

Report
of the Government of the
Federal Republic of Germany on
its Policy on Exports of Conventional Military Equipment
covering the Year 1999
(1999 Military Equipment Export Report)

Berlin
September 25, 2000

Contents

Report of the Government of the Federal Republic of Germany on its Policy on Exports of Conventional Military Equipment covering the Year 1999 (1999 Military Equipment Export Report)	2
Annex 1a Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment	22
Annex 1b Political Principles of the Government of the Federal Republic of Germany Governing Exports of War Weapons and Other Military Equipment	32
Annex 2a List of Controlled Export Goods, Part I Munitions List	36
Annex 2 b War Weapons List	73
Annex 3 Existing Arms Embargoes	78
Annex 4 EU Member States	80
Annex 5 Exports report of international conventional arms transfers	119

No. V of the “Political Principles adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment”¹ on 19 January 2000 stipulates the following:

“The Federal Government shall report to the German Parliament (Deutscher Bundestag) annually on the principles and practice of its military equipment exports policy listing, with details of the relevant legislation, the export licences for war weapons and other military equipment it has granted over the past year.”

To accomplish this task, the Government of the Federal Republic of Germany takes pleasure in submitting hereby its first military equipment export report covering the year 1999. It seeks to contribute to as much transparency as possible by consistently listing all processes of relevance in this context.

The report consists of the four chapters given below:

- I. The German control system for exports of military equipment
- II. Effects of disarmament agreements on export control
- III. German export control policy on military equipment in a multilateral context
- IV. Licences granted for military equipment exports / Export of war weapons.

¹ Cf. Annex 1 a

I. The German control system for exports of military equipment

1. German military equipment exports are subject to regulation by the Basic Law (Grundgesetz) and the War Weapons Control Act (KWKG)² together with the Foreign Trade and Payments Ordinance (AWV)³. The “Political Principles of the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment” dated 28 April 1982⁴ - together with the criteria of the EU Code of Conduct for Arms Exports in force from mid-1998⁵ - have served the licensing authorities as guidelines regarding the scope of the discretion they had under the law in the year under review.

In the autumn of 1999, the Federal Government adopted these Principles on 19 January 2000 (cf. I.5. of the report) after formal revision.

Pursuant to the Foreign Trade and Payments Act/Foreign Trade and Payments Ordinance⁶, exports of military equipment are subject to licensing. Items 0001 to item 0022 of the Schedule of Exports (annexed to the Foreign Trade and Payments Ordinance)⁷ and related sub-categories represent a complete enlistment. They are very close to the corresponding items figuring on the Munitions List of the Wassenaar Arrangement which the Federal Government has cast into national law to meet its international obligations (cf. III. 3. of the report for details of the Wassenaar Arrangement).

² In the version promulgated on 22 November 1990 (BGBl. I p. 2506) as last amended by the Act dated 06 July 1998 (BGBl. I p. 1778).

³ Foreign Trade and Payments Act (Außenwirtschaftsgesetz) in the promulgated streamlined version (BGBl- III, number 7 400 – 1) as last amended by the Act dated 03 May 2000, BGBl. I pp. 632, 633; Foreign Trade and Payments Ordinance (Außenwirtschaftsverordnung) in the version promulgated on 22 November 1993 (BGBl - I 1934, 2493) as last amended by the Statutory Ordinance dated 12 January 2000 (BAnz. P. 989).

⁴ Cf. Annex 1 b.

⁵ As printed in the Annex to the Political Principles of 19 January 2000; cf. Annex 1.

⁶ The act of exporting military equipment is referred to as “transfer” where such exports are effected by one EU member state to another (cf. section 7, sub-section 2 of the Foreign Trade and Payments Ordinance). However, for the sake of simplicity, transfers among EU member states are referred to as "exports" in this report as well.

⁷ Cf. Annex 2 a.

War weapons represent a special category of military goods figuring in the 62 items of the Schedule of War Weapons (annexed to the War Weapons Control Act)⁸ as well as the Schedule of Exports (Part 1, Section A). Exports of such weapons require authorisation under the War Weapons Control Act first ("transport licence for export purposes") and authorisation pursuant to the Foreign Trade and Payments Act/Ordinance (AWG/AWV) thereafter; this applies, *mutatis mutandis*, to transfers of war weapons to EU member states. By contrast, exports of military equipment - other than war weapons - mentioned in Part I Section A of the Schedule of Exports (AL) (so-called "other military equipment") simply require authorisation under the AWG/AWV. This requirement is applicable also to transfers to EU member states (cf. section 7, sub-section 2 of AWV).

2. Pursuant to the War Weapons Control Act (KWKG), the handling of war weapons (production, acquisition, transfer for use, conveyance and brokerage) of any kind is subject to *ex-ante* authorisation by the Federal Government (cf. sections 2 – 4a of KWKG). The licensing authority for commercial transactions is the Federal Ministry of Economics and Technology; those of the other federal departments that handle war weapon issues within their own areas of jurisdiction (Federal Ministry of Finance, Federal Ministry of the Interior and Federal Ministry of Defence) are responsible themselves for issuing the licences needed in their own areas of jurisdiction. For certain transport operations to and from foreign destinations that involve German ships and/or aircraft, the responsibility rests with the Federal Ministry of Transport, Construction and Housing (cf. section 1 of the First Ordinance to implement the KWKG dated 01 June 1961, BGB 1. I p. 649, as last amended by the Act of 28 February 1992 BGBl. 1 p. 376).

It is not possible to lay claim to export licences according to section 6 of the KWKG. Applications for such licence must invariably be rejected where war weapons threaten to be used for peace-disturbing acts, where obligations under international public law would be violated or where applicants are unable to prove that they are sufficiently reliable to handle war weapons. In all other cases, the Federal Government, using its discretion pursuant to the aforementioned Political Guidelines, either grants or denies licences. It has been the Federal Government's practice from mid-1998 to take into account also the criteria of the EU Code of Conduct - now

⁸ Cf. Annex 2 b.

an integral part of the reworded Political Principles - when making decisions of this kind.

3. Exports of items to be subsumed under the heading other military equipment are subject to regulation by the export provisions of the Foreign Trade and Payments Act/Ordinance.

According to the principle of the Foreign Trade and Payments Act that trade must be free, applicants may – as a matter of principle – legitimately assume that they will be granted an export licence (section 1 together with section 3 of the Act) provided that nothing has been done in violation of any of the legal goods mentioned in section 7, sub-section 1 of the Act, which would justify denying such licences.

Section 7, sub-section 1 of AWG reads as follows:

"(1) Legal transactions and acts in foreign trade and payments may be restricted in order to

1. guarantee the security of the Federal Republic of Germany,
2. prevent a disturbance of peaceful co-existence between nations, or
3. prevent a major disruption of the foreign relations of the Federal Republic of Germany".

The authority responsible for granting/denying export licences under the Foreign Trade and Payments Act/Ordinance is the Bundesausfuhramt (Federal Export Office) submitting sensitive projects to the Federal Government for political appraisal.

4. Provisional enquiries about whether there is a chance of getting a specific export deal authorised have turned out to be a valuable instrument in practice. This instrument permits enterprises to know from an early date whether they would stand a chance of obtaining the final export licence they would need if the proposed deal materialises provided, however, that the circumstances prevailing at the date of the provisional enquiry do not change. The decision-making criteria governing provisional enquiries are the same as the ones governing applications.

Provisional enquiries concerning war weapon export licences are decided upon by the Federal Ministry for Foreign Affairs after consultation with the other Federal departments. For other military equipment, the responsibility rests with the Federal Export Office. The processing modalities are the same as the ones governing applications for export licence. Major and/or problematic projects in the field of other military equipment are submitted to the Federal Government as well.

5. The War Weapons Control Act (KWKG) as well as the Foreign Trade and Payments Act represent a framework giving the Federal Government certain scope for discretion and appraisal in a large number of cases; however, as mentioned before, this does not apply to those cases in which the KWKG stipulates that an export licence must be denied, but these cases have been of minor practical importance so far (cf. section 6, sub-section 3 of KWKG). To ensure that the Federal Government uses its political discretion in an equitable manner, "Political Principles" have been in force for a long period and formed the basis for decision-making in individual cases. The version of the "Political Principles of the Federal Government for Exports of War Weapons and Other Military Equipment" applicable in the year under review is that of 1982.

The Federal Government in office is of the opinion that these Political Principles – unchanged from the date of their adoption – were in need of being revised. The political parties forming the Federal Government have incorporated into the coalition arrangement of 20 October 1998 a number of important elements of their military equipment export policy:

"German military equipment exports to destinations outside NATO and/or EU territory shall be handled in a restrictive manner. Decisions on exports of military equipment shall also take account of the status the proposed country of destination has been accorded with respect to human rights as an additional criterion.

...

The new Federal Government will assign to the Federal Security Council the role it has been expected to play from the outset, i.e. that of a body co-ordinating German security policy, and will create the necessary conditions therefor."

On this basis, the Federal Government and representatives of the parliamentary groups of the governing parties have revised these Political Principles. The so amended version of these Principles was adopted by the Federal Cabinet on 19 January 2000.

These Principles comprise the following new elements of importance:

- Respect of human rights is a factor of outstanding importance deciding on whether or not an export licence is ultimately granted irrespective of the country of destination to which the goods are to be shipped. For instance, no licence would be given for exports of military equipment "justifying suspicions" of being abused for purposes of internal repression or for

...

other continuous and systematic acts committed in violation of human rights. In this respect, the German Government's Political Principles are more ambitious than those of the EU Code of Conduct (cf. III.2 for details) which requires export licences to be denied only in cases of a "clear risk that the proposed export might be used for internal repression".

- As in the general provisions, a distinction has been made between EU and NATO countries as well as countries with NATO-equivalent status (Australia, Japan, New Zealand, Switzerland) on the one hand and other states (e.g. third states) on the other. Applications for export license made by the former group of countries should, as a rule, be granted and should only be denied exceptionally, whilst in the case of the latter group licences should only be granted with reluctance, which can be seen so far.
- The Federal Government stresses the "special interest" it takes in seeing the German military equipment producing industry in a position to continue its co-operation with NATO and EU countries not least against the background of the need to develop a common European defence policy.
- In addition to the of respect of human rights criterion that must be taken into account ahead of others when decisions are to be made on applications for authorisation of exports of military equipment to third states, the other criteria of "sustainable development", "behaviour of the buyer country with regard to the international community" as well as the "internal and external situation" contained in the EU Code of Conduct are to be stressed as well.
- More detailed regulations mean attaching greater weight than so far to ensuring strict compliance with the final destination provisions.
- The EU Code of Conduct has been declared to form "an integral part" of the Political Principles.
- Finally, the Federal Government has committed itself to submitting to Parliament (Deutscher Bundestag) annually a report on the trends recorded for exports of military equipment in the preceding calendar year.

6. Decision-making on export projects largely takes account of foreign, security and/or alliance policy interests as well as value-oriented aspects such as compliance with human rights etc. Where export projects are of special importance in terms of the product's final destination or nature as well as of the volume of the transaction concerned, applications are submitted to the Federal Security Council, as a rule. This Council represents a Cabinet committee chaired by the Federal Chancellor. The Federal Ministers of Foreign Affairs, of Finance, of the Interior, of Justice, of Defence as well as of Economics and Technology were represented on it till 1998; it was then extended to comprise also the Federal Minister for Economic Co-operation who was appointed to it as a member pursuant to a corresponding provision of the coalition agreement.

II. Effects of disarmament agreements on export control

In certain fields, export licenses for conventional military equipment show the influence of binding disarmament accords concluded under international law. The Federal Government has supported corresponding initiatives and continues to advocate strict compliance with such international commitments. In addition it is in favour of steps of any kind that would result in such commitments being recognised world-wide.

In July 1998, the Federal Government ratified (BGBl. I p. 1778) the Ottawa Convention signed a few months earlier ("Ottawa Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-Personnel Mines and on their Destruction"). The commitments included in this Convention were transposed into German law through the 1998 amendment of the KWKG. The new Section 18 a of the KWKG bans the handling of land-mines including exports of such land-mines; the pertinent penal provisions (Section 20 a of KWKG) also cover acts committed by German nationals abroad (Section 21 of KWKG), as distinct from the territoriality principle that would otherwise be applicable.

For easy reference, please note that the other activities of the Federal Government in this area have been enlisted in full in the Disarmament Reports for 1998 (BT-Drucksache 14/810 of 21 April 1999 pp. 14 ff.) and 1999 (BT-Drucksache 14/3233 of 12 April 2000, pp. 17ff).

III. German export control policy on military equipment in a multilateral context

1. Arms embargoes

The international community of nations has decided upon a number of arms embargoes directly influencing Germany's export policy. Such (arms) embargoes as a means of reaching specific political objectives have noticeably increased in importance in the last decade.

Arms embargoes of the United Nations Organisation or other international organisations prohibit delivery of military equipment to embargoed destinations. Such export embargoes, in order to translate them into national law, do not – contrary to other, more comprehensive arrangements – require any special legal provisions. The range of embargoed goods is, as a rule, identical with the total defence goods sector (Part I. Section A of the Export List). Exports of such goods are subject to approval under the Foreign Trade and Payments Ordinance. In practice, the BAFA does not grant any export licences for this kind of products any longer thereby transposing the embargo provisions in practice.

Cf. Annex 3 for the arms embargoes in force in 1999. However, it should be noted that it was the general practice already prior to the entry into effect of the respective embargo decision to licence exports of military equipment to the respective destinations only as a matter of exception, because the reasons ultimately culminating in the respective embargo adoption were often known to exist already. To that extent, the crucial criteria were the country's internal situation (including, where appropriate, the danger of serious human rights violations) as well as the (threatening) outbreak of conflicts with neighbour states that impeded the granting of export licences. But embargoes create a clear legal situation and can hardly be ignored by other states. The Federal Government advocates strict compliance with embargoes and supports steps of any kind ensuring uniform and comprehensive compliance with embargoes, world-wide.

2. EU Code of Conduct

The EU Council adopted on 08 June 1998 the EU Code of Conduct prepared under the British EU Council Presidency.

The EU Code of Conduct regulates the practice of export licensing in the fields of conventional military equipment and dual-use items intended for use by military and/or police forces. It consists of a preamble, the code of conduct "proper" based on the "Common EU Criteria for Arms Exports" adopted at the Luxembourg and the Lisbon EU Council meetings in 1991 and 1992 as well as of an operative part. The latter translates the "Common Criteria" into specific instructions for action binding member states henceforth when making decisions on individual export deals. However, the Code does not prevent any member state from running – under the responsibility it still has for licensing exports of military equipment under national law – a policy that is more restrictive than the criteria of the Code (cf. Item 2 of the operative provisions).

New regulations of fundamental importance in the field of conventional military equipment exports have been regulated by operative provisions: According to No. 3 of the operative provisions, the member states shall keep each other informed about Code-based denials of export licence applications for conventional military equipment and dual-use goods if to be delivered to military or internal security forces (so-called denials). Where an EU member state nonetheless plans to approve an "essentially identical transaction" (so-called "undercut") it is required to consult the denying state beforehand. Although it is subsequently free to decide on whether or not to grant an export licence, it has to give the reasons justifying the denial.

The EU Code of Conduct represents a compromise that cannot be fully satisfactory. It would have been desirable, for instance, to cast the Code of Conduct into a legally binding form, e.g. common action according to Article 14 of the EU Treaty. In its present version, the Code binds the EU member states only in a political sense. Besides, the denial procedure should be made more transparent.

Nonetheless, the Federal Government deems the mandatory notification and consultation commitments to be crucial for making a beginning towards harmonising European policies on military equipment exports. It advocates further development of the Code already implemented by the member states in their daily administrative practice.

So far, the EU member states' policies on exports of military equipment has been based on Article 296, paragraph 1, letter b) of the EC Treaty, i.e. has been reserved as a national policy area.

Article 296, paragraph 1, letter b) of the EC Treaty reads:

"(1) The provisions of this Treaty shall not preclude the application of the following rules:

a) ...

b) any Member State may take such measures as it considers necessary for

the protection of the essential interests of its security which are connected with the production of or trade in arms, munitions and war materials; ..."

The policy on export control of military equipment is also part and parcel of the EU Common Foreign and Security Policy (CFSP). In this context, the Federal Government has been advocating for a long time that member-state policies in this field be harmonised at as high a level as possible, i.e. a level that corresponds to that of Germany. The progress made in this regard has been slow so far. To that extent, the Code of Conduct represents an important step in advance: The notification and consultation duties require the EU member states to understand one another's decisions on exports of military equipment and to accept that their own policies are judged by this standard.

The Government of the Federal Republic of Germany has recognised the rules of the Code of Conduct as binding from the outset. From July 1998 it has notified denials to its EU partners (1999: 61); last year it held 14 consultations on account of denials involving an EU partner.

The practice of the last two years shows that the denials recorded for Germany as well as other EU member states have been based mainly on the following criteria:

- compliance with international sanction regimes (embargoes)
- respect of human rights by the recipient country
- maintenance of peace, security and stability in the region
- risk of re-export under undesirable circumstances.

The member states are in the process of developing the Code of Conduct further. This includes:

- preparation of a common list of military equipment to which the Code of Conduct refers (this list was adopted by the European Council at its meeting on 13/14 June 2000);
- specification of the term "essentially identical transaction".

3. Wassenaar Arrangement

The "Wassenaar Arrangement" (WA) to which 33 states have acceded has been in existence since 1996. It is not based on any treaty concluded under international law, but the participating states have committed themselves to taking specific political action. It is aimed at improving regional and international security and stability; the member states have been called upon to demonstrate political responsibility in transposing their policies on transfers of conventional military equipment and dual-use items and to permit a large measure of transparency. In line with this approach, the "Arrangement" provides that the participating states keep each other informed about export licences granted and export licences denied in the case of large-scale weapon systems to be delivered to non-participating states.

Contrary to the dual use area where notification duties have already led to a large measure of transparency, the situation is still not satisfactory with respect to military equipment, in the Federal Government's opinion. For this reason, the German Government has continued to support and/or initiated, together with other EU member states, measures aimed at greater transparency of arms transfers. To this end, the German Government advocates:

- enlarging the range of the military items that are to be subject to exchanging information and
- broadening the basis of information exchanges and discussing, irrespective of any pending export projects, also "problematic" recipient countries, their political and military aspirations etc.

In view of the heterogeneous interests of the partners, discussions in this field are difficult. The German Government will continue its efforts for more discipline and greater transparency in military equipment transfers, world-wide.

IV. Licences granted for military equipment exports / Export of war weapons

The following is an enlistment of the exports of military equipment either authorised or carried out in 1999 provided that this has not been restricted by law. Disclosure has been limited especially by Section 30 of the administrative procedures Act (VwVfg) requiring public authorities not to compromise the legal claim of any party involved in an administrative procedure to being safe against unauthorised disclosure of their operational and business secrets. All the data applicants must furnish within the framework of any licence application under the Foreign Trade and Payments Act or the KWKG are thus safe from disclosure by any public authority, as a matter of principle. This applies, *mutatis mutandis*, to the instrument of provisional enquiry not regulated by law. The secrets to be protected from disclosure include also the mere fact that a company has applied for a licence. Disclosure of data, worthy of protection, would only be permissible if it has been established after careful scrutiny of all relevant interests that this is justified, especially where the applicant has agreed to such disclosure. Any unjustified disclosure of protected information would be deemed to represent a criminal offence under Section 203 of the German Criminal Code (StGB) and may constitute a liability claim against a public authority.

In light of this unambiguous legal position, details pertaining to the exports of military equipment can only be laid open subject to the legal restrictions in force taking account of protected operational and business secrets. This means for the report that company names, the type of military equipment exported and the numbers of applications for export licences filed can basically not be released.

Annex 4 gives a survey on the military equipment export licences granted and/or denied in 1999⁹ by countries of destination. The first part of this Annex shows the exports to EU member states, the second the exports to NATO and NATO-equivalent countries (excluding the EU member states) and the third the exports to third countries. For the sake of transparency, the column entitled "Remarks" gives a further break-down of the exports to third countries. Normally, this allows to cover some 80% of all export licences (in terms of value) by recipient country. Any deeper breakdown would allow the business fields of certain exporters to be identified in certain cases and, as a consequence, lay open the operational and business secrets of these exporters

⁹ Goods figuring in Part I, Section A of the Export List, Annex AL to the Foreign Trade and Payments Act.

illicitly. Insofar as permission for exporting military goods to a specific recipient country has been denied, a pertinent remark is made in the survey giving the number of denials, the respective item on the Schedule of Exports and the value of the goods. Where denials have been justified with reference to the EU Code of Conduct, the reason for the denial is given (number of the respective code-of-conduct criterion). The number of the denials recorded for the reporting year 1999 may differ from the number of applications denied. This is to be explained by the fact that denial notifications are dispatched only after a certain period of time has gone by from the date on which the respective export licence application was rejected so that this notification probably appears on the statistics of the subsequent year.

The numbers given in columns 2 to 4 refer to the export licences granted by the BAFA. The question whether and, if so, to what extent the military equipment licensed for export has actually been shipped abroad is statistically recorded only for war weapons. Experience has taught us that the value of the goods licensed for export are substantially up on real export values. This is to be explained by the fact that licences are not used or not used in full in the year for which the export licence has been granted. Cf. No. IV.2 for details about war weapon export statistics.

1. Licences granted for military equipment exports

a) Licences issued

In 1999 a total of 9,373 individual applications for final exports of military equipment to foreign destinations were granted in Germany. (This does not include licences for temporary exports of exhibits for purposes of presentation at fairs and exhibitions or on other occasions). The total value of these applications was DM 5,918,669,801. This value may be broken down by DM 1,372,559,129 for EU member states and DM 3,017,406,820 for NATO countries incl. countries with NATO-equivalent status, but excluding EU member states; the aggregate value of the licences granted for exports to countries enlisted under II. of the Political Principles to which exports of military equipment "may not be restricted as a matter of principle" amounted to DM 4,389,965,949. The licence values for exports of military equipment to third countries amounted to DM 1,528,703,852.

In addition, collective export licences totalling DM 654,550,000.-- were granted enabling companies to ship military equipment in several consignments to one or several consignees abroad (mainly within the framework of co-operation on intergovernmental projects). Collective export licences have been granted exclusively for exports to EU and NATO countries as well as countries with NATO-equivalent status.

b) Denials

In 1999, 85 applications for licences of military equipment exports were denied. The total value of these denials was DM 10,183,744. This figure does not include applications withdrawn by applicants on account of poor chances of success. The rather small quota of formally denied applications is to be explained by the fact that many applicants planning to export military equipment to sensitive destinations make a formal or a provisional enquiry with the control authorities about their applications' chances of success. Where the response to this enquiry is negative, the cases in which they file a formal application are very small in number. These are the denials that actually figure in the statistics.

c) Most important countries of destination

The most important countries of destination in respect of which individual export licences were granted in 1999:

Country	Value in million DM	Observations ¹⁰
Turkey	1909.2	Naval equipment (0009/98%)
USA	644.9	Hand arms and automatic weapons (0001/52.5%) ABC protective devices (0007/12.0%) Armoured vehicles (0006/9.0%) Electronic equipment (0011/6.3%)
Italy	508.6	Naval equipment (0009/73.5%) Ground vehicles (0006/9.0%)
Israel	477.2	Vessels of war (surface and underwater) incl. components (0009/74.8%) Unfinished products (0016/6.4%)

¹⁰ Most important goods for the respective country (incl. item number of the Schedule of Exports) as well as share in the total value of the military equipment authorised for export to the respective country.

UEA	336.7	Ground vehicles and components therefor (0006/52.1%) Electronic equipment (0011/24.4%) Countermeasure equipment (00005/13.8%)
Switzerland	170.0	Ammunition (0003/48.6%) Grenades and other demolition devices (0004/16%) Hand arms and automatic weapons (0001/11.6%) Body armour and armoured plate (0013/6.4%)
France	131.2	Bombs, torpedoes (0004/22.4%) Ground vehicles (0006/22.0%) Weaponry (0002/11.7%) Aviation technology (0010/10.2%) Electronic equipment (0011/8.1%)
Republic of Korea	130.2	Vessels of war and components therefor (0009/29.8%) Ground vehicle parts (0006/25.0%) Helicopter and aircraft parts (0010/17.2%) Production and testing equipment for military equipment (0018/15.1%)
Spain	126.2	Tank or howitzer parts (0006/35.8%) Recovery vehicles (0006/14.4%) Hand arms and carbines incl. parts (0001/11.6%) Electronic components (0011/6.4%) Other vehicles incl. parts thereof (0006/5.3%) Ammunitions for cannons and howitzers (0003/4.2%) Atomic weapon production equipment (0018/3.5%) Infrared and thermal imaging equipment (0015/3.2%)

Austria	121.1	Tank and howitzer parts (0006/55.5%) Cannons (0002/21.2%) Armoured plates, tanks and specialised tanks (013/7.2%) Parts of armoured vehicles (0006/6.5%)
Nigeria	118.8	Aircraft components (0010/92.6%)
United Kingdom	103.8	Parts of rockets and unmanned airborne vehicles (0004/33.5%) Aircraft parts and engine components (0010/18.6%) Electronics (0011/13.1%) Howitzer, canon, mortar, ammunitions (0003/9.8%) Forgings (0016/9.3%) Parts of infrared and thermal imaging equipment (0015/4.2%) Other vehicles incl. parts (0006/3.6%) Atomic weapon production equipment (0018/3.6%)
Canada	103.2	Parts of tanks and howitzers, military vehicles (0006/75.0%) Electronic components (0011/5.2%) Specialised tanks etc. (0013/4.1%) Parts of infrared and thermal imaging equipment (0015/3.7%) Unfinished products (016/2.9%)
Norway	99.0	Electronic components (0011/37.4%) Fire control equipment (0005/19.5%) Parts of tanks and howitzers, armed and armoured vehicles, other vehicles (0006/14.0%) Firearms, sports and hunting rifles incl. parts therefor (0001/5.9%)

		Ammunition for firearms, hunting and sports rifles, revolvers and pistols, machine guns (0003/3.9%) Specialised tanks (0013/2.5%)
Netherlands	90.6	Parts of tanks and howitzers, military vehicles, amphibious vehicles/components (0006/20.6%) Underwater detection devices (0009/19.3%) Vessels of war and parts therefor (0009/8.6%) Ammunition for revolvers and pistols (0003/8.2%) Electronic components (0011/8.1%) Ammunition for howitzers, cannons, (0003/4.3%) Diverse pieces of equipment (0017/3.3%)

d) Breakdown by the 22 items figuring on the Schedule of Exports

The breakdown by the 22 items figuring on the Schedule of Exports of the total of 9,868 export licences granted in 1999 is as follows:

A0001	(Hand guns)	3,284	Applications for	DM 460,806,180
A0002	(Large-caliber weapons)	139	Applications for	DM 57,467,500
A0003	(Ammunitions)	1,138	Applications for	DM 285,352,170
A0004	(Bombs, torpedoes, missiles)	244	Applications for	DM 351,912,259
A0005	(Fire control equipment)	223	Applications for	DM 102,985,812
A0006	(Track-bound military vehicles)	1,386	Applications for	DM 765,119,863
A0007	(ABC protective devices)	156	Applications for	DM 92,220,321
A0008	(Explosives and fuels)	233	Applications for	DM 14,644,975
A0009	(War ships)	340	Applications for	DM 2,857,615,503
A00010	(Military aircraft incl. technology)	331	Applications for	DM 646,787,828
A00011	(Military electronics)	694	Applications for	DM 336,090,728

A00013	(Ballistic protection devices)	188	Applications for	DM 56,145,913
A00014	(Training and simulation equipment)	72	Applications for	DM 25,243,819
A00015	Infrared and thermal imaging equipment	146	Applications for	DM 76,996,951
A00016	(Semi-finished products for military equipment production)	533	Applications for	DM 181,506,570
A00017	(Diverse pieces of equipment)	182	Applications for	DM 64,327,701
A00018	(Devices for producing military goods)	49	Applications for	DM 10,428,677
A00021	(Military software)	388	Applications for	DM 80,098,839
A00022	(Technology)	142	Applications for	DM 108,939,679

2. Export of war weapons

According to the Federal Statistical Office, the 1999 total value of German war-weapon¹¹ exports was DM 2.844 billion (= 0.3 % of total German exports); DM 65 million of this amount accounts for exports by the Federal Ministry of Defence (obsolete second-hand material no longer in use). The value of German commercial military equipment exports was DM 2.779 billion.

From among these commercial exports, DM 759.7 million accounted for the EU member states, DM 747.7 million for NATO countries incl. NATO-equivalent countries (excluding EU countries), i.e. a total of DM 1 507.4 million for the countries covered by Section II of the Federal Government's Political Principles. Military equipment deliveries to third countries stood at DM 1 271.6, of which 99% consisted of complete ships and materials packages for navy purposes. Israel obtained delivery of two submarines worth DM 936 million. Ship components of DM 211 million were exported to Brazil. The corresponding figure for deliveries to South Korea was DM 117 million. The remaining 1% of the supplies to third states (less than DM 10 million)

¹¹ Goods figuring in Part B of the War Weapons list, Annex to theKWKG.

comprised mainly mine sweeping equipment, second-hand equipment of the federal armed forces and small quantities of hand guns.

The total value of commercial exports includes also that of war weapon re-exports after upgrading in Germany (DM 401 million); this includes in particular re-exports of 52 Dutch battle tanks and 24 Dutch anti-aircraft tanks worth DM 330 million. In this context, it ought to be pointed out that, in accordance with the gross-value principle applied by the Federal Statistical Office, the value of re-exports has been fully included into the total value of exports at new prices. The upgrading done in Germany is thus considerably below the export value.

The most important recipient countries of commercial exports of war weapons in 1999 were:

Israel	DM 940 million
Turkey	DM 645 million
Netherlands	DM 385 million
Brazil	DM 212 million
France	DM 139 million
South Korea	DM 117 million
Italy	DM 64 million
Greece	DM 61 million
Norway	DM 49 million
Great Britain	DM 44 million

3. UN Weapons Register

The Federal Government takes pleasure in referring also to the notification it sent to the UN Secretariat-General for the UN Weapons Register for the year 1999 on 26 May 2000 (Annex 5). This register does not give values but numbers of pieces. The weapons subject to registration may be broken down by 7 large-scale systems:

- I. Battle tanks
- II. Armed combat vehicles
- III. Large-caliber artillery systems
- IV. Combat aircraft
- V. Attack helicopters

- VI. Warships above 750 t or warships equipped with missiles or torpedoes of a range of 25 km and beyond
- VII. Missiles incl. launcher systems of a range of 25 km and beyond.

Smaller weapon systems, ammunition and vessels of war components are not recorded. Nor are deliveries of materials packages for vessel of war production subject to notification. The number of the recipient countries figuring in the German notification pursuant to the UN Weapons Register is thus smaller than the one figuring in the export tables of the Federal Statistical Office.

The 1999 German export figures notified for entry into the UN Weapons Register stood at 236 exported weapons. These exports consisted mainly of supplies by the Bundeswehr to Greece (94 "Leopard 1" battle tanks) and Macedonia (115 other armour vehicles of the "Hermelin" type).

In 1999, the share of surplus material from Bundeswehr stocks figuring in the 1999 German notification was 97%, but tends to be rather lower in value terms. The commercial share consists of the two aforementioned submarines for Israel, 3 Leopard tanks for Sweden and 2 combat helicopters for South Korea.

V. Concluding remarks

Pursuant to its Political Principles, the Federal Government pursues a restrictive authorisation policy on military equipment exports. The share of German military equipment exports in total German exports has been very small by tradition. In recent years, the share of the export licences for war weapons and other military equipment (items figuring in Part I, Section A of the Export List) in total German exports stood at about 2% to 3%. This share was even down to 0.7 % in 1999. The ratio ascertained for German exports of war weapons in total German exports was as low as 0.3% (pluri-annual average). The 0.3% share ascertained for 1999 was thus congruent with the average of the last few years. From among the export licences for war weapons and other military equipment, about 3 quarters (in terms of licence value) accounted for the EU, the NATO and NATO-equivalent countries that are not subject to any restriction according to the Political Principles.

The Federal Government will stick to this restrictive licensing policy also in future.

Annex 1a

Political Principles

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

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

The Government of the Federal Republic of Germany, desiring

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

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

I General Principles

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

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

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

³ enclosed as annex

other military equipment.

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

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

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

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

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

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

3. Before concluding any cooperation agreement, a timely joint assessment of its export policy implications is to be made.
To give effect to its arms exports policy principles, the Federal Government reserves the right by way of consultations to object to particular export projects envisaged by its cooperation partners. All new cooperation agreements should therefore aim in principle to incorporate a consultations procedure enabling the Federal Government to raise effectively any objections it might have to exports envisaged by its partner country. In so doing the Federal Government will seek, in the light of the human rights criterion, to strike a balance between its interest in cooperation and its fundamentally restrictive arms exports policy.
4. Before any exports of war weapons or other military equipment involving German components take place, the Federal Foreign Office, the Federal Ministry of Economics

⁴ Area of application of NATO Treaty, Article 6

⁵ Australia, Japan, New Zealand, Switzerland

and the Federal Ministry of Defence, in conjunction with the Federal Chancellery, will evaluate whether in any specific case the relevant conditions for initiating such consultations exist.

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

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

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

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

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

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

III Other countries

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

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

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

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

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

⁶ Plant and documentation for the manufacturer of war weapons

- complies with international obligations, especially renunciation of the threat or use of force, including obligations under humanitarian law on international or non-international conflicts,
- has assumed obligations in the area of non-proliferation and other aspects of arms control and disarmament, notably by signing, ratifying and implementing the arms control and disarmament arrangements specified in the EU Code of Conduct for arms exports,
- supports the UN Arms Register

IV Definitive determination of end-use

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

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

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

V Arms exports report

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

ANNEX

EU CODE OF CONDUCT FOR ARMS EXPORTS

adopted by the EU-Council on 8 June 1998

The Council of the European Union,

BUILDING on the Common Criteria agreed at the Luxembourg and Lisbon European Councils in 1991 and 1992,

RECOGNISING the special responsibility of arms exporting states,

DETERMINED to set high common standards which should be regarded as the minimum for the management of, and restraint in, conventional arms transfers by all EU Member States, and to strengthen the exchange of relevant information with a view to achieving greater transparency,

DETERMINED to prevent the export of equipment which might be used for internal repression or international aggression, or contribute to regional instability,

WISHING within the framework of the CFSP to reinforce their cooperation and to promote their convergence in the field of conventional arms exports,

NOTING complementary measures taken by the EU against illicit transfers, in the form of the EU Programme for Preventing and Combating Illicit Trafficking in Conventional Arms,

ACKNOWLEDGING the wish of EU Member States to maintain a defence industry as part of their industrial base as well as their defence effort,

RECOGNISING that states have a right to transfer the means of self-defence, consistent with the right of self-defence recognised by the UN Charter,

has adopted the following Code of Conduct and operative provisions:

CRITERION ONE

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

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

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

CRITERION TWO

The respect of human rights in the country of final destination

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

- a) not issue an export licence if there is a clear risk that the proposed export might be used for internal repression.

b) exercise special caution and vigilance in issuing licences, on a case-by-case basis and taking account of the nature of the equipment, to countries where serious violations of human rights have been established by the competent bodies of the UN, the Council of Europe or by the EU; For these purposes, equipment which might be used for internal repression will include, inter alia, equipment where there is evidence of the use of this or similar equipment for internal repression by the proposed end-user, or where there is reason to believe that the equipment will be diverted from its stated end-use or end-user and used for internal repression. In line with operative paragraph 1 of this Code, the nature of the equipment will be considered carefully, particularly if it is intended for internal security purposes. Internal repression includes, inter alia, torture and other cruel, inhuman and degrading treatment or punishment, summary or arbitrary executions, disappearances, arbitrary detentions and other major violations of human rights and fundamental freedoms as set out in relevant international human rights instruments, including the Universal Declaration on Human Rights and the International Covenant on Civil and Political Rights.

CRITERION THREE

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

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

CRITERION FOUR

Preservation of regional peace, security and stability

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

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

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

CRITERION FIVE

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

Member States will take into account:

- a) the potential effect of the proposed export on their defence and security interests and those of friends, allies and other member states, while recognising that this factor cannot affect consideration of the criteria on respect of human rights and on regional peace, security and stability;

- b) the risk of use of the goods concerned against their forces or those of friends, allies or other member states;
- c) the risk of reverse engineering or unintended technology transfer.

CRITERION SIX

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

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

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

CRITERION SEVEN

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

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

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

CRITERION EIGHT

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

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

OPERATIVE PROVISIONS

1. Each EU Member State will assess export licence applications for military equipment made to it on a case-by-case basis against the provisions of the Code of Conduct.
2. This Code will not infringe on the right of Member States to operate more restrictive national policies.
3. EU Member States will circulate through diplomatic channels details of licences refused in accordance with the Code of Conduct for military equipment together with an explanation of why the licence has been refused. The details to be notified are set out in the form of a draft pro-forma at Annex A. Before any Member State grants a licence which has been denied by another Member State or States for an essentially identical transaction within the last three years, it will first consult the Member State or States which issued the denial(s). If following consultations, the Member State nevertheless decides to grant a licence, it will notify the Member State or States issuing the denial(s), giving a detailed explanation of its reasoning.

The decision to transfer or deny the transfer of any item of military equipment will remain at the national discretion of each Member State. A denial of a licence is understood to take place when the member state has refused to authorise the actual sale or physical export of the item of military equipment concerned, where a sale would otherwise have come about, or the conclusion of the relevant contract. For these purposes, a notifiable denial may, in accordance with national procedures, include denial of permission to start negotiations or a negative response to a formal initial enquiry about a specific order.
4. EU Member States will keep such denials and consultations confidential and not to use them for commercial advantage.
5. EU Member States will work for the early adoption of a common list of military equipment covered by the Code, based on similar national and international lists. Until then, the Code will operate on the basis of national control lists incorporating where appropriate elements from relevant international lists.
6. The criteria in this Code and the consultation procedure provided for by paragraph 2 of the operative provisions will also apply to dual-use goods as specified in Annex 1 of Council Decision 94/942/CFSP as amended, where there are grounds for believing that the end-user of such goods will be the armed forces or internal security forces or similar entities in the recipient country.
7. In order to maximise the efficiency of this Code, EU Member States will work within the framework of the CFSP to reinforce their cooperation and to promote their convergence in the field of conventional arms exports.
8. Each EU Member State will circulate to other EU Partners in confidence an annual report on its defence exports and on its implementation of the Code. These reports will be discussed at an annual meeting held within the framework of the CFSP. The meeting will also review the operation of the Code, identify any improvements which need to be made and submit to the Council a consolidated report, based on contributions from Member States.

9. EU Member States will, as appropriate, assess jointly through the CFSP framework the situation of potential or actual recipients of arms exports from EU Member States, in the light of the principles and criteria of the Code of Conduct.

10. It is recognised that Member States, where appropriate, may also take into account the effect of proposed exports on their economic, social, commercial and industrial interests, but that these factors will not affect the application of the above criteria.

11. EU Member States will use their best endeavours to encourage other arms exporting states to subscribe to the principles of this Code of Conduct.

12. This Code of Conduct and the operative provisions will replace any previous elaboration of the 1991 and 1992 Common Criteria.

ANNEX A

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

Destination country:.....

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

Proposed consignee:.....

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

Reason for refusal:.....

Date of denial:.....

Annex 1b

Political Principles of the Government of the Federal Republic of Germany Governing Exports of War Weapons and Other Military Equipment

As decided upon by the German Government on 28 April 1982

The Government of the Federal Republic of Germany, desiring:

- its exports of military equipment to be oriented towards the security needs and foreign-policy interests of the Federal Republic of Germany within the framework of its international and statutory obligations,
- to help safeguard peace world-wide by restricting and controlling such exports and, thus,
- to take account of the resolutions of those of the international institutions that aim for restricting the international trade in weapons as a contribution to disarmament,

has adopted, in the interest of continuing its proven restrictive military equipment export policy, the principles on exports of war weapons and other military equipment that are given below:

I. NATO countries

(Scope of application of the Treaty of the North Atlantic Treaty Organisation, Article 6)

1. Exports of war weapons¹ and other military equipment² shall be guided by the need to maintain the defence strength of the Alliance and, thus, the defence interests of the Federal Republic of Germany.

Such exports shall not be subjected to restrictions, as a matter of principle, unless special political reasons make it necessary to impose such restrictions in individual cases.

2. Trustworthy evidence shall be provided showing that the final destination of military equipment goods exports is located in NATO territory. This presupposes, as a rule, that the respective exporter makes assurances to this effect and submits an import certificate. Where special circumstances so require, additional evidence shall be demanded.

Where specific indications suggest a possibility of war weapons being re-exported to countries objectionable on foreign-policy grounds for posing a security risk if supplied with war weapons, such weapons may not be moved from NATO territory except with the written permission of the Federal Government. The same shall apply to other military equipment close to war weapons³.

3. Schemes for co-operation must be in the Alliance's policy interest.

The German Government's policy principles relating to military equipment exports shall be implemented as widely as possible in the realisation of schemes for co-operation, though

¹ Weapons, either complete or parts thereof, figuring on the War Weapons List (annexed to the KWKG).

² Goods figuring in Section A of Part i of the Exports Schedule – annexed to the AWV – except war weapons.

³ Facilities and technical documents relating to war weapon production.

with due regard to our capability to co-operate within the Alliance. To this end, the Federal Government will continue to give priority to collaboration, as a matter of principle, though without giving up possibilities to influence export intentions of its partners within the framework of collaborative schemes (No. 5).

4. Regarding German sub-supplies (individual systems or components) representing war-weapon and other military equipment deliveries, the country participating in the co-operative scheme shall, for export-law purposes, be deemed to represent the purchasing and the consumer country; it shall be deemed to represent also the country of final destination, where such sub-supplies have been classified as war weapons deliveries. Where such systems or components have been inseparably integrated into any weapon system, processing in the partner country shall, in export law terms, be deemed to mark the beginning of a new origin.
There are not any absolute reasons banning such sub-supplies.
5. The export-policy consequences of collaborative schemes must be examined before contract conclusion.
To achieve its policy objectives in the field of arms exports, the Federal Government insists on having the right to consult the co-operation partner about its specific export project and to be a critical partner in such consultations. All new collaboration agreements therefore require, as a matter of principle, that a consultation procedure be agreed upon allowing the Federal Government to object to an export its partner country proposes to make.
6. Prior to any exports of war weapons and other military equipment that include German sub-supplies, the Foreign Office, the Federal Ministry of Economics and Technology and the Federal Ministry of Defence, in consultation with the Top Level Executive of the Federal Chancellor's Office, are required to examine in each individual case whether there are reasons for starting consultations.

Objections of the Federal Government to the use of German sub-supplies would be thinkable after submission of the matter to the Federal Security Council especially in the following cases:

- exports to countries involved in armed conflicts;
- exports to countries in which the outbreak of armed conflict is threatening;
- exports that would overshadow Germany's relations with third countries to an extent that even Germany's own best interest in co-operation and in maintaining good relations with the co-operation partner would have to be rated secondary in importance.

No objections shall be made where direct exports would stand a chance of being authorised in light of the considerations mentioned in No. 13.

7. As in the case of direct supplies, no restrictions shall, as a matter of principle, be placed on sub-supplies for incorporation into collaborative arms production projects not subject to intergovernmental agreements where such sub-supplies are located in several NATO countries. However, as in the case of collaborative projects subject to intergovernmental agreements, the Federal Government will bring its influence to bear also on exports originating from such inter-industrial co-operation projects.

To this end, the Federal Government alerts the German co-operation partners making sub-supplies, essential in terms of quantity and importance, for incorporation in war weapons to the need to obtain a contractual right from their exporting partners permitting them to submit to the Federal Government in good time the necessary information about their intentions.

Efforts should be made for retrieving information about the final destination of war weapons produced on the basis of licences and exported design drawings or systems.

II. Non-NATO Countries

8. Exports of war weapons and other defence items close to war weapons to countries outside the territory of the North Atlantic Treaty Organisation shall continue to be subject to restriction. In particular, such exports may not result in setting up additional export-specific capacities.
9. Exports of war weapons (subject to approval under the KWKG and the AWG) shall not be authorised except where special political considerations justify exemption of a general nature or where vital interests of the Federal Republic of Germany suggest the need to make such exemption in rare cases. Vital interests shall be deemed to represent foreign and security-policy interests of the Federal Republic of Germany with due consideration being given to Alliance interests. Employment policy reasons shall not be allowed to play any crucial role in this context.
10. For exports of other defence items close to war weapons (subject to approval under the AWG only), authorisations shall only be granted insofar as Germany's external security, its peaceful co-existence with other nations and its foreign relations deserving protection under the provisions of the AWG are not in jeopardy.
It shall be presumed that these protection interests take precedence over national economic interests within the meaning of Section 3.1 of the AWG.
11. For exports of other military equipment (subject to licensing under the AWG as well) authorisations shall be granted insofar as the legislation on foreign trade and payments so permits.
12. Export authorisations shall not - even by way of exception - be considered to be justifiable where the internal situation of the respective country of destination does not permit to do so.
13. Delivery of war weapons and other military equipment close to war weapons may not be allowed to contribute to heightening existing tensions. For this reason, countries facing threats of armed conflict shall not be considered, as a matter of principle.

There must be sufficient security to the effect that the war weapons and other defence items close to war weapons are intended solely for defence purposes of the country or region of destination.

14. Deliveries of war weapons shall not be authorised unless a public declaration has been made about their final destination. Strict yardsticks shall be applied to ensure that other military equipment close to war weapons be kept at the authorised final destination.

Care shall be taken to obtain agreement about the final destination of the war weapons to be exported, when authorisations are issued or exports of design drawings or systems for producing war weapons are made.

III. Schedule C countries

15. Exports of war weapons and other military equipment to countries figuring on Schedule C (Section II of the Annex to the Foreign Trade and Payments Act) shall not be authorised. Exceptions shall only be possible subject to the agreement of all COCOM countries.

Annex 2 a

As at 3 July 2000

List of Controlled Export Goods

Part I

A Munitions List

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

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

Note:

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

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

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

Technical Note:

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

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

c) Weapons using caseless ammunition;

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

Notes regarding sub-items 0001a to 0001d:

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

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

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

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

Note:

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

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

Note:

Sub-item 0002b does not control signal pistols.

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

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

Notes:

1. Specially designed components include:
 - a) Metal or plastic fabrications such as primer anvils, bullet cups, cartridge links, rotating bands and other munitions metal parts,
 - b) safing and arming devices, fuses, sensors and initiation devices,
 - c) power supplies with high one-time operational output,
 - d) combustible cases for charges,
 - e) submunitions including bomblets, minelets and terminally guided projectiles.
2. Item 0003 does not control ammunition crimped without projectile (blank star) and dummy ammunition with a pierced powder chamber, unless the purchasing country or country of destination is Bosnia and Herzegovina, the Federal Republic of Yugoslavia or Croatia.
3. Item 0003 does not control cartridges specially designed for any of the following purposes, unless the purchasing country or country of destination is Bosnia and Herzegovina, the Federal Republic of Yugoslavia or Croatia:
 - a) Signalling,
 - b) bird-scaring or
 - c) lighting of gas flares at oil wells.
4. Item 0003 does not control cal. 22 non-centre fire cased ammunition, unless the purchasing country or country of destination is Bosnia and Herzegovina, the Federal Republic of Yugoslavia or Croatia.

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

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

Note:

Sub-item 0004a includes:

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

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

Note:

Sub-item 0004b includes:

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

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

- a) **Weapon sights which are not controlled by sub-items 0001d or 0002c, bombing computers, gun laying equipment and weapon control systems;**

- b) target acquisition, designation, range-finding, surveillance and tracking systems, detection, data fusion, recognition or identification equipment and sensor integration equipment;**
- c) countermeasure equipment for equipment controlled by sub-items 0005a and 0005b;**
- d) field test or alignment equipment, specially designed for the maintenance and servicing of equipment controlled by sub-items 0005a or 0005b.**

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

Technical Note:

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

Notes:

1. Item 0006 includes:
 - a) Tanks and other military armed vehicles and military vehicles fitted with mountings for arms or equipment for mine laying or the launching of munitions controlled by Item 0004,
 - b) armoured vehicles,
 - c) amphibious and deep water fording vehicles,
 - d) recovery vehicles and vehicles for towing or transporting ammunition or weapon systems and associated load handling equipment.
2. Modification of a ground vehicle for military use entails a structural, electrical or mechanical change involving one or more specially designed military components. Such components include:
 - a) Pneumatic tyre casings of a kind specially designed to be bullet-proof or to run when deflated,

- b) tyre inflation pressure control systems, operated from inside a moving vehicle,
 - c) armoured protection of vital parts (e.g., fuel tanks or vehicle cabs),
 - d) special reinforcements for mountings for weapons,
 - e) multicolour camouflage coating of the vehicle.
3. Item 0006 does not control civil automobiles or trucks designed for transporting money or valuables, having armoured protection.
4. Item 0006 does not control the following military components:
- a) Lighting including blackout lighting,
 - b) brackets for rifles or other weapons,
 - c) brackets for camouflage nets,
 - d) NATO-type clutches,
 - e) roof hatches, round, with swivelling or hinged cover.

Supplementary Note:

See also Part I C, Item 9A991.

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

Note:

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

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

1. **Alkyl (Methyl, Ethyl, n-Propyl or Isopropyl) Phosphonyl Difluorides, such as DF: Methyl Phosphonyldifluoride (CAS 676-99-3);**
 2. **O-Alkyl (H or equal to or less than C₁₀, including cycloalkyl), O-2-dialkyl (Methyl, Ethyl, n-Propyl or Isopropyl) aminoethyl alkyl (Methyl, Ethyl, n-Propyl or Isopropyl) phosphonite and corresponding alkylated or protonated salts, such as QL: O-Ethyl-2-di-isopropylaminoethyl methyl phosphonite (CAS 57856-11-8);**
 3. **Chlorosarin: O-Isopropyl methylphosphonochloridate (CAS 1445-76-7);**
 4. **Chlorosoman: O-Pinakolyl methylphosphonochloridate (CAS 7040-57-5);**
- c) **Tear gases and riot control agents including:**
1. **CA: Bromobenzyl cyanide (CAS 5798-79-8);**
 2. **CS: o-Chlorobenzylidenemalononitrile (CAS 2698-41-1);**
 3. **CN: ? -chloroacetophenone (CAS 532-27-4);**
 4. **CR: Dibenz-(b,f)-1,4-oxazepine (CAS 257-07-8);**
- d) **equipment specially designed or modified for the dissemination of any of the following and specially designed components therefor:**
1. **materials or agents controlled by sub-items 0007a or 0007c, or**
 2. **CW made up of precursors controlled by sub-item 0007b;**
- e) **equipment specially designed for defence against materials controlled by sub-items 0007a or 0007c, and specially designed components therefor:**
- Note:
- Sub-item 0007c includes protective clothing.
- f) **Equipment specially designed for the detection or identification of materials controlled by sub-items 0007a or 0007c, and specially designed components therefor:**

Note:

Sub-item 0007f does not control personal radiation monitoring dosimeters.

Supplementary Note:

For civil gas masks and protective equipment see also Part I C, Item 1A004.

- g) Biopolymers specially designed or processed for the detection or identification of CW agents controlled by sub-item 0007a, and the cultures of specific cells used to produce them;**
- h) biocatalysts for the decontamination or degradation of CW agents, and biological systems therefor, as follows:**
 - 1. Biocatalysts specially designed for the decontamination or degradation of CW agents controlled by sub-item 0007a, resulting from directed laboratory selection or genetic manipulation of biological systems;**
 - 2. biological systems, as follows:**
 - Expression vectors, viruses or cultures of cells containing the genetic information specific to the production of biocatalysts controlled by sub-item 0007h1;**
- i) technology, as follows:**
 - 1. Technology for the development, production or use of toxicological agents, related equipment or components controlled by sub-items 0007a to 0007f;**
 - 2. technology for the development, production or use of biopolymers or cultures of specific cells controlled by sub-item 0007g,**
 - 3. technology exclusively for the incorporation of biocatalysts, controlled by sub-item 0007h1, into military carrier substances or military material.**

Notes:

- 1. Sub-item 0007a includes the following:
 - a) CW nerve agents:

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

b) CW vesicant agents:

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

c) CW incapacitating agents, such as:

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

d) CW defoliants, such as:

1. Butyl (2-chloro-4-fluorophenoxy) acetate (LNF);
 2. 2,4,5-trichlorophenoxyacetic acid mixed with 2,4-dichlorophenoxyacetic acid (Agent Orange).
2. Sub-item 0007c includes air conditioning units specially designed or modified for nuclear, biological or chemical filtration.
 3. Sub-items 0007a and 0007c do not control:
 - a) Cyanogen chloride;
 - b) hydrocyanic acid;
 - c) chlorine;
 - d) carbonyl chloride (phosgene);
 - e) trichloromethyl chloroformate (diphosgene);
 - f) ethyl bromoacetate;
 - g) xylyl bromide;
 - h) benzyl bromide;
 - i) benzyl iodide;
 - j) bromo acetone;
 - k) cyanogen bromide;
 - l) bromo methylethylketone;
 - m) chloro acetone;
 - n) ethyl iodoacetate;
 - o) iodo acetone;
 - p) chloropicrin.

4. The technology, cultures of cells and biological systems listed in sub-items 0007g, 0007h2 and 0007i3 are exclusive and these sub-items do not control technology, cells or biological systems for civil purposes, such as agricultural, pharmaceutical, medical, veterinary, environmental or in the food industry.
5. Sub-item 0007c does not control tear gases or riot control agents individually packaged for personal self defence purposes.
6. Sub-items 0007d, 0007e and 0007f control equipment specially designed or modified for military purposes (i.e. the equipment meets the requirements of military standards).
7. See also Part I C, Item 1A004.
8. For precursors for the preparation of toxicological agents see Part I C, Item 1C350.
9. For related biological agents see Part I C, Items 1C351 to 1C354. The biological agents referred to therein are only controlled by sub-item 0007a, if they correspond to the term 'adapted for use in war'.

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

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

Note:

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

a) Substances, as follows, and mixtures thereof:

- 1. Spherical aluminium powder (CAS 7429-90-5) with a particle size of 60 µm or less, manufactured from material with an aluminium content of 99 percent or more;**

2. **metal fuels in particle form (whether spherical, atomised, flaked or ground), manufactured from material consisting of 99 percent or more of any of the following:**
 - a) **Metals and mixtures thereof:**
 1. **Beryllium (CAS 7440-41-7) in particle sizes of less than 60 µm;**
 2. **iron powder (CAS 7439-89-6) with a particle size of 3 µm or less, produced by the reduction of iron oxide with hydrogen;**
 - b) **mixtures, which contain any of the following:**
 1. **Zirconium (CAS 7440-67-7), magnesium (CAS 7439-95-4) and alloys of these in particle sizes of less than 60 µm;**
 2. **boron (CAS 7440-42-8) or boron carbide (CAS 12069-32-8) of 85 percent or higher purity and particle sizes less than 60 µm;**
3. **perchlorates, chlorates and chromates composited with powdered metal or other high-energy fuel components;**
4. **for the controlling of nitroguanidine (NQ) (CAS 556-88-7) see Part I C, Item 1C011d;**
5. **compounds composed of fluorine and any of the following: other halogens, oxygen, nitrogen;**
6. **carboranes, decaborane (CAS 17702-41-9), pentaborane and derivatives thereof;**
7. **cyclotetramethylenetetranitramine (HMX) (CAS 2691-41-0);**
8. **hexanitrostilbene (HNS) (CAS 20062-22-0);**
9. **diaminotrinitrobenzene (DATB) (CAS 1630-08-6);**
10. **triaminotrinitrobenzene (TATB) (CAS 3058-38-6);**
11. **triaminoguanidinenitrate (TAGN) (CAS 4000-16-2);**

12. titanium subhydride of stoichiometry TiH 0.65-1.68;
13. dinitroglycoluril (DNGU, DINGU) (CAS 55510-04-8), tetranitroglycoluril (TNGU, SORGUYL) (CAS 55510-03-7);
14. tetranitrobenzotriazolobenzotriazole (TACOT) (CAS 25243-36-1);
15. diaminohexanitrodiphenyl (DIPAM) (CAS 17215-44-0);
16. picrylamino dinitropyridine (PYX) (CAS 38082-89-2);
17. 3-nitro-1,2,4-triazol-5-one (NTO or ONTA) (CAS 932-64-9);
18. hydrazine (CAS 302-01-2) in concentrations of 70 percent or more, hydrazine nitrate (CAS 37836-27-4), hydrazine perchlorate (CAS 27978-54-7), unsymmetrical dimethyl hydrazine (CAS 57-14-7), monomethyl hydrazine (CAS 60-34-4) and symmetrical dimethyl hydrazine (CAS 540-73-8);
19. ammonium perchlorate (CAS 7790-98-9);
20. cyclotrimethylenetrinitramine (RDX) (CAS 121-82-4);
21. hydroxylammonium nitrate (HAN) (CAS 13465-08-2), hydroxylammonium perchlorate (HAP) (CAS 15588-62-2);
22. 2-(5-cyanotetrazolato) penta amine-cobalt (III) perchlorate (CP) (CAS 70247-32-4);
23. cis-bis (5-nitrotetrazolato) tetra amine-cobalt (III) perchlorate (BNCP);
24. 7-amino-4,6-dinitrobenzofurazane-1-oxide (ADNBF) (CAS 97096-78-1), aminodinitrobenzofuroxane;
25. 5,7-diamino-4,6-dinitrofurazan-1-oxide (CL-14) (CAS No. 117907-74-1) or amino dinitrobenzofuroxan;
26. 2,4,6-trinitro-2,4,6-triazacyclohexanone (K-6 or Keto-RDX) (CAS 115029-35-1);

27. **2,4,6,8-tetranitro-2,4,6,8-tetraazabicyclo [3,3,0]-octanone-3**
(CAS 130256-72-3) (tetranitrosemiglycoluril, K-55 or keto-bicyclic HMX);
 28. **1,1,3-trinitroazetidine (TNAZ)** (CAS 97645-24-4);
 29. **1,4,5,8-tetranitro-1,4,5,8-tetraazadecalin (TNAD)** (CAS 135877-16-6);
 30. **hexanitrohexaazaisowurtzitane (CAS 135285-90-4) (CL-20 or HNIW) and clathrates of CL-20;**
 31. **polynitrocubanes with more than four nitro groups;**
 32. **ammonium dinitramide (ADN or SR 12)** (CAS 140456-78-6);
 33. **trinitrophenylmethylnitramine (tetryl)** (CAS 479-45-8);
- b) explosives and propellants that meet the following performance parameters:**
1. **Any explosive with a detonation velocity exceeding 8,700 m/s or a detonation pressure exceeding 34 GPa (340 kbar);**
 2. **other organic explosives not listed in Item 0008, yielding detonation pressures of 25 GPa (250 kbar) or more that will remain stable at temperatures of 523 K (250 °C) or higher for periods of 5 minutes or longer;**
 3. **any other United Nations (UN) Class 1.1 solid propellant not listed in Item 0008, with a theoretical specific impulse (under standard conditions) of more than 250 seconds for non-metallised, or more than 270 seconds for aluminised compositions;**
 4. **any other United Nations (UN) Class 1.3 solid propellants not listed in Item 0008, with a theoretical specific impulse of more than 230 seconds for non-halogenised, 250 seconds for non-metallised and 266 seconds for metallised compositions;**
 5. **any other gun propellants not listed in Item 0008 having a force constant of more than 1,200 kJ/kg;**

6. any other explosive, propellant or pyrotechnic not listed in Item0008 that can sustain a steady-state, uniform burning rate of more than 38 mm/s at 6.89 MPa (68.9 bar) pressure and 294 K (21 °C); or
 7. elastomer modified cast double-base propellants with (EMCDB), with extensibility at maximum stress of more than 5 percent at 233 K (-40 °C);
- c) military pyrotechnics;
- d) other substances, as follows:
1. aircraft fuels specially formulated for military purposes;
 2. military materials containing thickeners for hydrocarbon fuels specially formulated for use in flame-throwers or incendiary bombs, such as metal stearates or palmates (also known as octal) (CAS 637-12-7) and M1, M2, M3 thickeners;
 3. liquid oxidisers comprised of or containing inhibited red fuming nitric acid (IRFNA) (CAS 8007-58-7) or oxygen difluoride;
- e) additives and precursors, as follows:
1. Azidomethylmethyloxetane (AMMO) and its polymers;
 2. basic copper salicylate (CAS 62320-94-9), lead salicylate (CAS 15748-73-9);
 3. bis(2,2-dinitropropyl) formal (CAS 5917-61-3) or bis(2,2-dinitropropyl) acetal (CAS 5108-69-0);
 4. bis-(2-fluoro-2,2-dinitroethyl) formal (FEFO) (CAS 17003-79-1);
 5. bis-(2-hydroxyethyl) glycolamide (BHEGA) (CAS 17409-41-5);
 6. bis(2-methyl aziridinyl) methylamino phosphine oxide (Methyl BaPO), (CAS 85068-72-0);
 7. bisazidomethyloxetane and its polymers (CAS 17607-20-4);
 8. bischloromethyloxetane (BCMO) (CAS 142173-26-0);

9. butadienenitrileoxide (BNO);
10. butanetrioltrinitrate (BTTN) (CAS 6659-60-5);
11. catocene (CAS 37206-42-1) (2,2-Bis-ethylferrocenyl propane), ferrocene carboxylic acids, N-butyl-ferrocene (CAS 319904-29-7), butacene (CAS 125856-62-4) and other adducted polymer ferrocene derivatives;
12. dinitroazetidine-t-butyl salt;
13. energetic monomers, plasticisers and polymers containing nitro, azido, nitrate, nitraza or difluoramino groups;
14. FPF-1: Poly-2,2,3,3,4,4-hexafluoropentane-1,5-diol formal;
15. FPF-3: Poly-2,4,4,5,5,6,6-heptafluoro-2-tri-fluoromethyl-3-oxaheptane-1,7-diol formal;
16. glycidylazide polymer (GAP) (CAS 143178-24-9) and its derivatives;
17. hexabenzylhexaazaisowurtzitane (HBIW) (CAS 124782-15-6);
18. hydroxyl terminated polybutadiene (HTPB) with a hydroxyl functionality equal to or greater than 2.2 and less than or equal to 2.4, a hydroxyl value less than 0.77 meq/g, and a viscosity at 303 K (30 °C) of less than 47 poise (CAS 69102-90-5);
19. superfine iron oxide (Fe_2O_3 hematite) with a specific surface area greater than 250 m^2/g and an average particle size of 0.003 μm or less (CAS 12309-37-1);
20. lead beta-resorcylate (CAS 20936-32-7);
21. lead stannate (CAS 12036-31-6), lead maleate (CAS 19136-34-6), lead citrate (CAS 14450-60-3);
22. lead-copper-chelates of beta-resorcylate and/or salicylate (CAS 68411-07-4);

23. **nitratomethylmethyloxetane or poly (3-nitratomethyl, 3-methyl oxetane) (Poly-NIMMO, NMMO) (CAS 84051-81-0);**
24. **3-nitrazo-1,5-pentane diisocyanate (CAS 7406-61-9);**
25. **N-methyl-p-nitroaniline (CAS 100-15-2),**
26. **organo-metallic coupling reagents, specifically titanium-IV-compounds:**
 - a) **2,2-[bis-2-propenolato-methyl, butanolato tris (dioctyl) phosphato] (LICA 12) (CAS 103850-22-2);**
 - b) **[(2-propenolato-1) methyl, n-propenolatomethyl] butanolato-1, tris(dioctyl)pyrophosphate (KR 3538);**
 - c) **[(2-propenolato-1) methyl, n-propenolatomethyl] butanolato-1, tris(dioctyl)phosphate;**
27. **polycyanodifluoroaminoethyleneoxide (PCDE);**
28. **polyfunctional aziridine amides with isophthalic, trimesic (BITA or butylene imine trimesamide), isocyanuric or trimethyladipic backbone structures and 2-methyl or 2-ethyl substitutions on the aziridine ring;**
29. **polyglycidylnitrate or poly (nitratomethyl oxirane), (Poly-GLYN, PGN) (CAS 27814-48-8);**
30. **polynitroorthocarbonates;**
31. **propyleneimide, 2-methylaziridine (CAS 75-55-8);**
32. **tetraacetyldibenzylhexaazaisowurtzitane (TAIW);**
33. **tetraethylenepentaamineacrylonitrile (TEPAN) (CAS 68412-45-3), cyanoethylated polyamines and their salts;**
34. **tetraethylenepentaamineacrylonitrileglycidol (TEPANOL) (CAS 68412-46-4), cyanoethylated polyamines adducted with glycidol and their salts;**
35. **triphenyl bismuth (TPB) (CAS 603-33-8);**

36. **tris-1-(2-methyl)aziridinyl phosphine oxide (MAPO) (CAS 57-39-6), bis(2-methyl aziridinyl) 2-(2-hydroxypropanoxy) propylamino phosphine oxide (BOBBA 8) and other MAPO derivatives;**
37. **1,2,3-tris[(1,2-bis-difluoroamino)ethoxy] propane (TVOPA) (CAS 53159-39-0);**
38. **1,3,5-trichlorobenzene (CAS 108-70-3);**
39. **1,2,4-butanetriol (1,2,4-trihydroxybutane);**
40. **1,3,5,7-tetraacetyl-1-3,5,7-tetraaza cyclo-octane (TAT) (CAS 41378-98-7);**
41. **1,4,5,8-tetraazadecalin (CAS 5409-42-7);**
42. **low (less than 10,000) molecular weight, alcohol-functionalised, poly(epichlorohydrin), poly(epichlorhydrindiol).**

Notes:

1. The military explosives and fuels containing the metals or alloys listed in sub-items 0008a1 and 0008a2 are controlled whether or not the metals or alloys are encapsulated in aluminium, magnesium, zirconium or beryllium. See also Part I C, Item 1C011.
2. Item 0008 does not control boron or boron carbide enriched with boron-10 (20 percent or more of total boron content).
3. Aircraft fuels controlled by sub-item 0008d1 are finished products not their constituents.
4. Item 0008 does not control perforators specially designed for oil well logging.
5. Item 0008 does not control the following substances when not compounded or mixed with military explosives or powdered metals, i.e. they are not controlled if they exist in pure form or as intermixtures:
 - a) ammonium picrate;
 - b) black powder;

- c) hexanitrodiphenylamine;
- d) difluoramine (HNF₂);
- e) nitrostarch;
- f) potassium nitrate;
- g) tetranitronaphtalene;
- h) trinitroanisol;
- i) trinitronaphtalene;
- j) trinitroxylene;
- k) fuming nitric acid, non-inhibited and not enriched;
- l) acetylene;
- m) propane;
- n) liquid oxygen;
- o) hydrogen peroxide in concentrations of less than 85 percent;
- p) misch metal;
- q) N-pyrrolidinone, 1-methyl-2-pyrrolidinone;
- r) dioctylmaleate;
- s) ethylhexylacrylate;
- t) triethylaluminium (TEA), trimethylaluminium (TMA), and other pyrophoric metal alkyls and aryls of lithium, sodium, magnesium, zinc and boron;
- u) nitrocellulose;
- v) nitroglycerin (or glycerolnitrate);
- w) 2,4,6-trinitrotoluene (TNT);

- x) ethylenediaminedinitrate;
- y) pentaerythrite tetranitrate;
- aa) lead azide, normal and basic lead styphnate, and primary explosives or priming compositions containing azides or azide complexes;
- bb) triethyleneglycoldinitrate (TEGDN);
- cc) 2,4,6-trinitroresorcinol (styphnic acid);
- dd) diethyldiphenyl urea, dimethyldiphenyl urea, methylethyldiphenyl urea (Centralites);
- ee) N,N-diphenylurea (unsymmetrical diphenylurea);
- ff) methyl-N,N-diphenylurea (methyl unsymmetrical diphenylurea);
- gg) ethyl-N, N-diphenylurea (ethyl unsymmetrical diphenylurea);
- hh) 2-nitrodiphenylamine (2-NDPA);
- ii) 4-nitrodiphenylamine (4-NDPA);
- jj) 2,2-dinitropropanol;
- kk) chlorine trifluoride.

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

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

- a) **A power output of 1.12 MW (1,500 hp) or more, and**
 - b) **a rotary speed of 700 r.p.m. or more;**
- 2. electric motors, specially designed for submarines, having all of the following characteristics:**
- a) **A power output of more than 0.75 MW (1,000 hp);**
 - b) **quick reversing;**
 - c) **liquid cooled and**
 - d) **totally enclosed;**
- 3. non-magnetic diesel engines, with a power output of 37.3 kW (50 hp) or more and with a non-magnetic content in excess of 75 percent of total mass;**
- c) **underwater detection devices specially designed for military use and controls therefor;**
 - d) **submarine and torpedo nets;**
 - e) **equipment for guidance and navigation specially designed for military use;**
 - f) **hull penetrators and connectors specially designed for military use that enable interaction with equipment external to a vessel;**

Notes:

1. Sub-item 0009f includes connectors for vessels which are of the single-conductor, multi-conductor, coaxial and waveguide type, and hull penetrators for vessels, both of which are capable of remaining impervious to leakage from without and of retaining required characteristics at marine depths exceeding 100 metres; and fibre-optic connectors and optical hull penetrators specially designed for laser beam transmission, regardless of depth.
2. Sub-item 0009f does not include ordinary propulsive shaft and control-rod hull penetrators.

- g) Silent bearings with aerodynamic/aerostatic lubrication or magnetic suspension, active signature or vibration suppression controls, and equipment containing those bearings, specially designed for military use.**

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

- a) Combat aircraft and specially designed components therefor;**
- b) other aircraft, specially designed or modified for military use, including military reconnaissance, assault, military training, transporting and airdropping troops or military equipment, logistics support, and specially designed components therefor;**
- c) aero-engines specially designed or modified for military use, and specially designed components therefor;**
- d) unmanned airborne vehicles and related equipment, specially designed or modified for military use, as follows, and specially designed components therefor:**
 - 1. Unmanned airborne vehicles including remotely piloted air vehicles (RPVs) and autonomous programmable vehicles;**
 - 2. associated launchers and ground support equipment;**
 - 3. related equipment for command and control;**
- e) airborne equipment including airborne refuelling equipment, specially designed for use with the aircraft controlled by sub-items 0010a or 0010b or the aero-engines controlled by sub-item 0010c, and specially designed components therefor;**
- f) pressure refuelers, pressure refuelling equipment, equipment specially designed to facilitate operations in confined areas and ground equipment, developed specially for aircraft controlled by sub-items 0010a or 0010b or for aero-engines controlled by sub-item 0010c;**

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

Notes:

- 1. Sub-item 0010b does not control aircraft or variants of these aircraft specially designed for military use which
 - a) are not configured for military use and are not fitted with equipment or attachments specially designed or modified for military use, and

- b) have been certified for civil use by a civil aviation authority in a participating state.

2. Sub-item 0010c does not control:

- a) aero-engines designed or modified for military use which have been certified by a civil aviation authority in a participating state for use in civil aircraft, or specially designed components therefor;
- b) reciprocating engines or specially designed components therefor.

Supplementary Note:

See also Part I C, Item 9A994.

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

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

Note:

Item 0011 includes:

- a) Electronic countermeasure and electronic counter-countermeasure equipment (i.e., equipment designed to introduce extraneous or erroneous signals into radar or radio communication receivers or otherwise hinder the reception, operation or effectiveness of adversary electronic receivers including their countermeasure equipment), including jamming and counter-jamming equipment;
- b) frequency agile tubes;
- c) electronic systems or equipment designed either for surveillance and monitoring of the electro-magnetic spectrum for military intelligence or security purposes or for counteracting such surveillance and monitoring;

- d) underwater countermeasures, including acoustic and magnetic jamming and decoy, equipment designed to introduce extraneous or erroneous signals into sonar receivers;
- e) data processing security equipment, data security equipment and transmission and signalling line security equipment, using ciphering processes;
- f) identification, authentication and keyloader equipment and key management, manufacturing and distribution equipment.

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

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

Notes:

1. Item 0006 includes the following when specially designed for kinetic energy weapon systems:
 - a) Launch propulsion systems capable of accelerating masses larger than 0.1 g to velocities in excess of 1.6 km/s, in single or rapid fire modes;
 - b) prime power generation, electric armour, energy storage, thermal management, conditioning, switching or fuel-handling equipment, and electrical interfaces between power supply, gun and other turret electric drive functions;
 - c) target acquisition, tracking, fire control or damage assessment systems;
 - d) homing seeker, guidance or divert propulsion (lateral acceleration) systems for projectiles.

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

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

a) armoured plate, as follows:

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

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

c) military helmets;

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

Notes:

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

Supplementary Note:

See also Part I C, Item 1A005.

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

Technical Note:

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

Attack trainers;

operational flight trainers;

radar target trainers;

radar target generators;

gunnery training devices;

anti-submarine warfare trainers,

flight simulators including human-rated centrifuges for pilot and astronaut training;

radar trainers;

instrument flight trainers;

navigation trainers;

missile launch trainers, target equipment;

drone aircraft, armament trainers;

pilotless aircraft trainers;

mobile training units.

Note:

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

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

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

Note:

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

Notes:

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

- d) low-light-level television camera tubes;
- e) detector arrays (including electronic interconnection or read out systems);
- f) pyroelectric television camera tubes;
- g) cooling systems for imaging systems;
- h) electrically triggered shutters of the photochromic or electro-optical type having a shutter speed of less than 100 μ s, except in the case of shutters which are an essential part of a high speed camera;
- i) fibre optic image converters;
- j) compound semiconductor photocathodes.

2. Item 0015 does not control first generation image intensifier tubes or equipment specially designed to incorporate first generation image intensifier tubes.

Supplementary Note:

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

Supplementary Note:

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

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

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

a) Self-contained diving and underwater swimming apparatus, as follows:

- 1. Closed or semi-closed circuit (rebreathing) apparatus specially designed for military use (e.g., specially designed to be non-magnetic);**

2. **specially designed components for use in the conversion of open-circuit apparatus to military use;**
 3. **articles designed exclusively for military use with the equipment controlled by sub-item 0017a;**
- b) **construction equipment specially designed for military use;**
 - c) **fittings, coatings and treatments for signature suppression, specially designed for military use;**
 - d) **field engineer equipment specially designed for use in a combat zone;**
 - e) **robots, robot controllers and robot end-effectors, having any of the following characteristics:**
 1. **Specially designed for military use;**
 2. **incorporating means of protecting hydraulic lines against externally induced punctures caused by ballistic fragments (e.g., incorporating self-sealing lines) and designed to use hydraulic fluids with flash points higher than 839 K (566 °C); or**
 3. **specially designed or rated for operating in an electro-magnetic pulse (EMP) environment;**
 - f) **libraries (parametric technical databases) specially designed for military use with equipment controlled by Part I A;**
 - g) **nuclear power generating equipment or propulsion equipment, including nuclear reactors, specially designed for military use and components therefor specially designed or modified for military use;**
 - h) **equipment and material, coated and treated for signature suppression, specially designed for military use, other than those controlled elsewhere in Part I A;**

Note:

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

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

Technical Note:

For the purpose of sub-item 00171, the term 'specially designed for military use' means that the equipment has any of the following characteristics:

- a) EMP protection;
 - b) NBC protection;
 - c) coating for signature suppression (infrared or radar); or
 - d) ballistic protection;
- m) bridges specially designed for military use.**

Technical Note:

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

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

- a) Specially designed or modified production equipment for the production of products controlled by Part I A, and specially designed components therefor;**
- b) specially designed environmental test facilities and specially designed equipment therefor, for the certification, qualification or testing of products controlled by Part I A;**

- c) **specific production technology for the production of products controlled by Part I A, even if the equipment with which such technology is used is not controlled;**
- d) **technology specific to the design of, the assembly of components into, and the operation, maintenance and repair of complete production installations even if the components themselves are not controlled.**

Notes:

1. Sub-items 0018a and 0018b include the following equipment:
 - a) Continuous nitrators;
 - b) centrifugal testing apparatus or equipment having any of the following characteristics:
 1. Driven by a motor or motors having a total rated horsepower of more than 298 kW (400 hp);
 2. capable of carrying a payload of 113 kg or more; or
 3. capable of exerting a centrifugal acceleration of 8 g or more on a payload of 91 kg or more ($g = 9.81 \text{ m/s}$);
 - c) dehydration presses;
 - d) screw extruders specially designed or modified for military explosive extrusion;
 - e) cutting machines for the sizing of extruded propellants;
 - f) sweetie barrels (tumblers) 1.85 m or more in diameter and having over 227 kg product capacity;
 - g) continuous mixers for solid propellants;
 - h) fluid energy mills for grinding or milling the ingredients of military explosives;

- i) equipment to achieve both sphericity and uniform particle size in metal powder listed in sub-item 0008a1;
- j) convection current converters for the conversion of materials listed in sub-item 0008a6.

2.

- a) The term 'products referred to in Part I A' includes:
 - 1. Products not controlled if inferior to specified concentrations as follows:
 - a) hydrazine (see sub-item 0008a18);
 - b) military explosives (see Item 0008);
 - 2. superconductive materials excluded from control under Part I C, Item 1C005;

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

superconductive electrical equipment excluded from control under Part I C, sub-item 0020b;
 - 3. metal fuels and oxidants deposited in laminar form from the vapour phase (see sub-item 0008a2);
- b) The term 'products referred to in Part I A' does not include:
 - 1. Signal pistols (see sub-item 0002b);
 - 2. the substances excluded from control under Note 3 to Item 0007;
 - 3. personal radiation monitoring dosimeters (see sub-item 0007f) and masks for protection against specific industrial hazards;
 - 4. acetylene, propane, liquid oxygen, difluoramine (HNF₂), fuming nitric acid and potassium nitrate powder (see Note 5 to Item 0008);

5. aero-engines excluded from control under Item 0010 with reference to Part I C, Item 9A001;
 6. conventional steel helmets not equipped with, or modified or designed to accept, any type of accessory device (see Note 2 to Item 0013);
 7. equipment fitted with industrial machinery, which is not controlled such as coating machinery not elsewhere specified and equipment for the casting of plastics;
 8. muskets, rifles and carbines dated earlier than 1938, reproductions of muskets, rifles and carbines dated earlier than 1890, revolvers, pistols and machine guns dated earlier than 1890, and their reproductions.
3. Note 2b8 of Item 0018 does not release from controls technology or production equipment for non-antique firearms, even if used to produce reproductions of antique firearms.
 4. Sub-item 0018d does not control technology for civil purposes, such as agricultural, pharmaceutical, medical, veterinary, environmental, or in the food industry (see Note 4 to Item 0007).

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

- a) **Laser systems specially designed for destruction or effecting mission-abort of a target;**
- b) **particle beam systems capable of destruction or effecting mission-abort of a target;**
- c) **high power radio-frequency (RF) systems capable of destruction or effecting mission-abort of a target;**
- d) **equipment specially designed for the detection or identification of, or defence against, systems controlled by sub-items 0019a, 0019b or 0019c;**
- e) **physical test models and related test results for the systems, equipment and components controlled by this Item;**

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

Notes:

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

- i) negative ion beam funnelling equipment;
- j) equipment for controlling and slewing a high energy ion beam;
- k) space qualified foils for neutralising negative hydrogen isotope beams.

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

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

Note:

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

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

Note:

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

0021 Software, as follows:

- a) Software specially designed or modified for the development, production or use of equipment and materials controlled by Part I A;**
- b) specific software, as follows:**
 - 1. Software specially designed for:**

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

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

Note:

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

Annex 2 b

War Weapons List

(last amended by the Ninth Ordinance amending the War Weapons List dated 26 February 1998, Federal Law Gazette I, p. 385)

Part A

War Weapons the Production of which has been renounced by the Federal Republic of Germany (Nuclear Weapons, Biological and Chemical Weapons)

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

Part B

Other War Weapons

I. Missiles

7. Guided missiles
8. unguided missiles (rockets)
9. other missiles
10. firing systems (launching systems and launchers) for the weapons listed in Items 7 and 9 including the man-portable firing systems for anti-tank and anti-aircraft guided missiles
11. firing systems for the weapons listed in Item 8 including the man-portable firing systems and the rocket launchers
12. engines for the weapons listed in Items 7 to 9

II. Combat aircraft

13. Combat aircraft having at least one of the following characteristics:
 1. Integrated weapon system specially equipped with target acquisition, fire control equipment and corresponding avionics interfaces;
 2. integrated electronic means;

3. integrated electronic warfare system
14. Combat helicopters having at least one of the following characteristics:
 1. Integrated weapon system specially equipped with target acquisition, fire control equipment and corresponding avionics interfaces;
 2. integrated electronic means;
 3. integrated electronic warfare system
15. airframes for the weapons listed in Items 13 and 14
16. jet, propjet and rocket engines for the weapons listed in Item 13

III. Vessels of war and floating support vehicles

17. vessels of war including those used for training purposes
18. submarines
19. small craft equipped with assault weapons, with a speed of more than 30 knots
20. minesweepers, minehunters, minelayers, guinea pig vessels and other mine warfare vessels
21. amphibious craft, amphibious assault ships
22. tenders, ammunition ships
23. hulls for the weapons listed in Items 17 to 22

IV. Combat vehicles

24. main battle tanks
25. other armoured combat vehicles including armoured support vehicles
26. all types of special vehicles solely developed for the use of the weapons listed in Items 1 to 6
27. chassis for the weapons listed in Items 24 and 25
28. turrets for main battle tanks

V. Guns

29. a) machine guns other than water cooled¹⁾
 - b) machine pistols other than those the models of which have been introduced earlier than 1 September 1939 by an armed force¹⁾
 - c) rifles of the fully automatic firing type other than those the models of which have been introduced earlier than 2 September 1945 by an armed force¹⁾
 - d) semiautomatic rifles other than those the models of which have been introduced earlier than 2 September 1945 by an armed force and other than rifles for hunting and sporting purposes¹⁾
30. grenade machine weapons, grenade launchers, grenade pistols
31. guns, howitzers and mortars of all types
32. automatic guns
33. armoured self-propelled mounts for the weapons listed in Items 31 and 32
34. barrels for the weapons listed in Items 29, 31 and 32
35. breech (bolt) mechanisms for the weapons listed in Items 29, 31 and 32
36. drums for automatic guns

VI. Light anti-tank weapons, flame-throwers, mine-laying and mine-launching equipment

37. recoilless, unguided, man-portable anti-tank weapons
38. flame-throwers
39. mine-laying and mine-launching equipment for land mines

¹⁾ Water cooled machine guns (sub-item a), machine pistols the models of which have been introduced earlier than 1 September 1939 by an armed force (sub-item b), rifles of the fully automatic firing type the models of which have been introduced earlier than 2 September 1945 by an armed force (sub-items c and d) will be controlled by the War Weapons List until the date of entry into force of the Third Act amending the Weapons Act in accordance with Sentence 1 of Article 5.

VII. Torpedoes, mines, bombs, autonomous ammunition

40. torpedoes
41. torpedoes without warhead (section containing high-explosive)
42. torpedo bodies (torpedoes without warhead – section containing high-explosive – and without target seeker)
43. mines of all types
44. bombs of all types including depth charges
45. hand-held single-shot flame-throwers
46. hand grenades
47. engineer explosives, shaped charges and magnetic charges and explosive mine-clearing devices
48. explosive charges for the weapons listed in Item 43

VIII. Other ammunition

49. ammunition for the weapons listed in Items 31 and 32
50. ammunition for the weapons listed in sub-items 29a, 29c and 29d, other than fixed ammunition with full metal jacketed ball projectile, if the projectile does not contain additives, in particular a tracer, incendiary filling or explosive charge, and if fixed ammunition of the same calibre is used for hunting and sporting purposes
51. ammunition for the weapons listed in Item 30
52. ammunition for the weapons listed in Items 37 and 39
53. rifle grenades
54. projectiles for the weapons listed in Items 49 and 52
55. propelling charges for the weapons listed in Items 49 and 52

IX. Other essential components

- 56. warheads for the weapons listed in Items 7 to 9, and 40
- 57. fuses for the weapons listed in Items 7 to 9, 40, 43, 44, 46, 47, 49, 51 to 53, and 59 other than primers
- 58. target seekers for the weapons listed in Items 7, 9, 40, 44, 49, 59 and 60
- 59. submunitions for the weapons listed in Items 7 to 9, 44, 49 and 61
- 60. submunitions without fuses for the weapons listed in Items 7 to 9, 44, 49 and 61

X. Dispensers

- 61. dispensers for the systematic distribution of submunitions

XI. Laser weapons

- 62. laser weapons specially designed to cause permanent blindness

Annex 3

Existing Arms Embargoes

State	Date	Legal Basis
Ethiopia and Eritrea	10 February 1999	UNSC Resolution 1227
	15 March 1999	Common View of the Council of the European Union (1999/206/GASP)
	20 March 2000	Last renewed until 30 September 2000 (2000/230/GASP)
Afghanistan	22 October 1996	UNSC Resolution 1076
	17 December 1996	Common View of the Council of the European Union (96/746/GASP)
	24 January 2000	Confirmed by Common View of the Council of the European Union (2000/55/GASP)
Angola	15 September 1993	UNSC Resolution 864
Armenia and Azerbaijan	29 July 1993	UNSC Resolution 853
China	27 June 1989	Declaration of the European Council
Democratic Republic of the Congo (Zaire)	7 April 1993	Declaration of the European Council
Indonesia	16 September 1999	Common View of the Council of the European Union (1999/624/GASP)
Iraq	6 August 1990	UNSC Resolution 661

States of the former Yugoslavia (Bosnia and Herzegovina, Croatia, the Federal Republic of Yugoslavia with Serbia and Montenegro)	31 March 1998	UNSC Resolution 1160 ^{*)}
	26 February 1996	Common View of the Council of the European Union (96/184/GASP)
	19 July 1999	Confirmed by resolution of the Council (1999/481/GASP)
Liberia	19 November 1992	UNSC Resolution 788
Libya	31 March 1992	UNSC Resolution 748
	11 November 1993	and UNSC Resolution 883
	27 August 1998	Suspension by UNSC Resolution 1192
	16 April 1999	Suspension of embargo, but holding to arms embargo by Common View of the Council of the European Union (1999/261/GASP)
Myanmar (Burma)	28 October 2000	Common View of the Council of the European Union (96/635/GASP)
	26 April 2000	Last renewed until 29 October 1996 (2000/346/GASP)
Rwanda	17 May 1994	UNSC Resolution 918
Sierra Leone	5 June 1998	UNSC Resolution 1171
	29 June 1998	Common View of the Council of the European Union (98/409/GASP)
Somalia	23 January 1992	UNSC Resolution 733
Sudan	15 March 1994	Common View of the Council of the European Union (94/165/GASP)

^{*)} The EU did not have to implement this UN arms embargo, since it independently continued the arms embargo decreed by UNSC Resolution 713 dated 25 September 1991 (which the United Nations had phased out in 1996).

EU Member States

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Austria	329	0001 0002 0003 0004 0005 0006 0007 0008 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022	121.1					
Belgium	256	0001 0002 0003 0005 0006 0007 0008 0010 0011 0013	30.4					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0014 0015 0016 0017 0018 0021						
Denmark	155	0001 0002 0003 0004 0005 0006 0007 0008 0009 0011 0013 0014 0015 0016 0017 0018 0021 0022	47.1					
Finland	42	0001 0003 0004 0005 0006 0007 0008	65.0					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0011 0013 0015 0016 0017 0018 0021						
France	321	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022	131.2					
Greece	109	0001 0002 0003 0004 0005	61.8					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0006 0007 0008 0009 0010 0011 0013 0014 0016 0017 0018 0021 0022						
Ireland	8	0003 0005 0008 0010 0014 0016	2.7					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Italy	390	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0013 0014 0015 0016 0017 0018 0021 0022	508.6					
Luxembourg	54	0001 0002 0003 0004 0005 0006 0010 0011 0013 0015 0018	3.0					
Netherlands	544	0001 0002	90.6					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0010						
		0011						
		0013						
		0014						
		0015						
		0016						
		0017						
		0018						
		0022						

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Portugal	46	0001 0002 0004 0005 0006 0007 0009 0010 0011 0013 0015 0016 0018	14.9					
Spain	205	0001 0002 0003 0004 0005 0006 0007 0008 0010 0011 0013 0014 0015 0016 0017 0018 0022	126.2					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Sweden	273	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022	66.5					
United Kingdom	405	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013	103.8					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0014 0015 0016 0017 0018 0021 0022						
Total	3,137		1,372.9					

NATO and NATO-equivalent countries

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Australia	225	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0014 0015 0016 0017 0018 0021 0022	29.8					
Canada	239	0001 0002 0003 0004 0005 0006 0007 0009 0010	103.2					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0011 0013 0014 0015 0016 0017 0018 0021 0022						
Czech Republic	259	0001 0002 0003 0004 0005 0006 0007 0008 0010 0011 0013 0015 0016 0017 0018 0021 0022	16.9					
Hungary	108	0001 0003 0006 0007 0008	4.0					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0010 0011 0013 0015 0016 0018						
Iceland	9	0001 0003	0.02					
Japan	166	0001 0002 0003 0004 0006 0007 0008 0010 0011 0013 0014 0018 0022	13.1					
New Zealand	38	0001 0003 0005 0009 0014 0016	0.7					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Norway	321	0001 0002 0003 0004 0005 0006 0007 0008 0009 0011 0013 0014 0015 0016 0017 0018 0021 0022	99.0					
Poland	219	0001 0003 0004 0005 0006 0007 0008 0010 0011 0013 0014 0016 0017	13.0					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0018 0021 0022						
Switzerland	1,129	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022	170.0					
Turkey	288	0001 0002 0003 0004 0005 0006 0007 0008 0009	1,909.2					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0010 0011 0013 0015 0016 0017 0018 0021 0022						
United States	869	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0015 0016 0017 0018 0021 0022	644.9					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Special export permit: NATO and equal status nations	62	0003 0004 0010 0011 0016 0022	654.6					
Total	4,039		3,672.308					

Third Countries

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Albania	1	0011	0.8	Radio communication systems				
Algeria	11	0007 0011 0016	10.3	Radio communication and communication equipment (0011/93.3 percent)				
Andorra	37	0001 0003 0018	0.6					
Argentina	46	0001 0003 0005 0006 0008 0009 0011 0013 0016 0018 0022	2.2	Components for vessels of war (0009/27.2 percent); Technical documents for submarine components (0022/23.2 percent); Arms and automatic weapons (0001/20.8 percent); Communication equipment (0011/16.3 percent)	2	0001	1.2	
Azerbaijan					1	0001	0.003	
Bahrain	2	0006 0009 0022	3.3	Components for vessels of war (0009/92.3 percent)	1	0003	0.012	
Cape Verde	1	0013	0.064	Armoured vests				
Bangladesh	31	0001	12.9	Components for vessels of war				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0003 0007 0009 0010 0011 0013 0014		(0009/60.6 percent) Electronic equipment (0011/31.9 percent)				
Belarus	2	0003	0.04	Ammunition for weapons for hunting or sporting purposes	1	0007	0.045	1 Criterion 2/ 0007
Bolivia	2	0001		Weapons for hunting or sporting purposes				
Bosnia and Herzegovina					2	0001	0.002	1 Criterion 1a/ 0016
Botswana	5	0001	0.07	Weapons for hunting or sporting purposes				
Brazil	71	0001 0003 0004 0006 0007 0008 0009 0010 0011	81.3	Patrol boats and components for vessels of war (0009/76.3 percent) Electronic equipment (0011/12.6 percent) Components for naval minesweeping gear (0004/10.2 percent)				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0013 0014 0016 0021						
Brunei	5	0001 0006 0013 0018	0.23	Revolvers and pistols (0001/58.9 percent); Military protective helmets (0013/29.9 percent)				
Bulgaria	61	0001 0003 0010 0011 0017	3.5	Revolvers, pistols, weapons for hunting or sporting purposes (0001/79.8 percent); Radio navigation equipment (0011/15.3 percent)	2	0001	0.08	2 Criterion 7/ 0001
Burkina Faso	2	0001 0003	0.009	Ammunition for revolvers and pistols (0003/57.9 percent); Weapons for hunting or sporting purposes (0001/42.1 percent)				
Chile	50	0001 0003 0004 0005 0008 0009 0011 0014 0017 0018 0021	7.5	Components for vessels of war (0009/66.2 percent); Components for torpedoes, smoke canisters, riot control cartridges, signalling cartridges (0004/18.8 percent)				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0022						
China	4	0003 0011	1.0	Sea gravimeters (0011/83.4 percent)	2	0011 0022	1.5	1 Criterion 1b, c; 4d; 6c/0018
Colombia	3	0001 0003 0009	1.0	Spares for sonar detection equipment (0009/98.7 percent)	2	0003 0018	0.41	
Congo, Democratic Republic of the					1	0006	0.007	1 Criterion 1a, 7/0006
Costa Rica	1	0001	0.011	Revolvers and pistols				
Côte d'Ivoire	1	0006	0.02	Trucks				
Croatia	6	0001 0007 0010	0.5	Ground launching equipment (0010/99.0 percent)	6	0001 0003 0008	0.06	1 Criterion 1a/ 0009
Cuba	1	0003	0.005	Ammunition for weapons for hunting or sporting purposes				
Cyprus (south)	1	0008	0.0001	Military propellants/fuels	2	0001	0.002	1 Criterion 3/ 0001
Ecuador	3	0001 0009	0.01	Components for submarines (0009/99.0 percent)				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Egypt	53	0001 0003 0006 0007 0008 0011 0013 0014 0016 0018	32.3	Ammunition (0003/70.0 percent) Training equipment (0014/19.8 percent)	2	0007 0018	0.7	1 Criterion 1b/ 0007
El Salvador								1 Criterion 3/ 0001
Eritrea								1 Criterion 1a, 3, 4/0006
Estonia	40	0001 0003 0008 0013 0015 0017 0018	4.7	Infrared and thermal imaging equipment (0015/86.7 percent)				
Ethiopia	2	0001 0003	0.003	Weapons for hunting or sporting purposes (0001/90.2 percent)				
Gabon	4	0001 0003	0.05	Revolvers and pistols (0001/98.2 percent)				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Georgia	10	0001 0003	0.3	Sniper's rifles, revolvers, pistols, weapons for hunting or sporting purposes (0001/59.3 percent); Ammunition for firearms (0003/40.7 percent)	1	0001	0.01	2 Criterion 3/ 0001 Criterion 3, 7/0001
Ghana	3	0001 0003	0.006	Revolvers and pistols (0001/52.9 percent); Ammunition for revolvers, pistols and weapons for hunting or sporting purposes (0003/47.1 percent)				
Greenland	27	0001 0003	0.08					
Guyana	2	0001 0006	0.1	Trucks (0006/93.9 percent)				
Hong Kong	13	0001 0003 0007 0011 0017	0.2	Radio communication equipment (0011/79.1 percent); Diving apparatus (0017/11.6 percent)				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
India	68	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0016 0017 0018 0021 0022	63.4	Components for vessels of war (0009/83.3 percent); Components for helicopters (0010/7.0 percent)	7	0003 0005 0010 0015 0016	1.8	10 Criterion 1c/ 0004 Criterion 4/ 0011/0018 Criterion 4a/ 0010 Criterion 3, 4/ 0005/0015/ 0018 Criterion 4a, 4d/0015/0018
Indonesia	10	0001 0003 0009 0011	5.0	Components for vessels of war (0009/99.4 percent)	9	0001 0018	0.095	2 Criterion 1a/ 0011 Criterion 1/ 0005

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Iran, Islamic Republic of					2	0006 0018	0.5	3 Criterion 4c, d/0013 Criterion 3, 7/0006 Criterion 4d/ 0018
Israel	184	0001 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0018 0021 0022	477.2	Submarine and components for vessels of war (0009/74.8 percent); Unfinished components (0016/6.4 percent)	8	0001 0002 0003	0.3	4 Criterion 3/ 0001 Criterion 3, 4, 7/0001 Criterion 3/ 0001 Criterion 3, 4/0003

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Jordan	12	0001 0006 0014 0017	4.8	Trucks and mine tillers (0006/92.4 percent)				
Kazakhstan	33	0001 0003	1.5	Revolvers, pistols, weapons for hunting or sporting purposes (0001/67.7 percent)	3	0001	0.04	2 Criterion 7/ 0001
Kenya	19	0001 0003	0.18	Ammunition for revolvers and weapons for hunting or sporting purposes (0003/84.7 percent)				1 Criterion 3, 7/0016
Korea, Republic of	134	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014	130.2	Components for vessels of war (0009/29.8 percent); Components for armoured vehicles (0006/25.0 percent); Helicopters and components for flight hardware (0010/17.2 percent); Equipment for the production and for the testing of military equipment (0018/15.1 percent)				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0016 0017 0018 0021 0022						
Kuwait	8	0001 0003 0006 0007 0011 0017	0.9	Communication equipment (0011/59.5 percent); Shelters (0017/31.9 percent)	1	0003	0.001	
Latvia	49	0001 0002 0003 0005 0009	2.1	Sniper's rifles, revolvers, pistols, weapons for hunting or sporting purposes (0001/38.9 percent); Ammunition for firearms (0003/30.1 percent); Minehunters (0009/27.0 percent)	2	0003	0.1	1 Criterion 7/ 0003
Lebanon	1	0001	0.006	Revolvers and pistols				
Liechtenstein	38	0001 0003	13.2					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Lithuania	38	0001 0003 0005 0009 0010 0018	11.3	Equipment for the production of small-calibre ammunition (0018/47.7 percent); Arms and automatic weapons (0001/31.7 percent); Components for helicopters (0010/8.0 percent)				
Macao	7	0001 0003	0.036	Revolvers, pistols, weapons for sporting purposes (0001/50 percent); Ammunition for revolvers, pistols and weapons for sporting purposes (0003/50 percent)				
Macedonia, former Yugoslav Republic of	30	0001 0006 0013	1.9	Armoured vehicles (0006/98.3 percent)	1	0001	0.02	2 Criterion 7/ 0001
Madagascar	1	0001	0.0001	Components for revolvers and pistols				
Malawi	1	0001	0.002	Weapons for hunting purposes				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Malaysia	39	0001 0003 0005 0006 0009 0010 0011 0014 0017 0022	33.0	Technical documents for military equipment (0022/39.7 percent); Components for armoured vehicles (0006/27.3 percent); Components for vessels of war (0009/16.5 percent)				
Malta	4	0001 0003	0.011	Revolvers, pistols, weapons for hunting or sporting purposes (0001/99.5 percent)				
Mexico	42	0001 0008 0013 0016 0018	3.6	Arms and automatic weapons (0001/74.9 percent); Unfinished components (0016/18.4 percent)	3	0001	0.1	2 Criterion 3/ 0001
Moldavia, Republic of	5	0001 0003	0.032	Revolvers and pistols (0001/65.6 percent); Ammunition for revolvers, pistols and weapons for sporting purposes (0003/34.4 percent)	2	0001	0.02	
Mongolia	3	0001 0006	0.036	Trucks (0006/98.6 percent)				
Namibia	42	0001 0003	0.49	Rifles other than those subject to the War Weapons Control Act,				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0016 0018		pistols, revolvers, weapons for hunting or sporting purposes (0001/87.5 percent)				
Nepal	10	0003 0016 0018	2.0	Equipment for the production of small-calibre ammunition (0018/54.4 percent); Cups for small-calibre ammunition (0016/45.4 percent)	1	0001	1.2	1 Criterion 2a/ 0001
Netherlands Antilles	2	0001	0.031	Components for revolvers and pistols				
New Caledonia	12	0001	0.05	Weapons for hunting or sporting purposes				
Nigeria	6	0001 0004 0010 0013 0015	118.8	Components for aircraft (0010/92.6 percent)				
Oman	41	0001 0003 0006 0007 0011 0022	9.3	Trucks and components for armoured vehicles (0006/91.1 percent)				
Pakistan	16	0001 0003 0008 0009	1.5	Components for electronic equipment (0011/87.2 percent); Components for submarines (0009/11.4 percent)				7 Criterion 4/

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0011						0004/0016 Criterion 4a, d/ 0003/0014/ 0018 Criterion 4a, b, d/0016
Panama	1	0001	0.0001	Components for revolvers and pistols				
Papua New Guinea	3	0001	0.15	Revolvers and pistols				
Paraguay	3	0001 0003	0.36	Ammunition for revolvers and weapons for hunting or sporting purposes (0003/80.7 percent)	2	0001	0.15	
Peru	5	0009 0011 0013 0014	0.46	Components for armament trainers (0014/89.0 percent)	2	0001 0003	0.003	
Philippines	3	0001	0.26	Revolvers and pistols				
Qatar	19	0001 0003 0011 0016	0.15	Revolvers, pistols, weapons for hunting or sporting purposes (0001/34.9 percent); Aluminium sections (0016/32.4 percent); Ammunition for revolvers, pistols and weapons for hunting or sporting purposes (0003/25.2 percent)				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Romania	45	0001 0003 0004 0006 0011 0018 0022	36.3	Self-propelled armoured air defence gun systems and components for armoured vehicles (0006/64.4 percent); Communication system (0011/28.8 percent)				
Russian Federation	97	0001 0003 0006 0007 0008 0013 0017 0018	3.0	Weapons for hunting or sporting purposes (0001/46.6 percent); Equipment for the production of crush load gauges (0018/34.1 percent)	2	0001 0010	0.13	2 Criterion 3, 4c/0010 Criterion 3, 4, 7c, d/0015
St. Vincent	2	0001 0003	0.01	Revolvers and pistols (0001/55.4 percent); Ammunition for revolvers, pistols and weapons for hunting or sporting purposes (0003/44.6 percent)				
San Marino	5	0001 0018	0.008					

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Saudi Arabia	83	0001 0003 0004 0005 0006 0007 0010 0011 0013 0014 0016 0017 0018 0022	51.1	Field generators (0017/71.2 percent); Unfinished products (0016/12.1 percent)				
Senegal	4	0001 0003	0.024	Revolvers and pistols (0001/52.3 percent); Ammunition for revolvers, pistols and weapons for sporting purposes (0003/47.7 percent)				
Sierra Leone	1	0006 0017	0.13	Trucks (0006/92.5 percent)				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Singapore	122	0001 0003 0004 0006 0007 0009 0010 0011 0013 0014 0017 0018 0021 0022	32.1	Components for armoured vehicles (0006/70.7 percent); Smoke canisters, rocket flares, mine disposal weapons (0004/7.6 percent)	2	0006	0.63	1 Criterion 7/ 0006
Slovakia	113	0001 0003 0005 0006 0008 0011 0013 0016 0018	1.8	Arms and automatic weapons (0001/39.9 percent); Ammunition for revolvers and weapons for hunting or sporting purposes (0003/25.2 percent); Trucks and components for armoured vehicles (0006/17.1 percent)				
Slovenia	50	0001 0002 0003 0004 0007 0008 0013	1.7	Ammunition for firearms (0003/49.7 percent); Arms and automatic weapons (0001/29.6 percent); Smoke canisters (0004/12.0 percent)				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0018						
South Africa	84	0001 0003 0005 0006 0007 0008 0009 0010 0011 0016 0018 0022	8.3	Components for armoured vehicles (0006/59.7 percent); Technical documents for military equipment (0022/25.2 percent)	1	0003	0.15	1 Criterion 7/ 0003
Sri Lanka	2	0003 0009	0.031	Components for vessels of war (0009/87.8 percent)				
Sudan					1	0006	0.028	
Syrian Arab Republic	1	0001	0.005	Components for weapons for sporting purposes				3 Criterion 2a/ 0001 Criterion 4a, c, d/0010 Criterion 2a; 4a, c, d; 6a/0018
Tajikistan	1	0013	0.027	Armoured vests				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
Tanzania, United Republic of	89	0001 0003 0006	0.15	Revolvers, pistols, weapons for hunting or sporting purposes (0001/51.3 percent); Ammunition for revolvers and weapons for hunting or sporting purposes (0003/40.0 percent)				
Thailand	71	0001 0003 0005 0006 0008 0009 0010 0011 0014 0021 0022	2.1	Revolvers, pistols, weapons for hunting or sporting purposes (0001/37.4 percent); Sub-calibre practice cartridges (0014/15.8 percent); Components for vessels of war (0009/11.1 percent); Components for flight hardware (0010/11.0 percent); Components for fire control systems (0005/6.8 percent)				
Trinidad and Tobago	2	0001	0.0002	Components for revolvers and pistols				
Tunisia	3	0008 0011	0.02	Components for ground radar systems (0011/96.9 percent)				
Uganda	1	0006	0.003	Trucks	1	0001	0.001	1 Criterion 4a, c; 7/0006
Ukraine	38	0001 0003 0008	4.0	Weapons for hunting or sporting purposes (0001/77.9 percent); Radio communication equipment	1	0006	0.016	

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
		0011		(0011/12.5 percent)				
United Arab Emirates	81	0001 0002 0003 0004 0005 0006 0007 0009 0011 0013 0016 0017 0018 0021	336.7	Trucks and components for armoured vehicles (0006/52.1 percent); Electronic equipment (0011/24.4 percent); Reconnaissance systems (0005/13.8 percent)	1	0001	0.006	
Uruguay	4	0001 0014 0016	0.35	Sub-calibre practice cartridges (0014/93.8 percent)				
Uzbekistan	1	0018	3.9	Equipment for the production of small-calibre ammunition				
Venezuela	5	0001 0003 0004 0011	1.5	IFF secondary radar system (0011/90.7 percent)	6	0001	0.26	2 Criterion 3, 7/0001 Criterion 7c, d/0001
Viet Nam	2	0003	0.092	Ammunition for weapons for				

State	No. of Permits	ML Item	Value (DM million)	Remarks	Denials Outright Exports	ML Item	Value (DM million)	No. of Denials/ Reasons/ ML Item
				hunting or sporting purposes				
Yemen	2	0001	0.006	Revolvers, pistols, and weapons for sporting purposes	1	0016	0.1	2 Criterion 7/ 0003
Yugoslavia	2	0006	0.5	Trucks				
Zambia	27	0001 0018	0.11	Revolvers, pistols, weapons for hunting or sporting purposes (0001/88.2 percent)				
Zimbabwe	11	0001 0003	0.062	Revolvers, pistols, rifles other than those controlled by the War Weapons Control Act, weapons for hunting or sporting purposes (0001/93.5 percent)	1	0011	0.62	
Taiwan	27	0001 0003 0004 0005 0008 0009 0010 0011 0016 0017	14.5	Static test stand for engines (0010/51.8 percent); Electronic equipment (0011/19.2 percent); Components for naval minesweeping gear and remotely operated submersibles, decoy cartridges (0004/18.3 percent)				1 Criterion 1c/ 0007

Permits applying to several countries of destination								
Bahrain, Yemen, Qatar, Kuwait, Saudi Arabia, United Arab Emirates	1	0006	1.5	Components for armoured vehicles				
United Kingdom, Kuwait, Saudi Arabia	1	0010	0.001	Components for combat aircraft				
Total	2.261		1,531.1975		85		10.301	61

									In addition to refusals to grant applications for export permits, the denials given above contain rejected preliminary requests for information on the prospect of success of a permit for a concrete export project
--	--	--	--	--	--	--	--	--	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

EXPORTS**REPORT OF INTERNATIONAL CONVENTIONAL ARMS TRANSFERS**

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

Reporting country: GERMANY

Calendar year: 1999

A	B	C	D	E
Category I through VII	Final Importer State(s)	Number of Items	State of Origin (if not Exporter)	Intermediate Location
I Battle tanks	Denmark	8		
	Greece	94*		
	Sweden	3		
II Armoured combat vehicles	Austria	---10		
	Macedonia	115*		
	Sweden	1		
III Large calibre artillery systems		nil		
IV Combat aircraft	United Kingdom	1		
V Attack helicopters	Republic of Korea	2*		
VI Warships	Israel	2		
VII Missiles and missile launchers		nil		

REMARKS	
Description of Item	Comments on the Transfer
Leopard 2	
Leopard 1	
Leopard 2	
Jaguar 2	
Hermelin	
MT-LBu	
Alpha Jet A	
BO 105	
Submarines Dolphin	

Background information provided: yes no

Final Importer State may report a different number of items due to a different transfer definition