

## 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 ~~may be made publicly available~~ is available only to States Parties Yes  No 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) 

**Commented [Author1]:** The date of 'submission' is an objective fact that the ATT Secretariat can verify/ascertain by noting the date when the report was received via email, post, online etc. Often the 'date of submission' that a State inserts here differs from the actual date they press the send button and submit it to the ATT Secretariat. Accordingly, it would be more accurate to label this the date of the *report*.

**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. The national control system includes the following:		Yes	No
i)	<del>a national control list [Article 5(2)]</del> <u>competent national authorities (further specified below) [Article 5(5)]</u>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<del>a control list [Article 5(2)]</del> <u>competent national authorities [Article 5(5)]</u>	<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)

**Commented [Author2]:** These have been re-ordered to reflect their position in the Treaty (i.e. the reference to national control lists comes before competent national authorities).

**Commented [Author3]:** This has been moved (from J to C). It is not a new field.

**1.2 NATIONAL CONTROL LIST**

D. The national control list covers the following <u>arms</u> :		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 items, 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"/>
x)	Parts and components in a form that provides the capability to assemble the 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 explain in more detail provide background below			
<b>E. Does your State maintain a national control list for the following types of transfers? [Articles 2(2) &amp; 5(2)]:</b>		Yes	No
i)	Export	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Import	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Transit or trans-shipment	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Brokering	<input type="checkbox"/>	<input type="checkbox"/>
<b>F. Does the same control list apply to all these types of transfers (or do you maintain different lists for different types of transfers)?</b> (If 'No', please explain)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. The national control list has been provided to the Secretariat of the Treaty [Article 5.4]</b> (if 'No', please elaborate further below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>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]</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>HG. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)]</b> (If 'Yes', please specify below what the additional categories are)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>HI. 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)]</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 <input type="checkbox"/>	No <input type="checkbox"/>
i)	United Nations Register of Conventional Arms [Article 5(3)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Wassenaar Arrangement	<input type="checkbox"/>	<input type="checkbox"/>
iii)	EU Common Military List	<input type="checkbox"/>	<input type="checkbox"/>

**Commented [Author4]:** This question is redundant and can be deleted. It can be objectively realised by the ATT Secretariat – either the reporting State has submitted its national control list (and the Secretariat has a record of it) or it has not.

iv)	National definitions	<input type="checkbox"/>	<input type="checkbox"/>
v)	Other (please specify)	<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. If 'No', please explain)		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>1.3 NATIONAL POINT(S) OF CONTACT</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>		Mr. <input type="checkbox"/>	Mrs. <input type="checkbox"/>
<b>Position/Job:</b>			
<b>Ministry:</b>			
<b>Agency/Department:</b>			
<b>Email address:</b>			
<b>Telephone no.:</b>			
<b>Address:</b>			

Commented [Author5]: As above, this question is redundant and can be deleted.

## 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, if, in the circumstances specified in Articles 6(1) to 6(3)</b> (if 'No' in any respect, please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
i)	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)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	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)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	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, 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	<input type="checkbox"/>	<input type="checkbox"/>

**ANNEX 1** ————— **INITIAL REPORTING TEMPLATE**

17 # July 20162020

international agreements to which it is a Party [Article 6(3)]		
(If 'Yes', please consider providing further information. If 'No' in any respect, please elaborate below)		
<b>D. Guidelines exist for the assessment of whether a sanctions decision is applicable or not to an individual case</b> (If 'No' in any respect, please elaborate below)	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> (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.)		
<b>C. Which international agreements to which the country is 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> (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.)		
<b>D. Do you have guidelines on the application of the prohibitions to an individual case?</b> (If 'Yes', please provide further information)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. Additional voluntary information relevant to prohibitions under Article 6</b> (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)		

**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 explain in more detail provide background below			
<b>B. National legislation includes a definition of export [Articles 6(1) to 6(3) and Article 7]</b> (If 'Yes', please specify. If 'No', please explain.)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>BC. National export controls apply to the conventional arms covered under Article 2(1), and the items covered under Articles 3 and 4</b> (If 'No', please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>

<b>ED.</b> The competent national authority(-ies) for the control of exports [Article 5(5)] (Please specify the Ministry, Government Agency or Department below)		
<b>DE.</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)		
Yes <input type="checkbox"/>	No <input type="checkbox"/>	
<b>DF.</b> If a risk is identified, the State 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 of the types of risk mitigation measures that are most often used)		
Yes <input type="checkbox"/>	No <input type="checkbox"/>	
<b>EG.</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)		
Yes <input type="checkbox"/>	No <input type="checkbox"/>	
<b>FH.</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)		
Yes <input type="checkbox"/>	No <input type="checkbox"/>	
<b>IH.</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)		
Yes <input type="checkbox"/>	No <input type="checkbox"/>	
<b>J.</b> Do you have guidelines on the application of the export assessment requirements to an individual case? (If 'Yes', please provide further information)		
Yes <input type="checkbox"/>	No <input type="checkbox"/>	
<b>KI.</b> The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in 3.D above (If 'Yes' please specify below)		
Yes <input type="checkbox"/>	No <input type="checkbox"/>	
<b>LJ.</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)		
Yes <input type="checkbox"/>	No <input type="checkbox"/>	
<b>MK.</b> An export authorization can be reassessed if new relevant information becomes available [Article 7(7)] (If 'Yes', please provide further information below. Are there also legal provisions for suspension or withdrawal of a license?)		
Yes <input type="checkbox"/>	No <input type="checkbox"/>	

Commented [Author6]: This field has been moved to reflect the order of the Treaty.

Commented [Author7]: This field has been moved to reflect the order of the Treaty.

**ANNEX 1** ————— **INITIAL REPORTING TEMPLATE**  
17 # July 20162020

<b>N.</b> <u>There are legal provisions for suspension or withdrawal of a license? [Article 7(7)]</u> (If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>OL.</b> Information / documentation included in an application for an export authorization (Please specify below)		
<b>MP.</b> 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)] (Please specify below)		
<b>NQ.</b> The national control system allows a State of final destination to request information concerning pending or actual export authorizations pertaining to it [Article 8(3)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>OR.</b> Additional voluntary information relevant to national export controls (Please specify below - for instance; on the control of re-exports, or further detail on national measures indicated in 3A-D and F; <u>the national interpretation of key concepts in Article 7</u> )		

**4. IMPORTS**

<b>A.</b> The national control system includes measures <del>that allow the regulation to prevent, where necessary, of 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)]</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)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'Yes', please also answer the following question		
<b>B.</b> The competent national authority(-ies) for the regulation of imports [Article 5(5)] (Please specify <u>the Ministry, Government Agency or Department</u> below)		
<b>C.</b> National legislation includes a definition of import [Articles 6(1) to 6(3) and Article 8] (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>CD.</b> The national control system allows <del>the State to provide for the provision,</del> pursuant to national law and upon request, <del>of appropriate and relevant information to assist another State Party that is conducting an</del> export assessment by a potential exporting State Party [Article 8(1)] (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>DE.</b> Imports of conventional arms subject to <del>control regulation</del> are, under specific circumstances, permitted without <del>regulation-specific authorization</del> or under simplified procedure (If 'Yes' please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<b>FE. Measures to regulate imports 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>GF. 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)]</b> (Please specify below)		
<b>HG. Information / documentation required for an import authorization</b> (Please specify below)		
<b>IH. Additional voluntary information relevant to national import controls</b> (Please specify below)		

## 5. TRANSIT & TRANS-SHIPMENT

<b>A. 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) [ref-Article 9], as well as items covered under Articles 3 and 4 <del>in violation of the prohibitions in Article 6.</del> [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"/>
<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) [ref-Article 9], as well as items covered under Articles 3 and 4 <del>in violation of the prohibitions in Article 6.</del> [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"/>
<b>C. National legislation includes a definition of transit [Articles 6(1) to 6(3) and Article 9]</b> (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>D. National legislation includes a definition of trans-shipment [Articles 6(1) to 6(3) and Article 9]</b> (If 'Yes', please specify. If 'No', please explain.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>EC. Control measures for the regulation of to regulate transit and/or trans-shipment cover :</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?)	Yes	No



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 only apply control measures to prevent transit and trans-shipment in violation of the prohibitions in Article 6?</b> (If 'No', please specify the other control measures that your States applies to transit and trans-shipment.)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>DG. 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>F. 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>JH. 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>KI. Information / documentation required in an application for a transit / trans-shipment authorization</b> (Please specify below)			
<b>LJ. 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 that allow the regulation, pursuant to national laws, of brokering of conventional arms covered under Article 2(1) [ref Article 10], 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 that 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 measures to regulate brokering include:</b>		<b>Yes</b>	<b>No</b>
i)	Requiring brokers to register before engaging in brokering [Article 10]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Requiring brokers to obtain written authorization before engaging in brokering [Article 10]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>
<b>C. National legislation includes a definition of brokering [Articles 6(1) to 6(3) and Article 10]</b> (If 'Yes', please specify. If 'No', please explain.)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. The definition of brokering used in national legislation [Articles 6(1) to 6(3) and Article 10]</b> (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)			
<b>D. Does your State only apply control measures to prevent brokering in violation of the prohibitions in Article 6?</b> (If 'No', please specify the other control measures that your States applies to brokering)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>CE. The competent national authority(-ies) for the regulation of brokering [Article 5(5)]</b> (Please specify below)			
<b>DE. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 &amp; 10]</b> (If 'Yes', please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. National brokering controls go beyond the fulfillment of obligations under Article 6 of the Treaty (for instance regulating brokering in other situations)</b> (If 'Yes', please specify the additional scope of control)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>EG. Measures to regulate brokering 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>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)]</b> (Please specify below)			
<b>HI. Information / documentation required in an application related to brokering</b> (Please elaborate below)			
<b>IJ. Additional voluntary information relevant to national brokering controls</b> (Please specify below)			

## 7. DIVERSION

A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]		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> (if 'No', please elaborate below)		<input type="checkbox"/>	<input type="checkbox"/>
C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)] :		Yes	No
iii)	establishment of mitigation measures [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
iv)	provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]	<input type="checkbox"/>	<input type="checkbox"/>
v)	requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]	<input type="checkbox"/>	<input type="checkbox"/>
vi)	examination, where appropriate, of parties involved in a transfer [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
vii)	requirement, where appropriate, for additional documentation, certificates, assurances for a transfer [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
viii)	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)]	<input type="checkbox"/>	<input type="checkbox"/>
ix)	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)]	<input type="checkbox"/>	<input type="checkbox"/>
x)	other measures [Article 11(1)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
D. Measures included in the national control system, to be taken when a diversion of transferred conventional arms has been detected [Article 11(4)]		Yes	No
i)	alerting potentially affected States Parties	<input type="checkbox"/>	<input type="checkbox"/>
ii)	investigative and law enforcement measures at the national level	<input type="checkbox"/>	<input type="checkbox"/>
iii)	using international tracing mechanisms to identify points of diversion	<input type="checkbox"/>	<input type="checkbox"/>
iv)	other measures (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>

**ANNEX 1** ————— **INITIAL REPORTING TEMPLATE**  
 17 # July 20162020

<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: [Article 12(1)]</b> (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"/>
ii) actual exports of conventional arms covered under Article 2(1) <del>of the Treaty</del> [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 '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 as required by Article 13(3)</b> (If 'No', 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 [Article 14]</b> (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 [Article 15(5)]</b> (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 [Article 15(6)]</b> (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 [Article 15(1)]</b> (If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<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>B. The State is in a position to provide assistance with the following:</b>			
i)	Establishing and/or maintaining a national control system [Article 5(2)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Establishing and/or maintaining a national control list [Articles 5(2)-(4)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Designating competent national authority (-ies) [Article 5(4)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Designating a national point of contact(s) [Article 5(6)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
v)	Establishing measures to regulate the export of arms and items, including a process for conducting risk assessments [Article 7] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vi)	Establishing measures to regulate the import of arms [Article 8] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vii)	Establishing measures to regulate the transit and trans-shipment of arms [Article 9] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
viii)	Establishing measures to regulate the brokering of arms [Article 10] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ix)	Establishing measures to prevent and address diversion [Article 11] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
x)	Record-keeping [Article 12] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
xi)	Reporting [Article 13] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
xii)	Other (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>

**ANNEX 1** ~~INITIAL REPORTING TEMPLATE~~  
17 # July 20162020

<b>C. The State would like to receive assistance with the following:</b>		<b>Yes</b>	<b>No</b>
i)	Establishing and/or maintaining a national control system [Article 5(2)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Establishing and/or maintaining a national control list [Articles 5(2)-(4)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Designating competent national authority (-ies) [Article 5(4)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Designating a national point of contact(s) [Article 5(6)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
v)	Establishing measures to regulate the export of arms and items, including a process for conducting risk assessments [Article 7] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vi)	Establishing measures to regulate the import of arms [Article 8] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vii)	Establishing measures to regulate the transit and trans-shipment of arms [Article 9] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
viii)	Establishing measures to regulate the brokering of arms [Article 10] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ix)	Establishing measures to prevent and address diversion [Article 11] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
x)	Record-keeping [Article 12] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
xi)	Reporting [Article 13] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
xii)	Other (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
<b>BD. National regulations and policy allow the provision for contribution of financial resources to the v<del>o</del>luntary t<del>r</del>ust f<del>u</del>nd established under Article 16(3) of the Treaty</b> (if 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>

**ANNEX 1** INITIAL REPORTING TEMPLATE  
17 July 2016

**EE. Additional voluntary information relevant to the provision- or receipt of implementation assistance**  
(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)</b> (If 'No', please elaborate below)	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> (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> (Please specify below)		



**ANNEX 1** ~~INITIAL REPORTING TEMPLATE~~  
17 # July 20162020

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:

**ANNEX 1** ————— **INITIAL REPORTING TEMPLATE**

**17 # July 20162020**

(this page is intentionally blank)