

**ANNEX A TO WGTR CO-CHAIRS' REPORT OF 28-29 APRIL 2021 MEETING  
DRAFT PROPOSED AMENDMENTS TO THE INITIAL REPORTING TEMPLATE**

# THE ARMS TRADE TREATY

## REPORTING TEMPLATE

### INITIAL REPORT ON MEASURES UNDERTAKEN TO IMPLEMENT THE ARMS TRADE TREATY, IN ACCORDANCE WITH ARTICLE 13(1)

This template is intended for use by States Parties to the Arms Trade Treaty when preparing their initial report in accordance with the Treaty's Article 13(1).

Article 13(1) requires States Parties to “*report to the Secretariat on any new measures undertaken to implement the Treaty, where appropriate*” and thus does not limit information-giving only to measures related to binding obligations in the Treaty. However, in terms of national implementation, binding obligations have a special significance. To highlight this, the template distinguishes between two types of information: (A) information which relates to binding obligations under the Treaty, and (B) information which relates to provisions in the Treaty which are estimated to be binding to a lesser degree, or non-binding. Where the template touches upon information related to the (B) type of provisions in the Treaty, the rows are shaded to make this distinction clear.

The shading does not indicate that certain information is purely voluntary, its purpose is to facilitate the use of this template as a diagnostic tool for assessing at the national level the need for implementation work to fulfil requirements of the Treaty. The un-shaded items are necessary to implement, the shaded items represent desirable features of a national control system - which under certain circumstances may also be necessary to implement.

The division of obligations into binding and non-binding has been undertaken - solely for the purpose of this Template - on the basis of a strict observance of the qualifiers included in the text of the Treaty. Thus, if a provision in the text is prefaced with “shall” only, it is considered binding and information on that topic should be provided in the initial report.

if a provision in the text has qualifiers, such as “shall...subject to its national laws”, or “shall...pursuant to national law”, or “shall...consistent with national law”, or “shall...where necessary/appropriate”, then a binding obligation is deemed to exist if certain pre-requisites are fulfilled. In this case, information on the topic should be provided in the initial report. If the pre-requisites are not fulfilled, the provision is deemed to be non-binding. In this case information need not be provided unless measures have in fact been taken in the national context to comply with such a provision.

if States Parties are only encouraged to take, or invited to consider taking, certain actions, the provision is deemed non-binding. This category also includes qualifiers such as “may include...” or actions to be initiated “by mutual consent” with another State Party. Information should be provided if measures have been taken in the national context that fulfil this type of provision.

On a voluntary basis, more information may always be provided.

Please note that Article 13.1 also requires States Parties to “*report to the Secretariat on any new measures undertaken in order to implement this Treaty, when appropriate*”. This template may be used to supply such updates as well. Only changes need then be indicated either by highlighting, tracking or marking up changes made in each section OR providing a summary description of the updates made in Annex A.

GOVERNMENT OF \_\_\_\_\_

**INITIAL REPORT ON MEASURES UNDERTAKEN TO IMPLEMENT THE ARMS  
TRADE TREATY, IN ACCORDANCE WITH ITS ARTICLE 13(1)**

DATE OF SUBMISSION REPORT \_\_\_\_\_

This Initial Report <u>may be made publicly available</u> <del>is available only to States Parties</del>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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This Report contains only updates to a previously submitted initial report dated _____ (If you tick this box, please highlight or track the changes made to each section OR provide a brief summary of your updates in Annex A)	<input type="checkbox"/>
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**1. NATIONAL CONTROL SYSTEM AND LIST****1.1 GENERAL OVERVIEW**

**A. Overview of legislation and ordinances governing the national control system [Article 5(2)]**  
(Please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)

<b>B. The national control system includes the following:</b>		Yes	No
i)	<del>a national control list [Article 5(2)]</del> <del>competent national authorities (further specified below) [Article 5(5)]</del>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<del>a control list [Article 5(2)]</del> <del>competent national authorities [Article 5(5)]</del>	<input type="checkbox"/>	<input type="checkbox"/>
iii)	one or more national points of contact to exchange information on ATT implementation [Article 5(6)]	<input type="checkbox"/>	<input type="checkbox"/>

If 'Yes' to any of the items above, please consider providing further information. If 'No' to any of the items above, please ~~provide background below~~ explain in more detail.

**1.C. Additional voluntary information about the national control system**

(Please elaborate below - for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)

**1.2 NATIONAL CONTROL LIST**

<b>D. The national control list covers the following <u>arms</u>:</b>		Yes	No
i)	Battle tanks [Article 2(1)(a)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Armored combat vehicles [Article 2(1)(b)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Large-caliber artillery systems [Article 2(1)(c)]	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Combat aircraft [Article 2(1)(d)]	<input type="checkbox"/>	<input type="checkbox"/>
v)	Attack helicopters [Article 2(1)(e)]	<input type="checkbox"/>	<input type="checkbox"/>

vi)	Warships [Article 2(1)(f)]	<input type="checkbox"/>	<input type="checkbox"/>
vii)	Missiles and missile launchers [Article 2(1)(g)]	<input type="checkbox"/>	<input type="checkbox"/>
viii)	Small arms and light weapons [Article 2(1)(h)]	<input type="checkbox"/>	<input type="checkbox"/>
<b>The national control list also includes the following <u>items</u>, in order to enable the application of Articles 3 and 4:</b>		Yes	No
ix)	Ammunition/Munitions for the conventional arms covered in Article 2(1) [for the application of Article 3]	<input type="checkbox"/>	<input type="checkbox"/>
	Parts and components in a form that provides the capability to assemble the x) conventional arms covered in Article 2(1) [for the application of Article 4]	<input type="checkbox"/>	<input type="checkbox"/>
If 'Yes' to any of the items above, please consider providing further information. If 'No' to any of the items above, please <u>explain in more detail</u> <u>provide background</u> below			
<b><u>E. Does your State maintain a national control list for the following types of transfers? [Articles 2(2) &amp; 5(2)]:</u></b>		<u>Yes</u>	<u>No</u>
i)	<u>Export</u>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<u>Import</u>	<input type="checkbox"/>	<input type="checkbox"/>
iii)	<u>Transit or trans-shipment</u>	<input type="checkbox"/>	<input type="checkbox"/>
iv)	<u>Brokering</u>	<input type="checkbox"/>	<input type="checkbox"/>
<b><u>F. Does the same control list apply to all these types of transfers (or do you maintain different lists for different types of transfers)?</u></b> (If 'No', please explain)		<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
<b><u>E. The national control list has been provided to the Secretariat of the Treaty</u></b> (Article 5.4) (if 'No', please elaborate further below)		<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
<b><u>GF. Arms for recreational, cultural, historical and sporting purposes are included in the national control list [Article 2(1)(h) &amp; Preamble, 13<sup>th</sup> para]</u></b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'No', please provide further information below, for instance whether a separate set of controls are applied to these types of arms			
<b><u>HG. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)]</u></b> (If 'Yes', please specify below <u>what the additional categories are</u> )		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b><u>I. Control list definitions are supplemented by more detailed definitions not in the control list itself Are items on the national control list defined? [Article 5(3)]</u></b> (If 'Yes', please provide further information below) -if yes, which definition(s) or descriptions do you use; ? (e.g. Wassenaar, United Nations Register of Conventional Arms, National definitions, etc.)		Yes	No
i)	<u>United Nations Register of Conventional Arms [Article 5(3)]</u>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<u>Wassenaar Arrangement</u>	<input type="checkbox"/>	<input type="checkbox"/>

iii  
)

EU Common Military List



iv)	<u>National definitions</u>	<input type="checkbox"/>	<input type="checkbox"/>
v)	<u>Other (please specify)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<b>II. The national control list is publicly available [Article 5(4)]</b> (If 'Yes', please provide information below as to how your control list is made publicly available - if available on the open internet please provide the hyperlink. <u>If 'No', please explain</u> )		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>J. Additional voluntary information about the national control system</b> (please elaborate below—for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)			
<b><u>1.3 NATIONAL POINT(S) OF CONTACT</u></b>			
<b>C. The national point(s) of contact has (have) been notified to the Secretariat of the Treaty [Article 5(6)]</b> (if 'No', please clarify below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>K. The contact details of the national point(s) of contact are as follows [Article 5(6)]:</b>			
<b>Name:</b>		<u>Mr.</u> <input type="checkbox"/>	<u>Mrs.</u> <input type="checkbox"/>
<b>Position/Job:</b>			
<b>Ministry:</b>			
<b>Agency/Department:</b>			
<b>Email address (individual and/or institutional) :</b>			
<b>Telephone no.:</b>			
<b>Address:</b>			

## 2. PROHIBITIONS

<b>A. The national control system prohibits authorization of transfers as defined by Article 2(2), of conventional arms covered under Article 2(1) and items covered under Articles 3 and 4, <u>if: in the circumstances specified in Articles 6(1) to 6(3)–</u></b> (if 'No' in any respect, please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
i)	<u>the transfer would violate its obligations under measures adopted by the United Nations Security Council acting under Chapter VII of the Charter of the United Nations, in particular arms embargoes [Article 6(1)]</u>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<u>the transfer would violate its relevant international obligations under international agreements to which it is a Party, in particular those relating to the transfer of, or illicit trafficking in, conventional arms [Article 6(2)]</u>	<input type="checkbox"/>	<input type="checkbox"/>
iii)	<u>the State Party has knowledge at the time of authorization that the arms or items would be used in the commission of genocide, crimes against humanity,</u>	<input type="checkbox"/>	<input type="checkbox"/>

<u>grave breaches of the Geneva Conventions of 1949, attacks directed against civilian objects or civilians protected as such, or other war crimes as defined by international agreements to which it is a Party [Article 6(3)]</u>		
<u>(If 'Yes', please consider providing further information. If 'No' in any respect, please elaborate below)</u>		
<b>D. Guidelines exist for the assessment of whether a sanctions decision is applicable or not to an individual case</b> <u>(if 'No' in any respect, please elaborate below)</u>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. Which international agreements that you are a Party to do you consider to which the country is a Party, and which are considered relevant for the application of Article 6(2)?</b> <u>(Please list below. Please be advised that the ATT Secretariat maintains a non exhaustive list of examples of the international agreements other States Parties have reported 'are relevant' to Article 6(2) in their Initial Reports. The list is available at [insert link###]. States Parties are welcome to consult the list when preparing their answer to this question.)</u>		
<b>C. Which international agreements to which the country is are you a Party to and do you consider, and which are considered relevant for defining 'war crimes' in the context the application of Article 6(3)</b> <u>(Please list below. Please be advised that the ATT Secretariat maintains a non exhaustive list of examples of the international agreements other States Parties have reported 'are relevant' to Article 6(3) in their Initial Reports. The list is available at [insert link###]. States Parties are welcome to consult the list when preparing their answer to this question.)</u>		
<b>D. Do you have guidelines on the application of the prohibitions to an individual case?</b> <u>(If 'Yes', please provide further information)</u>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. Additional voluntary information relevant to prohibitions under Article 6</b> <u>(Please elaborate below - for instance: if prohibitions are applied to a wider range of products than defined in Articles 2(1), 3 and 4; the national interpretation of key concepts in Article 6)</u>		

### 3. EXPORTS

<b>A. The national control system includes the following:</b>	Yes	No
i) an authorization or licensing system for arms exports [Article 5(2)]	<input type="checkbox"/>	<input type="checkbox"/>
ii) export assessment criteria [Article 7]	<input type="checkbox"/>	<input type="checkbox"/>
iii) a risk assessment procedure [Article 7]	<input type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please <u>explain in more detail</u> <del>provide background</del> below		
<b>B. National legislation includes a definition of export [Articles 6(1) to 6(3) and Article 7]</b> <u>(If 'Yes', please specify. If 'No', please explain.)</u>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<p><b>BC.</b> National export controls apply to <u>all</u> the conventional arms covered under Article 2(1), and the items covered under Articles 3 and 4 (If 'No', please provide further information below)</p>		
<p><b>BD.</b> The competent national authority(-ies) for the control of exports [Article 5(5)] (Please specify <u>the Ministry, Government Agency or Department</u> below)</p>		
<p><b>BE.</b> The national risk assessment procedure includes all the criteria described in Article 7(1)(a) and (b), and Article 7(4) (If 'Yes', please consider providing further information. If 'No' in any respect, please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>BF.</b> If a risk is identified, does the State ever considers whether there are The national risk assessment procedure includes the consideration of risk mitigation measures that could be undertaken to mitigate identified risks [Article 7(2)] (If 'Yes' please elaborate below, including an indication of give examples when mitigation measures are considered and of the types of risk mitigation measures that are most often used)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>BG.</b> The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)] (If 'Yes', please consider providing further information. If 'No', please provide further information below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>BH.</b> The national control system allows appropriate information about an export authorization to be made available, upon request, to the importing State Party and/or to the transit or trans-shipment States Parties [Article 7(6)] (If 'No' please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>BI.</b> The national control system allows exports of controlled equipment without a licence or under simplified procedure under certain circumstances [for instance temporary exports or exports to trusted partners] (If 'Yes' please provide further information below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>BJ.</b> Do you have guidelines on the application of the export assessment requirements to an individual case? (If 'Yes', please provide further information)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>BK.</b> The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in <del>3.D</del> <u>3.E</u> above (If 'Yes' please specify below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>BL.</b> Measures to exercise control over exports are applicable also to other categories of conventional arms than those covered in Articles 2(1), 3 and 4 [Article 5(3)] (If 'Yes', please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>BM.</b> An export authorization can be reassessed if new relevant information becomes available [Article 7(7)]</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>



(If 'Yes', please provide further information below. <del>Are there also legal provisions for suspension or withdrawal of a license?</del> )		
<b>N. There are legal provisions for suspension or withdrawal of a license? [Article 7(7)]</b> (If 'Yes', please elaborate under which circumstances. [For example, such a provision might exist with respect to arms embargoes but not otherwise] If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>OL. Information / documentation included in an application for an export authorization</b> (Please specify below)		
<b>MP. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an export authorization [Article 5(5)]</b> (Please specify below)		
<b>NQ. The national control system provides information requested of it by allows a State of final destination to request information concerning pending or actual export authorizations pertaining to it [Article 8(3)]</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>OR. Additional voluntary information relevant to national export controls</b> (Please specify below - for instance: on the control of re-exports, or further detail on relevant national measures indicated in 3A-D and F; the national interpretation of key concepts in Article 7)		

#### 4. IMPORTS

<b>A. The national control system includes measures <del>that allow the regulation to prevent, where necessary, of</del> imports of conventional arms covered under Article 2(1) [ref Article 8(2)], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [ref Articles 6(1) to 6(3)]</b> (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'Yes', please also answer the following question		
<b>B. The competent national authority(-ies) for the regulation of imports [Article 5(5)]</b> (Please specify <u>the Ministry, Government Agency or Department</u> below)		
<b>C. National legislation includes a definition of import [Articles 6(1) to 6(3) and Article 8]</b> (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>ED. The national control system allows <del>the State to provide for the provision,</del> pursuant to national law and upon request, of appropriate and relevant information to assist another State Party that is conducting an export assessment <del>by a potential exporting State Party</del> [Article 8(1)]</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<p><b>DE.</b> Imports of conventional arms subject to <del>control regulation</del> are, under specific circumstances, permitted without <del>regulation</del> <u>specific authorization</u> or under simplified procedure (If 'Yes' please provide further information below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>FE.</b> Measures to regulate imports are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (If 'Yes', please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>GF.</b> Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an import authorization (when such an authorization is required) [Article 5(5)] (Please specify below)</p>		
<p><b>HG.</b> Information / documentation required for an import authorization (Please specify below)</p>		
<p><b>IH.</b> Additional voluntary information relevant to national import controls (Please specify below)</p>		

## 5. TRANSIT & TRANS-SHIPMENT

<p><b>A.</b> The national control system includes measures <del>that allow the regulation to prevent, where necessary and feasible, of the</del> transit of conventional arms covered under Article 2(1) [<del>ref Article 9</del>], as well as items covered under Articles 3 and 4 <del>in violation of the prohibitions in Article 6.</del> [<del>ref Articles 6(1) to 6(3)</del>] (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>B.</b> The national control system includes measures <del>that allow the regulation to prevent, where necessary and feasible, of the</del> trans-shipment of conventional arms covered under Article 2(1) [<del>ref Article 9</del>], as well as items covered under Articles 3 and 4 <del>in violation of the prohibitions in Article 6.</del> [<del>ref Articles 6(1) to 6(3)</del>] (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>C.</b> National legislation includes a definition of transit [Articles 6(1) to 6(3) and Article 9] (If 'Yes', please specify. If 'No', please explain.)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p><b>D.</b> National legislation includes a definition of trans-shipment [Articles 6(1) to 6(3) and Article 9] (If 'Yes', please specify. If 'No', please explain.)</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<b>EC. Control measures for the regulation of to regulate transit and/or trans-shipment cover : Yes No</b> (If 'Yes' to (ii) or (iii), please indicate in the free text field how enforcement is conceived - systematic control or only when information is available?)			
i)	Transit / trans-shipment through land territory (including internal waters)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Transit / trans-shipment through territorial waters	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Transit / trans-shipment through national air space	<input type="checkbox"/>	<input type="checkbox"/>
<b>F. Does your State <del>only</del> apply control measures to prevent transit and trans-shipment other than in violation of the prohibitions in Article 6?</b> (If 'Yes', please specify the other control measures that your States applies to transit and trans-shipment.)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>EG. The competent national authority(-ies) for the regulation of transit and trans-shipment [Article 5(5)]</b> (Please specify below)			
<b>EH. Transit / trans-shipment of controlled equipment is permitted without regulation a specific authorization or under simplified procedure under certain circumstances (for instance in a free trade area)</b> (If 'Yes' please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>FI. National control of transit and/or trans-shipment goes beyond the fulfillment of obligations under Article 6 of the Treaty</b> (if 'Yes', please specify the additional scope of control and indicate whether the additional control applies to all items in the national control list)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>IG. Measures to regulate transit and/or trans-shipment are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b> (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>IH. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a transit or trans-shipment authorization (when such an authorization is required) [Article 5(5)]</b> (Please specify below)			
<b>II. Information / documentation required in an application for a transit / trans-shipment authorization</b> (Please specify below)			
<b>IJ. Additional voluntary information relevant to national transit / trans-shipment controls</b> (Please specify below)			

## 6. BROKERING

<b>A. The national control system includes measures to prevent the that allow the regulation, pursuant to national laws, of brokering of conventional arms</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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covered under Article 2(1) [ <del>ref</del> Article 10], as well as items covered under Articles 3 and 4 <u>in violation of the prohibitions in Article 6.</u> [ <del>ref</del> Articles 6(1) to 6(3)]			
(If 'Yes', please provide further information below on the nature of control measures and confirm that they apply to all items in the national control list. If 'No', please elaborate below)			
<u>If 'Yes', please also answer the following question</u>			
<b><u>B. The measures to regulate brokering include:</u></b>		<u>Yes</u>	<u>No</u>
i)	<u>Requiring brokers to register before engaging in brokering [Article 10]</u>	<input type="checkbox"/>	<input type="checkbox"/>
ii) 10]	<u>Requiring brokers to obtain written authorization before engaging in brokering [Article</u>	<input type="checkbox"/>	<input type="checkbox"/>
iii)	<u>Other (please specify)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<b><u>C. National legislation includes a definition of brokering [Articles 6(1) to 6(3) and Article 10]</u></b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<u>(If 'Yes', please specify. If 'No', please explain.)</u>			
<b><u>B. The definition of brokering used in national legislation [Articles 6(1) to 6(3) and Article 10]</u></b>			
<u>(please specify in particular if there are extraterritorial elements in the definition, for instance the activities of nationals resident abroad, or transfers that take place between two third countries)</u>			
<b><u>D. Does your State <del>only</del> apply control measures to prevent brokering other than in violation of the prohibitions in Article 6?</u></b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<u>(If 'Yes<del>No</del>', please specify the other control measures that your States applies to brokering)</u>			
<b><u>CE. The competent national authority(-ies) for the regulation of brokering [Article 5(5)]</u></b>			
<u>(Please specify below)</u>			
<b><u>DE. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 &amp; 10]</u></b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<u>(If 'Yes', please provide further information below)</u>			
<b><u>E. National brokering controls go beyond the fulfillment of obligations under Article 6 of the Treaty (for instance regulating brokering in other situations)</u></b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<u>(if 'Yes', please specify the additional scope of control)</u>			
<b><u>FG. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</u></b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<u>(If 'Yes', please elaborate below)</u>			
<b><u>GH. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a control measure related to brokering [Article 5(5)]</u></b>			
<u>(Please specify below)</u>			
<b><u>HI. Information / documentation required in an application related to brokering</u></b>			
<u>(Please elaborate below)</u>			

<b>IJ. Additional voluntary information relevant to national brokering controls</b> ( <del>P</del> Please specify below)

## 7. DIVERSION

<b>A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]</b>		Yes	No
i)	assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	cooperation and information exchange, where appropriate and feasible and pursuant to national law, with other States Parties [Article 11(3)] (if 'No', please provide background below)	<input type="checkbox"/>	<input type="checkbox"/>
<b>B. The national control system includes appropriate measures to be taken, pursuant to national law and in accordance with international law, when a diversion of transferred conventional arms under Article 2(1) has been detected [Article 11(4)]</b> ( <del>H</del> If 'No', please elaborate below)		<input type="checkbox"/>	<input type="checkbox"/>
<b>C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)] :</b>		Yes	No
<del>ii</del> i)	establishment of mitigation measures [Article 11(2)]		
<del>iv</del> <del>ii</del>	provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]		
<del>v</del> <del>iii</del>	requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]		
<del>iv</del> <del>iv</del>	examination, where appropriate, of parties involved in a transfer [Article 11(2)]		
<del>v</del> <del>iii</del>	requirement, where appropriate, for additional documentation, certificates, assurances for a transfer [Article 11(2)]		
<del>ix</del> <del>vi</del>	exchange of relevant information with other States Parties on effective measures to address diversion, as well as on illicit activities and actors [Articles 11(5) & 15(4)]		
<del>x</del> <del>vii</del>	reporting through the Secretariat to other States Parties on measures taken to address diversion of transferred conventional arms covered under Article 2(1) [Articles 11(6) & 13(2)]		
<del>xi</del> <del>viii</del>	other measures [Article 11(1)] (if 'Yes', please specify below)		
<b>D. Measures included in the national control system, to be taken when a diversion of transferred conventional arms has been detected [Article 11(4)]</b>		Yes	No
i)	alerting potentially affected States Parties		

ii)	investigative and law enforcement measures at the national level		
iii)	using international tracing mechanisms to identify points of diversion		
iv)	other measures (if 'Yes', please specify below)		
<b>E. Measures taken to prevent or address diversion are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b> (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>F. Additional voluntary information relevant to the prevention of diversion of conventional arms</b> (Please specify below - for instance regarding measures in place to avoid diversion in the context of the international movement of conventional arms referred to in Article 2(3) of the Treaty)			

## 8. RECORD KEEPING

<b>A. The national control system includes provisions for maintaining records regarding:</b> [Article 12(1)] (it is mandatory to retain records for one of the two options below)		Yes	No
i)	issued authorizations for the export of conventional arms covered under Article 2(1) <del>of the Treaty</del> [Article 12(1)]	<input type="checkbox"/>	<input type="checkbox"/>
	actual exports of conventional arms covered under Article 2(1) <del>of the Treaty</del> ii) [Article 12(1)] (if 'No' to both (i) and (ii), please elaborate below)	<input type="checkbox"/>	<input type="checkbox"/>
<b>B. Records are kept for a minimum of 10 years [Article 12(4)]</b> (If 'Yes', please elaborate for how many years records are kept. If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>C. The national control system includes provisions for maintaining records regarding :</b>		Yes	No
i)	imports of conventional arms covered under Article 2(1) <del>of the Treaty</del> into national territory as final destination [Article 12(2)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	authorizations for the transit and/or trans-shipment through national territory of conventional arms covered under Article 2(1) <del>of the Treaty</del> [Article 12(2)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	authorizations related to the conduct of brokering activities included in the scope of the national control system (for instance relating to a register of brokers) [Article 10]	<input type="checkbox"/>	<input type="checkbox"/>
<b>D. Records cover other categories of conventional arms than those specified in Article 2(1)</b> (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. Additional voluntary information relevant to national record keeping</b> (Please specify below - for instance types of information preserved in national records for exports and imports respectively)			


## 9. REPORTING

<b>A. The national control system allows for the provision of information <a href="#">for the preceding calendar year concerning authorized or actual exports and imports of conventional arms covered under article 2 (1)</a> as required by Article 13(3)</b> (If 'No' or only partially, please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. Additional voluntary information relevant to national reporting</b> (please specify below, for instance if national reports are publicly available - if available on the open internet please provide the relevant hyperlink)		

## 10. ENFORCEMENT

<b>A. Measures are in place that provide the ability to enforce of the national laws and regulations that implement the provisions of the Arms Trade Treaty</b> [Article 14] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. National legislation allows the provision to another State Party of jointly agreed assistance in investigations, prosecutions and judicial proceedings in relation to violations of national measures established pursuant to this Treaty</b> [Article 15(5)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>C. National measures have been taken to prevent, in cooperation with other States Parties, the transfer of conventional arms covered under Article 2(1) of the Treaty becoming subject to corrupt practices</b> [Article 15(6)] (Please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>D. Additional voluntary information relevant to national enforcement</b> (Please elaborate below - for instance measures taken to criminalize offences against national laws and regulations that implement the provisions of the Arms Trade Treaty and to prescribe legal penalties in these cases.)		

## 11. INTERNATIONAL COOPERATION

<b>A. Cooperation is possible with other States Parties of the Treaty with a view to its effective implementation, where such cooperation is consistent with national law and security interests</b> [Article 15(1)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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<b>B. Additional voluntary information relevant to participation in international cooperation</b> (Please elaborate below - for instance in terms of the measures suggested in Article 15, or in terms of participation in international or regional cooperation in the transfer control area)

## 12. INTERNATIONAL ASSISTANCE

<b>A. National regulations and policy allow for the provision - upon request and if in a position to do so - of implementation assistance as set out in Article 16(1)</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b><u>B. The State is in a position to provide assistance with the following:</u></b>	<u>Yes</u>	<u>No</u>
i) <u>Establishing and/or maintaining a national control system [Article 5(2)]</u> (if 'Yes', please specify below)		
ii) <u>Establishing and/or maintaining a national control list [Articles 5(2)-(4)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iii) <u>Designating competent national authority (-ies) [Article 5(4)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iv) <u>Designating a national point of contact(s) [Article 5(6)]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
v) <u>Establishing measures to regulate the export of arms and items, including a process for conducting risk assessments [Article 7]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vi) <u>Establishing measures to regulate the import of arms [Article 8]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vii) <u>Establishing measures to regulate the transit and trans-shipment of arms [Article 9]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
viii) <u>Establishing measures to regulate the brokering of arms [Article 10]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ix) <u>Establishing measures to prevent and address diversion [Article 11]</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
x) <u>Record-keeping [Article 12]</u>	<input type="checkbox"/>	<input type="checkbox"/>



	<u>(if 'Yes', please specify below)</u>		
<u>xi)</u>	<u>Reporting [Article 13]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>xii)</u>	<u>Other</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<b><u>C. The State would like to receive assistance with the following:</u></b>		<b><u>Yes</u></b>	<b><u>No</u></b>
<u>i)</u>	<u>Establishing and/or maintaining a national control system [Article 5(2)]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>ii)</u>	<u>Establishing and/or maintaining a national control list [Articles 5(2)-(4)]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>iii)</u>	<u>Designating competent national authority (-ies) [Article 5(4)] (if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>iv)</u>	<u>Designating a national point of contact(s) [Article 5(6)]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>v)</u>	<u>Establishing measures to regulate the export of arms and items, including a process for conducting risk assessments [Article 7]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>vi)</u>	<u>Establishing measures to regulate the import of arms [Article 8]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>vii)</u>	<u>Establishing measures to regulate the transit and trans-shipment of arms [Article 9]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>viii)</u>	<u>Establishing measures to regulate the brokering of arms [Article 10]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>ix)</u>	<u>Establishing measures to prevent and address diversion [Article 11]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>x)</u>	<u>Record-keeping [Article 12]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>
<u>xi)</u>	<u>Reporting [Article 13]</u> <u>(if 'Yes', please specify below)</u>	<input type="checkbox"/>	<input type="checkbox"/>

xii)	<u>Other</u> (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
<b>BD. National regulations and policy allow <del>the provision for contribution</del> of financial resources to the <del>v</del>Voluntary <del>t</del>Trust <del>f</del>Fund established under Article 16(3) of the Treaty</b> ( <del>h</del> If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>CE. Additional voluntary information relevant to the provision- or receipt of implementation assistance</b> ( <del>p</del> Please specify below - for instance regarding assistance provision capacities or assistance needs.)			

### 13. DISPUTE SETTLEMENT

<b>A. National regulations and policy allow for consultations and, by mutual consent, cooperation in the settlement of disputes regarding the interpretation or application of the Treaty by at least one of the means outlined in Article 19(1) (<del>h</del>If 'No', please elaborate below)</b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. National regulations and policy allow for the settlement of disputes concerning the interpretation or application of the Treaty through recourse by mutual consent to arbitration as outlined in Article 19(2)</b> ( <del>h</del> If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>C. Additional voluntary information relevant to dispute settlement under the terms of the Treaty</b> ( <del>p</del> Please specify below)			

ANNEX A. Summary of updates to the previous Initial Report

Please include a description of the parts of the State's previous Initial Report that have been updated:

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**ANNEX B TO WGTR CO-CHAIRS' REPORT OF 28-29 APRIL 2021 MEETING  
DRAFT PROPOSED AMENDMENTS TO THE ANNUAL REPORTING TEMPLATE**

# 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 Register 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 Register 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 needs to indicate whether the form may be made publicly available in order to instruct the ATT Secretariat where to upload the report on the ATT website ~~has the option of indicating that the form is for distribution only to other States Parties to the Treaty must indicate whether the form may be made publicly available~~. 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.

Guidance to facilitate the preparation of the annual report can be found in the document “Reporting Authorized or Actual Exports and Imports of Conventional Arms under the ATT” (hereinafter: ‘FAQ’-type guidance document on the annual reporting obligation), which is available in the *Tools and Guidelines* section of the ATT website. This document was endorsed by States Parties at CSP3 as an informative and open-ended reference document for States Parties when preparing their annual report. At CSP5 States Parties endorsed a number of amendments that were necessary to reflect the introduction of the online reporting tool.

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:**

<b>Name :</b>		<u>Mr.</u> <input type="checkbox"/>	<u>Ms.</u> <input type="checkbox"/>
<b><u>Position/Job title :</u></b>			
<b>Organisation :</b>			
<b>Fixed Phone :</b>			
<b>Mobile Phone :</b>			
<b><u>Fax :</u></b>			
<b>E-mail :</b>			

<b>Date of <u>Submission Report :</u></b>	
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<a href="#">The United Nations Office for Disarmament Affairs (UNODA) may use the relevant information in this Annual Report as a basis for the reporting State's report to the United Nations Register of Conventional Arms (UNROCA)</a>	<input type="checkbox"/>
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<b>Contents of report (check as appropriate)</b>		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"/>

<b>Scope of report (<u>voluntary information</u>)</b>	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 <sup>1</sup> <a href="#">(If 'Yes' please consider explaining why and what kind of information was withheld)</a>		

## EXPORTS OF CONVENTIONAL ARMS<sup>12</sup>

- SHADED COLUMNS AND ROWS REPRESENT VOLUNTARY INFORMATION THAT GOES BEYOND THE COMMON UNDERSTANDING OF WHAT INFORMATION STATES PARTIES SHOULD INCLUDE AS A MINIMUM WHEN THEY REPORT THEIR AUTHORIZED OR ACTUAL EXPORTS AND IMPORTS-

Reporting country :		Calendar Year :	Cutoff date <sup>23</sup> :
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<b>In this report, the following definition of the term exports was used<sup>34</sup> (check as appropriate) :</b>			
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 <u>may be made publicly available<sup>5</sup> is available only to States Parties</u>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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Category of [I-VIII]	Authorized or actual <u>exports</u> <u>export</u> <sup>7</sup>		Extent of <u>exports</u> <sup>6</sup> <u>exports</u> <sup>8</sup> (choose one or both)		Final importing State <sup>9</sup>	State of origin (if not exporter) <sup>10-12</sup>	<u>Remarks</u> <sup>11</sup>	<u>Remarks</u> <sup>13</sup>
	Auth.	Act.	Number of items <sup>19</sup>	Value <sup>10</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9

**A. I-VII UN Register** <sup>1</sup> Categories<sup>143</sup> (national definitions shall not cover less than the definitions provided in Annex 1 <sup>1</sup> 5)

Category of <del>arms</del> <u>arms</u> <sup>6</sup> [I-VIII]		Authorised or actual <u>exports</u> <u>export</u> <sup>7</sup>		Extent of <u>exports</u> <u>exports</u> <sup>8</sup> (choose one or both)		Final importing State <u>9</u>	State of origin (if not exporter) <u>10-12</u>	<u>Remarks</u> <u>Remarks</u> <sup>13</sup>	
		Auth.	Act.	Number of items <u>9</u>	Value <u>10</u>			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
I.	Battle tanks								
II.	Armoured combat vehicles								
III.	Large-calibre artillery systems								
IV.	Combat Aircraft	a) manned							
		b) unmanned							
V.	Attack helicopters	a) manned							
		b) unmanned							
VI.	Warships								
VII.	Missiles & missile launchers	a) Missiles etc							
		b) MANPADS							
<b>B. VIII. Small Arms and Light Weapons</b> <sup>1</sup> <u>6</u> <u>7</u> <u>4, 15</u>									
<b>Small Arms (aggregated)</b> <sup>168</sup>		<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"/>						



Category of <del>arms</del> <u>arms</u> <sup>6</sup> [I-VIII]	Authorised or actual <u>exports</u> <del>export</del> <sup>7</sup>		Extent of <u>exports</u> <del>exports</del> <sup>8</sup> (choose one or both)		Final importing State <sup>9</sup>	State of origin (if not exporter) <sup>10-12</sup>	<u>Remarks</u> <del>Remarks</del> <sup>13</sup>	
	Auth.	Act.	Number of items <sup>11</sup>	Value <sup>10</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
6. Others								
<b>Light Weapons (aggregated)</b> <sup>197</sup>	<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"/>						
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"/>						
<b>C. <del>Voluntary</del> National Categories</b> <sup>1820</sup> (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"/>						

## IMPORTS OF CONVENTIONAL ARMS<sup>12</sup>

- SHADED COLUMNS AND ROWS REPRESENT ~~VOLUNTARY~~ INFORMATION THAT GOES BEYOND THE COMMON UNDERSTANDING OF WHAT INFORMATION STATES PARTIES SHOULD INCLUDE AS A MINIMUM WHEN THEY REPORT THEIR AUTHORIZED OR ACTUAL EXPORTS AND IMPORTS -

Reporting country :		Calendar Year :	Cutoff date <sup>23</sup> :
---------------------	--	-----------------	-----------------------------

<b>In this report, the following definition of the term imports was used<sup>34</sup> (check as appropriate) :</b>			
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 <u>may be made publicly available<sup>5</sup></u> <del>is available only to States Parties</del>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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Category of arms [I-VIII] <sup>46</sup>	Authorised or actual imports <sup>57</sup>		Extent of imports <sup>68</sup> <small>(choose one or both)</small>		Exporting State <sup>911</sup>	State of origin (if not exporter) <sup>1012</sup>	Remarks <sup>13</sup>	
	Auth.	Act.	Number of items; items <sup>9</sup>	Value <sup>810</sup>			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
<b>A. I-VII UN Register</b> <del>Categories</del> <sup>142</sup> (national definitions shall not cover less than the definitions provided in Annex 1) <sup>1-52</sup>								
I.		<input type="checkbox"/>	<input type="checkbox"/>					
	Battle tanks							

Category of arms [I-VIII]		Authorised or actual imports		Extent of imports (choose one or both)		Exporting State	State of origin (if not exporter)	Remarks	
		Auth.	Act.	Number of items;	Value			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
II.	Armoured combat vehicles								
III.	Large-calibre artillery systems								
IV.	Combat aircraft	a) manned							
		b) unmanned							
V.	Attack helicopters	a) manned							
		b) unmanned							
VI.	Warships								
VII.	Missiles & missile launchers	a) Missiles etc							
		b) MANPADS	<input type="checkbox"/>	<input type="checkbox"/>					

### B. VIII. Small Arms and Light Weapons<sup>164, 157</sup>

#### Small Arms (aggregated)<sup>186</sup>

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"/>						

Category of arms [I-VIII]	Authorised or actual imports		Extent of imports (choose one or both)		Exporting State	State of origin (if not exporter)	Remarks	
	Auth.	Act.	Number of items	Value			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
<b>Light Weapons (aggregated)</b>	<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"/>						
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"/>						
<b>C. Voluntary National Categories</b> (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"/>						

## EXPLANATORY NOTES

- 1) [See questions 29 to 31 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 1)2) 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. [See also question 33 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 2)3) [Date for collected statistics \(for instance 30 June or 31 December\).](#) [See also question 3 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 3)4) [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. [See also question 5 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 5) [If you wish this Annual Report to be publicly available and posted on the public area of the ATT website, tick 'Yes'. If you tick 'No', this Annual Report will be posted on the restricted area of the website and will not be publicly available. See question 41 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 4)6) As outlined in Articles 2 (1) (a)-(h) and 5(3). **For more precise definitions of the categories, see Annex 1.** [See also section B.ii. in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 5)7) [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 authorised and actual exports / imports~~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. [See also questions 9 to 11 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 6)8) [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. [See also question 24 in the 'FAQ'-type guidance document on the annual reporting obligation.](#)
- 7)9) [Standard UN Registry reporting variable.](#) Please indicate unit, if not 'pieces'.
- 8)10) [Optional alternative.](#) Please indicate unit (for example national currency).

- 11) In line with UN Registry practice. See also questions 22 and 23 in the ‘FAQ’-type guidance document on the annual reporting obligation on breaking down information.
- 12) In line with UN Registry practice. NB: This is a shaded column because this information goes beyond the common understanding of what information States Parties should include as a minimum when they report their authorized or actual exports and imports, voluntary in terms of the obligations of the ATT. See also question 24 in the ‘FAQ’-type guidance document on the annual reporting obligation.
- 13) 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: In line with UN Register practice, States Parties may choose between reporting respectively small arms and light weapons as an aggregate, or by sub-type. These are shaded columns, voluntary in terms of the obligations of the ATT. See also questions 25 to 28 in the ‘FAQ’-type guidance document on the annual reporting obligation.
- 9)14) 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. See also question 12 and Annexes 1 and 2 in the ‘FAQ’-type guidance document on the annual reporting obligation.
- 10)15) See Article 5(3). See also question 12 and Annexes 1 and 2 in the ‘FAQ’-type guidance document on the annual reporting obligation.
- 11)16) 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 in alignment with the provision in Article 5(3), which stipulates that: ‘For the category covered under Article 2 (1) (h), 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’. This choice has been made provisionally, pending later agreement between States Parties on the desirability of using this or another UN description or 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, in line with the UN Register practice that allows States to choose between reporting small arms by sub-type or as an aggregate representing voluntary information in terms of the obligations of the ATT. See also questions 13 and 14 and Annex 3 in the ‘FAQ’-type guidance document on the annual reporting obligation.
- 12)17) “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)) See also question 12 and Annexes 1 and 2 in the ‘FAQ’-type guidance document on the annual reporting obligation.
- 13)18) In line with UN Registry practice, States Parties may choose between reporting small arms by sub-type or as an aggregate. See also question 13 and Annex 3 in the ‘FAQ’-type guidance document on the annual reporting obligation.

- ~~14~~19) In line with UN Registry practice, States Parties may choose between reporting light weapons by sub-type or as an aggregate. See also question 13 and Annex 3 in the 'FAQ'-type guidance document on the annual reporting obligation.
- ~~15~~20) 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. See also questions 15 and 16 in the 'FAQ'-type guidance document on the annual reporting obligation.

## ANNEX 1

### UN Registry Definitions of Categories I-VII<sup>1</sup>

#### 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.

<sup>1</sup> 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 launchers<sup>2</sup>

- 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)<sup>3</sup>.

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<sup>2</sup> Multiple-launch rocket systems are covered by the definition of category III.

<sup>3</sup> 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 :	
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**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 additional 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 Arms<sup>1</sup>

<b>Reporting country :</b>		<b>Calendar Year :</b>	
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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.

<b>This nil report on exports <a href="#">may be made publicly available<sup>5</sup></a> <del>is available only to States Parties</del></b>	<u>Yes</u> <input type="checkbox"/>	<u>No</u> <input type="checkbox"/>
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## ANNEX 3 B

## NIL REPORT

Imports of Conventional Arms<sup>1</sup>

<b>Reporting country :</b>		<b>Calendar Year :</b>	
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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.

<b>This nil report on imports <u>may be made publicly available</u><sup>5</sup> <del>is available only to States Parties</del></b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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