



Brüssel, den 9. November 2018  
(OR. en)

13586/18

COARM 297  
CFSP/PESC 1026

## VERMERK

---

Absender:	Generalsekretariat des Rates
Empfänger:	Delegationen
Nr. Vordok.:	15734/17 CFSP/PESC 1146 COARM 315
Betr.:	Zwanzigster Jahresbericht gemäß Artikel 8 Absatz 2 des Gemeinsamen Standpunkts 2008/944/GASP des Rates betreffend gemeinsame Regeln für die Kontrolle der Ausfuhr von Militärtechnologie und Militärgütern

---

Die Delegationen erhalten anbei den zwanzigsten Jahresbericht gemäß Artikel 8 Absatz 2 des Gemeinsamen Standpunkts 2008/944/GASP des Rates betreffend gemeinsame Regeln für die Kontrolle der Ausfuhr von Militärtechnologie und Militärgütern, wie ihn der Rat auf seiner 3647. Tagung vom 9. November 2018 angenommen hat.

**ZWANZIGSTER JAHRESBERICHT GEMÄSS ARTIKEL 8 ABSATZ 2 DES  
GEMEINSAMEN STANDPUNKTS 2008/944/GASP DES RATES BETREFFEND  
GEMEINSAME REGELN FÜR DIE KONTROLLE DER AUSFUHR VON  
MILITÄRTECHNOLOGIE UND MILITÄRGÜTERN**

([Jahr]/C [Nummer])

**EINFÜHRUNG**

Gegenstand des vorliegenden Berichts sind Statistiken über Ausfuhrgenehmigungen für konventionelle Waffen und die Ausfuhren dieser Waffen aus EU-Mitgliedstaaten im Kalenderjahr 2017. Er erstreckt sich neben den im Neunzehnten Jahresbericht genannten Maßnahmen auch auf die von der EU und ihren Mitgliedstaaten im Rahmen der Umsetzung des Gemeinsamen Standpunkts 2008/944/GASP des Rates<sup>1</sup> in den Jahren 2017 und 2018 durchgeführten Maßnahmen.

Ferner enthält der Bericht nicht erschöpfende Informationen über Verbringungen von Verteidigungsgütern innerhalb der Union, die unter die Richtlinie 2009/43/EG des Europäischen Parlaments und des Rates zur Vereinfachung der Bedingungen für die innergemeinschaftliche Verbringung von Verteidigungsgütern<sup>2</sup> fallen.

In den Jahren 2017 und 2018 haben die Europäische Union und ihre Mitgliedstaaten den Gemeinsamen Standpunkt 2008/944/GASP des Rates betreffend gemeinsame Regeln für die Kontrolle der Ausfuhr von Militärtechnologie und Militärgütern, der 2008 den seit Juni 1998 geltenden Verhaltenskodex der Europäischen Union für Waffenausfuhren ersetzt hat, weiter umgesetzt.

Folgende Drittländer haben sich den im Gemeinsamen Standpunkt 2008/944/GASP verankerten Kriterien und Grundsätzen offiziell angeschlossen: Albanien, Bosnien und Herzegowina, die ehemalige jugoslawische Republik Mazedonien, Georgien, Island, Kanada, Montenegro und Norwegen. Seit 2012 besteht ein System für den Austausch von Informationen zwischen der EU und bestimmten Drittländern, die sich dem Gemeinsamen Standpunkt angeschlossen haben.

---

<sup>1</sup> ABl. L 335 vom 13.12.2008, S. 99.

<sup>2</sup> ABl. L 146 vom 10.6.2009, S. 1.

Die Förderung wirksamer nationaler Waffenausfuhrkontrollen sowie der Grundsätze und Kriterien des Gemeinsamen Standpunkts 2008/944/GASP in ausgewählten Drittländern wurde im Berichtszeitraum mit der Annahme des Beschlusses (GASP) 2018/101 des Rates<sup>3</sup> fortgeführt; dieser Beschluss ist seinerseits eine Folgemaßnahme zu dem Beschluss (GASP) 2015/2309 des Rates<sup>4</sup>. Auch die Sensibilisierungsmaßnahmen der EU in Bezug auf die Universalisierung und Durchführung des Vertrags über den Waffenhandel wurden durch zahlreiche Maßnahmen im Rahmen des Beschlusses (GASP) 2017/915 des Rates<sup>5</sup> im gleichen Zeitraum erheblich verstärkt.

## **I. UMSETZUNG DES GEMEINSAMEN STANDPUNKTS 2008/944/GASP**

### **1. Umsetzung des Gemeinsamen Standpunkts 2008/944/GASP**

Der Gemeinsame Standpunkt umfasst unter anderem Folgendes: Prüfungskriterien für Ausfuhrgenehmigungsanträge, die Ausdehnung der Kontrollen auf Waffenvermittlungstätigkeiten, Durchführungstransaktionen und immaterielle Technologietransfers, des Weiteren striktere Verfahren zur Förderung der Konvergenz der Ausfuhrpolitik der Mitgliedstaaten durch den Austausch von Informationen zu verweigerten Ausfuhrgenehmigungen sowie Orientierungshilfe in Bezug auf Endverbleibsunterlagen, Transparenz und Berichterstattung.

Die Mitgliedstaaten setzen die Bestimmungen des Gemeinsamen Standpunkts in ihren nationalen Ausfuhrkontrollregelungen um und müssen sicherstellen, dass ihre nationalen Rechts- und Verwaltungsvorschriften dem Gemeinsamen Standpunkt entsprechen. Der Stand der einzelstaatlichen Umsetzung des Gemeinsamen Standpunkts ist der beigefügten Tabelle C zu entnehmen.

---

<sup>3</sup> ABl. L 17 vom 23.1.2018, S. 40.

<sup>4</sup> ABl. L 326 vom 11.12.2015, S. 56.

<sup>5</sup> ABl. L 139 vom 30.5.2017, S. 38.

## *Verweigerungsmittelungen und Konsultationen*

Im Gemeinsamen Standpunkt ist die Mitteilung der Verweigerung einer Genehmigung vorgesehen. Für den Fall, dass ein Mitgliedstaat einen von einem anderen Mitgliedstaat zuvor verweigerten, im Wesentlichen gleichartigen Genehmigungsantrag für eine Transaktion prüft, ist im Gemeinsamen Standpunkt ein Konsultationsprozess vorgesehen. Als Ergebnis der 2015 abgeschlossenen Überprüfung des Gemeinsamen Standpunkts der EU ist 2016 das COARM-Online-Informationssystem mit einer neuen Funktion zur Unterstützung dieses Informationsaustauschs über Verweigerungen und zur Speicherung der Verweigerungen und der diesbezüglichen Konsultationen in der zentralen EU-Datenbank ausgestattet worden. In den Jahren 2017 und 2018 wurden Anpassungen und weitere Verbesserungen am COARM-Online-System vorgenommen, um seine Sicherheit zu erhöhen und einen rascheren und effizienteren Informationsaustausch unter allen an der Waffenausfuhrkontrolle beteiligten nationalen Akteuren zu ermöglichen. Es hat sich bereits erwiesen, dass die Transparenz zwischen den Mitgliedstaaten gegenüber konkreten Endbestimmungsländern und Endverwendern durch dieses System weiter gefördert wird.

Die Zahl der 2017 eingegangenen Verweigerungsmittelungen ist – aufgeschlüsselt nach Bestimmungsland und Kategorie der Militärgüterliste – in Zeile d der beigefügten Tabelle AI angegeben; die Zahl der Konsultationsersuchen, die von den einzelnen Mitgliedstaaten ausgegangen sind bzw. an sie gerichtet wurden, sowie die Zahl der Konsultationen nach Bestimmungsland sind in den Tabellen BI bzw. BII wiedergegeben.

## **2. Benutzerleitfaden**

Der Benutzerleitfaden ist ein überaus wichtiges Instrument, da in ihm die vereinbarten Leitlinien für die Umsetzung der operativen Bestimmungen des Gemeinsamen Standpunkts 2008/944/GASP und für die Auslegung der darin festgelegten Kriterien zusammengefasst sind. In Artikel 13 des Gemeinsamen Standpunkts wird auf den Leitfaden verwiesen.

Er wurde von der Gruppe "Ausfuhr konventioneller Waffen" erstellt und wird gegebenenfalls aktualisiert. Zuletzt wurde er nach Abschluss der Überprüfung des Gemeinsamen Standpunkts 2008/944/GASP im Juli 2015 aktualisiert. Der Benutzerleitfaden ist hauptsächlich für die Stellen bestimmt, die Ausfuhrgenehmigungen erteilen, und trägt somit in pragmatischer Weise erheblich zur Konvergenz der Strategien und Verfahren der Mitgliedstaaten im Bereich der Waffenausfuhrkontrolle bei.

Der Leitfaden umfasst bewährte Verfahren für die Umsetzung der Kriterien des Gemeinsamen Standpunkts 2008/944/GASP, die von der Gruppe "Ausfuhr konventioneller Waffen" ausgearbeitet wurden, die sich dabei auf bewährte nationale Verfahren stützte und Beiträge von anderen relevanten Stellen, einschließlich der Zivilgesellschaft, einfließen ließ. Durch den Leitfaden soll größere Kohärenz zwischen den Mitgliedstaaten bei der Anwendung der Kriterien des Gemeinsamen Standpunkts gewährleistet werden. Dazu werden unter anderem Faktoren festgelegt, die bei der Prüfung von Anträgen auf Ausfuhrgenehmigungen zu beachten sind. Der Leitfaden ist für die Beamten, die derartige Genehmigungen erteilen, und für sonstige Beamte in einschlägigen staatlichen Behörden bestimmt. Diese Beamten tragen mit ihren Sachkenntnissen – z. B. in regionalen, rechtlichen, justiziellen, technischen, entwicklungsbezogenen sowie sicherheitsrelevanten und militärischen Fragen – zur Entscheidungsfindung bei.

Der Benutzerleitfaden ist öffentlich zugänglich; er kann auf der Website des Europäischen Auswärtigen Dienstes eingesehen werden<sup>6</sup>.

### 3. **Kontaktarbeit ("Outreach")**

Nach Artikel 11 des Gemeinsamen Standpunkts setzen sich die Mitgliedstaaten *"nach Kräften dafür ein, andere Militärtechnologie und Militärgüter exportierende Staaten zu ermutigen, die Grundsätze des Gemeinsamen Standpunkts anzuwenden"*. Die sowohl durch die EU als auch durch einzelne Mitgliedstaaten durchgeführten intensiven Outreach-Maßnahmen wurden 2017 und 2018 fortgeführt (siehe beigegefügte Tabelle D).

Im Rahmen der Durchführung des Beschlusses (GASP) 2015/2309 vom 10. Dezember 2015 und des Beschlusses (GASP) 2018/101 vom 23. Januar 2018 durch das deutsche Bundesamt für Wirtschaft und Ausfuhrkontrolle (BAFA) wurden einige regionale Seminare, Studienbesuche und Veranstaltungen zur individuellen Unterstützung organisiert. Darüber hinaus wurden im Rahmen des Beschlusses (GASP) 2017/915 weitere regionale Outreach-Maßnahmen sowie auf die nationalen Bedürfnisse abgestimmte Hilfsprogramme und Seminare zur individuellen Ad-hoc-Unterstützung durchgeführt, um zur wirksamen Durchführung und Universalisierung des Vertrags über den Waffenhandel beizutragen (weitere Informationen zu den letztgenannten Maßnahmen finden sich in Abschnitt II.2).

---

<sup>6</sup> [https://eeas.europa.eu/headquarters/headquarters-homepage/8465/arms-export-control\\_en](https://eeas.europa.eu/headquarters/headquarters-homepage/8465/arms-export-control_en).

#### 4. *Treffen im Rahmen des politischen Dialogs*

In den Jahren 2017 und 2018 fanden im Rahmen des politischen Dialogs regelmäßige Treffen über Fragen im Zusammenhang mit der Waffenausfuhrkontrolle mit Norwegen, Kanada, den Vereinigten Staaten und der Ukraine statt. Diese Treffen im Rahmen des politischen Dialogs waren eine Plattform für konstruktive Gespräche über Themen von gemeinsamem Interesse, beispielsweise über die Ausfuhrpolitik gegenüber bestimmten Bestimmungsländern, Einhaltungs- und Überwachungsfragen und den Prozess zur Ausarbeitung eines Vertrags über den Waffenhandel.

#### 5. *Aktualisierung der Gemeinsamen Militärgüterliste der Europäischen Union*

Nach Artikel 12 des Gemeinsamen Standpunkts sind in der Gemeinsamen Militärgüterliste der Europäischen Union mindestens die Militärgüter aufgeführt, deren Ausfuhr die Mitgliedstaaten kontrollieren müssen. Sie ist identisch mit der Liste der Verteidigungsgüter im Anhang der Richtlinie [2009/43/EG](#)<sup>7</sup>.

Da dieser Bericht sich auf Statistiken über die Ausfuhr konventioneller Waffen aus den EU-Mitgliedstaaten im Kalenderjahr 2017 erstreckt, handelt es sich bei der darin enthaltenen Gemeinsamen Militärgüterliste um die Liste aus dem Jahr 2017, die vom Rat am 6. März 2017 angenommen wurde; dabei wurden die Änderungen an der Militärgüterliste des Wassenaar-Arrangements, die auf der Vollversammlung im Jahr 2016 beschlossen wurden, berücksichtigt. Diese aktualisierte Fassung der Gemeinsamen Militärgüterliste wurde im *Amtsblatt der Europäischen Union* C 97 vom 28. März 2017 veröffentlicht. Die 2018 geltende Gemeinsame Militärgüterliste wurde am 15. März 2018 im Amtsblatt mit der Bezugsangabe 2018/C 098/01 veröffentlicht.

#### 6. *Waffenvermittlungstätigkeiten*

Im Einklang mit Artikel 5 des Gemeinsamen Standpunkts 2003/468/GASP des Rates vom 23. Juni 2003 betreffend die Überwachung von Waffenvermittlungstätigkeiten<sup>8</sup> haben die Mitgliedstaaten gesonderte Vereinbarungen für den Austausch von Informationen über erteilte und verweigerte Lizenzen für Waffenvermittlungstätigkeiten getroffen. Darüber hinaus haben die Mitgliedstaaten, die Vermittlern die Verpflichtung auferlegen, für die Ausübung ihrer Vermittlungstätigkeit eine schriftliche Genehmigung einzuholen, und/oder ein Register der Waffenvermittler angelegt haben, gesonderte Vereinbarungen für den Austausch von Informationen über registrierte Vermittler getroffen. Angaben über von den EU-Mitgliedstaaten erteilte und verweigerte Lizenzen für Waffenvermittlungstätigkeiten finden sich in der beigefügten Tabelle AIII.

---

<sup>7</sup> ABl. L 146 vom 10.6.2009, S. 1.

<sup>8</sup> ABl. L 156 vom 25.6.2003, S. 79.

Die beigefügte Tabelle C enthält detaillierte Angaben über die nationale Umsetzung des Gemeinsamen Standpunkts 2003/468/GASP.

## **7. *Dialog mit den Akteuren: Europäisches Parlament, Zivilgesellschaft und Wirtschaft***

Der Dialog mit dem Europäischen Parlament über Fragen der Waffenausfuhrkontrolle findet üblicherweise einmal jährlich in Form der Anhörung eines Beamten des Europäischen Auswärtigen Amtes (EAD) statt. In den Jahren 2017 und 2018 unterhielt der EAD zudem regelmäßige Kontakte mit dem Berichterstatter des Europäischen Parlaments für die Waffenausfuhrkontrolle und beantwortete eine beträchtliche Anzahl parlamentarischer Anfragen zu Waffenausfuhren. Bodil Valero, die im Zusammenhang mit dem 18. Jahresbericht als Berichterstatterin des Europäischen Parlaments mit dem Dossier der Umsetzung des Gemeinsamen Standpunkts 2008/944/GASP des Rates befasst war, nahm 2017 an zwei Treffen der Gruppe "Ausfuhr konventioneller Waffen" teil.

Wie bereits in der Vergangenheit haben auch im Zeitraum 2017-2018 halbjährliche Treffen der Gruppe "Ausfuhr konventioneller Waffen" mit Nichtregierungsorganisationen stattgefunden. Die Gruppe "Ausfuhr konventioneller Waffen" hat 2017 und 2018 außerdem Vertreter der Wirtschaft zu einer ihrer Sitzungen eingeladen.

## **II. *VERTRAG ÜBER DEN WAFFENHANDEL (ATT)***

### **1. *Beteiligung am ATT: Konferenz der Vertragsparteien***

Wie auf der ersten und der zweiten Konferenz der Vertragsparteien (über die in früheren Jahresberichten berichtet wurde) haben die EU und ihre Mitgliedstaaten auch auf der dritten Konferenz der Vertragsparteien vom 11. bis 15. September 2017 in Genf (über die im 19. Jahresbericht berichtet wurde) und auf der vierten Konferenz der Vertragsparteien vom 20. bis 24. August 2018 in Tokio eine aktive Rolle gespielt. Die Vorsitzenden der dritten und der vierten Konferenz der Vertragsparteien haben in ihrer Amtszeit jeweils ein Treffen der Gruppe "Ausfuhr konventioneller Waffen" besucht.

Die vierte Konferenz der Vertragsparteien setzte die von der dritten Konferenz geleistete gute Arbeit – auch die Unterstützung für die Beratungen der drei Arbeitsgruppen ("Wirksame Durchführung des Vertrags", "Universalisierung" sowie "Transparenz und Berichterstattung") und die Tätigkeiten des freiwilligen Treuhandfonds und des Sponsoringprogramms – fort. Sie vereinbarte, dass die Gruppen ihre Arbeit fortsetzen und – im Rahmen ihres bestehenden Mandats – Arbeitsmethoden einführen sollten, die den Vertragsparteien bei der Durchführung des Vertrags auf einzelstaatlicher Ebene greifbare Unterstützung leisten. Die Konferenz vereinbarte, die Arbeit im Hinblick auf eine verstärkte Berichterstattung –, insbesondere auch was die Zahl der nationalen Berichte und deren rechtzeitige Übermittlung betrifft – fortzusetzen und die Verbindungen zwischen dem ATT und den Zielen für nachhaltige Entwicklung weiter auszuloten. Sie wies erneut auf den Stellenwert des freiwilligen Treuhandfonds des ATT hin, sprach den Staaten, die bereits freiwillig in den Fonds eingezahlt hatten, ihre Anerkennung aus und ermutigte alle anderen Staaten, die dazu in der Lage sind, den Fonds finanziell zu unterstützen. Die Konferenz entschied über ihren Haushaltsplan für 2018/2019, äußerte unter Bezugnahme auf die Beschlüsse der dritten Konferenz der Vertragsparteien bezüglich der finanziellen Beiträge zum ATT erneut starke Bedenken über die nicht gezahlten Beiträge einiger Staaten und forderte die säumigen Staaten auf, ihren finanziellen Verpflichtungen umgehend und fristgemäß nachzukommen. Die Konferenz wählte den lettischen Botschafter Janis Karklins zum Vorsitzenden der fünften Konferenz der Vertragsparteien im Jahr 2019. An der Tagung wirkten sowohl die Vertragsparteien und Beobachter als auch Vertreter der Zivilgesellschaft und der Wissenschaft aktiv mit. Die Vertragsparteien stimmen darin überein, dass das Augenmerk weiterhin auf die wirksame Durchführung und die Universalisierung gerichtet werden sollte.

## **2. *EU-Programm zur Unterstützung der Durchführung des Vertrags gemäß dem Beschluss (GASP) 2017/915***

Nachdem der Vertrag über den Waffenhandel im Dezember 2014 mit bislang 97 Vertragsparteien in Kraft getreten ist (Stand: 1. September 2018), besteht weiterhin die Herausforderung seiner Universalisierung und seiner wirksamen Durchführung durch die Vertragsstaaten.



Als Beitrag zur Bewältigung dieser Herausforderung hat die EU im Mai 2017 gemäß dem Beschluss (GASP) 2017/915 ein ambitioniertes Programm zur Unterstützung der Durchführung des Vertrags für Drittländer angenommen. Dieses Programm wird vom deutschen Bundesamt für Wirtschaft und Ausfuhrkontrolle (BAFA) und von Expertise France durchgeführt. Mit dem Programm werden derzeit insgesamt 18 Drittländer als langfristige Partner und 14 Drittländer als Ad-hoc-Partner auf ihr Ersuchen hin dabei unterstützt, ihre Systeme zur Kontrolle von Waffentransfers gemäß den Anforderungen des Vertrags zu verstärken. Einzelheiten zu den im Rahmen des EU-Programms in den Jahren 2017 und 2018 (bis Ende August 2018) durchgeführten Maßnahmen finden sich in der beigefügten Tabelle D.

### **III. PRIORITÄTEN DER GRUPPE "AUSFUHR KONVENTIONELLER WAFFEN" FÜR DIE NAHE ZUKUNFT**

Mit der Annahme des Gemeinsamen Standpunkts 2008/944/GASP sind die Kernelemente für einen gemeinsamen Ansatz für die Kontrolle der Ausfuhr konventioneller Waffen durch die Mitgliedstaaten vorhanden. Trotz des Fortschritts, den die Annahme des Gemeinsamen Standpunkts darstellt, besteht jedoch weiter Handlungsbedarf, vor allem in Bezug auf die Umsetzung des Gemeinsamen Standpunkts.

Für die nahe Zukunft gelten die folgenden Prioritäten:

1. – gemäß den Schlussfolgerungen des Rates vom 20. Juli 2015 (10900/15) – erneute Bewertung der Umsetzung des Gemeinsamen Standpunkts und der Erfüllung der darin verankerten Zielsetzungen zehn Jahre nach dessen Erlass;
2. weiterer Ausbau der Zusammenarbeit und Förderung der Konvergenz bei der Ausfuhr von Militärtechnologie und ausrüstung im Einklang mit dem Gemeinsamen Standpunkt 2008/944/GASP mit dem Ziel, die Ausfuhrkontrollpolitik der EU – auch durch den Austausch relevanter Informationen zwischen den EU-Mitgliedstaaten über die Genehmigungsverweigerungen und Waffenausfuhrpolitiken – zu verstärken;
3. Fortsetzung der Erörterungen über zusätzliche Funktionen des COARM-Online-Systems;

4. Sicherstellung, dass die Mitgliedstaaten, die dies noch nicht getan haben, geeignete nationale Rechts- und Verwaltungsvorschriften erlassen, damit folgende Rechtsakte voll und ganz umgesetzt werden:
  - der Gemeinsame Standpunkt 2003/468/GASP betreffend die Überwachung von Waffenvermittlungstätigkeiten;
  - der Gemeinsame Standpunkt 2008/944/GASP betreffend gemeinsame Regeln für die Kontrolle der Ausfuhr von Militärtechnologie und Militärgütern;
5. weiteres Eintreten für die wirksame Durchführung und Universalisierung des Vertrags über den Waffenhandel, vor allem durch die Fortführung des mit dem Beschluss (GASP) 2017/915 eingeleiteten EU-Programms zur Förderung der Umsetzung;
6. Ausbau des Austauschs von Informationen und bewährten Verfahren mit Drittländern, die sich dem Gemeinsamen Standpunkt 2008/944/GASP angeschlossen haben;
7. Fortsetzung der Ermutigung anderer waffenexportierender Staaten, die Kriterien des Gemeinsamen Standpunkts anzuwenden;
8. Fortführung des Dialogs mit dem Europäischen Parlament und weiterer Ausbau der Kontakte zur Zivilgesellschaft und zur Wirtschaft;
9. Bemühen um möglichst frühzeitige Fertigstellung und Veröffentlichung des 21. Jahresberichts der EU über Waffenausfuhren im Jahr 2019.

## **KURZE BESCHREIBUNG DER KATEGORIEN DER GEMEINSAMEN MILITÄRGÜTERLISTE DER EU<sup>9</sup>**

- ML1 Waffen mit glattem Lauf mit einem Kaliber kleiner als 20 mm, andere Handfeuerwaffen und Maschinenwaffen mit einem Kaliber von 12,7 mm (0,50 Inch) oder kleiner und Zubehör sowie besonders konstruierte Bestandteile hierfür
- ML2 Waffen mit glattem Lauf mit einem Kaliber von 20 mm oder größer, andere Waffen oder Bewaffnung mit einem Kaliber größer als 12,7 mm (0,50 Inch), Werfer und Zubehör sowie besonders konstruierte Bestandteile hierfür
- ML3 Munition und Zünderstellvorrichtungen sowie besonders konstruierte Bestandteile hierfür
- ML4 Bomben, Torpedos, Raketen, Flugkörper, andere Sprengkörper und -ladungen sowie zugehörige Ausrüstung und Zubehör, und besonders konstruierte Bestandteile hierfür
- ML5 Feuerleiteinrichtungen, zugehörige Überwachungs- und Alarmierungsausrüstung sowie verwandte Systeme, Prüf- oder Justierausrüstung und Ausrüstung für Gegenmaßnahmen, besonders konstruiert für militärische Zwecke, sowie besonders konstruierte Bestandteile und besonders konstruiertes Zubehör hierfür
- ML6 Landfahrzeuge und Bestandteile hierfür
- ML7 Chemische Agenzien, "biologische Agenzien", "Reizstoffe", radioaktive Stoffe, zugehörige Ausrüstung, Bestandteile und Materialien
- ML8 "Energetische Materialien" und zugehörige Stoffe
- ML9 Kriegsschiffe (über oder unter Wasser), Marine-Spezialausrüstung, Zubehör, Bestandteile hierfür und andere Überwasserschiffe
- ML10 "Luftfahrzeuge", "Luftfahrtgeräte nach dem Prinzip 'leichter-als-Luft'", "unbemannte Luftfahrzeuge" ("UAV"), Triebwerke, "Luftfahrzeug"-Ausrüstung, Zusatzausrüstung und Bestandteile, besonders konstruiert oder geändert für militärische Zwecke

---

<sup>9</sup> Die vollständige Beschreibung der Kategorien, wie sie vom Rat am 6. März 2017 (2017/C 097/01) angenommen wurde, findet sich unter <https://eur-lex.europa.eu/legal-content/DE/TXT/PDF/?uri=OJ:C:2017:097:FULL&from=DE>.

- ML11 Elektronische Ausrüstung, "Raumfahrzeuge" und Bestandteile, soweit nicht anderweitig von der Gemeinsamen Militärgüterliste der EU erfasst
- ML12 Waffensysteme mit hoher kinetischer Energie (high velocity kinetic energy weapon systems) und zugehörige Ausrüstung sowie besonders konstruierte Bestandteile hierfür
- ML13 Spezialpanzer- oder Schutzausrüstung, Konstruktionen sowie Bestandteile
- ML14 "Spezialisierte Ausrüstung für die militärische Ausbildung" oder für die Simulation militärischer Szenarien, Simulatoren, besonders konstruiert für die Ausbildung im Umgang mit den von Nummer ML1 oder ML2 erfassten Feuerwaffen oder Waffen, sowie besonders konstruierte Bestandteile und besonders konstruiertes Zubehör hierfür
- ML15 Bildausrüstung oder Ausrüstung für Gegenmaßnahmen, besonders konstruiert für militärische Zwecke, sowie besonders konstruierte Bestandteile und besonders konstruiertes Zubehör hierfür
- ML16 Schmiedestücke, Gussstücke und andere unfertige Erzeugnisse, besonders konstruiert für eine der von Nummer ML1, ML2, ML3, ML4, ML6, ML9, ML10, ML12 oder ML19 erfassten Waren
- ML17 Verschiedene Ausrüstungsgegenstände, Materialien und "Bibliotheken" sowie besonders konstruierte Bestandteile hierfür
- ML18 'Herstellung'sausrüstung und Bestandteile
- ML19 Strahlenwaffen-Systeme, zugehörige Ausrüstung, Ausrüstung für Gegenmaßnahmen oder Versuchsmodelle und besonders konstruierte Bestandteile hierfür
- ML20 Kryogenische (Tiefemperatur-) und "supraleitende" Ausrüstung sowie besonders konstruierte Bestandteile und besonders konstruiertes Zubehör hierfür
- ML21 "Software" (software)
- ML22 "Technologie" (technology)

## ANLAGE

The attached tables contain the following information:

- A.I TABLES SETTING OUT EXPORTS AND LICENCE REFUSALS PER DESTINATION, PER REGION AND WORLD WIDE
- A.II TABLE SHOWING EXPORTS TO UNITED NATIONS-MANDATED OR OTHER INTERNATIONAL MISSIONS IN 2017
- A.III TABLE PROVIDING INFORMATION ON BROKERING LICENCES GRANTED AND DENIED PER MEMBER STATE
- B.I TABLE SHOWING TOTAL NUMBER OF CONSULTATIONS INITIATED AND TOTAL NUMBER OF CONSULTATIONS RECEIVED BY EACH MEMBER STATE IN 2017
- B.II TABLE SHOWING TOTAL NUMBER OF CONSULTATIONS FOR EACH DESTINATION CONCERNED IN 2017
- C. INFORMATION ON NATIONAL IMPLEMENTATION OF COMMON POSITION 2003/468/CFSP ON THE CONTROL OF ARMS BROKERING AND COMMON POSITION 2008/944/CFSP DEFINING COMMON RULES FOR THE CONTROL OF EXPORTS OF MILITARY TECHNOLOGY AND EQUIPMENT
- D. TABLE OF EU OUTREACH ACTIVITIES
- E. TABLE SHOWING INTERNET ADDRESSES FOR NATIONAL REPORTS ON ARMS EXPORTS

## **TABLE A I**

Figures of Table A.I are broken down per Member State, and per EU Common Military List category where (a) = number of licences issued; (b) = value of licences issued in euros; (c) = value of arms exports in euros (if available)<sup>10</sup>.

Information on licence denials is provided per destination, per region and per Member State broken down by Common Military List category; (d) = number of denials (discrepancies may appear between breakdowns and totals due to denials concerning more than one ML category) item or denials for items other than those appearing in the ML<sup>11</sup>); (e) = the number of the criterion of Common Position 2008/944 invoked to support the refusal (the number of times each criterion is invoked is indicated between brackets).

Statistics are compiled differently by each Member State: no uniform standard is used. Consequently, owing to current procedures regarding arms export reporting or data protection legislation, not all countries have been able to submit the same information<sup>12</sup>.

---

<sup>10</sup> To make the table more readable, nil values and/or the mention ‘not available’ are omitted, and empty rows and columns are deleted.

<sup>11</sup> In some instances in accordance with the Common Position denials are issued for items which do not appear on the Common Military List (for example for license applications for transactions of dual-use items where intended military end-use has been identified) are included in the total.

<sup>12</sup> (i) Concerning Austria: with regard to items covered by the EU Common Military List, the Austrian law distinguishes between ‘war material’ (as stipulated in the Austrian War Material Act and Regulation) and ‘equipment on the Common Military List not listed as war material’ covered by the Austrian Foreign Trade Act. As to category c) value of actual exports by Military List Category, figures may be inaccurate in particular as such data regarding equipment of the Common Military List not listed as war material is available to the competent authorities only after expiration or full utilisation of the individual export licence.

(ii) Concerning Croatia: data provided includes figures of global and individual export licences. In 2017 there was no export by general licences. As the value of global licences is not visible (‘unlimited value’) figures will occur only in column c) and not b).

(iii) Concerning the Czech Republic: In rows a) and b) are not included General transfer licences and Global transfer licences pursuant to the Defence Transfer Directive (2009/43/EC), which could cover goods of more than only one ML Category and allow exports to more than only one Member State. In addition to that, some other licences issued cover goods of more than only one ML Category and their value is the total value of all covered goods. Due to this fact, these types of licences are not included in row b). The sums in rows c) are based on information provided by exporters and also contain actual exports made in 2017 based on licences issued in previous years.

---

(iv) Concerning Denmark: With regards to the value listed in rows b and c it should be noted, that values listed in row b ‘Value of export licences granted’ relates to licences issued according to national legislation, i.e. to third countries. Values listed in row c ‘Value of actual exports’ relates to licences issued as global licences (article 6 of the ICT directive) as well as transfers undertaken in accordance with the general licences (article 5 of the ICT directive) and licences issued as individual licences (article 7 of the ICT directive) as well. Thus, when a value is listed in row b as well as row c, these values relates to different licences. The Danish currency (DKK) is where relevant converted to (EUR) using the exchange rate on 30 December 2016.

(v) Concerning France: France requires its defence companies to obtain a licence from the early stages of market prospection. The licence should indicate the potential of the transaction. Any operation, starting from the negotiation stage, requires obtaining a licence: transmission of documentation, demonstrations, participation in calls for tenders, etc. This requirement for transparency and control results in a licenced value (row (b)) that can greatly differ from the value of the final contracts signed and goods actually exported (row (c)).

(vi) Concerning Germany: some licences issued cover goods of more than one ML Category (e.g. one licence for the export of rifles and their ammunition). In reporting in table A.I., each time a licence concerns a ML category, it is counted as one single licence, so the sums in rows a) and column ‘Total per destination’ do not always reflect the actual numbers of licences granted, but a slightly higher figure (i.e. the number of times a ML category has been affected by a licence for that destination).

(vii) Concerning the Netherlands: As values of global licenses cannot always be attributed to individual military list categories or individual countries, the value of those global licenses has been added to the total value of ‘worldwide’ for the Netherlands. The figures on actual exports reported by the Netherlands are based on information provided by the exporters in 2017, and may reflect exports based on a license issued in a previous year. Although much care has been given to the collection of the data on actual exports, the actual exports figures for 2017 may be higher than the values quoted in this report.

(viii) Concerning Hungary: data provided includes figures of general, global and individual export licences. Transfers of military equipment to the Hungarian Forces deployed in various missions (table AII) are not considered regular foreign trade transactions, because there is no actual payment taking place.

(ix) Concerning Poland: the actual values of transfers, provided in the row (c), are related to the individual, global and national general licences. Data from rows (a), (b) and (c) do not include temporary transfers.

(x) Concerning Portugal: data provided includes figures of export transactions (definitive and temporary) covered by general, global and individual export licences. Since some licences cover goods of more than one ML category and destination, so each time a licence concerns an ML category or destination, it is counted as one single licence, so the sum in column ‘Number of Export Licenses’ do not always reflect the actual numbers of licences granted, but a slightly higher figure. As the value of General and Global licences is not always visible (‘unlimited value’) figures will occur only in column c) and not b).

The EU User's Guide stipulates that the value of actual exports only needs to be provided where it is available. With regard to actual exports authorised by EU Member States (row c), it is important to note that Belgium, Germany, Ireland, Malta and the United Kingdom do not provide these data; while France and Italy have reported total values only. No aggregation is therefore reported at the EU level.

With regard to the use of global and general licences notably applied to intra-EU transfers pursuant to Directive 2009/43/EC, it is important to note that the actual value of arms transfers and exports under global and general licences is generally reported by EU Member States. This is however dependant on the Member States' ability to report on actual values (row c) as described above and to possible additional national specificities as explained in footnote n<sup>o</sup>3.

Data are reported in Euros and accordingly converted from national currencies for Member States not having the Euro as national currency. Please bear in mind the possible exchange rate fluctuations between the data collection at national level, the date of reporting to the EU level and the date of consultation of the data.

---

(xi) Concerning Romania: data provided includes figures of general, global and individual export licenses. Global and general licenses cannot always be attributed to an individual military list category ML or an individual country. Therefore, the figures on number of licenses issued (row a) could be slightly higher.

(xii) Concerning Slovenia: data provided includes figures of general and individual export licences. Some export licences cover goods of more than one ML category (Austria, Poland and Bulgaria), so each time a licence concerns an ML category it is counted as one single licence, so the sum in column 'Number of Export Licenses' do not always reflect the actual numbers of licences granted, but a slightly higher figure. The value of some licences was 0. Weapons and military equipment/defence-related products were sent to Austria for the purpose of replacement, to Spain for the purpose of testing and presentation, to the Turkey for the purpose of destruction and to the Austria for the purpose of donation.

(xiii) Concerning Sweden: The Swedish krona is converted to Euro using the average exchange rate for 2017 (9,62). Licences covering more than one ML category and/or destination are counted multiple times, one for every ML category per country of destination. The total number of licenses quoted in this report therefore exceeds the actual number of licenses issued.

(ix) Greece did not submit data on their arms exports.



It is important to bear in mind that exports to destinations subject to EU arms embargoes comply with the terms, conditions and possible exceptions set out in the decisions imposing such embargoes. The full list and details of embargoes are available at:  
[http://eeas.europa.eu/cfsp/sanctions/docs/measures\\_en.pdf](http://eeas.europa.eu/cfsp/sanctions/docs/measures_en.pdf).

Exports to UN mandated or other international missions are further reported in table AII.

**TABLES SETTING OUT EXPORTS AND REFUSALS PER DESTINATION, PER REGION AND WORLDWIDE**

EXPORTS AND REFUSALS PER DESTINATION .....(page xxx)

EXPORTS AND REFUSALS PER REGION.....(page xxx)

***Central America and the Caribbean***

(Antigua and Barbuda, Bahamas, Barbados, Belize, Costa Rica, Cuba, Dominica, Dominican Republic, El Salvador, Grenada, Guatemala, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and Grenadines, Trinidad and Tobago) .....(page xxx)

***Central Asia***

(Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, Uzbekistan) .....(page xxx)

***European Union***

(Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark; Denmark (Greenland), Denmark (Faeroes), Estonia, Finland, France, France (French Polynesia), France (Mayotte), France (New Caledonia), Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Netherlands (Aruba),Netherlands (Netherlands Antilles), Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom, United Kingdom (Bermuda), United Kingdom (Cayman Islands), United Kingdom (Channel Islands),United Kingdom (Gibraltar), United Kingdom (St Helena), United Kingdom (Turcs and Caicos Islands) .....(page xxx)

***Middle East***

(Bahrain, Egypt, Iran, Iraq, Israel, Jordan, Kuwait, Lebanon, Oman, Palestinian controlled territories, Qatar, Saudi Arabia, Syria, United Arab Emirates, Yemen).....(page xxx)

***North Africa***

(Algeria, Libya, Morocco, Tunisia) .....(page xxx)

### ***North America***

(Canada, United States) .....(page xxx)

### ***North East Asia***

(China (Mainland), China (Hong Kong), China (Macao), Korea (Democratic People's Rep. of), Korea (Republic of), Japan, Mongolia, Taiwan) .....(page xxx)

### ***Oceania***

(Australia, Fiji, Kiribati, Marshall Islands, Micronesia (Fed. States of), Nauru, New Zealand, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu) ....(page xxx)

### ***Other European Countries***

(Albania, Andorra, Armenia, Azerbaijan, Belarus, Bosnia and Herzegovina, Georgia, Holy See, Iceland, Liechtenstein, Former Yugoslav Republic of Macedonia, Kosovo (under UNSCR 1244/99); Republic of Moldova, Monaco, Montenegro, Norway, Russian Federation, Serbia, St Marino, Switzerland, Turkey, Ukraine) .....(page xxx)

### ***South America***

(Argentina, Bolivia, Brazil, Chile, Colombia, Ecuador, Guyana, Paraguay, Peru, Suriname, Uruguay, Venezuela) .....(page xxx)

### ***South Asia***

(Afghanistan, Bangladesh, Bhutan, India, Maldives, Nepal, Pakistan, Sri Lanka)....(page xxx)

### ***South East Asia***

(Brunei, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand, Timor Leste, Vietnam) .....(page xxx)

### ***Sub-Saharan Africa***

(Angola, Benin, Botswana, Burkina Faso, Burundi, Cameroon, Cape Verde, Central African Republic, Chad, Comoros, Congo (Republic of), Congo (Democratic Republic of), Djibouti, Equatorial Guinea, Eritrea, Ethiopia, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Ivory Coast,

Kenya, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritania, Mauritius, Mozambique,  
Namibia, Niger, Nigeria, Rwanda, Sao Tome and Principe, Senegal, Seychelles, Sierra Leone,  
Somalia, South Africa, Sudan, South Sudan, Swaziland, Tanzania, Togo, Uganda, Zambia,  
Zimbabwe) .....(page xxx)

EXPORTS AND REFUSALS WORLDWIDE.....(page xxx)

## **EU ARMS EXPORTS PER DESTINATION IN 2017**

See Table 1

## **EU ARMS EXPORTS PER REGION IN 2017**

See Table 2

## **EU ARMS EXPORTS WORLDWIDE IN 2017**

See Table 3

**TABLE A II****EXPORTS TO UNITED NATIONS-MANDATED OR OTHER INTERNATIONAL MISSIONS IN 2017<sup>1314</sup>****Destination Country: Afghanistan**

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Austria	United Nations Assistance Mission in Afghanistan (UNAMA - SUP - AMA- ISAF - EU POL)	Land crafts ML6
Germany	United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA)	Cross-country vehicles with special protection
	United Nations Assistance Mission in Afghanistan (UNAMA)	Ammunition for shotguns; ammunition for revolvers and pistols
Greece	NATO "Resolute Support" (Resolute Support – RS)	ML 1a : 8 pistol guns 0.45" Browning, 8 automatic rifles 5.56 mm M4
Portugal	NATO ISAF HQ	Equipment and communication systems (ML 11), Protection equipment (ML 13)
United Kingdom	United Nations Mine Action Service (UNMAS)	Information security equipment

<sup>13</sup> The following Member States submitted a nil report: Belgium, Croatia, Cyprus, Denmark, Estonia, France, Hungary, Italy, Latvia, Lithuania, Luxembourg, Poland, Romania, Slovenia, Spain, Sweden, The Netherlands

<sup>14</sup> Regarding Spain: there have not been final exports of equipment accompanying UN peace missions abroad. All the equipments have to be reimported to Spain. The Spanish legislation allows, without a licence, temporal exports accompanying the Spanish Armed Forces. For security reasons this control belongs to the Spanish Ministry of Defence.

**Destination Country: *Algeria***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	United Nations Mine Action Service (UNMAS)	Body armour, components for body armour, military helmets

**Destination Country: *Austria***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	United Nations Office On Drugs And Crime (UNODC)	Components for body armour

**Destination Country: *Belgium***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Germany	United Nations High Commissioner for Refugees (UNHCR) - Supply Management Service	Cross-country vehicles with special protection

**Destination Country: *Brazil***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
------------------------	---	----------------------

United Kingdom	UNIMIN Do Brasil LTDA	Information security equipment
----------------	-----------------------	--------------------------------

**Destination Country: *Burkina Faso***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	United Nations High Commissioner for Refugees (UNHCR) - Office in Ouagadougou	Body armour, components for body armour, military helmets

**Destination Country: *Burundi***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Finland	World Food Programme (WFP)	Tactical vests and plates
Germany	United Nations Children's Fund (UNICEF)	Cross-country vehicles with special protection

**Destination Country: *Cambodia***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Germany	United Nations Assistance Mission to the Khmer Rouge Trials (UNAKRT)	Ammunition for revolvers and pistols



**Destination Country: *Cameroon***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Germany	United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA) - Country Office in Cameroon	Cross-country vehicles with special protection

**Destination Country: *Central African Republic***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Finland	International Organisation for Migration (IOM)	Tactical vests and plates, helmets
Germany	United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA)	Ammunition for guns; ammunition for revolvers and pistols;
Germany	World Food Program (WFP)	Cross-country vehicles with special protection
Portugal	EU mission - EUTM RCA  United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA)	Assault rifles (ML 1), SA – Revolvers and Pistols (ML 1), Portable anti-tank weapons (ML 2), Ammunition (ML 3), Bombs, rockets, other explosive devices, etc. (ML 4), Ground vehicles (ML 6), Ground vehicles components (ML 6), UAV (ML 10), Equipment and communication systems (ML

		11), Protection equipment (ML 13), Imaging or countermeasure equipment (ML 15), Containers specially designed or 'modified' for military use (ML 17)
United Kingdom	United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA)	Information security equipment, information security software
United Kingdom	Operational Support Services RCA SARL (Used by UN Agencies in CAR)	Military support vehicles, military trailers, general military vehicle components
United Kingdom	The United Nations Mine Action Service (UNMAS), RCA	Body armour, components for body armour, military helmets

**Destination Country: *Chad***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	United Nations Children's Fund (UNICEF)	Body armour, components for body armour, military helmets

**Destination Country: *Democratic Republic of Congo***

Exporting Member State	United Nations-mandated or other international missions	Description of goods

Germany	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO – UNDSS)	Ammunition for revolvers and pistols
United Kingdom	Leonardo c/o MONUSCO	Military aero-engines, Components for military aero-engines
United Kingdom	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO)	Information security equipment
United Kingdom	United Nations Population Fund (UNFPA)	Body armour, components for body armour, military helmets
United Kingdom	United Nations High Commissioner for Refugees (UNHCR)	Body armour, components for body armour, military helmets
United Kingdom	United Nations Office For Project Services (UNOPS)	Body armour, components for body armour, military helmets

**Destination Country: *Denmark***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	United Nations Children's Fund (UNICEF)	Body armour, components for body armour, military helmets

**Destination Country: *Germany***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Slovakia	NATO AGS (Alliance Ground Surveillance) Programme	Containers: AGS, S/N: SH09/2016-P8
United Kingdom	VALLON GmbH (United Nations Interim Security Force For Abyei, UNISFA HQ, Abyei, South Sudan)	Software enabling equipment to function as munitions/ordnance detection/disposal equipment

**Destination Country: *Greece***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Portugal	EU - FRONTEX	Several aircraft equipment (ML 10)

**Destination Country: *Haiti***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Finland	World Bank	Plates for tactical vests
Germany	United Nations Development Programme (UNDP)	Optical gun sights

**Destination Country: *Iraq***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Germany	United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA)	Cross-country vehicles with special protection; ballistic glasses for cross-country vehicles
Germany	United Nations Assistance Mission for Iraq (UNAMI)	Parts for guns; weapon sights; ammunition for revolvers and pistols; ammunition for guns
Portugal	CITF-OIR PRT 4th Contingent, Training Mission	Ammunition (ML 3), Fire control, and related alerting and warning equipment (ML 5), Equipment and communication systems (ML 11), Protection equipment (ML 13)

United Kingdom	United Nations Population Fund (UNFPA)	Body armour, components for body armour, military helmets
United Kingdom	United Nations Development Programme (UNDP) - Iraq Office	Body armour, components for body armour, military helmets
United Kingdom	United Nations High Commissioner for Refugees (UNHCR)	Counter-improvised explosive device equipment
United Kingdom	World Health Organisation (WHO)	Body armour, components for body armour, military helmets

**Destination Country: *Israel***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	Elbit Systems Limited – (for the provision of Unmanned Aerial Systems in support of MINUSMA (United Nations Multidimensional Integrated Stabilization Mission in Mali))	Military guidance/navigation equipment, military radars

**Destination Country: *Italy***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Finland	World Food Program (WFP), UNHRD	Tactical vests and plates, helmets
Germany	World Food Program (WFP) - United Nations Humanitarian Response Depot (UNHRD) – Brindisi	Cross-country vehicles with special protection
Germany	United Nations Children's Fund (UNICEF) - Supply Division	Cross-country vehicles with special protection
Portugal	EU - FRONTEX	Several aircraft equipment (ML 10)
United Kingdom	Leonardo - Finmeccanica - Societa Per Azioni (Sed In Democratic Republic Of Congo For Surveillance Service For United Nations Organization Mission MONUSCO)	Components for military aero-engines
United Kingdom	World Food Program (WFP)	Body armour, components for body armour, military helmets

**Destination Country: *Jordan***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	United Nations High Commissioner for Refugees (UNHCR) - Branch Office Jordan	Body armour, components for body armour, military helmets



United Kingdom	United Nations Office For Project Services (UNOPS)	Accessories for improvised explosive device disposal remotely operated vehicles, accessories for improvised explosive device disruptors, bomb suits, components for improvised explosive device disruptors, components for military improvised explosive device decoying/detection/disposal/jamming equipment, counter-improvised explosive device equipment, improvised explosive device disposal remotely operated vehicles, improvised explosive device disruptors, military equipment for initiating explosives, military improvised explosive device decoying/detection/disposal/jamming equipment, technology for counter-improvised explosive device equipment
----------------	--	---

**Destination Country: Kenya**

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Germany	United Nations Office at Nairobi (UNON)	Ammunition for guns
Germany	United Nations Support Office in Somalia (UNSOS)	Weapon sights
United Kingdom	United Nations High Commissioner for Refugees (UNHCR) - DADAAB Kenya	Body armour, components for body armour, military helmets
United Kingdom	United Nations Office at Nairobi	Information security equipment
United Kingdom	United Nations Children's Fund (UNICEF)	Body armour, components for body armour, military helmets

**Destination Country: Kosovo<sup>15</sup>**

Exporting Member State	United Nations-mandated or other international missions	Description of goods
------------------------	---	----------------------

<sup>15</sup> This designation is without prejudice to position on status, and is in line with UNSCR 1244(1999) and the ICJ Opinion on the Kosovo Declaration of Independence.

Austria	United Nations Interim Administration Mission in Kosovo (UNMIK) for ITALFOR	Land crafts ML6
Germany	United Nations Interim Administration Mission in Kosovo (UNMIK)	Ammunition for revolvers and pistols; ammunition for shotguns; parts for pistols;
Greece	EULEX KOSOVO	Seven (7) H&K MP5 sub machines, seven (7) CZ-75 9-mm pistols, one (1) USP 9-mm pistol, thirteen (13) S&W 9-mm pistols, seven (7) USP (compact) 9-mm pistols.
Greece	NATO “Joint Enterprise” (Kosovo Force)	ML1a: 36 pistol guns 0,45” Browning, 73 automatic rifles 7,62 mm G3A4, 4 machine guns 7,62 mm MG3  ML1d: 18 night vision binoculars, 9 day vision binoculars
Portugal	NATO mission  KFOR – KOSOVO FORCE	Ground vehicles components (ML 6)

**Destination Country: *Latvia***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	GM Helicopters SIA (Contracted by United Nations)	Components for combat helicopters, components for military helicopters

**Destination Country: *Lebanon***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Czech Republic	Food and Agriculture Organization of the United Nations (FAO) in Syria	Toyota LC 200
Finland	United Nations Interim Force In Lebanon (UNIFIL), World Bank, World Food Programme (WFP)	Spare parts for armoured vehicles; Mine clearing aprons with additional plates; Tactical vests and plates, helmets

Germany	Economic and Social Commission for Western Asia (ESCWA)	Parts for guns
Germany	United Nations Children's Fund (UNICEF)	Cross-country vehicles with special protection
Germany	Special Tribunal for Lebanon	Ammunition for revolvers and pistols; ammunition for guns
Germany	United Nations Office of the Special Coordinator for Lebanon (UNSCOL)	Ammunition for revolvers and pistols
Ireland	United Nations Interim Force In Lebanon (UNIFIL)	16 Guns Machine 12.7mm FN M2 QCB (FVT800); 3 Guns Machine 12.7mm FN M2 QCB (Ground Role)
United Kingdom	United Nations Educational, Scientific and Cultural Organisation (UNESCO)	Body armour, components for body armour, military helmets

United Kingdom	United Nations Development Programme Lebanon	Civil explosive detection/identification equipment
United Kingdom	United Nations Development Program (UNDP)	Information security equipment, Body armour, components for body armour, military helmets
United Kingdom	United Nations Interim Force In Lebanon (UNIFIL)	Counter-improvised explosive device equipment, information security software

**Destination Country: *Libya***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	United Nations High Commissioner For Refugees (UNHCR)	Body armour, components for body armour, military helmets

**Destination Country: *Lithuania***

Exporting Member State	United Nations-mandated or other international missions	Description of goods

Portugal	NRF Reassurance Measures 2017	Assault rifles (ML 1), SA – Revolvers and Pistols (ML 1), Grenade launchers (ML 2), Ammunition (ML 3), Bombs, rockets, other explosive devices, etc. (ML 4), Ground vehicles (ML 6)
----------	-------------------------------	---

**Destination Country: *Mali***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Finland	United Nations Development Programme (UNDP)	Tactical vests and plates, helmets
Germany	United Nations Support Office for AMISOM	Airborne missile protection system and parts
Germany	United Nations Multidimensional Integrated Stabilization Mission in Mali (MINUSMA)	Ammunition for shotguns; ammunition for guns; ammunition for revolvers and pistols
Portugal	EU Mission - EUTM Mali	Assault rifles components (ML 1), SA – Revolvers and Pistols (ML 1), Ammunition (ML 3), Several aircraft equipment (ML 10), Protection equipment (ML 13), Imaging or countermeasure equipment (ML 15)
United Kingdom	Bambara African Tours (Used by UN in Mali)	Military support vehicles

United Kingdom	Sri Lanka Army (Used by UN in Mali)	Components for military improvised explosive device decoying/detection/disposal/jamming Equipment, military improvised explosive device decoying/detection/disposal/jamming equipment
United Kingdom	The United Nations Mine Action Service (UNMAS)	Counter-improvised explosive device equipment
United Kingdom	United Nations Multidimensional Integrated Stabilization Mission in Mali (MINUSMA)	Information security equipment, information security software
United Kingdom	United Nations Children's Fund (UNICEF)	Body armour, components for body armour, military helmets
United Kingdom	United Nations Mission In Mali	Information security equipment
United Kingdom	United Nations Office For Project Services (UNOPS)	Military improvised explosive device decoying/detection/disposal/jamming equipment
United Kingdom	World Food Program (WFP)	Body armour, components for body armour, military helmets



**Destination Country: *Morocco***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	United Nations for The Referendum in Western Sahara (MINURSO)	Civil explosive detection/identification equipment

**Destination Country: *The Netherlands***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Portugal	NATO Assurance Measures (NAM)	Several aircraft equipment (ML 10)

**Destination Country: *Niger***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Finland	World Food Program (WFP), United Nations Population Fund (UNFPA)	Plates for tactical vests; Tactical vests and plates, helmets

**Destination Country: *Nigeria***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Finland	International Office for Migration (IOM), United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA), United Nations Development Programme (UNDP)	Tactical vests and plates, helmets, bags for vests

**Destination Country: *Pakistan***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Finland	World Bank	Plates for tactical vests
Germany	World Food Program (WFP)	Cross-country vehicles with special protection

**Destination Country: *Philippines***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	United Nations Children's Fund (UNICEF)	Body armour, components for body armour, military helmets

**Destination Country: *Romania***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Portugal	NATO Assurance Measures (NAM)	Several aircraft equipment (ML 10)

**Destination Country: *Somalia***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Austria	United Nations Support Office in Somalia (UNSOS)	Pistols and components ML1
Bulgaria	African Union Mission to Somalia (AMISOM)	Machine guns; assault rifles; pistols; parts for machine guns; parts for pistols.
Finland	United Nations Support Office for the African Union Mission in Somalia (UNSOA), United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA)	Tactical vests and plates, helmets, battle belts
Germany	United Nations Support Office in Somalia (UNSOS)	Ammunition for shotguns; ammunition for guns; ammunition for revolvers and pistols

United Kingdom	United Nations Children's Fund (UNICEF)	Body armour, components for body armour, military helmets
United Kingdom	United Nations Mine Action Service (UNMAS)	Information security equipment
United Kingdom	United Nations Support Office in Somalia (UNSOS)	Information security equipment
United Kingdom	World Food Programme (WFP)	Civil explosive detection/identification equipment

**Destination Country: *South Africa***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	United Nations Population Fund for East and Southern Africa (UNFPA-ESARO)	Body armour, components for body armour, military helmets

**Destination Country: *South Sudan***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
------------------------	---	----------------------

Czech Republic	Food and Agriculture Organization of the United Nations (FAO)	Toyota LC 200
----------------	---	---------------

Finland	World Food Program (WFP), United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA)	Tactical vests and plates, helmets
United Kingdom	United Nations Industrial Development Organization (UNIDO)	Body armour, components for body armour, military helmets
United Kingdom	United Nations Children's Fund (UNICEF)	Body armour, components for body armour, military helmets
United Kingdom	United Nations Mine Action Service (UNMAS)	Body armour, components for body armour, military helmets
United Kingdom	United Nations Mission In South Sudan (UNMISS)	Information security equipment, information security software

**Destination Country: *Spain***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Portugal	EU - FRONTEX	Several aircraft equipment (ML 10)

**Destination Country: *Switzerland***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Finland	United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA)	Tactical vests and plates, helmets
United Kingdom	World Health Organisation (WHO)	Body armour, components for body armour, military helmets

**Destination Country: *Syria***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Finland	United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA), World Food Program (WFP)	Tactical vests and plates, helmets, Plates for tactical vests
Germany	World Food Program (WFP)	Cross-country vehicles with special protection; spare parts for Cross-country vehicles with special protection; ballistic glasses for cross-country vehicles
Germany	United Nations Children's Fund (UNICEF)	Cross-country vehicles with special protection

Germany	United Nations Office of the Joint Special Representative in Syria (OJSRS)	Ballistic glasses for cross-country vehicles
Ireland	United Nations Disengagement Observer Force (UNDOF)	13 Guns Machine 12.7mm FN M2 QCB (FVT800); 2 Guns Machine 12.7mm FN M2 QCB (Ground Role)
United Kingdom	United Nations Population Fund (UNFPA)	Body armour, components for body armour, military helmets
United Kingdom	United Nations Disengagement Observer Force (UNDOF)	Information security equipment

**Destination Country: *Tanzania***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	World Food Program (WFP)	Information security equipment

**Destination Country: *Uganda***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
United Kingdom	United Nations Regional Service Centre Entebbe (RSCE)	Information security equipment

**Destination Country: *Ukraine***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Finland	World Bank	Plates for tactical vests
United Kingdom	United Nations High Commissioner for Refugees (UNHCR)	Body armour, components for body armour, military helmets

**Destination Country: *United Arab Emirates***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Germany	United Nations World Food Program (WFP) - United Nations Humanitarian Response Depot (UNHRD)	Cross-country vehicles with special protection
United Kingdom	United Nations High Commissioner for Refugees (UNHCR) - GSM Dubai	Body armour, components for body armour, military helmets
United Kingdom	World Food Program (WFP)	Body armour, components for body armour, military helmets



**Destination Country: *United States***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Finland	World Bank	Tactical vests and plates, helmets

**Destination Country: *Yemen***

Exporting Member State	United Nations-mandated or other international missions	Description of goods
Czech Republic	United Nations Children's Fund (UNICEF)	Toyota LC 200
Finland	World Food Program (WFP)	Tactical vests and plates, helmets
Germany	Office of the United Nations High Commissioner for Human Rights (OHCHR)	Parts for Cross-country vehicles with special protection

**TABLE A III**

**1. Brokering licences granted by Member States in 2017<sup>16</sup>**

**BULGARIA**

Destination	No. of licences issued	Value of brokering licences issued (EUR)	ML categories	Quantity of brokered items	Value of brokered items (EUR)	Country of origin
Kenya	2	4 635 678	ML3, ML4	17 200 pcs	4 635 678	Serbia
Ghana	1	1 221 731	ML3	2 250 000 pcs	1 221 731	USA
Algeria	1	7 642 750	ML4	9 pcs	7 642 750	Ukraine
Saudi Arabia	1	15 500 000	ML3	5 000 000 pcs	15 500 000	Sri Lanka
Congo (Republic of)	2	512 310	ML1, ML13	-	-	Serbia

<sup>16</sup> The following Member States submitted a nil report: Austria, Belgium, Cyprus, Denmark, Finland, France, Greece, Latvia, Lithuania, Luxembourg, Malta, Portugal, Slovakia, Spain

*CROATIA*

Destination	No. of licences issued	Value of brokering licences issued (Euro)	ML categories	Quantity of brokered items	Value of brokered items (Euro)	Country of origin
Kenya	1	666 777,84	ML 3a	200.000 pcs	0	Bosnia and Herzegovina
USA	2	26 695 250,90	ML 3a	6.043.200 pcs	3 603 169,76	Bulgaria

*CZECH REPUBLIC*

Destination	No. of licences issued	Value of brokering licences issued (EUR)	ML categories	Quantity of brokered items	Value of brokered items (EUR)	Country of origin
United Arab Emirates	16	322 770	10	167 PCE	171 613	Ukraine
Bangladesh	5	177 700	10	887 PCE	42 800	Ukraine
Brazil	1	586	7	-	0	Slovakia

Algeria	4	35 874	6	-	0	Belarus, Ukraine
Ethiopia	4	669 426	10	93 PCE	283 641	United Kingdom, Ukraine
Ghana	1	3 418	3	-	0	Bosnia and Herzegovi na
Indonesia	2	5 167	10	2 SET, 14 PCE	4 963	Ukraine
Kenya	2	3 300 418	3	-	0	Serbia
Kazakhstan	2	243 069	10	80 PCE, 351 SET	202 607	United States
Sri Lanka	7	102 103	10	2 PCE	5 566	Ukraine
Morocco	2	195 287	11	200 SET	306 739	United States
Peru	1	19 612	10	4 PCE	1 253	Ukraine
Thailand	1	9 297	10	-	0	Montenegr o
Ukraine	1	95 269	10	193 PCE	95 167	Belarus
United States	4	1 290 433	1	-	0	Hungary
			3	-		former Yugoslav Republic of Macedonia
			10	-		United

						Arab Emirates
South Africa	1	3 418	3	-	0	former Yugoslav Republic of Macedonia

*ESTONIA*

Destination	No. of licences issued	Value of brokering licences issued (EUR)	ML categories	Quantity of brokered items	Value of brokered items (EUR)	Country of origin
Latvia	1	19 072	ML13	4	19 072	The Netherlands
Latvia	1	7 861	ML 4	154	7 861	Former Yugoslav Republic of Macedonia
Uganda	1	250 000	ML 10	2		Czech Republic
Latvia	1	14 940	ML 13	30	7 470	United Kingdom
Georgia	1	78 685	ML 3			Brazil

GERMANY

Destination	No. of licences issued	Value of brokering licences issued (EUR)	ML categories	Quantity of brokered items	Value of brokered items (EUR)	Country of origin
Afghanistan	1	402 135	ML 6B	3 pieces	402 135	United Arab Emirates
Korea, Republic	6	1 796 204	ML 4B	1 set	745 500	Israel
			ML 8A	12.133 kg	1 039 504	Norway
			ML 9A	3.400 pieces	11 200	United States
Kuwait	1	3.980	ML 15C	1 piece	3 980	Switzerland
Norway	1	11 250	ML 8F	50 kg	11 250	Republic Korea
Qatar	1	42 504	ML 3A	6.000 pieces	42 504	United States
Somalia	2	422 451	ML 6B	2 pieces	273 183	United Arab Emirates
			ML 13D	150 pieces	43 375	United States
			ML 15C	125 pieces	105 893	United States
Switzerland	4	72 692	ML 13D	28 pieces	3 920	Israel
			ML 15D	1 piece	50 000	Israel
			ML 17C	54 pieces	17 667	United States

			ML 22A	24 pieces	1 105	United States
Tunisia	1	244 866	ML 15C	37 pieces	244 866	Switzerland

### HUNGARY

Destination	No. of licences issued	Value of brokering licences issued (EUR)	ML categories	Quantity of brokered items	Value of brokered items (EUR)	Country of origin
Iraq	1	16 800 000	3	0	0	Serbia
Iraq	1	770 000	2	0	0	Cyprus
Iraq	1	16 800 000	3	0	0	Cyprus
Iraq	2	125 000 000	3	0	0	Slovakia
Iraq	1	19 200 000	2	0	0	Slovakia
Iraq	1	27 000 000	1	0	0	Slovakia
Iraq	0*	43 800 000	6	7	251 500	Belarus
India	0*	48 603	10	1 378	48 603	Belarus

\* the licenses were issued in 2016, the items were brokered in 2017

### IRELAND

Destination	No. of licences issued	Value of brokering licences issued	ML categories	Quantity of brokered items	Value of brokered items	Country of origin
-------------	------------------------	------------------------------------	---------------	----------------------------	-------------------------	-------------------

	issued	(EUR)			(EUR)	
Morocco	1	479 097	ML 11	1	479 097	Belgium
Norway	1	118 812	ML11and ML22	3	118 812	USA

*ITALY*

Destination	No. of licences issued	Value of brokering licences issued	ML categories	Quantity of brokered items	Value of brokered items (EUR)	Country of origin
Australia	7		9/11	30 items - 2.570 hours	162.102,45	Australia
Brunei	1		1	4 weeks	1.989,02	UK
France	11		4/10/11/21	82 items - 5 months - 17 weeks - 1.600 hours	17.978.969,60	France
Germany	6		10/11	2.393 items	7.651.953,30	Germany
Indonesia	3		2/3/5	4.237 items - 2 years -  12 weeks	-518.247,72	Singapore, Spain, Indonesia



Israel	1		10	70 items - 137 weeks	615.476,57	Israel
Kuwait	2		10	616 items - 60 months	171.533.916,43	Spain, Kuwait
Malaysia	1		3	250.000 items	10.500,00	France
Morocco	1		11	7 items	152.564,00	France
NATO countries	1		11	1.000 hours	3.878.363,62	Germany
Poland	2		11	48 months - 420 hours	2.414.252,32	Belgium
Qatar	3		4/9	322 items - 16.800 months	261.408.400,00	Qatar, France
Saudi Arabia	2		10	263 items - 1 month - 150 days	460.037,38	Canada, UK
Spain	2		3/8	600 items - 600 kg	88.356,00	Germany
Turkey	3		2/4/5	60 items - 12 months	208.047,43	Turkey, UK
Turkmenist an	1		2	10 items - 6 months	0,00	Turkey
United	15		4/10	48.931 items - 1	65.713.477,85	Italy, Spain, UK,

Kingdom				year - 25 months - 2 weeks - 2.400 hours		France, Germany
USA	1		4	2.898 items	83.509,66	Italy

*POLAND*

Destination	No. of licences issued	Value of brokering licences issued (EUR)	ML categories	Quantity of brokered items (pieces)	Value of brokered items (EUR)	Country of origin
Germany	1	205 423	10d	117 580	2 251 153	Great Britain/ USA, France, Taiwan
USA	1	51 350	3a	50 000	3 449 249	Serbia
	1	19 750	3a	17 960	1 148 277	Serbia
Algeria	1	20 867	2a	135	186 130	Russia
Bulgaria	1	426 017	3a,b	8 320 000	8 520 335	Ukraine
Latvia	1	21 000	6	6	360 000 – 840 000	Austria

ROMANIA

Destination	No. of licences issued	Value of brokering licences issued (EUR)	ML categories	Quantity of brokered items	Value of brokered items (EUR)	Country of origin
Argentina	1	433 205	ML10	16 pcs.	0	South Africa
Azerbaijan	1	1 137 949	ML10	81 pcs.	924 847	South Africa
Estonia	1	65 000	ML15	2 pcs.	65 000	Belgium
Israel	1	33 637	ML10	1 pcs.	0	Ukraine
Indonesia	1	79 455	ML9	3 pcs.	79 455	South Africa
Indonesia	1	17 341	ML22	0	0	South Africa

SWEDEN

Destination	No. of licences issued	Value of brokering licences issued	ML categories	Quantity of brokered items	Value of brokered items	Country of origin
Afghanistan	1		ML13			Denmark
Denmark	1		ML1, ML3			Canada

Denmark	1		ML17			Latvia
Denmark	1		ML1			Germany
Finland	2		ML6			Lithuania
Finland	1		ML6			Netherlands
France	1		ML5			Spain
Germany	1		ML4			United Kingdom
Germany	1		ML13			Germany
Ireland	1		ML17			Latvia
Ireland	1		ML6			Lithuania
Ireland	1		ML6			Netherlands
Latvia	1		ML17			Latvia
Lithuania	1		ML17			Latvia
Netherlands	1		ML17			Latvia
Netherlands	1		ML6			Netherlands
Norway	3		ML4, ML6			France
Philippines	1		ML2			Italy
South Africa	1		ML3			Poland
Thailand	1		ML5			Australia
Thailand	2		ML4			Denmark
Thailand	1		ML11			United States of America

United Kingdom	1		ML13			United Kingdom
United States of America	2		ML13			United States of America

*THE NETHERLANDS*

Destination	No. of licences issued	Value of brokering licences issued (EUR)	ML categories	Quantity of brokered items	Value of brokered items	Country of origin
South Africa	1	460	ML6a			United Kingdom
South Africa	1	1 450	ML15c			Spain
Australia	1	121 502	ML11a			United Kingdom
EU/NAVO+	1	0	ML10a			Unknown
Austria	1	2 050	ML1d			United Kingdom
Multiple countries	3	0 (brokering licences for repair under warranty)	Multiple categories			Multiple countries
Portugal / Brazil	1	8 085 794	ML10			Multiple countries

*SLOVENIA*

Destination	No. of licences issued	Value of brokering licences issued (EUR)	ML categories	Quantity of brokered items	Value of brokered items (EUR)	Country of origin
Bosnia and Herzegovina	1	133 140	16	210 pcs	133 140	Slovakia

*UNITED KINGDOM*

Destination	No. of licences issued	Value of brokering licences issued	ML categories	Quantity of brokered items	Value of brokered items	Country of origin
Afghanistan	5		ML3			Bulgaria
			ML4			Bulgaria
			ML10			Italy
Bangladesh	5		ML1			Bulgaria
			ML4			Bulgaria
			ML5			Bulgaria
			ML13			United States
			ML15			Bulgaria
Bosnia and Herzegovina	1		ML1			Romania

Bulgaria	3		ML1			Belarus
			ML13			Hong Kong
Burma	1		ML13			Cambodia
Canada	1		ML10			Switzerland
Chad	2		ML3			Bosnia and Herzegovina
			ML4			United States
China	1		ML13			South Africa
Comoros	17		ML1			Comoros, Madagascar, Mauritius, Seychelles, South Africa, Sri Lanka, Tanzania, Vessel, Platform in International Waters
			ML13			
			ML15			
			ML3			
Croatia	8		ML1			Bulgaria, Romania
			ML13			Hong Kong
			ML2			Bosnia and Herzegovina
			ML3			Bosnia and Herzegovina, Bulgaria
Denmark	1		ML6			Iraq
Finland	1		ML10			United States

France	3		ML1			France
			ML3			France
			ML6			France
Germany	2		ML2			Bosnia and Herzegovina
			ML3			
Republic of Guinea	1		ML4			United States
India	1		ML5			Israel
Indonesia	3		ML1			United States
			ML22			United States
			ML8			Czech Republic
Iraq	252		ML1			Belgium, France, Germany, Norway, Poland, Romania, Spain, Sweden
			ML10			France, Germany, Italy, Poland, Russia, Spain
			ML11			France, Germany, Italy, Poland
			ML13			France, Germany, Italy, Jersey, Netherlands, Norway, Poland, Spain



			ML14			France, Germany
			ML15			Belgium, France, Germany, Italy, Poland, Spain
			ML17			France
			ML18			Romania
			ML19			Spain
			ML2			France, Germany, Norway, Poland, Romania, Spain
			ML3			Bosnia and Herzegovina, Bulgaria, France, Germany, Norway, Poland, Romania, Slovenia, Spain, Sweden
			ML4			Belgium, Bulgaria, France, Germany, Italy, Serbia
			ML5			France, Germany, Italy, Norway, Poland
			ML6			Belgium, Cyprus, Denmark, France, Germany, Italy, Jordan, Netherlands, Norway, Poland,

						Spain
			ML7			France, Poland
			ML9			Italy
Israel	2		ML1			Belarus
			ML5			India
Italy	1		ML10			Afghanistan
Jordan	1		ML3			Brazil
Korea, South	6		ML13			South Africa
Kuwait	1		ML3			Serbia
Latvia	1		ML6			Italy
Lebanon	11		ML1			Belgium, Lebanon
			ML10			Belgium, Lebanon
			ML11			Belgium
			ML13			Australia, Belgium
			ML6			South Africa, Zimbabwe
Libya	1		ML13			India
Madagascar	6		ML1			Madagascar
			ML13			
			ML3			
Malaysia	1		ML13			Hong Kong

Mali	1		ML13			South Africa
Netherlands	1		ML4			Czech Republic
Nigeria	2		ML6			Jordan
Norway	1		ML13			Canada
Oman	16		ML1			Oman, United States
			ML13			Oman
			ML3			Finland, Oman
			ML4			Czech Republic
			ML8			Czech Republic
Pakistan	2		ML1, ML15			Greece
Philippines	5		ML1			Belgium, Israel, Korea, South
			ML10			Switzerland
			ML14			Belgium, Israel, Korea, South
			ML3			Belgium, Israel, Korea, South
			ML4			Belgium, Israel, Korea, South
Poland	1		ML2			Bulgaria
Qatar	1		ML3			Serbia

Saudi Arabia	5		ML10			Dubai
			ML13			China
			ML3			Singapore, United States
			ML4			Poland
Somalia	4		ML1			Malta
			ML13			Sharjah
			ML3			Malta
			ML4			Malta
South Africa	5		ML1			Kenya
			ML13			Kenya
			ML3			Kenya, Singapore
			ML5			Taiwan
Sri Lanka	21		ML1			Sri Lanka, Tanzania
			ML13			Sri Lanka, Tanzania
			ML3			Sri Lanka, Tanzania
South Sudan	4		ML3			Bangladesh
			ML6			Bangladesh, Jordan
Thailand	1		ML7			Singapore
Uganda	6		ML1			Bulgaria

			ML15			Bulgaria
			ML4			Bulgaria
			ML5			Bulgaria
Ukraine	1		ML6			Jordan
United States	3		ML10			Sri Lanka, United States
			ML3			Bulgaria
Uruguay	3		ML1			Belarus
Vessel, Platform in International Waters	67		ML1			Vessel, Platform in International Waters
			ML13			Vessel, Platform in International Waters
			ML15			Vessel, Platform in International Waters
			ML3			Vessel, Platform in International Waters
Vietnam	6		ML11			Germany
			ML17			Italy
			ML2			Estonia, Ukraine
			ML21			Germany
			ML22			Germany
			ML7			Germany

Yemen	108		ML1			Djibouti
			ML3			
Zimbabwe	2		ML10			Sudan, South
			ML4			United States
United Arab Emirates	3		ML1			Belarus, Brazil

## 2. *Brokering licences refused by Member States in 2017*

### *GERMANY*

Destination	No. of licences denied	Value of brokering licences denied (EUR)	ML categories	Quantity of brokered items	Value of brokered items (EUR)	Country of origin
Turkey	2	2 470 000	ML 3A	3.000.000 pieces	2 470 000	United States

*UNITED KINGDOM*

Destination	No. of licences issued	Value of brokering licences issued	ML categories	Quantity of brokered items	Value of brokered items	Country of origin
Azerbaijan			ML10, ML10, ML14, ML15, ML4, ML5, ML6			Israel
Burma			ML10, ML10, ML10, ML14, ML2			Russia
Iraq			ML1			Czech Republic
Pakistan			ML2			Italy
Pakistan			ML1			Turkey
Pakistan			ML1			Turkey
Pakistan			ML1			Italy
Papua New Guinea			ML13			China
Qatar			ML3, ML3			United States

**TABLE B I**

*Total number of consultations initiated and total number of consultations received by each Member State in 2017*

Member State	Number of consultations initiated	Number of consultations received
Austria	8	1
Belgium	27	8
Bulgaria	4	1
Czech Republic	18	1
Denmark	-	1
Estonia	-	1
Finland	2	1
France	4	13
Germany	8	55
Greece	1	-
Italy	3	-
Lithuania	1	-
Malta	1	3
Netherlands	13	26
Portugal	23	-
Romania	2	1
Slovakia	-	1



Slovenia	1	-
Sweden	1	11
United Kingdom	20	13
<i>TOTAL</i>	<i>137</i>	<i>137</i>

**TABLE B II*****Total number of consultations initiated by Member States in 2017 per destination***

Destination Country	Number of consultations
Argentina	1
Armenia	1
Azerbaijan	1
Bahrain	4
Bosnia and Herzegovina	2
Brazil	2
China	3
Dominican Republic	1
Egypt	5
Former Yugoslav Republic of Macedonia	2
Georgia	2
Hong Kong	1
India	2
Indonesia	4
Iraq	1
Israel	2
Jordan	1

Kenya	2
Kuwait	2
Kyrgyzstan	1
Liberia	2
Malaysia	1
Mexico	3
Nepal	1
Nigeria	1
Pakistan	19
Philippines	2
Qatar	3
Russia	2
Rwanda	1
Saudi Arabia	8
Senegal	1
Serbia	1
South Africa	10
Suriname	1
Taiwan	3
Tanzania	1
Thailand	11

Tunisia	1
Turkey	1
Ukraine	3
United Arab Emirates	21
<i>TOTAL</i>	<i>137</i>

**TABLE C**

***Member States' implementing legislation or administrative rules for common positions  
2003/468/CFSP and 2008/944/CFSP***

Member State	Council Common Position 2003/468/CFSP on the control of arms brokering		Council Common Position 2008/944/CFSP defining common rules governing control of exports of military technology and equipment	
	<i>National legislation reference no.</i>	<i>Information concerning state of play</i>	<i>National legislation or administrative rules reference no.</i>	<i>Information concerning state of play</i>
<i>Austria</i>	Foreign Trade Act (AußWG, Federal Gazette I No 50/2005 as last amended by Federal Gazette I no. 112/2011) and War Material Act (KMG, Federal Gazette I no. 540/1977 in its current version)	Implementation completed.	Foreign Trade Act (AußWG, Federal Gazette I No 50/2005 as last amended by Federal Gazette I no. 112/2011) and War Material Act (KMG, Federal Gazette I no. 540/1977 in its current version)	Implementation completed.

<i>Belgium</i>	Law of 25 March 2003, article 15, (published in Moniteur belge of 7.7.2003, modifying law of 5.8.1991	Partial implementation.	<p>Flemish Region: Flemish Parliament Act on the import, export, transit and transfer of defence-related products, and other materials for military use, law enforcement materials, civilian firearms, components and munitions — 15/06/2012, as amended by the Flemish Parliament Act of 30/06/2017</p> <p>Walloon Region: Decree regarding the import, export, transit and transfer of civil weapons and defence material — 21/06/2012</p>	<p>Flemish Region: Implementation completed</p> <p>Walloon Region: Implementation completed</p> <p>Brussels Capital Region: implementation completed</p> <p>Federal government: implementation completed</p>
----------------	---	-------------------------	--	--

			<p>Brussels Capital Region: Ordinance regarding the import, export, transit and transfer of defence material, military material, law enforcement material, civil weapons, and parts, components and ammunitions — 20/06/2013</p> <p>Federal government: Law of 26 March 2003 (published in Moniteur belge of 7.7.2003), modifying law of 5.8.1991</p>	
--	--	--	---	--

<i>Bulgaria</i>	<p>Latest amendments: Export control of defence-related products and dual use items and technologies Act, entered into force 30.06.2012</p> <p>Regulation for the implementation of the Export Control Act (adopted by Decree 205/15.07.2012 )</p>	Implementation completed.	Ministerial Decree — November 2009	Implementation completed.
<i>Croatia</i>	Act on the trade control of military goods and non-military lethal goods (OG 80/13, in force since 6 July 2013)	Implementation completed.	Act on the trade control of military goods and non-military lethal goods (OG 80/13, in force since 6 July 2013)	Implementation completed.



<p><i>Cyprus</i></p>	<p>Cyprus issued the ‘Export, brokering and the provision of technical assistance (military equipment) Regulations of 2011 in December 2011.</p> <p>These Regulations set the legal framework for the implementation of Common Position 2008/944/CFSP , Common Position 2003/468/CFSP and Joint Action 2000/401CFSP.</p>	<p>Implementation completed.</p>	<p>Cyprus issued the ‘Export, brokering and the provision of technical assistance (military equipment) Regulations of 2011 in December 2011.</p> <p>These Regulations set the legal framework for the implementation of Common Position 2008/944/CFSP, Common Position 2003/468/CFSP and Joint Action 2000/401CFSP.</p>	<p>Implementation completed.</p>
----------------------	--	----------------------------------	---	----------------------------------

<i>Czech Republic</i>	Act No 38/1994 Coll. on foreign trade in military material.	Implementation completed.	Act No 38/1994 Coll. on foreign trade in military material reflects certain provisions of the Common Position. Further amendments to this law are pending approval.	Updated national ML listing 22 items in conformity with the EU ML is included in Decree 210/2012 Coll. as amended by Decree 31/2018 Coll. of 5 March 2018.
<i>Denmark</i>	Act No 555 of 24 June 2005 on brokering	Implementation completed.		Implementation completed  (In Denmark national law will not have to be changed after the adoption of the Common Position. The criteria of the Common Position are taken into account as a minimum standard in the assessment of licence applications).

<i>Estonia</i>	Legislation on brokering was adopted in 2004. Current Strategic Goods Act (ref no RT I, 22.12.2011, 2) entered into force in 01.01.2012	Implementation completed.	Current Strategic Goods Act (ref no RT I, 22.12.2011, 2) entered into force in 01.01.2012	Implementation completed.
<i>Finland</i>	Act on the Export of Defence Materiel (282/2012)	Fully implements the Common Position on Brokering.	Act on the Export of Defence Materiel (282/2012)	Implementation completed.
<i>France</i>	Code de la Défense (Art. L2331-1 to L2331-2)	Law Amendment to fully implement Common Position in preparation.	The existing legal requirements in connection with the political principles adopted by the government make it possible to immediately apply the regulations laid down in the Common Position within	General directives approved by political authorities and specific directives in the event of specific situations, such as embargoes, conflict areas, or human rights situation.  France bases its export decisions on the criteria

			the Commission established by Decree n°55-965	defined in the framework of international treaties, conventions, instruments or fora to which it subscribes (such as Common Position 2008/944/CFSP, criteria laid down by the United Nations, the OSCE, the European Council).
<i>Germany</i>	War Weapons Control Act (KrWaffKontrG), in the version promulgated on 22 November 1990, Federal Law Gazette 1990 I, p. 2506, last amended by Article 6 of the Act of 13 April 2017, Federal Law Gazette 2017 I	Implementation completed.	The existing legal requirements (Foreign Trade and Payments Act -AWG, last revised in 2013, Federal Law Gazette 2013 I p. 1482, last amended by Article 4 of the Act of 20 July 2017, Federal Law Gazette 2017 I p. 2789;	Implementation completed.

	<p>p. 872; Foreign Trade and Payments Act (AWG), last revised in 2013, Federal Law Gazette 2013 I p. 1482, last amended by Article 4 of the Act of 20 July 2017, Federal Law Gazette 2017 I p. 2789; and Foreign Trade and Payments Regulation (AWV), Federal Law Gazette 2013 I p. 2865, last revised in 2017 (BAZ. 2017 AT 20.12.2017 V1)</p>		<p>and Foreign Trade and Payments Regulation - AWV, Federal Law Gazette 2013 I p. 2865, last revised in 2017 (BAZ. 2017 AT 20.12.2017 V1) in connection with the 'Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment' of January 2000 make it possible to immediately apply the regulations laid down in the Common Position.</p>	
--	---	--	---	--

<i>Greece</i>	Law 4028/2011 of November 11, 2011 (Government Gazette 242), which incorporated the Common Position 2003/468/CFSP	Implementation completed.	Law 4028/2011 of November 11, 2011 (Government Gazette 242), modifying Law 2168/93 of September 3, 1993 (Government Gazette 147)	Implementation completed.
<i>Hungary</i>	The provisions on the control of brokering activities have been in force in Hungary since 2004.  Currently the control of arms brokering is regulated by the Government Decree 156/2017. (VI. 16.) on the detailed regulations of the licensing of defence related activity and the certification of	Implementation completed.	The Council Common Position 2008/944/CFSP is included in the Second Annex to the Government Decree 156/2017. (VI.16.) on the detailed regulations of the licensing of defence related activity and the certification of enterprises.  Note: the current legislation replaced	Implementation completed.

	enterprises.  Note: the current legislation replaced Government Decree 160/2011. (VIII.18.) on the 22th of June 2017.		Government Decree 160/2011. (VIII.18.) on the 22th of June 2017.	
<i>Ireland</i>	Control of Exports Act 2008 (No. 1 of 2008)  Control of Exports (Brokering Activities) Order 2011 (No. 86 of 2011)	Implementation completed		SI No 216 of 2012, the Control of Exports (Goods and Technology) Order 2012 and SI No 268 of 2017, European Communities (Intra-Community Transfers of Defence Related Products) (Amendment) Regulations 2017 give effect to licensing requirements for the Common Military List. The criteria of the Common Position

				are taken into account as a minimum standard when assessing all licence applications.
<i>Italy</i>	DL n. 105 dated 22.6.2012	Implementation completed.	DL n. 105 dated 22.6.2012	Implementation completed.
<i>Latvia</i>	Law on the Circulation of Strategic Goods, in force since 19 July 2007 (last amended on 27 April 2016)	Implementation completed.	Law on the Circulation of Strategic Goods, in force since 19 July 2007 (last amended on 27 April 2016)	Implementation completed.



<i>Lithuania</i>	<p>Law on the Control of Strategic Goods which came into effect on 1 August 2004, lastly amended on 14 December 2014 (amendments came into force from 24 December 2014).</p> <p>Law on the Control of Arms and Ammunition of 15 January, 2002, lastly amended on 25 September 2014.</p>	Implementation completed.	<p>Law on the Control of Strategic Goods which came into effect on 1 August 2004, lastly amended on 14 December 2014 (amendments came into force from 24 December 2014).</p> <p>Law on the Control of Arms and Ammunition of 15 January, 2002, lastly amended on 25 September 2014.</p>	Implementation completed.
------------------	---	---------------------------	---	---------------------------

<i>Luxembourg</i>		New draft law, including Common Position, recently introduced to Parliament. Currently in legislative process.		New draft law, including Common Position, recently introduced to Parliament. Currently in legislative process.
<i>Malta</i>	Subsidiary legislation 365.13  Military Equipment (Export Control) Regulations	Implementation completed.	Subsidiary legislation 365.13  Military Equipment (Export Control) Regulations.	Implementation completed.

<i>Netherlands</i>	Strategic Services Act (as of January 2012)	Implementation completed.	The Netherlands national law has not been changed after the adoption of the Common Position. The legal basis for the application of the regulations laid down in the Common Position consists of several existing Acts, Decrees, Decisions and Regulations.	Implementation completed.
--------------------	---	---------------------------	---	---------------------------

<i>Poland</i> <sup>17</sup>	Law of 29/11/2000 on foreign trade in goods, technologies and services of strategic importance to the security of the state and to maintaining international peace and security (uniform text — Journal of Laws of 2013.194)	Implementation completed.	Law of 29/11/2000 on foreign trade in goods, technologies and services of strategic importance to the security of the state and to maintaining international peace and security (uniform text — Journal of Laws of 2013.194)	Implementation completed.
<i>Portugal</i>	Law no. 49/2009 of 5 August 2009	Implementation completed.	Law no. 37/2011 of 22 June 2011	Implementation completed.

<sup>17</sup> Poland first adopted legislation covering brokering activities in the Act of 11 December 1997 on administrating of foreign trade in goods and services and transfers of special goods (Journal of Laws 1997, No 157, item 1026).

<i>Romania</i>	Government Ordinance 158/1999 republished with additions and amendments, of 18 April 2013	Implementation completed.	Government Ordinance 158/1999 republished with additions and amendments, of 18 April 2013	Implementation completed.
<i>Slovakia</i>	Act No 392/2011 on trading with defence industry products and on amendments and supplements of certain acts (in force since 1 December 2011)	Implementation completed.	Act No 392/2011 on trading with defence industry products and on amendments and supplements of certain acts  (in force since 1 December 2011)	Implementation completed.

<p><i>Slovenia</i></p>	<p>Decree on production consents and trade permits for military weapons and equipment and on preliminary permits for import, export, transit and transfer of defence products (The Official Gazette of Republic of Slovenia, no. 59/11, 88/11, 74/12, 46/13, 29/14, 37/15, 62/16, 30/17 and 14/18). Brokers are bound to obtain trading permit.</p>	<p>Implementation completed.</p>	<p>Article 77 of the Defence Act (Official Gazette 103/04) specifies that an export license may be refused on the basis of Slovenia's international commitments and obligations.</p>	<p>Implementation completed.</p>
------------------------	---	----------------------------------	--	----------------------------------

<p><i>Spain</i></p>	<p>Law 53/2007 of 28/12/2007.</p> <p>Royal Decree 679/2014 of 01/08/2014.</p> <p>Order ITC/657/2018 of 13/6/2018.</p> <p>Directive 2009/43/EC of 6 May 2009.</p>	<p>Implementation completed.</p>	<p>Law 53/2007 of 28/12/2007</p>	<p>Implementation completed.</p>
<p><i>Sweden</i></p>	<p>Military equipment act 1992:1300 (5§) and Military Equipment Ordinance 1992:1303 (7§)</p>	<p>Implementation completed.</p>	<p>Military Equipment Act 1992:1300 (1§ , 6§) and Military Equipment Ordinance 1992:1303 (annex)</p> <p>The Ordinance with Instructions for the Inspectorate of Strategic Products, No 2010:1101 (1a§)</p>	<p>Implementation completed.</p>

<p><i>United Kingdom</i></p>	<p>Controls on arms brokering are set out in the Export Control Order 2008, as amended. All brokering licence applications are assessed against the Consolidated EU and National Arms Export Licensing Criteria (known as the ‘Consolidated Criteria’).</p>	<p>Implementation completed.</p>	<p>Controls on arms exports are set out in the Export Control Order 2008, as amended. All export licence applications are assessed against the Consolidated EU and National Arms Export Licensing Criteria (known as the ‘Consolidated Criteria’).</p>	<p>Implementation completed.</p>
------------------------------	---	----------------------------------	--	----------------------------------



## **TABLE D**

<b>1. Promotion of Control of Arms Exports and the Principles and Criteria of Common Position 2008/944/CFSP among Third Countries</b>
---

### **1. Promotion of Control of Arms Exports and the Principles and Criteria of Common Position 2008/944/CFSP among Third Countries**

#### **1.1 Council Decision (CFSP) 2015/2309 on the promotion of effective arms export controls**

COARM Study Visit Eastern Europe, Warsaw, Poland, 14-15 February 2017

On 14-15 February 2017, a study visit was organised for the partner countries Azerbaijan, Georgia and Moldova within the framework of the EU Council Decision 2015/2309 to Warsaw, Poland. The first sessions focused on the licensing systems, including end-use verification and goods identification from a licensing perspective, and included case studies on arms transit.

On the second day, the participants had the opportunity to visit the Cargo Terminal of the Airport in Warsaw. They had access to a temporary warehouse, as well as the customs operation centre where they received first hand insight into the work of the customs officers. Afterwards, the group visited the passenger terminal where Polish custom officers shared cases of illegal arms transfers which had been discovered at Chopin airport. Discussion on customs profiling and inter-agency cooperation completed the study visit.

#### COARM Regional Workshop, Skopje, Macedonia, 26-27 April 2017

The second Regional Workshop for South East European countries within the framework of the EU Council Decision 2015/2309 was held in Skopje, Former Yugoslav Republic of Macedonia on 26-27 April 2017.

The aim of the workshop was to provide partner countries with a platform to meet and discuss recent developments concerning export control of conventional arms with their counterparts from neighbouring countries and EU Member States. The event provided the opportunity for an overview on the state of international agreements such as the ATT and the Wassenaar Arrangement.

This was followed by discussions comparing risk assessment from both the licensing and customs perspectives. Other sessions covered arms diversion and import marking. In addition to the EU experts, support was provided by UNDP-SEESAC.

#### COARM Regional Workshop, Rabat, Morocco, 23-24 May 2017

The second workshop for North African countries in this project was dedicated to the issue of transit and transshipment provisions, as well as arms diversion in Northern Africa, and regional cooperation. The main topics addressed included marking and tracing, as well as recent developments in the sector of strategic trade management. Participants were also informed about recent policy developments within the EU as regards arms trade controls. The regional workshop was organised by the COARM project's implementing agency, BAFA.

## COARM Study Visit for South East European Countries, Bratislava, Slovakia, 7-8 June 2017

An Arms Export Control Study Visit for Southeast Europe took place in Bratislava, Slovakia on 7-8 June 2017 for participants from Bosnia and Herzegovina, Kosovo, Montenegro and Serbia.

The study visit focused on two topics of great importance for the region, namely arms diversion and inter-agency cooperation. Experts stressed the importance of national inter-agency cooperation and regional coordination to tackle complex problems, such as arms diversion. On the morning of the second seminar day, the group of 30 participants and experts was invited to witness a demonstration of customs officers' daily work at Bratislava airport and at the border crossing point Jarovce-Kittsee. Various tools and equipment that can be used to support controls were presented on this occasion. This was followed by a lively roundtable discussion involving all delegates, as well as representatives of the US EXBS programme, on the challenges of modern customs authorities in risk management.

## COARM Regional Workshop, Chisinau, Moldova, 28-29 June 2017

The second Regional Workshop for Eastern partnership countries, which took place on 28-29 June 2017 in Chisinau, Moldova, completed a successful series of regional events within the framework of the current COARM project.

The workshop was dedicated to state officials and other representatives from Armenia, Azerbaijan, Belarus, Georgia, Moldova and the Ukraine. Participants were given the opportunity to discuss regional developments in the area of strategic trade management for conventional arms and military goods with their counterparts from neighbouring countries, as well as with EU experts.

EU experts provided information on recent developments in international export control regimes. This was followed by a roundtable session on end-use verification. Topics covered on the second day included mechanisms to counter arms diversion (a representative from Conflict Armament Research provided insight into their work and reported on their latest findings), customs case studies, and internal compliance mechanisms.

#### COARM Study Visit for North African Countries, London, United Kingdom, 19-20 July 2017

An Arms Export Control Study Visit to London Heathrow Airport took place on 19-20 July 2017, hosted by the UK Border Force. Delegates from Algeria and Morocco accepted the EU's invitation to participate in this two-day training course. The main topics of discussion were effective inter-agency cooperation, arms diversion and related counter strategies. On this occasion, the Strategic Exports Team of the UK Border Force introduced participants to the workflow at different warehouses at Heathrow Airport. Thereby, the study visit provided the opportunity for delegates and experts to learn more about relevant customs procedures at this major trading hub.

During this workshop, experts from Germany, the Netherlands and the United Kingdom provided their valuable expertise and engaged in lively discussions with the participants. The study visit was organised by the COARM project's implementing agency, BAFA.

### COARM Individual Assistance Workshop, Boge (Peje), Kosovo, 19-21 September 2017

The third Individual Assistance activity for the beneficiary country Kosovo was conducted at Boge (Peje). The event was attended by 15 licensing and customs officials from various parts of the country. Some customs officers are stationed at border crossings, some at post-border inspection and some are performing centralised functions. Most of the participants took part in some kind of identification and classification training prior to this activity and it was made clear that training constitutes a crucial element for Kosovan authorities in the continuous process of enhancement. Consequently, the level of relevant knowledge increased compared to the last individual assistance activity.

Customs experts from the Netherlands, as well as a licensing expert from Sweden, were present at the activity, sharing their valuable expertise and engaging the attendees in various exercises in the fields of commodity identification and licensing procedures.

### COARM Second Regional Workshop on Arms Transfer Controls and Arms Diversion, Accra, Ghana, 25-26 October 2017

On 25 -26 October 2017, the EU COARM Outreach programme organised the second Workshop on Arms Transfer Controls and Arms Diversion in Western Africa within the framework of the EU Council Decision (CFSP) 2015/2309 to carry on the dialogue started at the first diversion seminar in Ouagadougou in November 2016. The event took place in Accra, Ghana and was dedicated to representative of 17 states in Western Africa. The Chair of COARM opened the event, providing an update on EU activity in the area of arms export controls.

With this event, the organisers aimed to continue the fruitful discussions which had been initiated the previous year. Focal points of the workshop were border controls, as well as physical security and stockpile management, two crucial issues with regard to the prevention of illegal arms diversion.

In addition, the participants had the opportunity to discuss the outcomes of the latest ATT Conference of State Parties and learn more about the national implementation of the ATT in various countries.

In Accra, BAFA was supported by experts from the Peruvian Ministry of Foreign Affairs, the Nigeria Customs Command and Staff College, the German Armed Forces and the Zambian Ministry of Defence.

COARM Final Assessment Event, Brussels, Belgium, 7-8 November 2017,

The Final Assessment Event for the COARM III Outreach Project was held on 7-8 November 2017 in Brussels, Belgium. This was the last event under the COARM III project, whose two-year implementation period came to an end on 21 December 2017.

The goal of this event was to bring together the 17 core partner countries of the project and EU experts from the COARM group to review the work and outcomes achieved under COARM III and then, looking forward, to determine the needs and expectations for the next project, COARM IV.

On the first day of the event, representatives from Albania, Algeria, Armenia, Bosnia and Herzegovina, the Former Yugoslav Republic of Macedonia, Georgia, Kosovo, Moldova, Montenegro, Morocco, Serbia, Tunis and Ukraine, as well as EU experts from Germany, Sweden, the UK, Greece, Belgium, the Czech Republic, and Latvia, discussed the assistance provided under COARM III and how this had benefited the partner countries. The implementer summarised the activities conducted under the current CD and also referred to the outcomes of the programme, as well as the main challenges for the implementers.

Subsequently, the partner countries were given the opportunity to report on assistance they had received throughout the project and also the progress which had been made. Finally, COARM representatives shared their views on the cooperation under the COARM project.

The second day was dedicated to informing participants about the follow on COARM project and discussing in regionally-organised breakout groups, the specific needs of each region and ways to best address these under the new project. Representatives from Kazakhstan, Jordan and Turkey were also present at the event as observers, as these three countries were invited to join the COARM IV project as cooperation partners.

In addition to the plenary sessions and breakout groups, the implementer conducted a number of bilateral meetings to discuss future cooperation.

## 1.2 Council Decision (CFSP) 2018/101 on the promotion of effective arms export controls

### COARM Study Visit to Vienna, Vienna, Austria, 16-17 May 2018

On 16-17 May 2018, officials from the partner countries former Yugoslav Republic of Macedonia (FYROM), Kosovo and Montenegro attended a two-day Study Visit hosted at the Austrian Federal Ministry for Europe, Integration and Foreign Affairs in Vienna. This event was the first activity within the framework of the latest phase of the COARM project funded by the European Union.

The workshop in Vienna offered a platform for partner countries from South East Europe to share their experiences and practices related to arms export controls. Moreover, the Study Visit allowed officials from FYROM, Kosovo\* and Montenegro to receive first-hand information and insights into the Austrian export control and licensing system. To complement the presentations and roundtable discussions, experts from Poland and Slovenia provided practical case studies dealing with arms exports.

In addition, the activity was dedicated to the latest international developments related to arms trade and controls. For this purpose, representatives from the Wassenaar Arrangement and Firearms Protocol updated the attendees on current discussions taking place among the international community.

#### Regional Workshop on Arms Export Controls, Kiev, Ukraine, 18-19 July 2018

On 18-19 July 2018, the first regional workshop on arms export controls for Eastern Partnership countries within the new project in the area of export control for conventional arms and military items was conducted in Kiev, Ukraine. Representatives from Armenia, Azerbaijan, Belarus, Georgia, the Republic of Moldova and Ukraine attended the two-day meeting.

BAFA was supported by experts in the field of export control from Estonia, Greece, Italy, Lithuania and the Centre for Armed Violence Reduction. Additionally, representatives from Conflict Armament Research and SEESAC participated in the event. The event focused on brokering, electronic licensing databases, as well as prosecution and sanctions. Moreover, the workshop discussed brokering issues from a licensing and a customs perspective. Furthermore, the topics of Internal Compliance Programmes (ICP) and industry audits were discussed during the event.

## 2. Support to Universalisation and Effective Implementation of The Arms Trade Treaty

### 2.1 Council Decision 2013/768/CFSP on EU activities in support of the implementation of the Arms Trade Treaty, in the framework of the European Security Strategy



#### Ad Hoc Activity for Costa Rica, San José, 28 February-2 March 2017

A three-day Ad Hoc Activity for Costa Rica took place in San José on 28 February – 2 March 2017. Participants from Costa Rica's Ministry of Foreign Affairs, Customs Authority (HQ and regional customs outposts), Fiscal Control Police, Intelligence Agency, and Border Control Police attended the event. Experts from Argentina, Jamaica, the United Kingdom and UNLIREC supported the activity.

This event took place over three days: the first two consisted of a classroom activity based at a hotel in Heredia; and the second a field trip to see the customs operation at the Port of Limon. Since the focus of the event was on customs activity, the Costa Rican contact point invited representatives from the central Customs HQ, plus each of the seven regional customs outposts, to take part.

One of the key objectives was to bring customs – who had not really featured in the original roadmap to Costa Rica – more fully into the picture, raise their awareness and gain buy in to the ATT. The combination of input from Costa Rican colleagues, setting their role in the broader national context, and the sharing of customs and licensing experiences with the EU team, succeeded in doing this.

#### Ad Hoc Activity for Barbados, Bridgetown, 15-17 March 2017

At the request of Barbados, an ATT Ad hoc Seminar under the EU ATT-OP was held in Bridgetown, Barbados on 8-9 June 2016 to sensitise the Barbadian stakeholders to the Arms Trade Treaty and to discuss crucial points of the national implementation process. The seminar focused on the areas of licensing, record keeping and reporting, physical security and stockpile management (PSSM), as well as prosecution and sanctions.

Following this June 2016 Seminar, in an official letter to COARM, Barbados' Ministry of Foreign Affairs requested a follow-up event in order to facilitate and support national implementation of the ATT. It was agreed to hold a second Ad hoc Workshop in Bridgetown on 15-17 March 2017 and, as requested by Barbados, the workshop focused on End-User Documentation, Brokering, tackling diversion, as well as Identification of Weapons, Parts and Components. Special attention was also paid to the relevant provisions of the CARICOM ATT Model Law. The participants were very active during the whole workshop and raised many questions which led to a lively debate, not only with EU experts, but also with the participants from various agencies.

The Ad Hoc Workshop was well attended and senior government officials including the Attorney General and Minister of Home Affairs, the Comptroller of Customs and the Deputy Police Commissioner were present during the opening and parts of Day 1 and Day 3. Reports about the event appeared both on television and radio, as well as in printed media. Participants from Barbados included the Police, i.a. the Deputy Commissioner on Day 1, the Armed Forces and the Coast Guard, the Customs, including the Comptroller on Day 3 and the Deputy Comptroller throughout, the Ministry of Foreign Affairs and the Attorney General's Office. The EU team was composed of experts from Germany, Lithuania, Sweden, and CARICOM IMPACS.

#### Ad Hoc Activity for Zambia, Lusaka, 22-23 March 2017

On 22-23 March 2017, BAFA organised the second Ad hoc seminar for Zambia in Lusaka, within the framework of the EU ATT Outreach project. This event was the last activity within the framework of the current programme. Based on the outcomes of the first seminar in 2016, this event aimed to further support the implementation of the ATT in Zambia.

On the day prior to the seminar, the team of experts had a meeting with the *Zambian Minister of Defence*, where they outlined the aims of the current project and the further plans for the cooperation with *Zambia*. At the beginning of the seminar, a *Zambian representative* provided an update on the current state of the national ATT implementation. Afterwards, an expert from *Ghana* provided an example concerning the national ATT implementation in his home country and outlined the obligations for *Zambia* which was well received by the participants. Subsequently, participants and experts engaged in discussions on controlled transfer activities, end-use verification, as well as on customs enforcement and illegal arms diversion in Southern Africa. An additional session on physical security and stockpile management also triggered some interesting discussions. In *Zambia*, the organisers were supported by experts from *Croatia, Ghana, Hungary, Slovenia and the UK*.

## 2.2 Council Decision (CFSP) 2017/915 on Union outreach activities in support of the implementation of the Arms Trade Treaty

EU Side Event at CSP3, Geneva, 12 September 2017

On 12 September, COARM Chair moderated the first activity under the EU Council Decision ATT OP II (CD 2017/915), namely a side event at the Third Conference of State Parties to the ATT. It gathered around 80 participants for discussions focusing on presenting practical experiences and best practices gained with the EU ATT Outreach Programme. Together with EF and BAFA, two representatives from long term partner countries (*Senegal and Costa Rica*) presented their national experiences in the first phase of the programme. Before opening the floor for a Q and A session, Expertise France and BAFA delivered a general presentation on the second phase of the programme, including a focus on the scope and tools of cooperation.

## Initial Assessment Visit for Cambodia, Phnom Penh, 12-13 September 2017

The second phase of the EU Arms Trade Treaty Outreach Project (ATT OP II), based on Council Decision 2017/915/CFSP and implemented by BAFA, kicked off with an initial assessment visit to Phnom Penh, Cambodia on 12 and 13 September 2017.

Over 20 Cambodian participants, on behalf of the Ministry of Interior, Ministry of Foreign Affairs, Ministry of Defence, Ministry of Justice, as well as representatives from the Customs and Police, attended the workshop.

Discussions revolved around the main issue of Cambodia's future accession to the ATT. Reporting obligations, diversion, illicit trafficking and PSSM, as well as tracing and marking of arms, were topics of much interest to the representatives of Cambodia. During the workshop, the EU team of experts was able to define the main focus areas for a future ATT OP II roadmap tailored to Cambodia. The next step is the draft of a comprehensive roadmap document to be later endorsed by the Kingdom of Cambodia.

## First Roadmap Activity for Jamaica, Kingston, 1-2 November 2017

The First Roadmap Activity for Jamaica took place on 1-2 November 2017 at the premises of the Ministry of National Security in Kingston, Jamaica. The aim of the activity was to discover further areas of assistance in the process of successful national implementation of the Arms Trade Treaty (ATT), to which Jamaica is a State Party. For this purpose, the activities carried out and the results achieved under ATT OP I were presented to the participants as a point of reference. Jamaica presented the developments that had taken place since the last roadmap visit under the ATT OP I in March 2016, and described the status quo of ATT implementation and of the strategic trade controls. From various presentations, and during the roundtable discussions, the participants generated ideas about what fields needed to be improved and what kind of activities would be needed. As a result, a draft roadmap for ATT OP II was prepared.

After the event, the information provided during the workshop guided the implementing agency, as well as the experts involved, in drafting a roadmap for this partner country of ATT OP II.

#### Initial Assessment Event for Zambia, Lusaka, 28-30 November 2017

In August 2017, Zambia became a new roadmap partner country of the EU ATT Outreach Programme II (ATT OP II). In order to identify the needs and challenges of the Zambian stakeholders, an initial visit took place on 28-30 November 2017 in Lusaka.

A team of international ATT experts held several bilateral meetings with various Zambian authorities (Ministry of Foreign Affairs, Ministry of Home Affairs, Ministry of Justice, Ministry of Defence, Revenue Service etc.) with a view to acquiring a better picture of the situation in the country.

On the last day of the visit, a joint meeting of stakeholders and experts was arranged to discuss and finalise a first draft of a joint roadmap to serve as the basis for further cooperation.

The experts encountered an engaged and knowledgeable group of stakeholders who articulated their demands in an open and comprehensible way. In Zambia, the organisers were supported by experts from Croatia, Ghana, Hungary, New Zealand and the UK.

#### First Roadmap Activity for Ghana, Ho, 13-14 December 2017

The First Roadmap Activity for Ghana took place on 13-14 December 2017 in the Volta Serene Hotel, Ho. The aim of the event was to discover further areas of assistance in the process of successful national implementation of the Arms Trade Treaty (ATT) to which Ghana is a State Party.

For this purpose, the activities carried out and the results achieved under ATT-OP I were presented to the participants as a point of reference. Ghana presented the developments that had taken place since the last roadmap visit under the ATT-OP I in September 2016, and described the status quo of ATT implementation. From various presentations and during the roundtable discussions, the participants generated ideas about the fields that needed to be improved and what kind of activities could be conducted. As a result, a list of possible elements for the Roadmap for ATT-OP II was prepared.

#### First Roadmap Activity for Costa Rica, San José, 14-15 December 2017

The first Roadmap Activity for Costa Rica in ATT OP II had as the main goal the finalisation of the control list initiated during the first phase of the project. This control list constitutes the mandatory legal framework and serves as an indication of progress towards the effective national implementation of the ATT. For this purpose, the draft control list prepared by Costa Rica was analysed by the experts who also provided helpful hints on how to improve and complete this list. Further agenda items included challenges to meet ATT legal and technical requirements for an effective implementation, as well as a comparative analysis between the Mexican and Spanish control lists and the draft of Costa Rica.

At the end of the conference, the stakeholders committed to complete the control list in the ensuing weeks, to share it with the experts by 11 January and to have it ready for publication by 26 January 2018 and not later than 8 February 2018. Strategies and priorities for future roadmap activities were also discussed. This two-day conference was attended by representatives of the Costa Rican Ministry of the Presidency, Ministry of Foreign Affairs, Ministry of Public Security and Ministry of Finance, the Judicial Investigation Organisation (OIJ), as well as the Foundation Arias.

### First Experts Meeting and First Train-the-trainer Academy, Brussels, 23-25 January 2018

The First Experts Meeting under the new ATT OP II took place in Brussels, Belgium, on 23 and 24 January 2018. The two day meeting aimed to inform experts participating in the EU ATT OP II about the most recent developments within the project and in the partner countries, as well as to elaborate common approaches for knowledge-sharing and to exchange views on international cooperation and support in the area of arms transfers. The First Train-the-Trainer Academy Workshop for ATT OP II was conducted subsequently, on 25 January 2018.

### First Roadmap Activity for Colombia, Bogotá, 31 January-1 February 2018

The first Roadmap Activity for Colombia under ATT OP II took place at the Ministry of Foreign Affairs in Bogotá and had as the main goal the analysis of the status quo of the national implementation of the ATT in Colombia.

During the two-day workshop, challenges such as diversion, illicit trafficking and reporting obligations, were analysed and ways to address them were discussed. At the end of the workshop, the needs and priorities for future roadmap activities were discussed. Further agenda items included the essential elements regarding legal and technical requirements for effective ATT implementation, as well as end user verification to avoid diversion, and the link between the ATT and human rights.

This activity was attended by representatives of the Colombian Ministry of the Presidency, Ministry of Foreign Affairs, Ministry of Interior, Ministry of Defence, Ministry of Justice, National Police, National Intelligence Direction, TIA Committee, INDUMIL, Prosecutor General's Office and Colombian National Taxes and Customs Directions (DIAN).

## First Roadmap Activity for Cambodia, Phnom Penh, 7-8 February 2018

The First Roadmap Activity for the Kingdom of Cambodia under the EU Arms Trade Treaty Outreach Project (ATT OP II) took place on 7-8 February 2018 in Phnom Penh.

This two-day workshop followed an Initial Visit conducted in September 2017 and was based upon the results of that first assessment seminar. The thematic alignment of this workshop encompassed the establishment of a risk assessment management system, inter-agency cooperation, recordkeeping and reporting under the ATT.

At the end of the workshop, valuable insights and ideas were exchanged and the Cambodian side received a compendium of best practices and suggestions for the establishment of a risk assessment system and interagency cooperation to consider for adoption by the export control authorities in Cambodia. Furthermore, the experts obtained a detailed overview of the procedures and stipulations in the Cambodian export control system.

The EU project implemented by BAFA brought together national ATT stakeholders from the Ministry of Interior, the Ministry of Defence, the Ministry of Justice, the Ministry of Foreign Affairs and the Cambodian Customs Authority.

## First Roadmap Activity for Georgia, Tbilisi, 14-15 February 2018

The first Roadmap Activity in Georgia in ATT OP II took place in Tbilisi with the main goal to assess the status quo of the national implementation of the Arms Trade Treaty. Since Georgia had already taken part in the first phase of the project, this activity had the objective to identify the needs and demands of the Georgian stakeholders to amend the national roadmap accordingly. Furthermore, Georgia's important role in the region was one of the main points discussed during the event.



In the course of this meeting it became evident that Georgian partners had made considerable progress with respect to the implementation of the Arms Trade Treaty. Nevertheless, there were some issues that still needed to be addressed in more detail.

During the two-day workshop current challenges such as regional cooperation, brokering, physical security and stockpile management and the Common Military List were analysed and ways to address it discussed. At the end of the workshop, topics and priorities for future roadmap activities, as well as for regional activities were discussed.

This conference was attended by representatives of the Georgian Ministry of Defence, the Ministry of Foreign Affairs and of the Customs Department and Revenue Service. A welcome speech was delivered by the EU-Delegation to Georgia, as well as by the Georgian Ministry of Defence.

#### Initial Assessment Visit in Cameroon, Yaoundé, 21-22 February 2018

On 21 and 22 February, Expertise France, co-implementer of the second phase of the ‘EUP2P export control programme for arms-ATT’ (EUP2P-ATT), organised an initial visit in Yaoundé, Cameroon, to engage the newly established long term partner. Cameroon is a major stakeholder in the region, facing various security issues being a neighbour of the Sahel region, having a common frontier with the Republic of Central Africa and located on the Gulf of Guinea where maritime piracy is growing.

This initial visit gave the opportunity for the EU team of experts to have a broad view of the momentum on the ATT in the country that should lead Cameroon to ratify the Treaty in the first semester 2018 after having put in place the legislation and organisation dedicated to this issue. The discussions took place at the Ministry for External Relations in Yaoundé with 20 participants of the ministries and agencies in charge. It enabled the identification of issues to focus on for the three years of the programme.

#### Initial Assessment Visit in Ivory Coast, Abidjan, 6-7 March 2018

Abidjan, the Ivorian capital, hosted on 6 and 7 March 2018 an initial visit organised by Expertise France, the implementation agency of the EU ATT OP II programme. The Ivory Coast is a West African economic power, facing various security challenges, including the aftermath of the political crisis of the 1990s, exposure to the jihadist threat and the scourges of organised crime in major cities and towns. in the border areas.

In this State Party to the ATT, selected as a long-term partner country, the objective of the visit was to define, consensually, a programme for the implementation of the ATT-OP II project in Côte d'Ivoire for the period 2017 to 2020. Thus, at the initiative of the COMNAT-ALPC, focal point of the ATT in Côte d'Ivoire, visits to authorities and a two-day seminar brought together some thirty participants representing ministries in charge of the application of the Treaty, parliamentarians and representatives of civil society.

#### Ad Hoc Workshop for Thailand, Bangkok, 14-15 March 2018

The Ad-hoc Workshop for the Kingdom of Thailand took place on 14-15 March 2018 in Bangkok. This workshop was organised on the request of the Ministry of Foreign Affairs of Thailand. The topics of this workshop covered the legislation, implementation and enforcement of brokering controls under the ATT.

According to the Ministry of Foreign Affairs, the preparations for ratification of the ATT in Thailand were quite advanced and almost completed. Only arms brokering remained an issue. The term ‘arms brokering’ in the sense of the ATT did not exist in the Thai legislation yet. The goal of the workshop was therefore to assess if amendments to existing legislation or even the introduction of a completely new law were needed before ratification. At the end of the workshop, valuable insights and ideas were exchanged and possible ways for the further process of ATT ratification were discussed.

The event brought together national ATT stakeholders from the Ministry of Foreign Affairs, Ministry of Defence, Ministry of Commerce, Ministry of Interior, Ministry of Finance, Royal Thai Police, the Office of the National Security Council, the Office of the Attorney General, the Office of the Council of State, Defence Industry and Energy Centre Equipment Control And Industry Development Division and Thai Customs Department.

#### First Roadmap Activity in the Philippines, Manila, 21-22 March 2018

On 21 and 22 March, Expertise France, co-implementer of the second phase of the ‘EUP2P export control programme for arms-ATT’ (EUP2P-ATT), organised a first roadmap activity in Manila, Philippines, to continue the successful work already performed during phase I (2014-2017) with BAFA. The Philippines is one of the few States in the Asia-Pacific region to be engaged in the ATT process and is of strategic importance being an importer, producer and exporter of arms. It also has various issues related to internal security due to the presence of terrorist groups in some islands, to external security in the disputed area of the South China Sea and with so many possible points of entry of goods due to its geography as an archipelago with more than 7,000 islands.

Having signed the ATT, the Philippines has adopted its legislation and organisation so as to comply with the ATT and to be able to ratify it in the near future. The work done is remarkable and goes beyond what ATT demands.

This first activity gave the opportunity for the EU team of experts to assist the assembled Philippines delegates to design and agree a roadmap for the next two and a half years that will include 4 more activities and 2 regional seminars. These activities should help the effective implementation of the ATT in the Philippines and to promote it in the sub-region.

#### First Roadmap Activity in Senegal, Dakar, 21-22 March 2018

As part of the second phase of the EU project ATT Outreach, implemented by Expertise France, Senegal hosted a legal workshop on 21 and 22 March 2018, bringing together about fifteen experts. The purpose of this first activity was twofold: on the one hand, to make progress on the regulatory framework and, on the other, to define the 2018-2020 roadmap. For this State Party to the ATT, which is a long-term partner of the programme, the effective implementation of the ATT depends on the definition of the regulatory framework. This aspect is important for a country in the Sahel, given the regional environment characterised by various and mutating security threats, including organised crime and terrorism.

The EU experts joined those selected by the COMNAT / SALW of Senegal to advise on the preliminary draft law and specify the constituent elements of the draft decree. Following this technical meeting, expectations were met with a revised regulatory framework and concrete guidelines for the drafting of the implementing texts.

### Study Visit for Costa Rica in Malta, Valetta, 11-13 April 2018

On 11-13 April a study visit for Costa Rica took place in Valletta, Malta, under the EU Arms Trade Treaty Outreach Project (ATT OP II). Experts from the United Kingdom, the Netherlands, Uruguay and Spain provided their expertise on effective ATT implementation and shared with Costa Rican representatives their national system methods and best practices for enforcement and risk assessment.

This activity within the EU project was dedicated to government, customs and enforcement officials from the Ministry of Foreign Affairs, Ministry of Public Security, Ministry of the Presidency and Customs Department at the Ministry of Finance from Costa Rica.

The event, which also included a study visit to the Malta Freeport Terminals, provided a forum for Costa Rican delegates and experts to discuss challenges in the area of arms transfer control. In this way, the three day visit provided those stakeholders with the opportunity to engage in discussions with international experts and learn first-hand about customs and enforcement procedures at one of the ports of entry in the EU. As the main focus in Costa Rica is put on the implementation of transit and trans-shipment controls of weapons, special consideration was paid to this area.

### Second Roadmap Activity for Jamaica, Kingston, 18-19 April 2018

On April 18-19, the second roadmap activity for Jamaica within the framework of the EU ATT Outreach Project II was conducted in Kingston. The content of the seminar mirrored the roadmap which was jointly developed by the experts' team and the Jamaican stakeholders.

After the opening of the event by a representative of the Ministry of National Security and the EU Delegation in Kingston, the national focal point summarised the achievements of the previous roadmap such as the creation of a licensing users guide. He highlighted the main challenges for the country regarding the effective implementation of the ATT. Following this, an exercise was conducted to introduce discussion on the national control list. The last session of the day was dedicated to a presentation on risk assessment criteria.

On the second day, a session on arms diversion was facilitated which provided an overview of the problems of armed violence in the Caribbean and also named the main sources of diversion. The discussions on the issue continued with a presentation about relevant case studies which triggered a lively discussion among the stakeholders. The second half of the day included a round-table discussion on transit and trans-shipment. The experts informed the participants about the situation in their home countries and then participated in an interactive exercise.

#### Ad Hoc Workshop for Chile, Santiago, 25-26 April 2018

At the request of Chile, an Ad Hoc Seminar was held on 25 and 26 April in Santiago, Chile, within the framework of ATT OP II. Although the BAFA outreach team had recently been active in Latin America, this was the first time that BAFA had organised an outreach activity in Chile.

As Chile had signed the ATT in June 2013 and was already working on steps towards ratification, Chile was in a position to adapt its export control provisions to ATT requirements. The topics covered in the Ad Hoc Seminar were proposed by the Chilean stakeholders. The topics consisted of a general overview of the goals, obligations and requirements of the ATT and detailed discussion of brokering controls, licensing, record keeping and reporting, and risk assessment.

This seminar contributed to raising the awareness of the requirements and obligations of the ATT among Chilean stakeholders from different Ministries (among them the Ministry of Defence, Ministry of the Interior and Public Security and the Ministry of Foreign Affairs), Customs and other agencies involved. Furthermore, during the sessions individual practical aspects of building an efficient national export control system were tackled, such as how to set up a comprehensive control list, how to organise the licensing process in an efficient and compliant way and how to assure smooth interagency cooperation in line with information security needs.

In conclusion, the Ad Hoc Seminar provided the Chilean participants with the opportunity to engage in a comprehensive discussion on important challenges linked to the implementation of the ATT. The activity was supported by a team of four ATT experts from UNLIREC, Sweden, Spain and Germany.

#### Sub-Regional Workshop Latin America (Peru and Colombia) in Peru, Iquitos, 9-10 May 2018

With this Sub-Regional Workshop, BAFA offered a platform for relevant ATT stakeholders from Peru and Colombia to discuss efficient cooperation against illicit trans-border arms trafficking in the Amazon border region.

During the two-day workshop, experts from Argentina, Costa Rica, Spain, Sweden and the United Nations shared their expertise and combined efforts with the Peruvian and Colombian counterparts to review and discuss common security challenges, such as diversion and illicit trafficking and ways to deter them.

Furthermore, this workshop included a practical exercise. In addition to the theoretical sessions where the experts exposed relevant aspects of the ATT, such as legal, institutional and operational requirements, and discussed best-practices for the region, participants took part in a field visit to the maritime police premises where they had the opportunity to witness in situ - and through a simulation - how officials from Iquitos detected and intercepted illicit arms trafficking cargoes.

This conference was attended by delegates of the Peruvian Ministries of: Foreign Affairs, Defence, Interior, Justice and Production; the Peruvian National Intelligence Direction; CONATIAF; SUNAT (National Superintendence of Tax Administration); SUCAMEC; and the Peruvian Armed Forces (National Police, Coast Guard Unit and Navy). The Colombian delegation was composed of representatives of the Ministry of Foreign Affairs, Ministry of Interior, Ministry of Defence, Ministry of Justice, National Police, National Intelligence Direction, TIA Committee, INDUMIL, Prosecutor General's Office and Colombian National Taxes and Customs Direction (DIAN).

#### First Roadmap for Zambia, Livingstone, 23-24 May 2018

On 23-24 May 2018, the First Roadmap Activity for Zambia under the second phase of the EU Arms Trade Treaty Outreach Project (ATT OP II) was conducted in Livingstone. In August 2017, Zambia became a new roadmap partner country and BAFA organised an Initial Visit to Lusaka in the following November. During this activity, the joint roadmap for Zambia was developed, planned to be implemented over the course of the next two years. The first roadmap activity mirrored some of the roadmap's main points.

In the opening ceremony, a representative of the Zambian Ministry of Defence provided an overview of the current situation with ATT implementation in Zambia. The participants had an opportunity to discuss the legal aspects of ATT implementation. This session was followed by contributions on the establishment of a national control list. Furthermore, the role of the inter-agency committee which had recently been established was discussed.

The second day kicked-off with presentations on licensing and interagency cooperation, which were well received and led to lively debates among the Zambian stakeholders. The participants and experts also discussed record keeping and reporting requirements for ATT States Parties.



Throughout the activity, the experts encountered an interested and knowledgeable group of stakeholders and engaged in frank and fruitful discussions on the opportunities and challenges for Zambia in the implementation process.

#### Initial Assessment Visit to Benin, Cotonou, 30-31 May 2018

Benin authorities welcomed, on 30-31 May 2018, the initial visit of the experts team from Expertise France, co-responsible for the implementation of the second phase of the EU ATT Outreach Project. As a coastal country in the Atlantic Ocean, bordering Togo, Nigeria, Niger and Burkina Faso, Benin combines aspects of destination, transshipment and transit countries, which have an impact on the effective control of transfers of conventional weapons and the effective implementation of the ATT.

This initial visit, punctuated by visits to the authorities of the Presidency of the Republic and the Ministry of Foreign Affairs and Cooperation, made it possible to clarify the challenges facing this State Party to the ATT. The two-day work that gathered key actors involved in the implementation of the various instruments related to conventional weapons, also offered the opportunity to discuss the working tracks that will be at the core of the EU ATT OP II national roadmap.

#### Second Roadmap Activity for Cambodia, Phnom Penh, 5-6 June 2018

This two-day workshop was the third of five activities in the framework of the Cambodian Roadmap and was based on the results of the first assessment seminar in September 2017.

The thematic alignment of this workshop encompassed the ATT implementation process, licensing procedures, transit and trans-shipment, brokering, the UNODC Container Control Programme, as well as diversion and security. At the end of the workshop, insights and ideas were exchanged and the Cambodian side received many suggestions for the preparation of ratification of the treaty, to be considered for adoption by the relevant export control authorities in Cambodia. Furthermore, the experts' team obtained a detailed overview of the handling of arms imports by the Cambodian government and the cooperation among involved authorities.

The EU project implemented by BAFA brought together more than 20 representatives of national ATT stakeholders from the Ministry of Interior, the Ministry of National Defence, the Ministry of Justice, the Ministry of Foreign Affairs and the Cambodian General Department of Customs and Excise.

First Roadmap Activity for Burkina Faso, Ouagadougou, 30-31 May 2018

In the framework of the EU ATT OP II, Burkina Faso hosted a sensitisation workshop for parliamentarians and civil society organisations on the implementation of the Arms Trade Treaty. About twenty participants including deputies, parliamentary assistants, as well as representatives of civil society and the media, were brought together by the HACIAU (ATT national contact point).

The aim was to inform the participants about the project, but above all to present the regulatory documents marking the domestication of the ATT dispositions, in order to encourage each actor to play his/her role in the adoption of the laws and their effective application. After two very rich days of discussions, the participants pledged themselves to get actively involved in order to ensure that Burkina Faso had the right regulatory framework for the effective implementation of the ATT at the national level as soon as possible, in order to have a new tool contributing to peace and security at the national and sub-regional levels.

## Second Roadmap Activity for Georgia, Tbilisi, 20-21 June 2018

On 20-21 June 2018 the Second Roadmap Activity for Georgia under the second phase of the EU Arms Trade Treaty Outreach Project (ATT OP II) took place in Tbilisi, Georgia. In February 2018 the first roadmap activity had taken place. The outcome of this activity had been the development of the amended joint roadmap which will be implemented over the course of the next two years.

The agenda items of the Second Roadmap Activity mirrored some of the outcomes of the roadmap discussion. The event focused on various aspects of national ATT implementation, such as brokering, the control list and commodity identification. Furthermore, the participants engaged in discussions on regional cooperation with respect to a planned sub-regional workshop this year, as well as on further priorities for the roadmap activities. The event in Tbilisi was attended by eight Georgian participants.

## Second Roadmap Activity for Ghana, Accra, 10-11 July 2018

This two-day workshop was the second of five activities in the framework of the Ghanaian Roadmap and was based upon the results of the first assessment seminar in December 2017. The thematic alignment of this workshop encompassed legal drafting, licensing procedures and end-use certificates.

The EU project implemented by BAFA brought together 26 national ATT stakeholders from the National Commission of Small Arms and Light Weapons, the Ghanaian Police, the Armed Forces of Ghana, the Ministry of Foreign Affairs, the Ghana Customs Service, the Law Review Commission and the Parliamentarian Committee for Defence and Interior.

### First Roadmap Activity for Peru, Lima, 16-17 July 2018

This event held in Lima, Peru, on 16-17 July 2018 was the first Roadmap Activity for Peru in the framework of the second phase of the EU Arms Trade Treaty Outreach Project based on the Council Decision 2017/915 CFSP. Peru was already a partner country during the first stage of the project.

The aim of this activity was to determine, together with the authorities of Peru (Ministry of Foreign Affairs, Defence, Interior, Justice, etc.), the current status of the Peruvian arms transfer system with regard to the implementation of the treaty, and to analyse the priorities for further cooperation. Furthermore, the expectations of the second stage of the ATT Outreach project were discussed and an updated roadmap for the project was prepared.

In addition, this first Roadmap Activity offered a platform for relevant stakeholders involved in Peru's national ATT process to discuss ways to face the challenges to effectively apply the treaty. Recommendations on how to comply with the obligations set out in the ATT were given by four distinguished international experts.

### First Ad Hoc Workshop in Nigeria, Abuja, 17-18 July 2018

On 17-18 July a first ad hoc workshop took place in Abuja, Nigeria. This activity followed an assistance request sent to the European External Action Service (EEAS) by the Nigerian Presidential Committee on Small Arms and Light Weapons.

Nigeria, as the first African State Party to the Arms Trade Treaty (ATT), recognises the importance of the ATT in addressing the challenges posed by illicit proliferation of arms to human security, and to international and regional peace, security and stability. It further appreciates the fact that its implementation will further reinforce the effectiveness of other international and regional instruments on the control of arms proliferation, especially the ECOWAS Convention on Small Arms.

The objective of this ad hoc cooperation with the EU was to bring together and sensitise policy makers from relevant Ministries/Agencies and selected Parliamentarians in Nigeria and to articulate the comprehensive implementation of the ATT in Nigeria. This successful workshop was the first of two interagency seminars which should, at the end of the process, allow for the drafting of a national roadmap on ATT implementation in Nigeria.

#### First Roadmap Activity in Cameroon, Yaoundé, 18-19 July 2018

In the aftermath of two major steps for Cameroon concerning the arms trade, namely the ratification of the ATT on 18 June 2018, and the first Conference of the State Parties of the Kinshasa Conference on SALW held in Yaoundé from 11-13 June, the first roadmap activity under the EU ATT OP took place in Yaoundé on 18-19 July 2018. It was mainly dedicated to a legal workshop to discuss the secondary legislation of the 14 December 2016 Act on arms which was at a final stage before adoption.

Cameroon is facing a regional environment with major security aspects involving its neighbours, and working at a sub- regional level is an important consideration for the country. The international experts from France, Belgium and Sweden were able to share their experiences with representatives of the various administration and agencies selected by the Minister of External Relations (MINREX).

#### Second Roadmap Activity in Senegal, Dakar, 23-24 July 2018

Through this second roadmap activity in the framework of the EU ATT OPII, and with the support from EU and international experts, Senegal was able to finalise the drafting of legal texts favouring the domestication of the ATT dispositions. This was a crucial step for the effective implementation of the ATT. Thus, a draft bill and a proposal for a decree were examined and revised in a critical and constructive way, resulting in documents validated by the participants.

Another important element, the national control list was studied, consolidated and proposed for adoption. With this number of quality documents setting an exhaustive national legal framework, Senegal showed that it was firmly committed to the effective implementation of the ATT.

#### Initial Assessment Visit in Togo, Lomé, 1-2 August 2018

On 1-2 August, an initial assessment visit took place in Lomé with the first aim to establish a national roadmap in the framework of the EU ATT OP II as Togo is now a long term partner country for the phase II of the programme.

The first day was dedicated to official visits to the Ministry of Defence, the Ministry of Foreign Affairs and to the Minister in charge of the Interior (Ministre de la Sécurité et de la Protection civile, Général Yark). On the second day, discussions and presentations took place with major stakeholders of the Ministries/agencies and with the invited civil society representatives. The event was covered broadly by the media. The discussions with the experts from France and Belgium were fruitful and concluded with agreement relating to four activities planned for the next two years.

#### Side Event at the CSP4 in Japan, Tokyo, 22 August 2018

In the framework of the ATT Fourth Conference of States Parties (CSP4), COARM Chair moderated a side event, with the support of BAFA and Expertise France, in Tokyo, Japan, on 22 August 2018.

This side event started with a brief overview of the EU ATT Outreach Project. In addition, the most relevant outcomes of the first phase of the project were presented. This was followed by an analysis of the first year of the second phase. In this regard, the achievements, main challenges and current trends were presented. With 75 participants, the event received excellent support.

In addition to the COARM Chair, presentations were made by BAFA and EF and by two long term roadmap partners: Ambassador Bruce S. Conception (Philippines) and Mr Leonard Tettey (Ghana). Participants at the side event included not only delegates from our partner countries, but also representatives of international and regional organisations. These representatives expressed the wish to work together on outreach activities in the future.

In addition, many other countries expressed interest in becoming a partner country within the programme. The representatives of these countries were informed about the procedures through which the cooperation and assistance could be provided.

#### Study Visit for Jamaica to the United Kingdom, London, 20-22 August 2018

In cooperation with the UK Border Force, BAFA organised a study visit for customs and enforcement officials from Jamaica to the customs office at Heathrow Airport in London within the framework of the second ATT Outreach project, on 20-22 August 2018.

The Jamaican participants received a general overview of the procedures at Heathrow airport, as well as on the challenges for customs officials on site. Afterwards participants engaged in a roundtable session on the responsibilities and challenges of modern customs authorities. The further discussions of day one dealt with risk management and customs profiling, with a particular focus on transit and transshipment issues.

The second day started with a warehouse visit where the participants had the opportunity to observe the work of specially trained customs dogs. The afternoon was dedicated to talks about interagency cooperation between customs, licensing authorities and prosecutors, as well as the relations between customs and industry.

The last day kicked-off with an exercise in a customs warehouse where the participants were tasked to apply risk profiles in order to identify illegal cargos. Afterwards the experts from Heathrow provided various case studies to round up the activity.



**TABLE E*****Internet addresses of Member States' national websites providing national reports on arms exports***

Austria:	<a href="http://www.bmeia.gv.at">http://www.bmeia.gv.at</a>
Belgium:	<a href="http://www.fdfa.be/csg">www.fdfa.be/csg</a> , <a href="http://gouvernement.wallonie.be/publications/250">http://gouvernement.wallonie.be/publications/250</a>
Bulgaria:	<a href="http://www.mi.government.bg/themes-c208.html">http://www.mi.government.bg/themes-c208.html</a> <a href="http://exportcontrol.bg/Modulbg.php?id=2263">http://exportcontrol.bg/Modulbg.php?id=2263</a>
Croatia:	<a href="http://www.mingo.hr">http://www.mingo.hr</a>
Czech Republic:	<a href="https://www.mpo.cz/en/foreign-trade/licence-administration/">https://www.mpo.cz/en/foreign-trade/licence-administration/</a> <a href="http://www.mzv.cz/kontrolaexportu">www.mzv.cz/kontrolaexportu</a>
Denmark:	<a href="http://www.justitsministeriet.dk/arbejdsomr%C3%A5der/v%C3%A5ben/udf%C3%B8rsel-af-v%C3%A5ben-og-milit%C3%A6rt-udstyr-mv">http://www.justitsministeriet.dk/arbejdsomr%C3%A5der/v%C3%A5ben/udf%C3%B8rsel-af-v%C3%A5ben-og-milit%C3%A6rt-udstyr-mv</a>
Estonia:	<a href="http://vm.ee/en/annual-reports-strategic-goods-commission">http://vm.ee/en/annual-reports-strategic-goods-commission</a>
Finland:	<a href="http://www.defmin.fi/en/tasks_and_activities/resources_of_the_defence_administration/export_control">http://www.defmin.fi/en/tasks_and_activities/resources_of_the_defence_administration/export_control</a>
France:	<a href="http://www.defense.gouv.fr/actualites/articles/publication-du-rapport-au-parlement-sur-les-exportations-d-armement-2013">http://www.defense.gouv.fr/actualites/articles/publication-du-rapport-au-parlement-sur-les-exportations-d-armement-2013</a> <a href="http://www.ladocumentationfrancaise.fr/rapports-publics/134000461-rapport-au-parlement-2013-sur-les-exportations-d-armement-de-la-france">http://www.ladocumentationfrancaise.fr/rapports-publics/134000461-rapport-au-parlement-2013-sur-les-exportations-d-armement-de-la-france</a> <a href="http://www.diplomatie.gouv.fr/fr/actions-france_830/desarmement-maitrise-armements-controle-exportations_4852/controle-exportations-instrument-prevention_4867/index.html">http://www.diplomatie.gouv.fr/fr/actions-france_830/desarmement-maitrise-armements-controle-exportations_4852/controle-exportations-instrument-prevention_4867/index.html</a>

Germany:	<p><a href="http://www.bmwi.de/Redaktion/EN/Publikationen/military-equipment-export-report-2016.html">http://www.bmwi.de/Redaktion/EN/Publikationen/military-equipment-export-report-2016.html</a></p> <p><a href="http://www.bafa.de/EN/Foreign_Trade/Export_Control/export_control_node.html">http://www.bafa.de/EN/Foreign_Trade/Export_Control/export_control_node.html</a></p> <p>(general information on the German export control system)</p>
Hungary:	<a href="http://mkeh.gov.hu/haditechnika/haditechnika_kulkereskedelem/6a_Jelentesek">http://mkeh.gov.hu/haditechnika/haditechnika_kulkereskedelem/6a_Jelentesek</a>
Ireland:	<a href="https://dbei.gov.ie/en/What-We-Do/Trade-Investment/Export-Licences/Publications-and-Forms/">https://dbei.gov.ie/en/What-We-Do/Trade-Investment/Export-Licences/Publications-and-Forms/</a>
Italy:	<p><a href="http://www.esteri.it/mae/it/ministero/struttura/uama/legislazione.html">http://www.esteri.it/mae/it/ministero/struttura/uama/legislazione.html</a></p> <p><a href="http://www.esteri.it/mae/resource/doc/2017/06/legge_09_07_1990_n185.pdf">http://www.esteri.it/mae/resource/doc/2017/06/legge_09_07_1990_n185.pdf</a> (English)</p>
Latvia:	<a href="http://www.mfa.gov.lv/images/Arpolitika/SNPKK_dokumenti_2015-2018_I_ceturksnis.pdf">http://www.mfa.gov.lv/images/Arpolitika/SNPKK_dokumenti_2015-2018_I_ceturksnis.pdf</a>
Lithuania:	<a href="http://ukmin.lrv.lt/lt/veiklos-sritys/verslo-aplinka/prekyba/uzsienio-prekyba">http://ukmin.lrv.lt/lt/veiklos-sritys/verslo-aplinka/prekyba/uzsienio-prekyba</a>
Malta:	<a href="http://commerce.gov.mt">http://commerce.gov.mt</a>
Netherlands:	<p><a href="http://www.rijksoverheid.nl/onderwerpen/exportcontrole-strategische-goederen">http://www.rijksoverheid.nl/onderwerpen/exportcontrole-strategische-goederen</a> (Dutch)</p> <p><a href="http://www.government.nl/issues/export-controls-of-strategic-goods">http://www.government.nl/issues/export-controls-of-strategic-goods</a> (English)</p>
Poland:	<p><a href="http://www.msz.gov.pl/pl/polityka_zagraniczna/polityka_bezpieczenstwa/kontrola_eksportu/transparencja/">http://www.msz.gov.pl/pl/polityka_zagraniczna/polityka_bezpieczenstwa/kontrola_eksportu/transparencja/</a></p> <p><a href="http://www.msz.gov.pl/en/foreign_policy/security_policy/export_control/">http://www.msz.gov.pl/en/foreign_policy/security_policy/export_control/</a></p>

Portugal:	<a href="http://www.portugal.gov.pt/pt/ministerios/mdn/quero-saber-mais/sobre-o-ministerio/tranferencias-intracomunitarias-bens-e-tecnologias-militares/transmissao-e-circulacao-de-produtos-de-defesa.aspx">http://www.portugal.gov.pt/pt/ministerios/mdn/quero-saber-mais/sobre-o-ministerio/tranferencias-intracomunitarias-bens-e-tecnologias-militares/transmissao-e-circulacao-de-produtos-de-defesa.aspx</a>
Romania:	<a href="http://www.ancex.ro">www.ancex.ro</a>
Slovakia:	<a href="http://www.economy.gov.sk">www.economy.gov.sk</a>
Slovenia:	<a href="http://www.mo.gov.si/en/annual_reports_and_other_documents/">http://www.mo.gov.si/en/annual_reports_and_other_documents/</a>
Spain:	<p><a href="http://www.comercio.gob.es/es-ES/comercio-exterior/informacionsectorial/material-de-defensa-y-de-doble-uso/Paginas/concepto.aspx">http://www.comercio.gob.es/es-ES/comercio-exterior/informacionsectorial/material-de-defensa-y-de-doble-uso/Paginas/concepto.aspx</a></p> <p><a href="http://www.comercio.gob.es/es-ES/comercio-exterior/informacionsectorial/material-de-defensa-y-de-doble-uso/Paginas/Publicaciones-MDDU.aspx">http://www.comercio.gob.es/es-ES/comercio-exterior/informacionsectorial/material-de-defensa-y-de-doble-uso/Paginas/Publicaciones-MDDU.aspx</a></p> <p><a href="http://www.comercio.gob.es/en/comercio-exterior/informacionsectorial/material-de-defensa-y-de-doble-uso/pages/publicacionesmddu.aspx">http://www.comercio.gob.es/en/comercio-exterior/informacionsectorial/material-de-defensa-y-de-doble-uso/pages/publicacionesmddu.aspx</a> (English)</p>
Sweden:	<a href="http://www.government.se/4aac10/contentassets/34e63b97dbb047a5884f8af615ef8d08/en_skr.-2016-17-nr-114--strategisk-exportkontroll-2016_eng-aaml_rev.doc.._.pdf">http://www.government.se/4aac10/contentassets/34e63b97dbb047a5884f8af615ef8d08/en_skr.-2016-17-nr-114--strategisk-exportkontroll-2016_eng-aaml_rev.doc.._.pdf</a>
United Kingdom:	<p><a href="https://www.gov.uk/government/publications/uk-strategic-export-controls-annual-report-2017">https://www.gov.uk/government/publications/uk-strategic-export-controls-annual-report-2017</a></p> <p><a href="https://www.exportcontroldb.trade.gov.uk/sdb2/fox/sdb/SDBHOME">https://www.exportcontroldb.trade.gov.uk/sdb2/fox/sdb/SDBHOME</a></p>