
Arms Trade Treaty
Second Conference of States Parties
Geneva, 22 – 26 August 2016

Report of the ATT Working Group on Reporting Templates to the Second Conference of States Parties

At the Extraordinary Conference of States Parties held in Geneva on 29 February 2016, the Conference agreed on Terms of Reference for the informal working group established during CSP1. These are contained in ATT/CSP2/2016/EM/WP.2/Rev.1 and reproduced here.

Mandate

1. *The Informal Working Group on Reporting shall continue the work of developing reporting templates for mandatory reporting obligations under Articles 13.1 and 13.3 of the Arms Trade Treaty, with the aim of proposing templates at CSP2. Work may also be undertaken on templates for voluntary reporting according to Article 13.2 of the Treaty.*

Membership and composition

2. *The Informal Working Group on Reporting shall be open to participation by States Parties, signatory States, and observers to the Extraordinary Meeting of the Second Conference of States Parties. At the request of a State Party, and in accordance with Rule 43, a particular session of the Group may be limited to government representatives only. Experts may be invited to attend such a session, pursuant to Rule 42.3 of the Rules of Procedure.*

Working methods

3. *The Working Group shall be chaired by the facilitator(s) for reporting templates appointed by the Conference.*
4. *The Working Group shall primarily hold its meetings in Geneva, where the meetings can be supported by the Secretariat of the Treaty.*
5. *The working language of the Group shall be English.*
6. *Meetings shall be complemented by intersessional work conducted by posting proposals and comments on the website of the Treaty. If a closed session has been agreed, communications pertaining to the confidential aspects of that session may be posted in the secure area of the website.*

Budgetary implications

7. *Direct meeting costs, such as for technical support and documentation, will be covered by the resources allocated for the conduct of meetings in the budget of the Second Session of the Conference of States Parties. Indirect meeting costs, such as for travel and accommodation, will be borne by the participants.*

Facilitation

Sweden was asked to continue to facilitate the work on reporting templates, and Ambassador Paul Beijer has fulfilled this role in the period leading up to the Second Conference of States Parties.

Activities of the Group

The Working Group has held 3 meetings in Geneva at the seat of the Secretariat, on April 29, June 3 and July 8. One meeting was also held in New York on May 13. Intersessionally, input has been provided by both States Parties and civil society organisations.

The purpose and design of reporting templates

Article 13 of the Arms Trade Treaty contains two mandatory reporting requirements for States Parties: (1) an initial report detailing measures taken to implement the Treaty, and (2) an annual report detailing authorized or actual exports and imports of conventional arms covered under Article 2 (1) of the Treaty.

The discussions regarding reporting obligations both during the negotiating phase and afterwards has shown that reporting can fulfil a number of important purposes:

- an initial report serves to demonstrate a State Party's commitment to the Treaty and ability to fulfil the obligations undertaken. It also provides examples of different approaches to implementing Treaty obligations at the national level, thereby serving as food for thought input to national implementation work and in the longer term perhaps to the development of guidance for acceding States.
- an annual report serves to demonstrate a State Party's adherence to Treaty obligations regarding the responsible regulation of the international transfer of controlled items. It also allows States Parties to enhance their awareness of arms flows in their own regions and globally. Such transparency has a confidence-building effect, acts as an early warning signal of potential conflict risks and can serve to strengthen conflict-prevention efforts. The information generated by annual reports also represents valuable input to the risk assessment processes of national licensing systems.

Without prejudice to the right of States Parties to submit their reports according to Article 13 in any form they deem appropriate, reporting in a standardized format may help to achieve all these positive effects by making different national reports more comparable and easier to use for analytical purposes at the national level. Use of a template also provides assurance that reporting obligations are being fulfilled in a manner that will not be challenged.

A carefully constructed template for the initial report, one that adequately reflects the different obligations contained in the Treaty, also provides individual States Parties with a diagnostic tool for assessing the compliance of their national control systems at any given point in time.

At the same time, a balance needs to be struck between the utility of information gathered through a template and the effort required at the national level to produce a report. The need to limit the demands on national resources has been addressed in several different ways:

- A template in itself simplifies reporting work at the national level: individual States Parties are saved the effort of devising a format of their own.
- Requirements for an excessive level of detail have been avoided, since further detail can also be provided as the need arises in work under the Treaty.
- A tick-box approach has been employed in the initial report, allowing a State Party to complete its report quickly and simply, providing the minimum of information necessary to demonstrate national compliance with obligations under the Treaty. At the same time, ample scope exists in the template for the voluntary provision of further information on different aspects of a national system.
- Use of the initial reporting template also for the provision of updates reflecting new measures undertaken at the national level has been foreseen, through the incorporation of the necessary 'flags'.

The Initial Reporting Template

Article 13.1 of the Treaty (in full) specifies that:

“Each State Party shall, within the first year after entry into force of this Treaty for that State Party, in accordance with Article 22, provide an initial report to the Secretariat of measures undertaken in order to implement this Treaty, including national laws, national control lists and other regulations and administrative measures. Each State Party shall report to the Secretariat on any new measures undertaken in order to implement this Treaty, when appropriate. Reports shall be made available, and distributed to States Parties by the Secretariat.”

The provisional initial reporting template presented at CSP1 has undergone four revisions on the basis of input from participants in the Working Group process. It is attached to this report as Annex 1. The Working Group recommends that the Conference of States Parties approves this template. The following wording is proposed for consideration at CSP2:

Alt 1 : [States Parties considered and adopted the initial reporting template contained in Annex 1 of ATT/CSP2/2016/WP.6 for use by States Parties in compiling their initial reports in accordance with Article 13.1 of the Treaty]

Alt 2 : [For use in compiling initial reports in accordance with Article 13.1 of the Treaty States Parties are urged to use the template contained in Annex 1 of ATT/CSP2/2016/WP.6, in order to facilitate their reporting task as well as subsequent use of the information contained therein in Treaty work]

Alt 3 : [Noting that a template may facilitate their reporting task as well as subsequent use of the information contained therein in Treaty work, States Parties endorse the initial reporting template contained in Annex 1 of ATT/CSP2/2016/WP.6 that may be used by States Parties in compiling their initial reports in accordance with Article 13.1 of the Treaty.]

The Annual Reporting Template

Article 13.3 of the Treaty (in full) specifies that:

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

The provisional annual reporting template presented at CSP1 has undergone three revisions on the basis of input from participants in the Working Group process. It is attached to this report as Annex 2. The Working Group recommends that the Conference of States Parties approves this template. The following wording is proposed for consideration at CSP2:

Alt 1 : [States Parties considered and adopted the annual reporting template contained in Annex 2 of ATT/CSP2/2016/WP.6 for use by States Parties in compiling their annual reports in accordance with Article 13.3 of the Treaty]

Alt 2 : [For use in compiling annual reports in accordance with Article 13.3 of the Treaty States Parties are urged to use the template contained in Annex 2 of ATT/CSP2/2016/WP.6, in order to facilitate their reporting task as well as subsequent use of the information contained therein in Treaty work]

Alt 3 : [Noting that a template may facilitate their reporting task as well as subsequent use of the information contained therein in Treaty work, States Parties endorse the annual reporting template contained in Annex 2 of ATT/CSP2/2016/WP.6 that may be used by States Parties in compiling their annual reports in accordance with Article 13.3 of the Treaty.]”

Issues related to initial reporting deadlines for new States Parties

At the request of the Chair of CSP2, the Working Group also considered two issues related to initial reporting deadlines for new States Parties.

The first concerns the initial report deadline and a group of 8 States Parties that ratified the Treaty in the period between the attainment of 50 ratifications according to Article 22(1) and the entry into force of the Treaty. Due to the wording of the entry into force provisions, this group of States Parties did not get as much time to prepare their initial reports as other States Parties ratifying the Treaty before or after this point in time. The group concluded that a decision by the States Parties to correct this oversight would not have any practical impact. It therefore proposes that States Parties at CSP2 go no further than to take note of the issue as described in the working paper presented to the Working Group (ATT/CSP2/2016/WP.5).

The second concerns the first annual report of a States Party. The wording of the relevant Treaty provision (Article 13.3) mandates that reporting should cover a calendar year, but provides no guidance as to whether (depending on when in a calendar year the treaty entered into force for a given States Party) a first annual report should cover also a period

before treaty obligations entered in force for that State Party, or alternatively cover only a part of that first calendar year. In the template work leading up to CSP1 an informal agreement was reached that a States Party's first annual report should cover the first complete calendar year after entry into force for that State Party. This agreement was never formalized since the annual template was not adopted at CSP1. At the same time, the Working Group notes the utility of providing clear guidance to forthcoming States Parties on the timing of their first annual report. The following wording is therefore proposed for consideration at CSP2:

“Regarding Article 13.3 of the Treaty, States Parties recommend that a new State Party’s first annual report should cover the first full calendar year after entry into force of the Treaty for that State Party, and be submitted by 31 May the following year.

In the spirit of Article 5.3 of the Treaty, nothing prevents a new State Party wishing to contribute further to transparency and accountability from reporting the time period from entry into force of the Treaty and up to the start of the first full calendar year, as long as that additional period is reported separately.”

Other means of facilitating reporting work

The Working Group also considered other proposals for facilitating reporting work at the national level. As a result, the Conference of States Parties is recommended to consider the following measures:

- Translation of the reporting templates into the official languages of the Treaty (as a result of efforts by one State Party, a translation into Spanish already exists).
- Reminders from the Secretariat to national points of contact as reporting deadlines grow close.
- Development of secure, web-based versions of the reporting templates, to avoid the technical and security limitations of the document formats used so far. The option to complete a template in document format and forward it to the Secretariat via e-mail should at the same time be retained, to accommodate local differences in the availability and cost of high-speed internet services.

A further suggestion which was not explored in depth by the Working Group due to time constraints was for States Parties of the ATT to develop generic advice on measures that could be taken at national level to facilitate compliance with different international reporting obligations.

Further work

The Working Group recommends that the Conference of States Parties continues to pay attention to issues related to reporting and transparency as these are central to the object and purpose of the Arms Trade Treaty. To this end, the Conference may wish to consider establishing a Working Group with the mandate to consider issues in the area of reporting and transparency at the behest of States Parties.

Budgetary impact of the Working Group

Meetings in Geneva have been arranged by the ATT Secretariat. Participation costs have been borne by the participants themselves. The meeting in New York was convened and funded by Sweden in the role of facilitator.

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.

GOVERNMENT OF _____

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

DATE OF SUBMISSION _____

This Initial Report is available only to States Parties	<input type="checkbox"/>
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This Report contains only updates to a previously submitted initial report dated _____	<input type="checkbox"/>
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1. NATIONAL CONTROL SYSTEM AND LIST

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) competent national authorities (further specified below) [Article 5(5)]	<input type="checkbox"/>	<input type="checkbox"/>
ii) a control list [Article 5(2)]	<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 'No' to any of the items above, please provide background below.		
C. The national point(s) of contact has (have) been notified to the Secretariat of the Treaty [Article 5(6)] (if 'No', please clarify below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. The national control list covers the following:	Yes	No
i) Battle tanks [Article 2(1a)]	<input type="checkbox"/>	<input type="checkbox"/>
ii) Armored combat vehicles [Article 2(1b)]	<input type="checkbox"/>	<input type="checkbox"/>
iii) Large-caliber artillery systems [Article 2(1c)]	<input type="checkbox"/>	<input type="checkbox"/>
iv) Combat aircraft [Article 2(1d)]	<input type="checkbox"/>	<input type="checkbox"/>
v) Attack helicopters [Article 2(1e)]	<input type="checkbox"/>	<input type="checkbox"/>
vi) Warships [Article 2(1f)]	<input type="checkbox"/>	<input type="checkbox"/>
vii) Missiles and missile launchers [Article 2(1g)]	<input type="checkbox"/>	<input type="checkbox"/>
viii) Small arms and light weapons [Article 2(1h)]	<input type="checkbox"/>	<input type="checkbox"/>
The national control list also includes the following, in order to enable the application of Articles 3 and 4:	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 'No' to any of the items above, please provide background below			
E. The national control list has been provided to the Secretariat of the Treaty [Article 5.4] (if 'No', please elaborate further below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. Arms for recreational, cultural, historical and sporting purposes are included in the national control list [Article 2(1)(h) & Preamble, 13th para]		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			
G. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)] (If 'Yes', please specify below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
H. Control list definitions are supplemented by more detailed definitions not in the control list itself [Article 5(3)] (If 'Yes', please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
I. The national control list is publicly available [Article 5(4)] (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)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
J. 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)			

2. PROHIBITIONS

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, in the circumstances specified in Articles 6(1) to 6(3) (if 'No' in any respect, please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(2) (please list below)			
C. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(3) (please list below - for instance if)			

D. Guidelines exist for the assessment of whether a sanctions decision is applicable or not to an individual case (if 'No' in any respect, please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. Additional voluntary information relevant to prohibitions under Article 6 (please elaborate below - for instance if prohibitions are applied to a wider range of products than defined in Articles 2(1), 3 and 4)		

3. EXPORTS

A. The national control system includes the following:		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 provide background below			
B. National export controls apply to the conventional arms covered under Article 2(1), and the items covered under Articles 3 and 4 (if 'No', please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)] (if 'No', please provide further information below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. The national risk assessment procedure includes all the criteria described in Article 7(1)(a) and (b), and Article 7(4) (if 'No' in any respect, please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. The competent national authority(-ies) for the control of exports [Article 5(5)] (please specify below)			
F. 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"/>
G. 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 types of risk mitigation measures that are most often used)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
H. The national control system allows exports of controlled equipment without a		Yes <input type="checkbox"/>	No <input type="checkbox"/>

licence or under simplified procedure under certain circumstances [for instance temporary exports or exports to trusted partners] (if 'Yes' please provide further information below)		
I. 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"/>
J. 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"/>
K. 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"/>
L. Information / documentation included in an application for an export authorization (please specify below)		
M. 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)		
N. 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"/>
O. 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)		

4. IMPORTS

A. The national control system includes measures that allow the regulation, 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. [ref Articles 6(1) to 6(3)] (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. The competent national authority(-ies) for the regulation of imports [Article 5(5)] (please specify below)		
C. The national control system allows for the provision, pursuant to national law and upon request, of appropriate and relevant information to assist an export		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>

assessment by a potential exporting State Party [Article 8(1)] (if 'No', please elaborate below)		
D. Imports of conventional arms subject to control are under specific circumstances permitted without regulation or under simplified procedure (if 'Yes' please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. 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)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. 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)		
G. Information / documentation required for an import authorization (please specify below)		
H. Additional voluntary information relevant to national import controls (please specify below)		

5. TRANSIT & TRANS-SHIPMENT

A. The national control system includes measures that allow the regulation, where necessary and feasible, of transit of conventional arms covered under Article 2(1) [ref Article 9], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)] (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. The national control system includes measures that allow the regulation, where necessary and feasible, of trans-shipment of conventional arms covered under Article 2(1) [ref Article 9], as well as items covered under Articles 3 and 4. [ref Articles 6(1) to 6(3)] (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"/>
C. Control measures for the regulation of transit and/or trans-shipment cover : (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"/>
D. The competent national authority(-ies) for the regulation of transit and trans-shipment [Article 5(5)]		

(please specify below)		
E. Transit / trans-shipment of controlled equipment is permitted without regulation or under simplified procedure under certain circumstances (for instance in a free trade area) (if 'Yes' please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. National control of transit and/or trans-shipment goes beyond the fulfillment of obligations under Article 6 of the Treaty (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"/>
G. 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)] (if 'Yes', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
H. 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)] (please specify below)		
I. Information / documentation required in an application for a transit / trans-shipment authorization (please specify below)		
J. Additional voluntary information relevant to national transit / trans-shipment controls (please specify below)		

6. BROKERING

A. The national control system includes measures 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. [ref 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)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. The definition of brokering used in national legislation [Articles 6(1) to 6(3) and Article 10] (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)		
C. The competent national authority(-ies) for the regulation of brokering [Article 5(5)] (please specify below)		
D. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 & 10] (if 'Yes', please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

E. National brokering controls go beyond the fulfillment of obligations under Article 6 of the Treaty (for instance regulating brokering in other situations) (if 'Yes', please specify the additional scope of control)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
G. 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)] (please specify below)		
H. Information / documentation required in an application related to brokering (please elaborate below)		
I. Additional voluntary information relevant to national brokering controls (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. 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)] (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"/>
viii)	requirement, where appropriate, for additional documentation, certificates,	<input type="checkbox"/>	<input type="checkbox"/>

	assurances for a transfer [Article 11(2)]		
ix)	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"/>
x)	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"/>
xi)	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"/>
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)] (if 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. Additional voluntary information relevant to the prevention of diversion of conventional arms (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

A. The national control system includes provisions for maintaining records regarding: [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) of the Treaty [Article 12(1)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	actual exports of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)] (if 'No' to both (i) and (ii), please elaborate below)	<input type="checkbox"/>	<input type="checkbox"/>
B. Records are kept for a minimum of 10 years [Article 12(4)] (if 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. The national control system includes provisions for maintaining records regarding :		Yes	No
i)	imports of conventional arms covered under Article 2(1) of the Treaty 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) of the Treaty [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"/>
D. Records cover other categories of conventional arms than those specified in Article 2(1) (if 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. Additional voluntary information relevant to national record keeping (please specify below - for instance types of information preserved in national records for exports and imports respectively)			

9. REPORTING

A. The national control system allows for the provision of information as required by Article 13(3) (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Additional voluntary information relevant to national reporting (please specify below, for instance if national reports are publicly available - if available on the open internet please provide the relevant hyperlink)		

10. ENFORCEMENT

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] (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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)] (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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)] (please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. Additional voluntary information relevant to national enforcement (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

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)] (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Additional voluntary information relevant to participation in international cooperation (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

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) (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. National regulations and policy allow the provision of financial resources to the voluntary trust fund established under Article 16(3) of the Treaty (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. 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

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) (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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) (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. Additional voluntary information relevant to dispute settlement under the terms of the Treaty (please specify below)		

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THE ARMS TRADE TREATY

REPORTING TEMPLATE

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

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

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

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

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

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

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

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

GOVERNMENT OF _____

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

REPORT FOR THE CALENDAR YEAR _____

National Point of Contact for this Report:

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

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

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

EXPORTS OF CONVENTIONAL ARMS¹**- SHADED COLUMNS AND ROWS REPRESENT VOLUNTARY INFORMATION -**

Reporting country :		Calendar Year :	Cutoff date² :
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In this report, the following definition of the term exports was used³ (check as appropriate) :		
Physical transfer of items across a national border :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of title :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of control :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other (please provide a brief description below) :	Yes <input type="checkbox"/>	No <input type="checkbox"/>

This Annual Report on exports is available only to States Parties	<input type="checkbox"/>
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Category of arms ⁴ [I-VIII]	Authorised or actual exports ⁵		Extent of exports ⁶ (choose one or both)		Final importing State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
	Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1	2	3	4	5	6	7	8	9
A. I-VII UN Registry Categories¹² (national definitions shall not cover less than the definitions provided in Annex 1¹³)								
I.	Battle tanks	<input type="checkbox"/>	<input type="checkbox"/>					

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

IMPORTS OF CONVENTIONAL ARMS¹**- SHADED COLUMNS AND ROWS REPRESENT VOLUNTARY INFORMATION -**

Reporting country :		Calendar Year :	Cutoff date² :
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In this report, the following definition of the term imports was used³ (check as appropriate) :		
Physical transfer of items across a national border :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of title :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of control :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other (please provide a brief description below) :	Yes <input type="checkbox"/>	No <input type="checkbox"/>

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

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

Category of arms ⁴ [I-VIII]		Authorised or actual imports ⁵		Extent of imports ⁶ (choose one or both)		Exporting State ⁹	State of origin (if not exporter) ¹⁰	Remarks ¹¹	
		Auth.	Act.	Number of items ⁷	Value ⁸			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
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"/>						
C. Voluntary National Categories¹⁸ (please define in Annex 2)									
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						

EXPLANATORY NOTES

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

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

ANNEX 1**UN Registry Definitions of Categories I-VII¹****I. Battle tanks**

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

II. Armoured combat vehicles

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

III. Large-calibre artillery systems

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

IV. Combat aircraft

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

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

V. Attack helicopters

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

¹ Excerpted from the 2014 UN Registry reporting template

VI. Warships

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

VII. Missiles and missile launchers²

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

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

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

ANNEX 3 A

NIL REPORT
Exports of Conventional Arms¹

Reporting country :		Calendar Year :	
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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.

This nil report on exports is available only to States Parties	<input type="checkbox"/>
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ANNEX 3 B

NIL REPORT
Imports of Conventional Arms¹

Reporting country :		Calendar Year :	
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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.

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