's export policy.

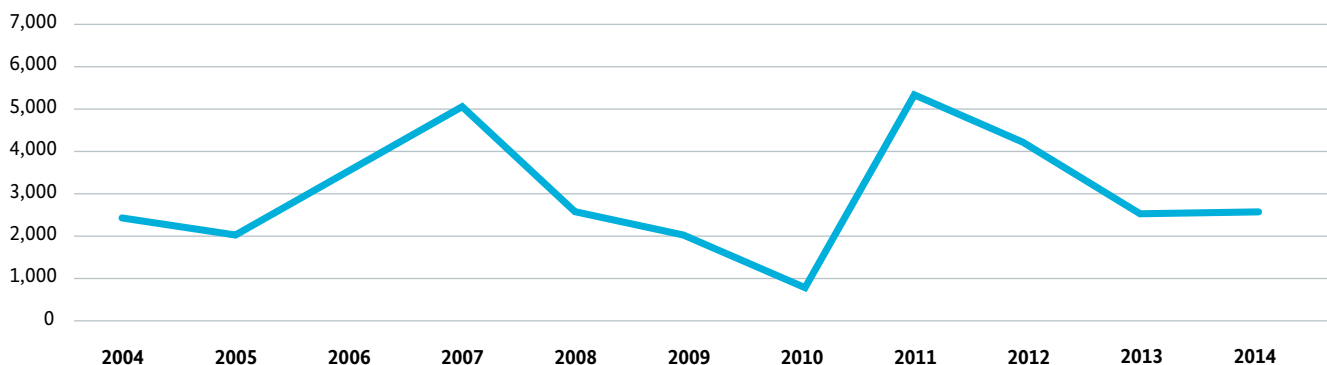
In the period from 1 January to 31 December 2014, 62 applications for the issuing of a collective export licence were approved by the BAFA related to conventional military equipment within the meaning of Part I Section A of the Export List (EL) of the Foreign Trade and Payments Ordinance. The issuing of the licence is subject to the same principles as apply in the individual licence procedure. The examination thus observes the EU Common Position and the Political Principles for an individual case.

The 62 relevant licences issued in the above-mentioned period covered goods worth a total value of €2.545 billion. By way of comparison: in the period from 1 January to 31 December 2013, 56 collective export licences were issued with a value of €2.494 billion. Annex 9 contains an overview of the countries covered by the collective export licences.

The 62 collective export licences issued in the context of programmes and cooperation break down as follows:

- In 20 cases, exports in the context of joint programmes. **"Joint programmes"** are the bilateral, trilateral and multinational development and manufacturing programmes for dual-use and military equipment. They are thus international development and manufacturing programmes involving the Federal Government. The relevant German ministry commissions a main German contractor, as the leader of the consortium, with implementing the programme.
- In 30 cases, exports in the context of official intergovernmental cooperation. **Official intergovernmental cooperation** covers development and manufacturing programmes if the contracts to develop or manufacture certain goods for the respective programmes were agreed with state involvement.
- In 11 cases, exports in the context of **other international projects**. The category of other international projects which can be recognised by the Federal Office for Economic Affairs and Export Control particularly includes cooperation between companies based in countries covered by the Letter of Intent (LoI countries) of 6 July 1998.

**Figure 4: Trend of licence values for collective licences 2004-2014 (in € millions)**





The LoI countries are France, the UK, Germany, Sweden, Spain and Italy. Further information can be found at: <http://eda.eu.int>.

- In one case, exports in the category “after-sale service” (rapid handling by the export control authorities of necessary service deployments in cases of damage - outside a licensed joint programme).

### c) Export licence denials

In 2014, 100 applications for military equipment exports (preceding year: 71) were denied. The total value of the denials came to € 9.72 million (preceding year: € 10.04 million). The figure does not include applications withdrawn by applicants prior to notification because of poor chances of success or for other reasons. Like the values for licences for third countries, the figures for export licence denials are also subject to great fluctuations for this group of countries.

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

The highest-value denials in 2014 affected Venezuela (€ 5.03 million), Thailand (€ 0.95 million) and Indonesia (€ 0.90 million).

Denials for the final export of arms concerned the following destinations in 2014:

Angola, Azerbaijan, Bahrain, Bangladesh, Belarus, China, Colombia, India, Indonesia, Israel, Jordan, Kuwait, Kyrgyzstan, Malaysia, Mexico, Moldova, Morocco, Mozambique, Myanmar, Namibia, Niger, Pakistan, Russia, Saudi Arabia, Serbia, South Africa, Thailand, Tunisia, Turkey, Turkmenistan, Ukraine, Venezuela, Viet Nam, Macao and Taiwan.

### d) Most important countries of destination

The 20 most important countries of destination for which individual export licences were granted in 2014 are listed in Annex 7. The ranking varies from year to year. In 2014, the ten largest recipients were: Israel, United States, Singapore, Republic of Korea, United Kingdom, Saudi Arabia, Algeria, United Arab Emirates, Indonesia and Brunei Darussalam.

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

The individual export licences issued in 2014 are broken down into the 22 EL Items as follows:

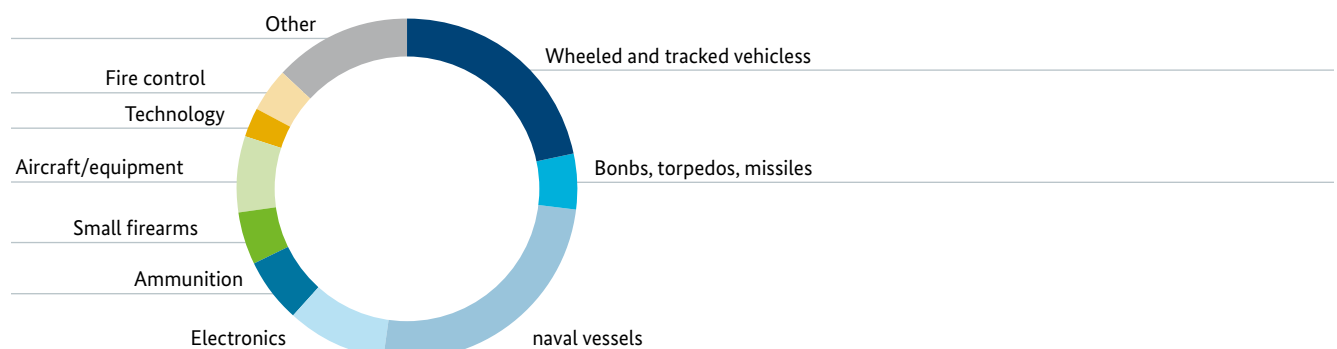
**Table B**

EL item	Description of item	Number	Value in €
A 0001	Small firearms	2,243	189,838,747
A 0002	Large calibre weapons	344	60,709,173
A 0003	Ammunition	776	242,991,637
A 0004	Bombs, torpedoes, missiles	286	203,936,221
A 0005	Fire control systems	441	166,976,726
A 0006	Wheeled and tracked military vehicles	2,927	869,735,626
A 0007	Equipment for NBC defence, irritants	130	20,504,946
A 0008	Explosives and fuels	320	37,794,150
A 0009	Naval vessels	536	1,010,915,334
A 0010	Military aircraft/aircraft technology	1,071	291,111,470
A 0011	Military electronics	863	376,539,756
A 0013	Ballistic protection equipment	75	52,906,117
A 0014	Training and simulator equipment	91	63,301,964
A 0015	Infrared/thermal imaging equipment	215	37,315,254
A 0016	Semi-finished parts for the production of certain items of military equipment	480	112,444,581
A 0017	Miscellaneous equipment	319	17,652,109
A 0018	Manufacturing equipment for the production of military articles	535	90,176,829
A 0019	High frequency weapons systems	2	313,942
A 0021	Military software	303	20,396,560
A 0022	Technology	602	108,238,995
<b>Total</b>		<b>12,559</b>	<b>3,973,800,137</b>

The table is based on the 12,090 individual licences issued in 2014<sup>37</sup>. It shows that the category which accounted for the largest share of export licences for military equipment in terms of value in 2014 was “naval vessels”, totalling € 1.01 billion, and “wheeled and tracked military vehicles”, totalling € 870 million.

The small firearms item-number on the Export List (A 0001) includes not only small arms but also the so-called civilian weapons such as hunting, sporting, and self-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.h).

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

**Figure 5: Individual licences' share (by value) of the most important Export List Items in 2014**

37 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.

**f) Export licences from 2004 to 2014**

The following table compares the values of the licences issued in 2004 to 2014 for final exports. To provide a better basis for comparison, the values are not broken down by in-

dividual countries of destination but are packaged together for the privileged countries of destination (EU, NATO, NATO-equivalent) on the one hand and third countries on the other. A breakdown by individual country can be found in Annex 8.

**Table C**

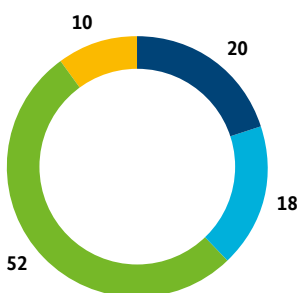
Year	EU countries (in millions €)	NATO or NATO-equivalent countries (without EU-countries) (in millions €)	Third countries (in millions €)	Individual export licences total (in millions €)	Collective export licences total (in millions €)
2004	1,915,8	810,7	1,080,2	3,806,7	2,437,1
2005	1,440,3	1,120	1,655,5	4,215,8	2,032,8
2006	1,863,3	1,174,4	1,151,3	4,189	3,496,2
2007	1,297	1,141	1,230	3,668	5,053
2008	1,839	809	3,141	5,788	2,546
2009	1,445	1,106	2,492	5,043	1,996
2010	2,315	1,056	1,383	4,754	737
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	3,974	2,545

The two charts below show the monetary values of export licences issued for all country groups in 2013 and 2014. Pursuant to the Political Principles, EU, NATO and NATO-

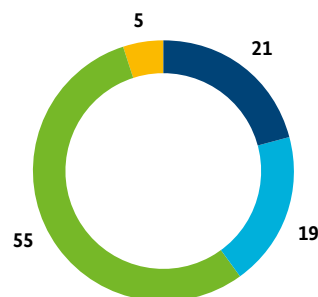
equivalent countries can be taken together, since all have essentially the same status with regard to German arms exports.

**Figure 6: Breakdown by value of individual licences by country group (in %)**

2013 (€ 5,845 million = 100%)



2014 (€ 3,973 million = 100%)



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

### g) War weapons' share of licensed values in 2014

The licence values shown under f) related 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 2014. Individual licences for the export of war weapons add up to a total of € 1.410 billion, or approximately 37% of the total for overall individual licences (2013: € 757.2 million or 13%).

The following table displays – broken down by country – total licences for the export of war weapons to third countries in 2014: (total value € 1.139 million; value in 2013: € 458.9 million). This represents a substantial increase (approx. 150%) over the preceding year. The licences with the highest values refer to Israel, Singapore and Brunei Darussalam.

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

### h) Licences for the export of small arms from 2004 to 2014

In view of the continuing special problems associated with the destabilising effects of accumulations of small arms and light weapons ("small arms") in crisis areas<sup>38</sup>, the Federal Government is additionally reporting for 2014 on individual licences for the export of small arms.

Small arms do not represent an independent category within the groups of military equipment and war weapons under German law, but they are contained within these groups of items. They thus represent a subset of the small firearms covered under EL number 0001 (see Section III.1.e),

**Table D**

Country	Individual decisions or applications for war weapons	Value in €
Afghanistan [UN mission]	1	11,700
Bermuda	2	9,350
Brazil	5	278,436
Brunei Darussalam	4	91,546,946
Chile	6	971,740
Hong Kong	1	110
Indonesia	15	1,957,009
Iraq	1	59,570,717
Israel	12	605,358,887
Jordan	9	811,717
Korea, Republic	3	11,880,815
Kuwait	1	27,800
Lebanon [UN mission]	1	6,460
Malaysia	2	13,890
Mali [UN mission]	3	348,975
Montenegro	1	41,150
Oman	4	2,391,157
Pakistan	2	8,415,144
Peru	2	9,383,738
Saudi Arabia	12	50,928,320
Singapore	10	227,778,258
South Africa	2	536,600
United Arab Emirates	7	66,448,881
Uruguay	6	34,629
Yemen [UN mission]	1	9,942
<b>Total</b>	<b>113</b>	<b>1,138,762,371</b>

38 Cf. II.8. in this regard.

which are covered in general by the Federal Government's restrictive export control policy. In 2015, the Federal Government adopted new Small Arms Principles (cf. II.8.).

The values shown in the following tables E to H are therefore already included in the statistics under III.1.a) to g) and in the values presented in Annex 8.

At the international level, the term "small arms" has various meanings and is defined differently in different forums. Although there are (in some cases considerable) differences in details, there is broad agreement on basic elements. But there is still no uniform understanding of all weapon categories. The OSCE small arms definition<sup>39</sup> and the EU's small arms definition<sup>40</sup> provide something of a model. Both of these definitions are based on the term "small arms and light weapons", which is widely used internationally, and distinguish between small arms (mainly small military firearms) and light weapons (most notably portable rocket and artillery systems). Both definitions are also in agreement in that they include only such weapons as are specifically intended for military use, not, however, civilian weapons such as, in particular, hunting and sporting weapons, or civilian (i.e. not specifically designed for military use) weapons of self defence (revolvers and pistols).

The OSCE defines small arms as follows:

*"[...] small arms and light weapons are man-portable weapons made or modified to military specifications for use as lethal instruments of war.*

*Small arms are broadly categorized as those weapons intended for use by individual members of armed or security forces. They include revolvers and self-loading pistols; rifles and carbines; sub-machine guns; assault rifles; and light machine guns.*

*Light weapons are broadly categorized as those weapons intended for use by several members of armed or security forces serving as a crew. They include heavy machine guns;*

*hand-held under-barrel and mounted grenade launchers; portable anti-aircraft guns; portable anti-tank guns; recoilless rifles; portable launchers of anti-tank missile and rocket systems; portable launchers of anti-aircraft missile systems; and mortars of calibres less than 100mm."*

The Joint Action of the EU of 12 July 2002 on the European Union's Contribution to Combating the Destabilising Accumulation and Spread of Small Arms and Light Weapons distinguishes between the following categories of small arms and light weapons:

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

- *Machine guns (including heavy machine guns)*
- *Submachine guns, including fully automatic pistols*
- *Fully automatic rifles*
- *Semi-automatic rifles, if developed and/or introduced as models for the armed forces*
- *Moderators (silencers)*

*(b) Man or crew-portable light weapons:*

- *Cannon (including automatic cannon), howitzers, and mortars of less than 100mm calibre*
- *Grenade launchers*
- *Anti-tank weapons, recoilless guns (shoulder-fired rockets)*
- *Anti-tank missiles and launchers*
- *Anti-aircraft missiles/man-portable air defence systems (MANPADS)."*

39 Cf. OSCE Document FSC.DOC/1/00 on Small Arms and Light Weapons of 24 November 2000: <http://www.osce.org/de/fsc/20785>; for details cf. 2000 Military Equipment Export Report, Section II.7.

40 See Appendix of the Joint Action of 12 July 2002 on the European Union's Contribution to Combating the Destabilising Accumulation and Spread of Small Arms and Light Weapons (2002/589/CFSP). For more details: Fifth annual report on the implementation of the Council Joint Action of 12 July 2002 (OJ C 171 of 22 July 2006, p. 1).

Using the EU’s small arms definition, the following tables show the value of licences for the export of submachine guns, machine guns, automatic and semi-automatic weapons, smooth-bore military weapons, weapons for caseless

ammunition and parts for such weapons (Table E)<sup>41</sup>, and for the export of ammunition for guns, submachine guns and machine guns and parts for such ammunition (Table G)<sup>42</sup> for 2004–2014.

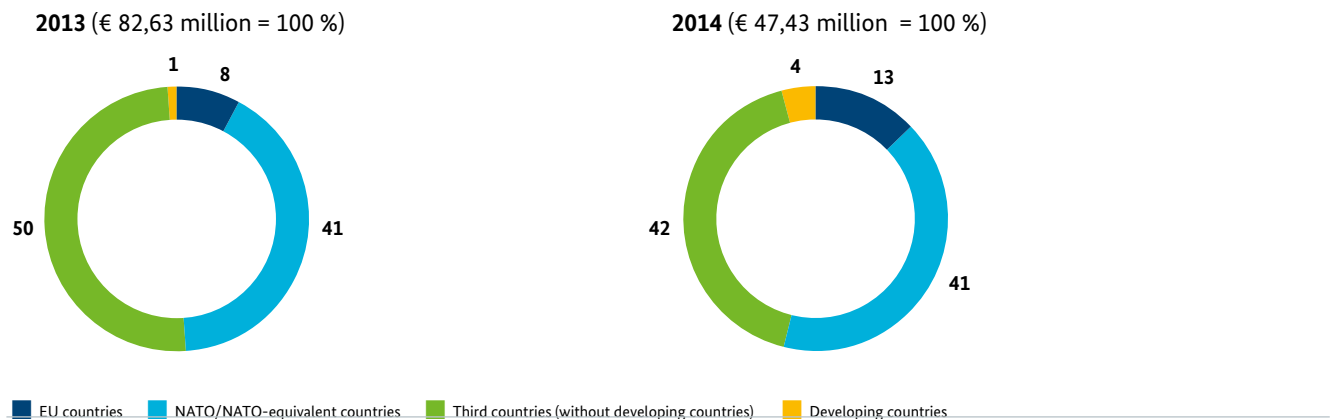
**Table E: Individual Licences for the Export of Small Arms**

Year	EU countries (in millions €)	NATO or NATO-equivalent countries <sup>42</sup> (without EU countries) (in millions €)	Third countries (in millions €)	Individual licences (in millions €)
2004	12.64	15.46	8.17	36.27
2005	17.97	5.44	12.57	35.98
2006	11.45	10.23	15.6	37.28
2007	9.35	9.38	30.2	48.93
2008	22.72	28.94	17.18	68.85
2009	35.97	20.10	14.32	70.40
2010	19.42	13.81	16.30	49.54
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

The following illustrations show the values broken down by three country groups for small arms licences issued in 2013 and 2014; in addition the group “third countries” has been divided into developing countries and other third countries. The shares fluctuate from year to year. The developing countries<sup>43</sup> accounted for approx. 4% in 2014, or licences for

small arms worth approx. € 1.85 million (mainly exports to Indonesia). The Federal Government will continue to take a particularly restrictive approach to exports of small arms to developing countries in future.

**Figure 7: Individual export licences for small arms broken down by country group (in %)**

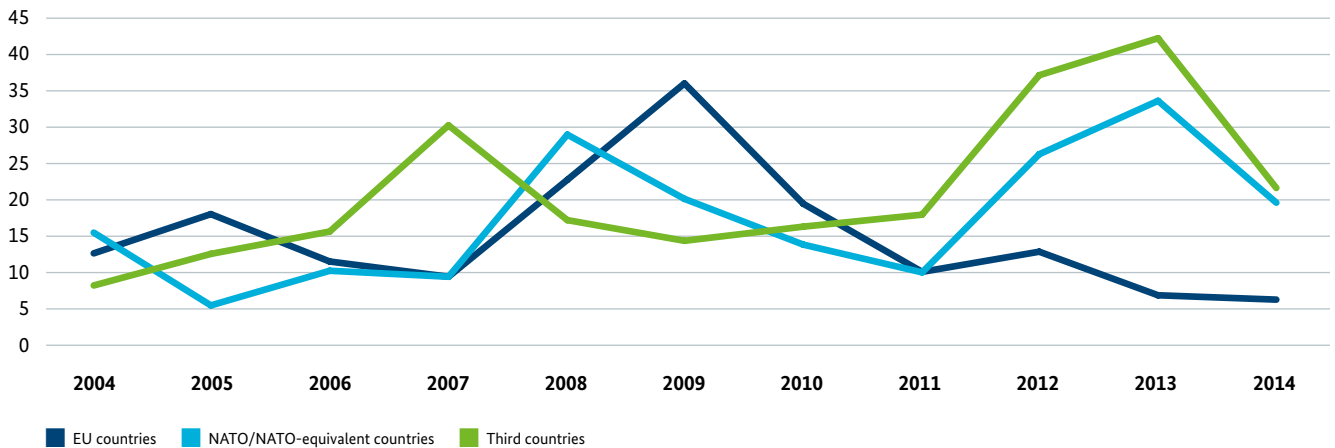


41 Excluding hunting and sporting weapons.

42 Excluding ammunition for hunting and sporting weapons.

43 For the term “developing countries,” see footnote 2.

**Figure 8: Development of the value of export licences for small arms from 2004-2014**  
(value of licences in €)



The value of small arms export licences to third countries in 2014 amounted to € 21.63 million (2013: € 42.23 million). Iraq (€ 15.27 million) accounted for the largest share of this<sup>44</sup>.

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

for EL position 0001 (€ 190 million). This is the result of the fact that the definition of small firearms found in EL Item 0001 also includes civilian weapons (revolvers, pistols) used for self defence, as well as hunting and sporting weapons, and therefore extends far beyond that of small arms as understood internationally in terms of the problems relating to destabilising accumulations of small arms and light weapons.

**Table F: Individual licences for small arms to third countries broken down by countries, licence values and unit numbers for 2013<sup>45</sup>:**

Country	Licences total	EL Item	Value in €	Description of articles	Unit
Brazil	5	0001A-02	95,767	Rifles with war weapons list number;	55
			2,018	parts for rifles with war weapons list number;	141
		0001A-06	227,754	Parts for machine guns	717
Chile	8	0001A-06	825,000	Machine guns;	148
			329,200	parts for machine guns	892
Indonesia	19	0001A-02	930,690	Rifles with war weapons list number;	550
			58,320	parts for rifles with war weapons list number;	3,200
		0001A-05	814,342	Submachine guns;	414
		43,958	parts for submachine guns	1,642	
Iraq <sup>46</sup>	1	0001A-02	15,200,000	Rifles with war weapons list number;	16,000
		0001A-06	72,000	machine guns	40

44 Licences for equipment aid to Kurdish regional government.

45 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, submachine guns, machine guns, semi-automatic rifles and smooth-bore weapons for military purposes, weapons for caseless ammunition, and parts for such weapons. (Other small firearms are excluded: rifles without war weapons list number, revolvers, pistols, sniper rifles, inoperative weapons, hunting rifles, sporting pistols and revolvers, sporting rifles, semi-automatic hunting and sporting rifles and other smooth-bore weapons.)

46 Licences for equipment aid to Kurdish regional government.

Table F: Individual licences for small arms to third countries broken down by countries, licence values and unit numbers for 2013<sup>45</sup>:

Country	Licences total	EL Item	Value in €	Description of articles	Unit
Jordan	17	0001A-02	767,862	Rifles with war weapons list number;	1,026
			56,848	parts for rifles with war weapons list number;	3,153
		0001A-05	40,725	submachine guns;	45
			1,530	parts for submachine guns	45
Lebanon	2	0001A-02	97	Parts for rifles with war weapons list number [UN mission];	5
		0001A-05	578	parts for submachine guns [UN mission]	27
Malaysia	1	0001A-05	2,490	Submachine guns	2
Mali	5	0001A-02	217,800	Rifles with war weapons list number [UN mission];	110
			31,480	parts for rifles with war weapons list number [UN mission];	340
		0001A-05	51,375	submachine guns [UN mission];	25
		12,980	parts for submachine guns [UN mission]	135	
Montenegro	3	0001A-02	6,856	Parts for rifles with war weapons list number;	904
		0001A-05	41,150	submachine guns;	30
			5,688	parts for submachine guns;	120
		5	parts for machine guns	5	
Oman	6	0001A-02	605,641	Parts for rifles with war weapons list number;	14,726
		0001A-05	702,500	submachine guns;	500
			46,200	parts for submachine guns	1,500
Saudi Arabia	4	0001A-02	238,387	Parts for rifles with war weapons list number	56,785
Singapore	2	0001A-05	114	Parts for submachine guns;	68
		0001A-06	980	Parts for machine guns	4
South Africa	1	0001A-05	5,600	Submachine guns;	5
			21,342	parts for submachine guns	577
United Arab Emirates	5	0001A-02	45,000	Rifles with war weapons list number;	30
		0001A-05	44,112	submachine guns;	24
			12,274	parts for submachine guns	388
Uruguay	7	0001A-02	22,095	Rifles with war weapons list number;	23
			24,795	parts for rifles with war weapons list number	1,622
Yemen	2	0001A-05	9,942	Submachine guns [UN mission];	4
			260	parts for submachine guns [UN mission]	4
Bermuda	2	0001A-06	9,050	Machine gun;	1
			300	parts for machine guns	1
<b>Total</b>	<b>90</b>		<b>21,625,105</b>		



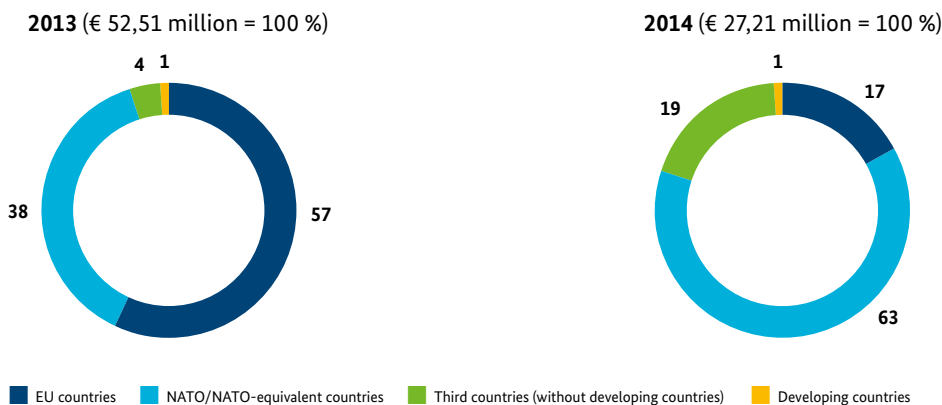
**Table G: Individual licences for ammunition for small arms, including ammunition parts – values in € million for 2004 -2014:**

Year	EU countries (in millions €)	NATO- or NATO-equivalent countries (without EU-countries) (in millions €)	Third countries (in millions €)	Individual licences total (in millions €)
2004	3.69	11.06	0.57	15.31
2005	6.13	11.50	0.24	17.87
2006	13.31	7.76	0.15	21.22
2007	16.77	13.59	1.40	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

The two charts below show the breakdown of licences in 2013 and 2014 for the export of small arms ammunition to the three categories of countries mentioned (in the chart, the percentages for developing countries and other third countries are shown separately). The value of licences for ammunition for small arms to third countries rose com-

pared with the year before. The shares fluctuate from year to year. Third countries (excluding developing countries) accounted for a share of 19% of individual licences for ammunition; the developing countries' share stood at 1%.

**Figure 9: Export licences for small arms ammunition by country group (in %)**



**Table H: Individual licences for the export of small arms ammunition to third countries, by country, for 2014<sup>47</sup>**

Country	Licences total	EL Item	Value in €	Description of articles	Unit
Afghanistan	1	0003A-01	11,700	Ammunition for rifles (war weapons list no.: 50) [UN mission]	30,000
Indonesia	4	0003A-05	136,002	Ammunition for submachine guns (war weapons list number: 50)	177,890
Iraq	1	0003A-01	3,200,000	Ammunition for rifles (war weapons list number: 50);	6,000,000
		0003A-06	400,000	Ammunition for machine guns (war weapons list number: 50)	1,000,000
Kazakhstan	1	0003A-01	30,000	Ammunition for rifles (cartridges for hunting rifles)	20,000
Kenya	2	0003A-01	38,000	Ammunition for rifles (war weapons list no.: 0) [UN mission]	100,000
Lebanon	2	0003A-01	6,460	Ammunition for rifles (war weapons list no, 50) [UN mission]	17,000
			11,700	Ammunition for rifles (war weapons list no.: 0) [UN mission]	30,000
Malaysia	1	0003A-05	4,600	Ammunition for submachine guns (war weapons list number: 50)	6,000
Mali	2	0003A-01	79,800	Ammunition for rifles (war weapons list no.: 50) [UN mission];	210,000
			11,500	Ammunition for rifles (slick marker cartridges) [UN mission]	10,000
Oman	4	0003A-01	61,027	Ammunition for rifles (war weapons list number: 0)	184,940
Russia	1	0003A-01	1,715	Ammunition for rifles (cartridges for hunting rifles)	5,000
Saudi Arabia	1	0003A-01	7,200	Ammunition for rifles (war weapons list number: 0)	3,000
Singapore	1	0003A-05	58,570	Ammunition for submachine guns (war weapons list number: 50)	150,000
United Arab Emirates	4	0003A-01	6,725	Ammunition for rifles (cartridges for rifles);	2,500
			1,433,237	Parts for rifle ammunition;	7,005,000
		0003A-05	35,055	Ammunition for submachine guns (war weapons list number: 50);	80,800
		469	Parts for ammunition for submachine guns	5,000	
<b>Total</b>	<b>25</b>		<b>5,533,760</b>		

### i) Licences for brokering transactions in 2014

The rules on the licensing of trading and brokering transactions involving military equipment covered by Part I Section A of the Export List derive from Sections 46-48 of the Foreign Trade and Payments Ordinance; the rules on war weapons are based on Section 4a of the War Weapons Con-

trol Act. Statistics are only kept on trading and brokering transactions for military equipment located in a third country – i.e. a non-EU country, cf. Section 2 subsection 8 of the Foreign Trade and Payments Ordinance – and which are to be exported to another third country. For war weapons, the licensing obligation applies even if the war weapons are outside Germany and are to be exported to other countries.

47 “Small arms ammunition” comprises ammunition for: rifles, submachine guns, machine guns and ammunition parts for such weapons. Ammunition for revolvers, pistols, hunting and sporting weapons and smooth-bore weapons is not included.

In 2014, a total of 27 (previous year: also 27) licences for brokering transactions were issued for recipients in third countries, worth approx. €102 million (preceding year: approx. € 43 million). In 2014 and 2013 there were no denials. Annex 10 contains an overview of these licences.

## 2. Exports of war weapons

### a) War weapon exports in reporting year 2014

In 2014, Germany’s Federal Statistical Office determined that goods worth a total value of € 1,823 billion (0.16% of all German exports) were exported from Germany (2013: € 957 million or 0.088%)<sup>48</sup>. The total value thus rose compared with the year before. In value terms, approx. 23% 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. The exports of war weapons are largely commercial transactions; to some extent, however, they are also transfers of Bundeswehr stocks.

In 2014, war weapons worth a total of € 44.88 million, or approx. 2,5% of all exports of war weapons, were exported to developing countries (2013: € 19.36 million or approximately 2.1%). Of these, exports worth € 35.9 million went to Indonesia, and € 8.5 million to Pakistan. These two countries thus accounted for almost all the exports to developing countries in terms of value.

#### (1) Bundeswehr exports

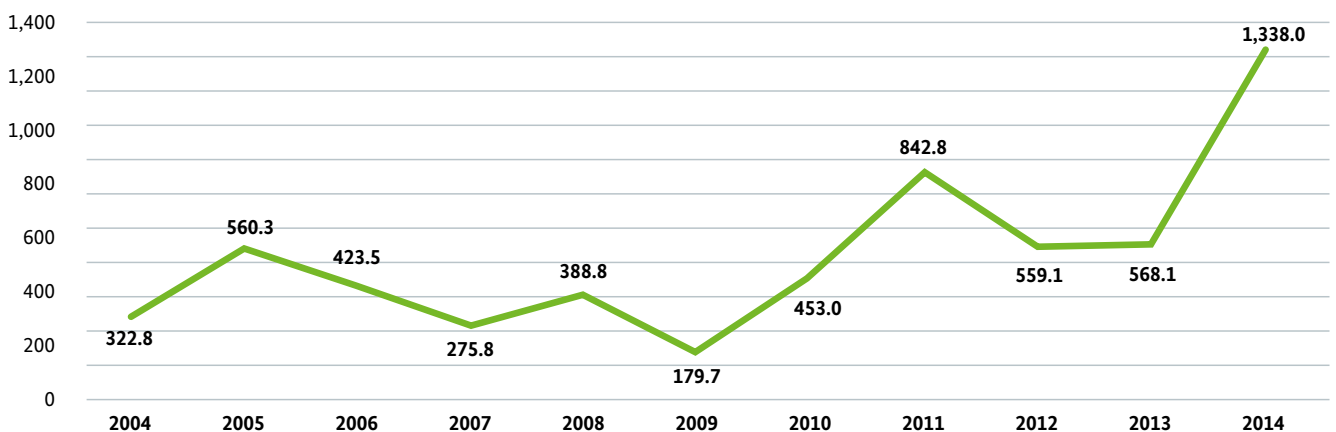
Within the total exports, a merchandise value of € 218.8 million (some 12% of total exports of war weapons) was accounted for by the transfer of material by the German Ministry of Defence (2013: € 53.7 million). Of these, exports worth € 154.6 million went to Poland (an EU and NATO member state).

#### (2) Commercial exports

The value of German companies’ commercial exports amounted to € 1.60 billion in 2014 (2013: € 903.1 million)<sup>49</sup>. Approx. 15.5% of these exports (€ 229.9 million) went to EU, NATO or NATO-equivalent countries.

The volume of commercial exports of war weapons to third countries rose to € 1.34 billion from the 2013 figure of € 568.1 million. Of these, exports worth € 607 million went to Israel, exports worth € 294 million to the Republic of Korea, exports worth € 105 million to the United Arab Emirates, and exports worth € 91 million to Brunei Darussalam. These four countries thus accounted for approx. 68% of the total volume of commercial exports of war weapons to third countries.

**Figure 10: Commercial war weapons exports to third countries 2004-2014 (in € millions)**



48 Due to retrospective reports to the Federal Statistical Office on exports to Italy, the total volume of actual exports in 2013 was corrected upwards by € 23.6 million.

49 Due to retrospective reports to the Federal Statistical Office on exports to Italy, the total volume of actual exports in 2013 was corrected upwards by € 23.6 million.

The following table contains all exports of war weapons in 2014 (commercial and German Ministry of Defence), broken down by consignee country and value.

**Table I<sup>50</sup>**

Country	Value in € 1,000	Country	Value in € 1,000	Country	Value in € 1,000
Afghanistan	20	Indonesia	35,928	Poland	162,926
Algeria	76,815	Iraq	62,926 <sup>51</sup>	Portugal	129
Andorra	3	Ireland	145	Saudi Arabia	47,490
Australia	48	Israel	606,539	Singapore	46,320
Austria	16,621	Italy	27,513	Slovenia	44
Belgium	8,937	Japan	2,409	South Africa	4,690
Brazil	9,210	Korea, Republic	294,273	Spain	987
Brunei Darussalam	90,501	Lebanon	32	Sudan	17
Bulgaria	56	Luxembourg	2,026	Sweden	18,812
Canada	32,063	Malaysia	6	Switzerland	9,993
Croatia	3	Mali	393	Turkey	14,437
Czech Republic	182	Montenegro	41	United Arab Emirates	105,236
Denmark	9,305	Netherlands	15,052	United Kingdom	40,453
Estonia	123	Norway	12,087	United States	33,943
Finland	198	Oman	3,559	Yemen	10
France	12,666	Pakistan	8,536	<b>Total:</b>	<b>1,823,123</b>
Hungary	33	Peru	9,384		

#### b) War weapon exports from 2004-2014

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

**Table J**

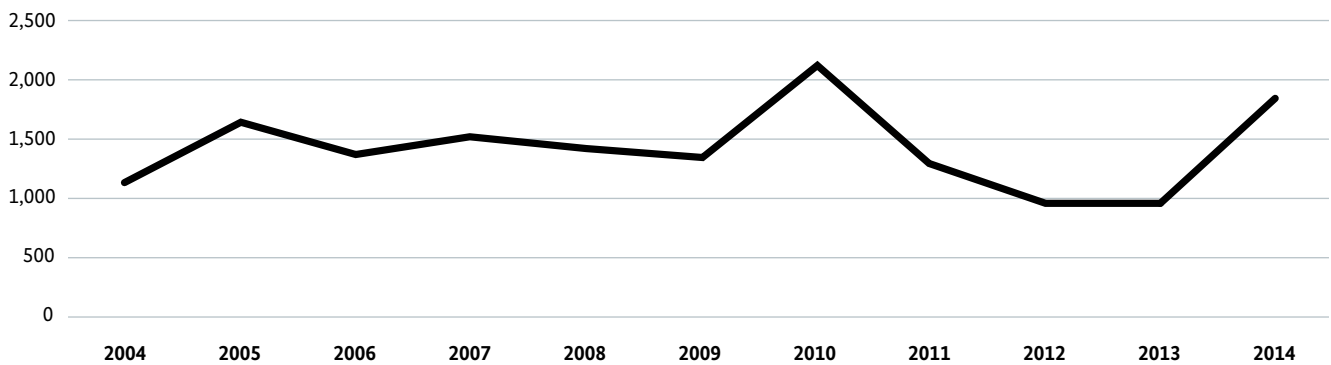
Year	Total Value (in € millions)	Share as % of total German exports
2004	1,129.1	0.15
2005	1,629.7	0.26
2006	1,374.2	0.15
2007	1,510.1	0.16
2008	1,427.2	0.14
2009	1,338.8	0.17
2010	2,119.0	0.22
2011	1,284.7	0.12
2012	946.0	0.09
2013	956.6	0.09
2014	1,823.1	0.16

50 Including exports to UN missions

51 Chiefly for equipment aid to Kurdish regional government

Plotted on a chart, the trend is as follows:

**Figure 11: Development in total war weapons exports from 2004-2014**  
(in € millions)



### 3. German military equipment exports by international comparison

For some years now, the German manufacturers have seen declining demand for military equipment on their traditional markets, the NATO member states. This is resulting in a clear loss of market shares. The opposing trend, a rapid rise in demand in the Middle and Far East, is mainly met by U.S., Russian and increasingly also Chinese providers, which are often backed by their respective governments. According to recent figures presented by SIPRI, the Stockholm-based peace research institute, in March 2015, Germany exported 43% less weapons in the last five years (2010-2014) than in the 2005-2009 period.

It therefore ranks Germany fourth amongst the major exporters in the international listing (SIPRI study “Trends in International Arms Transfers 2014”) for the 2010-2014 period, with a market share of 5%. The USA heads the ranking with 31%, followed by Russia with 27%. China comes third and France ranks fifth, each with the same share as Germany (5%). In contrast, according to the Annual EU Report for 2013<sup>52</sup>, published in March 2015, Germany ranks well behind France and just ahead of the UK.

It is necessary to exercise caution when comparing the weapons exports of individual countries. For the most part, the parameters and criteria which are used to generate the statistics for the studies vary too greatly for any compari-

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

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

Also, when considering exports to third countries, it is worthwhile glancing at the nature and the end-use of the goods. For example, the delivery of armoured cross-country vehicles for international organisations and the export of mine-clearing equipment for aid organisations is included in the total volume of exports of German military equipment. It is obvious that this cannot entail any violation of human rights or the risk of a worsening of the crisis.

52 Published in the EU Official Journal, edition C103/1 of 27 March 2015, at: <http://eur-lex.europa.eu/legal-content/DE/TXT/PDF/?uri=OJ:C:2015:103:FULL&from=DE>

# Annex 1a

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

The Government of the Federal Republic of Germany, desiring

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

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

### I. General Principles

1. The Federal Government's decisions regarding the export of war weapons<sup>53</sup> and other military equipment<sup>54</sup> 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 1998<sup>55</sup> and such arrangements as may be agreed subsequently as well as the Principles Governing Conventional Arms Transfers adopted by the Organisation for Security and Co-operation in Europe (OSCE) on 25 November 1993. The criteria laid down in the EU Code of Conduct are an integral part of these Political Principles. The standards stipulated in the Code of Conduct will be

superseded by any more stringent standards that may be derived from the following principles:

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

### II. NATO countries<sup>56</sup>, EU member states, countries with NATO-equivalent status<sup>57</sup>

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

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

2. Co-operative ventures in this area should be in the interest of the Alliance and/or European policy. In the case of coproduction projects covered by intergovernmental agreements with countries referred to in this Section,

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

54 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.

55 Attached as annex 2.

56 Area of application of NATO Treaty, Article 6.

57 Australia, Japan, New Zealand, Switzerland.

these arms export principles will be given practical effect as far as possible. While mindful of its special interest in its co-operation standing, the Federal Government will not forgo any opportunities it may have to influence export projects envisaged by its cooperation partners (Section II (3)).

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

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

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

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

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

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

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

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

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

### III. Other countries

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

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

4. Export licences pursuant to the War Weapons Control Act and/or the Foreign Trade and Payments Act will not be granted where the internal situation in the country concerned precludes such action, e. g. in the case of armed conflict or where there are reasonable grounds for suspecting such exports may be used for internal repression or the sustained and systematic abuse of human rights. In this context the human rights situation in the recipient country is a major factor to be considered.
5. No licences will be granted for the export of war weapons<sup>58</sup> and other military equipment related to war weapons to countries
  - involved in armed conflict or where armed conflict is imminent,
  - where the outbreak of armed conflict is imminent or where such exports would stir up, perpetuate or exacerbate latent tensions and conflicts.

58 Plant and documentation for the manufacturer of war weapons.

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

6. Decisions on whether to grant export licences for war weapons and other military equipment will take into account whether sustainable development in the recipient country is being seriously impeded by excessive arms spending.
7. Also to be taken into account is the recipient country's conduct in terms of whether it
  - supports and promotes terrorism and international 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.



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

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

#### **V. Arms exports report**

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

# Annex 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 Countries<sup>59</sup>

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.<sup>60</sup>
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.<sup>61</sup>
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.<sup>62</sup> 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.

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

60 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.

61 This shall not apply to hunting and sporting weapons.

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

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.

## Annex 2

### EU 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/CFSP<sup>63</sup> on the European Union's contribution to combating the destabilising accumulation and spread of small arms and light weapons.
- (8) The Council adopted on 23 June 2003 Common Position 2003/468/CFSP<sup>64</sup> 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.

<sup>63</sup> OJ L 191 of 19.7.2002, p. 1.

<sup>64</sup> OJ L 156 of 25.6.2003, p. 79.

(16) On 13 June 2000, the Council adopted the Common Military List of the European Union, which is regularly reviewed, taking into account, where appropriate, similar national and international lists.<sup>65</sup>

(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.<sup>66</sup>

#### 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;

65 Last amended on 10 March 2008, OJ C 98 of 18.4.2008, p. 1.

66 OJ L 159 of 30.6.2000, p. 1.

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

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

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

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

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

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

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

- a) the existence or likelihood of armed conflict between the recipient and another country;
- b) a claim against the territory of a neighbouring country which the recipient has in the past tried or threatened to pursue by means of force;
- c) the likelihood of the military technology or equipment being used other than for the legitimate national security and defence of the recipient;
- d) the need not to affect adversely regional stability in any significant way.
- (5) **Criterion 5:** National security of the Member States and of territories whose external relations are the responsibility of a Member State, as well as that of friendly and allied countries.

Member States shall take into account:

- (a) the potential effect of the military technology or equipment to be exported on their defence and security interests as well as those of Member State and those of friendly and allied countries, while recognising that this factor cannot affect consideration of the criteria on respect for human rights and on regional peace, security and stability;
- (b) the risk of use of the military technology or equipment concerned against their forces or those of Member States and those of friendly and allied countries.
- (6) **Criterion 6:** Behaviour of the buyer country with regard to the international community, as regards in particular its attitude to terrorism, the nature of its alliances and respect for international law.

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

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

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

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

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

(8) **Criterion 8:** Compatibility of the exports of the military technology or equipment with the technical and economic capacity of the recipient country, taking into account the desirability that states should meet their

legitimate security and defence needs with the least diversion of human and economic resources for armaments.

Member States shall take into account, in the light of information from relevant sources such as United Nations Development Programme, World Bank, International Monetary Fund and Organisation for Economic Co-operation 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 – ATT

<http://www.un.org/disarmament/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 85, 22 March 2012 is almost identical with the German Munitions List and can therefore be used as a point of reference.

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

# Annex 5

## War Weapons List

### Part A

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

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

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

### Part B – Other War Weapons

#### I. Projectile

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

#### II. Combat Aircraft and Helicopters

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

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

#### III. Vessels of War and Special Naval Equipment

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

#### IV. Combat Vehicles

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

#### V. Barrel Weapons

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

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

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

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

#### **VII. Torpedoes, Mines, Bombs, Autonomous Ammunition**

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

#### **VIII. Other Ammunition**

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

- 55. Propelling charges for the weapons specified in items 49 and 52

#### **IX. Other Essential Components**

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

#### **X. Dispensers**

- 61. Dispensers for the systematic distribution of submunition

#### **XI. Laser Weapons**

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

# Annex 6

## Arms embargoes force in 2014

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

The group of these countries can change at any time.

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

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

# Annex 7

## Most important countries of destination in 2014

The 20 most important countries of destination for which individual export licences were granted in 2014:

No. <sup>67</sup>	Country	Value in 2014 (€)	Description of articles
1 (6)	Israel <sup>68</sup>	684,563,088	Submarine, ship body conduits and parts for submarines, underwater detection equipment (A0009/88.4%)
2 (3)	United States	415,431,945	<p>Rifles with war weapons list number, submachine guns, rifles without war weapons list number, sniper rifles, revolvers, pistols, hunting rifles, sporting rifles, sporting pistols, self-loading rifles, repeating smooth-bore weapons, self-loading smooth-bore hunting weapons, silencers, gun mountings, flash hiders, weapon sights and parts for rifles with war weapons list number, submachine guns, rifles without war weapons list number, sniper rifles, revolvers, pistols, hunting rifles, sporting rifles, sporting pistols, self-loading rifles, flash hiders, weapon sights (A0001/29.6%);</p> <p>ammunition for cannon, automatic grenade launchers, grenade launchers, rifles, submachine guns, smoke dischargers, hunting weapons, sporting weapons, revolvers, pistols, smooth-bore hunting weapons, smooth-bore sporting weapons, fuse-setting devices and ammunition parts for the following: cannon, mortars, anti-tank weapons, automatic grenade launchers, grenade launchers, rifles, machine guns, hunting weapons, sporting weapons, revolvers, pistols, smooth-bore hunting weapons, smooth-bore sporting weapons, smooth-bore weapons (A0003/11.5%);</p> <p>engines, ground equipment and parts for combat aircraft, combat helicopters, aircraft, helicopters, unmanned aircraft, engines, in-flight refuelling equipment, ground equipment (A0010/8.4%);</p> <p>laboratory chemicals, chemicals for airbags, analytical chemicals, satellite fuel, aluminium powder and fluorine compounds (A0008/7.6%);</p> <p>forged, cast and unfinished components (A0016/7.4%);</p> <p>target acquisition systems, target range-finders, target detection equipment, testing equipment, calibration equipment and parts for fire control equipment, on-board weapons-control systems, target acquisition systems, target classification systems, target acquisition radar, calibration equipment (A0005/6.8%);</p> <p>flares, simulators, mines [training material], marine minesweeping equipment, firing equipment, missile defence system and parts for rockets, missiles, mines [training material], hand grenades, grenades [training material], marine minesweeping equipment, firing equipment, missile defence systems (A0004/6.4%);</p> <p>electronic equipment, communications equipment, measuring equipment, testing equipment, boosters, travelling wave tubes, cathode-ray tubes, slip rings, positioning equipment, electricity supplies and parts for electronic equipment, communications equipment, microwave receivers, positioning equipment, assemblies, navigation equipment, electricity supplies (A0011/6.1%)</p>
3 (9)	Singapore	328,976,340	Tanks, armoured bridgelayers, armoured engineering vehicles, trucks and parts for tanks, armoured vehicles, amphibious vehicles, trucks, ground vehicles (A0006/93.4%)

<sup>67</sup> List position of previous year in brackets

<sup>68</sup> 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.

No. <sup>67</sup>	Country	Value in 2014 (€)	Description of articles
4 (8)	Korea, Republic	253,778,423	<p>Parts for tanks, armoured self-propelled howitzers, armoured vehicles, trucks, recovery vehicles (A0006/51.6%);</p> <p>underwater detection equipment, ship body conduits and parts for submarines, frigates, mine-sweepers, mine-layers, surface-effect vehicles, ships, submarine electric motors, underwater detection equipment, guidance equipment for detection equipment (A0009/21.5%);</p> <p>electronic equipment, communications equipment, data processing equipment, navigation equipment and parts for electronic equipment, communications equipment, hoistable masts, positioning equipment, navigation equipment (A0011/6.0%);</p> <p>fire control units, gun laying equipment, target range-finding systems, target detection equipment, calibration equipment and parts for fire control systems, weapon sights, gun laying equipment, target range-finding systems, calibration equipment (A0005/5.9%)</p>
5 (7)	United Kingdom	217,167,600	<p>Engines, in-flight refuelling equipment, ground equipment, ejection seats and parts for combat aircraft, combat helicopters, aircraft, helicopters, engines, in-flight refuelling equipment, ground equipment (A0010/30.9%);</p> <p>electronic equipment, communications equipment, measuring equipment, testing equipment, assemblies, components, guidance equipment, electricity supplies and parts for electronic equipment, communications equipment, measuring equipment, testing equipment, assemblies, positioning equipment, navigation equipment (A0011/19.7%);</p> <p>ammunition for rifles, machine guns, and parts for ammunition for guns, howitzers, cannon, mortars, launchers, grenade launchers (A0003/8.7%);</p> <p>missiles, parachute signal rockets and parts for torpedoes, rockets, missiles, grenades, marine minesweeping equipment, missile defence systems (A0004/7.8%);</p> <p>military equipment technology (A0022/7.5%);</p> <p>forged, cast and unfinished components (A0016/7.0%)</p>
6 (4)	Saudi Arabia	208,966,567	<p>Missiles, firing equipment, blasting machines, detonating mechanisms and parts for missiles, firing equipment, detonating mechanisms (A0004/29.4%);</p> <p>communications equipment, vehicle protection systems, guidance equipment, electricity supplies and parts for electronic equipment, vehicle protection systems, self-defence systems, positioning equipment (A0011/12.7%);</p> <p>quality assurance documents for small firearm parts, technical documents for missile parts, inspection documents for ship parts, technical documents for radio equipment parts, technical documents for protection system and technology for firing simulator (A0022/12.1%);</p> <p>fire control units, gun laying equipment, target range-finding systems, ground surveillance radar, testing equipment and parts for fire control systems, ground surveillance radar, target detection equipment (A0005/10.1%);</p> <p>parts for frigates, fast patrol boats, minesweepers, tugs and ships (A0009/8.6%);</p> <p>maintenance equipment and parts for combat aircraft, training aircraft, tanker aircraft, other aircraft, air reconnaissance system, in-flight refuelling, ground equipment, breathing masks (A0010/7.1%);</p>

67 List position of previous year in brackets

No. <sup>67</sup>	Country	Value in 2014 (€)	Description of articles
6 (4)	Saudi Arabia		ammunition for rifles, revolvers, pistols, hunting weapons, sporting weapons, smooth bore weapons and parts for ammunition for guns, howitzers, mortars, recoilless weapons (A0003/7.0%)
7 (1)	Algeria	163,649,873	Trucks parts for trucks (A0006/60.5%);  manufacturing equipment for radar equipment parts, radio equipment parts, vehicle assembly and parts for manufacturing equipment (A0018/19.3%);  ground surveillance radar, meridian gyros and parts for ground surveillance radar (A0005/9.5%)
8 (13)	United Arab Emirates	121,219,530	Floating platforms for coastal protection and parts for ships, underwater detection equipment (A0009/46.5%);  training equipment for radar operators and parts for training equipment (A0014/18.2%);  trucks, armoured cross-country vehicles, low-load semi-trailers and parts for tanks, self-propelled howitzers, armoured vehicles, amphibious vehicles, trucks, cross-country vehicles (A0006/10.9%);  ammunition for guns, rifles, submachine guns, revolvers, pistols, hunting weapons, sport- ing weapons, smooth bore weapons and parts for ammunition for mortars, submachine guns, rifles (A0003/10.1%)
9 (5)	Indonesia	108,445,862	Ship body conduits and parts for submarines, frigates, corvettes, patrol boats (A0009/63.6%);  electronic equipment, communications equipment, navigation equipment and parts for electronic equipment, communications equipment, navigation equipment (A0011/22.3%)
10 (-)	Brunei	104,890,812	Patrol boat and parts for patrol boats (A0009/90.0%)
11 (11)	Italy	101,158,712	Electronic equipment, communications equipment, measuring equipment, testing equip- ment, navigation equipment and parts for electronic equipment, communications equipment, electronic warfare, assemblies, positioning equipment, navigation equipment, electricity supplies (A0011/42.2%);  ejection seats, parachutes and parts for combat aircraft, combat helicopters, aircraft, helicopters, unmanned aircraft, engines, ground equipment, parachutes (A0010/11.8%);  parts for torpedoes, missiles and testing equipment (A0004/9.8%);  ship body conduits and parts for submarines, combat vessels, ships, underwater detection equipment, ship body conduits (A0009/6.4%);  forged, cast and unfinished components (A0016/5.6%);  manufacturing equipment and parts for manufacturing equipment for military equipment (A0018/5.4%)

67 List position of previous year in brackets



No. <sup>67</sup>	Country	Value in 2014 (€)	Description of articles
12 (-)	<b>Belgium</b>	94,238,408	<p>Combat helicopters, ground equipment and parts for combat aircraft, transport aircraft (A0010/59.6%);</p> <p>missiles, firing equipment and parts for missiles, firing equipment (A0004/12.7%);</p> <p>electronic equipment, communications equipment and parts for electronic equipment, communications equipment, positioning equipment (A0011/8.9%)</p>
13 (12)	<b>Canada</b>	90,733,270	<p>Electronic equipment, positioning equipment, navigation equipment and parts for electronic equipment, communications equipment, positioning equipment (A0011/59.2%);</p> <p>armoured recovery vehicles, armoured engineering vehicles, cross-country vehicles and parts for tanks, armoured vehicles, armoured recovery vehicles, cross-country vehicles, ground vehicles (A0006/14.0%);</p> <p>rifles with war weapons list number, submachine guns, rifles without war weapons list number, sniper rifles, revolvers, pistols, hunting rifles, sporting rifles, sporting pistols, sporting revolvers, self-loading rifles, self-loading smooth-bore hunting weapons, gun mountings, flash hidens, weapon sights and parts for rifles with war weapons list number, submachine guns, rifles without war weapons list number, sniper rifles, revolvers, pistols, hunting rifles, sporting rifles, sporting pistols, sporting revolvers, self-loading rifles, self-loading smooth-bore hunting weapons, magazines, weapon sights (A0001/8.6%)</p>
14 (-)	<b>Iraq</b>	86,102,146	<p>Ammunition for anti-tank weapons, machine guns, rifles, revolvers and pistols (A0003/32.1%);</p> <p>rifles with war weapons list number, machine guns and pistols (A0001/20.1%);</p> <p>missiles, hand grenades, equipment to clear landmines, ammunition disposal tools and parts for missile-defence systems for helicopters (A0004/19.6%);</p> <p>helmets, bomb suits, mine-protection suits and ballistic body armour vests (A0013/9.7%)</p>
15 (10)	<b>France</b>	84,787,928	<p>Target range-finders and parts for fire control equipment, on-board weapons-control systems, target classification systems, target range-finding systems, positioning radar, target acquisition radar, infrared detectors (A0005/33.0%);</p> <p>electronic equipment, communications equipment, measuring equipment, testing equipment, tubes, navigation equipment and parts for electronic equipment, communications equipment, measuring equipment, testing equipment, assemblies, positioning equipment, navigation equipment (A0011/12.7%);</p> <p>forged, cast and unfinished components (A0016/12.5%);</p> <p>parts for combat aircraft, combat helicopters, aircraft, helicopters, engines and ground equipment (A0010/10.8%);</p> <p>manufacturing equipment and parts for manufacturing equipment for military equipment (A0018/10.1%);</p> <p>ammunition for mortars, grenade launchers, automatic grenade launchers, rifles, submachine guns and parts for ammunition for guns, howitzers, cannon, mortars, grenade launchers, automatic grenade launchers, rifles, pyrotechnic ammunition, training ammunition (A0003/5.2%)</p>

67 List position of previous year in brackets

No. <sup>67</sup>	Country	Value in 2014 (€)	Description of articles
16 (17)	Netherlands	79,789,159	<p>Trucks, cross-country vehicles, fire-fighting vehicles, ambulances, trailers, field kitchens, semi-trailers, fork-lift trucks, masts and parts for tanks, armoured self-propelled howitzers, armoured vehicles, trucks, ground vehicles (A0006/40.7%);</p> <p>ammunition for guns, mortars, recoilless weapons, grenade launchers, automatic grenade launchers, rifles, submachine guns, machine guns and parts for ammunition for guns, mortars, recoilless weapons, rifles (A0003/27.2%);</p> <p>electronic equipment, communications equipment, components, navigation equipment, electricity supplies and parts for electronic equipment, communications equipment, assemblies, positioning equipment, navigation equipment (A0011/9.3%);</p> <p>fire control systems, testing equipment and parts for fire control equipment, weapon sights, on-board weapons-control systems, target classification systems, target surveillance systems, radar systems (A0005/6.4%)</p>
17 (16)	Switzerland	75,148,404	<p>Armoured vehicles and parts for tanks, self-propelled howitzers, armoured vehicles, recovery vehicles, trucks, cross-country vehicles, ground vehicles (A0006/54.9%);</p> <p>ammunition for cannon, anti-tank weapons, grenade launchers, automatic grenade launchers, rifles, submachine guns, machine guns, fuse-setting devices and parts for ammunition for guns, howitzers, cannon, mortars, anti-tank weapons, grenade launchers, automatic grenade launchers, rifles, submachine guns, machine guns, revolvers, pistols, pyrotechnic ammunition (A0003/11.4%);</p> <p>forged, cast and unfinished components (A0016/9.7%);</p> <p>camouflage paint, coating lacquers, camouflage nets, mobile electricity generators, laser protection equipment, fuel cells and parts for camouflage paint, mobile electricity generators, laser protection equipment (A0007/4.7%)</p>
18 (20)	Turkey	72,445,432	<p>Manufacturing equipment and parts for manufacturing equipment for military equipment (A0018/21.0%);</p> <p>ammunition for hunting weapons, sporting weapons, revolvers, pistols, decoy cartridges and ammunition parts for the following: revolvers, pistols (A0003/11.1%);</p> <p>electronic equipment, data-processing equipment, components, guidance equipment and parts for electronic equipment, communications equipment, positioning equipment, navigation equipment, electricity supplies (A0011/10.7%);</p> <p>underwater detection equipment, ship body conduits and parts for submarines, combat vessels, ships, submarine diesel engines, underwater detection equipment, ship body conduits (A0009/10.3%);</p> <p>rifles with war weapons list number, machine guns, sniper rifles, revolvers, pistols, hunting rifles, sporting rifles, self-loading smooth-bore hunting weapons, gun mountings, flash hiders, weapon sights and parts for rifles with war weapons list number, machine guns, sniper rifles, revolvers, pistols, hunting rifles (A0001/7.3%);</p> <p>trucks and parts for tanks, self-propelled howitzers, armoured vehicles, recovery vehicles, trucks, amphibious vehicles, mobile aerial bearers (A0006/6.3%);</p>

67 List position of previous year in brackets

No. <sup>67</sup>	Country	Value in 2014 (€)	Description of articles
18 (20)	Turkey		<p>submarine simulator and parts for flight simulators (A0014/5.5%);</p> <p>laboratory chemicals, protective clothing, detection equipment and parts for protective ventilation facilities, detection equipment (A0007/5.0%);</p> <p>parts for torpedoes, rockets, missiles, firing equipment and missile defence systems (A0004/4.9%)</p>
19 (18)	Sweden	56,899,798	<p>Combat helicopters and parts for combat aircraft, aircraft, helicopters (A0010/63.7%);</p> <p>communications equipment, components, navigation equipment and parts for electronic equipment, communications equipment, assemblies, navigation equipment (A0011/7.7%);</p> <p>grenade launchers, automatic grenade launchers, smoke dischargers, weapon sights, mounts and parts for guns, cannon, anti-tank weapons, grenade launchers, automatic grenade launchers, smoke dischargers, decoy launcher facilities, weapon sights (A0002/6.8%);</p> <p>smoke canisters and parts for torpedoes, missiles, pyrotechnic ammunition, simulator ammunition, firing equipment, missile defence systems (A0004/4.3%)</p>
20 (-)	Poland	55,748,392	<p>Electronic equipment, communications equipment, data processing equipment, measuring equipment, testing equipment, positioning equipment, navigation equipment, guidance equipment, electricity supplies and parts for electronic equipment, communications equipment, electronic warfare, data processing equipment, measuring equipment, testing equipment, assemblies, positioning equipment, navigation equipment, electricity supplies (A0011/41.9%);</p> <p>underwater detection equipment and parts for combat vessels, ships, underwater detection equipment (A0009/19.2%);</p> <p>armoured personnel carriers, infantry fighting vehicles [demilitarised], tanks [exhibition pieces], training tanks, trucks, cross-country vehicles, automotive crane, station wagons, trailers and parts for tanks, armoured vehicles, trucks, cross-country vehicles, ground vehicles (A0006/14.8%);</p> <p>ammunition for guns, grenade launchers, automatic grenade launchers and parts for ammunition for howitzers, cannon, grenade launchers, automatic grenade launchers (A0003/11.5%)</p>

67 List position of previous year in brackets

## Export licences by country groups and countries in 2014

## EU countries

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/ reasons/EL item							
Austria	322	A0001	26,658,659			A0001									
		A0002													
		A0003													
		A0004													
		A0005													
		A0006													
		A0007													
		A0009													
		A0010													
		A0011													
		A0014													
		A0015													
		A0016													
		A0017													
		A0018													
		A0021													
		A0022													
		Belgium				249			A0001	94,238,408			A0001		
A0002															
A0003															
A0004															
A0005															
A0006															
A0010															
A0011															
A0013															
A0014															
A0016															
A0017															
A0018															
A0021															
A0022															
Bulgaria	29		A0001	1,438,338				A0001							
			A0002												
			A0003												
		A0006													
		A0015													
		A0016													
		A0017													
		A0018													
		A0022													

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item							
Croatia	14	A0002	458,097												
		A0003													
		A0006													
		A0007													
		A0011													
		A0015													
		A0018													
A0021															
Czech Republic	87	A0001	3,707,153												
		A0003													
		A0004													
		A0005													
		A0006													
		A0010													
		A0011													
		A0016													
		A0017													
		A0018													
		A0021													
		A0022													
		Denmark				95			A0001	6,711,602					
									A0002						
A0003															
A0005															
A0006															
A0007															
A0009															
A0011															
A0016															
A0017															
A0018															
A0021															
A0022															
Estonia	23		A0001	1,603,668											
		A0002													
		A0004													
		A0005													
		A0006													
		A0011													
		A0015													
		A0017													
A0021															

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item							
Finland	77	A0001	8,846,526			A0001									
		A0002													
		A0003													
		A0004													
		A0005													
		A0006													
		A0010													
		A0011													
		A0014													
		A0015													
		A0016													
		A0017													
		A0018													
		A0021													
		A0022													
		France				612			A0001	84,787,928			A0001		
									A0002						
									A0003						
									A0004						
									A0005						
									A0006						
									A0007						
A0008															
A0009															
A0010															
A0011															
A0013															
A0014															
A0015															
A0016															
A0017															
A0018															
A0021															
A0022															
Greece	120		A0003	14,879,321				A0003							
			A0004												
			A0005												
		A0006													
		A0009													
		A0010													
		A0011													
		A0015													
		A0016													
		A0017													
		A0018													
		A0022													

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/ reasons/EL item								
Hungary	40	A0001	2,824,327													
		A0003														
		A0005														
		A0006														
		A0007														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Ireland							21	A0001	589,607					
A0002																
A0003																
A0006																
A0011																
A0018																
A0022																
Italy	457		A0001	101,158,712												
			A0002													
			A0003													
			A0004													
			A0005													
		A0006														
		A0007														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Latvia	3						A0015		82,360					
									A0018							
		Lithuania	10						A0003		218,073					
									A0004							
									A0006							
A0016																
Luxembourg	223	A0001	5,187,551													
		A0002														
		A0003														
		A0004														

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item	
Luxembourg									
Netherlands	796	A0001	79,789,159						
		A0002							
		A0003							
		A0004							
		A0005							
		A0006							
		A0007							
		A0008							
		A0009							
		A0010							
		A0011							
		A0013							
		A0014							
		A0015							
		A0016							
		A0017							
		A0018							
		A0021							
		A0022							
	Poland								
	Portugal	266	A0001	55,748,392					
			A0002						
		A0003							
		A0004							
		A0005							
		A0006							
		A0007							
		A0009							
		A0010							
		A0011							
		A0014							
		A0015							
		A0016							
		A0017							
		A0018							
		A0021							
		A0022							
		36	A0001	4,768,964					
			A0002						
			A0003						
			A0006						



Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/ reasons/EL item							
<b>Portugal</b>															
<b>Romania</b>	32	A0009	2,011,977												
		A0011													
		A0016													
		A0017													
		A0018													
		A0021													
		A0022													
		A0003													
		A0005													
		A0006													
<b>Slovakia</b>	17	A0001	4,819,147												
		A0006													
		A0010													
		A0011													
		A0015													
		A0017													
		A0018													
		A0021													
	<b>Slovenia</b>	21							A0001	677,197					
									A0002						
		A0010													
		A0011													
		A0014													
		A0016													
		A0017													
		A0018													
		A0022													
<b>Spain</b>		358	A0001	41,876,553											
		A0002													
		A0003													
		A0004													
		A0005													
		A0006													
		A0009													
		A0010													
		A0011													
		A0014													
	A0015														
	A0016														
	A0017														
	A0018														
	A0021														
	A0022														

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
Sweden	276	A0001	56,899,798					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
		A0014						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						
		United Kingdom						
A0002								
A0003								
A0004								
A0005								
A0006								
A0007								
A0009								
A0010								
A0011								
A0014								
A0015								
A0016								
A0017								
A0018								
A0021								
A0022								
<b>Total</b>	<b>4,925</b>		<b>817,149,117</b>		<b>0</b>		<b>-</b>	

## NATO and NATO-equivalent countries

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/ reasons/EL item
Albania	1	A0006	8,781					
Australia	364	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022	23,125,867					
Canada	629	A0001 A0002 A0003 A0004 A0005 A0006 A0008 A0009 A0010 A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022	90,733,270					
Iceland	4	A0007 A0016 A0018	13,181					

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
Japan	190	A0001	22,586,251			A0001		
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0008						
		A0009						
		A0010						
		A0011						
		A0014						
		A0015						
		A0016						
		A0017						
A0018								
A0021								
A0022								
Liechtenstein	34	A0001	138,844			A0001		
		A0003						
		A0009						
		A0010						
		A0016						
		A0018						
New Zealand	101	A0001	1,006,278			A0001		
		A0002						
		A0003						
		A0004						
		A0006						
		A0009						
		A0010						
		A0011						
		A0017						
		A0021						
		A0022						
Norway	262	A0001	51,916,695			A0001		
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
Norwegen		A0009						
		A0010						
		A0011						
		A0015						
		A0016						
		A0018						
		A0021						
		A0022						
		A0001	880	75,148,404				
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
	A0008							
	A0009							
	A0010							
	A0011							
	A0014							
	A0015							
	A0016							
	A0017							
	A0018							
	A0021							
	A0022							
Turkey		A0001			1	A0013	2,994	2/Criterion 7/A0001, A0013
	336	A0002	72,445,432					
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0013						
		A0014						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item							
United States	1,405	A0001	415,431,945												
		A0002													
		A0003													
		A0004													
		A0005													
		A0006													
		A0007													
		A0008													
		A0009													
		A0010													
		A0011													
		A0014													
		A0015													
		A0016													
		A0017													
		A0018													
		A0021													
		A0022													
		Individual licences NATO or NATO-equivalent countries, total				4,206				752,554,948		1		2,994	

## Third countries

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item								
Afghanistan	12	A0001	3,360,167	Communications equipment and parts for communications equipment (A0011/58.5%); armoured cross-country vehicles [Afghan President] and parts for cranes [U.S. army] (A0006/35.0%)												
		A0003														
		A0006														
		A0010														
		A0011														
		A0013														
		A0015														
		A0021														
		Algeria							22	A0001	163,649,873	Trucks and parts for trucks (A0006/60.5%); manufacturing equipment for radar equipment parts, radio equipment parts, vehicle assembly and parts for manufacturing equipment (A0018/19.3%); ground surveillance radar, meridian gyros and parts for ground surveillance radar (A0005/9.5%)				
										A0003						
A0004																
A0005																
A0006																
A0007																
A0008																
A0009																
A0011																
A0016																
A0017																
A0018																
A0021																
A0022																
Andorra	36	A0001	232,182	Hunting rifles; sporting rifles and parts for hunting rifles, sporting rifles, gun mountings (A0001/59.0%); ammunition for hunting weapons, sporting weapons, revolvers, pistols, smooth-bore weapons and parts for hunting weapons and sporting weapons ammunition (A0003/40.7%)												
		A0003														
		A0018														
Angola	3	A0006	1,418,250	Parts for trucks and mine-clearing equipment [aid organisations] (A0006/56.4%); communications equipment and parts for communications equipment (A0011/42.4%)	1	A0005	14,100	1/Criterion 2/A0005								
		A0011														
		A0021														
Argentina	46	A0001	8,716,980	Ground surveillance radar and parts for ground surveillance radar (A0005/25.5%); communications equipment and parts for communications equipment (A0011/24.0%);				1/Criterion 7/A0018								
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0008														

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
Argentina		A0009 A0010 A0011 A0014 A0015 A0018 A0021 A0022		parts for submarines, supply vessels and ice-breakers (A0009/21.1%); manufacturing equipment for ammunition parts and parts for manufacturing equipment (A0018/14.4%)				
Azerbaijan					1	A0018	222	4/Criterion 2, 7/A0006, A0013, A0015, A0018
Bahrain	4	A0009 A0011 A0013 A0021	3,182,999	Parts for frigates, fast patrol boats, patrol boats and transport ship (A0009/94.3%)	2	A0006 A0010	8.896	3/Criterion 2, 3/A0005, A0006, A0010
Bangladesh	3	A0003 A0008 A0016	16,057	Ammunition for hunting and sporting smooth-bore weapons (A0003/51.6%); canopy glass for training aircraft (A0016/48.3%)	3	A0001	12.383	5/Criterion 2, 3, 7/A0001
Belarus					1	A0015	1	2/Criterion 1/A0015
Benin	1	A0008	122	Laboratory chemicals (A0008/100%)				
Bosnia and Herzegovina	1	A0013	19,000	Inserts for body armour vests (A0013/100%)				
Botswana	19	A0001	121,320	Hunting rifles, sporting rifles and parts for hunting rifles (A0001/100%)				
Brazil	122	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015	30,887,408	Communications equipment and parts for communications equipment, navigation equipment, electricity supplies (A0011/35.4%); parts for submarines, ships and underwater detection equipment (A0009/15.6%); parts for armoured vehicles, trucks and howitzers (A0006/14.1%); armour plate, bomb suit, inserts for protective vests and parts for body armour (A0013/11.6%);				1/Criterion national policy/A0005, A0006



Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
Brazil								
Brunei Darussalam	13	A0016	104,890,812	oxygen supply systems, parachutes and parts for combat helicopters, transport aircraft, tanker aircraft, helicopters (A0010/8.2%)				
		A0018						
		A0021						
		A0022						
		A0002						
A0003								
A0004								
A0009								
A0011								
A0022								
Burkina Faso	1	A0006	62,900	Parts for armoured vehicles (A0006/100%)				
Cambodia	1	A0006	270,000	Armoured cross-country vehicles (A0006/100%)				
Cameroon	3	A0004	1,486,800	Trucks, cross-country vehicles and parts for trucks (A0006/83.2%)				
		A0006						
Central African Republic	1	A0006	213,896	Armoured cross-country vehicles [EU delegation] (A0006/100%)				
Chile	74	A0001	12,508,843	Trucks and parts for tanks, armoured self-propelled howitzers, armoured vehicles, trucks (A0006/42.8%);				
		A0002						
		A0003						
		A0004						
		A0006						
		A0008						
		A0009						
		A0010						
		A0011						
		A0013						
		A0015						
		A0018						
		A0007						
		A0008						
A0021								
A0022								
China	23	A0007	4,337,709	Satellite fuel, chemicals for making airbags, aluminium powder, laboratory chemicals and reference material (A0008/71.4%);	4	A0006	54,490	5/Criterion1, 2/A0001, A0003, A0006, A0009, A0013, A0015
				decontamination equipment, decontaminants, detection equipment		A0009		
				and parts for decontamination equipment, detection equipment (A0007/24.5%)		A0013		
						A0015		
Colombia	13	A0004	4,405,563	Identification Friend or Foe system, communications equipment, radio monitoring and detection system	1	A0001	79,568	3/Criterion 2/A0001
		A0005						
		A0009						
		A0011						
		A0017						
		A0021						
		A0022						
				and parts for Identification Friend or Foe system, communications equipment, monitoring and detection system, electricity supplies (A0011/71.7%);				
				parts for submarines (A0009/14.0%)				

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
<b>Comoros</b>	1	A0006	210,000	Armoured cross-country vehicles [embassy] (A0006/100%)				
<b>Côte d' Ivoire</b>	2	A0003 A0006	271,646	Armoured cross-country vehicles [EU delegation] (A0006/78.7%); ammunition for revolvers [UN mission] and pistols [UN mission] (A0001/21.3%)				
<b>Ecuador</b>	3	A0009 A0013	492,839	Parts for submarines and underwater detection equipment (A0009/97.4%)				
<b>Egypt</b>	30	A0005 A0008 A0009 A0010 A0011 A0016 A0017 A0021 A0022	22,735,428	Service for submarine batteries and technology for submarine parts (A0022/83.8%)				3/Criterion 2, 3, 7/A0001, A0002, A0005, A0006
<b>Georgia</b>	1	A0018	46,877	Ballistic testing system (A0018/100%)				1/Criterion 2, 7/A0001
<b>Ghana</b>	2	A0006	47,586	Parts for trucks (A0006/100%)				
<b>Guatemala</b>	1	A0017	349,350	Containers (A0007/100%)				2/Criterion 3, 7/A0001, A0003
<b>India</b>	256	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0016 A0017 A0018 A0021 A0022	21,257,478	Underwater detection equipment, ship body conduits and parts for submarines, corvettes, ships, mine-sweepers, underwater detection equipment (A0009/27.8%); engines and parts for combat helicopters, training aircraft, helicopters, engines (A0010/16.7%); night vision equipment and parts for reconnaissance systems (A0015/15.5%); cathode ray tubes, travelling wave tubes and parts for communications equipment, travelling wave tubes, positioning equipment, navigation equipment, guidance equipment (A0011/11.5%);	7	A0001 A0006 A0009 A0021 A0022	40,865	13/Criterion 1, 7/A0001, A0003, A0006, A0009, A0018, A0021, A0022

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item								
<b>India</b>																
<b>Indonesia</b>	119	A0001	108,445,862	diesel generators and parts for diesel generators (A0017/7.3%);	1	A0018	904,280	3/Criterion 3, 7/A0001, A0018								
		A0003														
		A0004														
		A0005														
		A0006														
		A0009														
		A0010														
		A0011														
		A0013														
		A0014														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		<b>Iraq</b>							20	A0001	86,102,146 <sup>69</sup>	ammunition for anti-tank weapons, machine guns, rifles, revolvers and pistols (A0003/32.1%);	1	A0003	171,000	3/Criterion 2, 3, 4/A0003, A0016
										A0002						
										A0003						
										A0004						
A0006																
A0010																
A0011																
A0013																
A0014																
A0015																
A0017																
A0021																
<b>Israel<sup>70</sup></b>	233		A0001	684,563,088	Submarine, ship body conduits and parts for submarines, underwater detection equipment (A0009/88.4%);	1	A0003	171,000		3/Criterion 2, 3, 4/A0003, A0016						
			A0002													
			A0003													
			A0004													
			A0005													
			A0006													
			A0007													
		A0008														
		A0009														
		A0010														

69 of which licences worth a total of €65.26 million for equipment aid to Kurdish regional government

70 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 item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item		
Israel										
Jordan	25	A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	1,386,573	Rifles with war weapons list number, submachine guns, pistols and parts for rifles with war weapons list number, submachine guns, pistols (A0001/64.2%); parts with ballistic protection for cross-country vehicles (A0006/27.0%)	2	A0001 A0003	4,935	2/Criterion 4, 7/ A0001, A0003		
	Kazakhstan	55	A0001 A0003 A0005 A0008 A0014 A0018	3,307,010	Hunting rifles, sporting rifles, self-loading rifles, self-loading smooth-bore hunting weapons, weapon sights and parts for hunting rifles, sporting rifles, self-loading rifles, self-loading smooth-bore hunting weapons (A0001/57.4%); satellite fuel and laboratory chemicals (A0008/35.0%)				1/Criterion 2/A0013	
		Kenya	4	A0003 A0011	332,700	Jammer for vehicle protection [Kenyan President] (A0011/72.6%); ammunition for rifles [UN mission], revolvers [UN mission], pistols [UN mission], hunting smooth-bore weapons [UN mission] and sporting smooth-bore weapons (A0003/27.4%)				
			Korea, Republic	333	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011	253,778,423	Parts for tanks, armoured self-propelled howitzers, armoured vehicles, trucks, recovery vehicles (A0006/51.6%); underwater detection equipment, ship body conduits and parts for submarines, frigates, mine-sweepers, mine-layers, surface-effect vehicles, ships, submarine electric motors, underwater detection equipment, guidance equipment for detection equipment (A0009/21.5%);			

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item	
Korea, Republic		A0013		electronic equipment, communications equipment, data processing equipment, navigation equipment and parts for electronic equipment, communications equipment, hoistable masts, positioning equipment, navigation equipment (A0011/6.0%); fire control units, gun laying equipment, target range-finding systems, target detection equipment, calibration equipment and parts for fire control systems, weapon sights, gun laying equipment, target range-finding systems, calibration equipment (A0005/5.9%)					
		A0015							
		A0016							
		A0017							
		A0018							
		A0021							
		A0022							
<b>Kosovo</b>	4	A0001 A0003 A0006 A0013 A0018	366,269	Inserts for body armour vests [police] (A0013/96.5%)					
<b>Kuwait</b>	42	A0001 A0002 A0003 A0004 A0006 A0007 A0009 A0010 A0011 A0013 A0021	4,021,054	Airfield semitrailer and airfield tanker (A0010/40.6%); detection equipment, radiation detection equipment and parts for detection equipment (A0007/23.3%); parts for armoured vehicles (A0006/13.9%); ammunition for automatic grenade launchers, grenade launchers, revolvers, pistols, hunting weapons and sporting weapons (A0003/7.9%)	1	A0003	750	3/Criterion 2/A0001, A0003	
<b>Kyrgyzstan</b>	2	A0003 A0006	219,836	Armoured cross-country vehicles [embassy] (A0006/95.5%)	1	A0001	5,571	2/Criterion 2, 3/A0001, A0013	
<b>Lebanon</b>	12	A0001 A0003 A0005 A0006 A0015	4,447,220	night vision equipment and parts for night vision equipment (A0015/86.3%)					
<b>Liberia</b>	1	A0003	49,000	Ammunition for revolvers [UN mission] and pistols [UN mission] (A0003/100%)					
<b>Libya</b>	6	A0003 A0006 A0010	2,531,728	Armoured cross-country vehicles [EU mission, embassy, personal security] and parts for cross-country vehicles [EU mission] (A0006/88.8%)					

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
<b>Macedonia, Former Yugoslav Republic</b>	9	A0001	79,859	Pistols, hunting rifles, sporting rifles, self-loading rifles, weapon sights and parts for pistols, hunting rifles, sporting rifles, self-loading smooth-bore hunting weapons (A0001/99.7%)				
		A0018						
<b>Malaysia</b>	77	A0001	37,415,874	Technical documents for electricity supply units and energy supply on ships (A0022/27.6%); fire control systems, gun laying equipment, testing equipment parts for fire control systems (A0005/25.1%); parts for tanks and armoured vehicles (A0006/24.1%); parts for marine simulator (A0014/14.4%)	4	A0001 A0003	21,096	4/Criterion 2, 7/A0001, A0003
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0014						
		A0017						
		A0021						
		A0022						
<b>Mali</b>	7	A0001	473,187	Rifles with war weapons list number [UN mission], submachine guns [UN mission] and parts for rifles with war weapons list number [UN mission], submachine guns [UN mission], revolvers [UN mission], pistols [UN mission] (A0001/68.1%); ammunition for rifles [UN mission], revolvers [UN mission], pistols [UN mission] (A0003/20.9%)				
		A0003						
		A0013						
<b>Mauritius</b>	8	A0001	141,925	Communications equipment and parts for communications equipment (A0011/64.7%); hunting rifles and parts for hunting rifles (A0001/33.5%)				
		A0011						
		A0021						
<b>Mexiko</b>	8	A0001	4,822,843	Subcalibre training guns and subcalibre training cartridges (A0014/83.9%)	12	A0001	76,480	13/Criterion 3, 7/A0001
		A0008						
		A0010						
		A0011						
		A0014						
		A0017						
		A0018						
A0021								
<b>Moldova</b>	1	A0007	2,480	Protective clothing (A0007/100%)	1	A0001	28,900	1/Criterion 2, 7/A0001
<b>Mongolia</b>	16	A0001	255,787	Trucks (A0006/84.4%)				
		A0006						

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
<b>Montenegro</b>	3	A0001	62,236	Submachine guns and parts for rifles with war weapons list number, submachine guns, machine guns (A0001/86.3%)				
		A0018						
<b>Morocco</b>	9	A0001	1,713,008	Parachutes and parts for parachutes (A0010/89.2%)	1	A0003	3,492	1/Criterion 2/A0003
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
A0016								
<b>Mosambique</b>	2	A0006	213,399	Landing grids for marine vehicles (A0009/98.4%)	1	A0010	4,420	1/Criterion 3/A0010
		A0009						
<b>Myanmar</b>	41	A0001	210,396	Pistols, hunting rifles, sporting rifles, self-loading smooth-bore hunting weapons and parts for hunting rifles, sporting rifles (A0001/87.6%)	1	A0001	2,500	1/Criterion 1/A0001
		A0003						
<b>Namibia</b>	41	A0016	210,396	Pistols, hunting rifles, sporting rifles, self-loading smooth-bore hunting weapons and parts for hunting rifles, sporting rifles (A0001/87.6%)	2	A0001 A0003	5,174	2/Criterion 7/A0001, A0003
		A0018						
		A0006						
		A0008						
<b>Nepal</b>	2	A0006 A0008	210,174	Armoured cross-country vehicles [embassy] (A0006/99.9%)				2/Criterion 2, 3/A0001, A0018
<b>Nicaragua</b>	1	A0006	80,000	Trucks (A0006/100.0%)				
<b>Niger</b>					1	A0006	4,800	1/Criterion 7/A0007
<b>Nigeria</b>	9	A0006	2,416,304	Geländewagen mit Sonderschutz und Teile für Geländewagen mit Sonderschutz, Teile mit ballistischem Schutz (A0006/97,5%)				1/Criterion 7/A0006
		A0007						
<b>Oman</b>	117	A0010	12,554,378	Communications equipment and parts for communications equipment, navigation systems (A0011/18.4%); ammunition for automatic grenade launchers, grenade launchers, rifles, revolvers, pistols, hunting weapons, sporting weapons and parts for cannon ammunition (A0003/18.1%); submachine guns, revolvers, pistols, hunting rifles, weapon sights and parts for rifles with war weapons list number, submachine guns, revolvers, pistols, sporting rifles (A0001/13.8%);				
		A0011						
		A0015						
		A0018						
		A0021						
		A0001						
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
Oman								
Pakistan	34	A0003	21,823,437	trucks and parts for armoured vehicles, trucks (A0006/11.9%); anti-tank weapons (A0002/11.5%); ground equipment and parts for combat aircraft, transport aircraft, ground equipment (A0010/11.2%)	2	A0001	114,295	3/Criterion 7/A0001
		A0004						
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
		A0017						
		A0021						
		A0022						
Panama	1	A0001	1,223	Pistols (A0001/100%)				
Peru	6	A0001	10,264,566	Ammunition for anti-tank weapons and smoke ammunition (A0003/92.0%)				
		A0003						
		A0009						
		A0017						
		A0017						
Philippines	7	A0001	308,016	Parts for transport aircraft and helicopters (A0010/77.9%); mortar training systems (A0014/21.8%)				2/Criterion 3/A0001, A0002, A0005, A0015
		A0010						
		A0014						
		A0021						
		A0021						
Qatar	22	A0001	15,439,245	Engines, anti-g trousers and parts for training aircraft (A0010/79.6%); maintenance equipment for anti-tank weapons and parts for missiles, anti-tank weapons (A0004/12.4%)				
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0010						
		A0011						
		A0013						
		A0014						
A0017								
A0021								
A0022								



Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
Russia	94	A0001	4,174,386	Rifles without war weapons list number, pistols, hunting rifles, sporting rifles, sporting pistols, self-loading rifles, flash suppressors and parts for pistols, hunting rifles, sporting rifles, self-loading rifles (A0001/50.5%);	11	A0001	595,445	4/Criterion 1, 2, 3, 4, 7/A0001, A0002, A0003, A0005, A0006, A0007, A0011, A0013, A0018, A0021, A0022
		A0003						
		A0006						
		A0008						
		A0009						
		A0011						
		A0018						
		A0022						
		A0001						
		A0006						
A0011								
A0021								
San Marino	1	A0013	380	Inserts for protective vests (A0013/100%)	1	A0018	156,025	3/Criterion 2, 7 / A0003, A0006, A0007, A0018
		A0018						
Saudi Arabia	174	A0001	208,966,567	Missiles, firing equipment, blasting machines, detonating mechanisms and parts for missiles, firing equipment, detonating mechanisms (A0004/29.4%); communications equipment, vehicle protection systems, guidance equipment, electricity supplies and parts for electronic equipment, vehicle protection systems, self-defence systems, positioning equipment (A0011/12.7%); quality assurance documents for small firearm parts, technical documents for missile parts, inspection documents for ship parts, technical documents for radio equipment parts, technical documents for protection system and technology for firing simulator (A0022/12.1%); fire control units, gun laying equipment, target range-finding systems, ground surveillance radar, testing equipment and parts for fire control systems, ground surveillance radar, target detection equipment (A0005/10.1%); parts for frigates, fast patrol boats, minesweepers, tugs and ships (A0009/8.6%);	1	A0001	156,025	3/Criterion 2, 7 / A0003, A0006, A0007, A0018
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0013						
		A0014						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
Saudi-Arabien								
<b>Senegal</b>	1	A0011	3,360	Parts for communications equipment (A0011/100%)				
<b>Serbia</b>	28	A0001 A0003	148,627	Hunting rifles, sporting rifles, flash suppressors and parts for hunting rifles, sporting rifles (A0001/93.5%)	6	A0001 A0018 A0022	66.573	6/Criterion 7/A0001, A0018, A0022
<b>Sierra Leone</b>	2	A0006	24,900	Trucks (A0006/100%)				
<b>Singapore</b>	138	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0017 A0018 A0021 A0022	328,976,340	Tanks, armoured bridgelayers, armoured engineering vehicles, trucks and parts for tanks, armoured vehicles, amphibious vehicles, trucks, ground vehicles (A0006/93.4%)				
<b>Somalia</b>	5	A0004 A0006	1,579,806	Geländewagen mit Sonderschutz [EU-Mission] und Teile für Minenräumgeräte [VN-Mission], ballistischen Schutz [EU-Mission] (A0006/99,2%)				
<b>South Africa</b>	264	A0001 A0002 A0003 A0004 A0005 A0006	22,170,572	Ammunition for howitzers, smoke dischargers, hunting weapons, sporting weapons and ammunition parts for the following: howitzers, cannon, mortars, automatic grenade launchers, grenade launchers, hunting weapons, sporting weapons (A0003/30.7%);	13	A0001 A0005 A0016 A0018	119.594	12/Criterion 3, 7/A0001, A0005, A0016, A0018

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
South Africa		A0007 A0008 A0009 A0010 A0011		parts for submarines, frigates, ships and underwater detection equipment (A0009/28.5%); submachine guns, pistols, hunting rifles, sporting rifles, self-loading smooth-bore hunting weapons, gun mountings, flash suppressors, weapon sights and parts for submachine guns, pistols, hunting rifles, sporting rifles, smooth bore weapons, gun mountings (A0001/9.9%); testing equipment, calibration equipment and parts for fire control systems (A0005/5.3%); air decoys and parts for missiles, firing equipment (A0004/5.0%); parts for tanks, armoured vehicles and trucks (A0006/4.5%)				
South Sudan	2	A0006	500,000	Parts for mine-clearing equipment [UN mission and aid organisation] and trucks [aid organisation] (A0006/100%)				
Sri Lanka	2	A0001 A0008	803	Parts for sporting pistols (A0001/92.9%)				1/Criterion 2/A0003
Sudan	2	A0006	210,000	Armoured cross-country vehicles [embassy] (A0006/100%)				
Syria	5	A0006 A0007	1,120,656	Armoured cross-country vehicles [UN mission] and parts for ballistic protection [UN mission] (A0006/71.1%); protective clothing [UN mission] and protective masks (A0007/28.9%)				
Tanzania	3	A0001 A0003 A0007	26,655	MAmmunition for hunting and sporting smooth-bore weapons (A0003/50.7%); decontamination equipment and parts for decontamination equipment (A0007/37.1%)				

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
Thailand	10	A0004	19,213,788	Underwater detection equipment (A0009/90.6%)	3	A0005	954,116	3/Criterion 3, 4, 7/ A0005, A0006, A0011, A0021
		A0006						
		A0008						
		A0009						
		A0010						
		A0011						
		A0017						
		A0021						
		A0022						
		A0006						
Togo	1	A0006	394,100	Trucks (A0006/100%)				
Tunisia	9	A0001	8,083,596	Ballistic protective vests (A0013/77.1%); infrared surveillance equipment (A0015/21.9%)	1	A0018	14,720	1/Criterion 7/A0018
		A0005						
		A0006						
		A0008						
		A0011						
		A0013						
		A0021						
		A0022						
		A0004						
		A0011						
Turkmenistan	6	A0004	4,273,526	Parts for air defence systems for ships (A0009/78.6%); communications equipment, data processing equipment and parts for magnetrons, navigation equipment (A0011/21.4%)	3	A0001	57,187	4/Criterion 2, 7/ A0001, A0005, A0010
		A0011						
Uganda	3	A0005	1,380,415	Trucks [aid organisation] and armoured cross-country vehicles [Ugandan President] (A0006/99.7%)		A0001		
		A0006						
Ukraine	14	A0001	25,402,535	Helmets, ballistic protective vests and inserts for protective vests (A0013/94.1%)	1	A0006	300,000	1/Criterion 3, 7/ A0006
		A0003						
		A0006						
		A0013						
		A0004						
United Arab Emirates	139	A0001	121,219,530	Floating platforms for coastal protection and parts for ships, underwater detection equipment (A0009/46.5%); training equipment for radar operators and parts for training equipment (A0014/18.2%); trucks, armoured cross-country vehicles, low-load semi-trailers and parts for tanks, self-propelled howitzers, armoured vehicles, amphibious vehicles, trucks, cross-country vehicles (A0006/10.9%);	1	A0006	300,000	1/Criterion 3, 7/ A0006
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0009						
		A0010						
		A0011						
		A0014						
		A0017						

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/reasons/EL item
United Arab Emirates		A0019 A0021 A0022		ammunition for guns, rifles, submachine guns, revolvers, pistols, hunting weapons, sporting weapons, smooth bore weapons and parts for ammunition for mortars, submachine guns, rifles (A0003/10.1%)				
Uruguay	21	A0001 A0002 A0003 A0011 A0013 A0014 A0017 A0018	628,083	Launchers for subcalibre mortar ammunition and subcalibre training cartridges for mortars (A0014/51.9%);  rifles with war weapons list number, rifles without war weapons list number, pistols, hunting rifles, sporting rifles, repeating smooth-bore weapons, weapon sights and parts for rifles with war weapons list number, pistols, hunting rifles, sporting rifles (A0001/19.8%);  parts for radar systems (A0011/12.6%)				2/Criterion 3/A0001, A0005, A0015
Uzbekistan								
Venezuela					3	A0007 A0009	5,033,400	4/Criterion 3, 4, 7/A0007, A0009, A0015
Viet Nam	14	A0003 A0006 A0007 A0010 A0011 A0021 A0022	3,904,859	Chemical protective clothing, detection equipment, radiation detection equipment and parts for detection equipment, radiation detection equipment (A0007/54.1%);  technology for detection equipment (A0022/25.6%);  communications equipment and parts for communications equipment (A0011/13.3%)	1	A0009	757,200	
Yemen	7	A0001 A0006	783,041	Armoured cross-country vehicles [embassy and UN mission] and parts for tanks [via United States] (A0006/98.7%)				
Zambia	16	A0001	62,141	Hunting rifles, sporting rifles, flash suppressors, weapon sights and parts for hunting rifles (A0001/100%)				
Zimbabwe								1/Criterion 1/A0001

Country	No. of licences	EL item	Total value (€)	Goods as % of total value	Denials and final exports	EL item	Total value (€)	No. of denials/ reasons/EL item
Aruba	2	A0014 A0021	118,670	Parts for firing simulators (A0014/87,4%)				
Bermuda	2	A0001	9,350	Machine gun and parts for machine guns (A0001/100%)				
Cyprus <sup>71</sup> (northern part of the island)								1/Criterion 7 /Feuerwaffen-VO
Equatorial Guinea	1	A0009	53,572	Parts for fast patrol boats (A0009/100%)				
French Polynesia	1	A0001	2,060	Telescopic sight (A0001/100%)				
Greenland	4	A0001	9,788	Hunting rifles and parts for hunting rifles (A0001/100%)				
Hong Kong	7	A0003 A0007 A0013 A0017	40,819	Ammunition for revolvers and pistols (A0003/80,1%)				
Macao					2	A0001 A0003	81,554	2/Criterion 2, 7 /A001, A003
New Caledonia	27	A0001 A0003	201,833	Pistols; hunting rifles; self-loading rifles; repeating smooth-bore weapons; self-loading smooth-bore hunting weapons; silencers; flash suppressors; weapon sights and parts for pistols, hunting rifles, sporting rifles, self-loading rifles; self-loading smooth-bore hunting weapons (A0001/74,0%); ammunition for revolvers, pistols, hunting weapons, sporting weapons and ammunition parts for the following: revolvers, pistols (A0003/26,0%)				
Taiwan	25	A0004 A0005 A0006 A0008 A0009 A0011 A0017	7,179,983	Parts for radar masts, communications equipment and positioning equipment (A0011/57,6%); ship body conduits and parts for submarines, mine warfare ships, underwater detection equipment (A0009/29,8%)	3	A0009 A0010 A0013 A0018	26,679	7/Criterion 4/A0006, A0009, A0010, A0013, A0018
<b>Total</b>	<b>2,959</b>		<b>2,404,096,072</b>		<b>99</b>		<b>9,720,711</b>	

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

Total EU, NATO and NATO- equivalent countries and third countries	No. of licences	Total value (€)	Denials and final exports	Total value (€)
	12,090	3,973,800,137	100	9,723,705

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 and rejected applications under the War Weapons Control Act. They may be recognised from discrepancies between the “No. of Denials/Reasons/EL Item” column and the “Denials/Final Exports” column.

# Annex 9

## Collective export licences in 2014

In 2014, a total of 62 new collective export licences were authorised for military equipment (final exports) with a total value of € 2,544,719,464.

Number of collective licences	Export List items	Total value in €
62	A0004 A0005 A0006 A0009 A0010 A0011 A0021 A0022	2,544,719,464

### Recipient countries of the newly granted collective export licences (2014)

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	5
Austria	18
Belgium	26
Brazil	1
Bulgaria	3
Canada	9
Chile	2
Cyprus	3
Czech Republic	9
Denmark	10
Estonia	3
Finland	10

Country of destination	Number of collective licences
France	37
Germany	1
Greece	11
Hungary	4
India	1
Ireland	5
Israel	4
Italy	33
Japan	1
Latvia	3
Lithuania	3
Luxembourg	13
Malaysia	2
Malta	3
Netherlands	22
Norway	13
Oman	6
Poland	14
Portugal	9
Romania	6
Saudi Arabia	1
Singapore	2
Slovakia	8
Slovenia	3
South Africa	2
Spain	23
Sweden	14
Switzerland	15
Turkey	9
United Kingdom	37
United States	20



# Annex 10

## Brokering transactions by country in 2014 (Part IA - military articles; final exports)

Country of destination	Number	Total value in €	Description of articles	Value in €	EL item	Country of origin
Afghanistan	1	688,000	4 armoured cross-country vehicles [for the Afghan President]	688,000	A0006B	United Arab Emirates
Algeria	1	90,066,600	234 weapon stations without weapons	90,066,600	A0006A	Canada
Brazil	2	45,343	2 security cards; 1 key and frequency management centre	11,020 34,323	A0011A A0011A	Switzerland Switzerland
Chile	1	2,500,000	4 laser warning systems	2,500,000	A0005C	South Africa
Haiti	1	213,896	1 armoured cross-country vehicle [EU delegation]	213,896	A0006B	Canada
Indonesia	1	3,432	132 radar decoys	3,432	A0004C	Turkey
Iraq	1	192,000	1 armoured cross-country vehicle [embassy]	192,000	A0006B	United Arab Emirates
Israel	1	427,792	2 armoured cross-country vehicles [EU delegation]	427,792	A0006B	Canada
Korea, Republic	2	906,200	50 sets of parts for demolition snakes 8,000 kg octogen 1,000 kg hexogen	170,000 715,300 20,900	A0004B A0008A A0008A	Israel Norway Norway
Malaysia	2	1,900	Software update for radio equipment Software for ground-to-air communication	1,500 400	A0021A A0021A	Switzerland Switzerland
Norway	4	926,790	15,500 pairs of chemical protection overshoes 11,500 pairs of chemical protection overshoes 40 kg triphenylbismuth 101 kg N-Methyl-Para Nitroaniline MNA	513,670 381,110 10,960 21,050	A0007F A0007F A0008F A0008F	USA USA Republic of Korea Republic of Korea
Pakistan	1	34,482	1 key management centre	34,482	A0011A	Switzerland
Saudi Arabia	2	3,845,000	81 parts for radar stations 1 truck	3,645,000 200,000	A0005B A0006A	United Arab Emirates United Arab Emirates
Switzerland	1	12,000	2 sets of bulletproof glass	12,000	A0006A	Israel
South Africa	1	20,000	7 sets of bulletproof glass	20,000	A0006A	USA
Türky	4	2,118,760	100,000 items Ammunition for rifles 1,000,000 items Ammunition for rifles 1,000,000 items Ammunition for hunting and sporting weapons 20 pressure refuelling aircraft couplings	105,000 830,000 1,120,000 63,760	A0003A A0003A A0003A A0010F	USA USA USA USA
Viet Nam	1	44,454	1 system key management centre with software	34,258 10,196	A0011A A0021A	Switzerland
<b>Total</b>	<b>27</b>	<b>102,046,649</b>		<b>102,046,649</b>		

## Rejected licences for trading and brokering transactions (Part IA - military articles, final exports) in 2014

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

# Annex 11

## Reported exports of small arms and light weapons to the UN Register of Conventional Arms in 2014

### 1. Small arms

#### 1.1 Revolvers and semi-automatic pistols

Final country of import	Quantity	Notes re transfer
Iraq	16,000	Equipment aid to Kurdish regional government

#### 1.2 Rifles and carbines

Final country of import	Quantity	Notes re transfer
Austria	1	
Canada	48.000	
Switzerland	1	

#### 1.3 Submachine guns

Final country of import	Quantity	Notes re transfer
Australia	14	
Belgium	39	
Bulgaria	10	
Canada	19	
Czech Republic	82	
France	77	
Indonesia	414	
Italy	71	
Japan	463	
Jordan	45	
Malaysia	2	
Mali	25	UN mission
Montenegro	30	
Netherlands	2	
Norway	15	
Oman	500	
Poland	284	
South Africa	5	
Spain	75	
Sweden	70	
Switzerland	30	
United Arab Emirates	24	
United Kingdom	22	

#### 1.3 Submachine guns

Final country of import	Quantity	Notes re transfer
United States	259	
Yemen	4	UN mission

#### 1.4 Assault rifles

Final country of import	Quantity	Notes re transfer
Brazil	55	
Canada	23	
Denmark	4	
Finland	2	
France	304	
Indonesia	550	
Iraq	16,000	Equipment aid to Kurdish regional government
Ireland	1	
Italy	39	
Japan	120	
Jordan	1,026	
Luxembourg	4	
Mali	110	UN mission
Netherlands	129	
Norway	3,000	
Poland	540	
Portugal	78	
Slovenia	15	
Spain	83	
Sweden	515	
Switzerland	13	
Uruguay	23	
United Arab Emirates	30	
United Kingdom	143	
United States	726	

### 1.5 Light machine guns

Final country of import	Quantity	Notes re transfer
Chile	272	
Denmark	1	
Estonia	4	
Finland	2	
Iraq	40	Equipment aid to Kurdish regional government
Poland	274	
Spain	3	
Turkey	25	
United Kingdom	5	
Bermuda	1	

## 2. Light weapons

### 2.1 Heavy machine guns

Final country of import	Quantity	Notes re transfer
Italy	1	

### 2.2 Grenade launchers integrated into small arms or assembled individually

Final country of import	Quantity	Notes re transfer
Australia	4	
Bulgaria	2	
Canada	19	
Estonia	4	
France	3	
Ireland	9	
Italy	4	
Japan	60	
Kuwait	1	
Netherlands	11	
Poland	89	
Spain	19	
Sweden	26	
Switzerland	6	

### 2.2 Grenade launchers integrated into small arms or assembled individually

Final country of import	Quantity	Notes re transfer
Turkey	77	
Uruguay	9	
United Kingdom	1,374	
United States	9,849	

### 2.3 Recoilless rifles

Final country of import	Quantity	Notes re transfer
Brunei	1,020	
Iraq	240	
Oman	300	
Singapore	2,770	
Switzerland	61	

### 2.4 Man-portable anti-tank systems

Final country of import	Quantity	Notes re transfer
Belgium	30	
Iraq	30	Equipment aid to Kurdish regional government

### 2.5 MANPADS

Final country of import	Quantity	Notes re transfer
Luxembourg	2	NATO

# Annex 12

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

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

Least Developed Countries	Other Low Income Countries (per capita GNI < \$1.045 in 2013)	Lower Middle Income Countries and Territories (per capita GNI \$1.046 – \$4.125 in 2013)	Upper Middle Income Countries and Territories (per capita GNI \$4.126 – \$12.745 in 2013)
Afghanistan	Democratic People's Rep. of Korea	Armenia	Albania
Angola	Kenya	Bolivia	Algeria
Bangladesh	Tajikistan	Cabo Verde	Antigua and Barbuda <sup>2</sup>
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 <sup>2</sup>
Democratic Rep. of the Congo		Guyana	China (People's Republic of)
Djibouti		Honduras	Colombia
Equatorial Guinea <sup>1</sup>		India	Cook Islands
Eritrea		Indonesia	Costa Rica
Ethiopia		Kosovo	Cuba
Gambia		Kyrgyzstan	Dominica
Guinea		Micronesia	Dominican Republic
Guinea-Bissau		Moldova	Ecuador
Haiti		Mongolia	Fiji
Kiribati		Morocco	Former Yugoslav Rep. of Macedonia
Lao People's Democratic Rep.		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

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)
Senegal		Vietnam	Mexico
Sierra Leone		West Bank and Gaza Strip	Montenegro
Solomon Islands			Montserrat
Somalia			Namibia
South Sudan			Nauru
Sudan			Niue
Tanzania			Palau
Timor-Leste			Panama
Togo			Peru
Tuvalu			Saint Helena
Uganda			Saint Lucia
Vanuatu <sup>1</sup>			Saint Vincent and the Grenadines
Yemen			Serbia
Zambia			Seychelles
			South Africa
			Suriname
			Thailand
			Tonga
			Tunisia
			Turkey
			Turkmenistan
			Uruguay <sup>2</sup>
			Venezuela
			Wallis and Futuna

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

