



Federal Ministry
for Economic Affairs
and Energy

2016 Military Equipment Export Report

**Report by the Government of the
Federal Republic of Germany on Its
Policy on Exports of Conventional
Military Equipment in 2016**

Imprint

Published by

Federal Ministry for
Economic Affairs and Energy (BMWi)
Public Relations Division
11019 Berlin
www.bmwi.de

Text and editing

Federal Ministry for
Economic Affairs and Energy (BMWi)
Public Relations Division
11019 Berlin
www.bmwi.de

Design and production

PRpetuum GmbH, Munich

Status

June 2017

Print

BMWi

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This publication as well as further publications can be obtained from:

Federal Ministry for Economic Affairs
and Energy (BMWi)
Public Relations

E-Mail: publikationen@bundesregierung.de
www.bmwi.de

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Introduction

The Federal Government's report on exports of military equipment provides the Bundestag and the public with a comprehensive picture of German policy on the export of military equipment – including in the international context – and furnishes information about the licences issued for the export of military equipment and the actual exports of war weapons in the reference year.

The definition of military equipment embraces a wide range of goods which extends beyond the terms generally used in the public debate such as “weapons” or “tanks”. The goods covered by the Military Equipment Export List (cf. Annex 4) also include items like mine-clearance equipment, radio equipment, NBC protection equipment, safety glass, and special armoured vehicles which not least serve to protect the personnel and facilities of embassies and United Nations peace missions.

In the Military Equipment Export Reports, the German government regularly updates parliament and the interested public about decisions on exports of military equipment, and thus makes an important contribution towards an objective and informed debate on the issue of exports of military equipment.

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

The Federal Government is pursuing a restrictive and responsible policy on the export of military equipment. The decision on licences for exports of military equipment is taken by the Federal Government on a case-by-case basis and in the light of the respective situation following careful scrutiny including consideration of foreign and security policy aspects. This process is based on the statutory requirements of the War Weapons Control Act¹, the Foreign Trade and Payments Act², the Foreign Trade and Payments Ordinance³, and the Political Principles Adopted by the

Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment of 2000 (“Political Principles”)⁴, the Council Common Position of the EU defining common rules governing control of exports of military technology and equipment of 8 December 2008 (“EU Common Position”)⁵ and the Arms Trade Treaty (ATT)⁶. Respect for human rights in the recipient country plays an important role in the decision-making process. If there is sufficient suspicion that the military equipment will be misused for internal repression or other ongoing and systematic violations of human rights, a licence is not normally issued.

In its decisions relating to export control policy, the Federal Government upholds its Alliance commitments and its responsibility for European and international security. Germany and its allies again faced great security policy challenges in 2016 in view of terrorist threats and numerous international crises. Exports of military equipment which serve cooperation with our Alliance partners or help to equip them also uphold Germany's own security policy interests. This is also true of exports to third countries⁷ which, for example, can help to secure borders or to tackle international terrorism. For example, in the context of the Federal Government's Enable & Enhance Initiative, Marder infantry fighting vehicles were exported to Jordan to improve its border security. The aim of the Enable & Enhance Initiative is to enable selected partners, including regional organisations and allies, to manage throughout the entire crisis cycle their own crisis prevention, crisis management, post-crisis rehabilitation and peace consolidation and thus to contribute to regional stability. Enable & Enhance projects cover the fields of training, advice and equipment for civilian and military security forces. They thus take a comprehensive approach.

By providing comprehensive transparency and engaging in an intensive dialogue, the Federal Government is laying the foundations for a well-informed parliamentary and public

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

2 Foreign Trade and Payments Act of 6 June 2013 (Federal Law Gazette I p. 1482), last amended by Article 6(35) of the Act of 13 April 2017 (Federal Law Gazette I p. 872).

3 Foreign Trade and Payments Ordinance of 2 August 2013 (Federal Law Gazette I p. 2865), last amended by Article 1 of the Ordinance of 27 April 2017 (Federal Gazette AT 3.05.2017_V1).

4 See Annex 1a

5 See Annex 2

6 See Annex 3

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

debate on exports of military equipment, and is thus helping to make the political debate on the issue more objective. This includes the consultation process initiated by Minister Gabriel and continued by Minister Zypries on the future of policy on exports of military equipment. The consultation process held by the Federal Ministry for Economic Affairs and Energy focused on the overall system of military equipment exports in Germany and provided a forum for a broad-based discussion between various stakeholders on this issue. In five hearings, experts from churches, civil society, industry, trade unions, research establishments and legal sciences had an opportunity to present and discuss in detail possible ways forward. In addition to this, written submissions were made; these have been published on the website of the Federal Ministry for Economic Affairs and Energy (www.bmwi.de). The points, suggestions and options gathered in the hearings are currently being evaluated and considered.

The Federal Government attaches great importance to boosting the transparency of decisions on exports of military equipment. For the fourth time in succession, the Federal Government is publishing the German version of the report before the summer break. In addition to this, another interim report, on the licensing of such exports in the first half of 2016, was presented in October 2016.

Under the transparency rules adopted by the Federal Government, the final decisions on the granting of export licences by the Federal Security Council are also disclosed to the public. Parliament was informed several times about final decisions on export licences by the Federal Security Council in 2016. In each case, the Federal Government explained the main reasons for the respective decision to the Bundestag's Economic Affairs and Energy Committee.

The Federal Government again answered a large number of questions in parliament in 2016 about a wide range of aspects of military equipment export policy; the answers can be found (in German) at www.bmwi.de.

According to calculations by SIPRI, the Stockholm-based peace research institute, Germany's exports of military equipment dropped by 36% in the 2012 - 2016 period compared with the 2007 - 2011 period, whilst the global volume

of military equipment exports rose by 8.4%. Germany registered the greatest drop amongst the 20 leading exporting countries in the past five-year period. Germany's share of global exports of military equipment dropped from 9.4% to 5.6% between the afore-mentioned periods.

2. Strict regulation of small arms and post-shipment controls

In internal and cross-border conflicts, by far the greatest share of human casualties are caused by the use of small arms and light weapons ("small arms", cf. also Section III.1.g). In developing countries⁸ in particular, small arms can often be procured cheaply on the black market and via internationally operating arms brokers. National control mechanisms are mostly underdeveloped in these countries. In many cases, the misuse of small arms by criminal or militant groups impedes economic and social development and frequently contributes to a violent escalation of conflicts. The Federal Government therefore applies particularly strict standards when issuing licences for small-arms exports to third countries.

The main guidance for decisions on whether to issue export licences for small arms continues to be the Principles for the Issue of Licences for the Export of Small and Light Weapons, Related Ammunition and Corresponding Manufacturing Equipment to Third Countries (Small Arms Principles)⁹, which were tightened in March 2015 and aim to substantially reduce the risk of the spread of small arms.

Small arms are also in the focus of the additional post-shipment controls¹⁰. These are controls which German authorities can exercise on the spot following the supply of military equipment to the relevant state recipient.

In the reference period, further rules were put in place for the implementation of on-the-spot controls, and specific preparations began for the first on-the-spot controls, not least via the adoption of the 6th Ordinance Amending the Foreign Trade and Payments Ordinance and via increased human resources for the Federal Office for Economic Affairs and Export Control. The intention is to undertake the first on-the-spot controls abroad before the end of 2017.

⁸ Developing countries and developing territories pursuant to the List of the OECD's Development Assistance Committee without the countries featuring upper medium incomes, which include NATO partner Turkey and countries like Brazil, Malaysia and South Africa (column four of this list). The list is attached as Annex 13 of this Report.

⁹ See Annex 1b.

¹⁰ See Annex 1c.

However, the timing depends on factors on which the Federal Government has no influence (e.g. time of manufacture or actual delivery of military equipment).

The Federal Government is continuing to call for a harmonisation of policy on the export of military equipment at European level with a view to controls which are as far-reaching as possible. For 2017, further work was agreed at Germany's initiative towards enhanced cooperation and convergence of military equipment export controls as one of the key elements in the programme of work of the relevant council working party. Germany will continue to advocate the widespread use of the principle "New for old" and its variant "New, destroy when discarded" and the system of post-shipment controls with its partners in the EU and NATO.

3. Licensing figures for 2016

The government's policy on the export of military equipment is based on careful case-by-case scrutiny. A generalised numbers-based analysis on the basis of the pure licensing values for a reference period is not a useful means of assessing how restrictive the policy on exports of military equipment is. Any such assessment requires a case-based evaluation of licensing decisions in terms of the country of destination, the type of military equipment, and the envisaged use for the equipment. For example, military equipment includes mine-clearing equipment, security glass to protect embassies against terrorist attacks, or supplies to United Nations peace missions. Seven licences for exports to Syria for the United Nations were issued in the reference period, including vehicles with special protection for UNICEF.

Also, an objective view must bear in mind that large orders regularly result in substantial fluctuations in the licensing figures.

Individual licences

In 2016, individual licences (i.e. licences for single transactions) worth €6.85 billion were issued for the export of military equipment (2015: €7.86 billion). Here, a large proportion (46.4%; 2015: 41%) went to licences for exports to EU/NATO and NATO-equivalent countries.

Export licences worth €3.67 billion were issued for third countries. Here, the figure for third countries was largely determined by a few high-value contracts. For example, the value of the licence for a frigate for the Algerian navy accounts for more than a quarter of the total volume of licences for third countries. The manufacture of the naval vessel, which not least will be responsible for coastal protection, was approved back in 2012. Another high share is accounted for by licences for civilian multipurpose helicopters for Saudi Arabia which include military equipment for border security and rescue missions, built in the context of European industrial cooperation, and the licence for the delivery of a submarine to the Egyptian navy. These three large orders also mean that Algeria, Saudi Arabia and Egypt are in the top four countries of destination in terms of value, along with the United States.

Small arms

The total value of licences for small arms amounted to €46.9 million in 2016. The rise of approx. €15 million over 2015 (€32.4 million) is almost entirely due to higher figures for licences for EU/NATO and NATO-equivalent countries, and takes account of increased security challenges in the partner countries. The figure for third countries is €16.4 million, roughly in line with the preceding year's level (2015: €14.5 million). Here, a significant proportion (€2.8 million) was accounted for by deliveries to Iraq to support the fight against so-called Islamic State (IS).

Collective export licences

12 collective export licences with a total value of €58.7 million were issued in 2016. Collective export licences are also issued on the basis of case-by-case scrutiny (Section 8 Foreign Trade and Payments Act in conjunction with Section 4 Foreign Trade and Payments Ordinance); these licensing decisions are covered by the same political principles as govern individual licences. Collective licences are mainly issued in connection with defence cooperation between EU and NATO partners. The collective export licences primarily refer to the production phase of an item of military equipment, during which military equipment is frequently imported and exported in the context of the industrial collaboration. Also, movements of equipment relating to maintenance and repair are handled via collective export licences. The licences can be used both for temporary and for final exports. They permit any number of movements of goods up to a certain value based on the likely need to export the goods in the course of the multiple movements. The collective export licences are issued for a maximum value. There are varying degrees of take-up of the approved maximum value; it does not provide any indication of actual shipments of goods – not least because reimports are not

discounted. Equating collective export licences with individual export licences or actual exports, or adding up the figures, therefore makes no sense for systemic reasons.

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

I. The German Control System for Military Equipment Exports

1. The German export control system

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

The Foreign Trade and Payments Act and the Foreign Trade and Payments Ordinance require the licensing of all military equipment exports. The military equipment is listed in full in Part I Section A of the Export List (EL, Annex to Foreign Trade and Payments Ordinance)¹¹. It is broken down into 22 positions (No. 0001 to No. 0022) that have their own sub-divisions. As with the EU's Common Military List, these positions are closely oriented to the corresponding list of the Wassenaar Arrangement (Munitions List), which the Federal Government has thereby converted into national law to meet its political commitments (more details on the Wassenaar Arrangement may be found under II. 4. and on the EU under II. 3.).

Some of the military equipment articles falling under the Export List are also war weapons as defined by Art. 26(2) of the Basic Law and by the War Weapons Control Act. Pursuant to Section 1 subsection 2 of the War Weapons Control Act, war weapons are items, substances or organisms that are capable alone or in conjunction with each other or with other items, substances or organisms of causing disruption or damage to persons or things and of being used as a means of violence in armed conflicts between states. They are displayed in the 62 positions of the War Weapons List (Annex to the War Weapons Control Act)¹² and provided in full in Part I Section A of the Export List. For the export of these weapons, a licence must be obtained under the War Weapons Control Act ("transport authorisation for the purpose of export"), and additionally an export licence pursuant to the Foreign Trade and Payments Act and Ordinance. By contrast, the export of such military items in Part I Section A of the Export List as are not war weapons ("other military equipment") requires – merely – a licence pursuant to the Foreign Trade and Payments Act and Ordinance.

The War Weapons Control Act provides that all activities in connection with war weapons (production, acquisition and transfer of actual control, every type of transport or procurement transaction) require prior licensing by the German government (cf. Sections 2 - 4a of the War Weapons Control Act). The Federal Ministry for Economic Affairs and Energy is the licensing agency for commercial transactions; the other ministries (Federal Ministry of Finance, Federal Ministry of the Interior, and Federal Ministry of Defence) whose portfolio includes the handling of war weapons are responsible for the respective approvals falling within their scope of competence. Under Section 6 of the War Weapons Control Act, applicants have no legal right to the issuance of a licence for the export of war weapons. And licences must be denied where there is a danger that the war weapons will be used in connection with peace-disturbing acts, that the obligations of the Federal Republic of Germany under international law will be impaired, or where the applicant does not possess the necessary reliability for the action. In all of the other cases, the Federal Government decides on the issuance of export licences in accordance with the discretion it must exercise under the Political Principles, the EU Common Position and the ATT.

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

¹¹ See Annex 4

¹² See Annex 5

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

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

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

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

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

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

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

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

2. Guidelines for the licensing of exports of military equipment

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

These Political Principles contain the following main elements:

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

13 www.bafa.de

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

The export of war weapons is approved only in exceptional cases where, as justified by the individual situation, special foreign policy or security policy interests of the Federal Republic of Germany would support the granting of a licence. For other military equipment, licences are granted only insofar as such action does not endanger the interests to be protected under foreign trade and payments statutes (Section 4 subsection 1 of the Foreign Trade and Payments Act as cited above under 1.). Even under this restrictive licensing practice for third countries, the legitimate security interests of such countries may therefore argue for granting an export licence in individual cases. This situation arises in particular when the respective security interests are also internationally significant. The defence against terrorist threats and the combating of international drug trafficking are conceivable examples. In connection with the export of naval equipment to third countries, important aspects may be the interest of the international community in secure seaways and an effective exercise of respective national sovereignty in coastal waters. Alongside the pre-eminent importance of the seaways for the functioning of world trade, the increasing threats from piracy, narcotics trafficking, the smuggling of weapons and humans, pollution, and illegal fishing in some regions of the world all play an increasing role here.

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

meets its international obligations, particularly with respect to international human rights law, as well as in the areas of non-proliferation, military weapons, and arms control.

The EU Common Position of 8 December 2008¹⁴ contains eight specific criteria for decisions on export applications (cf. Annex 2, Article 2) and is an integral element of the Political Principles. In the case of each application the Federal Government conducts a very thorough examination in the light of the situation in the region and the relevant country, including the significance of the exports in question for the preservation of regional peace, security and stability (Criterion Four of the EU Common Position). The examination also attaches special significance to the observance of human rights in the country of destination (Criterion Two of the Common Position) and the dangers of misuse of the specific military equipment. It is appropriate to take a differentiated view in the light of the varying political developments in the countries and regions and in line with the aforementioned principles governing the decision-making.

The ATT entered into force on 24 December 2014. The Treaty has been signed by 130 countries, and currently (as of April 2017) has 92 contracting parties. Germany was one of the first contracting parties. This Treaty establishes the first internationally binding uniform minimum standards for the export of military equipment. The core of the Treaty is formed by Articles 6 and 7, which stipulate criteria for the scrutiny of applications for export licences. Section II. 7. provides details of the Arms Trade Treaty.

3. Small Arms Principles

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

The main guidance for decisions on whether to issue export licences for small arms to third countries continues to be the Principles for the Issue of Licences for the Export of

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

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

The end-use statements for third countries must also include the commitment that the small arms in the country of destination cannot be passed on to another end-user without the Federal Government’s approval.

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

Pursuant to the principles governing export control policy, licences for the export of military equipment are only issued if it has been ensured what the end-use of these goods will be in the country of final destination. Prior to the issuing of a licence, all the available information – particularly assurances about end-use – is thoroughly checked and assessed by the Federal Government. If there are doubts about whether end-use is as stated, export applications will be rejected.

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

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

Germany is a pioneer in this regard, alongside just a few other countries, at European and international level. Germany is advocating the system of post-shipment controls to its partners in the EU and NATO.

The Federal Office for Economic Affairs and Export Control (BAFA) and the relevant foreign mission are charged with preparing and implementing the post-shipment controls.

Before on-the-spot controls can be carried out in third countries, it is first necessary to issue export licences on the basis of end-use certificates which include an acceptance of post-shipment controls. The firearms licensed for export must also have been manufactured and exported and have reached the end-user before checks can be carried out to see whether they actually remain in the countries of destination. In many cases, this process cannot be completed until quite some time after the issuance of the export licence. The specific undertaking and timing of on-the-spot controls therefore depends on various factors on which the Federal Government has no influence. This explains why no on-the-spot controls were carried out in 2016. However, the enactment of the Sixth Ordinance Amending the Foreign Trade and Payments Ordinance has introduced post-shipment controls for “other military equipment” in line with the post-shipment principles (for pistols, revolvers and sniper rifles). The human resources of the Federal Office for Economic Affairs and Export Control have been strengthened, and specific preparations have begun for the first on-the-spot controls.

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

1. Disarmament agreements

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

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

The Federal Government's activities in this area are outlined in detail in the Annual Disarmament Report¹⁵, to which reference is made.

2. Arms embargoes

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

Details of the arms embargoes in place in 2016 are listed in Annex 6 and can be found at http://www.bafa.de/DE/Aussenwirtschaft/Ausfuhrkontrolle/Embargos/embargos_node.html.

3. Common Foreign and Security Policy of the EU

The Federal Government actively advocates further harmonisation of export controls at EU level in order to put in place control standards that are as uniform and high as possible and to create a level playing field for German industry. At Germany's initiative, it proved possible to anchor further work towards the goal of enhanced cooperation and convergence of export controls for military equipment within

the Common Foreign and Security Policy (CFSP) of the EU as one of the key priorities in the programme of work of the Council Working Party on Conventional Arms Exports (COARM) in Brussels for 2017.

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

Further to this, the EU's User's Guide regulates details of the denial procedure and provides detailed pointers for a uniform interpretation and application of criteria¹⁶. The Council concluded the work on updating it in 2015. This explicitly confirmed that the risk of usage in the context of gender-related violence forms part of the risk assessment to be undertaken under criterion 2 (human rights).

In March 2017, the Council adopted the eighteenth common annual report on the implementation of the Common Position¹⁷.

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

¹⁵ Annual Disarmament Report 2016, Bundestag Printed Paper 18/11968 of 18 April 2017, at http://www.auswaertiges-amt.de/DE/Aussenpolitik/Friedenspolitik/Abriegelung/Aktuelles/170531_JAB_2016_teaser.html

¹⁶ <http://data.consilium.europa.eu/doc/document/ST-10858-2015-INIT/en/pdf>

¹⁷ https://eeas.europa.eu/headquarters/headquarters-homepage/8472/annual-reports-arms-exports_en

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

4. Wassenaar Arrangement

The Wassenaar Arrangement (WA)¹⁸ was co-founded by Germany in 1996 to help improve transparency, the exchange of views and of information and to increase the level of responsibility in the transfer of conventional military equipment and of dual-use goods and technologies which can serve their manufacture. The 41 countries that are presently signatories of this politically binding convention (all the EU member states except Cyprus as well as Argentina, Australia, Canada, Japan, Republic of Korea, Mexico, New Zealand, Norway, Russia, South Africa, Switzerland, Turkey, Ukraine, United States) aim to harmonise their controls of the export of such goods with a view to preventing destabilising stockpiling of conventional military equipment. The cooperation amongst the WA signatories generally serves to develop and deepen international export control standards. Further to this, the WA provides that the participating countries should inform one another about denied export licences for dual use goods to non-participating countries.

The core element of the Wassenaar Arrangement in terms of military equipment export control is the ongoing development of the “Munitions List”, i.e. the list of military equipment to be subject to controls by the signatory states. The List determines the content of the EU’s Common List of Military Equipment and thus also of Part I Section A of the German Export List. In particular, the increase in transparency and the step-by-step harmonisation of the national military equipment export policies are significant interests, and Germany remains a firm advocate of these. In the context of the 2016 review of the Wassenaar Arrangement, Germany chaired the working group on the control lists.

Also, the Federal Government uses the WA to advocate the anchoring key elements of the Federal Government’s Small Arms Principles at international level, and particularly the “New for old” principle. Further to this, Germany has submitted a proposal to add to the “Initial Elements” with a view to anchoring human rights and other aspects as an assessment criterion in the mandate of the WA.

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

Several pending requests for membership underline the attractiveness of the WA. Germany has assumed the role of co-rapporteur for two of the applications, and is providing regular reports on the progress made by the candidates.

5. UN Register of Conventional Arms

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

So far, a total of 170 countries have reported at least once to the UN Arms Register. However, since 2008 there has been a decline in the tendency to report, especially in Africa, Asia and Latin America. Germany has participated in the reporting system since the register was set up and reports regularly to fulfil its obligations. Further to this, Germany also voluntarily reports exports of small arms and light weapons²⁰ (cf. Annex 11).

The Group of Governmental Experts on the continuing operation and further development of the UN Arms Register, which meets every three years, and on which Germany was also represented, presented its report to the UN Secretary-General in July 2016 (A/71/259). The key proposals to strengthen the relevance of the Register are for the introduction of a special reporting category for small arms and the clarification of Category IV to include unmanned combat aerial vehicles (drones). In order to improve reporting discipline, a simplified online procedure was introduced in

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

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

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

2016 along with the possibility for multi-annual “nil” returns. In the Group, Germany successfully advocated transparent reporting on drones and the establishment of a separate category for small arms and light weapons. Germany is endeavouring to encourage other countries to make regular and punctual reports by serving as a role model and supporting the UN Resolution underpinning the UN Arms Register, on “Transparency in Armaments”. This was also expressed in national and EU declaration in the relevant First Committee of the UN General Assembly.

For the year 2016, the Federal Republic of Germany reported the export of the following war weapons to the UN Conventional Arms Register:

Table A

Country	Item	Quantity
Algeria	Fuchs 2 armoured carriers	2 (in kit form)
	MEKO A-200 AN frigate	1
	RBS-15 guided missile	16
Indonesia	Leopard 2 main battle tank	41
	Marder infantry fighting vehicle	1
Jordan	Marder infantry fighting vehicle	16
Korea, Republic	Taurus guided missile	28
Lithuania	Command post vehicle M577	4
	Armoured self-propelled howitzer 2000	4
Norway	Fuchs 1 armoured carrier	1
Qatar	Leopard 2 main battle tank	33
	Armoured self-propelled howitzer 2000	19
Singapore	Leopard 2 main battle tank	7
Sweden	NH90 NFH helicopter	1
Switzerland	Leopard 1 main battle tank	1

6. International discussion on small arms and light weapons

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

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

With respect to the legal export of small arms, the Federal Government advocates strict and efficient controls. Its goal is – in the framework of the UN Small Arms Action Programme²¹ and via regional initiatives, e.g. in the context of the EU Small Arms Strategy²², the OSCE Small Arms Document²³, and the OSCE Document on Stockpiles of Conventional Ammunition²⁴ – the achievement of concrete results with obligations for the participating countries to take action which are as binding as possible. Small arms are also a focus of the efforts in the context of the Arms Trade Treaty (see Section II. 7.). Further to this, the Federal Government assists other states, both bilaterally and in the context of the EU, on the basis of the EU Small Arms Strategy, as they establish national and regional small arms control systems (see the relevant comments in the current Annual

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

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

23 OSCE Document FSC.DOC/1/00 on Small Arms and Light Weapons of 24 November 2000: <http://www.auswaertiges-amt.de/cae/servlet/contentblob/349292/publicationFile/4129/KleineLeichteWaffen-OSZE.pdf>

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

Disarmament Report²⁵). This includes the implementation of the International Small Arms Control Standards (ISACS), the development of which was substantially fostered by the Federal Government. The ISACS give the states comprehensive recommendations on the management of small arms and light weapons; these are based on the Small Arms Programme of Action, the International Tracing Instrument and the Firearms Protocol.

The Federal Government is working at international level to have small arms labelled in a manner which makes them permanently traceable. In view of the long lifetime of small arms, it is important to use the latest technology to apply markings to arms in a way that is as permanent and indelible as possible. In recent years, the Federal Foreign Office has organised and funded a range of events and studies on the use of modern technologies to label and secure small arms. The Federal Government is also actively pursuing this goal in the UN context. A meeting of UN experts took place in this regard in New York in June 2015, and Germany contributed a detailed position paper²⁶.

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

Germany pursues a particularly restrictive policy on the export of small arms. As war weapons they are subject to the particularly strict rules of the “Political Principles” (Annex 1a of this Report), according to which licences for the export of war weapons to third countries may be issued only by way of exception and only in the case of special foreign or security policy interests of the Federal Republic of Germany. In 2016, the Federal Government continued its advocacy of better principles for export controls on small arms. For example, it worked amongst the EU Member States, in the context of the ATT, the Wassenaar Arrangement and the G7 to spread the use of the “New for old” principle and of post-shipment controls as a basis for the responsible control of the export of small arms and light weapons and as a way to help minimise the risks of diversion.

7. Arms Trade Treaty (ATT)²⁷

Unregulated trade in military equipment creates significant dangers and negative effects. They take the form of the regular misuse of weapons to violate human rights and international humanitarian law, and of the existence of a large illegal market. This is the point from which the Arms Trade Treaty operates.²⁸ The ATT entered into force on 24 December 2014. The Treaty has been signed by 130 countries, and currently (as of April 2017) has 92 contracting parties. Germany is one of the very first signatories of the ATT.

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

The first Conference of States Parties to the ATT was held in Cancún, Mexico, from 24 - 27 August 2015, and it witnessed major decisions on the Treaty’s institutional design. The second Conference of States Parties (Geneva, 22 - 26 August 2016) established the conditions for the commencement of the substantive work under the ATT. To this end, it set up working groups on the main challenges facing the ATT (universalisation, implementation, reporting and transparency). Further to this, the Voluntary Trust Fund, which was largely driven by Germany, was set up to assist states requiring support with the implementation of the ATT. As chair of the selection committee, Germany remains involved in making the Trust Fund a functioning instrument.

At the second Conference of States Parties in Geneva in late August 2016, it was also possible to reach agreement on a model report in order to foster the greatest possible transparency in the reporting system. The Federal Republic of Germany published its first ATT report on schedule in December 2015²⁹. The first annual report on exports and imports of military equipment in the categories covered by the ATT for 2015 was published on 31 May 2016, and the second annual report a year later.³⁰

25 Annual Disarmament Report 2016, Bundestag Printed Paper 1811968 of 18 April 2017, at http://www.auswaertiges-amt.de/DE/Aussenpolitik/Friedenspolitik/Abroestung/Aktuelles/170531_JAB_2016_teaser.html

26 <https://www.un.org/disarmament/convarms/salw/mge2/>

27 Cf. the more detailed article on the Arms Trade Treaty in the 2012 Military Equipment Export Report and the Memorandum on the Arms Trade Treaty: http://www.auswaertiges-amt.de/cae/servlet/contentblob/674462/publicationFile/191501/ATT_Denkschrift.pdf

28 <http://www.un.org/disarmament/ATT/>. The contract text is attached in Annex 3

29 Published under <http://www.thearmstradetreaty.org/index.php/en/resources/reporting>

30 Published under <http://www.thearmstradetreaty.org/index.php/en/resources/reporting>

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

It is particularly important to offer assistance and support to countries which do not yet have a significant transfer control system. This applies in particular to developing countries. To this end, the Federal Government is supporting a number of initiatives; for example, since 2013 it has provided a total of €2.9 million for projects of the UN Trust Facility Supporting Cooperation on Arms Regulation in the period up to 2018. Germany, the largest donor, paid in €500,000 to the new Voluntary Trust Fund of the ATT in 2016. In the context of an EU Council decision³¹ of December 2013, the Federal Government provided a national contribution of nearly 20% of cofinance (in addition to the regular German share of the EU budget) for planned EU measures to support the implementation of the ATT, which are being implemented by the Federal Office for Economic Affairs and Export Control in 2014 - 2016. The continuation of this ATT outreach project for another three years was decided by the Council of the EU on 29 May 2017. This follow-up project is being implemented by the Federal Office for Economic Affairs and Export Control, and is cofunded by Germany and France with the EU. The EU measures are supplemented by bilateral measures, carried out by the Federal Office for Economic Affairs and Export Control on behalf of the Federal Foreign Office. These measures totalled approx. €250,000 in 2015, and around €400,000 in 2016.

8. Outreach activities

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

Following the completion in December 2014 of the EU outreach activities in the field of military equipment (COARM) carried out by the Federal Office for Economic Affairs and Export Control, the outreach measures to promote effective arms export controls were for the first time continued by a project at national level financed by the Federal Foreign Office and implemented by the Federal Office for Economic Affairs and Export Control in 2015. In addition to regional events for south-east European and for eastern European and Caucasian partner countries, individual activities took place for Georgia and Serbia. In the context of Council Decision 2015/2309/CFSP of 10 December 2015, the Federal Office for Economic Affairs and Export Control was again mandated to implement COARM outreach activities in the period between January 2016 and December 2017. As in the preceding COARM project, numerous activities are scheduled to take place, including regional seminars, study visits to EU Member States and individual assistance measures for partner countries in the south-eastern European, eastern European, Caucasian and North African region. Also, in the context of this project, regional seminars are being organised for the first time in West Africa, to which Chinese representatives are also to be invited. This project is cofunded by the Federal Foreign Office.

Based on Council Decision 2013/768/CFSP of 16 December 2013 on EU activities in support of the implementation of the Arms Trade Treaty in third countries, in the framework of the European Security Strategy, the Federal Office for Economic Affairs and Export Control is carrying out a wide-ranging EU project (ATT-OP). In the 3-year project period, support programmes are being carried out which are oriented to the national needs of the partner countries selected by the COARM working group, and there are also to be individual ad-hoc assistance measures and regional seminars. This project is funded by the Federal Foreign

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

Office alongside the EU. Last year saw a large number of events with the partner countries. Further to this, it was possible to jointly develop long-term roadmaps for cooperation with nine ATT-OP partner countries. The continuation of this EU ATT outreach project for another three years was decided by the Council of the EU on 29 May 2017. This follow-up project is being implemented by the Federal Office for Economic Affairs and Export Control, and is co-funded by Germany and France with the EU.

Again in 2016, the Federal Foreign Office charged the Federal Office for Economic Affairs and Export Control with the implementation of a national ATT outreach project, which supplements the EU ATT-OP. The focus was placed on the Caribbean and Asia.

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

The following is an outline of licences granted for military equipment exports in 2016; actual exports are also listed for the sub-sector of war weapons. The outline is complete to the extent that disclosure has not been restricted by constitutional and sub-constitutional law.

The Federal Office of Economics and Export Control (BAFA)³² compiles a list of the export licences granted for all military equipment (war weapons and other military equipment). The figures for reference year 2016 are displayed under III. 1. and outlined in further detail in Annex 8. A detailed overview of the 20 countries of destination with the highest licence values in the reference year can be found in Annex 7.

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

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

It is only possible to offer generalised information on denied requests in order to avoid the Military Equipment Export Report serving as an information source for prospective business deals by exporters located in countries with different (and especially with less restrictive) export control policies.

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

Annex 8 presents an outline of military equipment³³ licences granted or denied in 2016, broken down by countries of destination. The first part of this Annex shows EU countries, the second part NATO and NATO-equivalent countries (excluding the EU countries), and the third part all other countries (so-called third countries). For the sake of greater transparency in connection with exports to third countries, this country category has a column entitled EL (Export List) positions that provides a more detailed breakdown of the important products. Where applications for a country of destination have been denied, the relevant remarks have been made in the overview with details on the number of denials, the EL positions involved, and the value of the goods.

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

a) Individual licences

In 2016 a total of 12,215 individual licence applications for the final³⁴ export of military equipment were approved in Germany (year earlier: 12,687). The total value of the licences – not that of actual exports – was €6.848 billion. This was roughly a €1 billion fall against figures for 2015 (€7.859 billion).

Individual licences for countries designated in No. II of the Political Principles of 19 January 2000 (EU countries, NATO

³² <http://www.bafa.de>.

³³ Goods in Part I Section A of the Export List, Appendix AL to the Foreign Trade and Payments Ordinance, cf. also Annex 4 to this Report.

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

and NATO-equivalent countries) accounted for €3.180 billion of this amount (previous year: €3.238 billion). Licences for goods with an end-use in EU countries totalled €1.353 billion (previous year: €2.474 billion). Licences for goods with end-use in NATO or NATO-equivalent countries (not including EU countries) had a total value of €1.827 billion (preceding year: €763 million). A large proportion (46.4%; 2015: 41%) went to EU/NATO and NATO-equivalent countries.

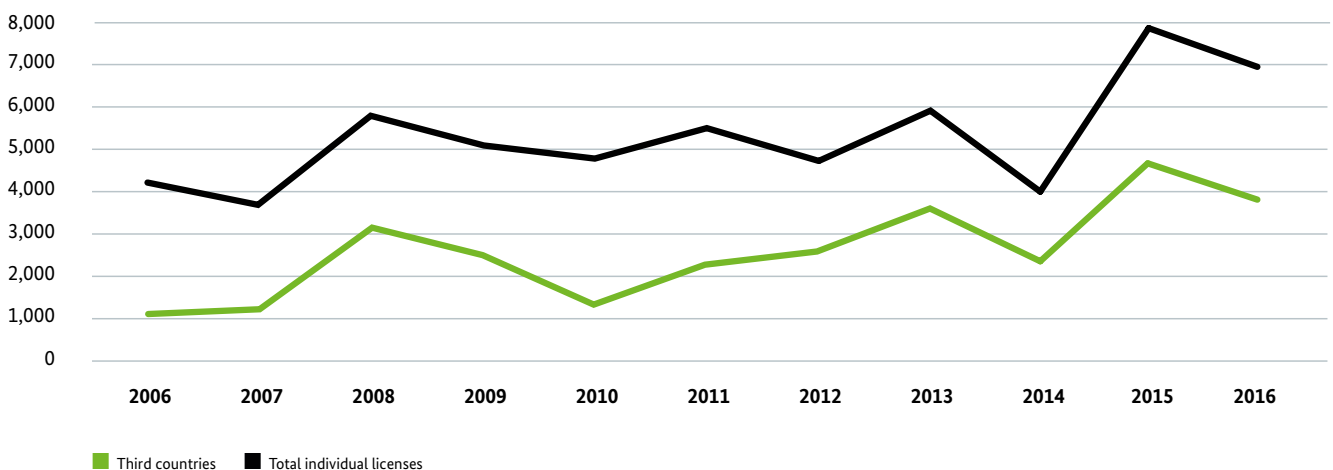
The licence value for exports to third countries amounted to €3.668 billion (previous year: €4.621 billion). This represents a year-on-year decline of around €1 billion. Individual high-value export projects had a major impact on the total value of licences for third countries and on the ranking in terms of value of the leading countries of destination. These projects included a frigate for the Algerian navy, multipurpose civilian helicopters with military elements manufactured on the basis of European industrial cooperation for Saudi Arabia, and a submarine to the Egyptian navy. These three export licences accounted for almost half of the total value for third countries and also mean that Algeria, Saudi Arabia and Egypt are in the top four countries of destination in terms of value, along with the United States.

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

The diagram below shows that the licence figures for the last ten years are subject to sharp fluctuations. It is necessary to bear in mind here that the values cited in this Report are nominal figures, i.e. they have not been adjusted for inflation. For exports of military equipment to developing countries³⁵, individual licences valued at a total of approx. €581.1 million were issued in 2016 (2015: €277.5 million). This is equivalent to 8.5% of the value of all German individual licences for military equipment (the proportion in 2015 was around 3.5%). The leading countries of destination amongst the developing countries in 2016 were Egypt (€399.8 million), India (€104.7 million), Pakistan (€23.6 million) and Indonesia (€23.1 million). A breakdown of the various types of goods for which export licences were issued can be found in Annex 8. When comparing the figures for 2016 and 2015, it must again be borne in mind that the licence for the export of a submarine for the Egyptian navy results in a special statistical effect. This export project alone results in the rise in the licensing figures for developing countries.

The licence values for the group of the poorest and other low-income developing countries³⁶ amounted to €7.2 million in 2016 (2015: €8.2 million) or 0.11% (2015: 0.10%) of the value of all individual export licences for military equipment in 2016³⁷.

Figure 1: Development of the value of individual licences from 2006 - 2016 (€ million)



35 For the term “developing countries,” see footnote 8.

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

37 The licence values do not include export licences particularly for UN missions, EU delegations and aid organisations (e.g. €2.4 million for Afghanistan, €1.6 million for Somalia and €1.62 million for South Sudan).

b) Collective export licences

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

The value of a collective export licence is set as a maximum figure and is based on applicants' figures for their anticipated needs in the licence period. The collective export licences primarily refer to the production phase of an item of military equipment, during which military equipment is frequently imported and exported. The extent to which use is made of the maximum amount covered by the licence varies widely. However, the maximum value does not provide any indication of actual shipments of goods – not least because reimports are not discounted. Equating collective export licences with individual export licences or actual exports, or adding up the figures, therefore makes no sense for systemic reasons.

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

In the period from 1 January to 31 December 2016, 12 applications for the issuing of a collective export licence relating to conventional military equipment within the meaning of Part I Section A of the Export List (EL) of the Foreign Trade and Payments Ordinance were approved by the BAFA. The issuing of the licence is subject to the same principles as apply in the individual licence procedure. The examination thus observes the Political Principles, the EU Common Position and the ATT for an individual case.

The 12 (2015: 119) relevant licences issued in the above-mentioned period covered goods worth a total value of €58.7 million (2015: €4.96 billion). Annex 9 contains an overview of the countries covered by the collective export licences.

The 12 collective export licences issued in the context of programmes and cooperation break down as follows:

- In **six cases**, exports in the context of joint programmes. **“Joint programmes”** are the bilateral, trilateral and multinational development and manufacturing programmes for dual-use and military equipment. They are thus international development and manufacturing programmes involving the Federal Government. The relevant German ministry commissions a main German contractor, as the leader of the consortium, with implementing the programme.
- In **five cases**, exports in the context of official intergovernmental cooperation. **Official intergovernmental cooperation** covers development and manufacturing programmes if the contracts to develop or manufacture certain goods for the respective programmes were agreed with state involvement.
- In **one case**, in the context of TAGs (technology transfers for study purposes) outside a licensed joint programme.

c) Export licence denials

In 2016, 61 applications for military equipment exports (preceding year: 100) were denied. The total value of the denials came to €11.03 million (preceding year: €7.42 million). The figure does not include applications withdrawn by applicants prior to notification because of poor chances of success or for other reasons. Like the values for licences for third countries, the figures for export licence denials are also subject to great fluctuations for this group of countries.

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

The highest-value denials in 2016 affected the People's Republic of China (€5.72 million), Viet Nam (€2.55 million) and Argentina (€0.69 million). Details of other denials can be found in the overview in Annex 8.

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

Table B provides a breakdown of the individual export licences issued in 2016 into the 22 EL positions.

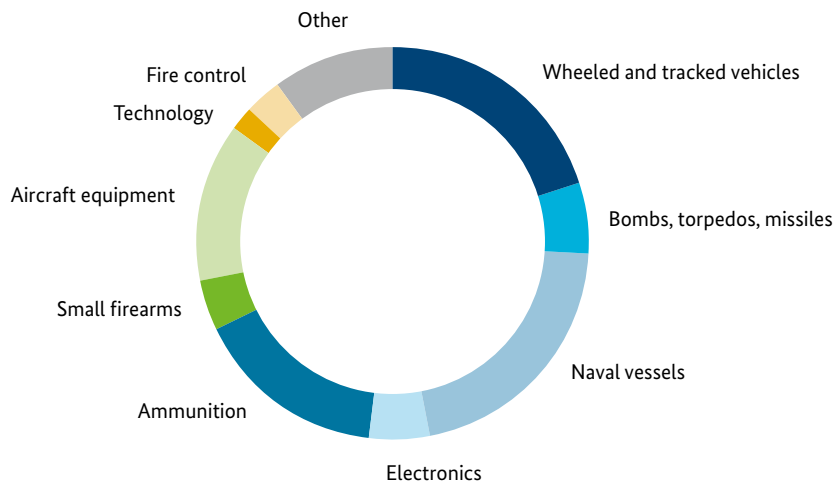
The table is based on the 12,215 individual licences issued in 2016³⁸. It shows that the category which accounted for the largest share of exports of military equipment in terms of value in 2016 was “naval vessels”, totalling approx. €1.4 billion.

The small firearms position-number on the Export List (A 0001) includes not only small arms but also the so-called civilian weapons such as hunting, sporting, and self-defence weapons, which are much more important in terms of licence values; more detailed information on this point is available in Section III. 1. g, see page 24.

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

EL position	Description of Item	Quantity	Value in €
A 0001	Small firearms	2,093	255,165,437
A 0002	Large calibre weapons	245	28,827,066
A 0003	Ammunition	732	1,089,157,977
A 0004	Bombs, torpedoes, missiles	293	434,554,585
A 0005	Fire control systems	551	179,911,023
A 0006	Wheeled and tracked military vehicles	2,359	1,373,763,300
A 0007	Equipment for NBC defence, irritants	131	52,849,424
A 0008	Explosives and fuels	405	16,852,205
A 0009	Naval vessels	642	1,435,186,169
A 0010	Military aircraft/aircraft technology	1,201	920,581,567
A 0011	Military electronics	967	311,583,979
A 0013	Ballistic protection equipment	61	13,065,504
A 0014	Training and simulator equipment	87	84,623,885
A 0015	Infrared/thermal imaging equipment	253	94,689,539
A 0016	Semi-finished parts for the production of certain items of military equipment	531	238,609,296
A 0017	Miscellaneous equipment	487	79,857,213
A 0018	Manufacturing equipment for the production of military articles	591	41,115,825
A 0019	HF weapon system	1	38,500
A 0021	Military software	419	30,006,421
A 0022	Technology	731	167,250,368
Total		12,780	6,847,689,283

³⁸ The addition of the number of individual licences by positions A 0001 to A 0022 yields a higher value than the total number of individual licences since some of the applications are split among several positions and are therefore counted two or more times in the individual positions in this table.

Figure 2: Proportion of the leading EL positions in terms of individual licences (by value) in 2016**e) Export licences from 2006 to 2016**

The following table compares the values of the licences issued in 2006 to 2016 for final exports. To provide a better basis for comparison, the values are not broken down by in-

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

Table C: Export licences from 2006 to 2016

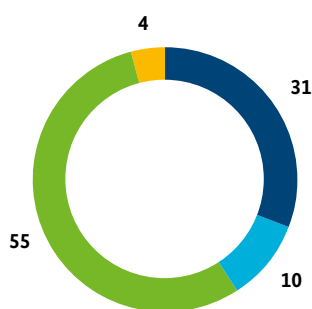
Year	EU-countries (in € million)	NATO or NATO-equivalent countries (without EU-countries) (in € million)	Third countries (in € million)	Individual export licences total (in € million)	Collective export licences total (in € million)
2006	1,863	1,174	1,151	4,188	3,496
2007	1,297	1,141	1,230	3,668	5,053
2008	1,839	809	3,141	5,788	2,546
2009	1,445	1,106	2,492	5,043	1,996
2010	2,315	1,056	1,383	4,754	737
2011	1,954	1,162	2,298	5,414	5,381
2012	971	1,129	2,604	4,704	4,172
2013	1,168	1,071	3,606	5,846	2,495
2014	817	753	2,404	3,961	2,545
2015	2,475	763	4,621	7,859	4,960
2016	1,353	1,827	3,668	6,848	59

The following two charts show the monetary values of export licences issued for all country groups in 2016 and 2015. Pursuant to the Political Principles, EU, NATO and NATO-

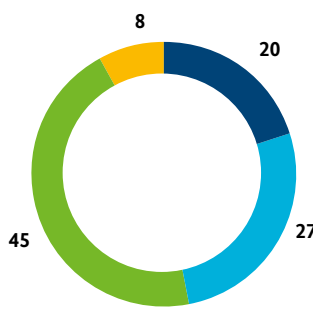
equivalent countries can be taken together, since all have essentially the same status with regard to German arms exports.

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

2015 (€ 7,859 million = 100 %)



2016 (€ 6,848 million = 100 %)



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

f) War weapons' share of licensed values in 2016

The licence values shown under e) relate to articles from Part I Section A of the Export List, i.e. to all military equipment including war weapons. By contrast, the following identifies the war weapons' share of overall values for individual licences in 2016. Individual licences for the export of war weapons add up to a total of €1.88 billion, i.e. approximately 27.5% of the total for overall individual licences (the figures for 2015 were €2.87 billion and 36.5%).

Table D displays – broken down by country – total licences for the export of war weapons to third countries in 2016 (total value €1.39 billion; value in 2015: €2.48 billion). There was a clear drop against the preceding year. The licences with the highest values refer to Algeria and Egypt.

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

Table D: War weapons exports to third countries in 2016

Country	Individual decisions or applications for war weapons	Value in €
Algeria	4	846,457,478
Argentina	1	140,560
Brazil	7	2,066,216
Brunei Darussalam	1	620,700
Egypt	1	337,015,000
India	5	2,769,846
Indonesia	5	3,174,850
Iraq	4	10,928,346
Israel	2	2,869,950
Jordan	1	10,087,580
Korea, Republic	6	39,503,639
Kuwait	1	24,407
Lebanon	1	20,202
Malaysia	2	25,398,550
Oman	5	7,142,784
Saudi Arabia	15	21,263,100
Singapore	4	49,562,842
South Africa	6	17,775,939
United Arab Emirates	8	13,235,507
Yemen [UN mission]	2	16,978
Total	81	1,390,074,474

g) Export licences for small arms 2006 to 2016

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

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

Breakdown by country group	Licences issued	
	Value in €	Value in %
EU countries	27,959,992	59.63
NATO and NATO-equivalent countries	2,554,375	5.45
Third countries (other countries)	16,375,910	34.92
Total:	46,890,277	

are covered in general by the Federal Government’s restrictive export control policy. The values shown in the following tables E to H are therefore already included in the statistics under III. 1. a) to f) and in the values presented in Annex 8.

The total value of the licences for small arms in 2016 amounted to €46.89 million. The 2015 figure was €32.43 million. The rise of approx. €15 million is almost entirely due to higher figures for licences for EU/NATO and NATO-equivalent countries (e.g. France). The licences for small arms for third countries in 2016 (€16.4 million) is roughly in line with the preceding year’s low level (2015: €14.5 million).

In the statistics kept by the Federal Government, “small arms” comprise, against the background of the definition of the Joint Action of the EU of 12 July 2002 on the European Union’s Contribution to Combating the Destabilising Accumulation and Spread of Small Arms and Light Weapons: rifles with war weapons list number (semi- and fully automatic rifles) submachine guns, machine guns, smooth-bore

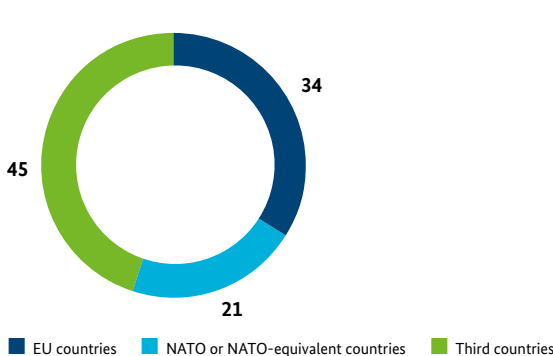
Table E.1: Individual Licences for the Export of Small Arms – Values in € million

Year	EU countries	NATO or NATO-equivalent countries (without EU countries)	Third countries	Individual licences (total)
2006	11.45	10.23	15.6	37.28
2007	9.35	9.38	30.2	48.93
2008	22.72	28.94	17.18	68.85
2009	35.97	20.10	14.32	70.40
2010	19.42	13.81	16.30	49.54
2011	10.03	9.95	17.92	37.90
2012	12.84	26.22	37.09	76.15
2013	6.80	33.59	42.23	82.63
2014	6.23	19.57	21.63	47.43
2015	11.13	6.81	14.49	32.43
2016	27.96	2.55	16.38	46.89

Figure 4: Individual export licences broken down by country group

2015 (€ 32.43 million = 100%)

2016 (€ 46.89 million = 100%)



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

The value of small arms export licences to third countries in 2016 amounted to €16.38 million (2015: €14.49 million; 2014: €21.63 million). The highest figure for a third country was recorded for Oman (€6.85 million).

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

d) for EL position 0001 (€178.53 million). This is the result of the fact that the definition of small firearms found in EL position 0001 also includes civilian weapons (revolvers, pistols) used for self-defence, as well as hunting and sporting weapons, and therefore extends far beyond that of small arms as understood internationally in terms of the problems relating to destabilising accumulations of small arms and light weapons.

The developing countries (cf. footnote 1) accounted for licences for small arms worth approx. €3.7 million in 2016 (exports to Indonesia and India)³⁹. The Federal Government will continue to take a particularly restrictive approach to exports of small arms to developing countries in future.

Table F: Individual licences for small arms to third countries broken down by countries, licence values and unit numbers for 2016

Country	Licences total	EL position	Value in €	Description of articles	Quantity
Argentina	1	0001A-02	118,000	Rifles with war weapons list number	100
Brazil	4	0001A-02	783,570	Rifles with war weapons list number	606
			90,450	Parts for rifles with war weapons list number	1,283
		0001A-05	759,816	Submachine guns	674
			2,653	Parts for submachine guns	536
Central African Republic	1	0001A-02	7,900	Parts for rifles with war weapons list number [UN mission]	20
India	5	0001A-02	853,950	Rifles with war weapons list number	158
			71,657	Parts for rifles with war weapons list number	994
		0001A-05	320,628	Submachine guns	128
			1,671	Parts for submachine guns	3
		0001A-06	846	Parts for machine guns	1
Indonesia	3	0001A-02	1,552,450	Rifles with war weapons list number	949
			43,354	Parts for rifles with war weapons list number	4,195
		0001A-05	811,500	Submachine guns	450
			490	Parts for submachine guns	550
Iraq	3	0001A-02	2,109,200	Rifles with war weapons list number	4,000
			684,180	Parts for rifles with war weapons list number	2 sets
		0001A-06	3,838	Parts for machine guns	2 sets
Kenya	1	0001A-02	5,850	Parts for rifles with war weapons list number [UN mission]	30
Korea, Republic	1	0001A-02	46,470	Rifles with war weapons list number	25
			6,523	Parts for rifles with war weapons list number	394
		0001A-05	35,625	Submachine guns	25
			13,628	Parts for submachine guns	1,212
Lebanon	2	0001A-05	15,202	Submachine guns	8
			4,972	Parts for submachine guns	19
Malaysia	1	0001A-02	170,000	Rifles with war weapons list number	100
			112,000	Submachine guns	100
		0001A-06	102,800	Machine guns	10
			13,750	Parts for machine guns	10
Montenegro	1	0001A-02	8	Parts for rifles with war weapons list number	2

³⁹ The licences for the developing countries in particular do not include export licences for UN missions (Yemen, Kenya, South Sudan and the Central African Republic, worth approx. €34,000).

Table F: Individual licences for small arms to third countries broken down by countries, licence values and unit numbers for 2016

Country	Licences total	EL position	Value in €	Description of articles	Quantity
Oman	8	0001A-02	883,368	Parts for rifles with war weapons list number	various
		0001A-05	43,750	Submachine guns	50
			15	Parts for submachine guns	20
		0001A-06	5,900,400	Machine guns	660
			23,640	Parts for machine guns	6,400
Qatar	1	0001A-05	19,000	Parts for submachine guns	100
Serbia	1	0001A-02	41,465	Parts for rifles with war weapons list number	465
		0001A-05	3,968	Parts for submachine guns	160
South Sudan	1	0001A-02	1,950	Parts for rifles with war weapons list number [UN mission]	5
		0001A-05	1,425	Parts for submachine guns [UN mission]	5
United Arab Emirates	7	0001A-02	115,724	Rifles with war weapons list number	77
			21,365	Parts for rifles with war weapons list number	1,557
		0001A-05	555,163	Submachine guns	565
		4,700	Parts for submachine guns	341	
Yemen	2	0001A-02	9,078	Rifles with war weapons list number [UN mission]	5
			18	Parts for rifles with war weapons list number [UN mission]	3
		0001A-05	7,900	Submachine guns [UN mission]	5
Total	43		16,375,910		

Table G: Individual licences for *ammunition* for small arms, including ammunition parts – values in € million for 2006 - 2016

Year	EU countries	NATO or NATO equivalent countries (without EU countries)	Third countries	Individual licences (total)
2006	13.31	7.76	0.15	21.22
2007	16.77	13.59	1.40	31.76
2008	10.10	10.18	18.65	38.94
2009	41.18	17.53	2.63	61.35
2010	10.35	17.13	2.00	29.48
2011	15.15	17.63	1.77	34.55
2012	7.04	7.25	3.75	18.04
2013	29.74	19.96	2.82	52.51
2014	4.45	17.23	5.53	27.21
2015	11.80	15.29	4.28	31.36
2016	39.05	271.10	17.61	327.76

In the statistical evaluation, “ammunition for small arms” includes all ammunition which, in view of its technical characteristics (e.g. calibre and projectile type), can theoretically be fired from small arms. Some of this ammunition is

used for hunting and sports. The licences cited here can therefore cover supplies of ammunition used for hunting and sports.

The two following diagrams show the distribution among the three above-named country groups of the licences issued in 2016 and 2015 for the export of small arms ammunition.

Third countries accounted for a share of approximately 5% of the total value of individual licences for small arms ammunition. More than two-thirds of the total figure for third countries (approx. €12.7 million) is accounted for by deliveries to Iraq sent as part of the Federal Government’s Enable & Enhance initiative and in support of the Kurdish regional government in the fight against so-called IS.

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

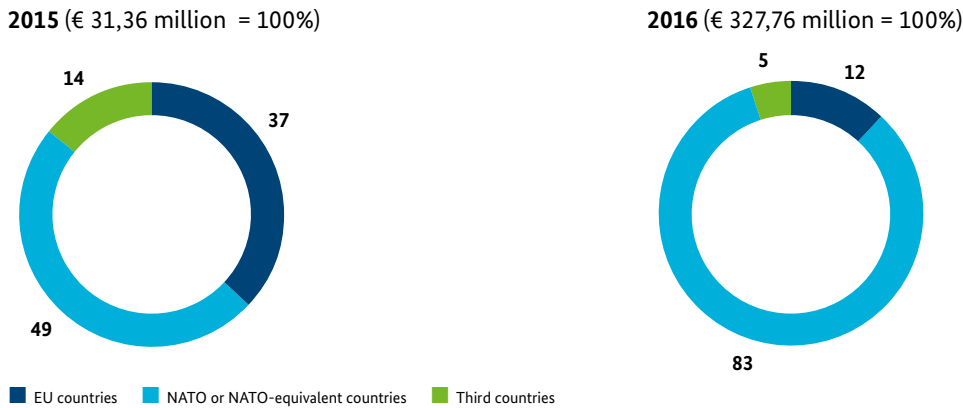


Table H: Individual licences for the export of small arms ammunition to third countries, by country, for 2016

Country	Licences total	EL position	Value in €	Description of articles	Quantity
Algeria	2	0003A-06	793,124	Ammunition for machine guns [war weapons list no.: 50]	50,000
Brazil	1	0003A-01	4,731	Ammunition for rifles [without war weapons list number]	3,000
Brunei Darussalam	1	0003A-05	620,700	Ammunition for submachine guns [war weapons list no.: 50]	900,000
Central African Republic	1	0003A-01	58,500	Ammunition for rifles [without war weapons list number] [UN mission]	800,000
Ghana	1	0003A-01	205,000	Ammunition for rifles [without war weapons list number]	800,000
India	1	0003A-01	2,425	Ammunition for rifles [without war weapons list number]	2,000
Iraq	4	0003A-01	6,784,968 5,901,246	Ammunition for rifles [war weapons list no.: 50] Ammunition for rifles [without war weapons list number]	9,423,600 9,158,000
Kazakhstan	1	0003A-01	9,000	Ammunition for rifles [without war weapons list number]	20,000
Kuwait	2	0003A-01	351,325	Ammunition for rifles [without war weapons list number]	1,200,000
Lebanon	3	0003A-01	17,750	Ammunition for rifles [without war weapons list number] [UN mission]	200,000
		0003A-05	5,000	Ammunition for submachine guns [war weapons list no.: 50]	25,000
Mali	1	0003A-01	76,800	Ammunition for rifles [without war weapons list number] [UN mission]	4,100,000
Namibia	1	0003A-01	31,800	Ammunition for rifles [without war weapons list number]	200,000
Oman	5	0003A-01	49,911	Ammunition for rifles [without war weapons list number]	109,000
Paraguay	1	0003A-01	150,234	Parts for rifle ammunition	4,100,000
South Sudan	1	0003A-01	123,000	Ammunition for rifles [without war weapons list number] [UN mission]	200,000
Ukraine	1	0003A-01	6,620	Ammunition for rifles [without war weapons list number]	20,000
United Arab Emirates	9	0003A-01	205,951 2,175,500	Ammunition for rifles [without war weapons list number] Parts for rifle ammunition	237,400 9,500,000
		0003A-05	31,500	Ammunition for submachine guns [war weapons list no.: 50]	63,000
Total	36		17.605.085		

h) Licences for brokering transactions in 2016

The rules on the licensing of trading and brokering transactions involving military equipment covered by Part I Section A of the Export List derive from Sections 46 - 48 of the Foreign Trade and Payments Ordinance; the rules on war weapons are based on Section 4a of the War Weapons Control Act. Statistics are only kept on trading and brokering transactions for military equipment located in a non-EU country – cf. Section 2 subsection 8 of the Foreign Trade and Payments Ordinance – and which are to be exported to another non-EU country. For war weapons, the licensing obligation applies even if the war weapons are outside Germany and are to be exported to other countries.

In 2016, a total of 27 (previous year: 16) licences for brokering transactions were issued for recipients in third countries, worth €29.23 million (preceding year: €4.59 million). Annex 10 contains an overview of these licences.

2. Exports of war weapons

a) War weapon exports in 2016

In 2016, Germany's Federal Statistical Office determined that war weapons worth a total value of €2.50 billion (0.21% of all German exports) were exported from Germany (2015: €1.56 billion, 0.13%). In value terms, approx. 7.5% of the war weapons exports went to EU, NATO, and NATO-equivalent countries; according to the Political Principles, the export of military equipment to such countries is not to be restricted. Although a vast majority of these transactions involved commercial companies and governments, in some cases they were transfers from the Bundeswehr. Annex 12 contains an overview of war weapons exports by country of destination.

(1) Bundeswehr exports

Within the total exports, a merchandise value of €20.56 million (some 1% of total exports of war weapons) was accounted for by the transfer of material by the German Ministry of Defence (2015: €156.3 million).

(2) Commercial exports

The value of German companies' commercial exports amounted to €2.48 billion in 2016 (2015: €1.40 billion). Approx. 7.4% of these exports (€184.14 million) went to EU, NATO or NATO-equivalent countries.

The volume of commercial exports of war weapons to third countries was approx. €2.30 billion (2015: €1.17 billion). Of these, exports worth €887.6 million went to Algeria, exports worth €790.5 million to Qatar, and exports worth

€356.5 million to the Republic of Korea. These three countries thus accounted for nearly 90% of the total volume of commercial exports of war weapons to third countries. Some of these were based on licences issued during previous legislative terms.

Commercial war weapons exports to third countries from 2006 - 2016 (€ million)

Year	Total value (in € million)
2006	423.5
2007	275.8
2008	388.8
2009	179.7
2010	453.0
2011	842.8
2012	559.1
2013	568.1
2014	1.338
2015	1.173
2016	2.297

b) War weapon exports from 2006 - 2016

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

Tabelle J: War weapon exports from 2006 - 2016

Year	Total value (in € million)	Share as % of total German exports
2006	1,374.2	0.15
2007	1,510.1	0.16
2008	1,427.2	0.14
2009	1,338.8	0.17
2010	2,119.0	0.22
2011	1,284.7	0.12
2012	946.0	0.09
2013	956.6	0.09
2014	1,826.0	0.16
2015	1,554.9	0.13
2016	2,501.8	0.21

3. German military equipment exports by international comparison

According to calculations by SIPRI, the Stockholm-based peace research institute, Germany's exports of military equipment dropped by 36% in the 2012 - 2016 period compared with the 2007 - 2011 period, whilst the global volume of military equipment exports rose by 8.4%. Germany registered the greatest drop amongst the 20 leading exporting countries in the past five-year period (source: SIPRI - Trends in international arms transfers, 2016, <https://www.sipri.org/sites/default/files/Trends-in-international-arms-transfers-2016.pdf>)

Germany's share of global exports of military equipment dropped from 9.4% to 5.6% between the afore-mentioned periods. Germany is ranked fifth by SIPRI on the list of leading exporters, behind the United States, Russia, China and France.

SIPRI takes its own approach to compiling statistics, which differs considerably from that used in the German government's reports on the export of military equipment. For ex-

ample, it does not use the actual licence values for the exports, but fictitious figures ("trend indicator values") based on the production costs of weapon systems. Also, it only covers the exports of principal weapon systems and their components. It disregards many types of military equipment included in the statistics of the German government's reports on the export of military equipment (e.g. military trucks, small arms and ammunition).

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

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

Annex 1a

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

The Government of the Federal Republic of Germany, desiring

- to pursue a restrictive policy on arms exports,
- with regard to the international and statutory obligations of the Federal Republic of Germany, to gear arms exports to Germany's security needs and foreign policy interests,
- through the restriction and control of such exports to contribute to safeguarding peace, preventing the threat or use of force, securing respect for human rights and promoting sustainable development in all parts of the world,
- hence to take account also of decisions adopted by 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 weapons⁴⁰ and other military equipment⁴¹ are made in accordance with the provisions of the War Weapons Control Act and the Foreign Trade and Payments Act as well as the EU Code of Conduct on Arms Exports adopted by the European Council on 8 June 1998⁴² and such arrangements as may be agreed subsequently as well as the Principles Governing Conventional Arms Transfers adopted by the Organisation for Security and Cooperation in Europe (OSCE) on 25 November 1993. The criteria laid down in the EU Code of Conduct are an integral part of these Political Principles. The standards stipulated in the Code of Conduct will be superseded by any more stringent standards that may be derived from the following principles:
2. The issue of respect for human rights in the countries of destination and end-use is a key factor in deciding

whether or not to grant licences for the export of war weapons and other military equipment.

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

II. NATO countries⁴³, EU Member States, countries with NATO-equivalent status⁴⁴

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

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

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

In the case of coproduction projects covered by inter-governmental agreements with countries referred to in this Section, these arms export principles will be given practical effect as far as possible. While mindful of its special interest in its cooperation standing, the Federal Government will not forgo any opportunities it may

⁴⁰ Weapons (complete weapons as well as components classed separately as weapons) listed in the War Weapons List (Annex to the War Weapons Control Act).

⁴¹ Goods specified in Part I, Section A of the Export List (Annex to the Foreign Trade and Payment Ordinance) with the exception of war weapons.

⁴² Attached as Annex 2.

⁴³ Area of application of NATO Treaty, Article 6.

⁴⁴ Australia, Japan, New Zealand, Switzerland.

have to influence export projects envisaged by its cooperation partners (Section II. 3.).

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

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

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

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

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

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

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

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

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

III. Other countries

1. A restrictive policy will be pursued regarding exports of war weapons and other military equipment to countries other than those covered by Section II. Notably the development of additional, specifically export-oriented capacities must be avoided. The Federal Government will not take the initiative to privilege any specific country or region.
2. Export licences for war weapons (subject to licensing under the War Weapons Control Act and the Foreign Trade and Payments Act) will not be granted unless in a specific case this is exceptionally warranted on particular foreign and security policy grounds, having due regard to Alliance interests. Labour policy considerations must not be a decisive factor.
3. Export licences for other military equipment (subject to licensing under the Foreign Trade and Payments Act) will be granted only where such exports will not prejudice 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 weapons⁴⁵ and other military equipment related to war weapons to countries
 - involved in armed conflict or where armed conflict is imminent,
 - in which there is a risk of an outbreak of armed conflict or existing tensions and conflicts would be triggered, maintained or exacerbated by the export.
 - Exports to countries involved in external armed conflicts or where there is a danger such conflicts may erupt are therefore ruled out on principle except in cases covered by Article 51 of the UN Charter.
6. Decisions on whether to grant export licences for war weapons and other military equipment will take into account whether sustainable development in the recipient country is being seriously impeded by excessive arms spending.
7. Also to be taken into account is the recipient country's conduct in terms of whether it supports and promotes terrorism and international organised crime, complies with international obligations, especially renunciation of the threat or use of force, including obligations under humanitarian law on international or non-international conflicts, has assumed obligations in the area of non-proliferation and other aspects of arms control and disarmament, notably by signing, ratifying and implementing the arms control and disarmament arrangements specified in the EU Code of Conduct on arms exports, supports the UN Arms Register.

IV. Definitive determination of end-use

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

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

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

V. Military Equipment Export Report

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

⁴⁵ Plant and documentation for the manufacture of war weapons.

Annex 1b

Principles Adopted by the Government of the Federal Republic of Germany for the Issue of Licences for the Export of Small and Light Weapons, Related Ammunition and Corresponding Manufacturing Equipment to Third Countries⁴⁶

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

1. The principles follow the definition of “small arms and light weapons” used in the annex to the Joint Action of the EU of 12 July 2002 and include sniper rifles and pump guns.⁴⁷
2. In principle no licences to export components and technology to third countries (e.g. in the context of the granting of licences to manufacture) will be granted where such exports would lead to the establishment of a new manufacturing line for small arms and light weapons or the corresponding ammunition.
3. In the case of spare and wear-and-tear parts, of replacement machinery of the same type and of consumable material for manufacturing lines exported in the past, consideration will be given to the legal principle of legitimate expectations. For this reason, licences will in principle continue to be issued in future. This shall not apply to exports intended to increase capacity or widen the product range (“upgrading”).
4. Licences for the export of sniper rifles and pump guns to private end-users in third countries will not be issued in principle.⁴⁸
5. Licences for the export of war weapons to non-state bodies in third countries will not be issued in principle.
6. The principle of “New for old” will in principle be applied to licences for the export of small arms and light weapons.⁴⁹ This means that state recipients of small arms and light weapons must in principle issue a declaration committing them to destroy the small arms and light weapons to be replaced by the new purchase. Where the new purchase covers a plausible increased need and old weapons are therefore not destroyed, a commitment will in principle instead be required stating that the new weapons to be exported will be destroyed when they are taken out of service in future (variant: “New, destroy when discarded”). The willingness to make and comply with such a declaration shall help to determine the decision on whether to license the export. The Federal Government will ensure that the implementation of the principle “New for old” and its variant “New, destroy when discarded” will be monitored.
7. The declaration of end-use must also – going beyond the existing customary re-export clause – include a commitment that small arms and light weapons, related ammunition or manufacturing equipment will not be transferred in the country of destination without the approval of the Federal Government.
8. The Federal Government will advocate the widespread use of the principle “New for old” and its variant “New, destroy when discarded” in the international arena.
9. Small arms and light weapons must be labelled in a way that is easily recognisable, legible, permanent and, within the bounds of technical possibilities, restorable. The comprehensive labelling of small arms and light weapons manufactured in Germany will be stipulated in law and will observe international obligations.
10. In this context, the Federal Government confirms that surplus small arms and light weapons within the field of responsibility of the Federal Armed Forces will in principle be destroyed.

⁴⁶ “Third countries” means all countries apart from the EU countries, NATO countries and NATO-equivalent countries (Australia, Japan, New Zealand and Switzerland).

⁴⁷ This includes war weapons of nos. 10 and 11 (where these are portable weapons), 29, 30, 31 (where these are portable weapons), 32 (where these are portable weapons), 34, 35 and 37 of the War Weapons List, weapons for caseless ammunition, sniper rifles and pump guns.

⁴⁸ This shall not apply to hunting and sporting weapons.

⁴⁹ This shall also apply to other military equipment in certain cases.

Annex 1c

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

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

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

Annex 2

Council Common Position 2008/944/CFSP of 8 December 2008 defining common rules governing control of exports of military technology and equipment

THE COUNCIL OF THE EUROPEAN UNION,

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

Whereas:

- (1) Member States intend to build on the Common Criteria agreed at the Luxembourg and Lisbon European Councils in 1991 and 1992, and on the European Union Code of Conduct on Arms Exports adopted by the Council in 1998.
- (2) Member States recognise the special responsibility of military technology and equipment exporting States.
- (3) Member States are determined to set high common standards which shall be regarded as the minimum for the management of, and restraint in, transfers of military technology and equipment by all Member States, and to strengthen the exchange of relevant information with a view to achieving greater transparency.
- (4) Member States are determined to prevent the export of military technology and equipment which might be used for internal repression or international aggression or contribute to regional instability.
- (5) Member States intend to reinforce cooperation and to promote convergence in the field of exports of military technology and equipment within the framework of the Common Foreign and Security Policy (CFSP).
- (6) Complementary measures have been taken against illicit transfers, in the form of the EU Programme for Preventing and Combating Illicit Trafficking in Conventional Arms.
- (7) The Council adopted on 12 July 2002 Joint Action 2002/589/CFSP⁵⁰ on the European Union's contribution to combating the destabilising accumulation and spread of small arms and light weapons.
- (8) The Council adopted on 23 June 2003 Common Position 2003/468/CFSP⁵¹ on the control of arms brokering.
- (9) The European Council adopted in December 2003 a strategy against the proliferation of weapons of mass destruction, and in December 2005 a strategy to combat illicit accumulation and trafficking of SALW and their ammunition, which imply an increased common interest of Member States of the European Union in a coordinated approach to the control of exports of military technology and equipment.
- (10) The UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects was adopted in 2001.
- (11) The United Nations Register of Conventional Arms was established in 1992.
- (12) States have a right to transfer the means of self-defence, consistent with the right of self-defence recognised by the UN Charter.
- (13) The wish of Member States to maintain a defence industry as part of their industrial base as well as their defence effort is acknowledged.
- (14) The strengthening of a European defence technological and industrial base, which contributes to the implementation of the Common Foreign and Security Policy, in particular the Common European Security and Defence Policy, should be accompanied by cooperation and convergence in the field of military technology and equipment.
- (15) Member States intend to strengthen the European Union's export control policy for military technology and equipment through the adoption of this Common Position, which updates and replaces the European Union Code of Conduct on Arms Exports adopted by the Council on 8 June 1998.

⁵⁰ OJ L 191 of 19 July 2002, p. 1.

⁵¹ OJ L 156 of 25 June 2003, p. 79.

- (16) On 13 June 2000, the Council adopted the Common Military List of the European Union, which is regularly reviewed, taking into account, where appropriate, similar national and international lists.⁵²
- (17) The Union must ensure the consistency of its external activities as a whole in the context of its external relations, in accordance with Article 3, second paragraph of the Treaty; in this respect the Council takes note of the Commission proposal to amend Council Regulation (EC) No 1334/2000 of 22 June 2000 setting up a Community regime for the control of exports of dual use items and technology.⁵³

HAS ADOPTED THIS COMMON POSITION:

Article 1

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

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

Article 2

Criteria

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

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

- a) the international obligations of Member States and their commitments to enforce United Nations, European Union and Organisation for Security and Cooperation in Europe arms embargoes;
 - b) the international obligations of Member States under the Nuclear Non-Proliferation Treaty, the Biological and Toxin Weapons Convention and the Chemical Weapons Convention;
 - c) the commitment of Member States not to export any form of anti-personnel landmine;
 - d) the commitments of Member States in the framework of the Australia Group, the Missile Technology Control Regime, the Zangger Committee, the Nuclear Suppliers Group, the Wassenaar Arrangement and The Hague Code of Conduct against Ballistic Missile Proliferation.
- (2) **Criterion 2:** Respect for human rights in the country of final destination as well as respect by that country of international humanitarian law.

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

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

For these purposes, technology or equipment which might be used for internal repression will include, inter alia, technology or equipment where there is evidence of the use of this or similar technology or equipment for internal repression by the proposed end-user, or where there is reason to believe that the technology or equipment will be diverted from its stated end-use or end-user and used for internal repression. In line with Article 1 of this Common Position, the nature of the technology or equipment will be considered carefully, particularly if it is intended for internal security purposes. Internal re-

⁵² Last amended on 10 March 2008, OJ C 98 of 18 April 2008, p. 1.

⁵³ OJ L 159 of 30 June 2000, p. 1.

pression includes, inter alia, torture and other cruel, inhuman and degrading treatment or punishment, summary or arbitrary executions, disappearances, arbitrary detentions and other major violations of human rights and fundamental freedoms as set out in relevant international human rights instruments, including the Universal Declaration on Human Rights and the International Covenant on Civil and Political Rights.

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

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

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

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

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

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

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

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

Member States shall take into account:

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

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

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

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

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

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

- a) the legitimate defence and domestic security interests of the recipient country, including any participation in United Nations or other peace-keeping activity;

- b) the technical capability of the recipient country to use such technology or equipment;
 - c) the capability of the recipient country to apply effective export controls;
 - d) the risk of such technology or equipment being re-exported to undesirable destinations, and the record of the recipient country in respecting any re-export provision or consent prior to re-export which the exporting Member State considers appropriate to impose;
 - e) the risk of such technology or equipment being diverted to terrorist organisations or to individual terrorists;
 - f) the risk of reverse engineering or unintended technology transfer.
- (8) **Criterion 8:** Compatibility of the exports of the military technology or equipment with the technical and economic capacity of the recipient country, taking into account the desirability that states should meet their legitimate security and defence needs with the least diversion of human and economic resources for armaments.

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

Article 3

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

Article 4

- (1) Member States shall circulate details of applications for export licences which have been denied in accordance with the criteria of this Common Position together with an explanation of why the licence has been denied. Before any Member State grants a licence which has been denied by another Member State or States for an essentially identical transaction within the last three years, it shall first consult the Member State or States which issued the denial(s). If following consultations, the Member State nevertheless decides to grant a licence,

it shall notify the Member State or States issuing the denial(s), giving a detailed explanation of its reasoning.

- (2) The decision to transfer or deny the transfer of any military technology or equipment shall remain at the national discretion of each Member State. A denial of a licence is understood to take place when the Member State has refused to authorise the actual sale or export of the military technology or equipment concerned, where a sale would otherwise have come about, or the conclusion of the relevant contract. For these purposes, a notifiable denial may, in accordance with national procedures, include denial of permission to start negotiations or a negative response to a formal initial enquiry about a specific order.
- (3) Member States shall keep such denials and consultations confidential and not use them for commercial advantage.

Article 5

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

Article 6

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

Article 7

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

Article 8

- (1) Each Member State shall circulate to other Member States in confidence an annual report on its exports of military technology and equipment and on its implementation of this Common Position.
- (2) An EU Annual Report, based on contributions from all Member States, shall be submitted to the Council and published in the “C” series of the Official Journal of the European Union.
- (3) In addition, each Member State which exports technology or equipment on the EU Common Military List shall publish a national report on its exports of military technology and equipment, the contents of which will be in accordance with national legislation, as applicable, and will provide information for the EU Annual Report on the implementation of this Common Position as stipulated in the User’s Guide.

Article 9

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

Article 10

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

Article 11

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

Article 12

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

Article 13

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

Article 14

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

Article 15

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

Article 16

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

Done at Brussels, 8 December 2008.

For the Council

The President

B. KOUCHNER

Annex 3

Arms Trade Treaty

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

Annex 4

Export List Part I

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

However, the Common Military List of the European Union, Official Journal C 122/1, 14 March 2016 is almost identical with the German Munitions List and can therefore be used as a point of reference.

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

Annex 5

War Weapons List

As last amended by the ninth regulation amending the War Weapons List of 26 February 1998, Federal law Gazette I, p. 385

Part A

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

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

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

Part B – Other War Weapons

I. Projectile

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

II. Combat Aircraft and Helicopters

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

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

III. Vessels of War and Special Naval Equipment

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

IV. Combat Vehicles

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

V. Barrel Weapons

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

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

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

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

VII. Torpedoes, Mines, Bombs, Autonomous Ammunition

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

VIII. Other Ammunition

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

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

IX. Other Essential Components

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

X. Dispensers

- 61. Dispensers for the systematic distribution of submunition

XI. Laser Weapons

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

Annex 6

Arms embargoes in force in 2016

The group of these countries can change at any time.

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

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

Armenia
 Azerbaijan
 Belarus
 Central African Republic
 China
 Congo, Democratic Republic
 Côte d’Ivoire (discontinued with effect of 24 December 2016)
 Eritrea
 Iran
 Iraq
 Korea, Democratic People’s Republic
 Lebanon
 Liberia (discontinued with effect of 24 December 2016)
 Libya
 Myanmar
 Russian Federation
 Somalia
 South Sudan
 Sudan
 Syria, Arab Republic
 Zimbabwe

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

- to combat terrorism;
- in view of the situation in Afghanistan;
- which are connected to the Al-Qaida network;
- in view of the situation in Somalia;
- in view of the situation in Yemen.

Annex 7

Countries of destination with the highest licence values

The 20 countries of destination with the highest values for individual licences issued in 2016 were:

No. ⁵⁵	Country	Value in 2016 in €	Description of articles
1 (6)	Algeria	1,418,102,893	<p>Frigate and parts for frigate (A0009/52.2%);</p> <p>trucks, cross-country vehicles and parts for armoured vehicles, trucks, cross-country vehicles (A0006/25.1%);</p> <p>torpedoes, missiles, underwater grenades, missile defence systems and parts for torpedoes, ground equipment for missiles (A0004/10.1%)</p>
2 (5)	United States	1,156,475,661	<p>Ammunition for cannons, smoke dischargers, grenade launchers, automatic grenade launchers, rifles, submachine guns, machine guns, revolvers, pistols, fuse-setting devices and parts for ammunition for cannons, mortars, pyrotechnic launchers, grenade launchers, automatic grenade launchers, rifles, machine guns, hunting weapons, sporting weapons, revolvers, pistols, smooth-bore guns, fuse-setting devices (A0003/60.7%);</p> <p>rifles with war weapons list number, submachine guns, rifles without war weapons list number, revolvers, pistols, hunting rifles, sporting rifles, self-loading rifles, repeating smooth-bore guns, sporting pistols, sporting revolvers, silencers, tube weapon mounts, magazines, flash suppressors, weapon sights and parts for rifles with war weapons list number, submachine guns, machine guns, rifles without war weapons list number, revolvers, pistols, hunting rifles, sporting rifles, self-loading rifles, sporting pistols, sporting revolvers, tube weapon mounts, magazines, flash suppressors, weapon sights (A0001/15.0%);</p> <p>fire control systems, target acquisition systems, target range-finders, testing equipment, calibration equipment and parts for fire control systems, gun laying equipment, on-board weapon-guidance systems, target acquisition systems, target classification systems, positioning radar, calibration equipment (A0005/3.9%);</p> <p>forged and unfinished components (A0016/3.5%)</p>
3 (7)	Saudi Arabia	529,705,969	<p>Helicopters, radar cleaning system and parts for combat aircraft, combat helicopters, transport aircraft, tanker aircraft, aircraft, helicopters, in-flight refuelling equipment, ground equipment, breathing air supply (A0010/83.7%)</p>
4 (43)	Egypt	399,826,609	<p>Submarine, underwater detection equipment and parts for submarines, frigates, corvettes, underwater detection equipment (A0009/90.5%)</p>
5 (2)	United Kingdom	333,787,015	<p>Trucks, cross-country vehicles, mine-clearance vehicles, field kitchens and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks, mine-clearance vehicles, bridge layers, aerial bearers, ground vehicles, ballistic protection (A0006/42.1%);</p> <p>forged, cast and unfinished components (A0016/21.9%);</p> <p>engines, ground equipment parts for combat aircraft, combat helicopters, aircraft, helicopters, engines, in-flight refuelling equipment, ground equipment, ejection seats (A0010/8.1%);</p> <p>electronic equipment, communications equipment, measuring equipment, testing equipment, assemblies, components, guidance equipment, electricity supplies and parts for electronic equipment, communications equipment, measuring equipment, testing equipment, assemblies, component parts, positioning equipment, navigation equipment (A0011/7.9%);</p> <p>cameras, thermal imaging equipment and parts for cameras, film processing equipment, image intensifier equipment, infrared equipment, thermal imaging equipment, protective equipment (A0015/4.2%)</p>

⁵⁵ List position of previous year in brackets

No. ⁵⁵	Country	Value in 2016 in €	Description of articles
6 (3)	Korea, Republic	275,767,901	<p>Underwater detection equipment, ship body conduits and parts for submarines, mine hunters, landing craft, supply vessels, combat vessels, ships, air-independent propulsion systems, underwater detection equipment (A0009/33.2%);</p> <p>missiles, repair equipment, testing equipment, ground equipment, missile defence systems and parts for torpedoes, rockets, missiles, testing equipment, ground equipment, missile defence systems (A0004/23.1%);</p> <p>parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks and ground vehicles (A0006/11.7%);</p> <p>engines and parts for combat aircraft, combat helicopters, aircraft, helicopters, unmanned aircraft (A0010/8.8%);</p> <p>technology for missile parts, technical documents for periscope parts, range finders, technology for tank components, databases for detection equipment, technical documents for measuring equipment, spectra libraries, technical documents for submarine mast, technology for aircraft parts, technology for electronic equipment and technical documents for test rig parts (A0022/6.7%)</p>
7 (23)	Australia	201,714,795	<p>Trucks and parts for armoured vehicles, trucks, bridge layers, ground vehicles (A0006/65.1%);</p> <p>bridges, camouflage paint and parts for bridges (A0017/12.7%);</p> <p>unfinished components (A0016/5.0%)</p>
8 (13)	United Arab Emirates	169,475,128	<p>Armoured engineering vehicles, trucks, mine-clearing equipment, trailers, armoured all-wheel-drive vehicles and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, amphibious vehicles, trucks, mine-clearance equipment, ballistic protection (A0006/41.9%);</p> <p>protective suits, ballistic protection equipment and parts for ventilation system, mass spectrometer, detection equipment, radiation detection equipment (A0007/20.4%);</p> <p>parts for flight simulators and combat training centre (A0014/5.6%);</p> <p>fire control units, target range-finding systems, ground surveillance radar and parts for fire control equipment, weapon sights, on-board weapons-control systems, positioning radar, ground surveillance radar (A0005/4.8%);</p> <p>software for coastal protection systems, weapon control systems, communications equipment, flight simulator, training equipment and decoding (A0021/4.6%);</p> <p>ammunition for grenade launchers, automatic grenade launchers, rifles, submachine guns, hunting weapons, sporting weapons, revolvers, pistols, decoy launcher systems, smoke dischargers, smooth-bore guns and parts for cannon ammunition, mortar ammunition, rifle ammunition (A0003/4.4%)</p>
9 (18)	Canada	156,374,001	<p>Armoured vehicles, double cabin for platform truck and parts for main battle tanks, armoured vehicles, trucks, ground vehicles, vehicle heating equipment (A0006/80.1%)</p>
10 (20)	Switzerland	149,152,353	<p>Electronic equipment, communications equipment, data processing equipment and parts for communications equipment, data processing equipment, insulation, navigation equipment (A0011/56.1%);</p> <p>main battle tank [demonstration vehicle] and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks, cross-country vehicles, trailers, aerial bearers, heating equipment, ground vehicles (A0006/10.7%);</p> <p>flight simulator and parts for flight simulators, target simulators, training equipment, weapon training simulators (A0014/ 5.4%);</p>

55 List position of previous year in brackets

No. ⁵⁵	Country	Value in 2016 in €	Description of articles
10 (20)	Switzerland	149,152,353	ammunition for cannons, mortars, grenade launchers, automatic grenade launchers, smoke dischargers, pyrotechnic launchers, submachine guns and parts for ammunition for guns, howitzers, cannons, mortars, anti-tank weapons, grenade launchers, automatic grenade launchers, smoke dischargers, ammunition containers (A0003/4.7%); paints, camouflage nets, mobile electricity supplies, containers, welding test specimens, fuel cells and parts for diving equipment, mobile electricity supplies, fuel cells (A0017/4.4%)
11 (10)	Sweden	122,805,536	Ammunition for cannons, grenade launchers, automatic grenade launchers, rifles, submachine guns, machine guns and parts for ammunition for guns, howitzers, cannons, mortars, anti-tank weapons, grenade launchers, automatic grenade launchers (A0003/33.0%); armoured bridgelayers and parts for main battle tanks, armoured vehicles, ground vehicles, vehicle heating equipment (A0006/30.5%); forged, cast and unfinished components (A0016/12.3%); communications equipment, data processing equipment, insulation parts, navigation equipment and parts for electronic equipment, communications equipment, assemblies, positioning equipment, navigation equipment (A0011/9.1%)
12 (17)	The Netherlands	121,354,143	Ammunition for mortars, grenade launchers, automatic grenade launchers, rifles, submachine guns, machine guns and ammunition parts for the following: cannons, mortars, grenade launchers, automatic grenade launchers, rifles, machine guns (A0003/66.6%); trucks, cross-country vehicles, crawler loader, trailers, ground vehicles and parts for main battle tanks, armoured self-propelled howitzers, tanks, armoured vehicles, trucks, cross-country vehicles, ground vehicles (A0006/18.8%)
13 (8)	France	119,573,395	Technology for military equipment (A0022/20.7%); ammunition for guns, mortars, grenade launchers, automatic grenade launchers, rifles, submachine guns, machine guns and parts for ammunition for guns, howitzers, cannons, mortars, anti-tank weapons, launchers, grenade launchers, automatic grenade launchers (A0003/16.7%); forged, cast and unfinished components (A0016/15.2%); target range-finders, ground surveillance radar, testing equipment and parts for fire control equipment, weapon sights, on-board weapons-control systems, target classification systems, target range-finders, target surveillance systems, radar systems, self-defence systems, calibration equipment (A0005/13.7%); ground equipment, pilot helmets [used] and parts for combat aircraft, combat helicopters, aircraft, helicopters, launch equipment for unmanned aircraft, engines, in-flight refuelling equipment, ground equipment (A0010/11.8%); electronic equipment, communications equipment, measuring equipment, testing equipment, cathode-ray tubes, assemblies, navigation equipment, electricity supplies and parts for electronic equipment, communications equipment, measuring equipment, testing equipment, assemblies, positioning equipment (A0011/10.4%)
14 (9)	India	104,685,099	Ship body conduits and parts for submarines, combat vessels, frigates, patrol boats, ships, underwater detection equipment (A0009/54.0%); technology for border security system, technical documents for parts for smooth-bore guns, technology for ammunition parts, technology for warning equipment, technology for ground vehicle parts, technology for naval equipment, technology for aircraft equipment and technology for electronic parts (A0022/13.0%); parts for main battle tanks, armoured vehicles and cannon mounts (A0006/4.5%);

55 List position of previous year in brackets

No. ⁵⁵	Country	Value in 2016 in €	Description of articles
			communications equipment, measuring equipment, testing equipment, travelling wave tubes, cathode-ray tubes, navigation equipment and parts for head-up displays, communications equipment, signal analysis equipment, broadband direction finders, measuring equipment, testing equipment, insulation, positioning equipment, navigation equipment, guidance equipment (A0011/4.2%); parts for torpedoes, missiles, firing equipment and testing equipment (A0004/3.9%); parts for image intensifier equipment and infrared equipment (A0015/3.8%)
15 (64)	Romania	103,402,613	Missiles, missile launchers and parts for missiles (A0004/97.1%)
16 (15)	Singapore	97,549,912	Ammunition for cannons and parts for ammunition for guns, cannons, mortars (A0003/67.9%); gun laying equipment, target range-finding systems and parts for fire control equipment, on-board weapons-control systems, observation systems (A0005/11.2%); parts for main battle tanks, armoured vehicles, amphibious vehicles and trucks (A0006/7.6%)
17 (35)	Austria	86,367,358	Armoured vehicles, trucks, cross-country vehicles, trailers and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, trucks, cross-country vehicles, bridges, mine-clearance equipment, ground vehicles, armoured cross-country vehicles (A0006/78.7%); forged and unfinished components (A0016/11.3%)
18 (21)	Spain	85,641,791	Ground equipment and parts for combat aircraft, combat helicopters, aircraft, helicopters, engines, in-flight refuelling equipment, ground equipment, camera systems (A0010/57.3%); communications equipment, data processing equipment, measuring equipment, testing equipment, assemblies, guidance equipment and parts for electronic equipment, communications equipment, assemblies (A0011/20.2%); forged and unfinished components (A0016/6.3%)
19 (27)	Poland	85,268,559	Trucks, cross-country vehicles, trailers, cargo lifters, ground vehicles and parts for main battle tanks, armoured vehicles, trucks, cross-country vehicles, platform trucks, cross-country high-lift trucks, vehicle heating equipment, ground vehicles (A0006/48.8%); technology for military equipment (A0022/17.4%); manufacturing equipment for military equipment (A0018/11.6%); ammunition for cannons, grenade launchers, automatic grenade launchers and ammunition parts for the following: howitzers, cannons, mortars, anti-tank weapons, machine guns, revolvers, pistols (A0003/9.0%)
20 (29)	Turkey	83,900,411	Engines and parts for combat helicopters, aircraft, unmanned aircraft, engines, ground equipment (A0010/69.0%); communications equipment, data processing equipment, assemblies, navigation equipment, electricity supplies, controller equipment and parts for electronic equipment, communications equipment, radar jamming equipment, data processing equipment, navigation equipment (A0011/9.1%); NBC protection systems, decontamination equipment, detection equipment, laboratory chemicals and parts for detection equipment, radiation measurement equipment (A0007/4.8%)

55 List position of previous year in brackets

Export licences by country groups and countries in 2016

EU countries

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position								
Austria	434	A0001	86,367,358													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Belgium							252	A0001	55,872,263					
										A0002						
A0003																
A0004																
A0005																
A0006																
A0007																
A0009																
A0010																
A0011																
A0014																
A0015																
A0016																
A0017																
A0018																
A0021																
A0022																
Bulgaria	15	A0003	279,027													
		A0006														
		A0008														
		A0009														
		A0016														
		A0018														
A0022																

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Croatia	11	A0001	590,321					
		A0003						
		A0005						
		A0006						
		A0011						
		A0017						
		A0018						
Cyprus ⁵⁶	3	A0015	407,550					
Czech Republic	139	A0001	43,038,219					
		A0003						
		A0004						
		A0005						
		A0006						
		A0010						
		A0011						
		A0014						
		A0015						
		A0016						
		A0017						
		A0018						
		A0022						
Denmark	150	A0001	23,630,168					
	A0002							
	A0003							
	A0005							
	A0006							
	A0009							
	A0011							
	A0015							
	A0016							
	A0017							
	A0018							
	A0022							
Denmark (Greenland)	3	A0001						
	A0003							
	A0016							
Estonia	11	A0002	306,366					
		A0003						
		A0004						
		A0005						
		A0006						
		A0017						
		A0018						

⁵⁶ Except for the territory of the Republic of Cyprus in which the government of the Republic of Cyprus does not exert any actual control.

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position							
Finland	75	A0001	17,867,806												
		A0002													
		A0003													
		A0005													
		A0006													
		A0009													
		A0010													
		A0011													
		A0015													
		A0016													
		A0017													
		A0018													
		A0021													
		A0022													
		France				615			A0001	119,573,395					
									A0002						
									A0003						
A0004															
A0005															
A0006															
A0007															
A0009															
A0010															
A0011															
A0014															
A0015															
A0016															
A0017															
A0018															
A0021															
A0022															
France (New Caledonia)	15		A0001	45,198											
			A0003												
Greece	89		A0003	16,862,093											
			A0004												
			A0005												
		A0006													
		A0009													
		A0011													
		A0016													
		A0017													
		A0018													
		A0021													
		A0022													

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position								
Hungary	54	A0001	16,226,691													
		A0003														
		A0006														
		A0009														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Ireland							16	A0001	3,207,089					
A0005																
A0006																
A0011																
A0016																
A0017																
A0018																
Italy	442		A0001	79,662,792												
			A0002													
			A0003													
		A0004														
		A0005														
		A0006														
		A0007														
		A0008														
		A0009														
		A0010														
		A0011														
		A0013														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Latvia	13						A0001		1,270,050					
									A0006							
									A0011							
A0018																
A0021																

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Lithuania	37	A0001	23,626,312					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0011						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						
Luxembourg	66	A0001	7,670,971					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0010						
		A0011						
		A0015						
		A0017						
		A0018						
		A0021						
A0022								
Malta	3	A0002	16,938					
		A0005						
		A0018						
The Netherlands	675	A0001	121,354,143					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0014						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
A0022								

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
The Netherlands (Curacao)	1	A0001	2,300					
Poland	219	A0001 A0002 A0003 A0004 A0005 A0006 A0009 A0010 A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022	85,268,559					
Portugal	40	A0001 A0002 A0005 A0006 A0009 A0010 A0011 A0015 A0018 A0021 A0022	2,018,659					
Romania	47	A0001 A0003 A0004 A0006 A0010 A0011 A0015 A0017 A0018 A0021 A0022	103,402,613					

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Slovakia	27	A0001	1,504,688					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0010						
		A0011						
		A0015						
		A0017						
		A0018						
A0021								
Slovenia	33	A0001	335,341					
		A0002						
		A0003						
		A0010						
		A0014						
		A0015						
		A0017						
		A0018						
		A0021						
		A0022						
		Spain				422		
A0002								
A0003								
A0004								
A0005								
A0006								
A0007								
A0009								
A0010								
A0011								
A0015								
A0016								
A0017								
A0018								
A0021								
A0022								

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position								
Sweden	274	A0001	1,22,805,536													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		United Kingdom							650	A0001	333,787,015					
										A0002						
										A0003						
										A0004						
										A0005						
										A0006						
A0007																
A0009																
A0010																
A0011																
A0014																
A0015																
A0016																
A0017																
A0018																
A0021																
A0022																
United Kingdom (Gibraltar)	1		A0001	9,323												
			A0018													
Total	4,832			1,352,687,948		0										

NATO and NATO-equivalent countries

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Albania	1	A0001	27,461					
Australia	414	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022	201,714,795					
Canada	400	A0001 A0002 A0003 A0004 A0005 A0006 A0009 A0010 A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022	156,374,001					
Iceland	3	A0008 A0016	8,938					
Japan	165	A0001 A0002 A0003 A0004 A0005 A0006	12,475,281					

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
		A0008						
		A0010						
		A0011						
		A0014						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						
Liechtenstein	4	A0009	118,653					
		A0010						
		A0011						
New Zealand	111	A0001	7,242,164					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
		A0014						
		A0016						
		A0017						
		A0018						
		A0022						
Norway	242	A0001	59,960,615					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position								
Switzerland	852	A0001	149,152,353													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0008														
		A0009														
		A0010														
		A0011														
		A0013														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Turkey							213		83,900,411		1	A0001 A0003	52,072	1/Criterion 3/ A0001, A0003
		United States							1,552		1,156,475,661					
										A0001						
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0008														
		A0009														
		A0010														

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
		A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022						
Individual licences NATO or NATO-equivalent countries, total	3,957		1,827,450,333		1		52,072	

Third countries

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Afghanistan	6	A0005 A0006 A0011 A0021	2,423,578	Armoured cross-country vehicles [UN mission, embassy, World Bank Group] and parts for ballistic protection [World Bank Group] (A0006/85.9%)				
Algeria	41	A0001 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0014 A0015 A0017 A0018 A0021 A0022	1,418,102,893	Frigate and parts for frigate (A0009/52.2%); trucks, cross-country vehicles and parts for armoured vehicles, trucks, cross-country vehicles (A0006/25.1%); torpedoes, missiles, underwater grenades, missile defence systems and parts for torpedoes, ground equipment for missiles (A0004/10.1%)				1/Criterion 2/ A0002, A0003

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Andorra	30	A0001	282,676	Hunting rifles, sporting rifles, silencers, magazines, flash suppressors and parts for hunting rifles, flash suppressors (A0001/66.7%);				
		A0003 A0018						
				ammunition for hunting weapons, sporting weapons, smooth-bore guns and ammunition parts for hunting weapons and sporting weapons (A0003/31.8%)				
Angola	1	A0006	2,025,856	Armoured cross-country vehicles (A0006/100%)				
Argentina	36	A0001	26,459,781	Parts for combat aircraft (A0010/67.2%); equipment for ammunition manufacturing and parts for the equipment for ammunition manufacturing (A0018/8.8%); feasibility study for propulsion concept for naval vessels and technical documents for aircraft parts (A0022/7.4%)	3	A0001	694,485	1/Criterion 7/ A0001
		A0002						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0010						
		A0011						
		A0015						
		A0017						
		A0018						
		A0021						
A0022								
Azerbaijan	2	A0004 A0006	291,390	Armoured cross-country vehicles (A0006/95.5%)				2/Criterion 1,7/ Firearms Regulation
Bahrain	11	A0001	5,077,155	Parts for submarines and combat vessels (A0009/60.3%); parts for infrared equipment (A0015/11.8%); mine-clearance equipment and parts for mine-clearance equipment (A0006/9.3%)				1/Criterion 2/ A0001
		A0003						
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
A0015								
Bangladesh	3	A0006	15,477	Parts for trucks (A0006/99.0%)	1	A0003	4,995	2/Criterion 2, 3, 7/ A0003, Firearms Regulation
		A0008						
Belarus								2/Criterion 1/ Firearms Regulation
Benin	1	A0008	117	Laboratory chemicals (A0008/100%)				

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/ reasons/EL position
Bosnia and Herzegovina	11	A0001	539,526	Armoured digger with accessories (A0006/69.7%);	2	A0018	45,011	1/ Criterion 7/ A0018
		A0003		ammunition for hunting weapons, sporting weapons and smooth-bore guns (A0003/14.3%)				
Botswana	5	A0001	79,470	Hunting rifles, magazines and parts for hunting rifles, flash suppressors (A0001/100%)				
		A0001	14,577,713	Air defence simulator training equipment and parts for air defence simulator training equipment (A0014/25.0%); parts for submarines and electrical engines for submarines (A0009/19.8%); rifles with war weapons list number, submachine guns, sporting rifles, smooth-bore guns, silencers, magazines, weapon sights and parts for rifles with war weapons list number, submachine guns, pistols, sporting revolvers, smooth-bore guns (A0001/12.9%); parts for combat aircraft, transport aircraft, helicopters, in-flight refuelling equipment and equipment for crews (A0010/10.1%); communications equipment, cathode ray tubes and parts for communications equipment, positioning equipment, navigation equipment (A0011/5.8%); software for aircraft parts, communications equipment and electronic equipment (A0021/4.1%); parts for sensor platforms and thermal imaging devices (A0015/3.9%)				
Brazil	121	A0001	79,470					
		A0002						
		A0003						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0013						
		A0014						
A0015								
A0016								
A0018								
A0021								
A0022								
Brunei Darussalam	15	A0002	3,587,994	Weapon sights and parts for weapon sights, on-board weapons-control systems (A0005/30.6%); electronic equipment and parts for electronic equipment, communications equipment (A0011/26.6%); parts for guns (A0002/23.7%)				
		A0003						
		A0004						
		A0005						
		A0006						
		A0011						
		A0021						
		A0002						
		A0003						
		A0004						

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Burkina Faso	1	A0008	108	Laboratory chemicals (A0008/100%)				
Burundi	1	A0006	129,650	Armoured cross-country vehicles (A0006/100%)				
Cambodia	3	A0006 A0007 A0021	620,359	Mine-clearance equipment [aid organisation], armoured cross-country vehicles and parts for mine-clearance equipment (A0006/90.4%)				
Cameroon	2	A0006 A0015	133,250	Armoured cross-country vehicles [UN mission] (A0006/88.3%)				
Central African Republic	2	A0001 A0003 A0006	222,250	Armoured cross-country vehicles (A0006/58.7%); ammunition for rifles, revolvers and pistols [all for UN mission] (A0003/37.8%)				
Chad	1	A0011 A0021 A0022	725,130	Vehicle protection systems and parts for vehicle protection systems (A0011/99.7%)				
Chile	76	A0001 A0003 A0004 A0005 A0006 A0008 A0009 A0010 A0011 A0014 A0015 A0017 A0018 A0021 A0022	43,326,919	Trucks and parts for main battle tanks, armoured vehicles, trucks, mine-clearance equipment (A0006/90.6%)				
China	21	A0007 A0008	2,902,133	Laboratory chemicals, pyrotechnic mixture for airbag gas generators and aluminium powder (A0008/94.5%)	2	A0007 A0021 A0022	5,717,955	4/Criterion 1a, 7/ A0007, A0010, A0017
China (Hongkong)	4	A0001 A0017	14,077	Parts for diving equipment (A0017/52.1%); weapon sights and parts for revolvers, sporting revolvers (A0001/47.9%)	2	A0003	6,826	2/Criterion 7/ A0003

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Colombia	16	A0004	2,870,584	Parts for armoured vehicles (A0006/59.2%);				
		A0006						
		A0009						
		A0010						
		A0011						
		A0016						
		A0017						
A0021								
A0022								
Congo, Dem. Republic	3	A0006	303,900	Armoured cross-country vehicles and parts for armoured cross-country vehicles [embassy] (A0006/98.3%)				
		A0007						
Costa Rica	2	A0006	496,167	Trucks, cross-country vehicles, trailers and parts for cross-country vehicles (A0006/100%)				
Côte d'Ivoire	3	A0006	341,896	Trucks, armoured cross-country vehicles and parts for trucks [all for EU or UN mission] (A0001/100%)				
Dominican Republic					1	A0001	390	5/Criterion 7/A0001
Ecuador	2	A0009 A0017	27,896	Parts for diving equipment (A0017/59.3%); parts for frigate (A0009/40.7%)				2/Criterion 3.7/A0001, Firearms Regulation
Egypt	68	A0004	399,826,609	Submarine, underwater detection equipment and parts for submarines, frigates, corvettes, underwater detection equipment (A0009/90.5%)				1/Criterion 2/A0006
		A0005						
		A0009						
		A0010						
		A0011						
		A0013						
		A0014						
		A0015						
		A0016						
		A0017						
		A0021						
		A0022						
Equatorial Guinea	3	A0010	101,376	Parts for transport aircraft (A0010/100%)				
Eritrea	1	A0006	243,300	Armoured cross-country vehicles [embassy] (A0006/100%)				

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position							
Georgia	2	A0001	72,845	Target range-finders (A0005/52.5%);	2	A0001	33,314	4/Criterion 2, 3, 7/ A0001, Firearms Regulation							
		A0005		binoculars with laser protection (A0017/36.7%)											
Ghana	3	A0003	643,404	Templates for bridges, towing boats and parts for bridges (A0017/66.1%);											
		A0006		ammunition for rifles (A0003/31.9%)											
		A0010													
		A0017													
		A0001		Ship body conduits											
		A0002		and parts for submarines, combat vessels, frigates, patrol boats, ships, underwater detection equipment (A0009/54.0%);											
		A0003		technology for border security system, technical documents for parts for smooth-bore guns, technology for ammunition parts, technology for warning equipment, technology for ground vehicle parts, technology for naval equipment, technology for aircraft equipment and technology for electronic parts (A0022/13.0%);											
India	431	A0014	104,685,099	parts for main battle tanks, armoured vehicles and cannon mounts (A0006/4.5%);				2/Criterion 1, 4, 7/ A0006, A0018							
		A0015		communications equipment, measuring equipment, testing equipment, travelling wave tubes, cathode-ray tubes, navigation equipment and parts for head-up displays, communications equipment, signal analysis equipment, broadband direction finders, measuring equipment, testing equipment, insulation, positioning equipment, navigation equipment, guidance equipment (A0011/4.2%);											
		A0016		parts for torpedoes, missiles, firing equipment and testing equipment (A0004/3.9%);											
		A0017		parts for image intensifier equipment and infrared equipment (A0015/3.8%)											
		A0018		Communications equipment, navigation equipment and parts for communications equipment (A0011/27.3%);											
		A0021		parts for submarines (A0009/21.4%);											
		A0022		submarine training equipment (A0014/11.9%);											
		Indonesia		66					A0001	23,110,235	Communications equipment, navigation equipment and parts for communications equipment (A0011/27.3%);	3	A0005 A0007	491,900	1/Criterion 7/ A0022
									A0003						
									A0004						
									A0005						
									A0006						
									A0007						
									A0009						
									A0010						

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position												
Iraq	28	A0011	44,526,356	rifles with war weapons list number, submachine guns, sporting pistols, silencers, weapon sights and parts for rifles with war weapons list number, submachine guns (A0001/11.0%); parts for torpedoes and air defence systems (A0004/8.0%); chassis for armoured wheeled vehicles, semi-trailers and parts for armoured vehicles, cross-country vehicles (A0006/7.0%)				3/ Criterion 1, 2, 7/ A0001, A0002, A0003, A0013												
		A0014																		
		A0017																		
		A0018																		
		A0021																		
		A0022																		
		A0001							Ammunition for rifles, revolvers, pistols and parts for cannon ammunition (A0003/44.9%); armoured vehicles, mine-clearing equipment, armoured cross-country vehicles and parts for armoured vehicles, trucks, cross-country vehicles, mine-clearing equipment, ballistic protection [all for UN mission or embassy] (A0006/14.3%); communications equipment and parts for radar systems, communications equipment (A0011/13.9%); missiles, missile launchers, missile defence systems and parts for missile defence systems (A0004/12.2%)	1	A0016	107,949								
		A0002																		
		A0003																		
		A0004																		
		A0006																		
		A0007																		
		A0011																		
		A0013																		
		A0014																		
		A0021																		
		A0022																		
		Israel ⁵⁷											295	A0001	53,866,312	Cross-country vehicles, armoured cross-country vehicles and parts for main battle tanks, armoured vehicles, launching vehicles, ballistic protection (A0006/42.7%); ship body conduits and parts for submarines, combat vessels, air-independent propulsion systems, underwater detection equipment (A0009/12.0%);				
														A0002						
														A0003						
														A0004						
														A0005						
A0006																				
A0007																				
A0008																				
A0009																				
A0010																				
A0011																				
A0013																				
A0014																				
A0015																				
A0016																				
A0017																				

⁵⁷ For reasons of international law, this list of documented exports to Israel can also include exports which were licensed for end-use by the Palestinian Authority or the Palestinian police force.

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position		
Israel ⁵⁷		A0018		technology for ammunition control boxes, parts for smooth-bore guns, technology for thermal imaging device parts, warning system parts, missile parts, torpedo parts, technology for sensor parts, ground vehicle parts, databases for detection equipment, technology for naval equipment, technology for aircraft equipment, technical documents for ballistic samples, technology for detector parts, sensor parts and technology for electricity supplies (A0022/9.1%);						
		A0019			marine minesweeping equipment					
		A0021			and parts for torpedoes, missiles, missile defence systems, explosive ordnance disposal equipment (A0004/8.9%);					
		A0022			electronic equipment, communications equipment, measuring equipment, testing equipment, cathode-ray tubes, assemblies					
					and parts for electronic equipment, communications equipment, measuring equipment, testing equipment, navigation equipment, guidance equipment, electricity supplies (A0011/7.4%)					
	Jamaica	1	A0006	135,511	Parts for armoured vehicles (A0006/100%)					
	Jordan	19	A0001	16,605,070	Infantry fighting vehicles, training tanks and parts for armoured vehicles (A0006/77.0%);					
			A0002							
			A0003							
			A0006				image intensifier equipment, thermal imaging devices			
			A0007				and parts for thermal imaging devices (A0015/7.2%);			
			A0010							
		A0011								
		A0014								
	A0015									
	A0018									
	A0022									
Kazakhstan	24	A0001	1,703,030	Hunting rifles, sporting rifles, self-loading smooth-bore hunting weapons, magazines, weapon sights and parts for hunting rifles, self-loading smooth-bore hunting weapons (A0001/55.9%);						
		A0003								
		A0008				satellite fuel and laboratory chemicals (A0008/39.8%)				
		A0010								
		A0017								

⁵⁷ For reasons of international law, this list of documented exports to Israel can also include exports which were licensed for end-use by the Palestinian Authority or the Palestinian police force.

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position								
Kenya	4	A0001	114,288	Ammunition for revolvers and pistols (all for UN mission] (A0003/57.8%); magazines, weapon sights and parts for rifles with war weapons list number [all for UN mission] (A0001/42.2%)												
		A0003														
Korea, Republic	437	A0001	275,767,901	Underwater detection equipment, ship body con- duits and parts for submarines, mine hunters, landing craft, supply vessels, combat vessels, ships, air-in- dependent propulsion systems, underwater detection equipment (A0009/33.2%); missiles, repair equipment, test equipment, ground equipment, missile defence systems and parts for torpedoes, rockets, missiles, testing equipment, ground equipment, missile defence systems (A0004/23.1%); parts for main battle tanks, armoured self-pro- pelled howitzers, armoured vehicles, trucks and ground vehicles (A0006/11.7%); engines and parts for combat aircraft, combat helicopters, aircraft, helicopters, unmanned aircraft (A0010/8.8%); technology for missile parts, technical documents for periscope parts, range finders, technology for tank components, databases for detection equip- ment, technical documents for measuring equip- ment, spectra libraries, technical documents for submarine mast, technology for aircraft parts, technology for electronic equipment and techni- cal documents for test rig parts (A0022/6.7%)												
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0008														
		A0009														
		A0010														
		A0011														
		A0013														
		A0015														
		A0016														
		A0018														
		A0021														
		A0022														
		Kosovo							1	A0018	24,522	Ballistic measurement system (A0018 / 100%)				
		Kuwait							72	A0001	20,456,147	Parts for patrol boats (A0009 / 64.6%); boresights and parts for fire control systems (A0005 / 16.0%)				
										A0002						
										A0003						
										A0004						
A0005																
A0006																
A0007																
A0009																
A0013																
A0021																

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Kyrgyzstan	2	A0001	15,868	Hunting rifles (A0001/100%)	1	A0001	4,517	1/Criterion 3,7/A0001
Lebanon	27	A0001 A0003 A0004 A0005 A0006 A0011 A0013 A0021	4,660,233	Armoured cross-country vehicles and parts for armoured vehicles, armoured cross-country vehicles [all for embassy] (A0006/70.7%); missile defence systems for aircraft and parts for missile defence systems (A0004/11.6%)				
Macedonien, Former Yugoslav Republic	5	A0001 A0008	9,895	Hunting rifles, sporting rifles, magazines and parts for hunting rifles (A0001/99.6%)				1/Criterion 7/A0001
Malaysia	107	A0001 A0004 A0005 A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0017 A0018 A0021 A0022	61,856,877	Material packages for coastguard boats and parts for submarines, minesweepers, combat vessels, electric motors for submarines, underwater detection equipment (A0009/78.0%); fire control units, target range-finding systems, coastal surveillance radar and parts for fire control equipment, gun laying equipment, on-board weapons-control systems, target surveillance systems, positioning equipment (A0005/10.3%)	3	A0001 A0013	132,814	4/Criterion 2, 3, 7/A0001, A0003, A0013
Mali	15	A0001 A0003 A0005 A0010 A0011 A0013 A0021	2,771,165	Target range-finders, calibration equipment and parts for target range-finders, multifunction radar [UN mission] (A0005/36.4%); mine protection suits and ballistic inserts for bulletproof vests (A0013/30.0%); communications equipment and parts for communications equipment (A0011/23.2%)				
Mauritius	11	A0001 A0011 A0021	323,340	Communications equipment and parts for communications equipment (A0011/84.3%)				

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Mexico	21	A0005	5,859,597	Parachutes and parts for transport aircraft, helicopters (A0010/63.8%); communications equipment, navigation equipment and parts for communications equipment, navigation systems (A0011/32.8%)	1	A0001	14,340	3/Criterion 3, 7/A0001, Firearms Regulation
		A0008						
Moldova	3	A0010	8,091	Hunting rifles (A0001/98.3%)	1	A0001	14,340	3/Criterion 3, 7/A0001, Firearms Regulation
		A0021						
Mongolia	19	A0011	120,572	Hunting rifles and parts for hunting rifles (A0001/52.4%); ammunition for hunting and sporting weapons (A0003/47.6%)	1	A0001	2,866	1/Criterion 7/A0001
		A0022						
Montenegro	3	A0001	34,445	Bomb protection suits (A0013/93.7%)	1	A0001	2,866	1/Criterion 7/A0001
		A0013						
Morocco	25	A0001	14,309,782	Ground surveillance radar and parts for fire control systems, on-board weapons-control systems ground surveillance radar (A0005/51.1%); ground support equipment for loading, parachutes and parts for transport aircraft, parachutes (A0010/25.6%); parts for electronic equipment and communications equipment (A0011/11.2%)	1	A0001	2,866	1/Criterion 7/A0001
		A0005						
Myanmar	37	A0006	275,982	Pistols, hunting rifles, magazines, weapon sights and parts for hunting rifles, self-loading rifles (A0001/55.2%); ammunition for rifles, hunting weapons, sporting weapons, revolvers and pistols (A0003/30.1%)	1	A0010	9,120	1/Criterion 1, 3/A0010
		A0016						
Namibia	37	A0001	275,982	Pistols, hunting rifles, magazines, weapon sights and parts for hunting rifles, self-loading rifles (A0001/55.2%); ammunition for rifles, hunting weapons, sporting weapons, revolvers and pistols (A0003/30.1%)	1	A0010	9,120	1/Criterion 1, 3/A0010
		A0003						
Nepal	37	A0006	275,982	Pistols, hunting rifles, magazines, weapon sights and parts for hunting rifles, self-loading rifles (A0001/55.2%); ammunition for rifles, hunting weapons, sporting weapons, revolvers and pistols (A0003/30.1%)	1	A0010	9,120	1/Criterion 1, 3/A0010
		A0016						
Nepal	37	A0001	275,982	Pistols, hunting rifles, magazines, weapon sights and parts for hunting rifles, self-loading rifles (A0001/55.2%); ammunition for rifles, hunting weapons, sporting weapons, revolvers and pistols (A0003/30.1%)	1	A0010	9,120	1/Criterion 1, 3/A0010
		A0003						
Nepal	37	A0006	275,982	Pistols, hunting rifles, magazines, weapon sights and parts for hunting rifles, self-loading rifles (A0001/55.2%); ammunition for rifles, hunting weapons, sporting weapons, revolvers and pistols (A0003/30.1%)	1	A0010	9,120	1/Criterion 1, 3/A0010
		A0016						
Nepal	37	A0001	275,982	Pistols, hunting rifles, magazines, weapon sights and parts for hunting rifles, self-loading rifles (A0001/55.2%); ammunition for rifles, hunting weapons, sporting weapons, revolvers and pistols (A0003/30.1%)	1	A0010	9,120	1/Criterion 1, 3/A0010
		A0003						

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Nicaragua	1	A0006	1,250,000	Trucks and cross-country vehicles (A0006/100%)				
Niger	1	A0004	660,000	Missile defence system for aircraft and parts for missile defence system (A0004/100%)				
Nigeria	4	A0006 A0008 A0013 A0014 A0021	1,893,836	Firing simulators (A0014/84.8%)				
Oman	195	A0001 A0003 A0004 A0005 A0006 A0007 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0021 A0022	39,204,229	Trucks and parts for main battle tanks, armoured vehicles, trucks (A0006/35.1%); submachine guns, machine guns, pistols, hunting rifles, sporting pistols, self-loading rifles, smooth-bore guns, magazines, weapon sights and parts for rifles with war weapons list number, submachine guns, machine guns, pistols, hunting rifles, self-loading rifles, smooth-bore guns (A0001/22.1%); flight simulator and parts for flight simulators (A0014/10.2%); target range-finding system and parts for fire control systems, gun laying equipment (A0005/8.8%); communications equipment, navigation equipment, electricity supplies and parts for communications equipment (A0011/7.7%)				
Pakistan	58	A0001 A0002 A0003 A0004 A0005 A0006 A0008 A0009 A0010 A0011 A0017 A0018 A0021 A0022	23,600,854	Trucks, mine-clearance equipment, armoured cross-country vehicles (embassy) and parts for armoured vehicles, trucks, mine-clearance equipment (A0006/45.0%); communications equipment, jamming device, measuring equipment, testing equipment, cathode-ray tubes, guidance equipment and parts for communications equipment, jamming device, radar surveillance, positioning equipment, electricity supplies (A0011/26.1%); engines, ground equipment to filter fuel and parts for combat aircraft, ground equipment to filter fuel (A0010/17.4%)				5/Criterion 1, 2, 3, 4, 7/ A0001, A0005, A0006, Firearms Regulation

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Panama								1/Criterion 7/A0022
Paraguay	3	A0001 A0003 A0008	150,752	Parts for ammunition for rifles (A0003/99.7%)	2	A0001 A0003	27,790	1/Criterion 7/A0001
Peru	18	A0001 A0004 A0005 A0006 A0009 A0010 A0011 A0014 A0022	58,105,993	Trucks and parts for armoured vehicles, trucks (A0006/91.5%)				2/Criterion 7/ Firearms Regulation
Philippines	4	A0007 A0010 A0021 A0022	58,517	Detection equipment and parts for detection equipment (A0007/78.5%); parts for transport aircraft (A0010/11.8%)				
Qatar	46	A0001 A0003 A0004 A0005 A0006 A0008 A0010 A0011 A0015 A0016 A0017 A0022	10,226,245	Engines, anti-g trousers and parts for combat aircraft, helicopters, engines (A0010/41.5%); trucks and parts for armoured vehicles, trucks (A0006/31.2%); forged and unfinished components (A0016/10.6%)				
Russian Federation	3	A0001 A0003	30,740	Rifles without war weapons list numbers, hunting rifles and parts for hunting rifles (A0001/99.6%)	3	A0001	24,524	5/Criterion 1/ A0001, A0006, A0008
San Marino	1	A0013	930	Inserts for ballistic protective vests (A0013/100%)				

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position							
Saudi Arabia	156	A0001	529,705,969	Helicopters, radar cleaning system and parts for combat aircraft, combat helicopters, transport aircraft, tanker aircraft, aircraft, helicopters, in-flight refuelling equipment, ground equipment, breathing air supply (A0010/83.7%)	3	A0001	23,667	2/Criterion 2, 2/ Criterion 2, national policy (Small Arms Principles) A0001, A0005, A0018							
		A0002													
		A0003													
		A0005													
		A0006													
		A0007													
		A0008													
		A0009													
		A0010													
		A0011													
		A0014													
		A0015													
		A0016													
		A0017													
		A0018													
A0021															
A0022															
Senegal	3	A0001	271,274	Image intensifier equipment and parts for image intensifier equipment (A0015/86.8%)		A0001									
		A0015													
Serbia	32	A0001	439,760	Communications equipment and parts for communications equipment (A0011/45.5%); pistols, hunting rifles, magazines and parts for rifles with war weapons list number, submachine guns, pistols, hunting rifles (A0001/40.7%)	1	A0018	7,168	2/Criterion 7/ A0018							
		A0004													
		A0006													
		A0007													
		A0008													
		A0011													
		A0013													
		A0018													
		A0021													
		A0022													
		Singapore				138			A0001	97,549,912	Ammunition for cannons and parts for ammunition for guns, cannons, mortars (A0003/67.9%); gun laying equipment, target range-finding systems and parts for fire control equipment, on-board weapons-control systems, observation systems (A0005/11.2%); parts for main battle tanks, armoured vehicles, amphibious vehicles and trucks (A0006/7.6%)		A0001		
									A0002						
A0003															
A0004															
A0005															
A0006															
A0007															
A0008															
A0009															
A0010															
A0011															
A0013															
A0014															
A0016															
A0017															
A0018															
A0021															
A0022															

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Somalia	8	A0006 A0013	1,633,369	Armoured cross-country vehicles and parts for armoured vehicles, ballistic protection [all for EU mission, UN mission or World Bank Group] (A0006/99.5%)				
South Africa	156	A0001 A0002 A0003 A0004 A0005 A0006 A0008 A0009 A0010 A0011 A0015 A0016 A0017 A0018 A0021 A0022	62,709,253	Ammunition for howitzers, grenade launchers, automatic grenade launchers, hunting weapons, sporting weapons and ammunition parts for the following: howitzers, cannons, mortars, grenade launchers, automatic grenade launchers, hunting weapons, sporting weapons (A0003/53.3%); thermal imaging devices and parts for thermal imaging devices (A0015/13.2%); parts for armoured vehicles (A0006/12.8%); target range-finders and parts for fire control systems (A0005/7.4%)	9	A0001 A0018	548,463	11/Criterion 2, 7, national policy (Small Arms Principles) A0001, A0018, Firearms Regulation
South Sudan	8	A0001 A0003 A0006	1,617,617	Armoured cross-country vehicles and parts for mine-clearance equipment, armoured cross-country vehicles [all for EU mission, UN mission, embassy or African Development Bank] (A0006/83.6%)				
Sri Lanka	6	A0003 A0008 A0009 A0013 A0017 A0022	170,087	Parts for patrol boats (A0009/72.1%); diving equipment and parts for diving equipment (A0017/13.6%)				
Sudan	1	A0006	169,000	Armoured cross-country vehicles and parts for armoured cross-country vehicles [all for embassy] (A0006/100%)				
Syria	7	A0006	1,239,918	Armoured cross-country vehicles and parts for ballistic protection [all for UN mission] (A0006/100%)				
Tajikistan	3	A0006 A0011 A0013	867,871	Armoured cross-country vehicles (A0006/97.9%)				

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Taiwan	44	A0001	19,568,308	Pistols and parts for pistols (A0001/61.8%); parts for submarines, frigates, mine-hunters, minesweepers, combat vessels and underwater detection equipment (A0009/14.3%); ammunition for revolvers, pistols and launcher systems (A0003/14.1%)				2/Criterion 4/ A0011, A0014
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0011						
		A0017						
A0018								
Tanzania	6	A0001	1,154,204	Armoured cross-country vehicles (A0006/56.3%); hunting rifles and weapon sights (A0001/27.8%)				
		A0003						
		A0005						
		A0006						
		A0001						
		A0003						
Thailand	50	A0001	74,453,407	Helicopters, ground equipment and parts for combat helicopters, transport aircraft, aircraft, helicopters (A0010/76.7%); fire control systems and parts for fire control systems (A0005/16.5%)	4	A0001	180,435	10/Criterion 2, 3, 4/ A0005, A0010, A0011, A0014, A0015, A0018, Firearms Regulation
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0021						
		A0022						
		A0004						
		A0006						
A0007								
A0008								
A0013								
A0015								
A0021								
Tunisia	14	A0004	2,658,257	Trucks and parts for armoured vehicles, trucks (A0006/66.3%); security steel, safety insulating glass and helmets (A0013/16.9%)				
		A0006						
		A0007						
		A0008						
		A0013						
		A0015						
		A0021						
Turkmenistan	9	A0004	6,385,874	Communications equipment and parts for communications equipment, radio reconnaissance (A0011/40.6%); security steel (A0013/19.3%); parts for armoured vehicles (A0006/16.7%); air defence systems (without weapons) and parts for air defence systems (A0004/14.8%)				
		A0006						
		A0008						
		A0011						
		A0013						
		A0021						
		A0021						

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Uganda	5	A0006 A0010 A0015	404,798	Trucks and armoured cross-country vehicles (A0006/91.1%)	1	A0006	107,700	1/Criterion 7/ A0006
Ukraine	47	A0001 A0003 A0007 A0011 A0021	2,579,218	Hunting rifles, sporting rifles, gun mounts, magazines, flash suppressors and parts for hunting rifles, sporting rifles (A0001/70.2%); ammunition for rifles, hunting weapons, sporting weapons, smooth-bore guns and ammunition parts for hunting weapons, sporting weapons, revolvers, pistols (A0003/15.0%)	10	A0001 A0002 A0003 A0004	236,366	9/Criterion 3, 4, 7/ A0001, A0002, A0003, A0004, Firearms Regulation
United Arab Emirates	215	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0017 A0018 A0021 A0022	169,475,128	Armoured engineering vehicles, trucks, mine-clearing equipment, trailers, armoured cross-country vehicles and parts for main battle tanks, armoured self-propelled howitzers, armoured vehicles, amphibious vehicles, trucks, mine-clearance equipment, ballistic protection (A0006/41.9%); protective suits, ballistic protection equipment and parts for ventilation system, mass spectrometer, detection equipment, radiation detection equipment (A0007/20.4%); parts for flight simulators and combat training centre (A0014/5.6%); fire control units, target range-finding systems, ground surveillance radar and parts for fire control equipment, weapon sights, on-board weapons-control systems, positioning radar, ground surveillance radar (A0005/4.8%); software for coastal protection systems, weapon control systems, communications equipment, flight simulator, training equipment and decoding (A0021/4.6%); ammunition for grenade launchers, automatic grenade launchers, rifles, submachine guns, hunting weapons, sporting weapons, revolvers, pistols, decoy launcher systems, smoke dischargers, smooth-bore guns and parts for cannon ammunition, mortar ammunition, rifle ammunition (A0003/4.4%)				1/Criterion 2/ A0002, A0003

Country	No. of licences	EL position	Total value in €	Goods/as % of total value	Denials of final exports	EL position	Total value in €	No. of denials/reasons/EL position
Uruguay	7	A0001 A0007	57,236	Revolvers, pistols, hunting rifles, magazines and parts for revolvers (A0001/87.9%)				
Uzbekistan	1	A0010	1,435	Parts for transport aircraft (A0010/100%)				1/Criterion 3/ A0001
Venezuela								2/Criterion 3,7/ A0011, A0017
Viet Nam	7	A0005 A0008 A0010 A0011 A0021	1,411,724	Communications equipment and parts for communications equipment (A0011/83.0%)	2	A0011 A0018 A0021	2,550,856	2/Criterion 2/ A0011, A0018, A0021
Yemen	2	A0001	16,996	Rifles with war weapons list number, submachine guns and parts for rifles with war weapons list number [all for UN mission] (A0001/100%)				
Zambia	17	A0001 A0003	122,494	Hunting rifles, magazines, flash suppressors and parts for hunting rifles, flash suppressors (A0001/86.5%)	1	A0001	6,610	1/Criterion 7/ A0001
Total Third countries	3,426		3,667,551,002		60		10,980,061	
Total NATO and NATO-equivalent countries and third countries	12,215		6,847,689,283		61		11,032,133	

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

The licensing figures for the 2016 half-year report were adjusted to take account of residual values from licences which were taken over. These values are not normally listed a second time, because the values of the original licences have already been included in previous years' reports. If they were listed again, the values of licences would be included twice in the statistics.

Annex 8a

Retrospective changes to the data used in the 2015 Report (status January 2016) with comparative data, status January 2017

Country	Number in 2015 Report	Value in 2015 Report	Altered licences / reports	Change in number	Change in value	Reason for change
Australia	424	58,972,243	1		+€12,875	Price change
Austria	493	27,331,846	4		+€38,436	Price change
India	356	153,645,088	1	-1	-€93,384	Successful challenge against partial denial. New licence in 2017
Korea, Republic	384	515,915,442	1		+€211,632	Price change
Total			7	-1	+€169,559	

Change in designation

Country	Previous designation	Previous value	New designation	New value
India	A0022B3	€30,000	A0022A	€30,000
Norway	A0022B3	€105,746	A0022A	€105,746
Oman	A0022B3	€8,100	A0022A	€8,100
Thailand	A0005	€11,583,299	A0005	€11,573,299
	A0022A	€1,000	A0022A	€11,000
United States	A0001A-03 – Revolver und Pistolen	€74	A0001A-20 – Selbstladebüchsen	€74
	A0001A-03 – Revolver und Pistolen	€894	A0001A-02 – Gewehre mit KWL-Nummer	€894
United States	A0001A-03 – Revolver und Pistolen	€481	A0001A-20 – Selbstladebüchsen	€481

Annex 9

Collective export licences in 2016

In 2016, a total of 12 new collective export licences were authorised for military equipment (final exports) with a total value of €58,700,000.

Number of collective licences	Export List positions	Total value in €
12	A0004 A0010 A0021 A0022	58,700,000

Countries of destination of the newly approved collective export licences (2016)

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

Country of destination	Number of collective licences
Austria	3
Belgium	2
Canada	3
France	3
Greece	1
Italy	6
Luxembourg	1
Spain	8
Sweden	1
United Kingdom	6
United States	4

Joint programmes for which collective export licences were approved in 2016

Joint programme	Commercial technology transfer in the context of the European MALE RPAS (Medium Altitude Long Endurance Remotely Piloted Aircraft System) Definition Study
Number of collective licences	1
Value of collective licences	€22,700,000
Main EL positions	A0021, A0022
Countries of final destination	Belgium, France, Italy, Spain

Joint programme	1030 – PATRIOT
Number of collective licences	1
Value of collective licences	€0
Main EL positions	A0021, A0022
Countries of final destination	Greece, Luxembourg, United States
Joint programme	1039 – PATRIOT / PAC 3 FK
Number of collective licences	2
Value of collective licences	€9,000,000
Main EL positions	A0004, A0021, A0022
Countries of final destination	United States
Joint programme	1090 – EUROFIGHTER/EF2000/EF200
Number of collective licences	3
Value of collective licences	€10,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Austria, Belgium, Canada, Italy, Spain, Sweden, United Kingdom, United States
Joint programme	1095 – EF Turbine EJ200 for Arab states
Number of collective licences	2
Value of collective licences	€5,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	Italy, Spain, United Kingdom
Joint programme	1120 – PAH-2/TIGER anti-tank helicopter
Number of collective licences	2
Value of collective licences	€10,000,000
Main EL positions	A0010, A0021, A0022
Countries of final destination	France, Spain
Joint programme	3014 – MRCA – Tornado RSAF
Number of collective licences	1
Value of collective licences	€2,000,000
Main EL positions	A0010
Countries of final destination	United Kingdom

Annex 10

Brokering licences by country in 2016 (Part IA – military articles; final exports)

Country of destination	Number	Total value in €	Description of articles	Value in €	EL position	Country of origin
Afghanistan	1	2,107,520	1 armoured cross-country vehicle [GIZ]	2,107,520		United Arab Emirates
Algeria	1	53,257	2 parts for communications equipment; 2 software packages for communications equipment	50,801 2,456	A0011A A0021A	Switzerland Switzerland
Brazil	6	192,317	10 parts for communications equipment; 18 software packages for communications equipment	178,462 13,855	A0011A A0021A	Switzerland Switzerland
Burundi	1	213,896	1 armoured cross-country vehicle [EU delegation]	213,896	A0006B	United Arab Emirates
Chile	1	2,500,000	4 laser warning systems for frigate	2,500,000	A0005C	South Africa
Kenya	2	463,792	2 armoured cross-country vehicles [EU delegation]	463,792	A0006B	United Arab Emirates
Korea, Republic	2	1,724,300	1 part for mine neutralisation system; 770 parts for submarines	1,720,000 4,300	A0004B A0009A	Israel United States
Libya	1	900,000	6 armoured cross-country vehicles	900,000	A0006B	United Arab Emirates
Nigeria	1	222,896	1 armoured cross-country vehicle [EU delegation]	222,896	A0006B	United Arab Emirates
Norway	3	67,350	291kg chemicals for rocket fuel	67,350	A0008F	Korea, Republik
Qatar	2	10,949,257	3,306 items ammunition for howitzers 50 night vision binoculars	10,532,160 417,097	A0003A A0015C	South Africa United States
Saudi Arabia	2	4,817,290	2 ground surveillance radar systems; 2 jamming transmitter systems	517,290 4,300,000	A0005B A0011A	United States South Africa
Somalia	3	790,686	5 armoured cross-country vehicles [EU delegation, GIZ]	790,686	A0006B	United Arab Emirates
Turkey	1	4,227,000	19 communications equipment systems	4,227,000	A0011A	United States
Total	27	29,229,561		29,229,561		

Rejected licences for trading and brokering transactions (Part IA – military articles, final exports) in 2016

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

Annex 11

Reported exports of small arms and light weapons to the UN Register of Conventional Arms in 2016

1. Small arms

1.1 Revolvers and semi-automatic pistols

Final country of import	Quantity	Notes re transfer
	keine	

1.2 Rifles and carbines

Final country of import	Quantity	Notes re transfer
France	2	
India	158	

1.3 Submachine guns

Final country of import	Quantity	Notes re transfer
Belgium	246	
Brazil	674	
Canada	2	
Croatia	2	
Czech Republic	360	
Denmark	65	
Finland	113	
France	2,386	
India	128	
Indonesia	450	
Ireland	90	
Italy	111	
Japan	5	
Korea, Republic	25	
Latvia	90	
Lebanon	8	
Luxembourg	9	
Malaysia	100	
New Zealand	20	
Norway	10	
Oman	50	
Poland	261	
Romania	100	
Spain	221	

1.3 Submachine guns

Final country of import	Quantity	Notes re transfer
Sweden	384	
Switzerland	77	
Turkey	1	
United Arab Emirates	565	
United Kingdom	10	
United States	31	
Yemen	5	UN mission

1.4 Assault rifles

Final country of import	Quantity	Notes re transfer
Argentina	100	
Belgium	20	
Brazil	606	
Canada	11	
Czech Republic	172	
Finland	60	
France	4713	
Hungary	310	
Indonesia	949	
Iraq	4,000	Equipment aid to Kurdish regional government
Ireland	15	
Italy	34	
Korea, Republic	25	
Lithuania	6,415	
Luxembourg	10	
Malaysia	100	
The Netherlands	1,336	
Norway	4	
Poland	607	
Portugal	24	
Romania	26	
Slovenia	146	
Spain	794	
Sweden	152	

1.4 Assault rifles

Final country of import	Quantity	Notes re transfer
United Arab Emirates	77	
United Kingdom	207	of which 6 for Gibraltar
United States	4	
Yemen	5	UN mission

1.5 Light machine guns

Final country of import	Quantity	Notes re transfer
Belgium	3	
Croatia	2	
Malaysia	10	
Oman	660	
Spain	1	
Turkey	1	

2. Light weapons

2.1 Heavy machine guns

Final country of import	Quantity	Notes re transfer
	none	

2.2 Grenade launchers integrated into small arms or assembled individually

Final country of import	Quantity	Notes re transfer
Argentina	16	
Belgium	17	
Canada	5	
France	35	
Lithuania	1,170	
Malta	6	
The Netherlands	12	
Norway	6	
Poland	61	
Slovakia	12	
Spain	10	
Turkey	1	
United Kingdom	12	

2.3 Recoilless rifles

Final country of import	Quantity	Notes re transfer
Belgium	509	
Italy	6	
United States	10	

2.4 MANPADS

Final country of import	Quantity	Notes re transfer
Romania	82	
South Africa	5	

Annex 12

Exports of war weapons in 2016 (commercial and German Ministry of Defence), broken down by country of destination and value⁵⁸

Country	Value in € 1,000
Algeria	887,607
Australia	10
Austria	1,294
Belgium	595
Brazil	46
Brunei Darussalam	602
Canada	4,622
Croatia	17
Czech Republic	767
Denmark	602
Finland	249
France	14,163
Greece	7,190
Hungary	481
India	3,309
Indonesia	90,693
Iraq	17,226
Ireland	121
Israel	12,748
Italy	3,615
Japan	49
Jordan	6,945
Korea, Republic	356,458
Kosovo	68
Kuwait	415
Latvia	152
Lebanon	9

Country	Value in € 1,000
Lithuania	4,550
Luxembourg	32
Malaysia	13,591
Malta	6
The Netherlands	13,692
New Zealand	32
Norway	8,147
Oman	884
Poland	4,312
Portugal	44
Qatar	790,500
Romania	3,909
Saudi Arabia	18,384
Singapore	82,200
Slovenia	212
South Africa	4,098
Spain	3,646
Sweden	14,804
Switzerland	16,771
Turkey	48,950
United Arab Emirates	27,950
United Kingdom	20,530
United Kingdom (Gibraltar)	8
United States	14,439
Yemen	8
Total	2,501,752

⁵⁸ Including exports to UN missions

Annex 13

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

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

(1) The United Nations General Assembly resolution 68/L.20 adopted on 4 December 2013 decided that Equatorial Guinea will graduate from the least developed country category three and a half years after the adoption of the resolution and that Vanuatu will graduate four years after the adoption of the resolution.

(2) Antigua and Barbuda, Chile and Uruguay exceeded the high income country threshold in 2012 and 2013. In accordance with the DAC rules for revision of this List, all three will graduate from the List in 2017 if they remain high income countries until 2016.

