

**Report**  
**by the Government of the Federal Republic of Germany**  
**on Its Policy on Exports of Conventional Military Equipment**  
**in 2003**  
**(2003 Military Equipment Export Report)**

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## Summary

With reference to Section V of the "Political Principles of the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment"<sup>1</sup> as amended on 19 January 2000, the German government is pleased to submit herewith its fifth Report on Military Equipment Exports covering the year 2003.<sup>2</sup>

During the reporting year, effective war weapon exports<sup>3</sup> totaled €1,332 million and thus increased more than fourfold over the previous year, above all as the result of the export of four corvettes to Malaysia and South Africa. The share of exports going to the EU, NATO, and countries with NATO-equivalent status stood at roughly 46%. Classic developing countries<sup>4</sup> accounted for some 21% of exports in 2003 as the result of the export of two corvettes to South Africa (excluding the corvette exports: 1.3%).

No statistics are presently available on actual exports of the full range of military equipment, which is outlined on the internationally largely harmonized so-called Common List of Military Equipment and, alongside war weapons, also includes diverse items of military equipment such as pistols and hunting and sporting weapons; statistics reflect only the applications filed for export licenses. The background here is the different systematic approaches taken by the EU's Common List of Exports and the Eurostat list of goods; while obliged to report the export of war weapons, companies need not report actual exports of other military equipment. Experience shows that figures for the military equipment licensed for export are normally higher than statistics compiled for military equipment then actually exported on the basis of such licenses.

In the year under report, the total value of individual export licenses for military equipment amounted to roughly €4.9 billion (2002: some €3.3 billion); this was a 49% increase over the

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<sup>1</sup> Cf. Annex 1.

<sup>2</sup> The Military Equipment Export Reports submitted thus far have been published as Bundestag offprints (see BT-Drucksache 14/4149 for the year 1999; BT-Drucksache 14/7657 for 2000; BT-Drucksache 15/230 for 2001; BT-Drucksache 15/2257 for 2002) and may be found on the Internet at: <http://www.bmwa.bund.de> (click onto "Außenwirtschaft und Europa," then "Finanzierung und Recht," and finally "Exportkontrolle/Embargos"). For the English versions, select "English," and then "Publications."

<sup>3</sup> The exports of military equipment from Germany to other Member States of the European Union is designated as "consignment" (cf. Section 7(1) in conjunction with Section 4c(2) of the Foreign Trade and Payments Ordinance). In the interest of simplification, however, "consignment" is also referred to as "export" in this Report.

<sup>4</sup> Developing countries and developing territories pursuant to Part I of the List of the OECD's Development Assistance Committee for 2003 without the countries featuring high and upper medium incomes (including NATO-partner Turkey, as well as Slovenia, Malaysia, and Saudi Arabia).

previous year. Of this amount, 67% was accounted for by countries from the EU, NATO, and countries with NATO-equivalent status, and 23% by third countries (2002: 77% and 23% respectively). Classic developing countries accounted for 12% of the overall value of all individual export licenses (2002: 5.6%).<sup>5</sup> This rise in overall export license values and, in particular, export license values for third countries and developing countries almost entirely reflects the licenses issued for the export of corvettes to South Africa and Malaysia. The increase would have been much smaller without these licenses, which are untypical because of the large value of such vessels (unit price of some €130 to 170 million).<sup>6</sup> The corvette licenses make up approximately 45% of the overall value of licenses for third countries. The value of the collective licenses granted for exports as part of defense cooperation between EU and NATO partners amounted to roughly €1.3 billion during the reporting year.

A new feature of this report is the break-down of war weapons' share of the license values for all military equipment exports (see the new Section III.1.d) and g)). Also new is the overview in Section III.2.a) of all countries that received war weapons (with export values) during the reporting year.

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<sup>5</sup> For details, see III. 1.a) and b) below.

<sup>6</sup> For details, see III.1.d) below.

# I. The German Control System for Military Equipment Exports

## 1. The German export control system

Germany's military equipment exports are governed by the Basic Law, the War Weapons Control Act,<sup>7</sup> and the Foreign Trade and Payments Act<sup>8</sup> in conjunction with the Foreign Trade and Payments Ordinance.<sup>9</sup> The "Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment" of 19 January 2000<sup>10</sup> and the criteria of the European Union's Code of Conduct on Arms Exports,<sup>11</sup> in force since mid 1998, provided the licensing authorities during the reporting year with guidelines for the discretion given them by law.

The Foreign Trade and Payments Act and the Foreign Trade and Payments Ordinance require the licensing of all military equipment. The military equipment have been listed in full in Part I Section A of the Export List (EL, Annex to Foreign Trade and Payments Ordinance)<sup>12</sup>. They are broken down into 22 positions (No. 0001 to No. 0022) that have their own sub-divisions. Just as the EU's Military List, these positions are closely oriented to the corresponding list of the Wassenaar Arrangement (Munitions List), which the German Government has thereby converted into national law to meet its political commitments (more details may be found on the Wassenaar Arrangement under II. 5. of this report, and on EU under II.3).

Some of the military equipment articles falling under the Foreign Trade and Payments Act, Foreign Trade and Payments Ordinance, and Export List are simultaneously war weapons as defined by the War Weapons Control Act. They are displayed in the 62 positions of the War Weapons List (Annex to the War Weapons Control Act)<sup>13</sup> and provided in full in Part I Section A of the Export List. For the export of these weapons, a license must first be obtained under the War Weapons Control Act ("transport authorization for the purpose of export), and then an export

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<sup>7</sup> Act to implement Article 26(2) of the Basic Law (War Weapons Control Act) in the version promulgated on 22 November 1990, Federal Law Gazette I, p. 2506 (as last amended by Article 2 of the Act of 6 July 1998, Federal Law Gazette, p. 1778).

<sup>8</sup> Federal Law Gazette III, Number 7 400-1, last amended during the year on report by Articles 118 and 290 of the Act of 25 November 2003 (Federal Law Gazette I, p. 2304).

<sup>9</sup> Foreign Trade and Payments Ordinance in the version promulgated on 22 November 1993 (Federal Law Gazette I, p. 2493), last amended during the year on report by Ordinance of 26 November 2003 (Federal Official Gazette, p. 25473).

<sup>10</sup> Cf. Annex 1.

<sup>11</sup> Cf. Appendix to Annex 1.

<sup>12</sup> Cf. Annex 2a.

<sup>13</sup> Cf. Annex 2b.

license pursuant to the Foreign Trade and Payments Act and Ordinance. By contrast, the export of those items of military equipment that are covered by Part I Section A of the Export List and are not war weapons (so-called "other military equipment") requires - only - a license pursuant to the Foreign Trade and Payments Act and Ordinance.

The War Weapons Control Act provides that all activities in connection with war weapons (production, acquisition and transfer of actual control, every type of transport or procurement transactions) require prior licensing by the German government (cf. Sections 2 - 4a of the War Weapons Control Act). The Federal Ministry of Economics and Labor is the licensing agency for commercial transactions; the other ministries (Federal Ministry of Finance, Federal Ministry of the Interior, and Federal Ministry of Defense) whose portfolio includes the treatment of war weapons are themselves responsible for the respective approvals falling within their scope of competence. The Federal Ministry of Transport, Building, and Housing is the licensing agency for certain cases of transport abroad via German vessels or aircraft (cf. Section 1 of the First Ordinance on the Implementation of the War Weapons Control Act of 1 June 1961 - Official Federal Gazette I, p. 649 - last amended by the Act of 28 February 1992 - Official Federal Gazette I, p. 376).

Under Section 6 of the War Weapons Control Act, applicants have no legal right to the issuance of a license for the export of war weapons. And licenses must be denied where there is a danger that the war weapons will be used in connection with peace-disturbing acts, obligations of the Federal Republic of Germany under international law being impaired, or where the applicant does not possess the necessary reliability for the action. In all of the other cases, the federal government decides on the issuance of export licenses in accordance with the discretion it must exercise under the above mentioned Political Principles. Since mid 1998, the criteria of the EU Code of Conduct on Arms Exports, which is now an integral part of the updated Political Principles, is additionally used to reach such decisions.

The export of so-called other military equipment is governed by the export rules in the Foreign Trade and Payments Act and Ordinance. In accordance with the principle of the freedom of external economic transactions, on which the systematic approach of the Foreign Trade and Payments Act is based, the applicant has a fundamental right to the issuance of an export license (Section 1 in conjunction with Section 3 of the Foreign Trade and Payments Act), unless a license may be denied because of a violation of interests protected under Section 7 Subsection 1 of

the Foreign Trade and Payments Act. Section 7 Subsection 1 of the Foreign Trade and Payments Act reads as follows:

*”(1) The conducting of legal business and acts in connection with external economic transactions may be confined in order to*

*1. guarantee the [essential] security [interests] of the Federal Republic of Germany<sup>14</sup>*

*2. prevent a disturbance of the peaceful coexistence of nations or*

*3. to prevent the foreign relations of the Federal Republic of Germany from being seriously disturbed.”*

As is also the case for war weapons, the German government exercises its discretion in the issuance of export licenses in keeping with the Political Principles and EU Code of Conduct.

Responsible for granting/denying export licenses under the Foreign Trade and Payments Act and Ordinance is the Federal Office of Economics and Export Control,<sup>15</sup> which is a subordinate agency operating under the jurisdiction of the Federal Ministry of Economics and Labor. The Federal Office of Economics and Export Control submits sensitive projects to the federal government for its assessment from a political perspective.

The so-called advance inquiry practice has become customary in the course of the past several decades. This practice lets companies know at an early stage whether, upon agreement on a sales contract, the required export license will be granted at a later point in time - assuming the circumstances of the transaction remain unchanged. Decisions on advance inquiries are taken in accordance with the same criteria as decisions on export license applications.

Advance inquiries relating to war weapons must be submitted to the Foreign Office (unlike applications for which the Federal Ministry of Economics and Labor is the licensing agency; see above); applications for other military equipment must be filed with the Federal Office of Economics and Export Control. The procedure corresponds to that of the actual license applications. Here, too, important projects are submitted to the federal government for decision. The purpose of advance inquiries is to make the outcome of the subsequent licensing procedure visi-

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<sup>14</sup> The text in brackets was inserted in 2004 by the 11th Act to Amend the Foreign Trade and Payments Act and the Foreign Trade and Payments Ordinance of 23 July 2004 (Federal Law Gazette, p. 1859).

<sup>15</sup> May be found on the Internet at [www.bafa.de](http://www.bafa.de).

ble at the earliest possible stage in the interest of reliable planning. However, an advance inquiry is never a substitute for the export license, which is always required.

The decisions on export projects take significant account of interests relating to foreign policy, security policy, and/or the interests of the NATO Alliance. Germany's Federal Security Council is normally included in deliberations on export projects that stand out because of the consignee country, the military equipment involved, or the volume of the transaction. The Federal Security Council is a Cabinet committee chaired by the Federal Chancellor. Its members comprise the Federal Ministers of Foreign Affairs, Finance, the Interior, Justice, Defense, Economics and Labor, and Economic Cooperation and Development.

## **2. Application of the "Political Principles"**

The War Weapons Control Act and the Foreign Trade and Payments Act serve as the framework providing the federal government with the latitude for assessment in most of the cases; the only exceptions to this rule are cases where the War Weapons Control Act strictly requires the denial of a license (cf. Section 6 Subsection 3 of the War Weapons Control Act, see 1 above), and practice shows that such cases do not figure significantly. To guarantee the uniform exercise of the political discretion available to the federal government and to make transparent the politically important criteria used for arriving at decisions, "Political Principles" were defined and have been in force since 1982 (updated in January 2000); they serve as a basis for deciding the individual cases.

The updated version of the Principles adopted by the federal Cabinet on 19 January 2000 introduced the following substantively new elements:

The observance of human rights is of special importance for every export decision, regardless of the potential consignee country. Military equipment exports are therefore fundamentally not approved where there is "sufficient suspicion" of the involved military equipment's misuse for internal repression or other ongoing and systematic violations of human rights. The human rights situation in the consignee country plays an important role in connection with this question. And the Political Principles are more restrictive here than the EU Code of Conduct (more detail on this aspect below, under II.3.), which rules out export licenses only where a "clear risk" exists.



Following the General Section, the updated Principles, like their first version, distinguish between the group of EU, NATO, and NATO-equivalent countries (Australia, New Zealand, Japan, Switzerland) and the group of other countries (so-called third countries). For the first group of countries, licenses are to be the rule and denials the exception; for the second group, there is to be a continuation of the restrictive and reserved policy with respect to license issuance.

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

The export of war weapons is approved only in exceptional cases where, as justified by the individual situation, special foreign policy or security policy interests of the Federal Republic of Germany would support the granting of a license. For other military equipment, licenses are granted only insofar as such action does not endanger the interests to be protected under foreign trade and payments statutes (Section 7 Subsection 1 of the Foreign Trade and Payments Act as cited under 1.).

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

The German government's "special interest" in maintaining Germany's defense industry's continued capability for cooperation in the NATO and the EU framework is expressly highlighted, above all against the background of the development of a common European defense policy.

In the context of the question of military equipment exports to third countries, there must again be express mention, alongside the human rights criterion which requires special consideration, of the additional criteria also found in the EU Code of conduct such as "no serious impairment of sustainable development through disproportionate outlays on armaments," "conduct toward the international community," and the "internal and external situation."

The more comprehensive rules place greater emphasis than was previously the case on ensuring the correct final destination and end-use.

The EU Code of Conduct was declared an "integral part" of the Political Principles.

And finally, the German government agreed to submit to the Bundestag a Military Equipment Export Report on developments and trends in respectively concluded calendar years, a commitment that is now being met by submission of this Report for the fifth successive year.

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

### **1. Disarmament agreements**

In certain areas, policy on export controls for 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 2003 Annual Disarmament Report.<sup>16</sup>

### **2. Arms embargoes**

The international community has adopted a number of arms embargoes that are implemented in Germany's export policy through export bans or the non-issuance of licenses. The importance of such (arms) embargoes as a means of achieving specific policy objectives noticeably increased in the past decade.

The arms embargoes in force in 2003 are listed in Annex 3. But here have been hardly any changes relative to the year 2002 (cf. Annex 3 to the 2002 Military Equipment Export Report).

Some embargoes have been prolonged and the arms embargo against Iraq was modified by the UN Security Council to take account of the new situation in that country.<sup>17</sup>

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

Under the Code of Conduct on Arms Exports<sup>18</sup> adopted by the EU Council on 8 June 1998 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 lists eight criteria to be applied by Member States when deciding on individual export cases.<sup>19</sup> Through its incorporation as Annex to the Political Principles of the Federal Government, the EU Code of Conduct has become an integral part of Germany's policy on the export of military equipment. Its operative provisions additionally oblige Member States to notify the EU partners of any exports that have been denied on the basis of the criteria set forth in the Code of Conduct; when notified of an export request denial, the EU partners are then politically required 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. During the year on report, it was decided to examine and possibly adapt the Code of Conduct in the course of 2004 to recent developments after five years of successful application.

A prominent new aspect in the reporting year was the adoption of a Council Common Position on the Control of Arms Brokering by the Member States of the European Union.<sup>20</sup> The arrangement provides for all EU Member States to introduce licensing requirements for the brokering of military equipment from one third country to another third country. The setting of additional rules remains within the discretion of the Member States (the Common Position names, for example, the extraterritorial application of national regulations and a registration obligation for

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<sup>16</sup> See <http://www.auswaertiges-amt.de/www/infoservice/download/pdf/friedenspolitik/abruestung/abrber2003.pdf>.

<sup>17</sup> UN Security Council Resolution No. 1483 of 22 May 2003.

<sup>18</sup> Here as Annex to the Political Principles of the Federal Government (Annex 1 to this Report). Available on the Internet at <http://ue.eu.int/pesc/ExportCTRL/de/Index.htm>.

<sup>19</sup> For further details of the EU Code of Conduct confer the 1999 Military Equipment Export Report and the Fifth Annual Report of the Council pursuant to No. 8 of the Operative Provisions of the EU Code of Conduct on Arms Exports, in particular, Annex 1 ("Compendium"), Official Journal of the European Communities No. C320, p. 1 of 31 December 2003.

companies and persons engaging in arms brokering). For Germany, which has thus far played a kind of leadership role owing to its licensing requirements for such transactions in war weapons, this means that the licensing requirements are now being extended to include other military equipment. Moreover, for the first time since 2000, the EU's Common List of Military Equipment was updated and adapted to the reworked Wassenaar Munitions List (see below, 5); the system of enumeration used by the Wassenaar List was also adopted. The dialogue with the EU accession candidates and with third countries that have committed themselves to applying the principles of the EU Code of Conduct was further intensified. In particular, the countries that joined the EU in 2004 were supported in bringing their export control systems up to the high level maintained in the European Union. In the interest of further harmonizing the Code's application, a user handbook was put together on administrative details of the denial procedure under the Code's operative provisions.<sup>21</sup> Its purpose is to ensure the application of these provisions in the Member States in as uniform and timely manner as possible. To improve overall transparency, work was begun on the creation of a central EU denial database. On the other hand, discussion of revising the Code in the form of a Common Position (to ensure that it is legally binding) is continuing. In the Member States' discussion of this controversial issue, Germany's advocates making the Code legally binding. There are thus still no concrete results in the matter. In connection with a more harmonized application of the Code of Conduct's criteria, a working group was established to draft proposals for guidelines to make operational and apply Criterion 8. Criterion 8 relates to the compatibility of military equipment exports with the technical and economic capacities of recipient countries, considering that it is desirable for countries to meet their legitimate security and defense needs with the least possible diversion of human and economic resources for armaments purposes. The relative significance of arms spending and social outlays in respective consignee countries must be reviewed in this context.

In compliance with the operative provisions of the Code of Conduct, the German government notified the EU partners in 2003 of a total of 71 denials. Seventy-eight consultations with other EU Member States were conducted in connection with export-license denials.

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<sup>20</sup> 2003/468/CFSP of 23 June 2003, Official Journal of the European Communities No. L 156/79 of 25 June 2003.

<sup>21</sup> Internet: <http://ue.eu.int/uedocs/cmsUpload/st14283.en03.pdf>.

#### **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, in the case of cooperation on military equipment projects to strengthen European collaboration in the export sector, to arrive at a harmonized and ultimately common policy on military equipment exports, and to set common goals for exports to third countries. 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, the involved signatory countries discuss and agree on the prospective recipient countries. In 2003, after multi-year negotiations, the signatory countries agreed on the draft of an implementation accord that outlines in greater detail the provisions for export procedure. Signatory countries have thus far issued relatively few Global Project Licenses (GPL), which are comparable to Germany's collective export licenses; a single license can cover a number of merchandise transactions between the signatory countries as part of a military equipment project. One of the reasons is that new procurement programs by the signatories extend beyond the circle of the above named six countries, therefore making a direct application of the Framework Agreement impossible.

#### **5. Wassenaar Arrangement**

The Wassenaar Arrangement (WA)<sup>22</sup> was established in 1996 to help improve international security and stability by preventing destabilizing arms stockpiling and dual-use goods and technologies. Ideally, this is done by the greatest possible harmonization of the policies of the 33 countries that are presently signatories (most of the EU Member States and countries such as the United States, Canada, Japan, Russia, and Ukraine), above all on exports of conventional military equipment and related dual-use goods and technologies. The German government is working to ensure the expeditious accession of the new EU Member States that have thus far been part of the WA. The core element of the WA in terms of military equipment export control is the ongoing further development of the "Munitions List," i.e. the list of military equipment to be

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<sup>22</sup> Internett: <http://www.wassenaar.org>.

subject to controls by the signatory states. The List contains the decisive specifications for Part I Section A of the German Export List (cf. Annex 2a) and for the EU's Common List of Military Equipment (see above, 3).

The WA provides, among other things, for the participating countries, with their significant differences in export control philosophies, to mutually inform one another of exports where major weapon systems covered by the WA control lists are involved and where such systems have been supplied to non-participating countries. This mutual information mechanism was extended in 2003 to include the export of small arms and light weapons.

The 2003 Wassenaar Arrangement working year primarily focused on the review of the system's methods and goals, which is undertaken every four years (so-called Assessment Year). Alongside the general confirmation in the form of statements by ministers that the WA was one of the pillars of multilateral efforts on behalf of peace and stability and that it played a decisive role in promoting responsible national arms export policies, a number of agreements were reached on specific measures of importance. Greater transparency in the export of small arms and light weapons was already cited above. For a sub-group of these weapons, namely, MANPADS,<sup>23</sup> existing guidelines have been made more strict and control standards expanded, in particular to prevent terrorists from obtaining these weapons which are potentially very dangerous for civil aviation. The signatory states also agreed on the adoption of common standards to control the brokering of military equipment, which were inspired to an important extent by German-Norwegian advance efforts in the OSCE framework. The results of the working group headed by Germany on aspects of the fight against international terrorism were also greeted with approval. Over the months ahead the WA will increasingly concentrate on national export controls' possible contribution to efforts against the terrorist threat; in particular, it will study whether the range of commonly controlled items matches the threat. Over the course of the year, an expert group established at Germany's initiative has submitted numerous suggestions and ideas on preventing terrorism in connection with export controls on conventional armaments. And finally, greater efforts are to be made to persuade countries that export military equipment at noteworthy levels but do not participate in the WA (e.g. China, India, South Africa, Brazil, Israel) to embrace its goals ("outreach efforts").

More progress must be made on international cooperation under the WA, also according to the Assessment which was generally considered to be a success. The Federal Republic of Germany,

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<sup>23</sup> Man-portable air-defense systems: more detail provided under 7 below.

together with its partners and allies in the EU and NATO, therefore continues to actively advocate the further development of the WA 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. Like the large majority of its WA partners, the German government is vigorously pursuing the inclusion of further weapon categories in the Arrangement's transparency mechanisms. Germany is also collaborating with other WA partners to increase the extent of reporting obligations for military equipment to match the present, far higher level of reporting duties for dual-use goods.

## 6. UN Register of Conventional Arms

UN Member States are required to report the export (and import) of weapons that are subject to notification (major weapon systems) to the UN Conventional Arms Register;<sup>24</sup> only unit quantities and not values are registered.<sup>25</sup> For the year 2003, the Federal Republic of Germany reported the export of the following war weapons to the UN Conventional Arms Register:<sup>26</sup>

- Denmark: 9 Leopard-2 main battle tanks
- Finland: 124 Leopard 2 main battle tanks
- Greece: 82 Leopard-1 main battle tanks;  
10 type 2000 armored self-propelled howitzers
- Poland: 87 Leopard-2 main battle tanks; 9 MiG-29 combat aircraft
- Spain: 1 Leopard-1 main battle tank
- Romania: 6 Gepard self-propelled anti-aircraft gun systems
- Austria: 29 Jaguar missile-equipped armored tank destroyers
- Italy: 2 armored self-propelled howitzers type PH 2000
- Estonia: 4 field howitzers type FH 70
- Egypt: 4 fast patrol boats Class 148 and one each logistic support ship  
Class 760 and Class 701
- South Africa: 2 MEKO Corvettes A-200 SAN

<sup>24</sup> Information available at Internet website <http://disarmament.un.org:8080/cab/register.html>.

<sup>25</sup> The weapons are classified into the following seven categories: battle tanks, other armored combat vehicles, artillery systems caliber 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.

<sup>26</sup> Cf. Annex 4.

These consignments largely comprise older, already used systems from Bundeswehr stocks that prior to being exported were in many cases thoroughly refurbished and/or modernized; in particular the shipment of the MEKO Corvettes to South Africa represents a commercial export transaction.

## **7. International discussion on small arms and light weapons**

Events since the second World War have shown that in many armed conflicts and civil wars the far greatest share of human casualties have been caused by the use of small arms and light weapons (e.g. submachine guns, assault rifles, light mortars, etc.) and the associated ammunition. This problem is chiefly found in third-world countries, where small arms can often be procured inexpensively and illegally through internationally operating arms brokers. The German government is therefore working at the international level toward an efficient prevention of the illegal proliferation of such weapons. With respect to the legal export of small arms, the German government advocates strict and efficient controls. Its goal is - for example in the framework of the OSCE Small Arms Document,<sup>27</sup> which was adopted in November 2000, and the UN Action Program of the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects<sup>28</sup> - the achievement of concrete results with the strongest possible obligations binding the participating countries to take action. As part of the information exchange pursuant to the OSCE Small Arms Document, Germany has published its annual report for 2003, whose precursor was widely regarded as a model by international observers.<sup>29</sup>

The discussion conducted in various international bodies on the small arms problem continued in 2003.<sup>30</sup> Of particularly importance here is the agreement on reporting obligations under the Wassenaar Arrangement.<sup>31</sup> Together with the "Best-Practice Guidelines for the Export of Small Arms and Light Weapons" that were adopted a year earlier, this provides a considerable increase in transparency and could also be seen as a first step toward a more uniform export control policy in the circle of WA signatories. The Wassenaar Arrangement has thus addressed central concerns

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<sup>27</sup> OSCE Document on Small Arms and Light Weapons of 24 November 2000 (located on the Internet at <http://www.osce.org/docs/english/fsc/2000/decisions/fscgw231.htm>); cf. also the 2000 Military Equipment Export Report, II.7.

<sup>28</sup> A/CONF.192/15, at [http://disarmament2.un.org/cab/smallarms/files/aconf192\\_15.pdf](http://disarmament2.un.org/cab/smallarms/files/aconf192_15.pdf)

<sup>29</sup> [http://www.auswaertiges-amt.de/www/de/infoservice/download/pdf/friedenspolitik/abruestung/kleinw\\_2003.pdf](http://www.auswaertiges-amt.de/www/de/infoservice/download/pdf/friedenspolitik/abruestung/kleinw_2003.pdf).

<sup>30</sup> On the small arms problem, cf. also No. VII.1. of the 2003 Annual Disarmament Report (footnote 18).



of the above mentioned UN Action Program. For the agreements concluded on weapon brokering by the EU and Wassenaar Arrangement (see above, 3. and 5.) are of special importance, in particular in connection with small arms.

At the national level Germany conducts a restrictive export control policy for small arms. As war weapons they are subject to the particularly strict rules of the "Political Principles" (Annex 1 of this Report), according to which licenses for the export of war weapons to third countries may be issued only by way of exception and only for special reasons. In the export of technology and production equipment, there is the fundamental rule that no licenses are issued in connection with the opening of new production lines for small arms and ammunition in third countries. For third countries, the "new for old" principle is also applied wherever possible. This calls for sales contracts to be worded to ensure that the recipient destroys weapons that are to be replaced by the new consignment, rather than reselling them. Moreover, insofar as possible, the exporter is to require the consignee in a third country in new supply contracts to destroy the weapons supplied in the case of a later removal from use. Germany and, in particular the Bundeswehr, destroys surplus small arms.

Finally, licenses for the export of war weapons, including small arms, are fundamentally issued only for government end-users, not for private entities. The German government thereby applies a principle that has yet to become majority opinion in the international community (including the UN framework).

During the year on report, man-portable air-defense systems, so-called MANPADS, were the object of particular attention owing to the special danger of their misuse by terrorists against civil aviation. The G-8 Evian Summit adopted guidelines for the control of such weapon systems; in addition to exports, account was also taken of the control of development, production, and secure storage. The guidelines were made more specific by the Wassenaar Arrangement and formulated to serve as terms of reference for the national standards of the WA signatories.<sup>32</sup> Germany, which does not itself export MANPADS, already meets these stricter standards through the tougher provisions of its War Weapons Control Act; measures to transpose provisions of the guidelines are not necessary.

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<sup>31</sup> Cf. also II.4. above.

<sup>32</sup> Published under [http://www.wassenaar.org/2003Plenary/MANPADS\\_2003.htm](http://www.wassenaar.org/2003Plenary/MANPADS_2003.htm).

## 8. Outreach Activities

A consensus has formed among the various countries with established export control systems (especially EU, NATO, NATO equivalent countries, and WA signatories) that it is worthwhile to approach other countries (so-called "outreach" efforts), promote the objectives and means of export controls, and possibly also offer support in developing export controls. A pioneering role has traditionally been played by the United States here; Germany and other EU countries can fall back on what they have learned from efforts to pass on their specific experience to candidates for accession to the EU. Germany, too, has participated - either as lead country or in cooperation with partners - in such activities during the year on report. An overview (with no claim to completeness) may be found in the new Annex 6 to this Report.

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

The following is an outline of licenses granted for military equipment exports in 2003; actual exports are also listed for the sub-sector war weapons. The outline is complete insofar as disclosure has not been restricted by law. In particular, the names of the respective exporters cannot be released owing to the legal protection afforded business and industrial secrets under Section 30 of the Law on Administrative Procedure.

The Federal Office of Economics and Export Control (BAFA)<sup>33</sup> compiles a list of the export licenses granted for all military equipment (war weapons and other military equipment). The figures for reporting year 2003 are displayed under 1. and outlined in further detail in Annex 5.

Statistics on actual exports of military equipment are presently recorded only for the sub-sector "war weapons." Item 2. below presents annual values as determined by Germany's Federal Statistical Office.

Just as its predecessors, the present Military Equipment Export Report contains information on export licenses issued and, in a more general manner, on licenses denied; however, it presents no information in connection with decisions on advance inquiries made during the reporting year concerning respective export projects' eligibility for licenses. Advance inquiries are normally

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<sup>33</sup> Internet address: <http://www.bafa.de>.

made by companies at a very early stage, usually prior to the start of negotiations with potential foreign clients. Positive decisions on advance inquiries are not suitable for use as indicators in 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 enjoy increased confidentiality as business and industrial secrets under Section 30 of the Law on Administrative Procedure since potential competitors could 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 still-required export licenses (and additionally the actual exports in the case of war weapons) are reflected by the statistics of the respective Military Equipment Export Report; the Report thus takes account of all administrative transactions at least once and, in the case of war weapons, twice.

It is only possible to offer general information on denied requests since the possibility of the Military Equipment Export Report serving as an information source for prospective business deals in countries with different export control policies must be prevented (this naturally applies to a particular extent for advance inquiries).

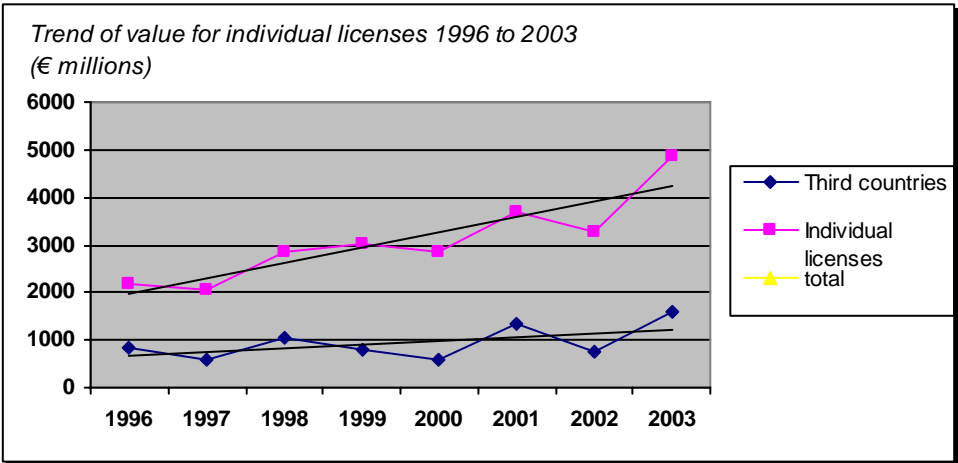
## **1. Licenses for military equipment (war weapons and other military equipment)**

Annex 5 presents an outline of military equipment licenses granted and/or denied in 2003, broken down by countries of destination.<sup>34</sup> 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 third part all other countries (so-called third countries). For the sake of greater transparency in connection with exports to third countries, this country category has a column entitled EL Items that provides a more detailed break-down of the important products. Where applications for a country of destination have been denied, the relevant remarks have been made in the overview with details on the number of denials, the involved EL Items, and the value of the goods. When denial notifications have been made in accordance with 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 shows that actual export values are significantly lower than these license values. The reason is that licenses sometimes remain either partly or entirely unused. It should also be noted that some or all of the articles are frequently not exported in the year in which the license was issued.

a) Individual licenses

In 2003 a total of 11,958 individual license applications for the final<sup>35</sup> export of military equipment were approved in Germany (year earlier: 11,317). The total value of these licenses, not that of actual exports, was €4,864 million. This was an increase from 2002 (€3,258 million) of some 49%. Individual licenses for countries designated in No. II of the Political Principles of 19 January 2000 (EU Member States, NATO and NATO equivalent countries) accounted for €3,251 million of this amount, representing an approximately 29% increase from the previous year. Licenses for goods with end-use in EU Member States achieved a total value of €1,892 million, and licenses for goods with end-use in NATO or NATO equivalent countries (not including EU countries) a total value of €1,359 million (each without collective export licenses). The license value for exports to third countries amounted to €1,612 million and have thus more than doubled relative to figures for the previous year (€744.6 million). This increase was nearly entirely the result of the licensing of the export of corvettes to Malaysia and South Africa (total value of these licenses: €755 million).<sup>36</sup> The value for the year on report is approximately the same as in the year 2001.



<sup>34</sup> Goods in Part I Section A of the Export List, Appendix AL to the Foreign Trade and Payments Ordinance, attached here as Annex 2a to the Report.

<sup>35</sup> Licenses of temporary exports, e.g. for fairs, exhibitions, and/or demonstration purposes, are not included.

<sup>36</sup> For details, see d) below.

The above chart shows that the license values for the group of third countries have fluctuated rather sharply around a rather constant low average since 1996 (compare the trend lines in the chart). The rising trend of the total value of individual licenses visible on the chart is consequently the result of licenses for exports to EU, NATO, and NATO equivalent countries.

For final exports of military equipment to developing countries<sup>37</sup> a total of 769 individual licenses valued at €589.5 million (approximately 12.1% of the value of aggregate German individual licenses for military equipment) were issued in 2003; the figure for 2002 was €184.6 million or 5.6% of the value of individual licenses issued. The licenses issued involved, above all, South Africa (72.5%), Egypt (7%), India (6.8%), Thailand (5.3%), and Indonesia (2.9%); the goods categories of the licenses issued are shown in Annex 5. The significant increase of more than triple the previous year's figure is the result of the above-mentioned licenses for the export of corvettes to South Africa.

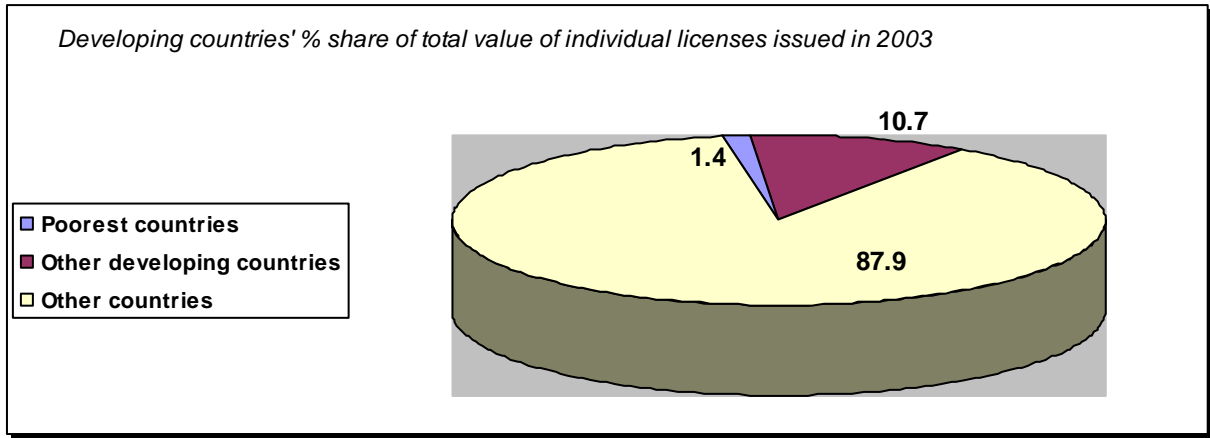
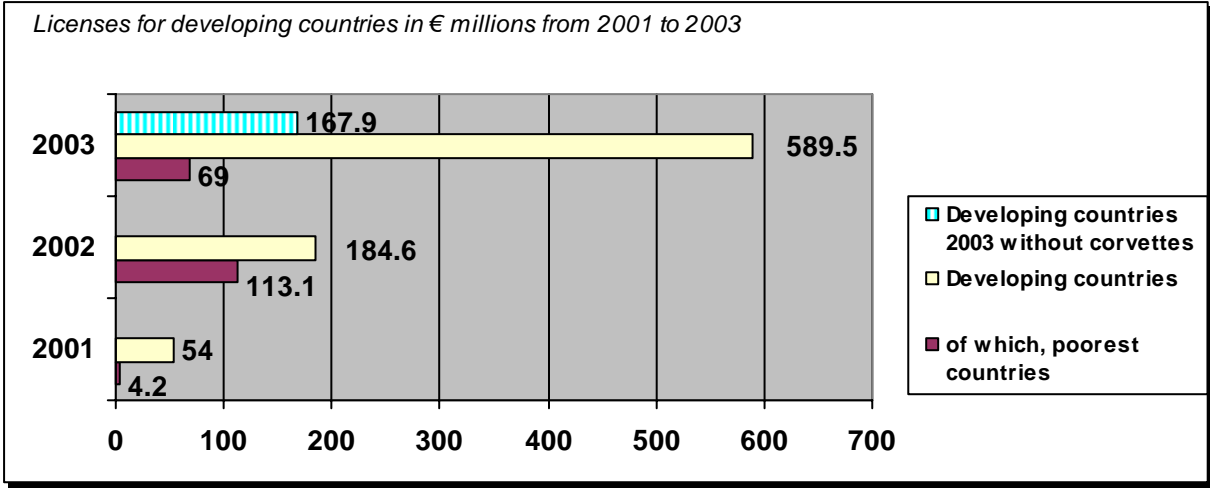
The value of licenses for the group of the poorest and other developing countries with low incomes<sup>38</sup> significantly declined in 2003 relative to the previous year. Licenses were issued in particular for India (€40.1 million),<sup>39</sup> Indonesia (€17.1 million), Afghanistan (€4.0 million), and Nigeria (€3.4 million), altogether making up some 93% of the licensed values for this group of countries. The total share of this group of countries amounted to €69 million (2002: €113 million) or roughly 1.4% (2002: 3.5%) of the value of all individual export licenses for military equipment in 2003. Exports to low-income countries thus played only a subordinate role. Of the €589 million for developing countries in 2003, three corvettes for South Africa accounted for €421.6 million.

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<sup>37</sup> For the term "developing countries" see footnote 4.

<sup>38</sup> Poorest and other developing countries and areas with low incomes pursuant to Part 1 of the OECD's DAC List for 2003.

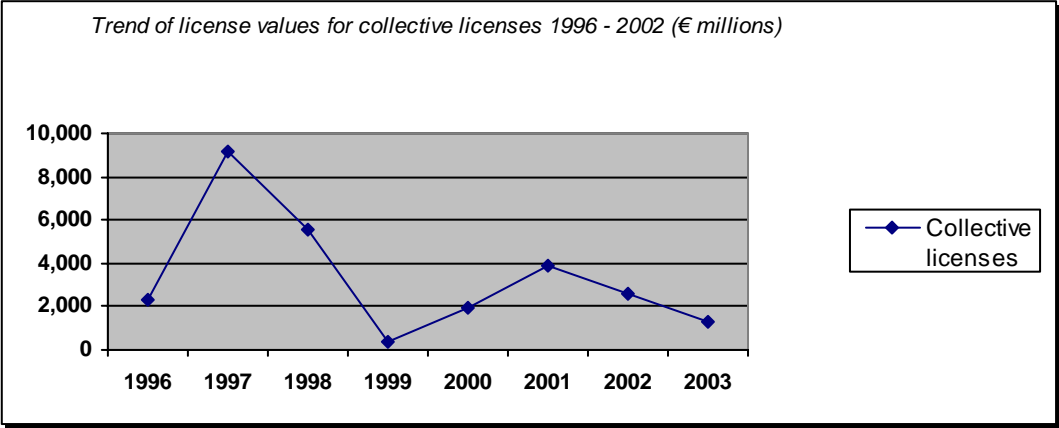
<sup>39</sup> A sizable part of the licenses issued for India derived from German commitments under European armaments cooperation projects and under the protected expectations for the German-Indian cooperation projects begun in the nineties.



b) Collective export licenses

In addition to the above, collective export licenses were issued in the total amount of approximately €1.3 billion in 2003 (2002: roughly €2.5 billion), on the basis of which the companies were able to undertake several exports to the same or various consignees abroad (above all as part of collaboration on official government cooperation projects). Collective export licenses were granted *exclusively* for exports to NATO and NATO equivalent countries.

Collective export licenses issued under cooperation programs are valid for two years; this results in fluctuations in the annual figures.



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

The collective export license served as a model for the creation of the Global Project License (mentioned under II.4), which was established to facilitate European cooperation on military equipment.

c) Export license denials

In 2003, 104 applications for military equipment exports were denied. The total value of the denials came to €25.4 million. The figure does not include applications withdrawn by applicants prior to notification because of poor prospects 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, a formal application is filed only in extremely rare cases, and the subsequent denial is then included in the attached statistical overview. As a rule, applications appearing to have no prospects of success are not submitted.

d) Most important countries of destination

The 20 most important countries of destination for which individual export licenses were granted in 2003:

No. <sup>40</sup>	Country	Value 2003 in € millions <sup>41</sup>	Description of Articles <sup>42</sup>
1 (1)	United States	492.1 <i>12.1</i>	<p>Rifles and carbines (incl. war weapons), revolvers, pistols, sniper rifles, submachine guns, machine guns, hunting and sporting rifles, sporting pistols and revolvers, silencers, weapon mounts, weapon sighting units and  Parts for rifles and carbines (incl. war weapons), revolvers, pistols, sniper rifles, submachine guns, machine guns, hunting and sporting rifles, sporting pistols and revolvers, silencers, weapon mounts, weapon sighting units (0001/36.6%);</p> <p>Armored recovery vehicle (museum piece) and  Parts for tanks, armored vehicles, ground vehicles (0006/15.2%);</p> <p>Diving apparatus, camouflage paint, signature suppression equipment, electricity generators, containers, bridges, test models, and  Parts for diving apparatus, electricity generators, bridges (0017/11.7%);</p> <p>Decontamination equipment, NBC protective equipment, radiation detection equipment, chemical agent monitors, and  Parts for NBC protective equipment, NBC measuring equipment, radiation detection equipment (0007/9.9%);</p> <p>Helicopters, towing aircraft, engines, ground equipment, and  Parts for aircraft, helicopters, drones, engines, on-board equipment (0010/5.7%);</p> <p>Smoke ammunition, launching and hit simulators, mine clearing equipment, mine destruction systems, and  Parts for bombs, grenades, rockets, missiles, launching and hit simulators, handling equipment, mine clearing equipment</p>

<sup>40</sup> List position of previous year in brackets.

<sup>41</sup> Amounts in italics: license values for war weapons (also included in the respectively first named total license value).

<sup>42</sup> 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.



			(0004/3.3%); Weapon training equipment and Parts for simulators and training devices (0014/2,7%).
2 (3)	Greece	462.1 401.5	Tanks, armored bridge layer, armored recovery vehicle, and Parts for tanks, ground vehicles (0006/85.0%); Grenade launcher ammunition and Explosive stores for machine guns, howitzers, mortars, and grenade launchers (0003/5.2%).
3 (-)	Malaysia	460.7 336.7	Corvettes, sonar devices, navigation equipment, and Parts for corvettes, mine warfare vessels, sonar devices, and navigation equipment (0009/76.2%); Shipborne radar system, magnetic self-protection unit, VHF/UHF transceiver, encryption equipment, maintenance equipment, and Parts for communication equipment, radar systems (0011/10.6%).
4 (7)	Turkey	440.3 204.7	Patrol boat and Parts for frigates, submarines, fast patrol boats, mine clear- ance vessels, patrol boats, weapon employment systems, underwater detection equipment, and guidance and naviga- tion equipment (0009/47.5%); Parts for tanks, armored vehicles, and ground vehicles (0006/34.7%); Electronic equipment, communications equipment, data processing equipment, electronic assemblies, and Parts for communications equipment, detection and naviga- tion equipment, data processing equipment, electricity sup- plies (0011/6.7%).
5 (-)	South Africa	427.9 394.7	Corvettes and Parts for corvettes and sonar systems (0009/98.6%).
6 (3)	Spain	359.5 240.0	Tanks and Parts for tanks, armored vehicles, ground vehicles (0006/88.5%).
7 (4)	Netherlands	354.6 225.0	Tanks (collector's item), armored vehicles, cross-country vehicles, automotive crane, trucks, fuel trucks, tractors, trail- ers, and Parts for tanks, armored vehicles, amphibious vehicles, recovery vehicles, ground vehicles (0006/88.8%).
8 (16)	Switzerland	242.5 153.0	Armored recovery vehicles, cross-country vehicles, and Parts for tanks, armored vehicles, recovery vehicles, ground vehicles (0006/40.4%);

			<p>Ammunition for rifles, hunting and sporting weapons, revolvers, pistols, submachine guns, cannons, grenade launchers, and Explosive stores for rifles, hunting and sporting weapons, revolvers, pistols, cannons, howitzers, grenade launchers (0003/33.7%);</p> <p>Weapon training equipment, firing simulators, simulators for radio signals, and Parts for weapon training equipment, simulators, and training devices (0014/7.8%);</p> <p>Rifles and carbines (not war weapons), revolvers, pistols, sniper rifles, submachine guns, hunting and sporting rifles, sporting pistols and revolvers, cartridge clips, weapon sighting units, and Parts for rifles and carbines (incl. war weapons), revolvers, pistols, submachine guns, hunting and sporting rifles, sporting pistols and revolvers, weapon mounts, weapon sighting units (0001/4.0%).</p>
9 (6)	United Kingdom	233.8 <i>18.1</i>	<p>Ammunition for rifles, revolvers, pistols, grenade launchers, and Explosive stores for submachine guns, guns, howitzers, cannons, mortars, anti-tank weapons, grenade launchers (0003/47.2%);</p> <p>Rifles and carbines (incl. war weapons), revolvers, pistols, submachine guns, silencers, flash hiders, weapon sighting units, and Parts for rifles and carbines (incl. war weapons), revolvers, pistols, submachine guns, machine guns, weapon sighting units (0001/16.1%);</p> <p>Ground servicing testing units, engines, airborne equipment, and Parts for combat aircraft, helicopters, other aircraft, engines, airborne equipment, ejection seats, and parachutes (0010/12.0%);</p> <p>Trucks, road grader, cross-country vehicles, and Parts for tanks, armored vehicles, amphibious vehicles, ground vehicles (0006/6.2%);</p> <p>Rockets, pyrotechnics, illuminating cartridges, handling equipment, mine clearing systems, and Parts for rockets, missiles, handling equipment, mine clearing systems (0004/4.6%).</p>
10 (15)	Italy	182.5 <i>1.6</i>	<p>Armored vehicles and Parts for tanks, armored vehicles, and ground vehicles (0006/62.4%);</p>

			<p>Communications equipment, equipment for electronic warfare, data processing equipment, measuring and testing equipment, electronic assemblies, and</p> <p>Parts for electronic equipment, communications equipment, detection and navigation equipment, equipment for electronic warfare, data processing equipment, electricity supplies (0011/10.1%);</p> <p>Parts for combat aircraft, helicopters, engines, and airborne equipment (0010/7.8%);</p> <p>Forging pieces, casting pieces, and unfinished items (0016/4.2%);</p> <p>Rockets and</p> <p>Parts for grenades, rockets, missiles, handling equipment (0004/2.5%).</p>
11 (11)	France	149.6 2.3	<p>Helicopters, ground equipment, oxygen production unit, and</p> <p>Parts for aircraft, helicopters, engines, unmanned aircraft, oxygen production unit (0010/39.3%);</p> <p>Trucks, cross-country vehicles, trailers, and</p> <p>Parts for tanks, armored vehicles, ground vehicles, amphibious vehicles (0006/18.2%);</p> <p>Forging pieces, casting pieces, and unfinished items (0016/15.0%);</p> <p>Electronic equipment, communications equipment, detection and navigation equipment, data processing equipment, measuring and testing equipment, electronic assemblies, and</p> <p>Parts for communications equipment, detection and navigation equipment, data processing equipment (0011/8.3%);</p> <p>Software for an anti-tank weapon, for a mini-RPV, radar equipment, radio operations planning, air situation determination and air situation presentation system, and HF modem (0021/4.9%).</p>
12 (14)	Korea, Republic	141.7 4.5	<p>Parts for tanks, armored vehicles, and other ground vehicles (0006/56.3%);</p> <p>Navigation equipment and</p> <p>Parts for frigates, submarines, underwater detection equipment, and navigation equipment (0009/24.3%);</p> <p>Diving apparatus and</p> <p>Parts for bridge system (0017/4.1%);</p> <p>Ammunition for anti-tank weapons and</p> <p>Explosive stores for cannons, revolvers, and pistols (0003/3.5%)</p>

13 (5)	Israel	131.6 <i>101.1</i>	<p>Provision of main battle tank as museum piece, loan of two anti-aircraft missile systems, and parts for ground vehicles (0006/83.6);</p> <p>Production data for transmission accessories, engine parts, technical documents on helicopter parts and ships (022/6.3%).</p>
14 (-)	Norway	96.0 6.8	<p>Communications equipment, equipment for electronic warfare, data processing equipment, electronic assemblies, and Parts for communications equipment, altimeter, communications jammers, data processing equipment (0011/33.5%);</p> <p>Armored vehicles, trucks, cross-country vehicles, and Parts for tanks, armored vehicles, ground vehicles (0006/33.0%);</p> <p>Ammunition for rifles, hunting and sporting weapons, revolvers, pistols, grenade launchers, and Explosive stores for rifles, hunting and sporting weapons, revolvers, pistols, machine guns, cannons, and grenade launchers (0003/8.3%);</p> <p>Pusher and tugboat, signature suppression equipment, and Parts for repair workshop, bridges (0017/6.8%);</p> <p>Hand grenades, firing and hit simulators, and Parts for torpedoes, missiles, pyrotechnics, handling equipment (0004/5.6%).</p>
15 (20)	United Arab Emirates	49.2 5.5	<p>Low-bed semi-trailers and Parts for tanks and armored self-propelled howitzers (0006/34%);</p> <p>Parts for fire control instruments and target classification systems (0005/22.7%);</p> <p>Ammunition for rifles, hunting and sporting weapons, revolvers, pistols, howitzers, machine cannons, grenade launchers, and Explosive stores for mortars (0003/14.7%),</p> <p>Simulation systems for infantry training (0014/6.2%);</p> <p>Positioning and localization system, VHF/UHF transceiver, and Parts for communications equipment, radar units, navigation systems, communications jammers, electricity supplies, and head-up displays (0011/5.5%);</p> <p>Parts for fast patrol boats (0009/5.1%).</p>

16 (12)	Singapore	44.8  23.4	<p>Anti-tank weapons and grenade launchers (0002/52.2%);</p> <p>Bridge system, camouflage suits, camouflage paint, and Parts for diving apparatus and bridge systems (0017/11.5%);</p> <p>Piloting and diving trainers for submarines (0014/10.8%);</p> <p>Technical documents for the adaptation of a fire control system and for signature reduction, technical documents for bid submission, for communications equipment, and documents for developing ballistic shelters (0022/7.5%);</p> <p>Communications equipment, testing kits, electronic assemblies, and Parts for communications equipment, head-up displays, electricity supplies, and radar units (0011/5.3%).</p>
17 (-)	Saudi Arabia	43.7  1.0	<p>Parts for radio reconnaissance unit and electronic warfare (0011/31.5%);</p> <p>Parachutes and Parts for combat aircraft, mobile maintenance test rig (0010/23.1%);</p> <p>Parts for production equipment for firearms and ammunition, test apparatus for aircraft engines (0018/20.0%);</p> <p>Parts for patrol boats (0009/7.1%);</p> <p>Rough parts for forging tubes, trays and special profiles (0016/6.2%).</p>
18 (-)	Estonia	43.1  12.1	<p>Coastal surveillance radar and communications equipment (0011/64.0%);</p> <p>Guided weapons, mine destruction charges, and equipment for operating guided weapons (0004/18.9%);</p> <p>Field howitzer (0002/15.7%).</p>
19 (-)	Egypt	41.1  16.6	<p>Fast patrol boat, ammunition transporters, and Parts for submarines (0009/36.1%);</p> <p>Production drawings for bridge layer parts (0022/23.1%);</p> <p>Parts for armored vehicles (0006/22.9%);</p> <p>Ammunition for rifles, hunting and sporting weapons, revolvers, pistols, machine cannons, and grenade launchers (0003/6.6%).</p>

20 (10)	India	40.0	Motors, transmissions, and other vehicle parts (0006/58.2%); 0 Production equipment for anti-tank rockets, transmissions, and Helicopter parts (0018/11.3%); Parts for multi-role helicopter (0010/9.6%); NBC protective ventilation system, chemical-protective garments, irritants and Parts for chemical measurement equipment (0007/7.6%).
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Countries that were on the previous year's list of the twenty most important recipient countries and are no longer represented are Australia (2002: rank 8), Sweden (9), Denmark (13), Belgium (17), Poland (18), and Finland (19). The fluctuations in country ranking (for example, in the case of Malaysia, South Africa, Switzerland, Israel, and India) result from the pronounced differences from year to year in the occurrence of orders eligible for export licenses.

The strong increase in values for Malaysia and South Africa were almost exclusively the result of approvals for the supply of corvettes and other naval equipment. These licenses, which stand out in terms of value, also visibly influence the overall statistics and, in particular, the figures for third countries.

For South Africa, six licenses were issued in 2003 for a total of three MEKO A-200 SAN type corvettes and associated parts, valued altogether at €421.6 million. One of these warships costs roughly €130 million. These licenses accounted for more than 98% of the total value of licenses for South Africa.

Similarly, for Malaysia six licenses were issued for two PV MEKO 100 RMN type corvettes at a unit price of approximately €167 million. Another focus of licenses for Malaysia was naval electronics, in particular four magnetic self-protection units and four shipborne radars (some €47.5 million) and simulation equipment for naval training (ship piloting simulator at €9.5 million).

e) Individual export licenses broken down by Export List Items

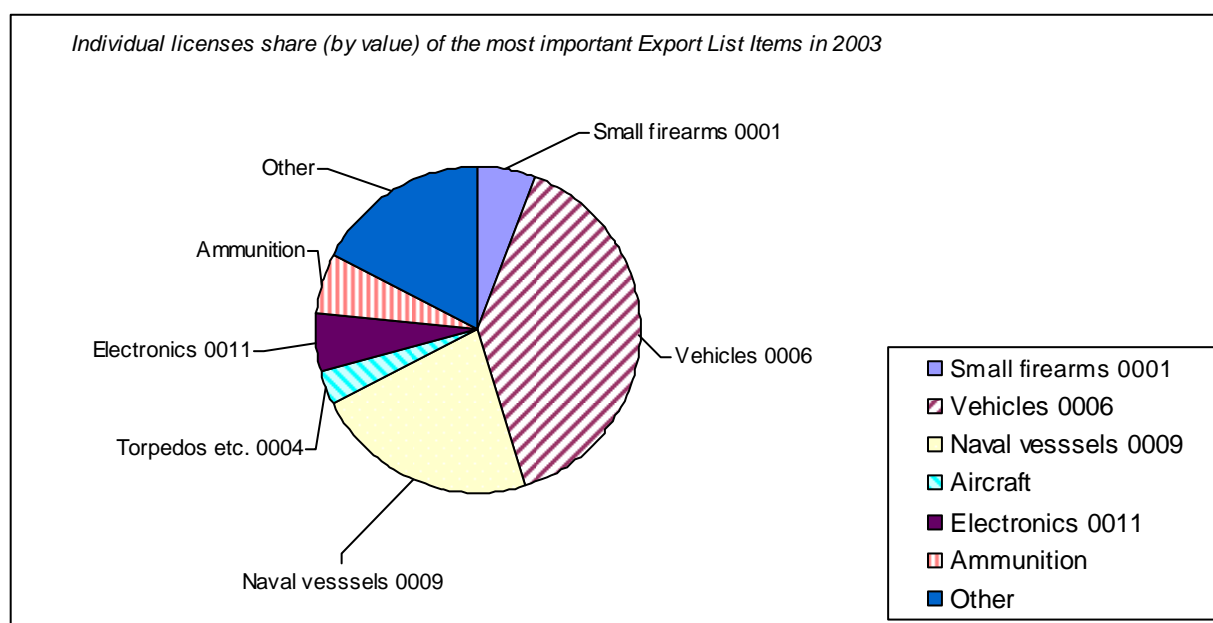
The individual export licenses issued in 2003 are broken down into the 23 EL Items as follows (pre-year figures are shown in parentheses):

<b>EL Item</b>	<b>Description of Item</b>	<b>Number</b>	<b>Value (€ millions)</b>
A 0001	Small firearms	4,040 (4,114)	277.9 (438.3)
A 0002	Large caliber weapons	142 (163)	40.6 (32.1)
A 0003	Ammunition	1,077 (1,016)	280.7 (134.9)
A 0004	Bombs, torpedoes, missiles	228 (255)	89.0 (274.1)
A 0005	Fire control systems	237 (260)	108.7 (106.6)
A 0006	Wheeled and tracked military vehicles	1,643 (1,348)	1,919.1 (1,111.9)
A 0007	Equipment for NBC defense, irritants ("tear gas")	272 (245)	75.4 (186.2)
A 0008	Explosives and fuels	511 (476)	8.5 (6.3)
A 0009	Naval vessels	379 (361)	1,085.6 (152.4)
A 0010	Military aircraft / aircraft engineering	501 (371)	160.4 (117.3)
A 0011	Military electronics	972 (786)	286.7 (217.0)
A 0013	Ballistic protection equipment	268 (266)	37.4 (23.9)
A 0014	Training and simulator equipment	93 (72)	84.5 (27.7)
A 0015	Infrared / thermal imaging equipment	136 (153)	59.4 (96.8)
A 0016	Semi-finished parts for the production of certain items of military equipment	587 (565)	97.8 (104.8)
A 0017	Miscellaneous equipment	358 (332)	89.5 (22.7)
A 0018	Manufacturing equipment for the production of military articles	451 (403)	37.4 (37.9)

A 0019	HF weapon system	1 (0)	0.03
A 0021	Military software	154 (103)	30.4 (11.2)
A 0022	Technology	387 (332)	70.2 (131.7)
A 0023	Equipment for security forces and para-military units	190 (299)	25.0 (23.9)
Total <sup>43</sup>		12,627 (11,920)	4,864.2 (3,257.6)

The table shows that, in terms of value, licenses issued for the export of military equipment in 2003 focused on wheeled and tracked military vehicles (share of total value: 39.5%). The second most important item were naval vessels (22.9%). The next items, far behind in ranking, are military electronics (5.9%), ammunition (5.8%), and small firearms (5.7%). The small firearms item-number on the Export List (A 0001) includes not only small arms but also the so-called civilian weapons such as hunting, sporting, and self-defense weapons, which are much more important in terms of license values; more detailed information on this point is available below, under h).

The share accounted for by the most important categories may be illustrated as follows:



<sup>43</sup> 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 (= 11,958) since some of the applications are split among several positions and are therefore counted two or more times in the individual positions in this table.



f) Export licenses from 1996 to 2003

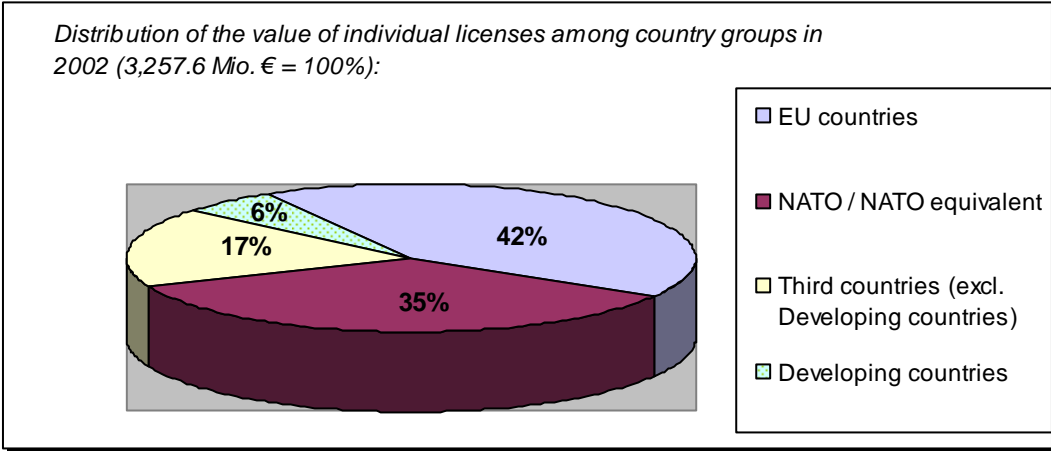
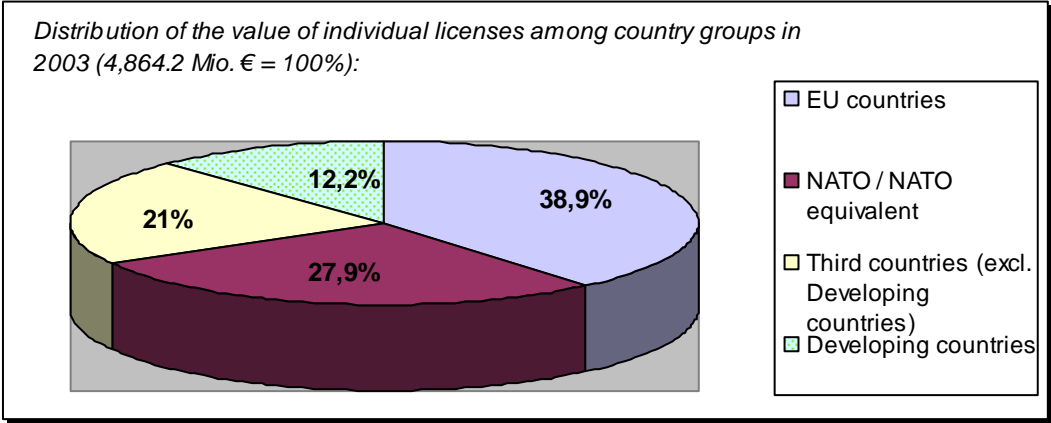
The following table compares the values (€millions) of the licenses issued in the years 1996 to 2003 for final exports. To provide a better basis for comparison, the values are not broken down by individual countries of destination but packaged together for the privileged countries of destination (EU, NATO, NATO equivalent) on the one hand and third countries on the other. Annex 5 offers an outline by individual country. The 1996 -2003 time frame has been selected because the statistical data base of the Federal Office of Economics and Export Control did not make a comparison by country groups possible until 1996.<sup>44</sup>

<b>Year</b>	<b>EU countries (€ millions)</b>	<b>NATO / NATO equivalent countries (without EU countries) (€ millions)</b>	<b>Third coun- tries (€ millions)</b>	<b><u>Individual export licenses (total) (€ millions)</u></b>	<b>Collective export licenses Total<sup>45</sup> (€ millions)</b>
1996	615.2	720.2	850	<b>2,185.4</b>	2,271
1997	731.8	732.7	596.1	<b>2,060.6</b>	9,189.7
1998	632.3	1,208	1,033	<b>2,873.7</b>	5,577.8
1999	701.8	1,542.8	781.6	<b>3,026.1</b>	334.7
2000	1,283.8	963.5	599.7	<b>2,846</b>	1,909.1
2001	1,329.7	1,010.6	1,345.8	<b>3,686.1</b>	3,845.3
2002	1,363.5	1,149.5	744.6	<b>3,257.6</b>	2,550.6
2003	1,892.0	1,359.2	1,613.0	<b>4,864.2</b>	1,328.0

<sup>44</sup> For the purpose of statistical comparability, the values of production documents for military equipment (1999: €95.3 million and 2000: €14.9 million) would have to be added even though they are not military equipment within the definition of the Export List.

<sup>45</sup> Cf. III.1.b. on the limited meaningfulness of sharply fluctuating annual values of collective export licenses.

The two following illustrations compare the values accounted for by the various country groups for the years 2002 and 2003. Pursuant to the Political Principles, the EU, NATO, and NATO equivalent countries can more or less be regarded as a block since they are treated in largely the same manner with regard to the export of military equipment.



In 2003, the then-candidates for accession to NATO and/or the European Union in 2004 were already largely regarded as members of these country groups and thus no longer as third countries. Of the overall licenses issued for third countries they accounted for a license volume of €88.8 million or 5.5%. Included were Bulgaria, Cyprus, Estonia, Latvia, Lithuania, Romania, Slovakia, and Slovenia.

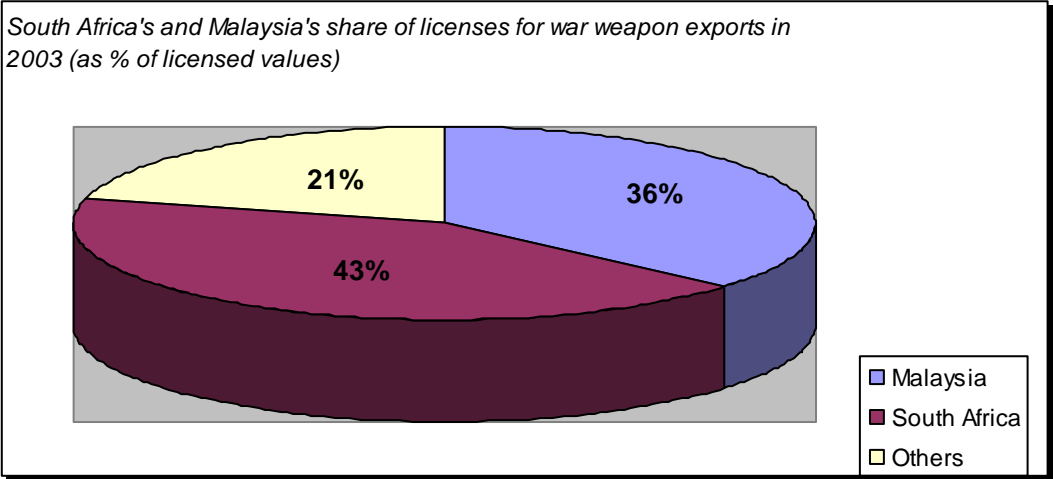
g) War weapons' share of licensed values in 2003

The license values shown under f) consistently related to articles from Part I Section A of the Export List, thus to all military equipment including war weapons. By contrast, the following identifies for the first time war weapons' share of overall values for individual licenses in 2003. Individual licenses for the export of war weapons add up to a total of €2.194 billion, thus approximately 45% of the total for overall individual licenses. The following table displays - broken down by country - total licenses issued in 2003 for the export of war weapons to third countries:

Country	Value in € millions	Individual licenses for war weapons
Aruba	0.01	1
Bahrain	0.027	1
Chile	1.861	2
Croatia	0.444	1
Egypt	16.633	5
Estonia	12.049	3
Israel <sup>46</sup>	100.142	4
Jordan	0.159	1
Korea, Republic of	4.464	8
Kuwait	0.037	2
Latvia	0.269	3
Lithuania	0.177	4
Malaysia	336.675	7
Mexico	0.216	5
Oman	0.001	2
Romania	25.130	2
Saudi Arabia	1.002	6
Serbia and Montenegro	0.036	1
Singapore	23.432	3
Slovakia	0.048	3
Slovenia	0.042	2
South Africa	394.652	6
Thailand	0.696	12
United Arab Emirates	5.538	15
Hong Kong	0.015	3
<b>Total</b>	<b>923.765</b>	<b>111</b>

<sup>46</sup> For the Bundeswehr's loan of the Patriot anti-aircraft missile systems to Israel, the table makes use of the systems' book value (some €90 million); further information may be found under III.2.(1).

A substantial share of the licenses issued for war weapons in 2003 went to third countries (some 42%). This was above all the result of the unusually high values for Malaysia and South Africa and, as already mentioned, was based on the export licenses issued for corvettes to their respective navies.



The 2003 *license* values for war weapons treated here by no means reflect the 2003 *export* values for war weapons named in Section III.2. Since licenses are generally valid for one full year, they are often not used by the end of the calendar year of issuance but only in the following calendar year. It also happens that, although a license has been issued, there is no export; this can occur, for example, if the corresponding procurement project has been postponed in the country of consignment.

h) Individual licenses for the export of small arms from 1996 to 2003

In view of the continuing special problems associated with the destabilizing effects of small arms accumulations in crisis areas,<sup>47</sup> the German government is additionally reporting, just as last year, on individual licenses issued from 1996 to 2003 for the export of small arms.

Small arms do not represent an independent category within the groups of military equipment and war weapons under German law, but they are contained within these groups of items. They thus represent a portion of the small firearms covered under EL number 0001 (see section e, above). The values shown in the following tables A to C are therefore already included in the statistics under 1.a) to g) and in the values presented under Annex 5.

<sup>47</sup> Cf. II.6.

At the international level, the term "small arms" has various meanings and is defined differently in different forums. Although there are (to some extent considerable) differences in details, there is large agreement on basic elements. But there is still no uniform understanding of all weapon categories. The OSCE small arms definition<sup>48</sup> and the EU's small arms definition<sup>49</sup> provide somewhat of a model. Both definitions take the lead from the internationally used term "small arms and light weapons" and distinguish between small arms (basically military small firearms) and light weapons (in particular, portable rocket and artillery systems). Both definitions are also in agreement in that they include only such weapons as are specifically intended for military use, not, however, civilian weapons such as, in particular, hunting and sporting weapons, or civilian (i.e. not specifically designed for military use) weapons of self defense (revolvers and pistols).

The OSCE defines small arms as follows:

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

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

*Light weapons are broadly categorized as those weapons intended for use by several members of armed or security forces serving as a crew. They include heavy machine guns; hand-held under-barrel and mounted grenade launchers; portable anti-aircraft guns; portable anti-tank guns; recoilless rifles; portable launchers of anti-tank missile and rocket systems; portable launchers of anti-aircraft missile systems; and mortars of calibers less than 100mm."*

The above cited Joint Action of the EU distinguishes the following categories of small arms and light weapons:

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

- machine guns (including heavy machine guns)*
- submachine guns, including fully automatic pistols*
- fully automatic rifles*
- semi-automatic rifles, if developed and/or introduced as models for the armed forces*
- moderators (silencers)*

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

- cannon (including automatic cannon), howitzers, and mortars of less than 100mm caliber*
- grenade launchers*

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<sup>48</sup> Cf. the OSCE document on small arms, footnote 21.

<sup>49</sup> See Appendix of the Joint Action of 12 July 2002 on the European Union's Contribution to Combating the Destabilizing Accumulation and Spread of Small Arms and Light Weapons (2002/589/CFSP). For more details: Second Annual Report on the Implementation of the Joint Action of 2 July 2002 (2002/C330/01).

- *anti-tank weapons, recoilless guns (shoulder-fired rockets)*
- *anti-tank missiles and launchers*
- *anti-aircraft missiles / man-portable air defense systems (MANPADS)."*

Using the EU's small arms definition, the following tables show the value 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),<sup>50</sup> and of licenses for the export of ammunition for guns, submachine guns, and machine guns and parts for such ammunition (Table C)<sup>51</sup> in the years from 1996 to 2003.

Table A: Individual Licenses for the Export of Small Arms – Values in €Millions

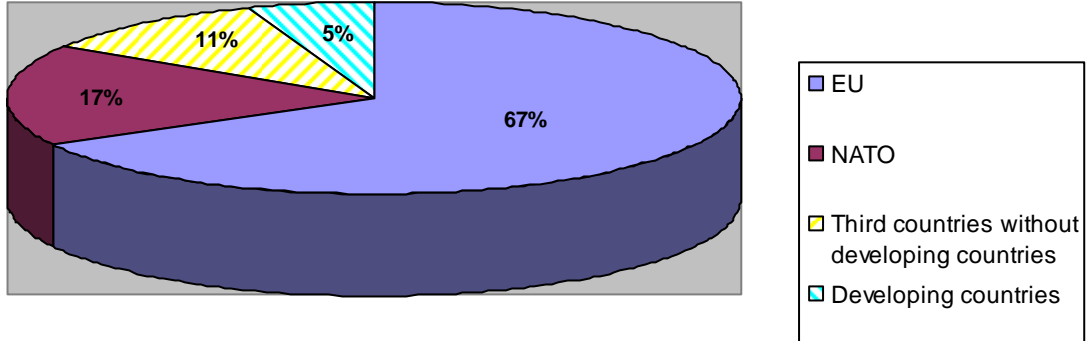
<b>Year</b>	<b>EU countries</b>	<b>NATO / NATO equivalent countries (without EU countries)</b>	<b>Third countries</b>	<b>Individual licenses (total)</b>
1996	0.89	2.60	1.87	5.36
1997	5.60	4.11	6.24	15.95
1998	2.09	14.68	6.57	23.34
1999	10,14	6.38	4.74	21.26
2000	4.97	3.58	0.27	8.82
2001	24.57	6.62	7.43	38.62
2002	45.31	12.09	4.20	61.6
2003	35.56	8.76	8.59	52.9

The following illustrations show the values broken down by three country groups for small arms licenses issued in 2003 and 2002; in addition the group "third countries" has been divided into developing countries and other third countries.

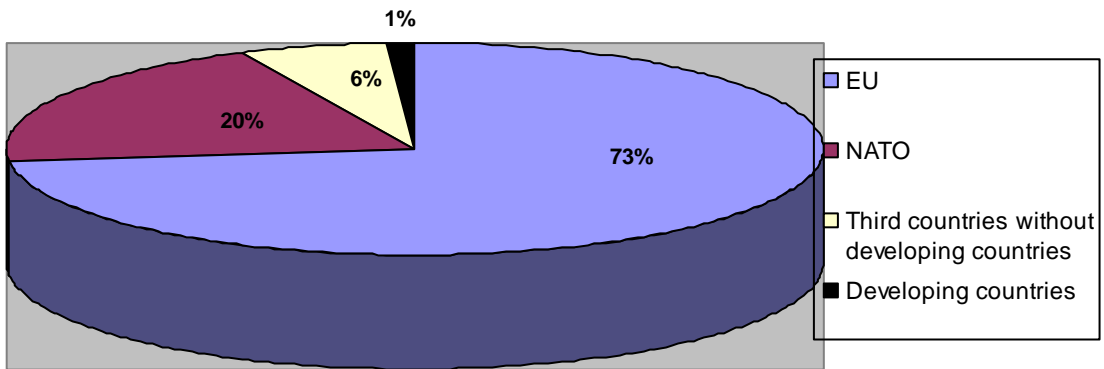
<sup>50</sup> Excluding hunting and sporting weapons.

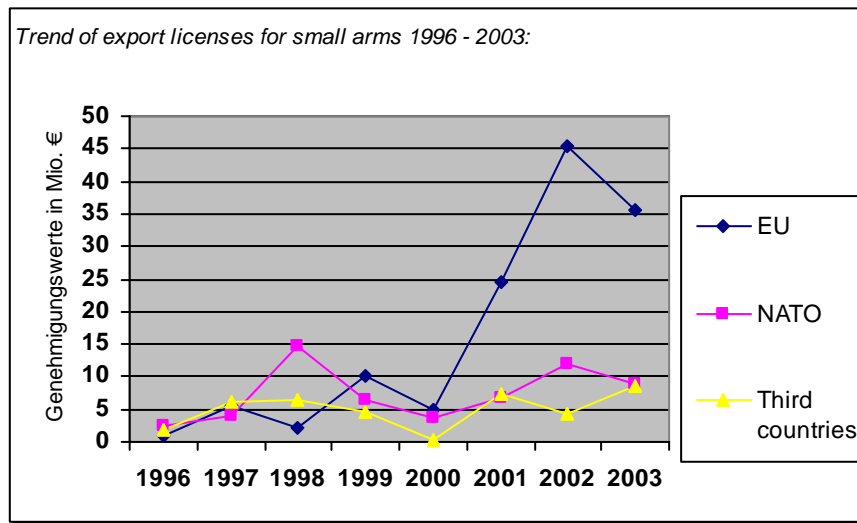
<sup>51</sup> Excluding ammunition for hunting and sporting weapons.

Values of individual licenses for small arms in 2003 broken down by country groups (52.9 Million € = 100%)



Values of individual licenses for small arms in 2002 broken down by country groups (61.6 Million € = 100%)





The strong rise for the EU countries in 2001 and 2002 and the still high level for 2003 may be explained by initiation of the supply of G 36 assault rifles to the Spanish armed forces which are introducing this weapon as the standard assault rifle for the troops.

The aggregate value of individual export licenses for small arms is significantly lower than the aggregate value of total export licenses for small firearms as listed above under e) for EL position 0001 (€277.9 million). As already explained, this is the result of the fact that the definition of small firearms found there also includes civilian weapons (revolvers, pistols) used for self defense and therefore extends far beyond that of small arms as understood internationally. Only 19% of the value of export licenses for small firearms is thus accounted for by small arms and only 3% by licenses for the export of small arms to third countries.



Table B: Individual Licenses for the Export of Small Arms to Third Countries Broken down by Countries, License Values and Unit Numbers for 2003<sup>52</sup>

Country	Licenses (total)	EL	Value €	Designation	Units
Aruba	1	0001a 02	885	Rifles with war weapons list number	1
		0001a 05	9,200	Submachine guns	10
Bahrain	1	0001a 05	27,600	Submachine guns	30
			720	Requisite components	30
Croatia	1	0001e 00	90,000	Rifles with war weapons list number	100
		0001e 00	354,601	Submachine guns	270
Egypt	4	0001a 02	1,181,634	Rifles with war weapons list number	606
		0001a 05	423,851	Submachine guns	502
Hong Kong	4	0001a 02	8,055	Rifles with war weapons list number	9
			13,852	Requisite components	198
		0001a 05	1,740	Submachine guns	2
			21,444	Requisite components	751
Jordan	1	0001a 02	105,300	Rifles with war weapons list number	135
			56,990	Requisite components	2,110
		0001a 05	53,240	Submachine guns	80
			720	Requisite components	3
Korea, Republic	6	0001a 05	84,690	Submachine guns	91
			1,925	Requisite components	75
Kuwait	2	0001a 05	37,100	Submachine guns	41
			3,340	Requisite components	130
Latvia	4	0001a 05	269,790	Submachine guns	212
			31,570	Requisite components	1,228
Lithuania	2	0001a 02	69,440	Rifles with war weapons list number	62
			14,490	Requisite components	683
		0001a 05	80,181	Submachine guns	65
			20,246	Requisite components	203
Malaysia	5	0001a 05	1,032,850	Submachine guns	1,003
			37	Requisite components	1
		0001a 06	31,419	Components for machine guns	480
Mexico	5	0001a 02	98,400	Rifles with war weapons list number	24
			-{-}34,922	Requisite components	2,161
		0001a 05	74,420	Submachine guns	62
			97,391	Requisite components	5,619
Oman	1	0001a 06	74,103	Components for machine guns	2,941
		0001a 05	650	Submachine guns	1
San Marino	2	0001a 02	2,672	Components for rifles with war weapons list number	146
Saudi Arabia	13	0001a 02	325,050	Rifles with war weapons list number	101
			1,119,669	Requisite components	297,941

<sup>52</sup> "Small arms" comprise: guns (war weapons), machine guns, submachine guns, automatic and semi-automatic weapons, smooth-bore military weapons, weapons for caseless ammunition, and parts for such weapons (not included are civilian weapons).

		0001a 05	31,200 947,950	Submachine guns Requisite components	16 28,500
Serbia and Montenegro (for UN)	1	0001a 05	36,800 11,872	Submachine guns Requisite components	32 128
Singapore	2	0001a 05	13,789 718	Submachine guns Requisite components	10 1
Slovakia	2	0001a 05	20,500 4,823	Submachine guns Requisite components	15 46
Slovenia	5	0001a 02	36,320 850	Rifles with war weapons list number Requisite components	26 31
		0001a 05	1,106 6,957	Submachine guns Requisite components	1 374
Thailand	16	0001a 02	221,476 627,660	Rifles with war weapons list number Requisite components	130 9,875
		0001a 05	123,892 41,760	Submachine guns Requisite components	101 319
		0001a 06	42,720 12,463	Machine guns Requisite components	12 84
United Arab Emirates	11	0001a 02	196,965 19,564	Rifles with war weapons list number Requisite components	191 2,878
		0001a 05	318,610 16,339	Submachine guns Requisite components	285 382
<b>Total</b>	<b>89</b>		<b>8,588,521</b>		

Table C: Individual licenses for **ammunition** for small arms, including explosive stores, for 2003 – values in €millions

<b>Year</b>	<b>EU countries</b>	<b>NATO / NATO-equivalent countries (without EU countries)</b>	<b>Third countries</b>	<b>Individual licenses (total)</b>
1996	0.30	0.50	0.09	0.89
1997	4.60	5.00	0.74	10.34
1998	4.64	10.09	0.63	15.36
1999	2.83	14.95	0.15	17.93
2000	2.81	2.84	0.04	5.69
2001	2.20	12.46	1.80	16.46
2002	7.08	6.10	1.88	15.06
2003	1.83	8.53	1.61	11.96

The two following illustrations show licenses issued respectively in 2002 and 2003 for the export of ammunition for small arms broken down by the three above named country groups; the group of third countries is divided up into developing countries and other third countries.

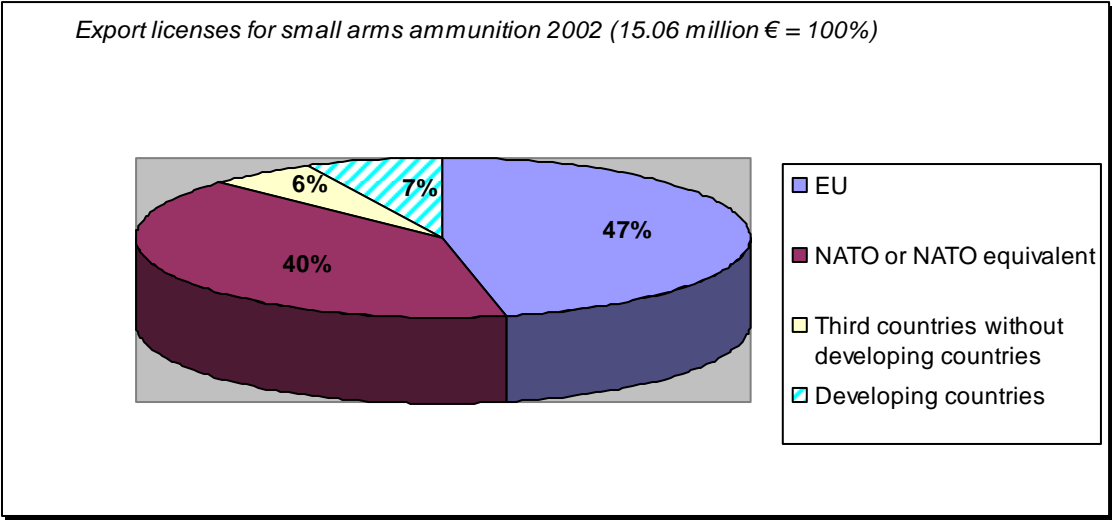
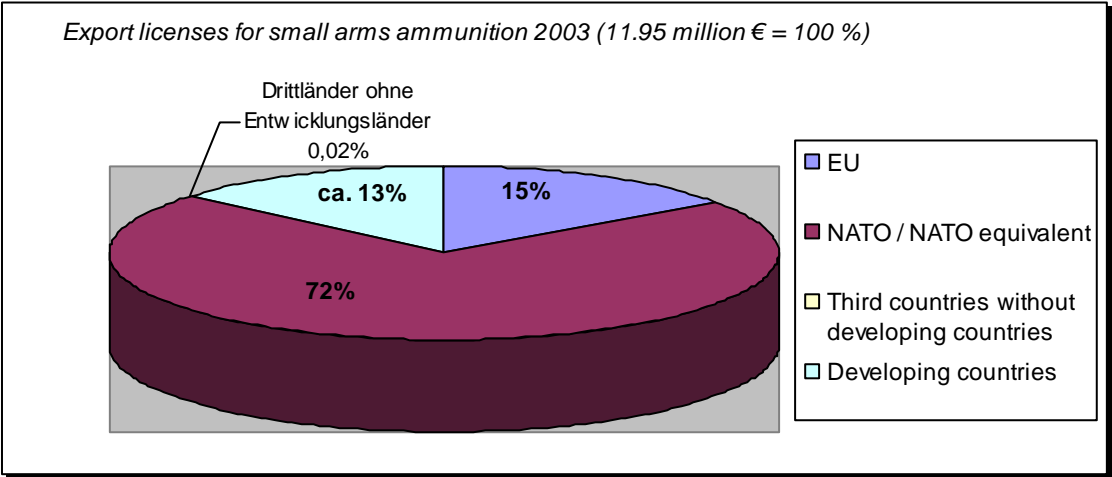


Table D: Individual licenses issued in 2003 for the export of **ammunition** and explosive stores for small arms to **third countries** broken down by countries (in part also for hunting and sporting purposes)<sup>53</sup>

<sup>53</sup> "Small arms ammunition" comprises ammunition for: guns (war weapons), submachine guns, automatic and semi-automatic weapons, smooth-bore military weapons, weapons for caseless ammunition, and parts for such weapons. There were no license denials during the year on report.

Country	Licenses (total)	EL positions	Value €	Designation	Units
Egypt	3	0003 01	1,346,545	Ammunition for rifles	520,000
Niger	1	0003 01	6,200	Ammunition for rifles	31,000
San Marino	1	0003 01	1,741	Ammunition for rifles	7,320
Saudi Arabia	1	0003 06	540	Components for machine gun ammunition	4,282
Serbia and Montenegro	1	0003 01	21,600	Ammunition for rifles	40,000
South Africa	4	0003 01	1,000	Ammunition for rifles	2,600
			222,150	Requisite components	5,700,000
Thailand	2	0003 01	100	Ammunition for rifles	200
		0003 06	3,590	Components for machine gun ammunition	18,600
United Arab Emirates	2	0003 01	1,472	Ammunition for rifles	3,200
<b>Total</b>	<b>15</b>		<b>1,604,938</b>		

Total values for 2002 were: nine licenses at a value of €1.9 million.

The total value of export licenses accounted for by small arms and related ammunition continues to be extremely low. In 2003, its share amounted to 1.3%, as in the prior year.

## 2. Exports of war weapons

### a) War weapon exports in reporting year 2003

For the sub-section comprising war weapons figures are available on actual exports made in 2003. In this category, Germany's Federal Statistical Office (DESTATIS) determined that goods for a total value of €1,332.8 million (0.20 % of all German exports) were exported from Germany in 2003. The total value increased more than fourfold from that of the previous year (€318.4 million), above all owing to the export of two corvettes each to Malaysia and South Africa. In value terms, 46.2 % 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 the export of military equipment to such countries. The exports of

war weapons are largely commercial transactions; to some extent, however, they are also transfers of Bundeswehr stocks.

War weapons for a total value of €277.4 million (= roughly 21 % of total war weapon exports) went to classic developing countries<sup>54</sup> in 2003. Of these, €259.77 million were accounted for by South Africa, €17.12 million by Egypt, €0.51 million by Thailand, and €0.03 million by Serbia/Montenegro (solely for the UN mission there). The sizable increase over the previous year (some 1% of total exports) was the result of the export of two corvettes (total value: approximately €259.77 million) to South Africa's Navy. Without these exports of an exceptionally high value, the developing countries' share would again have been roughly 1.3%. Just as the year before, no war weapons were exported in 2003 to the poorest and other developing countries with low incomes.<sup>55</sup>

#### (1) Bundeswehr exports<sup>56</sup>

Within the exports, a merchandise value of €290.2 million (some 22 % of total exports of war weapons) was accounted for by the transfer of used, no longer needed material, provided by Germany's Ministry of Defense. Of these exports, 34.5% went to Israel (loan, invoiced at book value, of two anti-aircraft missile systems by the Bundeswehr for the purposes of missile defense), 27.2% to Finland, 25.4% to Poland, 5.8% to Egypt, 2.7% to Estonia, and 2.5% to Romania. The remaining 2% were spread among France, the Netherlands, Italy, Austria, Belgium, Turkey, and Lithuania.

#### (2) Commercial exports

The value of German companies' commercial exports amounted to €1,042,626 million in 2003 (some 78 % of total exports of war weapons). Of these exports, 44% (€457.8 million; in 2002 93% or €296 million) were accounted for by NATO, EU, and NATO equivalent countries, of which, 2% went NATO equivalent countries that are not members of the EU.

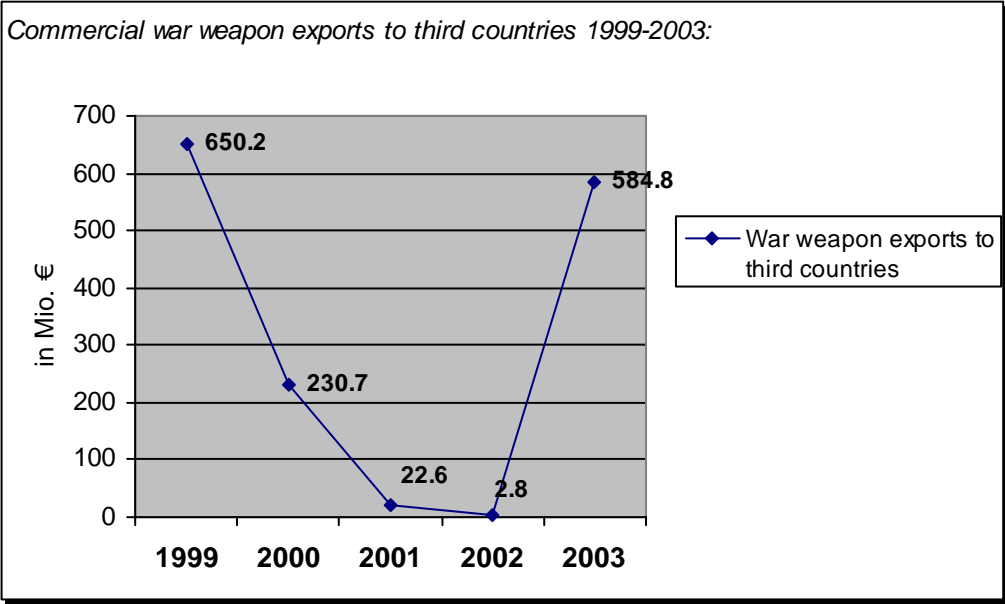
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<sup>54</sup> See footnote 4 for the definition of developing countries.

<sup>55</sup> Poorest and other developing countries and low-income areas (LLDC; LIC) under Part 1 of the OECD's DAC List for 2003.

<sup>56</sup> The merchandise values listed are statistical values that are used for purposes of comparison with commercial exports. The level of the Bundeswehr's actual earnings from the sale of surplus military materiel was far lower. Earnings of only €109 million were, for example, achieved in 2003 from sales at home and abroad. The loan (without charge), for example, of the anti-aircraft missile systems to Israel was thus treated like a regular export transaction, just as the sale of aircraft to Poland for the symbolic price of €1.

Commercial supplies of war weapons to third countries amounted to €584.8 million. That means an increase of a large multiple over 2002 (€2.8 million). Ships accounted for approximately 97% of this figure (year earlier: 18%), ammunition and shells roughly 1.3% (46%), firearms and artillery some 1.1% (25%). These large-scale shifts relative to the 2002 levels are the result of the already mentioned export of corvettes to South Africa and Malaysia.



The commercial sales to third countries were accounted for by exports to Malaysia (€307.8 million or 52.6%) and South Africa (€259.8 million or 44.4%) and were made up nearly exclusively of corvettes.

Other exports to third countries went to Chile (1%), South Korea (0.7%), Singapore (0.4%), UAE (0.3%), Israel (0.1%), Thailand (0.09%), and Egypt (0.07%). The remaining exports went to Hong Kong, Latvia, Lithuania, Serbia and Montenegro, and Mexico and principally consisted of small firearms and related parts. In the case of Serbia and Montenegro, the exports were in connection with equipping the UN mission in Kosovo.

Included in the total amount of commercial exports are also the so-called "processed exports" (such as the re-export of war weapons after repairs or upgrading in Germany) for a total of some €152 million. In this connection, it should be pointed out that re-exports are included in the overall export values of a respective year by Germany's Federal Statistical Office at the full original price. The upgrading in Germany is therefore considerably below the export value given.

The following outline contains all exports of war weapons in 2003 (commercial and German Ministry of Defense), broken down by consignee country and value.

Country	Value in € 1000
Malaysia	307,849
South Africa	259,770
Netherlands	105,106
Israel	100,560
Finland	80,618
Poland	74,319
Greece	65,020
Turkey	55,606
Denmark	47,006
Italy	45,629
Sweden	44,342
United Kingdom	32,412
Switzerland	18,406
Egypt	17,115
Spain	12,549
USA	10,614
France	10,301
Estonia	8,618
Romania	7,140
Austria	6,483
Chile	6,088
South Korea	4,380
Norway	3,648
Singapore	2,169
UAE	2,042
Australia	1,627
Canada	1,252
Thailand	510
Hong Kong	14
New Zealand	13
Ireland	5
Belgium	377

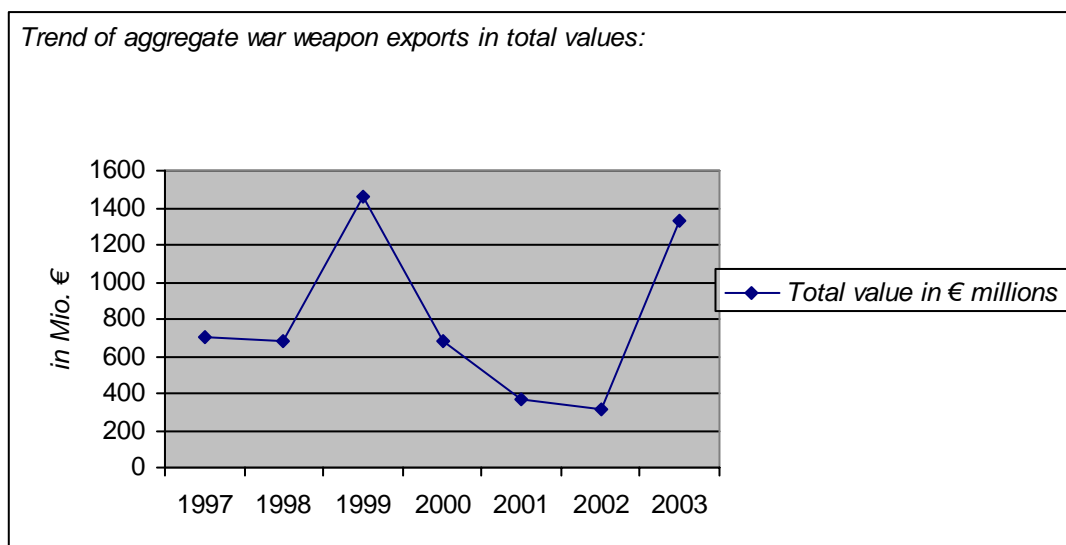
Lithuania	359
Latvia	208
Luxembourg	166
Portugal	155
Japan	130
Czech Republic	71
Serbia and Montenegro (UN Kosovo mission)	37
Hungary	25
Mexico	25
Slovakia	23

b) War weapon exports from 1997 to 2003

The table below shows the total value of annual war weapons exports (including supplies from Bundeswehr stocks) and their percentage value of total German exports over the course of the last seven years.

Year	Total value (€ millions)	% share of total German exports
1997	707.4	0.16
1998	683.9	0.14
1999	1,454.2	0.29
2000	680.2	0.11
2001	367.3	0.06
2002	318.4	0.06
2003	1,332.8	0.20

Plotted on a chart, the trend is as follows:





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

The problems entailed in carrying out a worldwide comparison of actual exports of military equipment was outlined in some detail in the corresponding section of the 2001 Military Equipment Export Report. In the meantime, no further measures have been undertaken to unify the relevant statistical foundations or compilation techniques. It is important to note that even the thoroughly researched publications by non-government organizations and specialized institutions are ultimately only of limited value, a fact that is made clear by their broadly divergent findings.

According to the annual statistical comparison by the International Institute for Strategic Studies (IISS) in London Germany ranked 7th among the countries exporting military equipment in 2002,<sup>57</sup> although far behind the United States, the United Kingdom, Russia, France, and China. Ukraine was ranked sixth, while Italy, Israel, and Brazil occupied ranked eighth to tenth. The IISS study attributes a market share of some 2% to Germany (USA 40.3%; UK 18.5%; France 7.1%; Italy 1.6%).<sup>58</sup> According to a draft of the new Study, Germany is likely to rank eighth for 2003.

The Stockholm SIPRI Institute sees Germany as occupying fourth place for 2003 (2002: fifth place). For the period from 1998 to 2003, Germany ranked fourth according to the Institute, with a world market share of roughly 6%;<sup>59</sup> SIPRI's special analytical methods, which are explained in detail in the Yearbook that is cited, hardly permit a comparison with the results of other institutions.<sup>60</sup>

According to a recent study by the United States Congressional Research Service (CRS),<sup>61</sup> more than 63% of all weapon exports went to third countries in the 1996-2003 period; in 2003 the figure was 53.6%.<sup>62</sup> Of the exports to third countries worldwide, 37% come from the United States, 23.5% from the United Kingdom, 19.5 from Russia, and approximately 4% from Germany.

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<sup>57</sup> No figures were available for 2003 prior to the editorial close of the Report.

<sup>58</sup> The International Institute of Strategic Studies, "The Military Balance 2003/2004," p. 341.

<sup>59</sup> SIPRI Yearbook 2004, p. 457.

<sup>60</sup> SIPRI bases its calculations on a so-called "trend indicator value." The attempt is made to estimate the actual value of a weapon system, independent of the purchasing price actually agreed on for the specific transaction, since gifts, over-priced offers, and military assistance would otherwise remain unaccounted for. To determine this price (which is fictitious but reflective of the significance of the transaction), SIPRI works with various estimates, rules of thumb, and comparative measures.

<sup>61</sup> CRS Report for Congress: Conventional Arms Transfers to Developing Nations, 1996 - 2003 of August 26, 2004, authored by Richard F. Grimmett.

<sup>62</sup> The group of "developing nations" in the CRS Report corresponds to the Military Equipment Export Report's "third countries," however, excluding Russia and European countries.

According to this analysis, the trend for the years 1996-2003 shows that the United States was far in the lead, followed at quite a distance by the United Kingdom, France, and Russia. After another large gap then come China, Germany, Sweden, Ukraine, Israel, Belarus, and Italy.<sup>63</sup> Among the group of Western European countries, the Report names, alongside France, also the United Kingdom, Germany, and Italy as the leading export countries; the last three, however, were of significance only as the result of unusual large-scale projects in one or another particular year. Although it is hardly possible to assess the data given for Germany (they concord with the data available here only in approximate terms), a plausible trend emerges. While Germany normally occupies leading positions in the values for worldwide transfers (for supply agreements concluded, for instance, Germany ranked as high as number 3 in 2003), it usually ranks toward the bottom of the list as regards data for third countries (not among the top ten for supply agreements concluded).

#### **IV. Military Aid**

As reported in past reports, military equipment had previously - up to the mid nineties - been provided free of charge to NATO Member Countries in the framework of military aid programs. These programs have since expired. The possibility of providing weapons, ammunition, and machines for their production has been eliminated as part of the German government's equipment assistance program for foreign armed forces. Such aid is therefore not relevant for the Military Equipment Export Report.

#### **V. Criminal Prosecution Statistics and Outline of Preliminary Criminal Proceedings**

##### **1. Criminal prosecution statistics**

Criminal prosecution statistics<sup>64</sup> show that a total of 71 persons were convicted under general criminal statutes for violating the War Weapons Control Act in 2002 and 27 for violating the Foreign Trade and Payments Act. There were no convictions under criminal statutes applicable

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<sup>63</sup> See p. 59.

to juveniles. Forty-four persons convicted for violations of the War Weapons Control Act received prison sentences, 33 of which were suspended on parole; 27 persons were fined.

Twenty-one persons convicted for violations of the Foreign Trade and Payments Act received prison sentences, 19 of which were suspended on parole; 6 persons were fined.

The above mentioned convictions 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 operations involving 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.

## **2. Outline of preliminary proceedings under criminal statutes**

The following preliminary proceedings were reported by the Zollkriminalamt (Customs Criminal Investigation Office) for 2003. The list contains information on criminal proceedings conducted by the Zollkriminalamt itself and data on criminal proceedings conducted by the Customs Investigation Offices. Proceedings under the War Weapons Control Act, for which the police from the individual German states and/or the Bundeskriminalamt (Federal Criminal Police Office) are responsible, are not included. Furthermore, not every proceeding conducted owing to suspected violations against the War Weapons Control Act is relevant for this Report since some involve matters unrelated to exports.

### **a) Investigations concluded in the year under review**

The Zollkriminalamt reported a total of 26 investigations against a total of 42 suspects (5 of which were conducted against unknown persons) that were concluded in the year on report. Among these are three proceedings (highlighted in *italics*) for violations of the War Weapons Control Act.

The individual cases are listed below. The following reasons for termination are relevant for the termination of proceedings without judgments:

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<sup>64</sup> The criminal prosecution statistics are confined to convictions in the Federal Republic's original states (including the former East and West Berlin). Figures for 2003 are not yet available.

- Section 153 StPO: (Strafprozessordnung = German Code of Criminal Procedure): no major proceedings since potential guilt of the offender slight and no public interest in prosecution.
- Section 153a StPO: rather than filing public charges, the imposition of constraints and instructions upon less seriousness of guilt.
- Section 154 Subsection 1 No. 1 StPO: waiver of criminal prosecution if the penalty anticipated would not significantly add to penalties for other violations committed.
- Section 170 Subsection 2 StPO: the investigative proceedings do not uncover sufficient reasons for initiating public proceedings.

Country of destination <sup>65</sup>	Outcome of proceedings	Merchandise Part A of EL
Switzerland, Sweden	Terminated under Section 153(1) StPO	Specially designed parts, technologies, and documents for weapons in 25 cases
Slovakia, Poland (India)	Terminated under Section 170(2) StPO	26 TATRA 813 type trucks, transmissions and other parts for T72 main battle tanks, lateral gear-units for T72 main battle tank
Eritrea	Terminated under Section 170(2) StPO	Replacement parts for tanks (incl. engines, transmissions)
Myanmar	7 convictions with prison sentences of 4 to 6 months or fines of €6,000 to €14,850; one termination under Section 170(2) StPO	Type PM 130.8, PM 51.6, and PM 33.8 automatic multi-spindle lathes for the production of explosive stores
<i>Russia, Near and Middle East, Jordan, UAE, Pakistan</i>	<i>One accused with a total prison sentence of 2 years and ten months; Two further accused persons - terminated under Section 170(2) StPO</i>	<i>Kornet E missile launcher, know-how to construct fiberglass and epoxy resin production unit for manufacturing weapon parts, Mi-17, Mi-25, and Mi-35 helicopters, RPG-27 man-portable anti-tank rocket launchers, hand grenades, and engines for MIG-29</i>
Switzerland, United States, East European and African countries	Terminated under 153a StPO upon payment of €5,000	Systems technology for weapons (hair triggers, magazine springs, triggers, magazine receivers, and magazine followers)
Switzerland	Terminated under Section 170(2) StPO	One Bergstutzen rifle with telescopic sight and ammunition
South Africa, Italy, Spain	Terminated under Section 170(2) StPO / Section 153(1) StPO	Gear-part blanks for PH 2000 armored self-propelled howitzer

<sup>65</sup> Entries in italics signify violations of the War Weapons Control Act.

Singapore, Canada	1 Terminated under Section 153a StPO upon payment of €1,000 and 2 terminated under Section 170(2) StPO	1,971 armor plates
<i>Liberia</i>	<i>Terminated under Section 170(2) StPO</i>	<i>AK 47 assault rifles, RPK and PKM machine guns, man-portable anti-tank weapons, multiple rocket launchers, and corresponding ammunition</i>
Iran	Terminated under Section 170(2) StPO	1 SBA 80 type cutting, bending, and beveling lathe
Egypt, Afghanistan	Terminated under Section 170(2) StPO	Mi-9 military helicopter
Switzerland, Canada	Terminated under 153a StPO upon payment of €3,000	Spare parts for weapons and casing
United States, Norway, Andorra	Terminated under Section 153(1) StPO	Parts for hunting weapons
Various	Terminated under Section 153(1) StPO	Pistols
<i>Republic of Congo, Eritrea</i>	<i>Two-year prison sentence eligible for parole</i>	<i>War weapons, weapons, and ammunition</i>
Israel, Japan, France, United States	€8,100 fine	Cathode ray tubes
Iraq	Two year jail sentence suspended on parole and payment of €7,500	Import of template parts (ball bearings, magnets, stators, pick-offs, fuse parts) for a missile; intended re-export to Iraq after finishing
Sudan	Terminated under Section 170(2) StPO	Offering for 100,000 12/70 caliber shells
USA	Terminated under 153a StPO upon payment of €500	Interface board DS 4401 MIL-STD 1553I/F
Arab Countries	Terminated under Section 170(2) StPO	Weapon parts
Switzerland	Terminated under Section 153(1) StPO	Computer part assemblies
Italy, France	Terminated under Section 153(1) StPO	Hydraulic piston pipe for the Eurofighter combat aircraft and the Tiger combat helicopter
USA	Terminated under 153a StPO upon payment of €500	Sound absorber elements for the Tiger combat helicopter
United States, Switzerland	Terminated under Section 170(2) StPO	Joints and universally jointed drive shafts for military vehicles
Lithuania	Terminated under Section 153 StPO	One lens for military night vision goggles

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

The Zollkriminalamt launched 21 investigative proceedings, not concluded as yet, against a total of 22 suspects (six of which were filed against unknown persons) during the year on report.<sup>66</sup>

Among these are three proceedings for suspected violations of the War Weapons Control Act.

The cases are as follows:

<b>Country of destination<sup>67</sup></b>	<b>Merchandise Part A of EL</b>
Croatia, Netherlands, Greece	Decontamination containers and documents for the production of military trailers and camouflage paint
<i>United States (final destination unknown)</i>	<i>AK 47 assault rifles, RPKs, PKMs, man-portable anti-tank weapons, multiple rocket launchers, and corresponding ammunition</i>
North Korea, South Korea, Singapore	Night vision equipment, ammunition, telescopic sights
Israel	Design and construction documents (naval project feasibility study)
Switzerland, Bosnia-Herzegovina	1 "Mine Wolf" mine clearance vehicle
Switzerland	Grenade casings
UAE	Actuator motors for aircraft
Iran	Medical equipment, mechanical furnishings, and electrical devices
Poland	1 URAL type military truck with radar outfitting and 264 US Armed Forces military uniforms
Slovenia, South Korea	Synthetic materials
Iran	Machine tools and associated parts, isotope-rate spectrometer, 150 tank engines
Czech Republic	Software for guiding three processing centers for weapon production
Libya	Spare parts for extruder press
<i>Norway</i>	<i>Precision rifles</i>
United States, Czech Republic	125,000 ammunition rounds
<i>Unknown</i>	<i>Gyroscopes</i>
Gambia, Syria	Bulletproof vests
India	10 copper compression boilers for measuring gas pressure of small caliber ammunition
Ukraine	94,000 9mm caliber cartridges
United States, Egypt	3 TACAN KTU 709 type used radio navigation units
Brazil	2 BZ 510 type processing centers

<sup>66</sup> Proceedings initiated prior to 2002 but not concluded in that year are not covered here. Figures for 2003 are not yet available.

<sup>67</sup> Entries in italics signify violations of the War Weapons Control Act.

## **VI. Military Equipment Cooperation**

Government agreements providing for official cooperation are relevant for exports in only a very few cases. They often involve collaboration in the field of research or general technology, and they may also cover matters such as the mutual exchange of information.

The agreements on the A-400 M military transport aircraft (signatories: Belgium, Germany, France, Spain, Turkey, and United Kingdom), and on preparations for the series production and procurement of the IRIS-T air-to-air missile (Germany, Greece, Italy, Norway, Spain, and Sweden) should be mentioned in connection with the possibility of future exports. The Leopard 1 and 2 user-countries Brazil, Chile, and Poland have acceded to the multilateral agreements on service and support for these weapon systems. An exchange of information on the Eurofighter program was agreed on with Austria and Norway as future users.

## **VII. Concluding Remarks**

In arriving at its decisions on supplying military equipment to third countries, i.e. outside the EU, NATO, and NATO equivalent countries (Australia, Japan, New Zealand, and Switzerland), which are made pursuant to the export criteria of the Political Principles and of the European Union Code of Conduct on Arms Exports, the German government follows a restrictive licensing policy that seeks to safeguard the peace, prevent armed conflict, and ensure that weapons from Germany are not used to violate human rights. In the coalition agreement of 16 October 2002, the position described above was also confirmed as the policy of the new German government. The share of military equipment in total German exports has been very low for many years. In 2003, the share of actual war weapon exports in total German exports stood at only 0.2%.

The figures for 2003, which show an increase over the (in overall terms very low) pre-year level, do not signify any change in this policy. The German government's restrictive licensing policy cannot be primarily expressed in aggregate export numbers since each and every case must be decided in observance of the above described goals and in the light of its particular characteristics. The German government has no influence on the number of export cases or which export cases are submitted to it by industry for decision. Decisive for the assessment is not the overall amount of licensed values taken together but the individual consideration of each and every case

on the basis of the Political Principles. The values of the licenses issued and the exports undertaken may therefore fluctuate sharply from year to year, depending on the licenses that have been applied for. In 2003, for example, case-by-case consideration of the export of corvettes to South Africa and Malaysia, which the Report has mentioned several times, and which was the prime reason for the increased values in the year on report, led to the conclusion that these countries had a legitimate interest in procuring the corvettes and that this interest conformed to the international interest in secure and patrolled sea lanes.



## Annex 1a

### **Political Principles**

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

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

The Government of the Federal Republic of Germany, desiring

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

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

#### I General Principles

1. The Federal Government's decisions regarding the export of war weapons<sup>1</sup> and other military equipment<sup>2</sup> are made in accordance with the provisions of the War Weapons Control Act and the Foreign Trade and Payments Act as well as the EU Code of Conduct for Arms Exports adopted by the European Council on 8 June 1998<sup>3</sup> and such arrangements as may be agreed subsequently as well as the Principles Governing Conventional Arms Transfers adopted by the Organization for Security and Cooperation in Europe (OSCE) on 25 November 1993. The criteria laid down in the EU Code of Conduct are an integral part of these Policy Principles. The standards stipulated in the Code of Conduct will be superseded by any more stringent standards that may be derived from the following principles:
2. The issue of respect for human rights in the countries of destination and end-use is a key factor in deciding whether or not to grant licences for the export of

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<sup>1</sup> 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)

<sup>2</sup> 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)

<sup>3</sup> enclosed as annex

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 countries<sup>4</sup>, EU member states, countries with NATO-equivalent status<sup>5</sup>

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

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

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

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

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

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<sup>4</sup> Area of application of NATO Treaty, Article 6

<sup>5</sup> Australia, Japan, New Zealand, Switzerland

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 weapons<sup>6</sup> to countries
  - involved in armed conflict or where armed conflict is imminent,
  - where the outbreak of armed conflict is imminent or where such exports would stir up, perpetuate or exacerbate latent tensions and conflicts.

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

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<sup>6</sup> Plant and documentation for the manufacturer of war weapons

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 24 October 2001

### **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).

Note:

See also sub-item 0023a.

**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.

Technical Note:

Hand-held devices, limited by design solely to the detection of metal objects and incapable of distinguishing between mines and other metal objects, are not considered to be specially designed for the detection of items controlled by sub-item 0004a.

**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 sub-item 0023b and 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 C<sub>10</sub>, including cycloalkyl), O-2-dialkyl (Methyl, Ethyl, n-Propyl or Isopropyl) aminoethyl alkyl (Methyl, Ethyl, n-Propyl or Isopropyl) phosphonite and corresponding alkylated or protonated salts, such as QL: O-Ethyl-2-di-isopropylaminoethyl methyl phosphonite (CAS 57856-11-8);**

3. **Chlorosarin: O-Isopropyl methylphosphonochloridate (CAS 1445-76-7);**
  4. **Chlorosoman: O-Pinakolyl methylphosphonochloridate (CAS 7040-57-5);**
- c) **Tear gases and riot control agents including:**
1. **CA: Bromobenzyl cyanide (CAS 5798-79-8);**
  2. **CS: o-Chlorobenzylidenemalononitrile (CAS 2698-41-1);**
  3. **CN: ω-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 C<sub>10</sub>, 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 C<sub>10</sub>, 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 C<sub>10</sub>, 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 0007e 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 (CAS 506-77-4);
  - b) hydrocyanic acid (CAS 74-90-8);
  - c) chlorine (CAS 7782-50-5);



- d) carbonyl chloride (phosgene) (CAS 75-44-5);
  - e) trichloromethyl chloroformate (diphosgene) (CAS 503-38-8);
  - f) ethyl bromoacetate (CAS 105-36-2);
  - g) xylyl bromide, ortho: (CAS 89-92-9), meta: (CAS 620-13-3), para: (CAS 104-81-4);
  - h) benzyl bromide (CAS 100-39-0);
  - i) benzyl iodide (CAS 620-05-3);
  - j) bromo acetone (CAS 598-31-2);
  - k) cyanogen bromide (CAS 506-68-3);
  - l) bromo methylethylketone (CAS 816-40-0);
  - m) chloro acetone (CAS 78-95-5);
  - n) ethyl iodoacetate (CAS 623-48-3);
  - o) iodo acetone (CAS 3019-04-3);
  - p) chloropicrin (CAS 76-06-2).
4. The technology, cultures of cells and biological systems listed in sub-items 0007g, 0007h2 and 0007i3 are exclusive and these sub-items do not control technology, cells or biological systems for civil purposes, such as agricultural, pharmaceutical, medical, veterinary, environmental or in the food industry.
  5. Sub-item 0007c does not control tear gases or riot control agents individually packaged for personal self defence purposes.
  6. Sub-items 0007d, 0007e and 0007f control equipment specially designed or modified for military purposes (i.e. the equipment meets the requirements of military standards).
  7. See also Part I C, Item 1A004.
  8. For precursors for the preparation of toxicological agents see Part I C, Item 1C350.
  9. For related biological agents see Part I C, Items 1C351 to 1C354. The biological agents referred to therein are only controlled by sub-item 0007a, if they correspond to the term 'adapted for use in war'.

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

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

Note:

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

**a) Substances, as follows, and mixtures thereof:**

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

2. metal fuels in particle form (whether spherical, atomised, flaked or ground), manufactured from material consisting of 99 percent or more of any of the following:
  - a) Metals and mixtures thereof:
    1. Beryllium (CAS 7440-41-7) in particle sizes of less than 60 µm;
    2. iron powder (CAS 7439-89-6) with a particle size of 3 µm or less, produced by the reduction of iron oxide with hydrogen;
  - b) mixtures, which contain any of the following:
    1. Zirconium (CAS 7440-67-7), magnesium (CAS 7439-95-4) and alloys of these in particle sizes of less than 60 µm;
    2. boron (CAS 7440-42-8) or boron carbide (CAS 12069-32-8) of 85 percent or higher purity and particle sizes less than 60 µm;
3. perchlorates, chlorates and chromates composited with powdered metal or other high-energy fuel components;
4. for the controlling of nitroguanidine (NQ) (CAS 556-88-7) see Part I C, Item 1C011d;
5. compounds composed of fluorine and any of the following: other halogens, oxygen, nitrogen;
6. carboranes, decaborane (CAS 17702-41-9), pentaborane and derivatives thereof;
7. cyclotetramethylenetetranitramine (HMX) (CAS 2691-41-0);
8. hexanitrostilbene (HNS) (CAS 20062-22-0);
9. diaminotrinitrobenzene (DATB) (CAS 1630-08-6);
10. triaminotrinitrobenzene (TATB) (CAS 3058-38-6);
11. triaminoguanidinenitrate (TAGN) (CAS 4000-16-2);
12. titanium subhydride of stoichiometry TiH 0.65-1.68;
13. dinitroglycoluril (DNGU, DINGU) (CAS 55510-04-8), tetranitroglycoluril (TNGU, SORGUYL) (CAS 55510-03-7);
14. tetranitrobenzotriazolobenzotriazole (TACOT) (CAS 25243-36-1);
15. diaminohexanitrodiphenyl (DIPAM) (CAS 17215-44-0);
16. picrylamino dinitropyridine (PYX) (CAS 38082-89-2);
17. 3-nitro-1,2,4-triazol-5-one (NTO or ONTA) (CAS 932-64-9);
18. hydrazine (CAS 302-01-2) in concentrations of 70 percent or more, hydrazine nitrate (CAS 37836-27-4), hydrazine perchlorate (CAS 27978-54-7), unsymmetrical dimethyl hydrazine (CAS 57-14-7), monomethyl hydrazine (CAS 60-34-4) and symmetrical dimethyl hydrazine (CAS 540-73-8);
19. ammonium perchlorate (CAS 7790-98-9);
20. cyclotrimethylenetrinitramine (RDX) (CAS 121-82-4);
21. hydroxylammonium nitrate (HAN) (CAS 13465-08-2), hydroxylammonium perchlorate (HAP) (CAS 15588-62-2);

22. 2-(5-cyanotetrazolato) penta amine-cobalt (III) perchlorate (CP) (CAS 70247-32-4);
  23. cis-bis (5-nitrotetrazolato) tetra amine-cobalt (III) perchlorate (BNCP);
  24. 7-amino-4,6-dinitrobenzofurazane-1-oxide (ADNBF) (CAS 97096-78-1), aminodinitrobenzofuroxane;
  25. 5,7-diamino-4,6-dinitrofurazan-1-oxide (CL-14) (CAS No. 117907-74-1) or amino dinitrobenzofuroxan;
  26. 2,4,6-trinitro-2,4,6-triazacyclohexanone (K-6 or Keto-RDX) (CAS 115029-35-1);
  27. 2,4,6,8-tetranitro-2,4,6,8-tetraazabicyclo [3,3,0]-octanone-3 (CAS 130256-72-3) (tetranitrosemiglycoluril, K-55 or keto-bicyclic HMX);
  28. 1,1,3-trinitroazetidine (TNAZ) (CAS 97645-24-4);
  29. 1,4,5,8-tetranitro-1,4,5,8-tetraazadecalin (TNAD) (CAS 135877-16-6);
  30. hexanitrohexaazaisowurtzitane (CAS 135285-90-4) (CL-20 or HNIW) and clathrates of CL-20;
  31. polynitrocubanes with more than four nitro groups;
  32. ammonium dinitramide (ADN or SR 12) (CAS 140456-78-6);
  33. trinitrophenylmethylnitramine (tetryl) (CAS 479-45-8);
- b) explosives and propellants that meet the following performance parameters:
1. Any explosive with a detonation velocity exceeding 8,700 m/s or a detonation pressure exceeding 34 GPa (340 kbar);
  2. other organic explosives not listed in Item 0008, yielding detonation pressures of 25 GPa (250 kbar) or more that will remain stable at temperatures of 523 K (250 °C) or higher for periods of 5 minutes or longer;
  3. any other United Nations (UN) Class 1.1 solid propellant not listed in Item 0008, with a theoretical specific impulse (under standard conditions) of more than 250 seconds for non-metallised, or more than 270 seconds for aluminised compositions;
  4. any other United Nations (UN) Class 1.3 solid propellants not listed in Item 0008, with a theoretical specific impulse of more than 230 seconds for non-halogenised, 250 seconds for non-metallised and 266 seconds for metallised compositions;
  5. any other gun propellants not listed in Item 0008 having a force constant of more than 1,200 kJ/kg;
  6. any other explosive, propellant or pyrotechnic not listed in 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, nitraza or difluoramino groups;**
  14. **FPF-1: Poly-2,2,3,3,4,4-hexafluoropentane-1,5-diol formal;**
  15. **FPF-3: Poly-2,4,4,5,5,6,6-heptafluoro-2-tri-fluoromethyl-3-oxaheptane-1,7-diol formal;**
  16. **glycidylazide polymer (GAP) (CAS 143178-24-9) and its derivatives;**
  17. **hexabenzylhexaazaisowurtzitane (HBIW) (CAS 124782-15-6);**
  18. **hydroxyl terminated polybutadiene (HTPB) with a hydroxyl functionality equal to or greater than 2.2 and less than or equal to 2.4, a hydroxyl value less than 0.77 meq/g, and a viscosity at 303 K (30 °C) of less than 47 poise (CAS 69102-90-5);**
  19. **superfine iron oxide (Fe<sub>2</sub>O<sub>3</sub> hematite) with a specific surface area greater than 250 m<sup>2</sup>/g and an average particle size of 0.003 μm or less (CAS 12309-37-1);**
  20. **lead beta-resorcylate (CAS 20936-32-7);**
  21. **lead stannate (CAS 12036-31-6), lead maleate (CAS 19136-34-6), lead citrate (CAS 14450-60-3);**

22. lead-copper-chelates of beta-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. polyglycidynitrate 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 (HNF<sub>2</sub>);
  - 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.**

Note:

See also sub-item 0023d1.

**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 electromagnetic 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 0012 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.

Supplementary Note:

See also sub-item 0023c.

**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  $\mu$ 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.**

Note:

See also sub-item 0023d2.

**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.**
- n) Test models specially designed for the "development" of items controlled by ML4., ML6., ML9. or ML10.;**

Technical Note:

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

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

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

Notes:

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

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

1. Driven by a motor or motors having a total rated horsepower of more than 298 kW (400 hp);
  2. capable of carrying a payload of 113 kg or more; or
  3. capable of exerting a centrifugal acceleration of 8 g or more on a payload of 91 kg or more ( $g = 9.81 \text{ m/s}^2$ );
- 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 (HNF<sub>2</sub>), 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 (C<sup>3</sup>I) or Command, Communications, Control, Computer and Intelligence (C<sup>4</sup>I) 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.

**0023 Security and para-military equipment, except those specified in items 0001 to 0022, as follows:**

- a) **smooth-bore weapons of semi-automatic or pump-action type and specially designed components and accessories therefor;**

Note:

Sub-item 0023a controls only weapons capable of firing more than three shots before re-loading.

- b) **Ground vehicles: all wheel-drive vehicles capable of off-road use which have been manufactured or fitted with metallic or non-metallic materials to provide ballistic protection;**

Note:

Sub-item 0023b does not include vehicles for transportation of valuables and funds.

- c) **Simulators: simulators specially designed or represented by the manufacturers as suitable for training in the use of any firearm or weapon covered by provisions of the common list, and specially designed or modified components or accessories therefor;**

- d) **Other equipment, as follows;**

1. **Ferries, rafts not covered by item 9 and components therefor, specially designed or modified for military use,**
2. **Forging, castings and semi-finished products specially designed for weapons controlled by sub-item 0023a,**
3. **Ammunition and cartridges, including projectiles, for weapons controlled by sub-item 0023a and specially designed components therefor.**

## **Annex 2b**

### **WAR WEAPONS LIST**

#### **Part A**

#### **War Weapons**

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

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

#### **Part B**

#### **Other War Weapons**

##### ***I. Projectiles***

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

##### ***II. Combat Aircraft and Helicopters***

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

16. Jet, turboprop and rocket engines for the weapons referred to in item 13

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

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

### ***IV. Combat Vehicles***

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

### ***V. Barrel Weapons***

29.
    - a) Machine guns, except those with water cooling;\*)
    - b) machine pistols, except those introduced as a model in a military armed force before September 2, 1945;
    - c) fully automatic rifles, except those introduced as a model in a military armed force before September 2, 1945;
    - d) semiautomatic rifles, except those introduced as a model in a military armed force before September 2, 1945, and rifles for hunting and sporting purposes
  30. Machine guns, rifles, pistols for combat grenades
  31. Cannons, howitzers, any kind of mortars
-

32. Automatic cannons
33. Armored self-propelled guns for the weapons enumerated in items 31 and 32
34. Barrels for the weapons referred to in items 29, 31 and 32
35. Breech blocks for weapons referred to in items 29, 31 and 32
36. Revolving breeches for automatic cannons

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

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

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

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

***VIII. Other Ammunitions***

49. Ammunition for the weapons listed in items 31 and 32
50. Ammunition for the weapons listed in item 29 except cartridge ammunition having a soft core projectile with full casing, if
  1. the projectile does not contain any accessoires, particularly a flare, incendiary or explosive charge,

2. cartridge ammunition of the same caliber is used for hunting and sporting purposes

- 51. Ammunition for weapons referred to in item 30
- 52. Ammunition for the weapons listed in items 37 and 39
- 53. Rifle grenades
- 54. Projectiles for the weapons enumerated in items 49 and 55
- 55. Propelling charges for the weapons specified in items 49 and 52

***IX. Other Essential Components***

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

***X. Dispensers***

- 61. Dispensers for the systematic distribution of submunition

***XI. Laser Weapons***

- 62. Laser weapons specially designed for causing permanent blindness

### Arms Embargoes in Force in 2003

Country	Date	Legal Basis
Armenia and Azerbaijan	29 July 1993	UN SC Resolution No. 853
China	27 June 1989	Declaration of the European Council
Democratic Republic of Congo (Zaire)	07 April 1993	Declaration of the European Council
	21 October 2002	EU Council Common Position (2002/829/CFSP)
	28 July 2003	UN SC Resolution No. 1493
	29 September 2003	EU Council Common Position (2003/680/CFSP)
Iraq	06 August 1990	UN SC Resolution No. 661
	22 May 1990	UN SC Resolution No. 1483
Liberia	19 November 1992	UN SC Resolution No. 788
	07 March 2001	UN SC Resolution No. 1343
	06 May 2003	UN SC Resolution No. 1478
	07 May 2001	EU Council Common Position (2001/357/CFSP)
	19 May 2003	Last extended to 7 May 2004 (2003/365/CFSP)
Libya <sup>*)</sup>	31 March 1992 11 November 1993	UN SC Resolution No. 748 and 883
	27 August 1998	Suspended by UN SC

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<sup>\*)</sup> Rescinded by the 11 October 2004 Decision of the EU Council

Resolution No. 1192

	16 April 1999	Suspension of the embargo; however, continuation of the weapons embargo by EU Council Common Position (1999/261/CFSP)
Myanmar (Burma)	28 October 1996	EU Council Common Position (96/635/CFSP)
	28 April 1993	Last extended to 29 April 2004 (2003/297/CFSP)
Rwanda	17 May 1994	UN SC Resolution No. 918
Sierra Leone	05 June 1998	UN SC Resolution No. 1171
	29 June 1998	EU Council Common Position (98/409/CFSP)
Somalia	23 January 1992	UN SC Resolution No. 733
	10 December 2002	EU Council Common Position (2002/960/CFSP)
Sudan	15 March 1994	EU Council Common Position (94/165/CFSP)
Countries of the former Yugoslavia (Bosnia and Herzegovina, Croatia, Federal Republic of Yugoslavia with Serbia and	31 March 1998	UN SC Resolution No. 1160 <sup>**)</sup>
	26 February 1996	EU Council Common Position (96/184/CFSP)

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<sup>\*\*)</sup> This UN weapons embargo did not have to be implemented by the European Union since the EU of its own accord continued to impose the weapons embargo enacted under UN SC Resolution No. 713 of 25 September 1991 (that the UN allowed to expire in 1996).



Montenegro)	19 July 1999	Confirmed by Council Decision (1999/481/CFSP)
	20 November 2000	EU Council Common Position (2000/722/CFSP) Croatia deleted
	08 October 2001	Revision of the Common Position (96/184/CFSP): Deletion of the Federal Republic of Yugoslavia by Common Position (2001/719/CFSP)
Zimbabwe	18 February 2002	EU Council Common Position (2002/145/CFSP)
	18 February 2003	Extended to 20 February 2004 (2003/115/CFSP)



## Exports

## REPORT OF INTERNATIONAL CONVENTIONAL ARMS TRANSFERS

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

Reporting country: GERMANY

Calendar year: 2003

A	B	C	D	E	REMARKS	
Category I through VII	Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location	Description of item	Comments on the transfer
I Battle tanks	Denmark Finland Greece Poland Spain	9 124 82 87 <sup>68</sup> 1			Leopard 2 Leopard 2 Leopard 1 Leopard 2 Leopard 2	
II Armoured combat vehicles	Romania Austria Lithuania <sup>69</sup>	6 29 <sup>70</sup>			FlakPz Gepard Jaguar	27 of them may be used as spare parts
III Large calibre artillery systems	Greece Italy Estonia	10 2 4			PzH 2000 PzH 2000 FH 70	
IV Combat aircraft	Poland	9			MiG 29	
V Attack helicopters		nil				

<sup>68</sup> Total number of 128 items in 2002 and 2003<sup>69</sup> Final importer state will report import of 21 items of "M113" which are already included in Germany's report in 2003 due to a different transfer definition<sup>70</sup> Final importer state may report a different number of items due to different national legislation

VI	Warships	Egypt Egypt Egypt South Africa	4 1 1 2 <sup>71</sup>		
VII	Missiles and missile launchers		nil		

fast patrol boat 148 Versorger KL 760 Versorger KL 701 Patrol Corvette MEKO A-200 SAN	

Background information provided:  yes  no

<sup>71</sup> Final importer state may report a different number of items due to a different transfer definition

## ANNEX 5

### EU Countries

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
Austria	266	0001	18,075,166					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0010						
		0011						
		0013						
		0014						
		0016						
Belgium	238	0001	21,650,252					
		0003						
		0005						
		0006						
		0007						
		0008						
		0010						
		0011						
		0013						
		0015						
0016								
0017								

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0018 0021 0022						
Denmark	148	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022 0023	15,019,278					
Finland	97	0001 0002 0003 0005 0006 0008 0009 0010 0011 0013 0014 0016 0017	18,900,158					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0018 0021 0022						
France	542	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022	149,556,173					
Greece	202	0001 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016	462,138,992					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0017 0018 0021 0022						
Ireland	32	0001 0003 0004 0006 0007 0008 0013 0021 0022	7,886,122					
Italy	598	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022 0023	182,516,072					
Luxembourg	49	0001 0002 0004	35,096,462					



Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0005 0006 0007 0010 0011 0018						
Netherlands	583	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022 0023	354,624,532					
Portugal	61	0001 0002 0003 0007 0008 0009 0010 0011 0017 0018	4,229,656					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0022						
Spain	551	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022	359,459,183					
Sweden	278	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017	29,066,230					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0018 0021 0022						
United Kingdom	867	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022	233,756,600					
Total	4,512		1,891,974,876		0			

**NATO and NATO-Equivalent Countries**

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
Australia	231	0001	19,819,114					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0009						
		0010						
		0011						
		0013						
		0015						
		0016						
Canada	261	0001	17,861,310					
		0002						
		0003						
		0004						
		0005						
		0006						
		0007						
		0008						
		0010						
		0011						
0013								
0014								
0015								
0016								

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0017 0018 0021 0022 0023						
Czech Republic	345	0001 0003 0005 0006 0007 0008 0011 0013 0014 0015 0016 0017 0018 0021 0022 0023	6,595,257					
Hungary	193	0001 0002 0003 0005 0006 0007 0008 0010 0011 0013 0014 0015 0016 0017 0018	10,678,114					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0021 0023						
Iceland	27	0001 0003 0018 0023	67,056					
Japan	156	0001 0002 0003 0004 0007 0008 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022 0023	8,059,219					
Liechtenstein	17	0001 0003 0015 0016 0018	189,826					
New Zealand	82	0001 0002 0003 0004 0005 0009 0010 0011	1,366,984					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0013 0022 0023						
Norway	384	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0016 0017 0018 0021 0022 0023	96,079,061					
Poland	293	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015	23,601,322					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0016 0017 0018 0021 0022 0023						
Switzerland	1.174	0001 0002 0003 0004 0005 0006 0007 0008 0010 0011 0013 0014 0015 0016 0017 0018 0021 0022 0023	242,520,084					
Turkey	211	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011	440,301,898					



Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0013 0014 0015 0016 0017 0018 0021 0022 0023						
USA	969	0001 0002 0003 0004 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0017 0018 0019 0021 0022 0023	492,075,202					
Collective export licenses	95	0004 0005 0009	1,327,991,000					
NATO and NATO		0010 0016						

<b>Country</b>	<b>No. of Licenses</b>	<b>EL Item</b>	<b>Total Value (€)</b>	<b>EL Merchandise as Percentage of Total Value</b>	<b>Denials of Final Exports</b>	<b>EL Item</b>	<b>Total Value (€)</b>	<b>No. of Denials/Reasons EL Item</b>
equivalent countries		0021 0022						
<b>Total</b>	4,438		2,687,205,447		0			

**Third Countries**

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
Afghanistan	7	0006 0023	4,042,679	Trucks (0006/53.1%);  Cross-country vehicles (0023/46.9%)				
Albania	1	0013	17,175	Ballistic body armor vests, incl. parts				
Algeria	6	0006 0011 0015 0017 0021	1,027,806	VHF/UHF transceivers and Parts for transceivers (0011/87.9%);				
Andorra	28	0001 0003 0016 0023	333,486	Rifles and carbines (not war weapons), hunting and sporting rifles and Parts for revolvers, pistols, hunting and sporting rifles (0001/72.2%);  Ammunition for hunting and sporting weapons, revolvers and pistols, and Explosive stores for hunting and sporting weapons (0003/26.4%)	4	0001 0023	4,472	3  Criterion 7 / 0001, 0023
Argentina	15	0001 0009 0011 0018	90,913	Parts for frigates, submarines, and sonar sounding sets (0009/57.1%);  Parts for communication equipment (0011/39.6%).				
Aruba	1	0001	10,085	Rifles and carbines (incl. war weapons) and sub-machine guns				
Bahrain	10	0001 0004 0007 0008 0009 0023	2,108,549	Parts for patrol boots (0009/71.1%);  Cross-country vehicles (0023/19.5%)				
Bangladesh	2	0011 0013	96,009	Parts for VHF/FM transceivers (0011/98.8%)	1	0023	495	1

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
								Criterion 7 / 0023
Belarus	43	0001 0003 0006 0023	272,797	Hunting and sporting rifles, weapon sighting units, and Parts for, hunting and sporting rifles (0001/60.7%);  Ammunition for hunting and sporting weapons, incl. parts (0003/16.8%)  Drive chains for armored vehicles (0006/15.2%);				
Bosnia-Herzegovina	1	0004	7,000	Explosive charges and fuze elements	2	0001 0018	15,973	
Botswana	14	0001 0004 0006	871,197	Parts for protected vehicles and other vehicles (0006/83.6%).  Simulator ammunition and flares (0004/10.3%)				
Brazil	51	0001 0003 0004 0006 0009 0010 0011 0013 0016 0018 0021 0022	18,474,388	HF/VHF transceivers and Parts for head-up displays and communications equipment (0011/58.0%);  Parts for submarines (0009/27.6%);				
Brunei	2	0013 0017	36,309	Protective headgear (0013/94.8%)				
Bulgaria	38	0001 0003 0008	5,716,604	Design and construction documents for mounts and turret systems, definition documents for patrol boots (0022/91.8%)	2	0001	11,888	1  Criterion 7 /

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0018 0022 0023						0001
Burkina Faso	1	0006	1,000	Trucks				
Burundi	2	0023	426,800	Cross-country vehicles				
Cambodia	2	0023	520,680	Cross-country vehicles				
Chile	59	0001 0002 0003 0004 0006 0009 0011 0014 0017 0018 0021 0022	7,702,077	Parts for tanks and armored vehicles (0006/34.4%);  Smoke grenades and Parts for torpedoes (0017/24.3%);  Loading station for torpedo training batteries (0014/11.2%);  Maintenance and repair equipment for tanks, components for camouflage paint, and Parts for diving apparatus (0017/9.3%);  Ammunition for hunting and sporting weapons and explosive stores for hunting and sporting weapons and mortars (0003/7.3%)				
China, People's Republic	10	0008 0011 0014 0021	1,096,261	Parts for human centrifuge systems for astronaut training (0014/48.2%);  HF/VHF transceivers, sea gravimeters (oceanographic measurement instruments), and Parts for communications equipment (0011/39.5%).				1  Criterion 1a / 0011
Colombia	5	0009 0011	2,999,153	Parts for submarines, corvettes, and sonar devices (0009/50.8%);  Electrical power supply units for	1	0016	124,080	3  Criteria 2, 3 / 0001, 0016

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
				submarines (0011/49.2%);				
Costa Rica	1	0001	948	Hunting and sporting rifles, incl. parts	1	0001	1,340	1 Criterion 7 / 0001
Croatia	32	0001 0003 0004 0006 0008 0014 0016 0017 0021	1,334,500	Rifles and carbines (incl. war weapons), revolvers, pistols, submachine guns, hunting and sporting rifles, and Parts for revolvers, pistols, hunting and sporting rifles (0001/47.5%);  Mine clearing vehicle (0006/36.7%);  Weapon training equipment (0014/4.9%)	1	0001	2,705	
Cyprus South	4	0001 0002 0006 0014	739,950	Parts for weapon sighting units (0009/51.8%);  Sub caliber training ammunition (0014/48.0%)				
Dominican Republic					2	0001	176,128	1 Criterion 7 / 0001
East Timor	1	0013	35,178	Ballistic body protection vests and protective headgear				
Ecuador	2	0004 0009	1,084,304	Parts for submarines (0009/92.2%);				1 Criteria 2, 7 / 0001
Egypt	87	0001 0003 0004 0006 0008 0009 0011	41,148,948	Fast patrol boats, ammunition transporters, and Parts for submarines (0009/36.1%);  Production drawings for bridge layer parts (0022/23.1%);	3	0001 0018 0023	41,068	2 Criterion 7 / 0001, 0023

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0014 0015 0016 0017 0021 0022 0023		Parts for armored vehicles (0006/22.9%);  Ammunition for rifles, hunting and sporting weapons, revolvers, pistols, etc. (0003/6.6%)				
Estonia	39	0001 0002 0003 0004 0006 0007 0011 0014 0015 0017 0018 0023	43,190,528	Coastal surveillance radars and communications equipment (0011/64.0%);  Guided weapons, mine destruction charges, and equipment for operating guided weapons (0004/18.9%);  Field howitzer (0002/15.7%)	4	0001 0003	97,000	3  Criterion 7 / 0001, 0003
Gabon	3	0001 0003 0006	510,257	Trucks, recovery and towing vehicle (0006/99.9%)				
Gibraltar	1	0023	672,900	Cross-country vehicles				
Greenland	2	0001	18,336	Hunting rifles				
Guatemala					1	0001	4,365	1  Criterion 2 / 0001
Guyana					1	0001	3,798	2  Criteria 2, 7 / 0001
India	114	0001 0002 0003 0004	40,086,989	Parts for tanks and mine clearing equipment (0006/58.2%);  Production equipment for anti-tank rockets,	1	0003	680	2  Criteria 4, 7 / 0003

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		0005 0006 0007 0008 0009 0010 0011 0016 0017 0018 0021 0022		transmissions, and helicopter parts (0018/11.3%);  Parts for multirole helicopters (0009/9.6%);  NBC protective ventilation system for navy, chemical-protective garments, irritants, and Parts for chemical measurement equipment (0007/7.6%);				
Indonesia	20	0001 0009 0010 0011 0013 0021 0023	17,104,565	Parts for submarines supplied by Germany, surveillance vehicles, sonar equipment and navigation equipment (0009/72.1%).  Software for simulation and training equipment (00021/27.2%)				
Iraq	4	0001 0023	1,555,839	Cross-country vehicles (0023/94.9%) for workers involved in humanitarian aid and for an embassy	1	0023	108,900	
Iran					2	0006 0008	600,060	2  Criteria 2, 4, 7 / 0006, 0013
Israel	170	0001 0002 0003 0004 0005 0006 0007 0008 0009	131,567,362	Tank (museum piece), loan of two anti-aircraft missile systems and Parts for trucks and other ground vehicles (0006/83.6%);  Production data for transmission accessories, tank and engine parts, technical documents on helicopter parts and vessels (022/6.3%)	2	0001	9,681	



Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0010 0011 0013 0016 0017 0018 0022 0023						
Jamaica					1	0001	11,950	1 Criteria 3, 7 / 0001
Jordan	14	0001 0007 0010 0011 0013 0014 0023	3,680,963	Firing simulator for tanks (0014/45.6%);  Hunting and sporting weapons, cross-country vehicles, and ammunition for hunting and sporting weapons (0023/18.1%);  Decontamination vehicle and NBC protective suits (0007/16.7%);  Missile-approach warning system (0011/13.3%)				1  Criterion 4 / 0001
Kazakhstan	52	0001 0003 0006 0008	667,655	Revolvers, pistols, sniper rifles, hunting and sporting rifles, silencers, and Parts for revolvers, pistols, sniper rifles, and hunting and sporting rifles (0001/69.3%);  Components for liquid fuels (0008/23.7%)				
Kenya	1	0006	899	Starters for ground vehicles	2	0001 0003	8,046	1  Criterion 7 / 0003
Korea, Republic	206	0001 0002	141,736,157	Parts for tanks, armored vehicles, and other ground vehicles (0006/56.3%);	1	0023	8,000	1

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0003 0004 0005 0006 0007 0008 0009 0010 0011 0014 0015 0016 0017 0021 0022 0023		Navigation equipment and Parts for frigates, submarines, underwater detection equipment, and navigation equipment (0009/24.3%).  Diving apparatus and Parts for bridge systems (0017/4.1%);  Ammunition for anti-tank weapons and Explosive stores for cannons, revolvers, and pistols (0003/3.5%)				Criterion 7 / 0023
Kuwait	39	0001 0003 0004 0006 0007 0010 0011 0013 0021 0023	4,914,609	Smooth-bore weapons, cross-country vehicles, and ammunition for smooth-bore weapons (0023/44.5%);  NBC protective gear, chemical detection equipment, and irritants (0007/23.6%);  Gyroscope-stabilization system, communications gear, and Parts for radar units and communications equipment (0011/23.1%).	1	0023	5,000	1  Criterion 7 / 0023
Kyrgyzstan	1	0003	435	Ammunition for hunting and sporting weapons	1	0001	2,365	
Lao People's Democratic Republic	1	0001	2,050	Sporting pistols and revolvers				
Latvia	82	0001 0003 0004 0007	1,726,128	Revolvers, pistols, sniper rifles, submachine guns, hunting and sporting rifles, weapon sighting units, and Parts for revolvers, pistols, submachine	13	0001 0003 0023	189,979	4  Criterion 7 / 0001, 0003,

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0013 0016 0018 0023		guns, hunting and sporting rifles (0001/50.3%);  Smooth-bore weapons and ammunition for smooth-bore weapons (0023/27.9%);  Decoys (0004/12.8%)				0023
Lebanon	2	0001 0006	5,215	Revolvers and pistols (0001/90.1%);				
Libya	1	0023	1,306,866	Cross-country vehicles				
Lithuania	75	0001 0002 0003 0004 0006 0007 0008 0013 0015 0017 0021 0022 0023	2,547,856	Rifles and carbines (incl. war weapons), revolvers, pistols, sniper rifles, submachine guns, hunting and sporting rifles, flash hider and weapon sighting units, and Parts for rifles and carbines (incl. war weapons), revolvers, pistols, snipe rifles, submachine guns, hunting and sporting rifles (0001/38.3%);  Decontamination gear, chemical detection equipment, and parts for NBC protective gear (0007/15.1%);  Parts for armored vehicles (0006/13.2%);  Smooth-bore weapons, cross-country vehicles, and ammunition for smooth-bore weapons (0023/12.5%);  Software for training simulation system (0021/7,8%)				
Madagascar	5	0006	985,700	Trucks and recovery-crane vehicles				
Malaysia	76	0001 0002 0003 0004	460,710,499	Corvettes, sonar devices, navigation equipment, and Parts for corvettes, mine warfare vessels, sonar devices, and navigation equipment	2	0023	11,188	1  Criterion 7 / 0023

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0005 0006 0007 0009 0010 0011 0014 0016 0017 0018 0021 0022		(0009/76.2%);  Shipborne radar system, magnetic self-protection unit, VHF/UHF transceiver, encryption equipment, maintenance equipment, and Parts for communications equipment, radar systems (0011/10.6%).				
Malta	2	0001	10,620	Rifles and carbines (not war weapons), revolvers, and pistols				
Morocco	11	0001 0006 0010 0011 0013 0022	7,064,301	Trucks and other ground vehicles, incl. parts (0006/49.2%);  Parachutes and Parts for trainer aircraft (0009/37.4%);				
Mauritania								1  Criteria 2, 3 / 0002
Mexico	16	0001 0005 0010 0011 0017 0018 0021 0022	1,699,646	HF direction finder and data processing equipment (0011/56.3%);  Rifles and carbines, submachine guns and accessories, and Parts for rifles and carbines (incl. war weapons), submachine guns, machine guns, sporting pistols and revolvers, and weapon sighting units (0001/23.7%);  Parts for helicopters (0009/5.8%);				
Moldova,	6	0001	1,195	Revolvers and pistols				

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
Republic								
Mongolia	8	0001 0003 0006	24,006	Trucks (0006/50.0%);  Hunting rifles, incl. parts (0001/46.2%)	2	0023	2,495	2  Criterion 7 / 0023
Myanmar								1  Criterion 1a / 0023
Namibia	39	0001 0003 0016 0023	313,643	Revolvers, pistols, and hunting rifles, incl. parts (0001/69.5%);  Ammunition for hunting and sporting weapons, incl. parts (0003/21.7%)	3	0001 0003 0010	462,230	
Nepal					5	0003 0004 0016 0018	402,942	2  Criterion 2 / 0016, 0018
New Caledonia	6	0001	24,165	Hunting rifles and weapon sighting units and Parts for hunting weapons				
Netherlands Antilles	1	0001	7,591	Revolvers and pistols, incl. parts				
Niger	1	0003	8,000	Ammunition for rifles, revolvers, and pistols				
Nigeria	13	0006 0010 0018 0023	3,360,606	Cross-country vehicles (0023/83.2%)  Parts for transport aircraft (0010/9.3%);	4	0006 0010	16,828,658	2  Criterion 4 / 0006
Oman	157	0001 0003 0004 0006 0007 0009 0010	739,961	Trucks and parts (0006/56.4%);  Gyro-compass system (0009/21.6%);  Revolvers, pistols, sniper rifles, submachine guns, hunting and sporting rifles, and Parts for revolvers, pistols, sniper rifles,				

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0011 0014 0016 0017 0022		submachine guns, and hunting rifles (0001/10.0%);				
Pakistan	5	0001 0011 0023	888,796	Spare parts for communications gear and radar equipment previously supplied from Germany (0011/87.1%)	1	0018	120,463	2  Criteria 3, 4 / 0018
Panama								1  Criterion 7 / 0001
Paraguay	4	0001 0003	89,725	Hunting and sporting rifles, incl. parts (0001/64.3%);  Ammunition for hunting and sporting weapons (0003/35.7%)	2	0003	14,500	1  Criterion 7 / 0003
Peru					1	0001	13,206	2  Criteria 4d, 7, 8 / 0001, 0006
Philippines	1	0013	22,433	Armor plate				
Qatar	14	0001 0003 0006 0007 0011 0023	273,441	Decontamination equipment and NBC protective gear (0007/51.3%);  Revolvers and pistols, incl. parts (0001/24.1%);  Measuring and test equipment and Parts for secondary radar system, communications equipment, and navigation systems (0011/15.7%);				
Romania	129	0001 0003	28,360,616	Self-propelled armored air defense gun systems and tow truck (0006/88.2%).	3	0023	2,158	2

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		0006 0007 0008 0009 0010 0011 0013 0015 0016 0022 0023						Criterion 7 / 0023
Russian Federation	274	0001 0003 0008 0013 0017 0018 0022 0023	11,350,378	Rifles and carbines (not war weapons), revolvers, pistols, hunting and sporting rifles and weapon sighting devices, and Parts for revolvers, pistols, hunting and sporting rifles (0001/44.4%);  Production data for chassis parts (0022/35.2%);  Cross-country vehicles and ammunition for smooth-bore weapons (0023/9.2%)	4	0001 0022	42,257	
San Marino	21	0001 0003	35,621	Rifles and carbines (not war weapons), revolvers, pistols, sniper rifles, hunting and sporting rifles, and Parts for rifles and carbines (incl. war weapons), revolvers, pistols, sniper rifles, hunting and sporting rifles (0001/82.8%);  Ammunition for rifles, hunting and sporting weapons, revolvers and pistols, and Explosive stores for hunting and sporting weapons, revolvers, and pistols (0003/17.2%)				
Saudi Arabia	142	0001 0002	43,699,441	Parts for radio reconnaissance units and electronic warfare (0011/31.5%);				

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0003 0005 0006 0007 0008 0009 0010 0011 0013 0014 0015 0016 0018 0021 0022 0023		Parachutes and Parts for combat aircraft, mobile maintenance test rig (0010/23.1%);  Production equipment for small firearms, machine cannons for aircraft, and ammunition; test apparatus for aircraft engines (0018/20.0%);  Parts for patrol boots (0009/7.1%);  Forging blanks (0016/6.2%)				
Senegal					1	0003	11,894	1  Criterion 3 / 0003
Serbia and Montenegro	13	0001 0003 0013 0017 0023	403,640	Cross-country vehicles (0023/55.2%)  Pistols, submachine guns, hunting and sporting rifles, weapon sighting units, and Parts for pistols, submachine guns, and hunting and sporting rifles (0001/22.9%);  Ammunition for rifles, revolvers, pistols, and grenade launchers (0003/17.7%) for the United Nations	1	0003	23,700	1  Criterion 3 / 0001
Singapore	100	0001 0002 0003 0004 0005 0006	44,838,674	Anti-tank weapons and grenade launchers (0002/52.2%);  Bridge system, camouflage suits, camouflage paint, and parts for diving apparatus and bridge systems	3	0003 0022 0023	2,276,448	



Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0007 0008 0009 0011 0013 0014 0016 0017 0018 0021 0022		(0017/11.5%);  Piloting and diving trainers for submarines (0014/10.8%);  Technical documents for the adaptation of a fire control system and for signature reduction, Technical documents for bid submission, for communications equipment, and Documents for developing ballistic shelters (0022/7.5%);  Communications equipment, test and monitoring gear, electronic assemblies, and parts for communications equipment, head-up displays, electricity supplies, and radar units (0011/5.3%);				
Slovakia	138	0001 0003 0004 0006 0007 0008 0010 0011 0013 0015 0016 0018 0022 0023	3,753,662	Rocket containers with training rockets and rocket parts (0004/51.3%);  Rifles and carbines (not war weapons), revolvers, pistols, submachine guns, hunting and sporting rifles, sporting pistols, and Parts for rifles and carbines (not war weapons), revolvers, pistols, submachine guns, hunting and sporting rifles (0001/28.1%);  Thermal imaging equipment, incl. parts (00015/8.7%)	1	0023	2,300	1  Criterion 7 / 0023
Slovenia	104	0001 0002 0003 0004	2,912,427	Smoke grenades (0004/34.0%)  Parts for armored vehicles (0006/28.2%);	6	0001 0023	4,304	5  Criterion 7 / 0001, 0023

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0006 0008 0013 0017 0018 0023		Rifles and carbines (incl. war weapons), revolvers, pistols, sniper rifles, submachine guns, hunting and sporting rifles, sporting pistols and revolvers, and Parts for rifles and carbines (incl. war weapons), revolvers, pistols, sniper rifles, submachine guns, hunting and sporting rifles, and sporting pistols and revolvers (0001/17.2%);  Ammunition for hunting and sporting weapons, revolvers, pistols, and grenade launchers, and Explosive stores for hunting and sporting weapons and grenade launchers (0003/12.4%)				
Sri Lanka	2	0001 0017	22,221	Diving apparatus (0017/89.2%)				
South Africa	148	0001 0003 0004 0006 0007 0008 0009 0010 0011 0013 0016 0017 0018 0021 0022 0023	427,852,065	Corvettes and Parts for corvettes and sonar systems (0009/98.6%)	1	0001	5,313	
Syria, Arab Republic	1	0006	765,376	Mobile antenna support systems for public mobile communications network				

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
Tanzania United Republic	11	0001	2,360	Revolvers and pistols				
Thailand	148	0001 0002 0003 0004 0005 0006 0009 0010 0011 0013 0014 0018 0021 0022	31,168,759	Fire control instruments for patrol boats and night vision sights (0005/66.1%);  Software for command and control and weapon delivery systems and simulation and training gear (0021/13.6%);  Ground equipment and Parts for trainer aircraft and transport helicopters (0010/7.2%);	3	0001	20,091	2  Criterion 7 / 0001
Trinidad and Tobago					3	0001	17,510	2  Criteria 2, 3, 7 / 0001
Tunisia	6	0006 0008 0011 0018	239,544	Communications gear, incl. parts (0001/89.9%)				
Turkmenistan	1	0023	825,346	Cross-country vehicles				
Ukraine	96	0001 0003 0007 0018 0023	1,933,806	Hunting and sporting rifles, incl. parts (0001/84.1%);  Ammunition for hunting and sporting weapons, revolvers and pistols, and Explosive stores for hunting and sporting weapons (0003/10.5%)	3	0006 0010 0016	107,000	1  Criterion 7 / 0006
United Arab Emirates	102	0001 0002 0003	49,158,904	Low-bed semi-trailers and Parts for tanks and armored self-propelled howitzers (0006/34%);	1	0001	3,700	

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0004 0005 0006 0008 0009 0010 0011 0014 0015 0016 0018 0021 0022 0023		Parts for fire control instruments and target classification systems (0005/22.7%);  Ammunition for rifles, hunting and sporting weapons, revolvers, pistols, howitzers, machine cannons, grenade launchers, and Explosive stores for mortars (0003/14.7%)  Simulation systems for infantry training (0014/6.2%);  Positioning and localization system, VHF/UHF transceiver, and Parts for communications equipment, radar units, navigation systems, communications jammers, electricity supplies, and head-up displays (0011/5.5%);  Parts for fast patrol boats (0009/5.1%);				
Uzbekistan	1	0015	2,675	Night vision goggles				
Venezuela	1	0006	225,254	Parts for trucks				1  Criteria 2, 3, 7 / 0003
Vietnam	4	0003 0007 0011 0021	566,640	Communications gear, incl. parts (0011/94.6%)	2	0015 0022	3,525,000	2  Criteria 2, 4 / 0015, 0022
Yemen					1	0001	35,363	1  Criterion 7 / 0001
Zambia	8	0001 0003	296,872	Trucks and recovery vehicles (0006/96.5%).	1	0001	1,390	1

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons EL Item
		0006						Criterion 7 / 0001
Taiwan	22	0001 0003 0004 0006 0008 0009 0011 0013 0016 0017 0022	6,771,843	Parts for underwater detection equipment and gyro-compass systems (0009/33.5%)  Computer systems, incl. parts (0011/19.7%)  Forging blanks (0006/14.8%);  Decoy cartridges (0004/12.9%)  Components for fuels and propellant charges (laboratory chemicals) (0008/9.8%)	1	0016	640	2  Criterion 4 / 0011, 0016
Hong Kong	14	0001 0008 0017 0021	67,336	Rifles and carbines (incl. war weapons), revolvers, pistols, submachine guns, weapon sighting units, and Parts for rifles and carbines (incl. war weapons), revolvers, pistols, submachine guns (0001/87.4%)				
Macau					1	0003 0023	51,900	1  Criterion 7 / 0003, 0023
Total	3,103		1,612,968,193		104		25,414,623	71

The above cited denials contain, apart from denied license applications, also denied advance inquiries about licensing intensions for a concrete export project and rejected application under the War Weapons Control Act. They may be recognized from discrepancies between the "No. of Denials/Reasons/EL Item" column and the "Denial/Final Exports" column.



### **Outreach Activities Undertaken in 2003 by the German Government in the Field of Export Controls (Military Equipment)**

#### **Conference on Terrorism and Export Control** in Berlin, February 2003:

All EU accession candidates and numerous third countries

#### **Czech Republic**, January and April 2003:

Two visits to Germany's Federal Office of Economics and Export Control by Czech delegations

Licensing procedures and difficulties in implementing statutory provisions

#### **Estonia**, September 2003:

Visit to Estonia by a German delegation

Procedural matters and experience with Estonia's new legislation.

#### **Hungary**, January and October 2003:

Visit by a Hungarian delegation to Germany's Federal Office of Economics and Export Control as part of the EU's "Twinning Light" program

Visit to Hungary by a German delegation (in connection with new Hungarian legislation)

#### **Poland**, October 2003:

Visit to Warsaw by a German delegation

Procedural matters, new Polish legislation, questions of implementation

#### **Slovenia**, February, May, and November 2003:

Visit to Germany's Federal Office of Economics and Export Control by a Slovenian delegation

Practical issues involved in implementation

Participation in two US seminars held in Slovenia

Working group on national control lists

#### **Romania**, spring and October 2003:

Visit to Germany's Federal Office of Economics and Export Control by a Romanian delegation

Procedural issues

Visit to Romania by a German delegation

Ongoing questions in connection with legislation

#### **Russia**, December 2003

Visit to Germany's Federal Office of Economics and Export Control by a Russian delegation

Duties and organization of Germany's Federal Office of Economics and Export Control

Visit to Berlin by a Russian delegation

Export control policy, legislation

#### **Israel**, June 2003

Visit to Germany's Federal Office of Economics and Export Control by an Israeli delegation

Procedural matters concerning the export of military equipment

#### **Ukraine**, December 2003

Visit to Berlin by a delegation from Ukraine

Ongoing issues involving lawmaking and policy in the field of export controls