



REVIEWING 2016 ATT ANNUAL REPORTS ON ARMS EXPORTS AND IMPORTS:

ANALYSIS AND GOOD PRACTICE

Arms
Trade
Treaty

Baseline Assessment Project

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INTRODUCTION

The Arms Trade Treaty (ATT) seeks to promote cooperation, transparency, and responsible action in the international arms trade. Article 13(3) of the ATT requires States Parties to provide an annual report containing information on authorizations or actual exports and imports of the eight categories of conventional arms contained in Article 2(1) of the Treaty (hereafter referred to as “annual report”). The first ATT annual reports for 63 States Parties were due to be submitted to the ATT Secretariat by 31 May 2016, providing information on either authorizations or actual exports and imports of conventional arms that took place during the 2015 calendar year. This ATT-Baseline Assessment Project (ATT-BAP) report analyzes the annual reports that were received by the ATT Secretariat by 31 August 2016 and publicly displayed on the ATT Secretariat’s website. The analysis addresses the following questions:

- Do the first ATT annual reports contribute to an increase in transparency in the international arms trade?
- What types of information are States Parties providing on their arms exports and imports?

This report is divided into four sections. The first section outlines the rationale for and purpose of the annual reports on arms exports and imports. The second section discusses the process for developing a standardized reporting form for States Parties to use in order to fulfill their obligations to provide an annual report to the Secretariat. This section also compares the contents of the provisional reporting template with the contents of the UN Register of Conventional Arms (UNROCA) standardized forms for reporting transfers of seven categories of conventional arms and providing background information on international transfers of small arms and light weapons (SALW). The third section provides an overview of the contents of the first ATT annual reports. This section considers the following types of information: reports on exports of the first seven categories of conventional arms contained in Article 2(1); reports on imports of the same categories; reports on exports of SALW; and reports on imports of SALW. The report concludes with an analysis of UNROCA reporting as compared to the ATT annual reports as well as highlighting good practice for future reporting efforts.



Arms Trade Treaty

Baseline Assessment Project

THE ARMS TRADE TREATY BASELINE ASSESSMENT PROJECT

The Arms Trade Treaty-Baseline Assessment Project (ATT-BAP) aims to assist States in understanding the obligations of the ATT and to promote effective implementation. ATT-BAP supports efforts to assist States in implementing the Treaty and to ensure that reporting on the ATT is comprehensive and robust. In particular, ATT-BAP seeks to help States identify necessary requirements to effectively implement the ATT. ATT-BAP has developed tools to help provide a baseline for assessing State progress in implementing the ATT and enable measurement of the Treaty's impact and long-term effectiveness. These tools are also utilized for identifying State capacity and resource needs, including the identification of critical gaps and available resources to implement the ATT. The tools include a Ratification Checklist, the ATT-BAP Baseline Assessment Survey, the ATT-BAP Portal and database, and guidance for completing initial reports.

THE PURPOSE OF ATT ANNUAL REPORTS ON ARMS EXPORTS AND IMPORTS

All States Parties are required to submit an annual report in accordance with Article 13(3) of the ATT, which states:

Each State Party shall submit annually to the Secretariat by 31 May a report for the preceding calendar year concerning authorized or actual exports and imports of conventional arms covered under Article 2(1). Reports shall be made available, and distributed to States Parties by the Secretariat. The report submitted to the Secretariat may contain the same information submitted by the State Party to relevant United Nations frameworks, including the United Nations Register of Conventional Arms. Reports may exclude commercially sensitive or national security information.

The annual report contributes to the objective and purpose of the ATT by supporting cooperation in and transparency of the international arms trade. The final report of the informal working group on reporting templates noted that an annual report on arms exports and imports can:

Demonstrate a State Party's adherence to Treaty obligations regarding the responsible regulation of the international transfer of controlled items

Enhance awareness of regional and global arms flows

Promote confidence-building among States Parties

Contribute toward early warning signals for potential conflicts

Support conflict prevention efforts

Represent valuable input to risk assessment processes of national licensing systems¹

GOVERNMENT OF _____

ANNUAL REPORT ON EXPORTS AND IMPORTS OF CONVENTIONAL
ARMS AND AMMUNITION IN ACCORDANCE WITH ARTICLE 13(3) OF THE ARMS TRADE TREATY
FOR THE CALENDAR YEAR _____

To help address potential concerns with reporting burdens and fatigue, Article 13(3) notes that States Parties can provide the same information on their arms exports and imports in their annual reports as provided to UNROCA. The first seven categories of conventional arms listed in Article 2(1) of the ATT are the same categories of conventional arms covered by UNROCA (see Box 1). Since 2003, States have also been invited to provide background information on international transfers of SALW. Thus, States that have provided information to UNROCA for all eight categories of conventional arms listed in Article 2(1) may use the same information in their ATT annual report as they provided in their UNROCA submission.

For States Parties that regularly report their exports and imports of conventional arms, including SALW, to UNROCA, submitting an ATT annual report may not present an additional reporting burden. Table 2 shows that only three of the 63 States Parties that were due to submit an annual report by 31 May 2016 have never provided a submission to UNROCA.² However, the remaining 60 States Parties do not all regularly report to UNROCA. Figure 1 shows that there has been a dramatic decline in the number of States reporting to UNROCA since 2007, when 113 UN Member States provided a submission, to just 52 UN Member States in 2012 and 54 in 2015. Nevertheless, the 63 States Parties due to submit their first ATT annual report in 2016 have had a good record of reporting overall. Fifty-eight of these States Parties have reported at least once to UNROCA since 2007, with 40 of the 63 States Parties among the 54 States that reported to UNROCA in 2015. In addition, 52 of the 63 States Parties have provided background information on international transfers of SALW to UNROCA at least once. Therefore, ATT annual reports could supplement information already provided in UNROCA submissions and contribute to the promotion of transparency for international transfers of conventional arms in general and SALW in particular.

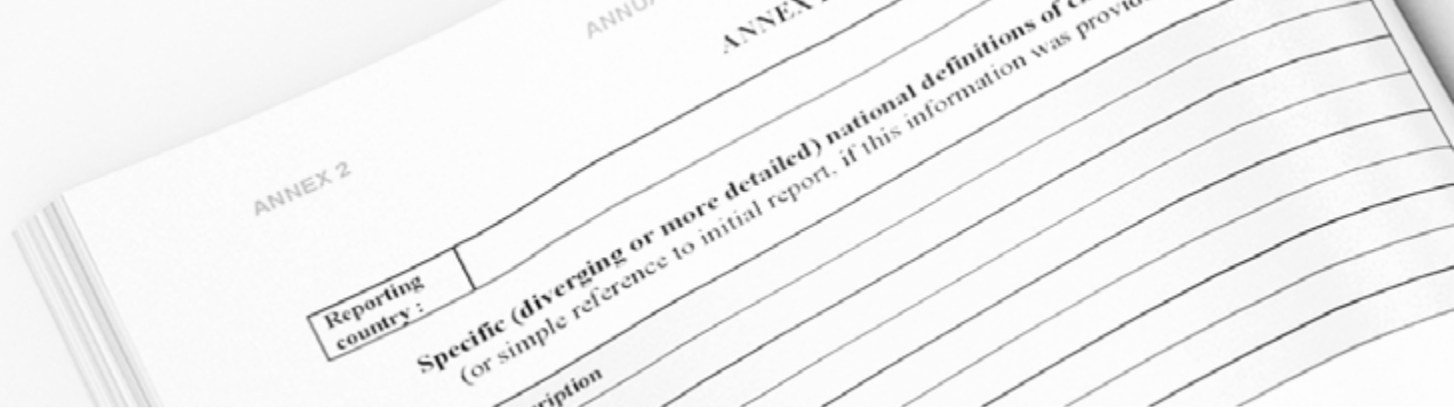
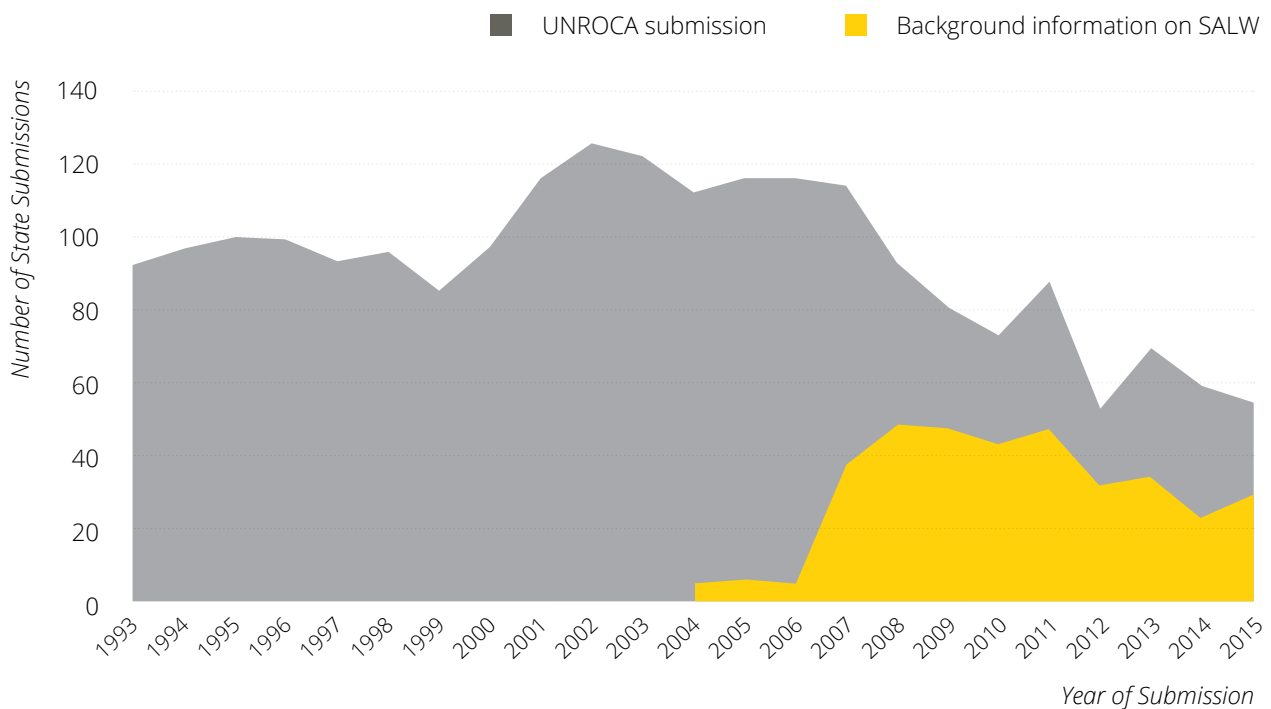
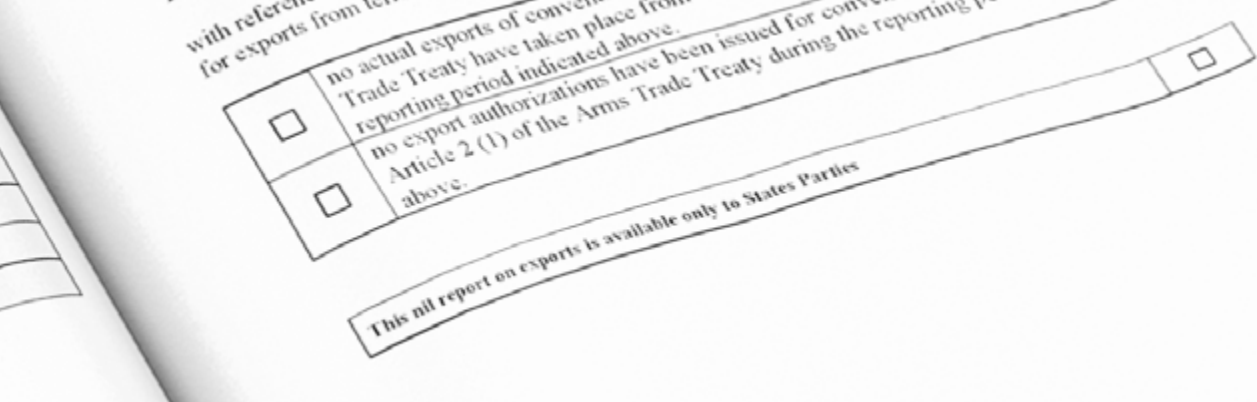


Figure 1. Submissions to UNROCA on seven categories and background information on international transfers of SALW



Box 1: Categories of Conventional Arms Contained in Article 2(1) of the ATT Compared to UNROCA Categories

| ATT CATEGORIES | UNROCA CATEGORIES AND DESCRIPTIONS |
|---------------------------------|--|
| Battle tanks | Category I. Battle tanks Tracked or wheeled self-propelled armoured fighting vehicles with high cross-country mobility and a high-level of self-protection, weighing at least 16.5 metric tons unladen weight, with a high muzzle velocity direct fire main gun of at least 75 millimetres calibre. |
| Armoured combat vehicles | Category II. Armoured combat vehicles Tracked, semi-tracked or wheeled self-propelled vehicles, with armoured protection and capability, either: (a) designed and equipped to transport a squad of four or more infantrymen, or (b) armed with an integral or organic weapon of at least 12.5 millimetres calibre or a missile launcher. |



| ATT CATEGORIES | UNROCA CATEGORIES AND DESCRIPTIONS |
|---|---|
| <p>Large-calibre artillery systems</p> | <p>Category III. Large-calibre artillery systems</p> <p>Guns, howitzers, artillery pieces, combining the characteristics of a gun or a howitzer, mortars or multiple-launch rocket systems, capable of engaging surface targets by delivering primarily indirect fire, with a calibre of 75 millimetres and above.</p> |
| <p>Combat aircraft</p> | <p>Category IV. Combat aircraft</p> <p>Fixed-wing or variable-geometry wing aircraft designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons or other weapons of destruction, including versions of these aircraft which perform specialized electronic warfare, suppression of air defence or reconnaissance missions. The term “combat aircraft” does not include primary trainer aircraft, unless designed, equipped or modified as described above.</p> |
| <p>Attack helicopters</p> | <p>Category V. Attack helicopters</p> <p>Rotary-wing aircraft designed, equipped or modified to engage targets by employing guided or unguided anti-armour, air-to-surface, air-to-subsurface, or air-to-air weapons and equipped with an integrated fire control and aiming system for these weapons, including versions of these aircraft which perform specialized reconnaissance or electronic warfare missions.</p> |
| <p>Warships</p> | <p>Category VI. Warships</p> <p>Vessels or submarines armed and equipped for military use with a standard displacement of 500 metric tons or above, and those with a standard displacement of less than 500 metric tons, equipped for launching missiles with a range of at least 25 kilometres or torpedoes with similar range.</p> |
| <p>Missiles and missile launchers</p> | <p>Category VII. Missiles and missile launchers</p> <p>(a) Guided or unguided rockets, ballistic or cruise missiles capable of delivering a warhead or weapon of destruction to a range of at least 25 kilometres, and means designed or modified specifically for launching such missiles or rockets, if not covered by categories I through VI. For the purpose of the Register, this sub-category includes remotely piloted vehicles with the characteristics for missiles as defined above but does not include ground-to-air missiles.</p> <p>(b) Man-Portable Air-Defense Systems (MANPADS).</p> |

Box 2: Sub-Categories of Small Arms and Light Weapons in the UNROCA Form for Providing Background Information on International Transfers of SALW

| SMALL ARMS SUB-CATEGORIES | | | | | |
|------------------------------------|---------------------|------------------|----------------|--------------------|----------------------|
| Revolvers and self-loading pistols | Rifles and carbines | Sub-machine guns | Assault rifles | Light machine guns | Others (not defined) |

| LIGHT WEAPONS SUB-CATEGORIES | | | | | | |
|------------------------------|--|-------------------------|-------------------|---|-------------------------------------|----------------------|
| Heavy machine guns | Hand-held under-barrel and mounted grenade launchers | Portable anti-tank guns | Recoilless rifles | Portable anti-tank missile launchers and rocket systems | Mortars of calibres less than 75 mm | Others (not defined) |



TOWARD A STANDARDIZED REPORTING TEMPLATE

The ATT does not have an annex that contains a template for an annual report. The Treaty text does not contain any reference to the need to develop or adopt standardized reporting templates for the initial report or annual report. Article 13(3) of the ATT provides some guidance for the contents of the annual report, stating that it “may contain the same information submitted by the State Party to relevant United Nations frameworks,” including UNROCA. Therefore, States Parties can provide information on annual authorizations or actual exports and imports of conventional arms in their own national format.

After the Treaty was adopted, States Parties considered the benefits of developing standardized reporting templates to assist States Parties in fulfilling their reporting obligations for the initial and annual reports.³ In general, standardized reporting templates can:

- Assist States in understanding the types of information required for comprehensive reporting
- Allow for consistent and uniform analyses of implementation efforts
- Make it possible to compare reports
- Simplify processes for providing information to comply with international obligations for States with limited capacity and resources



Therefore, at the November 2014 informal consultations for the first Conference of States Parties (CSP1) held in Berlin, States Parties agreed to the establishment of an informal working group on reporting to examine issues related to the development of standardized reporting templates for the ATT initial and annual reports. Swedish Ambassador Paul Beijer was appointed to chair the informal working group.

The informal working group was intended, over the course of nearly nine months, to share ideas on the development of standardized reporting templates via email as well as meet on the sidelines of informal and formal preparatory meetings before CSP1. By request of the informal working group chair, civil society – including ATT-BAP – developed first drafts of the initial and annual reporting templates to serve as the basis for the development of reporting templates to be adopted at CSP1. The first draft of the standardized reporting template for the annual report was based on the standardized reporting format for the seven categories of conventional arms and SALW for UNROCA (see Box 1 and Annex 1). Few States shared their views during meetings held on the periphery of the preparatory meetings or exchanged views via email, and there was an overall lack of clarity regarding the process, status, and scope of the proposed templates. The final drafts of the reporting templates were presented for adoption at CSP1. However, States Parties could not agree on adoption of the reporting templates at CSP1, and therefore the final report of the meeting simply “took note” of the drafts that had been presented and decided to establish another informal working group on reporting.⁴

The informal working group was reconvened after the extraordinary meeting of 29 February 2016, with four sessions convened in the lead-up to the Second Conference of States Parties (CSP2).⁵ While the informal working group considered revisions to the draft reporting template for the initial report in light of the first round of initial reports submitted by States in late 2015 and early 2016, there was limited discussion on changes to the draft reporting template for the annual report. This may have been in part due to the fact that the informal working group met only once after the first round of annual reports were submitted, and most attention was focused on finalizing the recommendations for the initial report template and the working group report for CSP2. Limited discussion on the annual reporting template may also have been the result of States Parties determining that the template was satisfactory for their needs – at least for those States Parties that intended to use the template. Therefore, the draft template for the annual report template presented at CSP2 did not differ from the draft template originally presented at CSP1.⁶ States Parties at CSP2 “noted that templates may facilitate their reporting task” and “endorsed” the annual reporting template and recommended its use by States Parties for compiling annual reports.⁷ CSP2 also decided to keep “under review” the reporting template and procedures for “making it available and receiving reports,” with further revisions and changes made in light of greater practical experience of use. Therefore, it is not mandatory for States Parties to use the annual report template for submitting their annual reports on arms exports and imports.



Comparison of the Contents of the ATT Annual Report Template and UN Register of Conventional Arms Reporting Template

The ATT annual report template is based on the standardized templates for reporting on international transfers of seven categories of conventional arms to UNROCA and for providing background information on international transfers of SALW. The ATT annual report template follows the approach taken for providing background information on international transfers of SALW to UNROCA and contains six sub-categories for small arms and seven sub-categories for light weapons. These sub-categories are derived from the 1997 Group of Governmental Experts report on small arms and the UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA), among others (see Box 2). The ATT annual report provisional template shaded the sub-categories, indicating that their use is “optional” in the ATT annual report. As shown in Figure 2 and Table 1 below, the content of the reporting forms is not identical.

Figure 2. Comparison of the ATT Reporting Template and UN Register Reporting Form

| Category of arms ⁴ [I-VIII] | Authorised or actual exports ⁵ | | Extent of exports ⁶ (choose one or both) | | Final Importing State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|---|--------------------------|--|--------------------|------------------------------------|--|-----------------------|--------------------------|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| A. I-VII UN Registry Categories¹² (national definitions shall not cover less than the definitions provided in Annex I ¹³) | | | | | | | | |
| I. | Battle tanks | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| II. | Armoured combat vehicles | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |

| A | B | C | D ^b | E ^b | REMARKS ⁶ | |
|------------------------------|-------------------------|-----------------|-----------------------------------|--------------------------------|----------------------|--------------------------|
| Category (I-VII) | Final importer State(s) | Number of items | State of origin (if not exporter) | Intermediate location (if any) | Description of item | Comments on the transfer |
| I. Battle tanks | | | | | | |
| II. Armoured combat vehicles | | | | | | |



The ATT annual report template includes several columns that are not included in the UNROCA reporting template.

- The ATT annual report template includes two columns not in the UNROCA reporting template for States Parties to indicate whether the information being provided relates to authorizations for exports or imports or actual imports and exports. These additional columns are included to reflect the fact that Article 13(3) provides States Parties with the option of providing information on either authorizations or actual exports and imports – or to provide information on both. UN UNROCA asks Member States to provide information on actual exports and imports. However, in practice, some UN Member States also provide information to UNROCA on authorizations and not actual exports and imports.⁸
- The ATT annual report template provides States Parties with the option of providing information on either the number of units or the financial value of conventional arms imports and exports – or to provide information on both. The UNROCA reporting form requests information only on the number of items imported or exported. States Parties also provide the financial value of their arms exports in national reports on arms exports or as part of information exchanges within regional organizations or multilateral export control regimes.
- The ATT annual report template omits the column in the UNROCA reporting form for “intermediate location if any.” This column is used in the UNROCA reporting form for cases where an item is integrated into a system and re-exported.
- The ATT annual report has shaded columns for “remarks” to indicate that such information is voluntary. The UNROCA reporting form does not contain such shading.
- The ATT annual report form has sub-headings for the categories of “combat aircraft” and “attack helicopters,” enabling States Parties to report separately on imports or exports of manned or unmanned aerial vehicles in these categories. This approach was considered by the 2013 Group of Governmental Experts on the UNROCA, which considered that States could disaggregate transfers of such items in this manner.⁹ However, the 2016 Group of Governmental Experts on the UNROCA has recommended only the creation of two sub-categories for “combat aircraft.”¹⁰



Table 1. Comparison of the Contents of the ATT Annual Report Template and the UN Register of Conventional Arms Reporting Form

| ATT ANNUAL REPORT TEMPLATE | UN REGISTER OF CONVENTIONAL ARMS REPORTING FORM |
|-----------------------------------|---|
| Actual Export and Import | Actual Export and Import |
| Export and Import Authorization | — |
| Exporter / Importer State | Exporter / Importer State |
| Number of Items | Number of Items |
| Value | — |
| — | Intermediate Location if Any |
| State of Origin (if not exporter) | State of Origin (if not exporter) |
| REMARKS | |
| Description of Items | Description of Items |
| Comments on Transfers | Comments on Transfers |



OVERVIEW OF THE ANNUAL REPORTS

Sixty-three States Parties were required to submit their annual report by 31 May 2016. Only 28 States Parties, or 44 percent, of ATT States Parties reported by the deadline. But State Party reporting increased to 71 percent by 31 August, with 45 States Parties listed as submitting an ATT annual report by that date. Only one of these reports is private.¹¹ In comparison, 53 States Parties had submitted an initial report by 31 August 2016, of which three are private. All of the States Parties that provided an annual report by 31 August 2016 had also provided an initial report by this date.

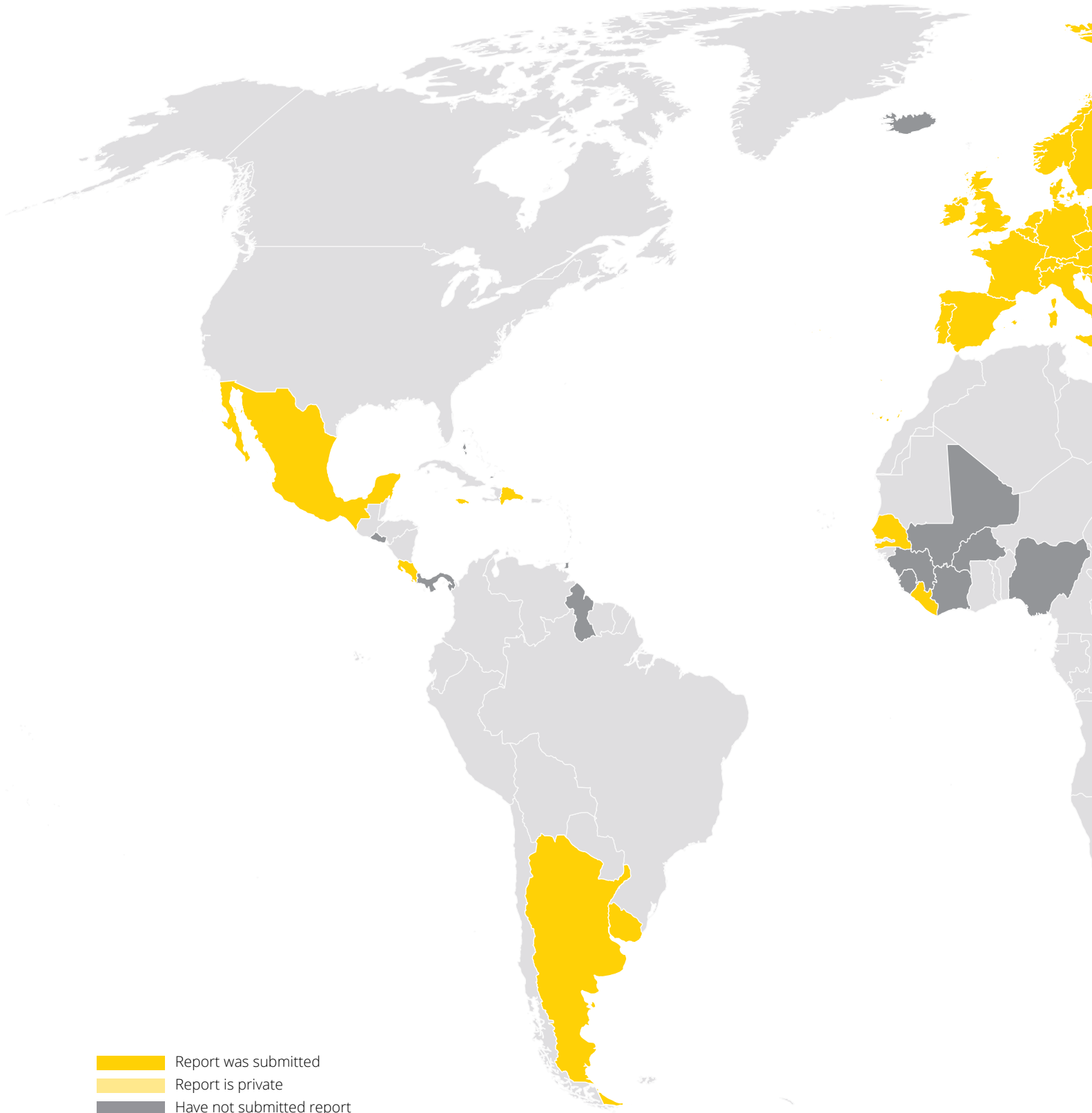




Table 2 provides a comparison of reporting by ATT States Parties for their ATT annual report and reporting to UNROCA. Thirty-six of the 45 ATT States Parties that submitted an ATT annual report also reported to UNROCA in either 2015 or 2016. Five States that reported to UNROCA in 2015 have not yet submitted their first ATT annual report. By comparison, eight States that have not recently reported to UNROCA submitted an ATT annual report in 2016. In addition, Liberia submitted an ATT annual report but has never submitted a report to UNROCA.¹² Considering that only 52 UN Member States submitted a UNROCA return in 2012 and 54 in 2015, the level of ATT reporting looks positive.

This section reviews the 44 publicly available annual reports, focusing on the types of information provided in the annual reports. It does not assess the information on arms exports and imports contained in the reports, nor does it compare this information with other sources of publicly available information on international arms transfers.

ATT ANNUAL REPORTS



- Report was submitted
- Report is private
- Have not submitted report

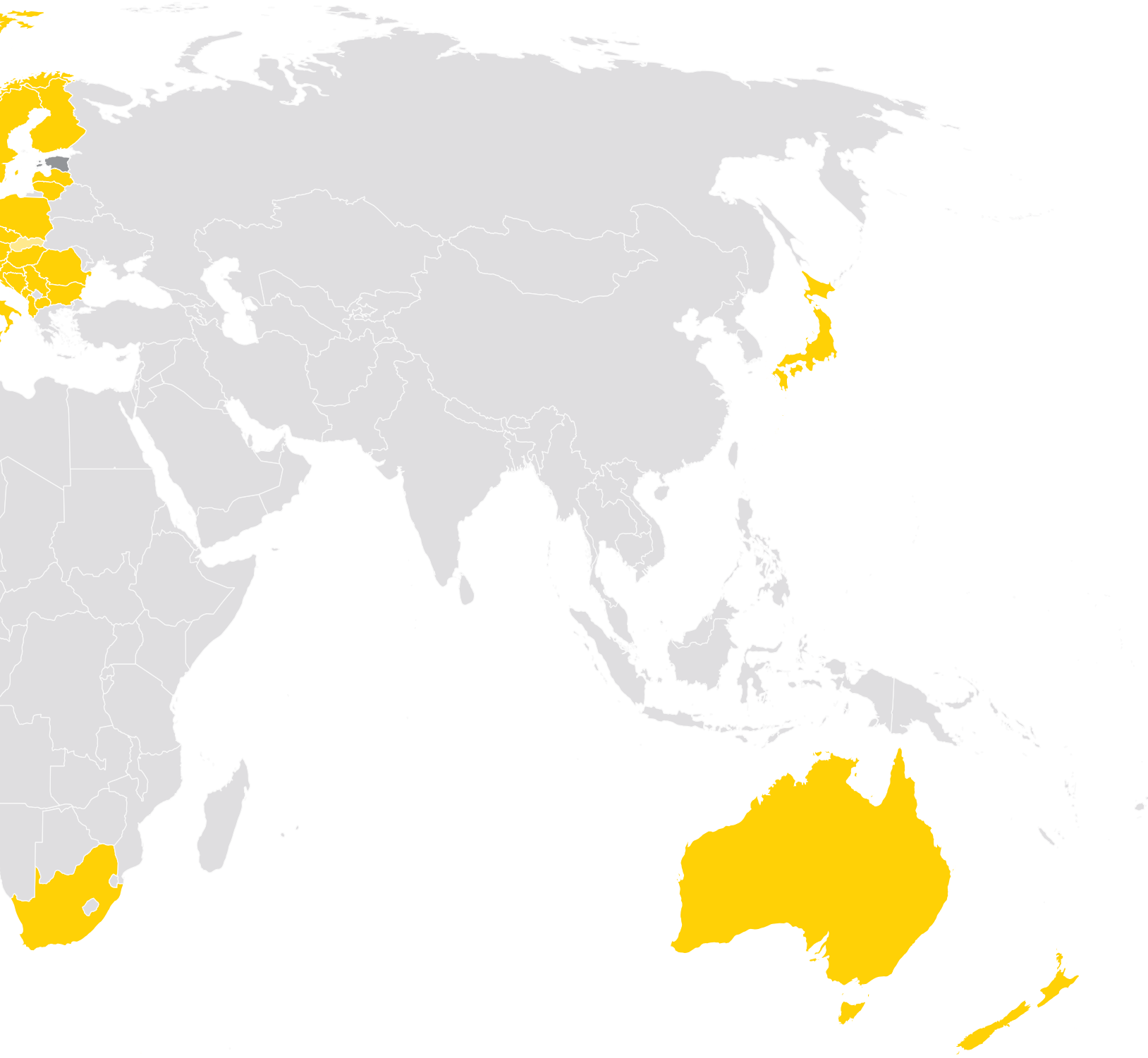


Table 2. Reporting on International Arms Transfers in ATT Annual Reports and UN Register of Conventional Arms Submissions¹³

| | ATT ANNUAL REPORT | UN REGISTER REPORT 2015 | TOTAL NUMBER OF UN REGISTER REPORTS, 1993-2015 (LAST YEAR SUBMITTED) | BACKGROUND INFORMATION ON INTERNATIONAL TRANSFERS OF SALW (LAST YEAR SUBMITTED) |
|----------------------|-------------------|-------------------------|--|---|
| Albania | ✓ | | 14 | 6 (2013) |
| Antigua and Barbuda | | | 13 (2011) | 3 (2010) |
| Argentina | ✓ | ✓ | 22 | 7 (2014) |
| Australia | ✓ | | 22 | 7 (2014) |
| Austria | ✓ | ✓ | 22 (2014) | 0 |
| Bahamas | | | 7 (2012) | 1 (2012) |
| Belgium | ✓ | ✓ | 23 | 1 (2009) |
| Bosnia & Herzegovina | ✓ | | 13 | 4 (2011) |
| Bulgaria | ✓ | ✓ | 23 (2014) | 7 (2015) |
| Burkina Faso | | | 11 (2007) | 0 |
| Costa Rica | ✓ | | 10 (2009) | 0 |
| Cote d'Ivoire | | | 2 (2003) | 0 |
| Croatia | ✓ | ✓ | 21 | 6 (2015) |
| Czech Republic | ✓ | ✓ | 22 | 7 (2015) |
| Denmark | ✓ | ✓ | 23 | 9 (2015) |
| Dominican Republic | ✓ | | 5 (2011) | 0 |
| El Salvador | | ✓ | 9 | 1 (2007) |
| Estonia | | ✓ | 22 | 2 (2015) |
| Finland | ✓ | ✓ | 23 | 2 (2015) |
| France | ✓ | ✓ | 22 | 9 (2015) |
| Germany | ✓ | ✓ | 24 | 10 (2015) |
| Grenada | | ✓ | 16 | 2 (2015) |
| Guinea | | | 0 | 0 |
| Guyana | | | 10 (2011) | 1 (2011) |
| Hungary | ✓ | ✓ | 23 | 9 (2015) |
| Iceland | | ✓ | 20 | 1 (2011) |
| Ireland | ✓ | ✓ | 22 | 5 (2015) |
| Italy | ✓ | ✓ | 21 | 5 (2015) |
| Jamaica | ✓ | ✓ | 15 | 2 (2015) |
| Japan | ✓ | ✓ | 24 | 10 (2015) |
| Latvia | ✓ | ✓ | 18 | 9 (2015) |
| Liberia | ✓ | | 0 | 0 |
| Liechtenstein | ✓ | ✓ | 21 | 7 (2013) |

| | ATT ANNUAL REPORT | UN REGISTER REPORT 2015 | TOTAL NUMBER OF UN REGISTER REPORTS, 1993-2015 (LAST YEAR SUBMITTED) | BACKGROUND INFORMATION ON INTERNATIONAL TRANSFERS OF SALW (LAST YEAR SUBMITTED) |
|---------------------------|-------------------|-------------------------|--|---|
| Lithuania | ✓ | ✓ | 22 | 9 (2015) |
| Luxembourg | ✓ | ✓ | 16 | 1 (2008) |
| Macedonia, FYR | ✓ | | 15 (2003) | 2 (2012) |
| Mali | | | 1 (2007) | 1 (2007) |
| Malta | | | 21 (2013) | 6 (2013) |
| Mexico | ✓ | ✓ | 21 | 9 (2015) |
| Montenegro | ✓ | ✓ | 5 | 3 (2012) |
| Netherlands | ✓ | ✓ | 24 | 12 (2015) |
| New Zealand | ✓ | | 18 (2009) | 3 (2009) |
| Nigeria | | | 0 | 0 |
| Norway | ✓ | ✓ | 23 | 8 (2015) |
| Panama | | | 7 (2009) | 2 (2009) |
| Poland | ✓ | ✓ | 22 | 8 (2015) |
| Portugal | ✓ | ✓ | 24 | 9 (2015) |
| Romania | ✓ | ✓ | 22 | 8 (2015) |
| Samoa | ✓ | | 17 (2012) | 2 (2012) |
| Senegal | ✓ | | 7 (2007) | 1 (2007) |
| Serbia | ✓ | ✓ | 14 | 5 (2015) |
| Sierra Leone | | | 5 (2007) | 0 |
| Slovakia | ✓ | ✓ | 24 | 9 (2015) |
| Slovenia | ✓ | ✓ | 23 | 6 (2015) |
| South Africa | ✓ | ✓ | 21 | 0 |
| Spain | ✓ | ✓ | 22 | 3 (2015) |
| St. Kitts & Nevis | | | 4 (2006) | 0 |
| St. Lucia | | | 8 (2007) | 1 (2007) |
| St. Vincent & Grenadines | | | 7 (2009) | 1 (2009) |
| Sweden | ✓ | ✓ | 23 | 10 (2015) |
| Switzerland* | ✓ | ✓ | 23 | 8 (2015) |
| Trinidad & Tobago | | ✓ | 14 | 4 (2015) |
| United Kingdom | ✓ | ✓ | 24 | 12 (2015) |
| Uruguay | ✓ | ✓ | 15 | 2 (2015) |
| Total (64 States Parties) | 45 | 40 | 61 | 53 |

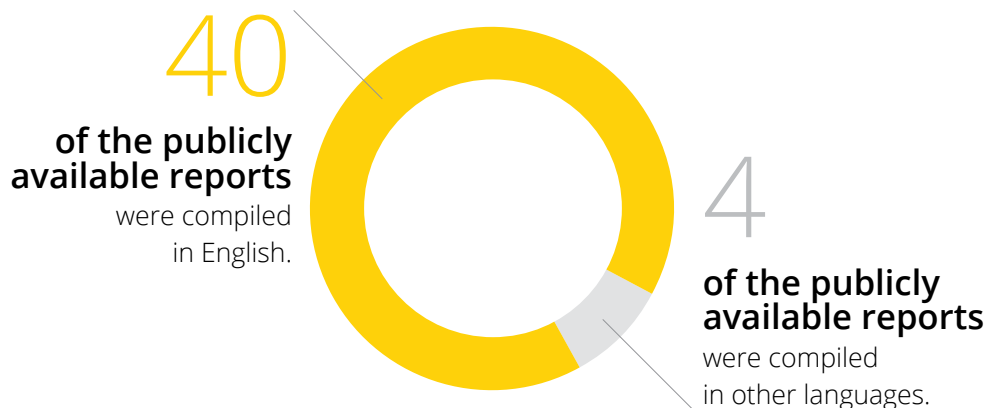
*Switzerland was not obliged to provide a report on its authorized and actual exports and imports of conventional arms for 2015.



Use of ATT Provisional Reporting Template

Forty of the 44 publicly available ATT annual reports were submitted using the ATT annual report provisional reporting template. Three States Parties submitted a version of their UN Register submission, as indicated in Article 13(3) (Australia, France, and the United Kingdom). One State Party (Senegal) used the cover sheet and nil report for exports from the provisional reporting template but used a form for the Economic Community of West African States (ECOWAS) Convention on Small Arms and Light Weapons, Their Ammunition and Other Related Materials to provide information on authorizations of conventional arms, parts and components, and ammunition.

Forty of the publicly available reports were compiled in English. The Dominican Republic used a Spanish-language translation of the provisional reporting template for its submission, and Uruguay provided additional information in its annual report in Spanish. Senegal utilized a French-language version of the provisional reporting template cover sheet and nil report. France provided its annual report in French.



Thirty-eight States Parties used the cover sheet on the provisional reporting form to indicate the contents of their submission. However, in five cases some of the information provided in the cover sheet did not match the contents of the report. For example, Bosnia and Herzegovina's cover sheet indicated that it submitted a nil report for exports and imports, but it reported on SALW transfers. Slovenia ticked yes for both the nil report for exports and the annual report for exports.



38

States Parties

used the cover sheet on the provisional reporting form to indicate the contents of their submission.

5

States Parties

that used the cover sheet did not provide information that matched the contents of the report.

Information Withheld for National Security or Commercial Confidentiality Considerations

Eight States Parties indicated that they had excluded information from their ATT annual report in relation to national security and/or commercial considerations. A further eight States Parties did not indicate whether their report excluded such information. At the same time, States Parties also classified information for particular categories of items. For example, Sweden provided information on the destination for light weapons exports, but did not provide information on the quantity – either number of units or value – for such exports.

8

States Parties

indicated that they had excluded information from their ATT annual report in relation to national security and/or commercial considerations.

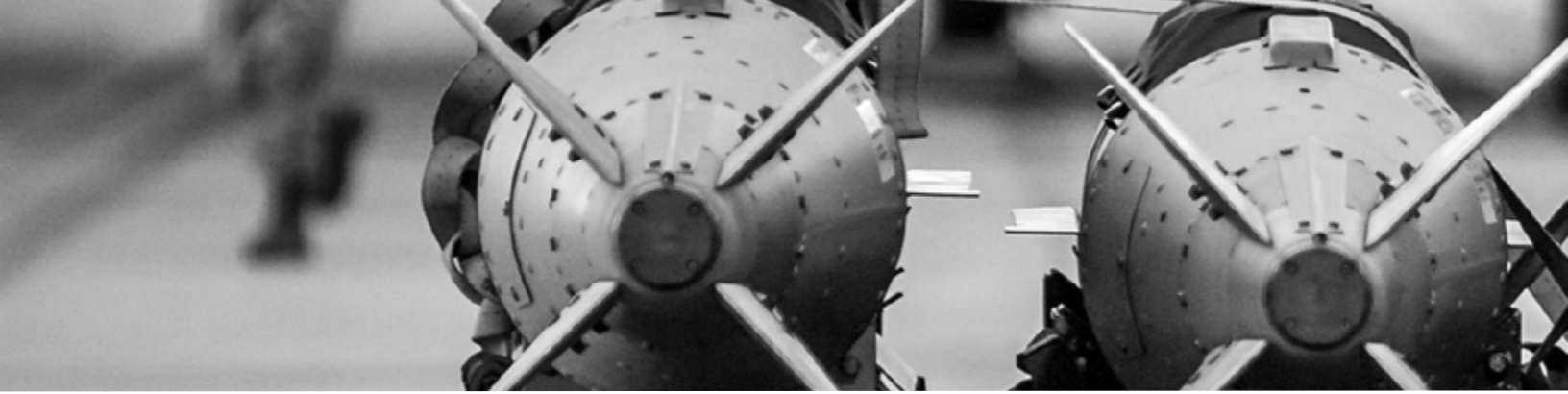
8

States Parties

did not indicate whether their report excluded information for national security and/or commercial purposes.

National Definitions and Additional Categories

Eleven States Parties indicated that they utilized national definitions for categories of weapons, and four States Parties provided information on additional categories beyond the eight categories identified in Article 2 of the ATT. Five States Parties provided a national definition for SALW (see Box 3).



Box 3: National Definitions for SALW

Belgium utilized the definition provided by category 1 of the Wassenaar Arrangement Munitions List and EU Common Military List: smooth-bore weapons with a calibre of less than 20 mm, other arms and automatic weapons with a calibre of 12.7 mm (calibre 0.50 inches) or less and accessories and specially designed components.

Germany provided the following definition of SALW: for the purpose of this report:

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

- machine guns (including heavy machine guns),
- sub-machine guns, including machine pistols,
- fully automatic rifles,
- semi-automatic rifles, if developed and/or introduced as a model for an armed force,
- moderators (silencers).

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

- cannon (including light cannon), howitzers and mortars of less than 100 mm calibre.
- grenade launchers,
- anti-tank weapons, recoilless guns (shoulder-fired rockets),
- anti-tank missiles and launchers,
- anti-aircraft missiles/man-portable air defence systems (MANPADS).

(EU definition as per the Annex of Council Joint Action of 12 July 2002 on the European Union's contribution to combating the destabilising accumulation of small arms and light weapons (2002/589/CFSP)).

New Zealand provided the following explanation for SALW as well as for “voluntary national categories” included as SALW:

1. All of the small arms listed in the export section fall under category ML1 or ML901 on New Zealand's Strategic Goods List, which is available online at: https://www.mfat.govt.nz/assets/_securedfiles/Uploads/NZSGL-2013.pdf. Please refer to pages 31 and 56 respectively. Export permits do not differentiate between subsets of these categories.
2. Under New Zealand law, Military-Style Semi-Automatic (MSSA) describes a self-loading rifle or shotgun with one or more of the following features:



- Folding or telescopic butt
- Magazine that holds, or is detachable and has the appearance of holding, more than 15 cartridges for .22 rimfire
- Magazine that holds more than 7 cartridges, or is detachable and has the appearance of holding more than 10 cartridges for other than .22 rimfire
- Bayonet lug;
- Pistol grip as defined by Order in Council
- Flash suppressor

MSSA was introduced as a firearm descriptor after the 1990 Aramoana mass shooting. The term includes weapons that, outside New Zealand, could be classed as (or upgraded to) Assault Rifles. New Zealand is therefore reporting all MSSAs under the Assault Rifle category, although most would usually be described as rifles with the potential to be upgraded to Assault Rifles.

3. Medium and General purpose machine guns: The New Zealand Defence Force would consider a 7.62mm MMG or GPMG to fit within the parameters of the Light machine gun section. Any machine gun over 0.5" calibre would be a Heavy machine gun and likely mounted.

Shotguns: New Zealand has a strong hunting and target shooting tradition, making shotguns a significant percentage of New Zealand's total small arms imports. A report conveying a full picture of New Zealand firearms would therefore be incomplete without this type of weapon, which is also used by the New Zealand Defence Force.

Restricted Airguns: New Zealand requires that permits be obtained to import air-guns which have the appearance of genuine firearms, including those designed for games such as paintball and airsoft.

A Restricted Airgun is defined as an airgun that:

- (With or without any of its attachments) has the appearance of being a pistol, a restricted weapon or a MSSA; or
- Is designed for use in airsoft or paintball sports and (with or without any of its attachments) has the appearance of being a firearm capable of full automatic fire.

New Zealand's annual report includes these weapons because they may be used in the commission of criminal or other destabilizing activity. New Zealand is reporting on these in the spirit of full transparency.



Replica machine guns: In reporting the replica machine gun, New Zealand has followed the same reasoning as the above reporting of Restricted Air-guns: both have the appearance of a genuine firearm and could therefore be used in the commission of criminal or other destabilizing activity. New Zealand is reporting it in the spirit of full transparency.

Humane killers: A purpose-made, single-shot weapon which has a chamfered muzzle and vented barrel to facilitate its use with the muzzle end of the barrel in full contact with the target. This resembles a traditional pistol and is used to slaughter livestock humanely. New Zealand is reporting it in the spirit of full transparency.

Sweden utilized the sub-categories for reporting exports of light weapons, but also included information on all categories of the Wassenaar Arrangement Munitions List and EU Common Military List, including those categories that cover SALW and ammunition.

Switzerland included the following information in its national definition for SALW: Small Arms and Light Weapons do not include arms for recreational, cultural, historical and sporting purposes. In contrast to Switzerland's report to UNROCA, this report includes exports to private entities.

Two States Parties provided information on ammunition as "voluntary additional categories:" the Dominican Republic and Norway. The Dominican Republic provided information on three "voluntary national categories:" the import of 5,141,000 units of munitions; 48 components and parts of firearms (chargers, bolts); and 62,765 personal security items and accessories (bulletproof vests, cartridge belts, batons, pepper spray, replicas). Norway provided aggregated data on the total value of Norwegian ammunition exports in 2015, but did not provide a description for the category or the destinations for the Norwegian Krone 566,737,000 worth of ammunition exported. Norway did note, however, that statistics on its ammunition exports would be submitted to the Norwegian parliament on 10 June 2016.

New Zealand provided information on the export of one unarmed ex-New Zealand Navy multipurpose maritime helicopter to Peru as a "voluntary national category."



Analysis of ATT Annual Reports

The analysis of the first ATT annual reports is divided into an analysis of information provided on exports and imports. The analysis is further sub-divided for the first seven categories of the conventional arms in Article 2 of the ATT and a separate analysis of information on SALW. The first seven categories of Article 2(1) of the ATT will be referred to in this report as “heavy weapons.”

Nil Reports

Samoa is the only State Party to have submitted a nil report for imports and exports of conventional arms covered by the ATT. A further nine States Parties submitted nil reports for exports, while reporting imports of conventional arms. One State Party submitted a nil report for imports, but reported exports of conventional arms (Ireland). In addition, three States Parties provided reports for exports but no reports for imports (Australia, Austria, and the United Kingdom).

Table 3. Nil Reports

| TYPE OF NIL REPORT | NUMBER OF STATES PARTIES |
|---|---|
| Nil report for exports and imports | 1 |
| Nil report for exports only | 9 |
| Nil report for imports only | 1 |
| Nil report for exports and imports of heavy weapons | 13 (includes Samoa) |
| Nil report for exports of heavy weapons | 19 |
| Nil report for imports of heavy weapons | 19 (excludes 3 states that did not report) |
| Nil report for exports and imports of SALW | 2 (includes Samoa) |
| Nil report for exports of SALW | 10 (excludes South Africa, which did not report) |
| Nil report for imports of SALW | 7 (excludes Australia, Austria, South Africa, and UK, which did not report) |

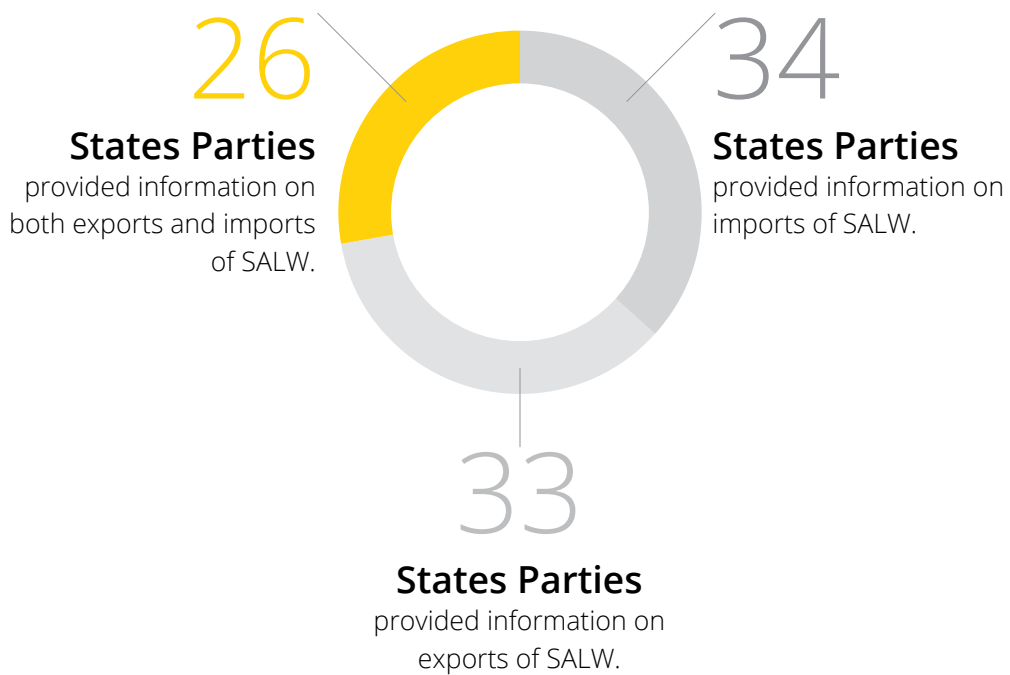
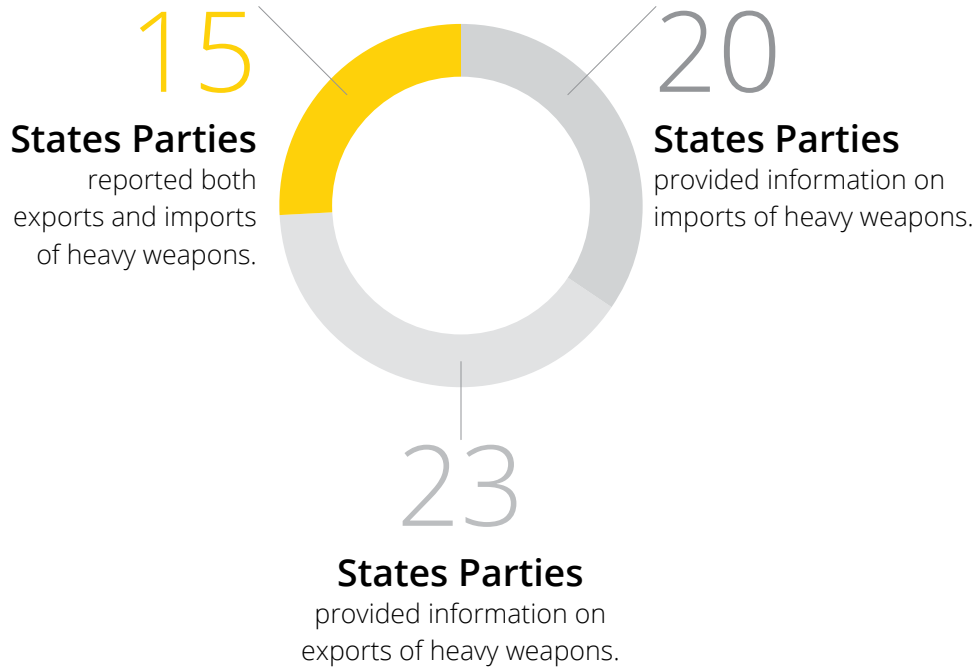


Reports of Exports and Imports

Fifteen States Parties reported both exports and imports of heavy weapons. Twenty-three States Parties provided information on exports of heavy weapons, and 20 States Parties provided information on imports of such items.

Twenty-six States Parties provided information on both exports and imports of SALW. Thirty-three States Parties provided information on exports of SALW, and 34 States Parties provided information on imports of SALW. South Africa did not provide any information on exports or imports of SALW. Australia, Austria, Italy, and the United Kingdom did not provide information on imports of SALW.

An interesting picture emerges when one separates reporting on international transfers of heavy weapons. As Table 3 highlights, 30 States Parties reported exports and/or imports of heavy weapons, with 14 States Parties reporting no exports or imports of such items. Yet only two States Parties reported no import and/or export of SALW. However, while South Africa reported on imports and exports of heavy weapons, it did not provide any information on exports or imports of SALW. As will be discussed below, several States Parties provided information using national definitions of SALW that did not correspond with the categories or sub-categories for small arms and light weapons as outlined in the provisional ATT reporting template.





Exports

Definition of Exports

Thirty-one States Parties indicated the type of transfer included in their definition for exports. Nineteen of these States Parties reported only on “physical” exports (see Table 4). The Netherlands’ definition includes “physical transfers” and “transfer of title,” while Norway’s definition includes “physical transfers” and “transfer of control.” Nine States Parties included all three options presented: “physical,” “title,” and “control.” These numbers include States Parties that did not report any exports of items, but that still provided information on how they define exports. Twelve States Parties did not provide information on their definition of exports, and this included both States Parties that did not report exports and those that did.

New Zealand noted that its ATT annual report includes information taken from “temporary exports permits,” which covers items that temporarily leave New Zealand with the owner of the item and return with the same owner (e.g., firearm owner or sales representative), or which are exported for trial purposes or repair. Several States Parties indicated temporary exports, especially SALW, in their reports (e.g., Ireland and Switzerland).

31

States Parties indicated the type of transfer included in their definition for exports

19

States Parties reported only on “physical transfers”

9

States Parties reported on “physical transfers,” “transfers of title” and “transfers of control”



Table 4. Definition of Export

| DEFINITION OF EXPORTS | NUMBER OF STATES PARTIES |
|---|--|
| Physical transfer of items across a national border | 19* |
| Transfer of title | 0 |
| Transfer of control | 0 |
| All three of the above | 9 |
| Physical transfer of items across a national border and transfer of title | 1 |
| Physical transfer of items across a national border and transfer of control | 1 |
| No information provided | 14 (includes states that did not report exports) |
| TOTAL | 44 |

**Montenegro indicated physical transfer and also identified "other" as "export includes export licenses."*

Export Forms for Heavy Weapons

Actual and/or Authorizations for Exports

Eighteen States Parties indicated that they utilized information taken from actual exports for reporting exports of heavy weapons, while five States Parties utilized information taken from authorizations. South Africa indicated that its information included both authorizations and actual exports.

Number of Items and/or Value of Exports

Nineteen States Parties provided information only on the number of units of conventional arms exported for the first seven categories. Three States Parties – Austria, Portugal, and Slovenia – provided information on the number of units and the value of exports. Sweden provided information on the value of exports for categories in its national control list as additional categories. Figure 3 provides a snapshot from the Portuguese ATT annual report, in which the number and value of armoured combat vehicles exported in 2015 to Guatemala and Tajikistan are indicated.



Figure 3. Portugal's reporting on number of items and value of exports

| Category of arms ⁴ [I-VIII] | Authorised or actual exports ⁵ | | Extent of exports ⁶ (choose one or both) | | Final importing State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|---|--------------------------|--|--------------------|------------------------------------|--|-----------------------|--------------------------|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| A. I-VII UN Registry Categories ¹² (national definitions shall not cover less than the definitions provided in Annex 1 ¹³) | | | | | | | | |
| I. | Battle tanks | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| II. | Armoured combat vehicles | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 42 3 | 2.658.478,66 € 212.814,03 € | Guatemala Tajikistan | | Jeep J8 |

Information on Importing State

All twenty-three States Parties that reported exports of heavy weapons indicated the importing State for each transfer. As can be seen in Figure 4, Austria did not provide the full name of the importing State but a two-digit code.

Figure 4. Austria identifies final importing State

| Category of arms ⁴ [I-VIII] | Authorised or actual exports ⁵ | | Extent of exports ⁶ (choose one or both) | | Final importing State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|---|--------------------------|--|--------------------|------------------------------------|--|-----------------------|--------------------------|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| A. I-VII UN Registry Categories ¹² (national definitions shall not cover less than the definitions provided in Annex 1 ¹³) | | | | | | | | |
| I. | Battle tanks | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| II. | Armoured combat vehicles | <input type="checkbox"/> | X | 6 | 55.600 | DE | | |
| | | | X | 1 | 6.000 | FI | | |
| | | | X | 1 | 100.000 | CZ | | |
| | | | X | 6 | 42.000 | HU | | |
| | | | X | 1 | 16.670 | GB | | |

Origin of Conventional Arms, If Not Exporting State

Seven States Parties indicated a State of origin other than the exporting State for conventional arms exports: Albania, Australia, Hungary, the Netherlands, Romania, Serbia, and Slovenia. For example, Romania identified the Czech Republic as the State of origin for an L39 ZO trainer aircraft that had been imported from Slovakia and exported from Romania to Mozambique (see Figure 5).



Figure 5. Romania identifies the State of origin for an export to Mozambique

| Category of arms ^d [I-VIII] | | Authorised or actual exports ^e | | Extent of exports ^e (choose one or both) | | Final importing State ^f | State of origin (if not exporter) ^g | Remarks ^h | |
|---|---------------------------------|---|-------------------------------------|--|--------------------|------------------------------------|---|--|---|
| | | Auth. | Act. | Number of items ⁷ | Value ^d | | | Description of Item | Comments on the transfer |
| 1 | | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| III. | Large-calibre artillery systems | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 203 | | USA | | 10 pcs. – mortars cal. 81mm and 193 pcs. – mortars cal. 82mm | |
| IV. | Combat aircraft | a) | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 1 | Mozambique | Czech Republic | L39 ZO trainer aircraft | Re-exported after repair, previously imported from Slovakia |
| | | b) | <input type="checkbox"/> | <input type="checkbox"/> | - | | | | |

Description of Conventional Arms

Seventeen of the 23 States Parties that reported exports of heavy weapons included a description of at least some of the items being exported. Figure 6 is an extract from the South African ATT annual report, in which the names of armoured combat vehicles exported from South Africa are provided.

Figure 6. Description of armoured combat vehicles exported from South Africa

| Category of arms (I-VIII) | Authorised or actual exports | | Extent of exports (choose one or both) | | Final importing State | State Of Origin (if not exporter) | Remarks | | |
|--|------------------------------|--------------------------|--|-------|-----------------------|-----------------------------------|---------------------|---|----------------------------------|
| | Auth. | Act. | Number of items | Value | | | Description of Item | Comments on Transfer | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | |
| A. I-VIII UN Registry Categories (national definitions shall cover less than the definitions provided in Annex II) | | | | | | | | | |
| I. | Battle Tanks | <input type="checkbox"/> | <input type="checkbox"/> | - | | | | | |
| II. | Armoured Combat Vehicles | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 11 | | Angola | | 11 x Vehicle, APC - Casspir | Defence Force of Angola |
| | | | | - | | South Africa | | 5 x Vehicle, APC - Matador, 2 x Vehicle, APC - Marauder | Ministry of Defence South Africa |
| | | | | 12 | | Cameroon | | 12 x Vehicle, AM - Harel | Cameroon Armed Forces |
| | | | | 1 | | Ghana | | 1 x Vehicle, APC - Mowag, Pz 221 16 | Ministry of Defence Ghana |



All of the 17 States Parties that provided a description of the items being exported have usually included such information in their UNROCA submissions. Of the six States Parties that reported exports but did not provide a description, five provided a description for items exported in their submission to UNROCA in 2015 for 2014 exports (Austria, Belgium, Germany, Italy, and Spain). These States Parties have regularly provided such information in their UNROCA submissions. Of particular interest is the fact that Germany's submission to UNROCA in 2016 for 2015 exports – therefore covering the same information as should be contained in the ATT annual report – does provide a description for items exported in 2015 (see Figures 7 and 8).

Figure 7. Germany's ATT annual report

| Category of arms ⁴ [I-VIII] | Authorised or actual ⁵ | | Size of exports ⁶ (choose one or both) | | Final importing State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|-----------------------------------|--------------------------|--|-------------------------------------|------------------------------------|--|-----------------------|--------------------------|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| A. I-VII UN Registry Categories¹² (national definitions shall not cover less than the definitions provided in Annex 1 ¹³) | | | | | | | | |
| I. | Battle tanks | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 10 pieces 14 pieces 28 pieces | | Qatar Indonesia Poland | | |
| II. | Armoured combat vehicles | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 6 pieces 4 pieces | | Indonesia Algeria | | |
| III. | Large-calibre artillery systems | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 5 pieces | | Qatar | | |
| IV. | Combat aircraft | a) | <input type="checkbox"/> | <input checked="" type="checkbox"/> | - | | | |
| | | b) | <input type="checkbox"/> | <input checked="" type="checkbox"/> | - | | | |
| V. | Attack helicopters | a) | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 1 piece | Sweden | | |
| | | b) | <input type="checkbox"/> | <input checked="" type="checkbox"/> | - | | | |
| VI. | Warships | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 1 piece 2 pieces | | Israel Colombia | | |



Figure 8. Germany's UNROCA submission

| UNROCA original report | | | | | | |
|--------------------------------------|----------------------|-----------------|-----------------------------------|-----------------------------------|----------------------|---|
| Germany 2015 | | | | | | |
| Heavy Weapons - Exports | | | | | | |
| Category(I-VII) | Final importer state | Number of Items | State of origin (if not exporter) | Intermediate location(s) (if any) | Description of Items | Comments on the transfer |
| I. Battle tanks | Indonesia | 14 | | | Leopard 2 | |
| I. Battle tanks | Poland | 28 | | | Leopard 2A5 | |
| I. Battle tanks | Qatar | 10 | | | Leopard 2 | |
| II. Armoured combat vehicles | Algeria | 4 | | | Fuchs | |
| II. Armoured combat vehicles | Indonesia | 6 | | | Marder | |
| III. Large calibre artillery systems | Qatar | 5 | | | Panzerhaubitze 2000 | |
| V. (a) Attack helicopters | Sweden | 1 | | | NH90 NFH | |
| VI. Warships | Colombia | 2 | | | Class 206 | These two submarines were already subject of the German 2013 UNROCA-report, because the export license was granted in that year. In 2015 the physical export and hand-over to the Colombian authorities took place. |
| VI. Warships | Israel | 1 | | | Dolphin AIP | |

The Czech Republic is the only State Party that did not provide a description of conventional arms in its ATT annual report or its last UNROCA submission.



Comments on Transfer

Eleven States Parties included comments on at least some of the items being exported. By and large, such information related to the end user or end use of the items. Australia, Denmark, Hungary, the Netherlands, Poland, and the United Kingdom included exports of “demilitarized,” “deactivated,” or “historical” items and items for museums, collectors, and individuals in their ATT annual reports. As noted above, several States Parties also used this column to indicate temporary exports. This column was also used by Switzerland to indicate the export of an incomplete weapons system (see Figure 9).

Figure 9. Switzerland’s export of the chassis for an AEV Kodiak to Singapore

| Category of arms* (I-VIII) | Authorized or actual exports ² | | Extent of exports* (choose one or both) | | Final importing State ³ | State of origin (if not exporter) ⁴ | Remarks ¹¹ | |
|--|---|-------------------------------------|--|--------------------|------------------------------------|---|-----------------------|---------------------------|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of item | Comments on the transfer |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| A. I-VIII UN Register Categories¹² (national definitions shall not cover less than the definitions provided in Article 1 ¹³) | | | | | | | | |
| I | Battle tanks | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| II | Armoured combat vehicles | <input checked="" type="checkbox"/> | <input type="checkbox"/> | 1 | | Norway Singapore | M109 AEV Kodiak | Temporary Chassis only |

Export Forms for SALW

Reporting Exports Using SALW Sub-categories

Twenty-eight States Parties utilized the sub-categories for small arms contained in the ATT annual report or UNROCA standardized form for SALW. Nine States Parties did not report exports of small arms.

Twenty States Parties utilized the sub-categories for light weapons contained in the ATT annual report or UNROCA standardized form for SALW. Sixteen States Parties did not report exports of light weapons.

Austria, Belgium, and Sweden utilized EU Common Military List category 1 for reporting exports of small arms (see Box 3). Belgium and Sweden indicated such transfers as “additional categories.” Japan attached a list for the export and import of small arms using customs codes 93.01 (military weapons, other than revolvers, pistols and the arms of heading 93.07), 93.02 (revolvers and pistols, other than those of heading 93.03 or 93.04), 93.03 (other firearms and similar devices which operate by the firing of an explosive charge [for example, sporting shotguns and rifles, muzzle-loading firearms]) (see Figure 10).

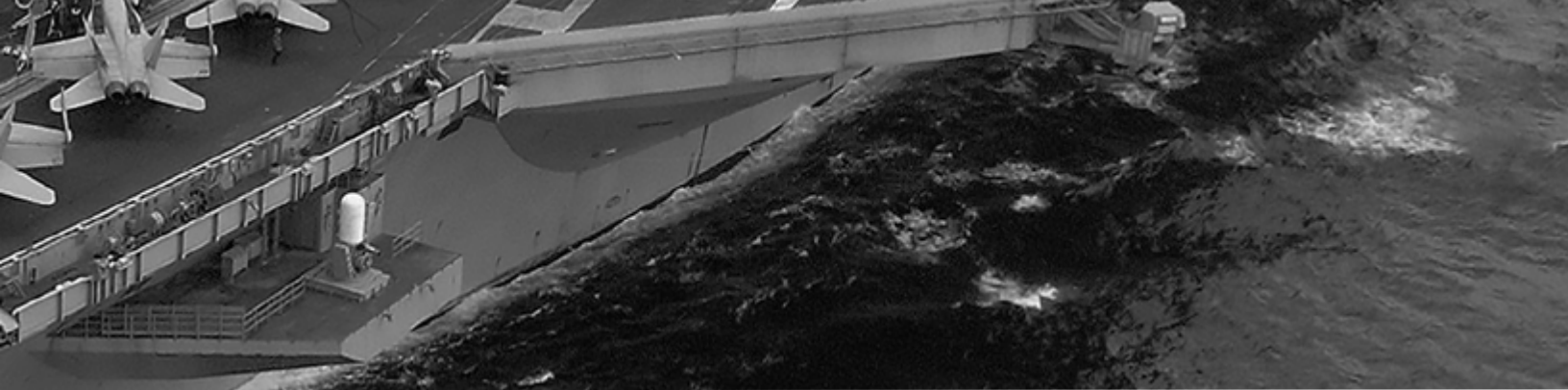


Figure 10. Japan's use of customs categories for reporting exports of small arms

| HS code | Item | Number of items | Value (1000 yen) | State |
|--------------|--|-----------------|------------------|-------------------|
| 93.02 | | | | |
| 9302.00 | 000 Revolvers and pistols, other than those of heading 93.03 or 93.04 | 51 | 6,717 | Australia |
| 93.03 | Other firearms and similar devices which operate by the firing of an explosive charge (for example, sporting shotguns and rifles, muzzle-loading firearms. Very pistols and other devices designed to project only signal flares, pistols and revolvers for firing blank ammunition, captive-bolt humane killers, line-throwing guns) | | | |
| 9303.10 | 000 Muzzle-loading firearms | 0 | 0 | |
| 9303.20 | 000 Other sporting, hunting or target-shooting shotguns, including combination shotgun-rifles | 154 | 14,431 | Norway |
| | | 12,382 | 1,130,350 | Belgium |
| | | 190 | 14,151 | Poland |
| | | 20 | 1,430 | Romania |
| | | 182 | 16,118 | Cyprus |
| | | 10 | 655 | Croatia |
| | | 102 | 8,161 | Czech Republic |
| | | 1,083 | 91,000 | U.S. |
| | | 240 | 17,170 | South Africa |
| | | 2,536 | 221,677 | Australia |
| 9303.30 | 000 Other sporting, hunting or target-shooting rifles | 165 | 11,212 | New Zealand |
| | | 955 | 28,888 | Norway |
| | | 8,682 | 251,323 | Belgium |
| | | 305 | 8,960 | Poland |
| | | 40 | 1,489 | Serbia |
| | | 80 | 1,882 | Romania |
| | | 25 | 504 | Croatia |
| | | 85,936 | 2,732,922 | U.S. |
| | | 80 | 2,133 | South Africa |
| | | 2,232 | 63,463 | Australia |
| 9303.90 | 000 Other | 919 | 25,727 | New Zealand |
| | | 4 | 1,361 | Republic of Korea |
| | | 1 | 381 | Djibouti |



Actual and/or Authorizations for Exports

Twenty-one States Parties indicated that their information on exports of SALW referred to actual exports. Nine States Parties indicated that the information provided on SALW exports was for authorizations. Australia provided information on the number of export permits granted and the quantity of firearms authorized for export (see Figure 11).

Figure 11. Australia's reporting on export permits granted and quantity of firearms exported

| Final Importer State (End-use Destination) | Permits Granted | Quantity of firearms |
|---|-----------------|-------------------------|
| Belgium | 1 | 4 |
| Canada | 6 | 12 |
| China | 12 | 508 |
| Cyprus | 1 | 2 |
| France | 7 | 29 |
| Germany | 1 | 3 |
| Hong Kong | 2 | 7 |
| India | 29 | 40 |
| Italy | 1 | 2 |
| Macao | 1 | 4 |
| Macedonia | 2 | 4 |
| Malaysia | 3 | 14 |
| Mauritius | 1 | 2 |
| New Caledonia | 3 | 24 |
| New Zealand | 81 | 2377 |
| Norfolk Island | 1 | 1 |
| Norway | 1 | 1 |
| Pakistan | 3 | 43 |
| Papua New Guinea | 18 | 45 |
| Singapore | 2 | 2 |
| South Africa | 6 | 14 |
| South Korea | 1 | 2 |
| Sweden | 1 | 12 |
| Taiwan | 4 | 2 |
| Thailand | 3 | 134 |
| United Kingdom | 38 | 370 |
| United States | 60 | 279 |
| Vanuatu | 4 | 93 |
| Totals | 293 | 4030 |



Austria utilized information on actual exports and authorizations for exports (see Figure 12). Germany reported actual exports for heavy weapons and authorizations for SALW exports. It is worth noting that such information is not usually provided in UNROCA submissions. Research conducted by the Stockholm International Peace Research Institute has indicated that a combination of information sources is utilized by States for reporting on international transfers of conventional arms, including SALW.¹⁴

Figure 12. Austria's reporting on authorized and actual exports of small arms

| Category of arms ⁴ [I-VIII] | Authorised or actual exports ⁵ | | Extent of exports ⁶ (choose one or both) | | Final importing State ⁹ |
|---|---|------|--|--------------------|------------------------------------|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | |
| 1 | 2 | 3 | 4 | 5 | 6 |
| | X | ---- | 18148 | 3528959,47 | CA |
| | ---- | X | 20 | 75884 | CA |
| | X | ---- | 150 | 54498 | CF |
| | X | ---- | 23780 | 4557568,05 | CH |
| | ---- | X | 6 | 10812 | CH |
| | X | ---- | 846 | 141300,06 | CL |
| | X | ---- | 160 | 25367,54 | CR |
| | ---- | X | 691 | 122943 | CZ |
| | ---- | X | 5693 | 1898147 | DE |
| | X | ---- | 203 | 8500 | DM |
| | X | ---- | 458 | 73499,84 | DZ |
| | X | ---- | 377 | 35930,63 | EC |
| | ---- | X | 357 | 128498 | FR |
| | ---- | X | 1652 | 600836 | GB |
| | X | ---- | 196 | 212851,3 | GE |
| | X | ---- | --- | 6700 | GH |
| | X | ---- | 1680 | 1132200 | GL |
| | X | ---- | 200 | 31042 | GY |
| | X | ---- | 30 | 5607,6 | HK |
| | ---- | X | 22 | 38940 | HU |
| | X | ---- | 203 | 91193,36 | ID |
| | ---- | X | 7 | 13550 | ID |
| | X | ---- | 1600 | 233469 | IS |
| | ---- | X | 1625 | 470724 | IT |
| | X | ---- | 2846 | 447900,91 | JO |
| | ---- | X | 100 | 524783 | JO |
| | X | ---- | --- | 4000 | JP |
| | X | ---- | 768 | 319634,7 | KE |
| | X | ---- | 352 | 209397,81 | KG |
| | X | ---- | 279 | 27225,91 | KR |
| | X | ---- | 196 | 97729,56 | KW |
| | X | ---- | 1330 | 760000 | KZ |
| | ---- | X | 45 | 49895 | KZ |
| | X | ---- | 2555 | 1040696,65 | LB |
| | X | ---- | 668 | 38599,37 | LC |
| | X | ---- | --- | 2850,83 | LI |
| | ---- | X | 449 | 44970 | LT |



Number of Items and/or Value of Exports

Twenty-six of the 33 States Parties that reported exports of SALW indicated the number of items exported. Belgium and Sweden provided information on the value of small arms exports, but did not explicitly indicate the currency being utilized. Six States Parties provided information on the number of units and the value of SALW exports: Austria, Bosnia and Herzegovina, Japan, Montenegro, Portugal, and Slovenia. The examples of Austria and Japan can be seen in Figures 12 and 10 above, respectively. Bosnia and Herzegovina, Portugal, and Slovenia indicated that the currency being used is euros, Japan indicated yen, and Montenegro indicated euros for some exports and U.S. dollars for others.

Sweden has classified the number of exports of light weapons in its submission to UNROCA and used the same approach for its first ATT annual report (see Figure 13).

Figure 13. Sweden classifies the number of light weapons exported

| | | | | | | |
|----|---|--------------------------|-------------------------------------|--|----------------------------------|---------------------|
| 4. | Recoilless rifles | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Classified Classified Classified | Australia Slovakia Tunisia | 84mm Carl Gustaf |
| 5. | Portable anti-tank missile launchers and rocket systems | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Classified Classified | Finland USA | NLAW AT4 |

Information on Importing State

Although all States Parties that reported on exports of heavy weapons identified the importing State for each transfer, only 28 of the 33 States Parties that exported SALW indicated the importing States. For example, Croatia provided aggregated numbers for SALW exports, without identifying destinations (see Figure 14). This is in contrast to the way in which Croatia disaggregated its SALW exports by importer in its submissions to the UN Register for the years of deliveries 2010-2014 (see Figure 15).

Figure 14. Croatia's aggregated small arms exports in its ATT Annual Report

| | | | | | | | | |
|----|--|-------------------------------------|--------------------------|---------|--|--|--|--|
| | Small Arms (aggregated) ¹⁶ | <input checked="" type="checkbox"/> | <input type="checkbox"/> | 360.444 | | | | |
| 1. | Revolvers and self-loading pistols | <input checked="" type="checkbox"/> | <input type="checkbox"/> | 350.340 | | | | |
| 2. | Rifles and carbines | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| 3. | Sub-machine guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| 4. | Assault rifles | <input checked="" type="checkbox"/> | <input type="checkbox"/> | 10.104 | | | | |
| 5. | Light machine guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| 6. | Others | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| | Light Weapons (aggregated) ¹⁷ | <input checked="" type="checkbox"/> | <input type="checkbox"/> | 2.317 | | | | |
| 1. | Heavy machine guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |



Figure 15. Croatia's disaggregated small arms exports in its UNROCA submission, 2015, for 2014 exports

| A | B | C | D | E | Remarks | |
|---|-------------------------|-----------------|-----------------------------------|-----------------------------------|---------------------|----------------------|
| Category (1-6) | Final importer State(s) | Number of items | State of origin (if not exporter) | Intermediate location(s) (if any) | Description of item | Comments on transfer |
| Small arms | | | | | | |
| 1. Revolvers and self-loading pistols | Australia | 20 | | | | |
| | Czech Republic | 89 | | | | |
| | Denmark | 34 | | | | |
| | France | 25 | | | | |
| | Germany | 19 | | | | |
| | Greece | 107 | | | | |
| | Guatemala | 608 | | | | |
| | Hungary | 2 | | | | |
| | Iraq | 27 350 | | | | |
| | Italy | 353 | | | | |
| | Kazakhstan | 6 | | | | |
| | Lithuania | 30 | | | | |
| | Malta | 38 | | | | |
| | Poland | 20 | | | | |
| | Qatar | 2 | | | | |
| | Saudi Arabia | 4 | | | | |
| | Slovakia | 25 | | | | |
| | Slovenia | 44 | | | | |
| | South Africa | 250 | | | | |
| | Sweden | 8 | | | | |
| The former Yugoslav Republic of Macedonia | 12 | | | | | |
| Tunisia | 1 000 | | | | | |
| United States | 314 215 | | | | | |

Bosnia and Herzegovina provided a list of importing States for each sub-category, but did not identify the number of units or value of exports per importing State (see Figure 16).

Figure 16. Bosnia and Herzegovina's list of importing States

| Small Arms (aggregated) ¹⁶ | | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
|---------------------------------------|------------------------------------|--------------------------|--------------------------|--------|----------------|--|--|--|
| 1. | Revolvers and self-loading pistols | <input type="checkbox"/> | <input type="checkbox"/> | 25 | EUR 2.660,00 | Croatia, Belgium, Austria, Slovenia, Namibia | | Pistols; 6,35mm, 7,65mm, 9mm, 9x19mm |
| 2. | Rifles and carbines | <input type="checkbox"/> | <input type="checkbox"/> | 4 | EUR 1.228,00 | Croatia, Slovenia, UK. | | Rifles cal. 16/16 Carbines cal. 30-06 |
| 3. | Sub-machine guns | <input type="checkbox"/> | <input type="checkbox"/> | 393 | EUR 4.166,00 | Namibia, USA | | M 59/66, 7,62x39 |
| 4. | Assault rifles | <input type="checkbox"/> | <input type="checkbox"/> | 10.424 | EUR 585.273,00 | Belgium, Austria | | |



Norway did not provide information on the importers of 124 revolvers and pistols and 113 rifles and carbines that were exported as commercial sales in 2015. However, Norway identified the importers of light weapons, though it did not disaggregate the number of units for each importing State (see Figure 17).

Figure 17. Identifying the importers of light weapons exported from Norway

| Category of arms ⁴ [I-VIII] | Authorised or actual exports ⁵ | | Extent of exports ⁶ (choose one or both) | | Final importing State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|---|-------------------------------------|--|--------------------|------------------------------------|--|-----------------------|--------------------------|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 6. Others | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| Light Weapons (aggregated) ¹⁷ | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 1. Heavy machine guns | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 286 | | Lithuania, Sweden | United States | 12,7 mm | Government sales |
| 2. Hand-held under-barrel and mounted grenade launchers | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 3. Portable anti-tank guns | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 800 | | Latvia | Sweden | CG 84 mm | Government sales |

Origin of Conventional Arms, If Not Exporting State

Six States Parties indicated a State of origin other than the exporting State: Albania, Hungary, Norway, Romania, Serbia, and Slovenia. For example, Serbia identified Bulgaria as the State of origin for a heavy machine gun exported to the United States, and South Africa as the State of origin for 10 grenade launchers exported to Bosnia and Herzegovina (see Figure 18).

Figure 18. Serbia indicates the State of origin for light weapons exports

| Category of arms ⁴ [I-VIII] | Authorised or actual exports ⁵ | | Extent of exports ⁶ (choose one or both) | | Final importing State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|---|-------------------------------------|--|--------------------|------------------------------------|--|-----------------------|--------------------------|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| | | | 1 | | United States of America | Belgium | | |
| 2. Hand-held under-barrel and mounted grenade launchers | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 1,717 | | | | | |
| | | | 10 | | Bosnia and Herzegovina | South Africa | | |
| | | | 4 | | Bulgaria | | | |
| | | | 400 | | Cameroon | | | |
| | | | 2 | | Czech Republic | | | |
| | | | 499 | | Egypt | | | |
| | | | 800 | | Saudi Arabia | | | |
| | | | 2 | | Slovakia | | | |



Description of SALW

Fourteen States Parties provided a description for at least some exports of SALW.

- Bosnia and Herzegovina, Hungary, and Romania provided descriptions for most exports of both small arms and light weapons.
- Albania reported only exports of light weapons and provided descriptions for these items. Liechtenstein and Slovenia reported only exports of small arms and provided descriptions for these items.
- Bulgaria, Lithuania, Norway, and Sweden¹⁵ reported exports of both small arms and light weapons, but provided descriptions only for exports of light weapons.
- Switzerland indicated that it exported “less lethal” grenade launchers, but did not provide a description for small arms exports.
- France and the United Kingdom provided descriptions for sub-categories within the sub-categories.
- Germany provided information in the “description” column in its ATT annual report that it provided in the “comments on transfer” column in its UNROCA submission regarding the export of 1,001 “sub-machine guns” to Austria – “deco weapons for remodelling in Austria.” Germany did not provide descriptions for any SALW exports, but did provide a description for some SALW exports reported to UNROCA in 2015 for 2014 exports.

A total of 10 States Parties provided information on exports of the SALW sub-categories of “other” – eight States Parties reported exports of “other” small arms and two of light weapons. The Czech Republic did not provide a description of the “other” light weapons being exported, while Serbia indicated that this sub-category covered exports of 20 mm anti-aircraft guns. Neither Japan nor Switzerland provided a description of the “other” small arms being exported. France used the “other” sub-heading for some machine gun exports. Bosnia and Herzegovina indicated that this sub-category covered sniper rifles, while Denmark indicated that this sub-category covered shotguns and air-guns, and Ireland and Jamaica reported exports of shotguns under this sub-category. The United Kingdom reported exports of shotguns and sniper rifles under the sub-category for “rifles and carbines.” Hungary provided the model and type of small arms being exported (see Figure 19). In addition, New Zealand provided information on the export of “gun barrels.”

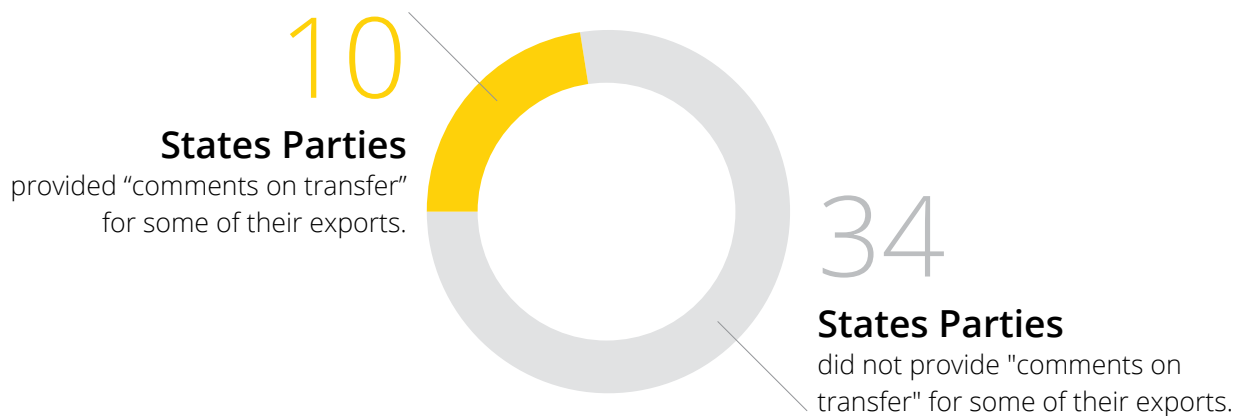


Figure 19. Hungarian exports of AMR semi-automatic destroyer rifles as “other” small arms

| Category of arms ⁴ [I-VIII] | | Authorised or actual exports ⁵ | | Extent of exports ⁶ (choose one or both) | | Final importing State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|--------------------|---|-------------------------------------|--|--------------------|------------------------------------|--|------------------------------------|--------------------------|
| | | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | |
| 3. | Sub-machine guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 4. | Assault rifles | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 76 | | Czech Republic | Soviet Union | Dragunov sniper rifle | |
| 5. | Light machine guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 6. | Others | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 1 | | United States of America | | AMR semi-automatic destroyer rifle | |
| | | | | 1 | | United Arab Emirates | | AMR semi-automatic destroyer rifle | |
| | | | | 2 | | France | | AMR semi-automatic destroyer rifle | |
| | | | | 7 | | Canada | | AMR semi-automatic destroyer rifle | |
| | | | | 1 | | United Kingdom | | AMR semi-automatic destroyer rifle | |
| | | | | 2 | | Oman | | AMR semi-automatic destroyer rifle | |
| | | | | 2 | | Switzerland | | AMR semi-automatic destroyer rifle | |

Comments on Transfer

Ten States Parties provided “comments on transfer” for some of their exports. The type of information provided is, in the main, the same as for heavy weapons – i.e., end user, end use, and type of export. Germany indicated exports for UN missions and also for the Kurdish regional government in its comments on transfer column.





Imports

Definition of Imports

Thirty-eight States Parties indicated the type of transfer included in their definition for imports. Twenty-two of these States Parties reported only on “physical” imports, and 12 States Parties included all three options presented: “physical,” “title,” and “control.” Liberia and Norway indicated that their national definition includes “physical transfers” and “transfer of control,” while the Netherlands indicated it includes “physical transfers” and “transfer of title.” Seven States Parties did not provide such information.

Table 5. Definition of Imports

| DEFINITION OF IMPORTS | NUMBER OF STATES PARTIES |
|---|--------------------------|
| Physical transfer of items across a national border | 22* |
| Transfer of title | 0 |
| Transfer of control | 0 |
| All three of the above | 12 |
| Physical transfer of items across a national border and transfer of title | 1 |
| Physical transfer of items across a national border and transfer of control | 2 |
| No information provided | 7 |
| TOTAL | 44 |

**Montenegro indicated physical transfer and also identified “other” as “import includes import licenses.”*



Import Forms for Heavy Weapons

Actual and/or Authorizations for Imports

Eighteen States Parties indicated that they utilized information taken from actual imports for reporting imports of heavy weapons, while two States Parties utilized information taken from authorizations (Belgium and New Zealand).

Number of Items and/or Value of Imports

Eighteen States Parties provided information only on the number of units of conventional arms exported for the first seven categories. Two States Parties – Portugal and Slovenia – provided information on the number of units and value of imports (see Figure 20).

Figure 20. Portugal's report on number of items and value of imports

| Category of arms ⁴ [I-VIII] | Authorised or actual imports ⁵ | | Extent of imports ⁶ (choose one or both) | | Exporting State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|--|---|--------------------------|--|--------------------|------------------------------|--|-----------------------|--------------------------|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| A. I-VII UN Registry Categories¹² (national definitions shall not cover less than the definitions provided in Annex 1) ¹³ | | | | | | | | |
| I. | Battle tanks | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| II. | Armoured combat vehicles | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 18 | 25.271.652,71 € | Spain | Austria | Pandur 8x8 |
| III. | Large-calibre artillery systems | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |



New Zealand indicated an import of “less than” 10 anti-ship missiles from Australia and less than 10 ship-launched missiles from the United Kingdom when reporting the import of category VII missiles (see Figure 21).

Figure 21. New Zealand reports importing “less than 10” missiles from Australia and the UK

| Category of arms [I-VIII] | | Authorised imports | | Extent of imports | | Exporting State/Region | State of origin (if not exporter) CAT I-VII only | Remarks | |
|---------------------------|---------------------------------|-------------------------------------|-------------------------------------|-------------------|---|------------------------|--|--|--|
| | | Auth. | | Number of items | | | | Description of Item | Comments on the transfer (where appropriate) |
| 1 | | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| III. | Large-calibre artillery systems | <input checked="" type="checkbox"/> | | 0 | | | | | |
| IV. | Combat aircraft | a) | <input checked="" type="checkbox"/> | 8 | | United States | | Super Seasprite SH2G (I) Maritime Helicopter | |
| | | b) | <input checked="" type="checkbox"/> | 0 | | | | | |
| V. | Attack helicopters | a) | <input checked="" type="checkbox"/> | 0 | | | | | |
| | | b) | <input checked="" type="checkbox"/> | 0 | | | | | |
| VI. | Warships | <input checked="" type="checkbox"/> | | 0 | | | | | |
| VII. | Missiles & missile launchers | a) | <input checked="" type="checkbox"/> | <10 | | Australia | Norway | Anti-Ship missiles for SH2 (I) Helicopter | Brokered by Command Aerospace Ltd |
| | | a) | <input checked="" type="checkbox"/> | <10 | | United Kingdom | | Ship-Launched Missiles for RNZN Frigates | |
| | | b) | <input checked="" type="checkbox"/> | 0 | | | | | |

Information on Exporting State

All 20 States Parties reporting the import of heavy weapons indicated the exporter for each import.

Origin of Conventional Arms, If Not Exporting State

Seven States Parties used this column when reporting imports of heavy weapons.



Description of Conventional Arms

Sixteen States Parties included a description of at least some of the heavy weapons being imported. For example, the Netherlands provided a description for its arms imports (see Figure 22).

Figure 22. The Netherlands' description of arms imports

| Category of arms ⁴ [I-VIII] | | Authorised or actual imports ⁵ | | Extent of imports ⁶ (choose one or both) | | Exporting State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|--------------------|---|--------------------------|--|--------------------|------------------------------|--|-----------------------|--------------------------|
| | | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| IV. | Combat aircraft | a) | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| | | b) | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| V. | Attack helicopters | a) | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 5 | | Italy | NH-90 | |
| | | b) | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |

Comments on Transfer

Five States Parties included comments on at least some of the items being imported. This is a lower level of response than for exports of heavy weapons. As with the comments on exports, States Parties provided information on end use and end user. New Zealand also used this column to indicate the role of brokers in the transfer.

Import Forms for SALW

Reporting Imports Using SALW Sub-Categories

Thirty-one States Parties reported imports of small arms using the sub-categories contained in the provisional ATT reporting template or UNROCA form. Twenty-two States Parties reported imports of light weapons using the sub-categories contained in the provisional ATT reporting form or UNROCA form.

Actual and/or Authorizations for Imports

Twenty-four States Parties provided information on actual imports of SALW, and nine provided information on authorizations. The Dominican Republic indicated that it provided information on both authorizations and actual imports, although only one number was provided – for the number of units imported. Therefore, one assumes that the number of items authorized and actually imported in 2015 was the same.



Number of Items and/or Value of Imports

Twenty-eight States Parties provided information on the number of units of SALW imported. Belgium provided information only on the financial value of SALW imported. Five States Parties provided information on both the number of units and the financial value of SALW imported: Bosnia and Herzegovina, Japan, Luxembourg, Montenegro, and Portugal (see Figure 23).

Figure 23. Luxembourg provided information on the number of items and value of small arms imports

| Small Arms (aggregated) ¹⁶ | | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
|---------------------------------------|------------------------------------|--------------------------|-------------------------------------|---|-------------|-------------|--------------------------|--------------------------------------|
| 1. | Revolvers and self-loading pistols | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 1 | 2,000,00.-€ | Switzerland | United States of America | Revolver Wildey cal.45 |
| 2. | Rifles and carbines | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| 3. | Sub-machine guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| 4. | Assault rifles | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 4 | 2,363,00.-€ | Israel | Israel | Assault rifle (used) Galil 5,56x45mm |

Finland and Liberia provided information on the number of small arms imported, but did not provide such information for imports of light weapons (see Figures 24 and 25). Both States Parties indicated the light weapons sub-category and exporter, with Finland also providing a description of the light weapons being imported.

Figure 24. Finland did not provide number of units or value for light weapons imports

| Category of arms ⁴ [I-VIII] | | Authorised or actual imports ⁵ | | Extent of imports ⁶ (choose one or both) | | Exporting State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|---|---|-------------------------------------|--|--------------------|------------------------------|--|------------------------|--------------------------|
| | | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 2. | Hand-held under-barrel and mounted grenade launchers | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 3. | Portable anti-tank guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 4. | Recoilless rifles | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 5. | Portable anti-tank missile launchers and rocket systems | <input type="checkbox"/> | <input checked="" type="checkbox"/> | N/A N/A N/A | | Denmark Sweden Germany | | TOW2A NLAW Spike | |

Figure 25. Liberia did not provide number of units or value for light weapons imports

| Category of arms ⁴ [I-VIII] | | Authorised or actual imports ⁵ | | Extent of imports ⁶ (choose one or both) | | Exporting State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|--|---|-------------------------------------|--|--------------------|------------------------------|--|-----------------------|--------------------------|
| | | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 2. | Hand-held under-barrel and mounted grenade launchers | <input type="checkbox"/> | <input checked="" type="checkbox"/> | | | Nigeria | | | |
| 3. | Portable anti-tank guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 4. | Recoilless rifles | <input type="checkbox"/> | <input checked="" type="checkbox"/> | | | USA | | | |



Information on Exporting State

Twenty-six of the 34 States Parties that provided information on SALW imports identified the exporter for each transfer. A variety of approaches were taken by the other eight States Parties.

Croatia, the Dominican Republic, Senegal, and Switzerland provided information on the number of small arms per sub-category imported, but did not provide information on the exporters. Norway provided information on the exporter of light machine guns to Norway and indicated that Austria exported revolvers and/or pistols to Norway, but also indicated that there were “various” exporters of revolvers and/or pistols to Norway and an “unknown” exporter of 3 HK 169 gas weapons. Denmark did not identify the exporters of small arms to Denmark, but did identify the exporters of light weapons.

Bosnia and Herzegovina, Ireland, and Jamaica identified the exporters of small arms that these States imported, but did not disaggregate the number of units or value of imports for each sub-category by exporter. For example, Bosnia and Herzegovina identified five exporters of grenade launchers, but did not identify how many of the 17 items were exported by each of these five exporters (see Figure 26).

Figure 26. Bosnia and Herzegovina lists exporter States

| Category of arms ⁴ [I-VIII] | Authorised or actual imports ⁵ | | Extent of imports ⁶ (choose one or both) | | Exporting State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|---|--------------------------|--|--------------------|------------------------------------|--|--------------------------------|--------------------------|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Light Weapons (aggregated) ¹⁷ | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 1. Heavy machine guns | <input type="checkbox"/> | <input type="checkbox"/> | / | | | | | |
| 2. Hand-held under-barrel and mounted grenade launchers | <input type="checkbox"/> | <input type="checkbox"/> | 17 | 145.019,00 | Romania, Serbia, USA, Bulgaria, UK | | 7.62x54, 12.7x108mm, 12.7x99mm | |

Origin of Conventional Arms, If Not Exporting State

Eight States Parties provided information on the origin of the SALW imported (Albania, Hungary, Luxembourg, Macedonia, Mexico, Norway, Romania, and Serbia).



Description of SALW

Eighteen States Parties provided a description of some of the SALW imported. The approach taken by States Parties in providing a description of SALW imports is comparable to that taken for SALW exports, with States Parties more frequently providing descriptions for light weapons transfers than for small arms transfers. An exception to this rule is Mexico, which provided a comprehensive list of descriptions of small arms imports in its ATT annual report (see Figure 27).

Figure 27. Mexico's comprehensive list of descriptions of small arms imports

| Category of arms ⁴ [I-VIII] | | Authorised or actual imports ⁵ | | Extent of imports ⁶ (choose one or both) | | Exporting State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|---------------------|---|-------------------------------------|--|--------------------|------------------------------|--|--|--------------------------|
| | | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer |
| 1 | | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 2. | Rifles and carbines | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 6 | | E.U.A. | E.U.A. | CARABINA CAL. 9 MM., MCA. COLT | |
| | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 20 | | | | CARABINA CAL. 7.56X51 MM., MCA. COLT | |
| | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 348 | | | | FUSIL CAL. 7.62X51 MM., MCA. DSA | |
| | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 3,982 | | ISRAEL | ISRAEL | FUSIL CAL. 5.56X45 MM., MCA. LW.I. | |
| | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 2,506 | | | | FUSIL CAL. 7.62X51 MM., MCA. LW.I. | |
| | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 7 | | BELGICA | BELGICA | FUSIL CAL. 7.62 MM., MCA. F.N. HERSTAL | |
| | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 5 | | | | FUSIL CAL. 5.56 MM., MCA. F.N. HERSTAL | |
| | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 112 | | SUIZA | SUIZA | CARABINA CAL. 5.56X45 MM., MCA. ASTRA ARMS. | |
| | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 400 | | NICARAGUA | NICARAGUA | RIFLE CALIBRE 0.22" DE 17 TIROS, MCA. MENDOZA. | |
| | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 370 | | E.U.A. | E.U.A. | FUSILES BARRET, CAL. 50". MOD. M107A1. | |
| | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 54 | | | | FUSILES M110A1, CAL. 7.62 X 51 MM. | |
| | | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 214 | | | | CARABINAS CAL. 5.56 MM. | |

An example of a State Party that utilized a different approach for providing information on small arms, their parts, and components is provided by Senegal. It included a copy of an ECOWAS "authorization to import" certificate, containing a description and the quantity of items to be imported (see Figure 28).



Figure 28. Senegal's ECOWAS import authorization

| Certificat n°019/4/16 d'autorisation d'importation d'armes et de munitions vers le Sénégal par la Commission de la CEDEAO | | |
|---|--|-------------|
| S/N° | DESCRIPTION | QUANTITE |
| 1 | 12.7 MM MACHINE WITH SPARE BARREL AND CLEANING KIT | 2 |
| 2 | SOFTMOUNT COMPLETE WITH CASE AND LINK COLLECTOR | 2 |
| 3 | AMMUNITION 12.7X99MM 4B IT, LINKED M9 | 2300 ROUNDS |
| 4 | ON BOARD SPARES KIT | 1 SET |
| 5 | 30/40 MK44 BUSHMASTER CANNON SYSTEMS | 1 |
| 6 | TECHNICAL DATA TECHNICAL ASSISTANCE FOR THE 30/40 MK44 BUSHMASTER CANNON PROGRAM FOR END USE BY THE SENEGAL GOVERNEMENT | 1 SET |
| 7 | PGU-15A/B TP LINKED CARTRIDGES | 3000 EA |
| 8 | PGU-13D/B HEI LINKED CARTRIDGES | 4000 EA |
| 9 | DOCUMENTATION FOR EACH CARTRIDGE TYPE TO INCLUDE TOP-LEVEL DRAWINGS CERTIFICATES OF CONFORMANCE; LOT ACCEPTANCE TEST RESULTS AMMUNITION DATA CARDS AND FIRING TABLES | 1 SET |



Comments on Transfer

Ten States Parties provided comments on their imports of SALW. As with exports of SALW, and exports and imports of other conventional arms, the information provided related in the main to the end use, end user, and type of transfer (see Figure 29).

Figure 29. Albania indicates end user for small arms imports

| Small Arms (aggregated) ¹⁶ | | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
|---------------------------------------|------------------------------------|--------------------------|-------------------------------------|------|--|---------|---------|------------------------|------------------------|
| 1. | Revolvers and self-loading pistols | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 1325 | | ITALY | ITALY | Semi-Automatic Pistols | |
| 2. | Rifles and carbines | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 100 | | ITALY | ITALY | Sniper Rifle | FOR MINISTR OF DEFENCE |
| 3. | Sub-machine guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 4. | Assault rifles | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 5. | Light machine guns | <input type="checkbox"/> | <input checked="" type="checkbox"/> | 192 | | GERMANY | GERMANY | Machine guns | FOR MINISTR OF DEFENCE |



CONCLUSION

Seventy-one percent of ATT States Parties due to submit their first ATT annual report in 2016 had done so by 31 August 2016. Overall, this represents a positive start for the ATT with regards to reporting on international arms transfers. In comparison, 28 percent of UN Member States reported international arms transfers to UNROCA in 2015. There is a considerable overlap between the States Parties that submitted an ATT report in 2016 and those that have a good record of reporting to UNROCA – e.g., 36 of the 64 States Parties covered in this report submitted a report to UNROCA in 2015 or 2016. Given these findings, has the ATT had a positive impact on transparency in international arms transfers? This report identifies eight States Parties that submitted an ATT report in 2016 but that did not recently report to UNROCA. In addition, Liberia submitted an ATT annual report but has never reported to UNROCA.

It has been noted over the years that a significant number of UNROCA submissions have been nil reports – where the reporting State has neither imports nor exports to report.¹⁶ Of the 44 publicly available ATT annual reports reviewed in this report, only Samoa submitted a nil report for exports and imports of conventional arms. A further 12 States Parties did not provide information on imports or exports of heavy weapons, which would have been reported as nil reports for UNROCA. However, these 12 States Parties provided information on exports and/or imports of SALW.

One area in which the ATT has potential to make a significant contribution to increased transparency is in relation to international transfers of SALW. As noted above, five States Parties provided information on their definitions of SALW for the purpose of reporting. Of the 64 States Parties examined in this report, 11 have never provided background information on international SALW transfers to UNROCA. A further 18 States Parties have provided such information only once or twice. Of these 29 States Parties, 12 provided information on SALW authorizations or actual exports and/or imports. Among these States Parties, Austria and Belgium did not utilize the sub-categories for small arms and light weapons in the ATT annual report template but provided information on exports of items contained in EU Common Military List category 1, while Senegal provided detailed descriptions of its imports. South Africa was the only State Party that provided a report that did not provide information on either its exports or imports of SALW.



The ATT annual reports also provide new insight on the sources of information utilized by most reporting States Parties for filing their reports – authorizations, or actual imports and exports. As noted in this report, it has been assumed that some States Parties provide information in their UNROCA reports on authorizations and not actual imports and exports, but this has not been publicly confirmed. The ATT annual reports that have been made publicly available indicate that 11 States Parties reported on authorizations, including Germany, which reported on actual exports and imports for heavy weapons but authorizations for SALW.

A worrying tendency, however, is that several States Parties have provided less information in their ATT annual reports than they provided in their UNROCA submission. This is particularly the case for the use of “description of item” and “comments on transfer” columns in the ATT annual report, which are shaded and therefore considered “voluntary” information. As noted above, several ATT States Parties that have regularly provided information on these topics in their UNROCA reports have not provided such information in their first ATT annual report. The reason for this change in approach is not immediately clear.

In conclusion, the first submissions of annual reports highlight some key considerations for States as they complete their annual reports in the future. The first annual reports highlight good practices for future reporting efforts in support of greater transparency of the arms trade:

- Information on the number of units and value of conventional arms that have been exported and/or imported
- Description of the conventional arms being exported or imported
- Information on the end user and/or use of the conventional arms being exported or imported
- Definitions of categories
- Using definitions for conventional arms that are wider than UNROCA category descriptions
- Additional categories of conventional arms and ammunition, parts and components.

ANNOTATIONS

- ^{1.} *Arms Trade Treaty, Second Conference of States Parties, Working Group on Reporting Templates, Draft 9 July 2016 – Rev 1. Draft Report of the ATT Working Group on Reporting Templates to the Second Conference of States Parties, p. 2.*
- ^{2.} *Table 2 contains information on 64 States Parties because Switzerland submitted an annual report in 2016, although it was not obliged to provide an annual report for authorizations and/or actual exports and imports of conventional arms in 2015.*
- ^{3.} *States have also considered the development of a reporting template for the voluntary report on efforts undertaken to mitigate diversion, but these deliberations are not as far advanced as those for the initial and annual reports.*
- ^{4.} *Arms Trade Treaty Secretariat, Final Report of the First Conference of States Parties, Cancun, Mexico, 24-27 August 2015, ATT/CSP1/2015/6, 27 August 2015, para. 36.*
- ^{5.} *The informal working group on reporting met three times in Geneva (29 April 2016, 3 June 2016, and 8 July 2016) and once in New York (13 May 2016).*
- ^{6.} *Arms Trade Treaty, Second Conference of States Parties, Working Group on Reporting Templates, Draft 9 July 2016 – Rev 1. Draft Report of the ATT Working Group on Reporting Templates to the Second Conference of States Parties.*
- ^{7.} *Arms Trade Treaty Secretariat, Final Report of the Second Conference of States Parties, Geneva, Switzerland, 22-26 August 2016, ATT/CSP2/2016/5, 26 August 2016, para. 24, pp. 5-6.*
- ^{8.} *United Nations General Assembly, Report on the Continuing Operation of the United Nations Register of Conventional Arms and Its Further Development, 29 July 2016, UN Document A/71/259, para. 39.*
- ^{9.} *United Nations General Assembly, Report on the Continuing Operation of the United Nations Register of Conventional Arms and Its Further Development, 15 July 2013, UN Document A/68/140, para. 69, 45, and 46.*
- ^{10.} *United Nations General Assembly, Report on the Continuing Operation of the United Nations Register of Conventional Arms and Its Further Development, 29 July 2016, UN Document A/71/259, para. 81.*
- ^{11.} *At the time of writing, Slovakia's ATT annual report was kept private. However, Slovakia's 2016 submission to UNROCA was made publicly available on the UNROCA website.*
- ^{12.} *Guinea and Nigeria are the two other ATT States Parties due to report by 31 May 2016 that have never reported to UNROCA.*
- ^{13.} *ATT Secretariat, Resources, "Reporting." Last modified September 20, 2016. Accessed September 26, 2016. <http://thearmstradetreaty.org/index.php/en/resources/reporting>. UN Register of Conventional Arms website, <https://unroca.org/>; Notes: (...) Year of last submission to the Register.*
- ^{14.} *Paul Holtom and Mark Bromley, Implementing an Arms Trade Treaty: Lessons on Reporting and Monitoring from Existing Mechanisms (Stockholm: Stockholm International Peace Research Institute Policy Paper No. 28, July 2011).*
- ^{15.} *As noted above, Sweden did not report exports of small arms using the small arms category or sub-categories, but used the ML1 category from its national control list.*
- ^{16.} *United Nations General Assembly, Report on the Continuing Operation of the United Nations Register of Conventional Arms and Its Further Development, 29 July 2016, UN Document A/71/259, para. 20.*

ANNEX 1 ATT ANNUAL REPORTING TEMPLATE

In order to download the ATT Annual Reporting Template
as a Word document visit this link:

<http://thearmstradetreaty.org/index.php/en/resources/reporting>
or scan this QR Code:



THE ARMS TRADE TREATY

REPORTING TEMPLATE

ANNUAL REPORT IN ACCORDANCE WITH ARTICLE 13(3) - EXPORTS AND IMPORTS OF CONVENTIONAL ARMS COVERED UNDER ARTICLE 2 (1)

This provisional template is intended for use by States Parties to the Arms Trade Treaty when preparing their annual report in accordance with the Treaty's Article 13(3).

The template has two main tables, one for exports and the other for imports. The tables are similar in construction, making it possible to have a common set of explanatory notes for both.

Article 5(3) of the Treaty states that "National definitions of any of the categories covered under Article 2 (1) (a)-(g) shall not cover less than the descriptions used in the United Nations Register of Conventional Arms at the time of entry into force of this Treaty". Against this background, Annex 1 reproduces the UN Registry Definitions of Categories I-VII at the time of the ATT's entry into force. For category VIII (small arms and light weapons), the UN Registry template for voluntary reporting of this category at the time of the ATT's entry into force has been employed as an approximation.

Annex 2 allows reporting States Parties to, if they so wish, include more specific information on national definitions of reported categories.

Annex 3 comprises two templates for nil reports, one for exports and one for imports. They may be used in place of a report in table format if a States Party has no transactions to report.

The title page of the template contains information on the submitting country and authority, but also a 'table of contents' in tick-box form, to indicate which of the different available forms have been included in the national submission. There is also a (voluntary) section where the reporting Government may indicate whether any commercially sensitive and/or national security-related data has been withheld in accordance with Article 13.3 of the Treaty

On the title page of each of the four reporting forms (exports, imports, nil exports, nil imports) a State Party has the option of indicating that the form is for distribution only to other States Parties to the Treaty. This makes it possible to restrict access to some forms but not others, which provides an additional measure of flexibility to the reporting States Party.

GOVERNMENT OF _____

**ANNUAL REPORT ON EXPORTS AND IMPORTS OF CONVENTIONAL ARMS, IN
ACCORDANCE WITH ARTICLE 13(3) OF THE ARMS TRADE TREATY**

REPORT FOR THE CALENDAR YEAR _____

National Point of Contact for this Report:

| | |
|-----------------------|--|
| Name : | |
| Organisation : | |
| Fixed Phone : | |
| Mobile Phone : | |
| Fax : | |
| E-mail : | |

| | |
|-----------------------------|--|
| Date of Submission : | |
|-----------------------------|--|

| Contents of report (check as appropriate) | | Yes | No |
|--|--|--------------------------|--------------------------|
| i) | Nil report on exports of conventional arms | <input type="checkbox"/> | <input type="checkbox"/> |
| ii) | Nil report on imports of conventional arms | <input type="checkbox"/> | <input type="checkbox"/> |
| iii) | Annual report on exports of conventional arms | <input type="checkbox"/> | <input type="checkbox"/> |
| iv) | Annual report on imports of conventional arms | <input type="checkbox"/> | <input type="checkbox"/> |
| v) | National definitions of categories of conventional arms reported | <input type="checkbox"/> | <input type="checkbox"/> |

| Scope of report (voluntary information) | Yes | No |
|--|--------------------------|--------------------------|
| In the submitted report, some commercially sensitive and/or national security-related data has been withheld in accordance with Article 13.3 of the Treaty | <input type="checkbox"/> | <input type="checkbox"/> |

ANNUAL REPORTING TEMPLATE

17 July 2016

EXPORTS OF CONVENTIONAL ARMS¹

- SHADED COLUMNS AND ROWS REPRESENT VOLUNTARY INFORMATION -

| | | |
|---------------------|-----------------|----------------------------|
| Reporting country : | Calendar Year : | Cutoff date ² : |
|---------------------|-----------------|----------------------------|

In this report, the following definition of the term exports was used³ (check as appropriate) :

| | | |
|---|------------------------------|-----------------------------|
| Physical transfer of items across a national border : | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Transfer of title : | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Transfer of control : | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Other (please provide a brief description below) : | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

This Annual Report on exports is available only to States Parties

| Category of arms ⁴ [I-VIII] | Authorised or actual exports ⁵ | | Extent of exports ⁶ (choose one or both) | | Final importing State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | | |
|--|---|--------------------------|--|--------------------|------------------------------------|--|-----------------------|--------------------------|--|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item | Comments on the transfer | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | |
| A. I-VIII UN Registry Categories¹² (national definitions shall not cover less than the definitions provided in Annex 1 ¹³) | | | | | | | | | |
| I. Battle tanks | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |

ANNUAL REPORTING TEMPLATE

17 July 2016

| Category of arms ⁴ [I-VIII] | Authorised or actual exports ⁵ | | Extent of exports ⁶ (choose one or both) | | Final Importing State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | |
|---|---|--------------------------|--|--------------------|------------------------------------|---|----------------------------------|---------------------------------------|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item ⁸ | Comments on the transfer ⁹ |
| I. Armoured combat vehicles | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| III. Large-calibre artillery systems | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| IV. Combat Aircraft | a) manned | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| | b) unmanned | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| V. Attack helicopters | a) manned | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| | b) unmanned | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| VI. Warships | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| VIII. Missiles & missile launchers | a) Missiles etc | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| | b) MANPADS | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| B. VIII. Small Arms and Light Weapons^{14, 15} | | | | | | | | |
| Small Arms (aggregated)¹⁶ | | | | | | | | |
| 1. Revolvers and self-loading pistols | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 2. Rifles and carbines | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 3. Sub-machine guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 4. Assault rifles | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 5. Light machine guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 6. Others | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| Light Weapons (aggregated)¹⁷ | | | | | | | | |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |

ANNUAL REPORTING TEMPLATE

17 July 2016

| Category of arms ⁴ [I-VIII] | Authorised or actual exports ⁵ | | Extent of exports ⁶ (choose one or both) | | Final importing State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | | |
|---|---|--------------------------|--|--------------------|------------------------------------|--|----------------------------------|---------------------------------------|--|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item ⁸ | Comments on the transfer ⁹ | |
| 1. Heavy machine guns | <input type="checkbox"/> | <input type="checkbox"/> | 4 | 5 | 6 | 7 | 8 | 9 | |
| 2. Hand-held under-barrel and mounted grenade launchers | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| 3. Portable anti-tank guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| 4. Recoilless rifles | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| 5. Portable anti-tank missile launchers and rocket systems | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| 6. Mortars of calibres less than 75 mm | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| 7. Others | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| C. Voluntary National Categories¹⁸ (please define in Annex 2) | | | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |

ANNUAL REPORTING TEMPLATE

17 July 2016

IMPORTS OF CONVENTIONAL ARMS¹

- SHADED COLUMNS AND ROWS REPRESENT VOLUNTARY INFORMATION -

| | | |
|---------------------|-----------------|----------------------------|
| Reporting country : | Calendar Year : | Cutoff date ² : |
|---------------------|-----------------|----------------------------|

In this report, the following definition of the term imports was used³ (check as appropriate) :

| | | |
|---|------------------------------|-----------------------------|
| Physical transfer of items across a national border : | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Transfer of title : | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Transfer of control : | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Other (please provide a brief description below) : | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

This Annual Report on imports is available only to States Parties

| Category of arms ⁴ [I-VIII] | Authorised or actual imports ⁵ | | Extent of imports ⁶ (choose one or both) | | Exporting State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | | |
|---|---|--------------------------|--|--------------------|------------------------------|--|----------------------------------|---------------------------------------|--|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item ⁸ | Comments on the transfer ⁹ | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | |
| A. I-VIII UN Registry Categories¹² (national definitions shall not cover less than the definitions provided in Annex I) ¹³ | | | | | | | | | |
| I. Battle tanks | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |

ANNUAL REPORTING TEMPLATE

17 July 2016

| Category of arms ⁴ [I-VIII] | Authorised or actual imports ⁵ | | Extent of imports ⁶ (choose one or both) | | Exporting State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | | |
|---|---|--------------------------|--|--------------------------|------------------------------|--|----------------------------------|---------------------------------------|--|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item ⁸ | Comments on the transfer ⁹ | |
| I. | Armoured combat vehicles | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| III. | Large-calibre artillery systems | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| | | a) manned | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| IV. | Combat aircraft | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| | | b) unmanned | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| V. | Attack helicopters | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| | | a) manned | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| VI. | Warships | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| | | b) unmanned | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| VII. | Missiles & missile launchers | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| | | a) Missiles etc | <input type="checkbox"/> | <input type="checkbox"/> | | | | | |
| | b) MANPADS | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| B. VIII. Small Arms and Light Weapons^{14, 15} | | | | | | | | | |
| Small Arms (aggregated)¹⁶ | | | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| 1. | Revolvers and self-loading pistols | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 2. | Rifles and carbines | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 3. | Sub-machine guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 4. | Assault rifles | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 5. | Light machine guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| 6. | Others | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | |
| Light Weapons (aggregated)¹⁷ | | | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |

ANNUAL REPORTING TEMPLATE

17 July 2016

| Category of arms ⁴ [I-VIII] | Authorised or actual imports ⁵ | | Extent of imports ⁶ (choose one or both) | | Exporting State ⁹ | State of origin (if not exporter) ¹⁰ | Remarks ¹¹ | | |
|---|---|--------------------------|--|--------------------|------------------------------|--|----------------------------------|---------------------------------------|--|
| | Auth. | Act. | Number of items ⁷ | Value ⁸ | | | Description of Item ⁸ | Comments on the transfer ⁹ | |
| 1. Heavy machine guns | <input type="checkbox"/> | <input type="checkbox"/> | 4 | 5 | 6 | 7 | 8 | 9 | |
| 2. Hand-held under-barrel and mounted grenade launchers | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| 3. Portable anti-tank guns | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| 4. Recoilless rifles | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| 5. Portable anti-tank missile launchers and rocket systems | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| 6. Mortars of calibres less than 75 mm | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| 7. Others | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| C. Voluntary National Categories¹⁸ (please define in Annex 2) | | | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |
| | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | |

EXPLANATORY NOTES

- 1) States Parties that do not have any exports and/or imports to report should file a "nil report" clearly stating that no exports/imports have taken place in any of the categories during the reporting period. Templates for such nil reports are included in Annex 3.
- 2) Date for collected statistics (for instance 30 June or 31 December).
- 3) Based on UN Registry practice. An international arms transfer could mean, in addition to the physical movement of equipment to or from national territory, the transfer of title to- and control over the equipment. Other criteria are also possible. States Parties should here provide a description of the national criteria used to determine, for control purposes, exactly when an arms transfer takes place.
- 4) As outlined in Articles 2 (1) (a)-(h) and 5(3). **For more precise definitions of the categories, see Annex 1.**
- 5) Article 13(3) allows reporting of either authorised or actual exports / imports. The choice can be made at the national level for a report as a whole or category by category. Please indicate by ticking the appropriate box for each category reported whether the value represents authorisations (Auth.) or actual exports (Act.). **It is highly desirable that national choices in this respect, once made, should remain stable over time for reasons of consistency and continuity.** A State Party wishing to report both quantity and value may of course do so, but then needs to submit two tables, one for authorised exports / imports and the other for actual exports / imports.
- 6) The size of exports / imports may be indicated either as quantity or as value. The choice can be made at the national level for each category of arms, but, **once made, should remain stable over time for reasons of consistency and continuity.** A State Party wishing to report both quantity and value may of course do so.
- 7) Standard UN Registry reporting variable. Please indicate unit, if not 'pieces'
- 8) Optional alternative. Please indicate unit (for example national currency)
- 9) In line with UN Registry practice
- 10) In line with UN Registry practice. NB: This is a shaded column, voluntary in terms of the obligations of the ATT
- 11) In line with UN Registry practice. In the first "Remarks" column, States Parties may, if they so wish, describe the item transferred by entering the designation, type, model or any other information considered relevant. The second column may be used to explain or clarify the nature of the transfer - for instance if it is temporary (e.g. for exhibitions or repairs), or if it is industrial in nature (perhaps intended for integration into a larger system). NB: These are shaded columns, voluntary in terms of the obligations of the ATT

- 12) As outlined in Article 2 (1) (a)-(g), See Annex 1 for the UN Registry's more precise definitions of the categories I-VII, including subcategories.
- 13) See Article 5(3)
- 14) As outlined in Article 2 (1) (h), with sub-categories taken from the UN Registry template for voluntary reporting of Small Arms and Light Weapons. This choice has been made provisionally, pending later agreement between States Parties on the desirability of using this or another UN definition of SALW sub-categories (for instance from the UN Firearms Protocol or the International Tracing Instrument - ITI). NB: The SALW sub-categories in this report are shaded, representing voluntary information in terms of the obligations of the ATT
- 15) "national definitions shall not cover less than the descriptions used in relevant United Nations instruments at the time of entry into force of this Treaty" (Article 5(3))
- 16) In line with UN Registry practice, States Parties may choose between reporting small arms by sub-type or as an aggregate.
- 17) In line with UN Registry practice, States Parties may choose between reporting light weapons by sub-type or as an aggregate.
- 18) Article 5(3) encourages States Parties to apply the provisions of the Treaty to the broadest range of conventional weapons. Any such additional categories are voluntary and categories used may vary between States Parties. If provided at all, extra categories should be more precisely defined in Annex 2.

ANNEX 1

UN Registry Definitions of Categories I-VII¹

I. Battle tanks

Tracked or wheeled self-propelled armoured fighting vehicles with high cross-country mobility and a high-level of self-protection, weighing at least 16.5 metric tons unladen weight, with a high muzzle velocity direct fire main gun of at least 75 millimetres calibre.

II. Armoured combat vehicles

Tracked, semi-tracked or wheeled self-propelled vehicles, with armoured protection and cross-country capability, either: (a) designed and equipped to transport a squad of four or more infantrymen, or (b) armed with an integral or organic weapon of at least 12.5 millimetres calibre or a missile launcher.

III. Large-calibre artillery systems

Guns, howitzers, artillery pieces, combining the characteristics of a gun or a howitzer, mortars or multiple-launch rocket systems, capable of engaging surface targets by delivering primarily indirect fire, with a calibre of 75 millimetres and above.

IV. Combat aircraft

- a) Manned fixed-wing or variable-geometry wing aircraft, designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons or other weapons of destruction, including versions of these aircraft which perform specialized electronic warfare, suppression of air defence or reconnaissance missions;
- b) Unmanned fixed-wing or variable-geometry wing aircraft, designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons or other weapons of destruction.

The term “combat aircraft” does not include primary trainer aircraft, unless designed, equipped or modified as described above.

V. Attack helicopters

- a) Manned rotary-wing aircraft, designed, equipped or modified to engage targets by employing guided or unguided anti-armour, air-to-surface, air-to-subsurface, or air-to-air weapons and equipped with an integrated fire control and aiming system for these weapons, including versions of these aircraft which perform specialized reconnaissance or electronic warfare missions;
- b) Unmanned rotary-wing aircraft, designed, equipped or modified to engage targets by employing guided or unguided anti-armour, air-to-surface, air-to-subsurface, or air-to-air weapons and equipped with an integrated fire control and aiming system for these weapons.

¹ Excerpted from the 2014 UN Registry reporting template

VI. Warships

Vessels or submarines armed and equipped for military use with a standard displacement of 500 metric tons or above, and those with a standard displacement of less than 500 metric tons, equipped for launching missiles with a range of at least 25 kilometres or torpedoes with similar range.

VII. Missiles and missile launchers²

- a) Guided or unguided rockets, ballistic or cruise missiles capable of delivering a warhead or weapon of destruction to a range of at least 25 kilometres, and means designed or modified specifically for launching such missiles or rockets, if not covered by categories I through VI. For the purpose of the Register, this sub-category includes remotely piloted vehicles with the characteristics for missiles as defined above but does not include ground-to-air missiles.
- b) Man-Portable Air-Defence Systems (MANPADS)³.

² Multiple-launch rocket systems are covered by the definition of category III.

³ MANPADS should be reported if the MANPAD system is supplied as a complete unit, i.e. the missile and launcher/Grip Stock form an integral unit. In addition, individual launching mechanisms or grip-stocks should also be reported. Individual missiles, not supplied with a launching mechanism or grip stock need not be reported.

ANNEX 2

| | | | |
|----------------------------|--|------------------------|--|
| Reporting country : | | Calendar Year : | |
|----------------------------|--|------------------------|--|

Specific (diverging or more detailed) national definitions of categories I-VIII
(or simple reference to initial report, if this information was provided there)

| No | Description |
|-------|-------------|
| I. | |
| II. | |
| III. | |
| IV. | |
| V. | |
| VI. | |
| VII. | |
| VIII. | |

Definitions of voluntary national categories - Section C of table(s)
(or simple reference to initial report, if this information was provided there)

| No | Description |
|----|-------------|
| | |
| | |
| | |
| | |
| | |
| | |
| | |

ANNEX 3 A

NIL REPORT
Exports of Conventional Arms¹

| | | | |
|----------------------------|--|------------------------|--|
| Reporting country : | | Calendar Year : | |
|----------------------------|--|------------------------|--|

The Government of _____,

with reference to Article 13 (3) of the Arms Trade Treaty, hereby submits a 'nil report' for exports from territory under our jurisdiction. This report serves to confirm that

| | |
|--------------------------|---|
| <input type="checkbox"/> | no actual exports of conventional arms listed in Article 2 (1) of the Arms Trade Treaty have taken place from territory under our jurisdiction during the reporting period indicated above. |
| <input type="checkbox"/> | no export authorizations have been issued for conventional arms listed in Article 2 (1) of the Arms Trade Treaty during the reporting period indicated above. |

| | |
|---|--------------------------|
| This nil report on exports is available only to States Parties | <input type="checkbox"/> |
|---|--------------------------|

ANNEX 3 B

**NIL REPORT
Imports of Conventional Arms¹**

| | | | |
|----------------------------|--|------------------------|--|
| Reporting country : | | Calendar Year : | |
|----------------------------|--|------------------------|--|

The Government of _____,

with reference to Article 13 (3) of the Arms Trade Treaty, hereby submits a 'nil report' for imports from territory under our jurisdiction. This report serves to confirm that

| | |
|--------------------------|---|
| <input type="checkbox"/> | no actual imports of conventional arms listed in Article 2 (1) of the Arms Trade Treaty have taken place to territory under our jurisdiction during the reporting period indicated above. |
| <input type="checkbox"/> | no import authorizations have been issued for conventional arms listed in Article 2 (1) of the Arms Trade Treaty during the reporting period indicated above. |

| | |
|---|--------------------------|
| This nil report on imports is available only to States Parties | <input type="checkbox"/> |
|---|--------------------------|

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For more information, visit the Arms Trade Treaty-Baseline Assessment Project Portal at www.armstrade.info or contact us at ATT@stimson.org

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