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Report
by the Government of the
Federal Republic of Germany
on Its Policy on Exports of Conventional Military Equipment
in 2001
(2001 Military Equipment Export Report)

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Summary

With reference to Item 5 of the “Political Principles of the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment”¹ as amended on 19 January 2000, the German government is pleased to submit herewith its third Report on Military Equipment Exports covering the year 2001.²

¹ Cf. Annex I

² The Military Equipment Export Reports submitted thus far have been published as Bundestag off-prints (cf. BT-Drucksache 14/4179 for the year 1999; BT-Drucksache 14/7657 for the year 2000) and may be found on the Internet at: <http://www.bmwa.de> (“Politikfelder“ ← “Außenwirtschaft & Europa” ← “Exportkontrolle”).

War weapon exports³ amounted to DM 718.4 million in the year under review and thus declined by 46% from the level recorded for 2000. Recipients of these exports were almost exclusively countries from the EU and NATO, and countries with NATO-equivalent status (Australia, Japan, New Zealand, and Switzerland). The share of exports going to so-called third countries, i.e. countries outside the EU, NATO, or the group of countries with NATO-equivalent status, continues to be small. In 2001, classic developing countries⁴ continued not to play any role as recipients of German exports of war weapons.

Owing to differences in the systematic approaches taken by the EU's Common List of Exports and the Eurostat list of goods, there are no statistics on actual exports of military equipment such as are found on the internationally largely harmonized so-called Common List of Military Equipment and also include – in addition to war weapons – other diverse items of military equipment as well as articles including pistols and hunting and sporting weapons; statistics have been compiled only from the applications that have been filed for export licenses. Experience shows that figures for the military equipment actually exported normally fall short of those compiled from the export licenses.

In year under report, the total value of individual export licenses issued for war weapons and other military equipment amounted to DM 7.209 billion. By comparison with the year 2000, the value of the individual licenses for exports to EU and NATO countries and countries with NATO-equivalent status has basically remained constant. The value of collective export licenses has continued to increase. This is a direct result of the Eurofighter Program which began last year and reflects the politically desired cooperation on defense technology among EU and NATO partners. There was also a sizable increase in the value of licenses for exports to third countries, but this was exclusively the result of the special factor accounted for by the licensing of a submarine delivery to South Korea. The fundamentally restrictive licensing practice for exports to third countries was thus not placed in question. As countries of destination, classic

³ Exports of military equipment from Germany to other Member States of the European Union are designated as “consignments” (cf. Section 7(1) in conjunction with Section 4c(2) of the Foreign Trade and Payments Ordinance). In the interest of simplification, however, “consignments” are also referred to as “exports” in this Report.

⁴ Developing countries and developing territories pursuant to Part 1 of the List of the OECD's Development Assistance Committee for 2001 without the countries featuring high and upper medium incomes, e.g. NATO-partner Turkey, as well as Slovenia, Malaysia, and Saudi Arabia.

developing countries therefore account for merely a negligible quantity (just under 1.5% of the total value for individual licenses in 2001), also in the case of export licenses issued.

I. The German Control System for Military Equipment Exports

1. The German export control system

Military equipment (war weapons and other military equipment) that is subject to export controls is laid out in Part I Section A of the Export List⁵; war weapons are additionally set forth in the itemized List of War Weapons⁶. Since Part I of the 1999 Military Equipment Export Report already described in detail and context the German system of export controls for military equipment, and since, once again in the present reporting year, no significant changes have been made to the system, readers are referred to the 1999 Military Equipment Export Report.

2. Application of the political principles

Relevant for German military equipment exports and thus for decision-making by public authorities are the Political Principles of the German Government as amended on 19 January 2000 which, together with the criteria of the EU Code of Conduct⁷ for Arms Exports already in force since mid-1998, provide decision-makers with guidelines in these fields. The basic elements of the Political Principles were individually outlined in Part I.2. of the 2000 Military Equipment Export Report. After the September 11, 2001 terrorist attacks in the United States, the importance above all of Item I.7. of the Political Principles became evident, according to which

⁵ Cf. Annex 2a; the Export List is an Appendix to the Foreign Trade and Payments Ordinance in the version promulgated on 22 November 1993 (Federal Law Gazette I 1934, 2493) as last amended by the Article 21 of the Act of 10 November 2001 (Federal Law Gazette I, p. 2992). The legal foundation for the Foreign Trade and Payments Ordinance is the Foreign Trade and Payment Act in the published streamlined version promulgated in the Federal Law Gazette III, No. 7 400-1 as last amended by the Article 20 of the Act of 10 November 2001 (Federal Law Gazette I p. 2992).

⁶ Cf. Annex 2b; the List of War Weapons is an Appendix to the War Weapons Control Act (Kriegswaffenkontrollgesetz – KWKG) in the version promulgated on 22 November 1990 (Federal Law Gazette I p. 2506) as last amended by the Act of 10 November 2001 (Federal Law Gazette I p. 2992).

⁷ Cf. Annex 1 to the 19 January 2000 Political Principles for full text.

export decisions must take into account the previous conduct of the recipient countries with regard to the support or furtherance of terrorism and internationally organized crime.

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

1. Disarmament agreements

In certain areas, export control policy on conventional military equipment is influenced by disarmament agreements that are binding under international law. The German government has supported corresponding initiatives and emphatically advocates strict compliance with internationally agreed rules. Furthermore, it supports all steps to facilitate worldwide recognition of these commitments.

The German government's activities in this area were outlined in detail in the 2001 Annual Disarmament Report.⁸

2. Arms embargoes

The international community of states has adopted a number of arms embargoes that are implemented in Germany's export policy through export prohibitions or the non-issuance of licenses. As a means of attaining specific policy objectives, such (arms) embargoes have noticeably increased in importance over the last decade. The arms embargoes in force in 2001 are listed in Annex 3; some changes were made from Annex 3 of the 2000 Military Equipment Export Report. The arms embargo against Ethiopia and Eritrea expired on 31 May 2001⁹. The arms embargo against Afghanistan was restricted to the country's territory designated by the UN Sanctions Committee as under Taliban control¹⁰. The arms embargo against Yugoslavia was removed¹¹. A new arms embargo was imposed against Liberia¹².

⁸ May be downloaded at: http://auswaertiges-amt.de/www./de/aussenpolitik/friedenspolitik/abr_und_r/index.html.

⁹ Cf. EU Council Common Position (2001/215/CFSP).

¹⁰ EU Council Common Position of 5 November 2001 (2001/771/CFSP).

¹¹ EU Common Position of 8 October 2001 (2001/719/CFSP).

3. Common Foreign and Security Policy (CFSP) in the framework of the EU

Under the Code of Conduct on Arms Exports¹³ adopted by the EU Council on 8 June 1998 the EU Member States politically committed themselves to observing certain standards in the export of conventional military equipment and dual-use goods intended for military and/or police purposes. In particular, the EU Code of Conduct covers eight criteria to be applied by Member States when deciding on individual export cases¹⁴. The operative part additionally sets forth the obligation to inform the EU partners of any export requests that have been denied; when notified on an export request denial, the EU partners are then obliged to take up consultations with the partner who issued the notification of denial if they themselves seek to authorize an essentially similar export transaction. These provisions of the Code of Conduct serve throughout the European Union to increase the transparency of the controls on exports of military equipment, further their harmonization, and foster the creation of equal terms of competition.

In the year on report, the EU Member States have continued their efforts to further develop the Code, aiming at greater harmonization and better transparency. As the result of their activities, agreement was reached in June of 2001 on making homogeneous the reporting formats for the national contributions to the common annual reports on the Code's implementation. Formats are to be homogeneous as early as the fourth annual report (for the year 2001). Moreover, the EU partners continue to work on common guidelines in connection with the need for end-use certification for the transit of military equipment through EU territory, for the license production of military equipment outside the EU, and for arms brokerage. Furthermore, the dialogue is being continued in particular with the EU accession candidates, who have already undertaken the commitment to apply the principles of the EU Code of Conduct. The dialogue with the accession candidates was intensified in the context of the seminars on the export of weapons held in Warsaw in January of 2001 and Nicosia in June of 2001.

¹² EU Common Position of 7 May 2001 (2001/357/CFSP).

¹³ Available at <http://ue.eu.int/pesc/ExportCTRL/en/Index.htm>

¹⁴ Cf. 1999 Military Equipment Export Report for further details of the EU Code of Conduct.

In compliance with the operative provisions of the Code of Conduct, the German government notified the EU partners in 2001 of a total of 14 denials. Eight consultations with other EU Member States were conducted with respect to their denial of export licenses.

In the framework of the EU's Common Foreign and Security Policy (CFSP), the European Union's position was also coordinated in advance of the UN Small Arms Conference of July 2001 (cf. I.6.). The EU was the only group of countries to submit a global action plan for the Conference.

But further progress must be made in the process of creating uniform parameters within the EU for the policy of export controls for military equipment. In essence, the German government thus supports the proposals put forth by the European Parliament in its resolution of 3 October 2001¹⁵ and will conduct itself in this spirit *vis-à-vis* its EU partners.

4. Framework Agreement Concerning Measures to Facilitate the Restructuring and Operation of the European Defense Industry

On 27 July 2000 the Framework Agreement Concerning Measures to Facilitate the Restructuring and Operation of the European Defense Industry was signed in Farnborough (UK) by France, Germany, Italy, Spain, Sweden, and the United Kingdom. The agreement seeks, among other things, to strengthen European cooperation on the export of military equipment and to arrive at a harmonized and ultimately common policy on military equipment exports. Where there is the intention of exporting military equipment to a non-signatory country in the framework of a program of cooperation on military equipment, agreement is reached by the involved signatory countries on the respective recipient country. By the end of the reporting period, all of the participating countries except for Italy had ratified the Framework Agreement. Parallel to the ratification process, procedural proposals were drafted for the practical implementation of the various aspects of the Agreement, including export controls and shipment procedures.

¹⁵ European Parliament Resolution of 3 October 2001 on the Second Annual Report of the Council pursuant to Nr. 8 of the Operative Provisions of the EU Code of Conduct on Arms Exports (A5-0309/2001).

5. The Wassenaar Arrangement

The Wassenaar Arrangement (WA)¹⁶, in force since 1996, was established to help improve international security and stability by preventing destabilizing arms stockpiling and dual-use goods and technologies. In ideal terms, this is done by the greatest possible harmonization of the 33 signatory countries' policies above all on exports of conventional military equipment and related dual-use goods and technologies. The WA provides for the participating countries with significant differences in export control philosophies to mutually inform one another of exports of major weapon systems as designated in the WA control lists are involved and if such systems are to be supplied to non-participating countries. With respect to dual-use goods, the Arrangement also requires the reporting of denied export applications.

The events of 11 September 2001 showed all of the participating countries the importance of having greater coordination of policies on weapon exports. Upon the simultaneous initiative of Germany and the United States, the Initial Elements of the Wassenaar Arrangement were supplemented at the most recent WA plenary meeting in December 2001 to explicitly include the prevention of the export of weapons or dual-use goods to terrorists as one of the objectives of the WA.

With the decisive support of the German government, success was also achieved during the period on report by adding two further categories to the seven categories on which the WA Control Lists are based and which are derived from the UN Register of Conventional Weapons whose export outside the WA group of countries must be reported to the other participating states.

However, international cooperation under the Wassenaar Arrangement is urgently in need of being further developed. The Federal Republic of Germany, together with its partners and allies in the EU and NATO, therefore advocates the WA's further development and, in particular, the step-by-step harmonization of the WA signatory countries' national military equipment export policies and practices, without which the goals of the Wassenaar Arrangement cannot be achieved. The German government, as also the large majority of the WA partners, is vigorously pursuing the inclusion of further weapon categories in the Arrangement. Work is continuing on

¹⁶ Internet at <http://www.wassenaar.org>.

expanding the transparency obligations to cover the categories of small arms and light weapons that were the subject of the UN Small Arms Conference of July 2001 (cf. I.6.). This also applies with respect to the harmonization of the extent of reporting obligations for dual-use goods that now considerably surpass those required for military equipment. Additional focuses of discussion in connection with the Wassenaar Arrangement during the period on report were the development of common positions on areas of risk for the export of military equipment, the introduction of end-use-related export controls, and the export control of the non-physical transfer of technology.

6. UN Register of Conventional Arms

The report to the UN Secretary-General under the UN Conventional Arms Register¹⁷ for the year 2001 was submitted on 4 June 2002¹⁸. Member countries are required to report notifiable weapons (major weapon systems) to the UN Conventional Arms Register; only numbers and not values are registered¹⁹.

The Federal Republic of Germany reported to the UN Conventional Arms Register the relevant military equipment, largely from Bundeswehr stocks. The 18 war weapons reported in 2002 went to the following countries:

a) Bundeswehr stocks

- Romania: 2 GEPARD anti aircraft tanks
- Thailand: 15 ALPHA JET combat aircraft

b) Commercial deliveries

- Portugal: 1 EC 635 attack helicopter without weaponry

¹⁷ Information available at Internet website <http://disarmament.un.org/cab/register.html>.

¹⁸ Cf. Annex 4.

¹⁹ The weapons are classified into the following seven categories: battle tanks, other armored combat vehicles, artillery systems with a caliber of 100 mm and above, combat aircraft, attack helicopters, warships with a standard displacement of 750 metric tonnes and above or armed with missiles or torpedoes with ranges of at least 25 km, and missiles and missile launchers with a range of at least 25 km.

Deliveries from Bundeswehr stocks comprise already used, older systems. The commercial delivery of an attack helicopter without weaponry to Portugal is not reported as an import by the Portuguese side since the helicopter will only be equipped with weaponry and made into an operational aircraft in Portugal.

7. International discussion on small arms and light weapons

Events since the second World War have shown that in wars among nations and in civil wars most of the human casualties have been caused by small arms and light weapons (e.g. submachine guns, assault rifles, light mortars, etc.) and the associated ammunition. This problem is chiefly encountered in third-world countries, in which small arms can be purchased inexpensively and illegally. Besides restricting legal, i.e. authorized supplies, the German government works at the international level to bring about an efficient prevention of the illicit trade in such weapons. The goal of the German government is to achieve - for example in the framework of the OSCE Small Arms Document²⁰ - concrete results with the strongest possible obligations binding the participating countries to take action.

The discussion conducted in various international bodies on the small arms problem continued in 2001²¹, in particular prior to and within the framework of the UN Conference on the Illicit Trade in Small Arms and Light Weapons in all of its aspects that was held in New York on 9 to 11 July 2001. The Conference adopted an action program with the goal of working against the illicit trade in small arms and light weapons and their illegal production.

In this program, United Nations Member States undertake the political commitment, within their national legal systems, to take appropriate measures to combat the illicit production and trade in small arms and light weapons and, in particular, to carry out effective export controls. Furthermore, according to the program, the States are responsible for marking the small arms and light weapons legally produced within their borders so that they may later be traced back to their place of origin. In Germany, this is already binding law. Moreover, surplus small arms and light weapons are to be destroyed insofar as possible. In addition, there is a binding follow-up

²⁰ OSCE Document on Small Arms and Light Weapons of 24 November 2000; cf. also the 2000 Military Equipment Export Report, II.7.

²¹ On the topic of the small arms problem, cf. also III.1. of the 2001 Military Equipment Export Report.

process that requires a bi-annual meeting of the Member States for a further exchange of thoughts on the program and a follow-up conference in 2006.

Although advance expectations for the UN Small Arms Conference - in particular those held by the EU Member States - have not been met in terms of substantively detailed commitments binding under international law, it is to be welcomed that agreement was reached on a final paper covering the central topics of this important field of the control of military equipment exports.

A particular problem for the Federal Republic of Germany are ultimately the illegal reproductions in the small arms sector such as G3 rifles in countries like Pakistan, Iran, etc., where know-how has been gained from decades-old license contracts. This may have the result that arms supplies are sometimes falsely described in public as being of German origin.

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

The following is an outline of military equipment exports in 2001 insofar as its disclosure is not restricted by law. In view of the legal protection afforded business and industrial secrets under Section 30 of the Law on Administrative Procedure, the names of the respective exporters cannot be released, as was already the case in the 1999 and 2000 Military Equipment Export Reports.

The Federal Office of Economics and Export Control (BAFA)²² records the export licenses granted for military equipment (war weapons and other military equipment). The figures for reporting year 2001 are displayed below, under 1. and outlined in detail in Annex 5.

Actual exports of military equipment are registered only for the sub-sector of “war weapons.” Item 2 below presents annual values as determined by Germany’s Federal Statistical Office.

Just as its two predecessors, the present Military Equipment Export Report contains no information on advance inquiries made during the year under report to determine respective export projects’ eligibility for licenses. Advance inquiries are normally made by companies at a very early stage, usually prior to the start of negotiations with potential foreign clients. Advance

²² Internet address: <http://www.bafa.de>.

inquiries are not suitable as indicators for evaluating policy on military equipment exports since, at the time of their submission, there is no certainty whether or not the project is going to be implemented. Moreover, advance inquiries are subject to a greater degree of protection as business and industrial secrets under Section 30 of the Law on Administrative Procedure since potential competitors might benefit from the publication of a planned but not contractually agreed project in the Military Equipment Export Report. The non-inclusion of advance inquiries creates no gaps in export statistics since upon later implementation of the projects the required export licenses (and additionally the actual exports in the case of war weapons) are covered in the statistics of the respective Military Equipment Export Report.

1. Licenses for the export of military equipment (war weapons and other military equipment)

Annex 5 presents an outline of the military equipment export licenses granted and/or denied in 2001²³ broken down countries of destination. The first part of this Annex shows EU Member States, the second part NATO and NATO-equivalent countries (excluding the EU Member States), and the final part third countries. For the sake of greater transparency in connection with exports to third countries, this country category has a column entitled EL Items that provides a more detailed break-down of the important products. Where applications for export licenses for a country of destination have been denied, the relevant remarks have been made in the overview with details on the number of denials, the involved EL Items, and the value of the goods. Where denial notifications have been made pursuant to the EU Code of Conduct, a corresponding remark is noted together with the reason for denial (number of the respective criterion in the Code of Conduct).

The figures presented in columns 2 to 4 relate to export licenses issued. Experience has shown that actual export values are significantly less than these license values. The reason is that some licenses remain either partly or entirely unused, or are not used during the license year.

²³ Goods figuring in Part I Section A of the Export List, Appendix AL to the Foreign Trade and Payment Ordinance.

a) Individual export licenses

In 2001 a total of 11,005 individual export license applications were approved in Germany for final exports of military equipment²⁴. The total value of the licenses – not that of actual exports – was DM 7,209,401,873. This was a 29% increase over figures for the year 2000. Of this amount, licenses for exports to EU Member States accounted for DM 2,600,599,460 and licenses for exports to NATO and NATO-equivalent countries (without EU Member States) totaled DM 1,976,582,625; altogether, the individual licenses for exports to the countries designated in II. of the Political Principles of 19 January 2000 thus reached a value of DM 4,577,182,085 and therefore increased by 4% from the level registered for the year 2000. The value of licenses for exports to third countries amounted to DM 2,632,219,788, and thus doubling from the year 2000 value. The largest share by far in value terms was accounted for by licenses for the supply of three submarines to South Korea. The total value of the individual licenses for South Korea amounts to DM 1,819,117,469. Without the submarine deliveries to South Korea, there would not have been an increase in the value of licenses for exports to third countries, which amounted to DM 1,172,897,975 in the year 2000.

For final exports of military equipment to classic developing countries²⁵, which are included in the category of “third countries,” individual licenses valued at a total of DM 105.6 million (just under 1.5% of the value of total German individual export licenses for military equipment) were issued in 2001. These licenses involved, in particular, exports to Egypt (29%), Colombia (17%), Thailand (12%), India (11%), and South Africa (10%). Some DM 8.2 million was accounted for by the poorest developing countries and other developing countries with low incomes²⁶. Such poorest countries’ share corresponds to only 0.1% of the value of all German individual export licenses for military equipment in 2001. The figures prove that the exports of military equipment to classic developing countries are only of small importance for German military equipment exports.

²⁴ Licenses of temporary exports for fairs and exhibitions or for demonstration purposes are not included.

²⁵ Developing countries and areas pursuant to Part I of the list for 2001 of the Developing Assistance Committee (DAC) of the OECD excluding countries with high and medium-range incomes.

²⁶ Poorest and other developing countries and areas with low incomes pursuant to Part 1 of the OECD’s DAC List for 2001.

b) Collective export licenses

In addition to the above, collective export licenses were issued in the total amount of DM 7,520,740,175 in 2001; with these licenses, companies were able to undertake several exports to single or several consignees abroad (above all as part of inter-governmental project cooperation). Collective export licenses were granted only for exports to NATO and NATO-equivalent countries.

Collective export licenses issued under cooperative programs are valid for two years. This results in fluctuations in the annual figures. The values applied for reflect applicants' anticipated needs in the license period. Since varying use is made of these values, which are licensed as maximum amounts, total collective-export-license values reflect Germany's export policy only to a limited extent.

c) Export license denials

In 2001, there were 75 denials of applications for military equipment exports. The total value of the denials came to DM 67,951,248. The figure does not include applications withdrawn by applicants prior to notification on account of poor chances of success.

The relatively small ratio of formally denied applications is chiefly to be explained by the fact that, prior to the submission of a license request, applicants seeking to export to sensitive destinations make a formal or informal inquiry with the control authorities about their applications' prospects. 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.

d) Most important countries of destination

The 20 most important countries of destination for which individual export licenses were granted in 2001:

Country	Value in million DM	Export List Items ²⁷
Korea, Republic of	1, 819.1	- Submarines as materials package, sonar equipment; parts for frigates, destroyers, and anti-submarine and anti-torpedo defense systems; sonar sounding systems; gyro-compass systems (0009/86.7%).
United States	1,108.6	- Small firearms and parts; accessories for small firearms (0001/57.1%) - Irritant agents, equipment for NBC defense and equipment for detecting NBC agents (0007/15.9%) - Night vision attachment, infrared or thermal imaging devices; parts for cameras, film equipment, infrared and thermal imaging equipment (0015/5.4%) - Trucks; parts for tanks and armored vehicles (0006/5.2%).
Greece	679.7	- Armored self-propelled howitzer, semi-trailer-towing vehicle, cross-country vehicles; parts for tanks and armored self-propelled

²⁷ Presented are the types of the chiefly involved military equipment for the respective country with the corresponding Export List item numbers and the respective share of the total value of military equipment licensed for export to the country. The share of the listed EL items amounts to at least 80% of the licensed exports for the respective country of destination.

		<p>howitzers, armored vehicles, and other vehicles (0006/46.9%)</p> <ul style="list-style-type: none"> - Combat aircraft and parts; parachutes (0010/17.7%) - Telescopic sights, tube-weapon sight units; parts for fire control instruments, and target surveillance and tracking systems (0005/8.4%) - Parts for torpedoes, illuminating cartridges, mine trolleys and weapon firing facilities for ships (0004/8.2%).
Italy	431.7	<ul style="list-style-type: none"> - Technical documents for small firearms, missiles, tank components, submarines, aircraft components, direction-finding equipment (for land vehicles), infrared detectors, and documentation for tactical combat simulation equipment (0022/25.6%) - Guidance and navigation equipment, ship feed-throughs; parts for combat vessels, underwater detection equipment, and guidance and navigation equipment (0009/16.0%) - Fire fighting vehicles; parts for tanks, armored self-propelled howitzers, armored vehicles, amphibious vehicles, and other vehicles (0006/15.3%)

		<ul style="list-style-type: none"> - Ammunition for recoilless weapons and grenade launchers, training ammunition for cannons; explosive stores for machine guns, howitzers, and mortars (0003/9.9%) - Target acquisition systems, bore-sighting kits; parts for fire control instruments, weapon sighting units, and target surveillance and tracking systems (0005/8.3%) - Oxygen masks; parts for combat aircraft, aircraft, on-vehicle equipment (0010/5.4%).
Turkey	327.3	<ul style="list-style-type: none"> - Smoke grenades, guided missiles, firing units for guided missiles; parts for mine-clearing devices and guided missiles (0004/63.7%) - Parts for tanks, armored vehicles, and other vehicles (0006/29.7%).
Netherlands	307.2	<ul style="list-style-type: none"> - Ammunition for revolvers, pistols, cannons, anti-armor weapons, and grenade launchers; explosive stores for howitzers, mortars, and cannons (0003/51.6%) - Gun cannons, grenade launchers, launching systems; parts for guns, cannons, grenade launchers, and launching systems (0002/15.9%) - Automotive cranes, trucks, cross-country vehicles, trailers, and other vehicles; parts for tanks and armored self-propelled howitzers, armored vehicles, and other vehicles

		<p>(0006/7.7%)</p> <ul style="list-style-type: none"> - Weapons training devices and parts; ammunition for weapons training devices; parts for simulators (0014/6.4%).
Switzerland	234.1	<ul style="list-style-type: none"> - Navigation and orientation systems, target ranging systems, observation and reconnaissance equipment, and test and adjustment equipment; parts for tube weapon sight units, target ranging systems, and observation systems (0005/48.9%) - Small firearms and parts, accessories for small firearms (0001/9.0%) - Armored vehicles; parts for tanks, armored vehicles, and other vehicles (0006/7.6%) - Ammunition for cannons and grenade launchers; explosive stores for howitzers, cannons, mortars, and grenade launchers (0003/7.4%) - Armor plate, combinations of metallic and non-metallic materials, helmets, body armor (0013/6.2%) - Castings and unfinished products (0016/5.2%).
United Kingdom	230.5	<ul style="list-style-type: none"> - Ammunition for grenade launchers, explosive stores for howitzers, cannons, anti-armor weapons, and grenade launchers (0003/21.6%)

		<ul style="list-style-type: none"> - Parts for combat aircraft and combat helicopters, aircraft, engines, on-board equipment, and ejection seats (0010/19.5%) - Tanks (museum pieces) and other vehicles; parts for tanks and armored vehicles, amphibious bridges, amphibious crossing vehicles, and other vehicles (0006/15.3%) - Small firearms and parts, accessories for small firearms (0001/12.0%) - Explosive charges, pyrotechnics, illuminating cartridges, and simulator ammunition; parts for rockets, missiles, and pyrotechnics (0004/11.3%) - Communications equipment, measurement and test equipment; parts for electronic equipment, communications equipment, detection systems, navigation systems, stabilizing systems, guidance systems, and data processing systems (0011/9.0%)
Sweden	179.9	<ul style="list-style-type: none"> - Target classification systems, test and adjustment equipment; parts for fire control devices, weapon sighting systems, tube-weapon sighting units, target acquisition systems, target classification systems, target ranging systems, and target surveillance and tracking systems (0005/19.4%)

		<ul style="list-style-type: none"> - Armored self-propelled howitzers, trucks; parts for tanks, armored self-propelled howitzers, armored vehicles, recovery vehicles, and other vehicles (0006/16.3%) - Communications equipment, electronic assemblies, electric power supply; parts for electronic equipment, communications equipment, electric power supply (0011/15.8%) - Armor plate, combinations of metallic and non-metallic materials, and body armor (0013/13.3%) - Pyrotechnics, smoke screening ammunition, minesweeping equipment; parts for rockets and missiles (0004/7.0%) - Technical documents for missile parts, fire control systems, recovery vehicle parts, aircraft parts, electronic assemblies, electric power supply, armor, and signature suppression (0022/6.3%) - Forging pieces, castings, and unfinished products (0016/5.0%)
Singapore	167.2	<ul style="list-style-type: none"> - Trucks; parts for tanks, armored self-propelled howitzers, armored vehicles, amphibious bridges, amphibious crossing vehicles, bridge layers, and other vehicles (0006/83.0%)

Spain	150.2	<ul style="list-style-type: none"> - Trucks; parts for tanks, armored vehicles, amphibious vehicles, tank tractors, bridge layers, armored personnel carriers, and trucks (0006/52.9%) - Small firearms and parts, accessories for small firearms (0001/10.0%) - Target acquisition systems and test and adjustment equipment; parts for fire control systems, target surveillance systems, and target tracking systems, and for test and adjustment equipment (0005/7.3%) - Machine cannon; parts for howitzers and cannons (0002/6.6%) - Forging pieces, castings, and unfinished products (0016/5.1%)
Denmark	139.2	<ul style="list-style-type: none"> - Trucks; parts for tanks, armored self-propelled howitzers, armored vehicles, recovery vehicles, and other vehicles (0006/81.1%)
France	135.6	<ul style="list-style-type: none"> - Emergency stabilizing systems, deceptive jamming devices, transducers; parts for electronic equipment, communications systems, detection equipment, navigation systems, stabilizing units, and data processing systems (0011/21.6%)

		<ul style="list-style-type: none"> - Parts for combat aircraft, combat helicopters, aircraft, engines, and breathing equipment (0010/20.9%) - Target ranging systems; parts for fire control equipment, tube-weapon sight units, on-board weapons-control system, submarine periscopes, target classification systems, and target ranging systems (0005/11.2%) - Forging pieces, castings, and unfinished products (0016/11.2%) - Trucks; parts for tanks, armored vehicles, amphibious vehicles, and other craft (0006/10.3%) - Rockets, smoke containers, pyrotechnics, illuminating cartridges, simulator ammunition; parts for torpedoes, grenades, rockets, missiles, pyrotechnics, and minesweeping equipment (0004/6.3%).
Belgium	119.8	<ul style="list-style-type: none"> - Technical documents for torpedo parts, tank parts, electronic equipment, and vehicle reversing aids (0022/39.7%) - Bridge layer tank, amphibious vehicles, recovery vehicles, semi-trailer towing vehicle, trucks; parts for tanks, armored self-propelled howitzers, armored vehicles, and other

		<p>vehicles (0006/28.3%)</p> <ul style="list-style-type: none"> - Communications equipment; parts for communications equipment, detection and navigation equipment, and electronic equipment (0011/16.0%)
Australia	106.9	<ul style="list-style-type: none"> - Technical documents for cartridges, tanks, frigates, weapons control systems, and electronic equipment (0022/70.5%) - Parts for tanks, armored self-propelled howitzers, armored vehicles, and other vehicles (0006/9.7%)
Austria	98.2	<ul style="list-style-type: none"> - Breathing equipment, devices and coatings for signature suppression, engineer bridges; parts for breathing equipment, construction equipment, and bridges (0017/73.0%) - Parts for tanks, armored self-propelled howitzers, armored vehicles, and other vehicles (0006/13.2%)
Canada	86.3	<ul style="list-style-type: none"> - Thermal imaging devices; parts for aerial cameras and thermal imaging devices (0015/30.1%) - Combinations of metallic and non-metallic materials, helmets, and body armor (0013/21.1%)

		<ul style="list-style-type: none"> - Parts for tanks, armored self-propelled howitzers, armored vehicles, and other vehicles (0006/15.6%) - Mortars, camouflage devices; parts for guns, projectile launchers, and camouflage devices (0002/6.2%) - Small firearms and parts, accessories for small firearms (0001/5.6%) - Ammunition for small firearms; explosive stores for small firearms, howitzers, cannons, and mortars (0003/5.3%)
United Arab Emirates	84.3	<ul style="list-style-type: none"> - Trucks, semi-trailer towing vehicle, semi-trailers; parts for tanks, armored self-propelled howitzers, and military vehicles (0006/50.4%) - Communication systems, inertial navigation systems, static frequency transducer; parts for communications systems, jamming transmitters, and radar systems (0011/21.8%) - Anti-G suits and parachutes (0010/9.7%)
Saudi Arabia	74.8	<ul style="list-style-type: none"> - Firing-range facilities, firing simulators, and sub-caliber training ammunition (0014/41.6%)

		<ul style="list-style-type: none"> - Roughcast and semi-finished parts for small firearms, trays, and round blanks for ammunition production (0016/9.7%) - Revolvers, pistols, sporting pistols and sporting revolvers; parts for rifles and carbines (including war weapons), sub-machine guns, and machine guns (0001/9.5%) - Parts for patrol boats (0009/8.3%) - Manufacturing equipment for machine cannons, small arms, and small arms ammunition; test apparatus for electronic communications systems components (0018/8.0%) - Decontamination equipment and tactical gas bombs (0007/7.2)
Portugal	73.8	- Combat helicopters; parts for combat aircraft (0010/82.7)

e) Individual export licenses broken down by Export List Items

The individual export licenses issued in 2001 are shown as follows broken down into the 22 EL Items (values given in DM millions):

EL Item No.	Description of Item	Number	Value
A 0001	Small arms	4,206	786.0
A 0002	Large caliber weapons	188	120.0
A 0003	Ammunition	978	419.0

A 0004	Bombs, torpedoes, missiles	214	402.0
A 0005	Fire control systems	299	342.5
A 0006	Wheeled and tracked military vehicles	1,402	1,296.1
A 0007	Equipment for NBC defense, irritants	267	224.3
A 0008	Explosives and fuels	304	10.5
A 0009	Naval vessels	314	1,762.4
A 0010	Military aircraft / aircraft engineering	315	343.1
A 0011	Military electronics	759	348.9
A 0013	Ballistic-protection equipment	270	119.9
A 0014	Training and simulator equipment	87	154.8
A 0015	Infrared/thermal imaging equipment	141	148.9
A 0016	Unfinished products for the production of certain military equipment	641	145.9
A 0017	Miscellaneous equipment	280	103.6
A 0018	Equipment for the production of military equipment	438	34.7
A 0021	Military software	82	29.7
A 0022	Technology	297	413.6
A 0023	Equipment for security forces	49	3.2
Total²⁸		11,005	7,209.4

The table shows that, in terms of value, licenses issued for the export of military equipment in 2001 focused on naval vessels (share of total value: 24.4%) and wheeled and tracked military vehicles (share of total value: 18%).

f) Export licenses in the years from 1996 to 2001

The following table compares values of final export licenses issued in 1996 - 2001. For the sake of clarity, the values have not been classified by destination but are clustered together by country groups as privileged destinations (EU, NATO, and NATO-equivalent countries) on the one hand

²⁸ The addition of the number of individual licenses by positions A 0001 to A 0023 yields a higher value than the total number of individual licenses (= 11,005) since some of the applications are split among several positions and are therefore counted twice or several times in the individual positions in this table.

and third countries on the other. The period 1996 - 2001 has been chosen because a comparable analysis of BAFA statistics by country groups became possible only in 1996²⁹.

Year	EU Member States*	NATO and NATO-equivalent countries excl. EU*	Third countries*	Individual export licenses (total)*	Collective export licenses* ³⁰
1996	1,203.3	1,408.6	1,662.4	4,274.3	4,441.7
1997	1,431.3	1,433.1	1,165.8	4,030.2	17,973.5
1998	1,236.6	2,363.6	2,020.3	5,620.5	6,997.5
1999	1,372.6	3,017.4	1,528.7	5,918.7	654.6
2000	2,510.8	1,884.5	1,172.9	5,568.2	3,733.9
2001	2,600.6	1,976.6	2,632.2 ³¹	7,209.4	7,520.7
	= 36%	= 27%	= 37%	= 100%	
* Values in DM millions					

g) Export licenses for small arms

In view of the special problems associated with the destabilizing effects of small arms accumulations in crisis areas³², the German government additionally reports on small arms exports in the years 1996 – 2001.

Although small arms do not represent an independent category among military equipment and war weapons under German law, they are contained within these groups of items. The values shown in the following tables A and B are therefore already covered by the statistics and values presented under 1.a) to f) of Annex 5.

²⁹ For the purpose of statistical comparability, the values of military equipment production documents (1999: DM 186.4 million and 2000: DM 29.2 million) would have to be added even though they are not military equipment in the meaning of the Export List.

³⁰ Cf. III.1.b. for limited meaningfulness of strongly fluctuating annual values of collective export licences.

³¹ The increase in licensed values for exports to third countries in 2001 (as compared with 2000) is the result of a special factor, namely, the licensing of a submarine delivery to South Korea.

³² Cf. Section II.6

Following the EU's definition of small weapons³³, the values of licenses for the export of submachine guns, machine guns, automatic and semi-automatic weapons, smooth-bore military weapons, weapons for caseless ammunition and parts for such weapons (Table A)³⁴, and of ammunition for guns, submachine guns, and machine guns and parts for such ammunition (Table B)³⁵ are shown for 1996 – 2001. Licenses in 2001 for the export of small arms to third countries focused on Saudi Arabia, Thailand, Mexico, and the Federal Republic of Yugoslavia (UN mission in Kosovo³⁶).

Table A (Individual Licenses for the Export of Small Arms – Values in DM millions)

Year	EU Member States	NATO and NATO-equivalent countries excl. EU	Third countries	Individual export licenses (total)
1996	1.75	5.08	3.65	10.48
1997	10.96	8.03	12.21	31.20
1998	4.08	28.71	12.85	45.64
1999	19.83	12.48	9.28	41.59
2000	9.72	7.00	0.53	17.25
2001	48.05 = 64%	12.95 = 17%	14.53 = 19%	75.52 = 100%

Table B (Individual Licenses for Export of Ammunition for Small Arms incl. Explosive Stores – Values in DM millions)

Year	EU Member States	NATO and NATO-equivalent countries excl. EU	Third countries	Individual export licenses (total)
1996	0.59	0.97	0.18	1.75
1997	9.00	9.79	1.45	20.25
1998	9.07	19.74	1.23	30.04
1999	5.53	29.25	0.29	35.07
2000	5.50	5.56	0.08	11.14

³³ See Appendix of the Joint Action of 17 December 1998 on the European Union's Contribution to Combating the Destabilizing Accumulation and Spread of Small Arms and Light Weapons (1999/34/CFSP).

³⁴ Excluding hunting and sporting weapons.

³⁵ Excluding ammunition for hunting and sporting weapons.

³⁶ These weapons are available to specially qualified police forces from various countries during their deployment with the civilian police forces in Kosovo under UN supervision. The transfer to third persons is barred; the weapons remain in the ownership of the United Nations.

2001	3.43 = 13%	24.37 = 76%	3.53 = 11%	32.20 = 100%
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Despite the increase in the license values for the export of small arms and the associated ammunition in 2001 (by comparison with 2000), these goods' share in the total value of export licenses continued to be extremely low. In 2001, the share was 1.5% (in 2000: 0.5%).

2. Exports of war weapons

a) War weapon exports in reporting year 2001

In the sub-sector comprising war weapons, the Federal Statistical Office determined that goods for a total value of DM 718.4 million (0.06% of all German exports) were exported from Germany in 2001. Compared to the previous year, this was a 46% decline. In value terms, 89.1% of the war weapons exports went to EU, NATO, and NATO-equivalent countries; according to the Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment, no restrictions are to be placed on such exports.

War weapons for a total value of DM 3.9 million (= 0.5% of total war weapon exports) went to classic developing countries³⁷. They went to South Africa (44%), Thailand (34%), Ecuador (11%), and the Federal Republic of Yugoslavia (11%), the latter for the UN mission in Kosovo³⁸. The share of exports going to classic developing countries thus continues to be extremely slight. No war weapons were exported in 2001 to the poorest and other developing countries with low incomes³⁹.

³⁷ Developing countries and areas pursuant to Part I of the list for 2001 of the Developing Assistance Committee (DAC) of the OECD excluding countries with high and medium-range incomes.

³⁸ These weapons are available to specially qualified police forces from various countries during their deployment with the civilian police forces in Kosovo under UN supervision. The transfer to third persons is barred; the weapons remain in the ownership of the United Nations.

³⁹ Poorest and other developing countries and areas with low incomes pursuant to Part 1 of the OECD's DAC List for 2001.

(1) Bundeswehr exports

Within the exports, a merchandise value of DM 51.8 million was accounted for by supplies of used, no longer needed material provided by the German Ministry of Defense. Such exports went to Slovenia (56%), to EU Member States (34.5%), and the rest to Romania, South Africa, Lithuania, Estonia, and Thailand.

(2) Commercial exports

The value of German companies' commercial exports amounted to DM 666.7 million. Of this amount, DM 622.4 million (= 93.4%) was accounted for by the countries named under II. of the Political Principles of 19 January 2000, and of this amount DM 446 million was accounted for by EU Member States and DM 176.4 million by NATO and NATO equivalent countries outside the EU.

Commercial supplies of war weapons to third countries amounted to DM 44.2 million. This was a decline of more than 90% from the comparable figure for the year 2000. The value of exported ship components, that, as experience shows, make up the largest part of exports to third countries, amounted only to DM 270,000 (0.6% of commercial exports to third countries). The value of exports of ships and ship components in 2000 had been DM 359 million (80% of commercial exports to third countries).

Some 63% of commercial shipments to third countries were comprised of exports to Israel (DM 27.9 million); involved here were exports of torpedoes and the return shipment to Israel of defective submunitions that had been imported to Germany from that country. Further exports to third countries went to South Korea (DM 7 million – largely ammunition), Singapore (DM 5.3 million – largely small firearms and fuses), and Saudi Arabia (DM 1.5 million – barrels for small firearms). The other exports went to Malta, Estonia, Latvia, Slovenia, Mexico, Ecuador, Brazil, Chile, Argentina, Thailand, and the Federal Republic of Yugoslavia, most of which involved spare parts, ship components, mine clearing systems, and small firearms in small amounts; in the case of the Federal Republic of Yugoslavia, the exports consisted of the equipping of the UN mission in Kosovo with small firearms.

Included in the total amount of commercial exports are also the so-called “processed exports” (e.g. re-exports of war weapons after their repair or combat efficiency improvement in Germany)

in the value of DM 199 million; this includes, among other items, the re-export of various Netherlands armored vehicles to that country in the value of DM 60 million. In this connection, it should be pointed out that, under the gross-value principle of the Federal Statistical Office, re-exports are included in the total export value of a respective year at their full original price. The value enhancement undertaken in Germany is therefore considerably less than the export value recorded.

The ten most important consignee countries for commercial exports of war weapons in 2001 were:

United Kingdom	DM 114 million
Netherlands	DM 99 million
Greece	DM 75 million
United States	DM 66 million
Italy	DM 43 million
Switzerland	DM 41 million
Spain	DM 39 million
Turkey	DM 30 million
Israel	DM 28 million
France	DM 26 million

b) War weapon exports in the years 1997 - 2001

The table below shows the total value of annual war weapons exports and their percentage value of total German exports in the course of the last five years.

Year	Total value in DM million	% share of total German exports
1997	1,383.5	0.16
1998	1,337.5	0.14
1999	2,844.2	0.29
2000	1,330.3	0.11
2001	718.4	0.06

3. German military equipment exports by international comparison

Reliable comparisons of real exports of military equipment, world-wide, show that the German share of the world market for military equipment continues to move at a low level. This is not always sufficiently clear from published statistics because other countries either statistically categorize fewer types of articles as military equipment or data are incomplete. At EU level, Member States' annual military equipment exports are covered by the annual report on the implementation of the EU Code of Conduct. But here, too, there is no uniform statistical foundation.

In spite of their detailed research, the meaningfulness of publications by non-governmental organizations (NGOs) and specialized institutions⁴⁰ that compare statistics on an international basis are generally limited. It is sometimes the case, for example, that statistics are based on differing weapons categories, that fictive export values are calculated for military equipment at constant US dollar prices, and that excessive value is assigned to second-hand material. The assessment methods of the Federal Statistical Office also exaggerate German export values since they use the gross value of overall weapon systems for statistics after their re-export subsequent to further processing or repair rather than their value enhancement.

Since the publication of the 2000 Military Equipment Export Report, new comparative international statistics on the international arms trade have been made available by the London International Institute for Strategic Studies (IISS)⁴¹ and the United States Congressional Research Service (CRS)⁴². According to the IISS study, Germany, with a 2% market share, ranked fifth worldwide in terms of arms exports in the year 2000 (behind the United States, the United Kingdom, Russia, and France). Since reliable arms export figures are not available from all countries of the world, it is probable that other countries range ahead of Germany as arms exporters.

⁴⁰ Stockholm International Peace Research Institute (SIPRI), International Institute for Strategic Studies (IISS), and the Congressional Research Service (CRS).

⁴¹ Cf. "The Military Balance 2001/2002. The International Arms Trade. pp. 296 f. At <http://www.iiss.org>.

⁴² CRS Report for Congress: Conventional Arms Transfers to Developing Nations, 1994 – 2001 of 6 August 2002, at <http://www.fas.org/asmp/resources/govern/crs-rl31529.pdf>.

In the more recent CRS study, Germany failed to rank among the first eleven countries listed with regard to worldwide arms sales for the year 2001⁴³. According to the CRS report, Germany took fourth place (behind the United States, Russia, and France) for 2001 in terms of global arms transfer agreements⁴⁴. However, the CRS report states that Germany neither supplied “arms” (as defined by the CRS) to developing countries in 2001 nor concluded agreements on the transfer of “arms” to developing countries⁴⁵

IV. Military Aid

In the past, military equipment was provided free of charge to NATO Member Countries by other NATO partners in the framework of military aid programs. Germany also participated in these programs. In the mid-nineties, all of the programs featuring German participation expired. Since then, military equipment is no longer provided as part of military aid programs.

Provisions of the German government’s Equipment Aid Program, which is still being conducted, prohibit the transfer of arms, ammunition, and machines for their production. Such aid is therefore not relevant for the Military Equipment Export Report.

Only in individual cases is support still provided free of charge to friendly countries in the form of the consignment of material. This was done in 2001 by the transfer of a non-operational 331B Class Mine Hunter to be used for spare parts, a PAP-sonar reference unit for a repair center for mine hunters, and 40mm ammunition (anti-aircraft ammunition for naval guns). Additional military assistance was not provided.

Exports of military equipment by the German Ministry of Defense (transfer of Bundeswehr material) against payment is discussed separately in Section III.

⁴³ loc. cit. p. 80, Table 9D.

⁴⁴ loc. cit. p. 75, Table 8D.

⁴⁵ loc. cit. p. 40 f., Table 1A and B and loc. cit. p. 50 Table 2. The CRS study defines “developing countries” as all countries except the United States, the Russian Federation, the European countries, Canada, Japan, Australia, and New Zealand (loc. cit., p. 2). The term “arms” on which the CRS report is based (loc. cit. p. 81) is considerably more narrow than the term “military equipment” as defined under German export statutes.

V. Criminal Prosecution Statistics and Outline of Preliminary Criminal Proceedings

1. Criminal prosecution statistics

Criminal prosecution statistics⁴⁶ reveal that a total of 86 persons were convicted for violating the War Weapons Control Act in 2000 and 42 for violating the Foreign Trade and Payments Act.

Among the 86 persons convicted for violations of the War Weapons Control Act in 2000, 83 were found guilty under general criminal statutes and 3 under criminal statutes applicable to juveniles. Forty persons convicted under the general criminal statutes for violations of the War Weapons Control Act received prison sentences, 36 of which were suspended on parole; 43 persons were fined. In the three cases in which juveniles were convicted, one person was sentenced and paroled under juvenile statutes, another person was compelled to pay a sum of money, and the third person was punished by the corrective measure of court instruction.

Of the 42 persons convicted for violations of the Foreign Trade and Payments Act in the year 2000, 41 were found guilty under general criminal statutes and one person under criminal statutes applicable to juveniles. 22 persons convicted for violations of the Foreign Trade and Payments Act under general criminal statutes were given jail sentences, all of which were suspended on parole; 19 persons were fined. The person convicted under criminal statutes applicable to juveniles received a sentence under the juvenile statutes that was suspended on parole.

The above mentioned conviction are only partly connected to the export of military equipment and are therefore only of limited significance in terms of the present Report. The convictions for violations of the War Weapons Control Act relate to dealing with war weapons but not necessarily to the export of war weapons. The convictions for violating the Foreign Trade and Payments Act relate to export transactions but not necessarily to the export of military equipment.

⁴⁶ Criminal prosecution statistics are restricted to convictions in the Federal Republic's original states (including the former East and West Berlin). Figures for 2001 are not yet available.

2. Outline of preliminary proceedings under criminal statutes

The information given below on investigations into unauthorized exports of military equipment was reported by the Zollkriminalamt (Customs Criminal Investigation Office) for 2001. The following table derives from information reported by the customs investigation offices, which are obligated to notify the Zollkriminalamt of corresponding proceedings. Despite this reporting obligation, the outline below does not claim to be complete. Moreover, proceedings under the War Weapons Control Act, for which the police from the individual German states and the Bundeskriminalamt (Federal Criminal Police Office) are responsible, are not included.

a) Investigations concluded in the year under review

The Zollkriminalamt reported a total of 35 investigations against a total of 33 suspects (12 of which were conducted against unknown persons) that were concluded in the year on report. Among these are five proceedings for violations of the War Weapons Control Act. The individual cases are as follows:

Country of destination of the merchandise	Outcome of proceedings	Merchandise
Austria	Closed under Section 153a StPO*	Smoke grenades
Belarus	Closed under Section 170(2) StPO*	Brokering the purchase of engines for combat aircraft
Belgium	Closed under Section 170(2) StPO*	Air filter insert
Bosnia-Herzegovina	Closed under Section 170(2) StPO*	War weapons and ammunition
Canada and North Korea	Closed under Section 153(1) StPO*	Armored cross-country vehicles and military trucks
China	Closed under Section 170(2) StPO*	Safety cotter pin
Czech Republic	Closed under Section 153(1) StPO*	Tool kits for drop forging presses for the production of automatic pistols

Czech Republic	Closed under Section 153a StPO*	Recharging press for recharging ammunition for small firearms
EU Member States and diverse third countries	Closed under Section 170(2) StPO*	Coating lacquers
EU Member States and diverse third countries	Closed under Section 170(2) StPO*	Coating lacquers
EU Member States	Closed under Section 153a StPO*	Weapon parts
Iran	Closed under Section 170(2) StPO*	Materials for manufacturing fragment-proof vests
Israel and Kazhakstan	Closed under Section 153(1) StPO*	Rifle ammunition and ammunition components for small firearms
Israel, Japan, France, and USA	Fine issued Closed under 153a StPO* Closed under Section 170(2) StPO* Forfeiture by court order	Cathode-ray tubes
Lebanon	Closed under Section 170(2) StPO*	Tanks
Myanmar	Closed under Section 170(2) StPO*	Components of a nitric-acid plant for the manufacture of explosives
Nicaragua	Closed under Section 170(2) StPO*	Military trucks
Netherlands	Closed under Section 153(1) StPO*	Investment casting parts for armored self-propelled howitzers
Sweden	Closed under Section 153a StPO*	Main battle tank parts
Sweden and Canada	Closed under Section 153a StPO*	Skirt for machine gun mount
Sweden and Netherlands	Closed under Section 153(1) StPO*	Sleeves for main battle tank gun cannons, sleeves for howitzer cannons, and special profiles for manufacturing rifles

Switzerland	Closed under Section 170(2) StPO*	Assault rifles and shoulder-fired anti-tank weapons
Switzerland	Closed under Section 153(1) StPO*	Protective vests
Singapore	Closed under Section 153(1) StPO*	Bolts for armored bridge
Slovenia	Closed under Section 153 StPO*	Radio monitoring systems
Sudan	Closed under Section 153a StPO*	Military trucks
Sudan and diverse African countries, Croatia	Closed under Section 153a StPO*	Military trucks
South Korea, Singapore, Czech Republic, Turkey, Switzerland	Closed under Section 153(1) StPO*	Mixed pigments for the production of camouflage paint
Turkey	Closed under Section 170(2) StPO*	Primer/igniter
Turkey	Closed under Section 170(2) StPO*	Airborne radar systems for combat aircraft
United Kingdom	Closed under Section 153a StPO*	Fuel injection lines for diesel motors for main battle tanks
United Kingdom	Closed under Section 153(1) StPO*	Parts for brake hydraulic system for 155 mm field howitzers
USA	Fine issued	Revolver magazines
USA	Closed under Section 153(1) StPO*	Optical assemblies for fire control systems for combat helicopters
Unknown	Closed under Section 170(2) StPO*	Brokering the purchase of combat aircraft

* StPO (Strafprozessordnung = German Code of Criminal Procedure)

b) Open investigations (initiated in the year under report)

The Zollkriminalamt reported the launching without conclusion of 6 investigative proceedings against a total of 6 suspects (one of which was filed against unknown) during the year on

report⁴⁷. Among these is an investigation of a violation of the War Weapons Control Act. The six are as follows:

Country of destination	Merchandise
Croatia, Hungary, Switzerland, South Africa, Norway, and others	Tool kits for the production and repair of weapons
Israel, Switzerland	Monitors for main battle tanks and combat aircraft
Pakistan	Combat aircraft
Switzerland	Specially designed components, technology, and documents for weapons
Switzerland, Egypt	Single-base propellants and cartridge cases
USA, Canada, Switzerland	Protective suits and materials for their production

VI. Military Equipment Cooperation

In the year under report, no new intergovernmental cooperation measures with German participation were initiated on the export of military equipment.

VII. Concluding Remarks

In compliance with the Political Principles of 19 January 2000, the German government conducts a restrictive licensing policy with regard to military equipment exports. The share of military equipment in total German exports has been very low for many years. In 2001, the share of actual war weapon exports in total German exports stood at 0.06%. In the coalition agreement of 16 October 2002, the above described approach was confirmed also as policy of the new German government.

⁴⁷ Proceedings initiated prior to the year 2000 but not concluded in 2000 are not covered. Figures for 2001 are not yet available.

The legal provisions on exports allow the export of military equipment from Germany only after a comprehensive authorization procedure. In considering its decision pursuant to the export criteria of the Political Principles and of the European Union Code of Conduct on Arms Exports, the German government pursues a restrictive licensing policy aimed at safeguarding the peace and preventing armed conflict, in particular in relation to the supply of military equipment to third countries, i.e. outside the EU, NATO, and NATO-equivalent countries (Australia, Japan, New Zealand, Switzerland).

Annex 1

Political Principles

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

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

The Government of the Federal Republic of Germany, desiring

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

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

I General Principles

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

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

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

³ enclosed as annex

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 they will be used for internal repression as defined in the EU Code of Conduct for Arms Exports or the sustained and systematic abuse of human rights. In this context the assessment of the human rights situation in the recipient country is an important factor to be considered.
4. Such assessments will take into account the views of the European Union, the Council of Europe, the United Nations (UN), the OSCE and other international bodies. Reports issued by international human rights organizations will also be taken into consideration.
5. The end-use of war weapons and other military equipment must be definitively determined.

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

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

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

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

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

3. Before concluding any cooperation agreement, a timely joint assessment of its export policy implications is to be made.
To give effect to its arms exports policy principles, the Federal Government reserves the right by way of consultations to object to particular export projects envisaged by its cooperation partners. All new cooperation agreements should therefore aim in principle to incorporate a consultations procedure enabling the Federal Government to raise effectively any objections it might have to exports envisaged by its partner country. In so doing the Federal Government will seek,

⁴ Area of application of NATO Treaty, Article 6

⁵ Australia, Japan, New Zealand, Switzerland

in the light of the human rights criterion, to strike a balance between its interest in cooperation and its fundamentally restrictive arms exports policy.

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

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

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

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

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

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

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

III Other countries

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

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

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

⁶ Plant and documentation for the manufacturer of war weapons

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

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

IV Definitive determination of end-use

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

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

3. War weapons and other military equipment relevant to war weapons may only be re-exported to third countries or transferred inside the EU Internal Market with the written approval of the Federal Government.

4. A recipient country that, in breach of an end-use certificate, authorizes or does not seek to prevent or sanction the unauthorized re-export of war weapons or other military equipment relevant to war weapons will on principle, as long as such conditions persist, be excluded from receiving any further deliveries of war weapons or other military equipment related to war weapons.

V Arms exports report

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

ANNEX

EU CODE OF CONDUCT FOR ARMS EXPORTS

adopted by the EU-Council on 8 June 1998

The Council of the European Union,
BUILDING on the Common Criteria agreed at the Luxembourg and Lisbon European Councils in 1991 and 1992,
RECOGNISING the special responsibility of arms exporting states,
DETERMINED to set high common standards which should be regarded as the minimum for the management of, and restraint in, conventional arms transfers by all EU Member States, and to strengthen the exchange of relevant information with a view to achieving greater transparency,
DETERMINED to prevent the export of equipment which might be used for internal repression or international aggression, or contribute to regional instability,
WISHING within the framework of the CFSP to reinforce their cooperation and to promote their convergence in the field of conventional arms exports,
NOTING complementary measures taken by the EU against illicit transfers, in the form of the EU Programme for Preventing and Combating Illicit Trafficking in Conventional Arms,
ACKNOWLEDGING the wish of EU Member States to maintain a defence industry as part of their industrial base as well as their defence effort,
RECOGNISING that states have a right to transfer the means of self-defence, consistent with the right of self-defence recognised by the UN Charter,
has adopted the following Code of Conduct and operative provisions:

CRITERION ONE

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

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

...

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

CRITERION TWO

The respect of human rights in the country of final destination

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

- a) not issue an export licence if there is a clear risk that the proposed export might be used for internal repression.
- b) exercise special caution and vigilance in issuing licences, on a case-by-case basis and taking account of the nature of the equipment, to countries where serious violations of human rights have been established by the competent bodies of the UN, the Council of Europe or by the EU;

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

CRITERION THREE

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

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

CRITERION FOUR

Preservation of regional peace, security and stability

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

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

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

CRITERION FIVE

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

Member States will take into account:

- a) the potential effect of the proposed export on their defence and security interests and those of friends, allies and other member states, while recognising that this factor cannot affect consideration of the criteria on respect of human rights and on regional peace, security and stability;
- b) the risk of use of the goods concerned against their forces or those of friends, allies or other member states;
- c) the risk of reverse engineering or unintended technology transfer.

CRITERION SIX

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

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

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

CRITERION SEVEN

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

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

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

CRITERION EIGHT

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

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

OPERATIVE PROVISIONS

1. Each EU Member State will assess export licence applications for military equipment made to it on a case-by-case basis against the provisions of the Code of Conduct.

2. This Code will not infringe on the right of Member States to operate more restrictive national policies.

3. EU Member States will circulate through diplomatic channels details of licences refused in accordance with the Code of Conduct for military equipment together with an explanation of why the licence has been refused. The details to be notified are set out in the form of a draft pro-forma at Annex A. Before any Member State grants a licence which has been denied by another Member State or States for an essentially identical transaction within the last three years, it will first consult the Member State or States which issued the denial(s). If following consultations, the Member State nevertheless decides to grant a licence, it will notify the Member State or States issuing the denial(s), giving a detailed explanation of its reasoning.

The decision to transfer or deny the transfer of any item of military equipment will remain at the national discretion of each Member State. A denial of a licence is understood to take place when the member state has refused to authorise the actual sale or physical export of the item of military equipment concerned, where a sale would otherwise have come about, or the conclusion of the relevant contract. For these purposes, a notifiable denial may, in accordance with national procedures, include denial of permission to start negotiations or a negative response to a formal initial enquiry about a specific order.

4. EU Member States will keep such denials and consultations confidential and not to use them for commercial advantage.

5. EU Member States will work for the early adoption of a common list of military equipment covered by the Code, based on similar national and international lists. Until then, the Code will operate on the basis of national control lists incorporating where appropriate elements from relevant international lists.
6. The criteria in this Code and the consultation procedure provided for by paragraph 2 of the operative provisions will also apply to dual-use goods as specified in Annex 1 of Council Decision 94/942/CFSP as amended, where there are grounds for believing that the end-user of such goods will be the armed forces or internal security forces or similar entities in the recipient country.
7. In order to maximise the efficiency of this Code, EU Member States will work within the framework of the CFSP to reinforce their cooperation and to promote their convergence in the field of conventional arms exports.
8. Each EU Member State will circulate to other EU Partners in confidence an annual report on its defence exports and on its implementation of the Code. These reports will be discussed at an annual meeting held within the framework of the CFSP. The meeting will also review the operation of the Code, identify any improvements which need to be made and submit to the Council a consolidated report, based on contributions from Member States.
9. EU Member States will, as appropriate, assess jointly through the CFSP framework the situation of potential or actual recipients of arms exports from EU Member States, in the light of the principles and criteria of the Code of Conduct.
10. It is recognised that Member States, where appropriate, may also take into account the effect of proposed exports on their economic, social, commercial and industrial interests, but that these factors will not affect the application of the above criteria.
11. EU Member States will use their best endeavours to encourage other arms exporting states to subscribe to the principles of this Code of Conduct.
12. This Code of Conduct and the operative provisions will replace any previous elaboration of the 1991 and 1992 Common Criteria.

ANNEX A

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

Destination country:.....

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

Proposed consignee:.....

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

Reason for refusal:.....

Date of denial:.....

Annex 2 a

As at 3 July 2000

List of Controlled Export Goods

Part I

A Munitions List

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

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

Note:

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

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

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

Technical Note:

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

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

c) Weapons using caseless ammunition;

...

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

Notes regarding sub-items 0001a to 0001d:

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

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

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

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

Note:

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

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

Note:

Sub-item 0002b does not control signal pistols.

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

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

Notes:

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

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

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

Note:

Sub-item 0004a includes:

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

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

Note:

Sub-item 0004b includes:

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

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

- a) Weapon sights which are not controlled by sub-items 0001d or 0002c, bombing computers, gun laying equipment and weapon control systems;**
- b) target acquisition, designation, range-finding, surveillance and tracking systems, detection, data fusion, recognition or identification equipment and sensor integration equipment;**

- c) countermeasure equipment for equipment controlled by sub-items 0005a and 0005b;
- d) field test or alignment equipment, specially designed for the maintenance and servicing of equipment controlled by sub-items 0005a or 0005b.

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

Technical Note:

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

Notes:

1. Item 0006 includes:

- a) Tanks and other military armed vehicles and military vehicles fitted with mountings for arms or equipment for mine laying or the launching of munitions controlled by Item 0004,
- b) armoured vehicles,
- c) amphibious and deep water fording vehicles,
- d) recovery vehicles and vehicles for towing or transporting ammunition or weapon systems and associated load handling equipment.

2. Modification of a ground vehicle for military use entails a structural, electrical or mechanical change involving one or more specially designed military components. Such components include:

- a) Pneumatic tyre casings of a kind specially designed to be bullet-proof or to run when deflated,
- b) tyre inflation pressure control systems, operated from inside a moving vehicle,
- c) armoured protection of vital parts (e.g., fuel tanks or vehicle cabs),
- d) special reinforcements for mountings for weapons,
- e) multicolour camouflage coating of the vehicle.

...

3. Item 0006 does not control civil automobiles or trucks designed for transporting money or valuables, having armoured protection.
4. Item 0006 does not control the following military components:
 - a) Lighting including blackout lighting,
 - b) brackets for rifles or other weapons,
 - c) brackets for camouflage nets,
 - d) NATO-type clutches,
 - e) roof hatches, round, with swivelling or hinged cover.

Supplementary Note:

See also Part I C, Item 9A991.

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

Note:

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

- a) **Biological agents and radioactive material adapted for use in war (to produce casualties in humans or animals, degrade equipment or damage crops or the environment) and chemical warfare (CW) agents;**
- b) **CW binary precursors and key precursors, as follows:**
 1. **Alkyl (Methyl, Ethyl, n-Propyl or Isopropyl) Phosphonyl Difluorides, such as DF: Methyl Phosphonyldifluoride (CAS 676-99-3);**
 2. **O-Alkyl (H or equal to or less than C₁₀, including cycloalkyl), O-2-dialkyl (Methyl, Ethyl, n-Propyl or Isopropyl) aminoethyl alkyl (Methyl, Ethyl, n-Propyl or Isopropyl) phosphonite and corresponding alkylated or protonated salts, such as QL: O-Ethyl-2-di-isopropylaminoethyl methyl phosphonite (CAS 57856-11-8);**
 3. **Chlorosarin: O-Isopropyl methylphosphonochloridate (CAS 1445-76-7);**

...

4. **Chlorosoman: O-Pinakoly methylphosphonochloridate (CAS 7040-57-5);**
- c) **Tear gases and riot control agents including:**
1. **CA: Bromobenzyl cyanide (CAS 5798-79-8);**
 2. **CS: o-Chlorobenzylidenemalononitrile (CAS 2698-41-1);**
 3. **CN: ? -chloroacetophenone (CAS 532-27-4);**
 4. **CR: Dibenz-(b,f)-1,4-oxazepine (CAS 257-07-8);**
- d) **equipment specially designed or modified for the dissemination of any of the following and specially designed components therefor:**
1. **materials or agents controlled by sub-items 0007a or 0007c, or**
 2. **CW made up of precursors controlled by sub-item 0007b;**
- e) **equipment specially designed for defence against materials controlled by sub-items 0007a or 0007c, and specially designed components therefor:**
- Note:
- Sub-item 0007c includes protective clothing.
- f) **Equipment specially designed for the detection or identification of materials controlled by sub-items 0007a or 0007c, and specially designed components therefor:**
- Note:
- Sub-item 0007f does not control personal radiation monitoring dosimeters.
- Supplementary Note:
- For civil gas masks and protective equipment see also Part I C, Item 1A004.
- g) **Biopolymers specially designed or processed for the detection or identification of CW agents controlled by sub-item 0007a, and the cultures of specific cells used to produce them;**
- h) **biocatalysts for the decontamination or degradation of CW agents, and biological systems therefor, as follows:**

...

1. **Biocatalysts specially designed for the decontamination or degradation of CW agents controlled by sub-item 0007a, resulting from directed laboratory selection or genetic manipulation of biological systems;**

2. **biological systems, as follows:**

Expression vectors, viruses or cultures of cells containing the genetic information specific to the production of biocatalysts controlled by sub-item 0007h1;

i) **technology, as follows:**

1. **Technology for the development, production or use of toxicological agents, related equipment or components controlled by sub-items 0007a to 0007f;**

2. **technology for the development, production or use of biopolymers or cultures of specific cells controlled by sub-item 0007g,**

3. **technology exclusively for the incorporation of biocatalysts, controlled by sub-item 0007h1, into military carrier substances or military material.**

Notes:

1. Sub-item 0007a includes the following:

a) CW nerve agents:

1. O-Alkyl (equal to or less than C₁₀, including cycloalkyl) alkyl (Methyl, Ethyl, n-Propyl or Isopropyl) phosphonofluoridates, such as: Sarin (GB): O-Isopropyl methylphosphonofluoridate (CAS 107-44-8) and Soman (GD): O-Pinacolyl methylphosphonofluoridate (CAS 96-64-0);

2. O-Alkyl (equal to or less than C₁₀, including cycloalkyl) N,N-dialkyl (Methyl, Ethyl, n-Propyl or Isopropyl) phosphoramidocyanidates, such as: Tabun (GA): O-Ethyl N,N-dimethylphosphoramidocyanidate (CAS 77-81-6);

3. O-Alkyl (H or equal to or less than C₁₀, including cycloalkyl), S-2-dialkyl (Methyl, Ethyl, n-Propyl or Isopropyl) phosphonothiolates and

corresponding alkylated or protonated salts, such as VX: O-Ethyl S-2-diisopropylaminoethyl methyl phosphonothiolate (CAS 50782-69-9);

b) CW vesicant agents:

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

c) CW incapacitating agents, such as:

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

d) CW defoliants, such as:

1. Butyl (2-chloro-4-fluorophenoxy) acetate (LNF);
2. 2,4,5-trichlorophenoxyacetic acid mixed with 2,4-dichlorophenoxyacetic acid (Agent Orange).

2. Sub-item 0007c includes air conditioning units specially designed or modified for nuclear, biological or chemical filtration.

3. Sub-items 0007a and 0007c do not control:

a) Cyanogen chloride;

b) hydrocyanic acid;

c) chlorine;

- d) carbonyl chloride (phosgene);
 - e) trichloromethyl chloroformate (diphosgene);
 - f) ethyl bromoacetate;
 - g) xylyl bromide;
 - h) benzyl bromide;
 - i) benzyl iodide;
 - j) bromo acetone;
 - k) cyanogen bromide;
 - l) bromo methylethylketone;
 - m) chloro acetone;
 - n) ethyl iodoacetate;
 - o) iodo acetone;
 - p) chloropicrin.
4. The technology, cultures of cells and biological systems listed in sub-items 0007g, 0007h2 and 0007i3 are exclusive and these sub-items do not control technology, cells or biological systems for civil purposes, such as agricultural, pharmaceutical, medical, veterinary, environmental or in the food industry.
 5. Sub-item 0007c does not control tear gases or riot control agents individually packaged for personal self defence purposes.
 6. Sub-items 0007d, 0007e and 0007f control equipment specially designed or modified for military purposes (i.e. the equipment meets the requirements of military standards).
 7. See also Part I C, Item 1A004.
 8. For precursors for the preparation of toxicological agents see Part I C, Item 1C350.

9. For related biological agents see Part I C, Items 1C351 to 1C354. The biological agents referred to therein are only controlled by sub-item 0007a, if they correspond to the term 'adapted for use in war'.

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

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

Note:

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

a) Substances, as follows, and mixtures thereof:

1. **Spherical aluminium powder (CAS 7429-90-5) with a particle size of 60 µm or less, manufactured from material with an aluminium content of 99 percent or more;**
2. **metal fuels in particle form (whether spherical, atomised, flaked or ground), manufactured from material consisting of 99 percent or more of any of the following:**

a) Metals and mixtures thereof:

1. **Beryllium (CAS 7440-41-7) in particle sizes of less than 60 µm;**
2. **iron powder (CAS 7439-89-6) with a particle size of 3 µm or less, produced by the reduction of iron oxide with hydrogen;**

b) mixtures, which contain any of the following:

1. **Zirconium (CAS 7440-67-7), magnesium (CAS 7439-95-4) and alloys of these in particle sizes of less than 60 µm;**
2. **boron (CAS 7440-42-8) or boron carbide (CAS 12069-32-8) of 85 percent or higher purity and particle sizes less than 60 µm;**
3. **perchlorates, chlorates and chromates composited with powdered metal or other high-energy fuel components;**

...

4. for the controlling of nitroguanidine (NQ) (CAS 556-88-7) see Part I C, Item 1C011d;
5. compounds composed of fluorine and any of the following: other halogens, oxygen, nitrogen;
6. carboranes, decaborane (CAS 17702-41-9), pentaborane and derivatives thereof;
7. cyclotetramethylenetetranitramine (HMX) (CAS 2691-41-0);
8. hexanitrostilbene (HNS) (CAS 20062-22-0);
9. diaminotrinitrobenzene (DATB) (CAS 1630-08-6);
10. triaminotrinitrobenzene (TATB) (CAS 3058-38-6);
11. triaminoguanidinenitrate (TAGN) (CAS 4000-16-2);
12. titanium subhydride of stoichiometry TiH 0.65-1.68;
13. dinitroglycoluril (DNGU, DINGU) (CAS 55510-04-8), tetranitroglycoluril (TNGU, SORGUYL) (CAS 55510-03-7);
14. tetranitrobenzotriazolobenzotriazole (TACOT) (CAS 25243-36-1);
15. diaminohexanitrodiphenyl (DIPAM) (CAS 17215-44-0);
16. picrylaminodinitropyridine (PYX) (CAS 38082-89-2);
17. 3-nitro-1,2,4-triazol-5-one (NTO or ONTA) (CAS 932-64-9);
18. hydrazine (CAS 302-01-2) in concentrations of 70 percent or more, hydrazine nitrate (CAS 37836-27-4), hydrazine perchlorate (CAS 27978-54-7), unsymmetrical dimethyl hydrazine (CAS 57-14-7), monomethyl hydrazine (CAS 60-34-4) and symmetrical dimethyl hydrazine (CAS 540-73-8);
19. ammonium perchlorate (CAS 7790-98-9);
20. cyclotrimethylenetrinitramine (RDX) (CAS 121-82-4);

21. hydroxylammonium nitrate (HAN) (CAS 13465-08-2), hydroxylammonium perchlorate (HAP) (CAS 15588-62-2);
 22. 2-(5-cyanotetrazolato) penta amine-cobalt (III) perchlorate (CP) (CAS 70247-32-4);
 23. cis-bis (5-nitrotetrazolato) tetra amine-cobalt (III) perchlorate (BNCP);
 24. 7-amino-4,6-dinitrobenzofurazane-1-oxide (ADNBF) (CAS 97096-78-1), aminodinitrobenzofuroxane;
 25. 5,7-diamino-4,6-dinitrofurazan-1-oxide (CL-14) (CAS No. 117907-74-1) or amino dinitrobenzofuroxan;
 26. 2,4,6-trinitro-2,4,6-triazacyclohexanone (K-6 or Keto-RDX) (CAS 115029-35-1);
 27. 2,4,6,8-tetranitro-2,4,6,8-tetraazabicyclo [3,3,0]-octanone-3 (CAS 130256-72-3) (tetranitrosemiglycoluril, K-55 or keto-bicyclic HMX);
 28. 1,1,3-trinitroazetidine (TNAZ) (CAS 97645-24-4);
 29. 1,4,5,8-tetranitro-1,4,5,8-tetraazadecalin (TNAD) (CAS 135877-16-6);
 30. hexanitrohexaazaisowurtzitane (CAS 135285-90-4) (CL-20 or HNIW) and clathrates of CL-20;
 31. polynitrocubanes with more than four nitro groups;
 32. ammonium dinitramide (ADN or SR 12) (CAS 140456-78-6);
 33. trinitrophenylmethylnitramine (tetryl) (CAS 479-45-8);
- b) explosives and propellants that meet the following performance parameters:
1. Any explosive with a detonation velocity exceeding 8,700 m/s or a detonation pressure exceeding 34 GPa (340 kbar);
 2. other organic explosives not listed in Item 0008, yielding detonation pressures of 25 GPa (250 kbar) or more that will remain stable at temperatures of 523 K (250 °C) or higher for periods of 5 minutes or longer;

3. any other United Nations (UN) Class 1.1 solid propellant not listed in Item 0008, with a theoretical specific impulse (under standard conditions) of more than 250 seconds for non-metallised, or more than 270 seconds for aluminised compositions;
 4. any other United Nations (UN) Class 1.3 solid propellants not listed in Item 0008, with a theoretical specific impulse of more than 230 seconds for non-halogenised, 250 seconds for non-metallised and 266 seconds for metallised compositions;
 5. any other gun propellants not listed in Item 0008 having a force constant of more than 1,200 kJ/kg;
 6. any other explosive, propellant or pyrotechnic not listed in Item 0008 that can sustain a steady-state, uniform burning rate of more than 38 mm/s at 6.89 MPa (68.9 bar) pressure and 294 K (21 °C); or
 7. elastomer modified cast double-base propellants with (EMCDB), with extensibility at maximum stress of more than 5 percent at 233 K (-40 °C);
- c) military pyrotechnics;
- d) other substances, as follows:
1. aircraft fuels specially formulated for military purposes;
 2. military materials containing thickeners for hydrocarbon fuels specially formulated for use in flame-throwers or incendiary bombs, such as metal stearates or palmates (also known as octal) (CAS 637-12-7) and M1, M2, M3 thickeners;
 3. liquid oxidisers comprised of or containing inhibited red fuming nitric acid (IRFNA) (CAS 8007-58-7) or oxygen difluoride;
- e) additives and precursors, as follows:
1. Azidomethylmethyloxetane (AMMO) and its polymers;
 2. basic copper salicylate (CAS 62320-94-9), lead salicylate (CAS 15748-73-9);
 3. bis(2,2-dinitropropyl) formal (CAS 5917-61-3) or bis(2,2-dinitropropyl) acetal (CAS 5108-69-0);

4. bis-(2-fluoro-2,2-dinitroethyl) formal (FEFO) (CAS 17003-79-1);
5. bis-(2-hydroxyethyl) glycolamide (BHEGA) (CAS 17409-41-5);
6. bis(2-methyl aziridiny) methylamino phosphine oxide (Methyl BaPO), (CAS 85068-72-0);
7. bisazidomethyloxetane and its polymers (CAS 17607-20-4);
8. bischloromethyloxetane (BCMO) (CAS 142173-26-0);
9. butadienenitrileoxide (BNO);
10. butanetrioltrinitrate (BTTN) (CAS 6659-60-5);
11. catocene (CAS 37206-42-1) (2,2-Bis-ethylferrocenyl propane), ferrocene carboxylic acids, N-butyl-ferrocene (CAS 319904-29-7), butacene (CAS 125856-62-4) and other adducted polymer ferrocene derivatives;
12. dinitroazetidine-t-butyl salt;
13. energetic monomers, plasticisers and polymers containing nitro, azido, nitrate, nitraz a or difluoramino groups;
14. FPF-1: Poly-2,2,3,3,4,4-hexafluoropentane-1,5-diol formal;
15. FPF-3: Poly-2,4,4,5,5,6,6-heptafluoro-2-tri-fluoromethyl-3-oxaheptane-1,7-diol formal;
16. glycidylazide polymer (GAP) (CAS 143178-24-9) and its derivatives;
17. hexabenzylhexaazaisowurtzitane (HBIW) (CAS 124782-15-6);
18. hydroxyl terminated polybutadiene (HTPB) with a hydroxyl functionality equal to or greater than 2.2 and less than or equal to 2.4, a hydroxyl value less than 0.77 meq/g, and a viscosity at 303 K (30 °C) of less than 47 poise (CAS 69102-90-5);
19. superfine iron oxide (Fe_2O_3 hematite) with a specific surface area greater than 250 m^2/g and an average particle size of 0.003 μm or less (CAS 12309-37-1);
20. lead beta-resorcyate (CAS 20936-32-7);

21. lead stannate (CAS 12036-31-6), lead maleate (CAS 19136-34-6), lead citrate (CAS 14450-60-3);
22. lead-copper-chelates of beta-resorcyate and/or salicylate (CAS 68411-07-4);
23. nitratomethylmethyloxetane or poly (3-nitratomethyl, 3-methyl oxetane) (Poly-NIMMO, NMMO) (CAS 84051-81-0);
24. 3-nitrazo-1,5-pentane diisocyanate (CAS 7406-61-9);
25. N-methyl-p-nitroaniline (CAS 100-15-2),
26. organo-metallic coupling reagents, specifically titanium-IV-compounds:
 - a) 2,2-[bis-2-propenolato-methyl, butanolato tris (dioctyl) phosphato] (LICA 12) (CAS 103850-22-2);
 - b) [(2-propenolato-1) methyl, n-propenolatomethyl] butanolato-1, tris(dioctyl)pyrophosphate (KR 3538);
 - c) [(2-propenolato-1) methyl, n-propenolatomethyl] butanolato-1, tris(dioctyl)phosphate;
27. polycyanodifluoroaminoethyleneoxide (PCDE);
28. polyfunctional aziridine amides with isophthalic, trimesic (BITA or butylene imine trimesamide), isocyanuric or trimethyladipic backbone structures and 2-methyl or 2-ethyl substitutions on the aziridine ring;
29. polyglycidyl nitrate or poly (nitratomethyl oxirane), (Poly-GLYN, PGN) (CAS 27814-48-8);
30. polynitroorthocarbonates;
31. propyleneimide, 2-methylaziridine (CAS 75-55-8);
32. tetraacetyldibenzylhexaazaisowurtzitane (TAIW);
33. tetraethylenepentaamineacrylonitrile (TEPAN) (CAS 68412-45-3), cyanoethylated polyamines and their salts;

34. **tetraethylenepentaamineacrylonitrileglycidol (TEPANOL)**
(CAS 68412-46-4), cyanoethylated polyamines adducted with glycidol and their salts;
35. **triphenyl bismuth (TPB) (CAS 603-33-8);**
36. **tris-1-(2-methyl)aziridinyl phosphine oxide (MAPO) (CAS 57-39-6), bis(2-methyl aziridinyl) 2-(2-hydroxypropanoxy) propylamino phosphine oxide (BOBBA 8) and other MAPO derivatives;**
37. **1,2,3-tris[(1,2-bis-difluoroamino)ethoxy] propane (TVOPA)**
(CAS 53159-39-0);
38. **1,3,5-trichlorobenzene (CAS 108-70-3);**
39. **1,2,4-butanetriol (1,2,4-trihydroxybutane);**
40. **1,3,5,7-tetraacetyl-1-3,5,7-tetraaza cyclo-octane (TAT) (CAS 41378-98-7);**
41. **1,4,5,8-tetraazadecalin (CAS 5409-42-7);**
42. **low (less than 10,000) molecular weight, alcohol-functionalised, poly(epichlorohydrin), poly(epichlorhydrindiol).**

Notes:

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

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

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

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

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

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

Notes:

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

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

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

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

converters used for aircraft or missiles and catapults and cartridge-actuated devices for emergency escape of personnel from aircraft;

h) parachutes used for combat personnel, cargo dropping or aircraft deceleration, as follows:

1. Parachutes for

a) pin point dropping of rangers;

b) dropping of paratroopers;

2. cargo parachutes;

3. paragliders, drag parachutes, drogue parachutes for stabilisation and attitude control of dropping bodies (e.g. recovery capsules, ejection seats, bombs);

4. drogue parachutes for use with ejection seat systems for deployment and inflation sequence regulation of emergency parachutes;

5. recovery parachutes for guided missiles, drones and space vehicles,

6. approach parachutes and landing deceleration parachutes;

7. other military parachutes;

i) automatic piloting systems for parachuted loads, equipment specially designed or modified for military use for controlled opening jumps at any height, including oxygen equipment.

Notes:

1. Sub-item 0010b does not control aircraft or variants of these aircraft specially designed for military use which

a) are not configured for military use and are not fitted with equipment or attachments specially designed or modified for military use, and

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

2. Sub-item 0010c does not control:

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

Supplementary Note:

See also Part I C, Item 9A994.

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

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

Note:

Item 0011 includes:

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

- f) identification, authentication and keyloader equipment and key management, manufacturing and distribution equipment.

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

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

Notes:

1. Item 0006 includes the following when specially designed for kinetic energy weapon systems:
 - a) Launch propulsion systems capable of accelerating masses larger than 0.1 g to velocities in excess of 1.6 km/s, in single or rapid fire modes;
 - b) prime power generation, electric armour, energy storage, thermal management, conditioning, switching or fuel-handling equipment, and electrical interfaces between power supply, gun and other turret electric drive functions;
 - c) target acquisition, tracking, fire control or damage assessment systems;
 - d) homing seeker, guidance or divert propulsion (lateral acceleration) systems for projectiles.
2. Item 0012 controls weapon systems using any of the following methods of propulsion:
 - a) Electromagnetic;
 - b) electrothermal;
 - c) plasma;
 - d) light gas; or

e) chemical (when used in combination with any of the above).

3. Item 0012 does not control technology for magnetic induction for continuous propulsion of civil transport devices.
4. For weapon systems using sub-calibre ammunition or employing solely chemical propulsion and ammunition therefor, see Items 0001, 0002, 0003 and 0004.

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

a) armoured plate, as follows:

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

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

c) military helmets;

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

Notes:

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

Supplementary Note:

See also Part I C, Item 1A005.

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

Technical Note:

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

Attack trainers;

operational flight trainers;

radar target trainers;

radar target generators;

gunnery training devices;

anti-submarine warfare trainers,

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

radar trainers;

instrument flight trainers;

navigation trainers;

missile launch trainers, target equipment;

drone aircraft, armament trainers;

pilotless aircraft trainers;

mobile training units.

Note:

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

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

...

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

Note:

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

Notes:

1. The term 'specially designed components' includes the following when specially designed for military use:
 - a) Infrared image converter tubes;
 - b) image intensifier tubes (other than first generation);
 - c) microchannel plates;
 - d) low-light-level television camera tubes;
 - e) detector arrays (including electronic interconnection or read out systems);
 - f) pyroelectric television camera tubes;
 - g) cooling systems for imaging systems;
 - h) electrically triggered shutters of the photochromic or electro-optical type having a shutter speed of less than 100 μ s, except in the case of shutters which are an essential part of a high speed camera;
 - i) fibre optic image converters;
 - j) compound semiconductor photocathodes.

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

Supplementary Note:

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

Supplementary Note:

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

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

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

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

1. Closed or semi-closed circuit (rebreathing) apparatus specially designed for military use (e.g., specially designed to be non-magnetic);
2. specially designed components for use in the conversion of open-circuit apparatus to military use;
3. articles designed exclusively for military use with the equipment controlled by sub-item 0017a;

b) construction equipment specially designed for military use;

c) fittings, coatings and treatments for signature suppression, specially designed for military use;

d) field engineer equipment specially designed for use in a combat zone;

e) robots, robot controllers and robot end-effectors, having any of the following characteristics:

1. Specially designed for military use;

2. **incorporating means of protecting hydraulic lines against externally induced punctures caused by ballistic fragments (e.g., incorporating self-sealing lines) and designed to use hydraulic fluids with flash points higher than 839 K (566 °C); or**
 3. **specially designed or rated for operating in an electro-magnetic pulse (EMP) environment;**
- f) **libraries (parametric technical databases) specially designed for military use with equipment controlled by Part I A;**
 - g) **nuclear power generating equipment or propulsion equipment, including nuclear reactors, specially designed for military use and components therefor specially designed or modified for military use;**
 - h) **equipment and material, coated and treated for signature suppression, specially designed for military use, other than those controlled elsewhere in Part I A;**

Note:

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

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

Technical Note:

For the purpose of sub-item 0017l, the term 'specially designed for military use' means that the equipment has any of the following characteristics:

- a) EMP protection;
- b) NBC protection;
- c) coating for signature suppression (infrared or radar); or

d) ballistic protection;

m) bridges specially designed for military use.

Technical Note:

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

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

- a) Specially designed or modified production equipment for the production of products controlled by Part I A, and specially designed components therefor;**
- b) specially designed environmental test facilities and specially designed equipment therefor, for the certification, qualification or testing of products controlled by Part I A;**
- c) specific production technology for the production of products controlled by Part I A, even if the equipment with which such technology is used is not controlled;**
- d) technology specific to the design of, the assembly of components into, and the operation, maintenance and repair of complete production installations even if the components themselves are not controlled.**

Notes:

1. Sub-items 0018a and 0018b include the following equipment:

- a) Continuous nitratators;
- b) centrifugal testing apparatus or equipment having any of the following characteristics:

- 1. Driven by a motor or motors having a total rated horsepower of more than 298 kW (400 hp);
- 2. capable of carrying a payload of 113 kg or more; or

...

3. capable of exerting a centrifugal acceleration of 8 g or more on a payload of 91 kg or more ($g = 9.81 \text{ m/s}$);

- c) dehydration presses;
- d) screw extruders specially designed or modified for military explosive extrusion;
- e) cutting machines for the sizing of extruded propellants;
- f) sweetie barrels (tumblers) 1.85 m or more in diameter and having over 227 kg product capacity;
- g) continuous mixers for solid propellants;
- h) fluid energy mills for grinding or milling the ingredients of military explosives;
- i) equipment to achieve both sphericity and uniform particle size in metal powder listed in sub-item 0008a1;
- j) convection current converters for the conversion of materials listed in sub-item 0008a6.

2.

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

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

superconductive electrical equipment excluded from control under Part I C, sub-item 0020b;

3. metal fuels and oxidants deposited in laminar form from the vapour phase (see sub-item 0008a2);

b) The term 'products referred to in Part I A' does not include:

1. Signal pistols (see sub-item 0002b);

2. the substances excluded from control under Note 3 to Item 0007;

3. personal radiation monitoring dosimeters (see sub-item 0007f) and masks for protection against specific industrial hazards;

4. acetylene, propane, liquid oxygen, difluoramine (HNF₂), fuming nitric acid and potassium nitrate powder (see Note 5 to Item 0008);

5. aero-engines excluded from control under Item 0010 with reference to Part I C, Item 9A001;

6. conventional steel helmets not equipped with, or modified or designed to accept, any type of accessory device (see Note 2 to Item 0013);

7. equipment fitted with industrial machinery, which is not controlled such as coating machinery not elsewhere specified and equipment for the casting of plastics;

8. muskets, rifles and carbines dated earlier than 1938, reproductions of muskets, rifles and carbines dated earlier than 1890, revolvers, pistols and machine guns dated earlier than 1890, and their reproductions.

3. Note 2b8 of Item 0018 does not release from controls technology or production equipment for non-antique firearms, even if used to produce reproductions of antique firearms.

4. Sub-item 0018d does not control technology for civil purposes, such as agricultural, pharmaceutical, medical, veterinary, environmental, or in the food industry (see Note 4 to Item 0007).

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

a) Laser systems specially designed for destruction or effecting mission-abort of a target;

...

- b) particle beam systems capable of destruction or effecting mission-abort of a target;**
- c) high power radio-frequency (RF) systems capable of destruction or effecting mission-abort of a target;**
- d) equipment specially designed for the detection or identification of, or defence against, systems controlled by sub-items 0019a, 0019b or 0019c;**
- e) physical test models and related test results for the systems, equipment and components controlled by this Item;**
- f) continuous wave or pulsed laser systems specially designed to cause permanent blindness to unenhanced vision, i.e., to the naked eye or to the eye with corrective eyesight devices.**

Notes:

1. Directed energy weapon systems controlled by Item 0019 include systems whose capability is derived from the controlled application of:
 - a) Lasers of sufficient continuous wave or pulsed power to effect lethality similar to that of conventional ammunition;
 - b) particle accelerators which project a charged or neutral particle beam with destructive power;
 - c) high pulsed power or high average power radio frequency beam transmitters which produce fields sufficiently intense to disable electronic circuitry at a distant target.
2. Item 0019 includes the following when specially designed for direct energy weapon systems:
 - a) Prime power generation, energy storage, switching, power conditioning or fuel-handling equipment;
 - b) target acquisition or tracking systems;
 - c) systems capable of assessing target damage, destruction or mission-abort;

- d) beam-handling, propagation or pointing equipment;
- e) equipment with rapid beam slew capability for rapid multiple target operations;
- f) adaptive optics and phase conjugators;
- g) current injectors for negative hydrogen ion beams;
- h) space qualified accelerator components;
- i) negative ion beam funnelling equipment;
- j) equipment for controlling and slewing a high energy ion beam;
- k) space qualified foils for neutralising negative hydrogen isotope beams.

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

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

Note:

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

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

Note:

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

0021 Software, as follows:

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

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

Note:

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

Annex 2 b

War Weapons List

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

Part A

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

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

Part B

Other War Weapons

I. Missiles

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

II. Combat aircraft

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

...

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

15. airframes for the weapons listed in Items 13 and 14

16. jet, propjet and rocket engines for the weapons listed in Item 13

III. Vessels of war and floating support vehicles

17. vessels of war including those used for training purposes

18. submarines

19. small craft equipped with assault weapons, with a speed of more than 30 knots

20. minesweepers, minehunters, minelayers, guinea pig vessels and other mine warfare vessels

21. amphibious craft, amphibious assault ships

22. tenders, ammunition ships

23. hulls for the weapons listed in Items 17 to 22

IV. Combat vehicles

24. main battle tanks

25. other armoured combat vehicles including armoured support vehicles

26. all types of special vehicles solely developed for the use of the weapons listed in Items 1 to 6

27. chassis for the weapons listed in Items 24 and 25

28. turrets for main battle tanks

V. Guns

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

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

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

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

VII. Torpedoes, mines, bombs, autonomous ammunition

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

VIII. Other ammunition

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

- 53. rifle grenades
- 54. projectiles for the weapons listed in Items 49 and 52
- 55. propelling charges for the weapons listed in Items 49 and 52

IX. Other essential components

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

X. Dispensers

- 61. dispensers for the systematic distribution of submunitions

XI. Laser weapons

- 62. laser weapons specially designed to cause permanent blindness

Weapon Embargoes in Force in 2001

Country	Date	Legal Basis
Afghanistan	22 October 1996	UN SC Resolution Nr. 1076
	17 December 1996	EU Council Common Position (96/746/CFSP)
	24 January 2000	Confirmed by EU Council Common Position (2000/55/CFSP)
	22 January 2001	Confirmed by EU Council Common Position (2001/56/CFSP)
	26 February 2001	Reconfirmed by EU Council Common Position (2001/154/CFSP)
	5 November 2001	Limited to the area of Afghanistan sovereignty under Taliban control as designated by the UN Committee on Sanctions (2001/771/CFSP)
Angola	15 September 1993	UN SC Resolution Nr. 864
Armenia and Azerbaijan	29 July 1993	UN SC Resolution Nr. 853
China	27 June 1989	Declaration of the European Council

Democratic Republic of Congo (Zaire)	7 April 1993	Declaration of the European Council
Ethiopia and Eritrea	10 February 1999	UN SC Resolution Nr. 1227
	15 March 1999	EU Council Common Position (1999/206/CFSP)
	20 March 2000	Last extended to 30 September 2000 (2000/230/CFSP)
	19 March 2001	Last extended to 31 May 2001 (2001/215/CFSP)
Iraq	6 August 1990	UN SC Resolution Nr. 661
Liberia	19 November 1992	UN Resolution Nr. 788
	7 March 2001	UN Resolution Nr. 1343
	7 May 2001	EU Council Common Position (2001/357/CFSP)
Libya	31 March 1992	UN SC Resolutions Nr. 748
	11 November 1993	and 883
	27 August 1998	Suspension by UN SC Resolution Nr. 1192
	16 April 1999	Suspension of the embargo; however, continuation of the weapons embargo by the EU Council Common Position (1999/261/CFSP)

Myanmar (Burma)	28 October 1996	EU Council Common Position (96/635/CFSP)
	26 April 2000	Last extended to 29 October 2000 (2000/346/CFSP)
	29 October 2001	Last extended to 29 April 2002 (2001/757/CFSP)
Ruanda	17 May 1994	UN SC Resolution Nr. 918
Sierra Leone	5 June 1998	UN SC Resolution Nr. 1171
	29 June 1998	EU Council Common Position (98/409/CFSP)
Somalia	23 January 1992	UN SC Resolution Nr. 733
Sudan	15 March 1994	EU Council Common Position (94/165/CFSP)

States of the former Yugoslavia (Bosnia and Herzegovina, Croatia, Federal Republic of Yugoslavia with Serbia and Montenegro)	31 March 1998	UN SC Resolution Nr. 1160*
	26 February 1996	EU Council Common Position (96/184/CFSP)
	19 July 1999	Confirmed by Council Resolution (1999/481/CFSP)
	8 October 2001	Amendment of the Common Position (96/184/CFSP): Deletion of the Federal Republic of Yugoslavia by Common Position (2001/719/CFSP)

* This UN weapons embargo did not have to be implemented by the EU since the latter independently continued the weapons embargo (that the UN had allowed to expire in 1996) based on UN SC Resolution Nr. 713 of 25 September 1991.

Annex 4

EXPORTS

REPORT OF INTERNATIONAL CONVENTIONAL ARMSTRANSFERS

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

Reporting country: GERMANY

Calendar year: 2001

A	B	C	D	E
Category I through VII	Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location
I Battle tanks		nil		
II Armoured combat vehicles	Romania	2		
III Large calibre artillery systems		nil		
IV Combat aircraft	Thailand	15		
V Attack helicopters	Portugal	1*		
VI Warships				
VII Missiles and missile launchers				

Background information provided: yes no

* Final importer State may report a different number

of items due to a different transfer definition

EU Member States

Country	No. of Licenses	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/Reasons/EL Item
Austria	306	0001	98,220,029					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0010						
		0011						
		0013						
		0014						
		0015						
		0016						
Belgium	320	0001	119,807.279					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0010						
		0011						
		0013						
		0014						

Country	No. of Licenses	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/Reasons/EL Item
		0015 0016 0017 0018 0021 0022						
Denmark	188	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0022	139,199,528					
Finland	64	0001 0002 0003 0004 0005 0006 0007 0009 0011 0013 0015 0016	37,895,789					

Country	No. of Licenses	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/Reasons/EL Item
		0017 0018						
France	419	0001 0002 0003 0004 0005 0006 0007 0008 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022	135,568,332					

Country	No. of Licenses	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/Reasons/EL Item
Greece	143	0001	679,695,995					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0010						
		0011						
		0013						
		0014						
		0016						
Ireland	16	0001	6,044,488					
		0003						
		0004						
		0006						
		0007						
		0011						
		0016						
0017								
Italy	539	0001	431,747,460					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0010						

Country	No. of Licenses	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/Reasons/EL Item
		0011 0013 0014 0015 0016 0017 0018 0021 0022						
Luxembourg	75	0001 0002 0003 0004 0005 0006 0007 0013 0015 0018	10,862,811					
Netherlands	496	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018	307,242,940					

Country	No. of Licenses	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/Reasons/EL Item
		0022						
Portugal	51	0001 0002 0005 0006 0007 0008 0009 0010 0011 0013 0016 0017 0018 0021 0022	73,804,685					
Sweden	271	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022	179,875,480					
Spain	374	0001	150,150,657					

Country	No. of Licenses	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/Reasons/EL Item
		0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022						
United Kingdom	620	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021	230,483,987					

Country	No. of Licenses	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/ Reasons/ EL Item
		0022						
Total	3,882		2,600,599,460		0			0

NATO and NATO – Equivalent Countries

Country	No. of Licenses.	EL Item.	Total Value (DM)	EL Merchandise	Denials Final Exports	EL Item	Total Value (DM)	No. of Denials/ Reasons/ EL Item
Australia	212	0001 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0016 0017 0018 0021 0022	106,943,868					
Canada	254	0001 0002 0003 0004 0005 0006 0007 0008 0010 0011 0013 0014 0015 0016 0017 0018	86,333,251					

Country	No. of Licenses.	EL Item.	Total Value (DM)	EL Merchandise	Denials Final Exports	EL Item	Total Value (DM)	No. of Denials/ Reasons/ EL Item
		0022						
Czech Republic	311	0001 0003 0005 0006 0007 0008 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022 0023	9,909,804					
Hungary	121	0001 0003 0007 0008 0013 0015 0016 0018 0022 0023	10,356,021					
Iceland	23	0001 0003 0004 0006	110,570					
Japan	157	0001 0002 0003	29,047,809					

Country	No. of Licenses.	EL Item.	Total Value (DM)	EL Merchandise	Denials Final Exports	EL Item	Total Value (DM)	No. of Denials/ Reasons/ EL Item
		0004 0007 0008 0010 0011 0013 0014 0016 0017 0018 0022 0023						
Liechtenstein	38	0001 0003 0013 0018	4,036,301					
New Zealand	70	0001 0002 0003 0004 0006 0009 0010 0011 0013 0017 0018 0021 0023	3,505,557					
Norway	326	0001 0002 0003 0004 0005 0006	39,936,250					

Country	No. of Licenses.	EL Item.	Total Value (DM)	EL Merchandise	Denials Final Exports	EL Item	Total Value (DM)	No. of Denials/ Reasons/ EL Item
		0007 0008 0009 0011 0013 0014 0015 0016 0017 0018 0021 0022						
Poland	208	0001 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0015 0016 0017 0021 0022 0023	14,745,552					
Switzerland	1,169	0001 0002 0003 0004 0005 0006	234,129,607					

Country	No. of Licenses.	EL Item.	Total Value (DM)	EL Merchandise	Denials Final Exports	EL Item	Total Value (DM)	No. of Denials/ Reasons/ EL Item
		0007 0008 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022 0023						
Turkey	253	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0016 0017 0018 0022	327,289,278		5	0006 0011	278,236	
USA	883	0001 0002 0003 0004 0005 0006	1,108,618,757					

Country	No. of Licenses.	EL Item.	Total Value (DM)	EL Merchandise	Denials Final Exports	EL Item	Total Value (DM)	No. of Denials/ Reasons/ EL Item
		0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022						

Country	No. of Licenses.	EL Item.	Total Value (DM)	EL Merchandise	Denials Final Exports	EL Item	Total Value (DM)	No. of Denials/ Reasons/ EL Item
Countries according to list: namely, USA, Greece, Spain	1	0015	1,620,000					
Collective export licenses: NATO and NATO-equivalent countries	145	0002 0004 0005 0006 0009 0010 0011 0014 0015 0016 0017 0018 0021 0022	7,520,740,175					
Total	4,171		9,497,322,800		5		278,236	0

Third countries

Country	No. of Licenses.	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/Reasons/EL Item
Algeria	4	0006 0010 0017 0018	1,451,883	Diving apparatus (0017/92.6%)				
Andorra	29	0001 0003 0018 0023	422,621	Rifles and carbines (not war weapons) revolvers, pistols, hunting and sporting rifles, including parts (0001/60..3%); Ammunition for rifles, hunting and sporting weapons, revolvers, pistols, including parts (0003/38.6%)	3	0001	4,801	
Angola					2	0011	69,160	
Argentina	29	0001 0003 0006 0009 0011 0016 0017 0021	4,472,083	HF Interferometer Direction finders, parts for shipboard communication systems (0011/47.0%), Diving apparatus and containers (0017/31.6%); Parts for submarines, sonar systems, and magnetic compasses (0009/8.9%)				
Bahrain	4	0001 0005 0006	1,348,299	Parts for armored vehicles (0006/62.8%); Revolvers and pistols, incl. parts (0001/31.4%)				
Bangladesh	129	0001 0003 0007 0011 0023	340,010	Revolvers, pistols, sport pistols and revolvers, incl. parts (0001/69.5%)) Ammunition for revolvers and pistols (0003/17.6%)				
Belarus	1	0001	3,149	Sport and hunting rifles				1 (05/01) Criterion 7 / 0006

Country	No. of Licenses.	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/Reasons/EL Item
Belize	1	0001	4,636	Revolvers and pistols				
Bhutan	1	0001 0003	1,674	Revolvers and pistols (0001/97.0%)				
Bolivia	1	0001	2,455	Sport and hunting rifles				
Botswana	9	0001 0006 0008 0016	604,380	Round blanks for ammunition production (0016/35.7%); Revolvers, pistols, sport and hunting rifles, incl. parts (0001/35.3%); Parts for military vehicles (0006/28.9%)				
Brazil	68	0001 0002 0003 0004 0006 0007 0009 0010 0011 0013 0014 0016 0017 0021 0022	19,418,153	Parts for submarines, mine warfare vessels, patrol boats, and sonar units (0009/48.5%); Armor plate, vehicular armor (0013/21.2%); Technology documents for gunlaying and stabilization systems, technology documents for submarine propulsion units, and technical specifications for aircraft landing gear (0022/13.0%)				

Country	No. of Licenses.	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/ Reasons/ EL Item
Brunei	9	0001 0009 0011 0017 0018 0021	679,960	Parts for shipboard communication systems (0011/79.8%); Revolvers and pistols, incl. parts (0001/12.0%)				
Bulgaria	61	0001 0003 0007 0023	2,483,121	Revolvers, pistols, sport and hunting rifles, incl. parts, weapon sighting units (0001/98.7%) Night vision gear (0015/17.8%)				
Cameroon	3	0001 0003	4,231	Revolvers and pistols (0001/99.5%)				
Chile	76	0001 0003 0004 0005 0006 0009 0011 0013 0014 0017 0021 0022	23,964,155	Fire control systems, Parts for fire control systems and weapon delivery systems for combat vessels (0005/69.4%); Trucks, Parts for tanks and armored vehicles (0006/10.0%); Gyrocompass units, Parts for submarines, fast petrol boats, and gyrocompass units, (0009/9.1%)				
China	7	0008 0011	188,564	Laboratory chemicals, fuel components (0008/57.5%); CPU assemblies (0011/42.5%)	2	0001 0011 0021	34,097	1 Criterion 1 / 0018
Columbia	3	0009 0017	17,476,073	Parts for submarines (0009/99.0%)			4	1 (08/01 Criterion 2, 3/ 0002, 0003
Congo, Democratic Republic	3	0006	13,900	Trucks	1	0013	4.597	

Country	No. of Licenses.	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/Reasons/EL Item
Costa Rica	5	0001	23,178	Revolvers, pistols, sport and hunting rifles, incl. Parts	4	0001	32,886	
Croatia	19	0001 0003 0006 0008 0015 0018 0021	511,703	Night vision binoculars (0015/60.3%); Parts for mine clearance vehicles (0006/20.6%)				
Cyprus North	1	0001	1,579	Revolvers and pistols				
Cyprus South	3	0001 0005	666,631	Fire control systems, incl. parts (0005/89.5%)				
Dominica	3	0001	5,680	Revolvers and pistols, incl. parts				
Dominican Republic	6	0001 0003	190,353	Revolvers and pistols, incl. parts (0001/99.9%)	1	0001	156,315	
East Timor	1	0003	192,000	Ammunition for sub-machine guns (for UN mission)				
Ecuador	5	0009 0010	1,921,656	Transport helicopters, transport aircraft (0010/63.6%); Hydrophones, Parts for sonar units and sonar sounding sets (0009/36.4%)				
Egypt	123	0001 0003 0006 0007 0008 0010 0011 0013 0014 0016 0017 0018 0021	30,487,329	Trucks, Parts for tanks, armored vehicles and other vehicles (0006/74.8%); HF communication systems, VHF two-way radio units, topographic sensor system, parts for communication systems (0011/16.4%)	2	0015 0018	181,500	

Country	No. of Licenses.	EL Item	Total Value (DM)	EL Merchandise	Denials of Final Exports	EL Item	Total Value (DM)	No. of Denials/Reasons/EL Item
Estonia	26	0001 0002 0003 0006 0011 0018	54,918,898	Coastal surveillance radar systems (0011/98.4%)				
Ethiopia	1	0001	2,600	Revolvers and pistols				
Faeroe Island	2	0001 0003	1,882	Ammunition for hunting and sporting weapons (0003/64.1%); Sporting and hunting rifles (0001/35.9%)				
Gabon	4	0001 0003 0006	1,291,690	Trucks and parts (0006/99.8%)				
Georgia	3	0001 0006	1,644,087	Trucks (0006/96.4%)	2	0001	105,164	
Gibraltar	1	0001	5,572	Parts for submachine guns				
Greenland	9	0001 0003 0023	43,993	Ammunition for sporting and hunting weapons, revolvers, pistols (0003/52.3%); Rifles and carbines (not war weapons), revolvers, pistols, hunting and sporting rifles, incl. Parts (0001/44.5%)				
Guatemala					2	0001	121,856	2 (10, 11/01) Criterion 2 / 0001
Guyana	1	0001	39,567	Revolvers and pistols	1	0001	38,700	1 /12/01) Criterion 3/ 0001
Honduras					1	0001	20,081	
India	72	0001 0003 0004 0005	11,357,000	Parts for tanks (0006/29.7%); Ship body conduits, underwater detection equipment,	13	0006 0011 0013 0014	3,148,908	2 (02, 06/01) Criterion 4 / 0005, 0006

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		0006 0007 0008 0009 0010 0011 0012		parts for submarines and underwater detection equipment (0009/27.2%); NBC protective clothing, design and construction documents for NBC overpressure system (0007/16.9%); Gyroscope for sea gravimeter, parts for radio equipment, data recording equipment, and torpedo test beds (0011/13.1%)		0016 0017 0018		
Indonesia	4	0001 0009 0011	2,028,837	Parts for submarines and sonar systems (0009/99.5%)				1 (09/01) Criterion 3 / 0002
Iran	1	0008	51	Laboratory chemicals				
Israel	146	0001 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0016 0017 0018 0021 0022 0023	71,409,678	Parts for tanks and military vehicles (0006/37.2%); Technical documents for smoke projectiles, final reduction gear units, transmission components, monitors and circuit boards, sectional drawing for smoke pots (0022/24.0%); Sonar sounding sets, gyro compass units, parts for submarines, sonar equipment, sonar sounding sets, and gyro compass units (0009/15.2%); Test beds for tracked vehicle transmissions, production equipment for parts of tanks, armored vehicles, submarines, small firearms, automatic transmissions, surveillance and target acquisition systems, quality control units (0018/10.0%)	6	0001 0003 0010 0018	383,593	

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Jamaica	2	001	23,806	Revolvers and pistols, incl. Parts	1	0001	48,948	
Jordan	3	0001 0006 0010	55,587	Sub-machine guns, rifles, and carbines (including war weapons) (0001/68.5%); Parts for engines (0010/16.2%)	2	0001 0015	75,559	
Kazakhstan	29	0001 0003 0006 0008 0013 0015	2,513,064	Neutralization vehicles incl. Splinter protection suit (0013/71.5%); Revolvers, pistols, hunting and sporting rifles, incl. parts (0001/13.0%)				
Kenya	9	0001 0003 0004	215,162	Propellant charges for decoy rockets (0004/71.6%); Revolvers, pistols, hunting and sporting rifles, incl. parts (0001/17.0%)				
Korea, Republic	197	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0015 0016 0017 0018 0021 0022 0023	1,819,117,469	Submarines as material package, sonar systems, parts for frigates, destroyers, submarines, and anti-torpedo defense systems, sonar sounding sets, gyro compass systems (0009/86.7%)				

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Kuwait	26	0001 0003 0004 0005 0007 0009 0010 0011 0013 0014 0023	4,185,305	Communications equipment and parts (0011/39.9%); Parts for patrol boats (0009/25.4%); Parts for training aircraft and helicopters (0010/22.2%)				
Latvia	66	0001 0003 0007 0013 0016 0018	1,294,494	Revolvers, pistols, sub-machine guns, hunting and sporting rifles, sporting pistols and revolvers, incl. parts (0001/67.0%); Ammunition for rifles, hunting and sporting weapons, revolvers, pistols, incl. Parts (0003/31.5%)				
Lebanon	1	0003	1,042	Ammunition for revolvers, pistols, hunting and sporting weapons				
Lithuania	72	0001 0002 0003 0004 0006 0007 0009 0013 0015 0018	9,090,045	Rifles and carbines (not war weapons) revolvers, pistols, hunting and sporting rifles, incl. parts, silencers, and weapon sighting units (0001/37.5%); Surveillance systems with thermal imaging units and laser range finders (0015/29.1%); Ammunition for cannons, hunting and sporting weapons, revolvers, pistols, incl. parts (0003/13.9%)				
Macao					1	0001	47,250	
Malawi	1	0006	16,787	Steering systems for military vehicles				

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Malaysia	69	0001 0002 0003 0004 0005 0007 0009 0010 0011 0014 0017 0018 0023	43,419,985	Fire control systems and parts (0005/52.5%); Ship bridge simulators (0014/19.6%); Parts for armored vehicles and military vehicles (0006/14.0%)				
Malta	6	0001 0003	188,289	Sub-machine guns, revolvers and pistols, incl. parts, tube weapon mounts (0001/99.9%)				
Morocco	5	0008 0010 0011	464,632	Parts for VHF transmitter/receiver units and short-wave radio systems (0011/91.7%)				
Mauritius	1	0001	4,000	hunting and sporting rifles	1	0001	2,217	
Macedonia	3	0001	2,501	Revolvers and pistols	1	0006	282,000	
Mexico	13	0001 0016 0018	2,494,264	Parts for rifles and carbines (including war weapons), machine guns, and tube weapon mounts (0001/67.9%); Semi-finished parts for small firearms (0016/20.9%)				
Moldavia, Republic	3	0001 0003	1,943	Revolvers, pistols, rifles, and carbines (not war weapons) (0001/98.4%)				
Mongolia	3	0001 0003	32,887	Hunting and sporting rifles, incl. Parts (0001/78.5%); Ammunition for hunting and sporting weapons (0003/21.5%)				
Namibia	35	0001 0003	259,897	Revolvers, pistols, hunting and sporting rifles, incl. parts (0001/92.4%)	5	0001 0003	93,122	1 (07/01)

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		0016 0018						Criterion 4c, 7/ 0003
Nepal	9	0001 0003 0018	737,027	Maintenance equipment for small firearms and manufacturing equipment for small firearms – ammunition (0018/99.5%)				
Netherlands Antilles	3	0001	4,356	Parts for sporting pistols and revolvers				
New Caledonia	8	0001	28,851	Hunting and sporting rifles, incl. Parts, weapon sighting units				
Oman	220	0001 0003 0004 0006 0007 0011 0013 0014 0021	30,146,436	Trucks, Parts for armored vehicles (0006/56.0%); Command and control and information systems (0021/30.2%)				
Pakistan	4	0001 0003	4,967	Ammunition for hunting and sporting weapons, incl. Parts (0003/55.2%);	3	0003 0010	72,715	1 (01/01) Criterion 4/ 0011
Papua-New Guinea	2	0001	1,137	Parts for revolvers, pistols, sporting pistols and revolvers				
Paraguay	1	0001	800	Revolvers, pistols, hunting and sporting rifles				
Peru	2	0009 0011	45,874	Transducers for underwater telephone equipment (0011/64.9%); Parts for sonar sounding sets (0009/35.1%)				
Philippines	1	0001	5,667	Sporting pistols and revolvers	2	0001	67,377	

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Qatar	12	0001 0003 0007 0009 0023	4,788,818	Gyro compass systems (0009/83.5%)				
Romania	101	0001 0003 0006 0011 0014 0015 0017 0022 0023	23,608,390	Surveillance systems with thermal imaging equipment and night-vision units (0015/98.4%)				
Russian Federation	210	0001 0003 0006 0007 0008 0011 0023	9,332,346	Hunting and sporting rifles, including parts (0001/60.9%) Mine clearance vehicles (0006/21.4%)	7	0001 0006 0017	60,224,985	
Rwanda	1	0023	800,000	Cross-country vehicles				
San Marino	19	0001 0018	43,205	Rifles and carbines (not war weapons), revolvers, pistols, sniper rifles, hunting and sporting rifles, Parts for rifles and carbines (incl. war weapons), sub-machine guns, tube weapon mounts (0001/84.4%)				
Saudi-Arabia	90	0001 0002 0003 0004 0005 0006 0007 0009	74,757,537	Firing-range facilities, firing simulators, and sub-caliber training ammunition (0014/41.6%); Roughcast parts and semis for small firearms, trays and round blanks for ammunition manufacture (0016/9.7%);	1	0001	4,104	

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		0010 0011 0014 0015 0016 0018 0022		Revolvers, pistols, sporting pistols and revolvers, Parts for rifles and carbines (incl. war weapons), sub-machine guns and machine guns (0001/9.5%); Parts for patrol boats (0009/8.3%); Manufacturing equipment for machine cannons, small firearms and small firearm ammunition, testing equipment for ECS components (0018/8.0%); Decontamination equipment and tactical gas bombs (0007/7.2%)				
Singapore	150	0001 0003 0004 0005 0006 0007 0008 0009 0011 0013 0014 0015 0017 0018 0021 0022	167,239,437	Trucks, Parts for tanks, armored self-propelled howitzers, armored vehicles, amphibious bridges, amphibious crossing vehicles, bridge layers, and other vehicles (0006/83.0%)				
Slovakia	100	0001 0003 0004 0005 0006	7,831,994	Parts for wheeled AFVs (0006/24.5%); Tube-weapon sight units and target locators, incl. parts (0005/22.0%);	1	0006	693,899	

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		0008 0011 0013 0015 0016 0017 0018 0023		Thermal imaging units (0015/18.7%); Rifles and carbines (not war weapons), revolvers, pistols, hunting and sporting rifles, incl. parts, weapon sighting units (0001/18.3%)				
Slovenia	123	0001 0003 0004 0006 0007 0008 0011 0013 0014 0015 0017 0018	36,359,327	AAW systems, incl. guided missiles, simulators (0004/92.6%)				
Somalia	1	0013	23,000	Fragment-proof vest (for land-mine clearance in humanitarian missions)				
Sri Lanka					2	0023	2,300	2 (03, 04/01) Criterion 3/ 0009, 0011

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South Africa	91	0001 0003 0004 0005 0006 0007 0009 0011 0016 0017 0018 0021 0022	10,340,061	Parts for submarines (0009/29.3%); Shipboard communications systems, monitors, magnetic self-protection for frigates, Parts for data recording equipment, ship control consoles (0011/21.6%); Technical documents for projectile casing, transmission components, parts for command and weapon delivery systems, and parts for submarines (0022/15.1%); Fire control systems, boresight sets, incl. parts, Parts for periscope systems (0005/13.3%); Rifles and carbines (not war weapons), revolvers, pistols, hunting and sporting weapons, sporting pistols and revolvers, weapon sighting units (0001/6.3%)				
Tanzania, United Republic	121	0001 0003 0018 0023	125,155	Rifles and carbines (not war weapons), revolvers, pistols, hunting and sporting rifles, incl. parts (0001/94.5%)				1 Criterion 7 / 0018
Thailand	164	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011	12,244,505	Machine cannons and parts (0002/38.0%); Rifles and carbines (incl. war weapons), revolvers, pistols, sniper rifles, sub-machine guns, hunting and sporting rifles, incl. parts, silencers, weapon sighting units (0001/28.9%); Parts for underwater detection equipment, gyrocompass systems and sonar systems (0009/7.5%);				

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		0014 0016 0018 0022 0023		Parts for tank firing training and tactical combat simulation equipment (0014/7.1%)				
Togo					1	0006	1,482,600	
Trinidad and Tobago	9	0001	50,859	Revolvers and pistols, incl. parts				
Tunisia	5	0001 0013 0018	58,285	Sporting pistols and revolvers, incl. parts (0001/55.5%); Manufacturing equipment for small firearm ammunition (0018/44.0%)				
Turkmenistan	3	0001 0003	37,936	Hunting and sporting rifles, incl. parts (0001/98.3%)				
Ukraine	60	0001 0003 0008	2,212,260	Hunting and sporting rifles, incl. parts (0001/87.1%)	2	0001 0003 0016	177,210	
Uruguay	6	0001 0003	35,533	Revolvers, pistols, sporting pistols, sporting revolvers, hunting and sporting rifles, incl. parts (0001/98.9%)				
Uzbekistan	4	0001 0003 0018	224,235	Parts for manufacturing equipment for small firearm ammunition (0018/67.0%); Revolvers and pistols, incl. parts (0001/24.3%)				
Venezuela	3	0006 0011	319,251	Parts for armored personnel carriers (0006/72.3%); Parts for IFF radar systems (0011/27.7%)	2	0001	131,165	2 (13, 14/01) Criterion 3, 7/ 0001
United Arab Emirates	85	0001 0002 0003 0005 0006 0007	84,286,267	Trucks, semi-trailer towing vehicles, semi-trailers, Parts for tanks, armored self-propelled howitzers, and military vehicles (0006/50.4%);				

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		0008 0009 0010 0011 0013 0014 0015 0016 0021 0022 0023		Communications systems, inertial navigation systems, static frequency transducers, Parts for communications systems, jamming transmitters, and radar units (0011/21.8%); Anti-G suits and parachutes (0010/9.7%)				
Vietnam	2	0001 0003	11,295	Sporting pistols and revolvers (0001/73.4%); Ammunition for hunting and sporting weapons (0003/26.6%)				
Yemen	4	0001 0003 0010	6,024,372	Ammunition for rifles (0003/53.6%); Parachutes (0010/46.2%)				
Yugoslavia	2	0001	767,695	Sub-machine guns, rifles, and carbines under the War Weapons Control Act, incl. parts (for UN troops).				
Zambia	32	0001 0003 0023	145,720	Revolvers, pistols, hunting and sporting rifles, incl. parts (0001/76.4%); Ammunition for hunting and sporting weapons, revolvers, pistols (0003/19.2%)				
Zimbabwe	5	0001 0003	20,928	Hunting and sporting weapons, incl. parts (0001/74.0%); Ammunition for hunting and sporting weapons (0003/26.0%)				
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Hongkong	8	0001 0003	17.179	Ammunition for revolvers, pistols, and grenade launchers (0003/48.0%);				

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		0007 0008		NBC protective clothing, CS agents (0007/45.4%)				
Taiwan	17	0004 0005 0006 0007 0009 0011 0013 0014 0016 0017 0022	23,534,614	Antenna support shafts and shaft cable for submarines, Parts for electronic warfare (0011/39.8%); Parts for mine warfare vessels, submarines, and gyrocompass systems (0009/37.9%); Technical documents for missile warning systems (0022/14.5%)	2	0007 0011	628,970	
Total	3,097		2,632,219,788		70		67,673,012	14

The denials cited above also include, in addition to rejected applications for export authorizations, negatively answered initial inquiries relating to specific export projects. They are visible as deviations in the column headed "Number of Denials/Reasons/EL Item" as compared with the column headed "Denials of Final Exports."