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SECRETARIAT OF STATE
FOR TRADE

SPANISH STATISTICS ON THE EXPORT OF DEFENCE MATERIAL, OTHER MATERIAL AND DUAL USE ITEMS AND TECHNOLOGIES, 2016

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INTRODUCTION

This report includes the 2016 exports of defence material, other material and dual-use items and technologies authorised and completed in accordance with the terms of Article 16 of Law 53/2007 of 28 December 2007 on the control of external trade in defence and dual-use material.

Before delving into the analysis of specific export data, an explanation must first be given regarding the methodology followed in compiling the statistics contained herein.

The Secretariat of State for Trade attached to the Ministry of Economy and Competitiveness, duly informed by the Inter-Ministerial Regulatory Board on Foreign Trade in Defence and Dual-Use Material (Spanish acronym JIMDDU) and is the body responsible for authorising each external trade transaction concerning defence material, other material and dual-use items and technologies. The Secretariat of State possesses the data concerning all of the authorised export licenses while the data corresponding to exports actually completed are available at the Department of Customs and Excise Duties of the National Tax Administration Agency attached to the Ministry of Finance and Civil Service.

This report presents the data concerning operations undertaken, the information having been obtained by the Customs and Excise Department's individual review of export licenses issued and checking them against each one of the shipments made. Moreover, the Secretariat of State for Trade collected information regarding export shipments directly from companies

enabling it to correct any discrepancy in the data. This authority is envisaged under Article 9 of Royal Decree 679/2014 of 1 August 2014 approving the control Regulation governing the external trade in defence material, other material and dual-use items and technologies and companies are called upon to submit half-yearly reports regarding shipments made.

It should be pointed out that these statistics do not reflect temporary exports (shipments made for the purpose of repair, homologation, testing, fairs, defective goods returned to the manufacturer) which are void of any commercial value.

The 2016 statistics report is divided into two main blocks. The first covers information on Spanish law, EU regulations, data on Spain's export of defence material, other material and dual-use items and technologies and the main progress made at international control fora. The second block is composed of eight annexes containing export figures of these items in 2016, Spain's contribution to the United Nations registers on the international transit of Conventional weapons and small arms and light weapons and to the OSCE Document on Small Arms and Light Weapons, the list of defence material embargoes and a list of helpful links.

These statistics are published in the Economic Bulletin of the Spanish Trade Information Publication put out by the Ministry of Economy, Industry and Competitiveness. The unabridged version of the articles can be found on the web page of the Secretariat of State for Trade.

<http://www.comercio.gob.es>

PART I. LEGISLATIVE FRAMEWORK AND CONTROL BODIES

1. Legislative framework

Organic Law 3/1992 of 30 April 1992 introduced administrative crimes and infractions in connection with the smuggling of defence and dual-use material for the first time into domestic regulations. Law 3/1992 described the crime of smuggling in the same terms as today's Anti-smuggling Act, Organic Law 12/1995 of 12 December 1995, as the unauthorised export of defence or dual-use material or export with authorization obtained by means of a fraudulent or incomplete declaration.

Organic Law 12/1995 was amended in 2011 by Organic Law 6/2011 of 30 June 2011.

Mention should likewise be made of the Criminal Code Act, Organic Law 10/1995 of 23 November 1995 amended by Organic Law 5/2010 of 22 June 2010.

Having regard to the specific legislation controlling the external trade in defence and dual use items, Law 53/2007 entered into force on 29 January 2008, the first time that a regulation of this rank has been enacted to govern these matters in the Spanish legal system. This law was implemented through Royal Decree 2061/2008 of 12 December 2008 establishing the control Regulation on external trade in defence material, other material and dual-use items and technologies.

In 2011 Royal Decree 2061/2008 of 12 December 2008 was amended. The change was reflected in Royal Decree 844/2011 of 17 June 2011 which entered into force on 2 January 2012.

The most recent amendment of Spanish law in this area was on 27 August 2014 with the entry into force of Royal Decree 679/2014 of 1 August 2014 replacing Royal Decree 2061/2008 amended by Royal Decree 844/2011. The aim of Royal Decree 679/2014 was to introduce the necessary changes in the regulation of these transfers thus finalising and implementing Community legislation and responding to the signing and ratification by Spain of the Arms Trade Treaty which entered into force on 24 December 2014. The annexes to the Royal Decree were updated in 2016 through Order ECC/1493/2016 of 19 September 2016.

As specified in the section referring to the processing of operations, it should be noted that requests for transfer are studied in accordance with the legislation cited above, conducting a case by case analysis and drafting the mandatory binding report of the Inter-Ministerial Regulatory Board on External Trade in Defence and Dual-Use Material (JIMDDU). The main purpose of this analysis is to prevent the export of defence material to those destinations failing to comply with the eight criteria laid down in Common Position 2008/944/CFSP of 8 December 2008 defining common rules governing control of exports of military technology and equipment and the proliferation of weapons of mass destruction. To be more precise, the eight criteria laid down in Common Position 2008/944/CFSP applies to export operations involving defence material; moreover, the criteria laid down in the OSCE Document on small arms and light weapons of 24 October 2000 applies to small arms and light weapons.

Resolution 55/255 of the United Nations General Assembly of 8 June 2001 approving the Protocol against the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, supplementing the United Nations Convention against transnational organized crime; the Programme of Action of the United Nations to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects; and Regulation (EU) No 258/2012 of the European Parliament and of the Council of 14 March 2012 implementing Article 10 of the said Protocol, are likewise applicable. Arms brokering is also controlled through Council Common Position 2003/468/CFSP of 23 June 2003 and technical assistance related to certain military end-uses to which Council Joint Action of 22 June 2000 refers is controlled.

Mention should likewise be made of the provisions of Royal Decree 664/1999 of 23 April 1999 on foreign investment, of the Weapons Regulation approved by Royal Decree 137/1993 of 29 January 1993, amended by Royal Decree 976/2011 of 8 July 2011, of the Explosives Regulation approved by Royal Decree 230/1998 of 16 February 1998, amended by Royal Decree 248/2010 of 5 March 2010 and of Royal Decree 563/2010 of 7 May 2010 establishing the Pyrotechnics and Ammunition Regulation amended by Royal Decree 1335/2012 of 21 September 2012.

As for dual-use, the Spanish control authorities apply Council Regulation (EC) No 428/2009 of 5 May 2009 setting up a Community regime for the control of the export, transfer, brokering and transit of dual-use items amended by Regulations (EU) No 1232/2011 of the European Parliament and of the Council of 16 November 2011 and No 599/2014 of the Euro-

pean Parliament and of the Council of 16 April 2014. The annexes listing items subject to control have been updated pursuant to Commission Delegated Regulation (EU) No 2016/1969 of 12 September 2016.

Mention should likewise be made of United Nations Resolution 1540 (2004) of 28 April intended to prevent the proliferation of weapons of mass destruction and specifically to prevent non-State agents from acquiring them.

Other international regulations include those contained in the 1980 Convention on prohibitions or restrictions on the use of certain conventional weapons which may be deemed to be excessively injurious or to have indiscriminate effects (particularly Protocol II on prohibitions and restrictions of mines, booby traps and other devices), the 3 December 1997 Convention on the prohibition of the use, stockpiling, production and transfer of anti-personnel mines and on their destruction (Anti-personnel mine Convention), the 3 December 2008 Convention on the Prohibition of Cluster Munitions, the 13 January 1993 Convention prohibiting the development, production, stockpiling and use of chemical weapons and on their destruction; and the 10 April 1972 Convention prohibiting the development, production and stockpiling of bacteriological (biological) and toxin weapons and on their destruction.

In 2015 Law 33/1998 of 5 October 1998, completely banning anti-personnel mines and weapons of similar effect was amended by Law 27/2015 of 28 July 2015 in order to include the prohibitions relating to cluster munitions.

The Spanish control system assumes the obligations undertaken within the framework of the most important international

control and non-proliferation fora, i.e. the Wassenaar Arrangement, the Zangger Committee, the Missile Technology Control Regime, the Nuclear Suppliers Group and the Australia Group.

2. Control bodies

A) Junta Interministerial Reguladora del Comercio Exterior de Material de Defensa y de Doble Uso (the Inter-Ministerial Regulatory Board on External Trade in Defence and Dual-Use Material)

The Inter-Ministerial Regulatory Board on External Trade in Defence and Dual-use Material (Spanish acronym JIMDDU) was constituted for the first time in 1988 as an inter-ministerial administrative body organisationally attached to the Ministry of Economy, Industry and Competitiveness. The JIMDDU meets on a monthly basis with the exception of the month of August and has a Working Group responsible for preparing operations and reports.

Its makeup is determined by Article 13 of Law 53/2007 and Article 17 of Royal Decree 679/2014. Those units of the administration which are directly involved in the control of external trade in defence material, other material and dual-use items and technologies (Ministries of the Presidency and Territorial Administrations, Foreign Affairs and Cooperation, Defence, Economy, Industry and Competitiveness, Finance and Civil Service, Interior and Energy, Tourism and the Digital Agenda) are represented.

The JIMDDU's most important function is the compulsory and binding review of administrative authorizations and preliminary agreements relating to the said materials and the compulsory review of amendments made to regulations governing this trade.

B) Secretariat of State for Trade

Authorization for or denial of import/export transactions concerning defence material, other material and dual-use items and technologies, duly informed by the JIMDDU, is the responsibility of the Secretariat of State for Trade. The processing procedure for the issue of licenses is undertaken by the Deputy Directorate-General of International Trade in Defence and Dual-use Material which, in turn, also serves as the Secretariat of the JIMDDU.

PART II. DEFENCE MATERIAL EXPORTS

1. Legislation in force

The following laws were in force during the period covered by these statistics: the Anti-smuggling Act, Organic Law 12/1995 of 10 December 1995 amended by Organic Law 6/2011 of 30 June 2011, Law 53/2007 of 28 December 2007 on the control of external trade in defence and dual-use material and Royal Decree 679/2014 of 1 August 2014 establishing the Regulation controlling external trade in defence material, other material and dual-use items and technologies, updated through Order ECC/1493/2016 of 19 September 2016.

Defence material subject to control under Spanish law is based on the Wassenaar Arrangement Military List and on the Common List of Military Equipment laid down in Common Position 2008/944/CFSP of 8 December defining common rules governing control of exports of military technology and equipment and also includes categories I and II of the Missile Technology Control Regime.

2. Statistical analysis

A) Exports completed

The tables showing the export figures corresponding to defence material are included in Annex I of this report.

In 2016 there was an increase of 8.9% in the export of defence material in comparison with 2015. The value of exports totalled €4,051.8 million.

Year	Amount (€ millions)
2010	1,128.3
2011	2,431.2
2012	1,953.5
2013	3,907.9
2014	3,203.2
2015	3,720.3
2016	4,051.8

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

Exports completed (€4,051.8 million) accounted for 73.0% of the amount authorised (€5,550.0 million).

Exports completed in a given year do not necessarily coincide with those authorised in the same year. The fact is that in most cases the difference is quite significant. This is because the annual report includes data on exports completed obtained from all of the valid licenses that year. These licenses could be authorised that same year or in subsequent years.

The product category that stood out above the rest was 'aircraft' valued at €3,182.1 million accounting for 78.5% of the total.

The following table, based on the statistical data from Annex I, shows Spain's principal export markets.

Countries DM	Value (€ millions)	Percentage
EU NATO countries	2,511.7	62.0
United Kingdom	1,346.7	33.2
Germany	771.7	19.0
France	183.4	4.6
Italy	138.3	3.4
Other	71.6	1.8
EU non-NATO countries	5.2	0.1
Finland	2.4	0.1
Austria	1.7	0.0
Other	1.1	0.0

NATO (non-EU) countries	161.3	4.0
Turkey	85.0	2.1
United States	67.2	1.6
Norway	6.5	0.2
Canada	2.6	0.1
NATO + EU	2,678.2	66.1
Other countries	711.4	17.6
Egypt	219.3	5.5
Oman	208.3	5.1
Malaysia	167.6	4.1
Saudi Arabia	116.2	2.9
Remaining countries	662.2	16.3
TOTAL	4,051.8	100

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

Shipments to European Union countries accounted for 62.1% of the total. The value of these sales totalled €2,516.9 million.

Shipments were mostly shared out between the United Kingdom (€1,346.7 million accounting for 33.2% of total defence material exports in 2016), Germany (€771.7 million, 19.0%), France (€183.4 million, 4.6%) and Italy (€138.3 million, 3.4%).

External trade with these four countries was mostly transfers of items, equipment and technology within the framework of defence cooperation programmes such as the EF-2000 fighter jet, the A400M military transport plane, the Tiger helicopter, Iris-T and Meteor missiles and radars from the MIDS programme. We would draw attention to the delivery of four transport planes and two in-flight refuelling aircraft to the United Kingdom, four transport planes to Germany and one transport plane to France.

NATO countries accounted for 66.0% of consignments/exports valued at €2,673.0 million.

Not including shipments or exports to EU or NATO countries, the remaining sales (€1,373.6 million accounting for 33.9% of the total) were divided among 58 countries.

Exports arising from the most relevant cooperation programmes totalled €1,978.3 million accounting for 48.8% of the total. Details on the value of programme-related exports and countries of destination can be found in Annex I.

Following is a listing in alphabetical order of exports to a number of non-EU and non-NATO countries.

Afghanistan: €102,248 for spare parts for a complete perimeter surveillance system at the Kabul Airport NATO base.

Algeria: €2.2 million for parts, components and repairable equipment for Spanish made transport planes.

Bahrain: €19.1 million for mortars incorporated into military vehicles with accessories.

Bangladesh: €0 for rounds for light weapons.

Colombia: €2.2 million for parts, components and repairable equipment for Spanish made transport planes, repair of aircraft motors, spare parts for an armoured transport vehicle, spare parts for artillery systems, light weapons ammunition and artillery and radar alert systems.

Ecuador: €55.2 million for parts, components and repairable equipment for

Spanish made transport planes and surveillance and air defence radar systems.

Egypt: €219.3 million for eight transport planes (€213.1 million), motors and components for different aircraft, parachute components, spare parts for transport and armoured vehicles and machinery and spare parts related to the manufacture and repair of tank treads.

Ghana: €31.3 million for a transport plane (€25.3 million), spare parts and repairable equipment for Spanish made transport planes, a pistol and its ammunition and multipliers without a detonator for mining.

India: €17.9 for equipment and spare parts for ships and submarines, tread parts for military vehicles, parts, components, raw materials and tools for aircraft within the framework of a European cooperation programme and for helicopters and electronic countermeasure equipment for aircraft and ships and fuses.

Indonesia: €65.9 million for technological transfer and replacement parts and components for the manufacture of two models of Spanish transport planes, spare parts for military vehicles and tanks, grenade launcher, aerial and naval artillery ammunition, aerial bombs and night vision systems.

Iraq: €52.7 for artillery ammunition and light weapons and 19 armoured vehicles with robotic extremities for mine removal operations delivered to the Ministry of Defence.

Israel: €530,927 for electro-optical surveillance systems, target observation and detection for an aircraft from a European cooperation programme and equipment for the motor of a Spanish Air Force Tiger helicopter.

Jordan: €5.1 million for parts, components and repairable equipment for Spanish-made training and transport planes.

Kazakhstan: €73.3 million for two transport planes (€53.7 million), radar jammer stations and parts, components and repairable equipment for Spanish made transport planes.

Macedonia: €9,477 for hunting rifles for a local distributor.

Malaysia: €167.6 million for a transport plane under a cooperation programme (€120.7 million), parts, components and repairable equipment for Spanish made transport planes and for an aircraft under a cooperation programme, components for canon rounds, flares and smoke canisters for unmanned target drones, night vision systems and laser pointers and carbine accessories.

Mali: €30.6 million for a transport plane (€27.3 million), spare parts for a Spanish made transport plane and a multiplier without a detonator for mining.

Mexico: €12.3 million for parts, components and repairable equipment for Spanish made transport planes, smoke projectiles and a hunting rifle.

Morocco: €30.3 million for parts, components and repairable equipment for

Spanish-made transport planes, mortar grenades, propulsion cartridges and coloured smoke canisters.

Nicaragua: €0 for gas masks for the police.

Oman: €208.3 million for two transport planes (€171.6 million), 140 non-armoured off-road vehicles (€16.8 million), spare parts and repairable equipment for Spanish made transport planes, one grenade launcher trainer, mortar grenades, medium calibre ammunition and integrated aerial surveillance systems.

P.R. China: €0 for a bonding agent for the manufacture of plastic explosives for material in stock.

Pakistan: €8.4 million for spare parts for armoured vehicles

Uzbekistan: €49.2 million for two transport planes.

Venezuela: €2.6 million for spare parts and components to modernise armoured vehicles, parts, components and tools for a small plane and radar simulation software.

Vietnam: €2.9 million for parts, components and repairable equipment for Spanish made transport planes.

B) Operations processed and exempt from the preliminary report and/or control document

This information can be found in Annex IV.

In 2016, a total of 1,578 applications for defence material export licenses were filed as follows: 990 individual licenses, 99 global licenses, 54 global project licenses (arising from cooperation programmes in the field of defence), 4 general Community licenses under Directive 2009/43/EC of 6 May 2009 and 431 temporary licenses. In addition to the foregoing, rectifications were made to 331 licenses granted previously (extension of the expiration date or modification of the monetary value).

Of the 990 individual licenses, 818 were approved, 87 were pending authorisation, 46 expired due to failure to submit the end-use control document associated to the license by the deadline date and 39 were withdrawn by the exporter himself. Of the 99 global licenses, 97 were approved and 2 withdrawn. The 54 global project licenses were approved. The 4 general Community licences were approved. Regarding the 431 temporary licenses, 425 were approved, 5 withdrawn and 1 denied. The 331 license rectifications were approved.

Also in 2016, 89 preliminary export agreements were processed of which 85 were approved, 3 withdrawn and 1 denied. This is an administrative approval signalling initial conformity regarding future shipments subject to subsequent authorisation.

Annex IV offers information concerning the time it takes to process licences and the number of licences exempt from the preliminary report and/or control document.

Exemptions from the JIMDDU report and control document were applied to dispatches of non-sensitive material to allied countries or members of international control and non-proliferation fora within the context of the following operations:

- a) The export-consignment and import-introduction arising from defence cooperation programmes classified as such by the Ministry of Defence in accordance with Article 24(2) a) of Royal Decree 679/2014.
- b) The export-consignment and import-introduction of items requested by bodies of the Ministry of Defence and by firms within the sector in compliance with maintenance or repair contracts concluded with the Armed Forces, with a favourable report from the Directorate-General for Armament and Materiel of the Ministry of Defence.
- c) Temporary export-consignment and import-introduction of items for repair, check-up, replacement of faulty material free of charge, returns to place of origin, tests, homologations, fairs or exhibits and, in the case of operations having to do with firearms, in addition to the foregoing, those transactions intended for hunting outings or sport shooting.
- d) The export-consignment of fuels meeting military specifications sent to countries of the European

Union and the North Atlantic Treaty Organisation (NATO).

- e) Rectifications of authorisations having to do with effective term and monetary value.
- f) Consignments of components, sub-systems and spare parts for defence material and their associated services arising from the use of a Global License for the transfer of components or a General License for Intra-Community Transfers.

C) Entries in the Special Register for External Trade Operators in Defence and Dual-use Material (Spanish acronym REOCE)

In 2016, 5 entries were made by defence material firms in the REOCE, a further 6 made joint entries for defence and other material and 4 made joint entries for defence and dual-use material.

D) Denials

There was one export denial of defence material in 2016 under Common Position 2008/944/CFSP of 8 December 2008 defining common rules governing control of exports of military technology and equipment:

- A preliminary export agreement to Libya of protective vests. This operation was denied based on criterion 3 (internal situation) of the above mentioned Common Position.

Details of these denials are found in Annex I.

A brokering operation between Switzerland and Malaysia was authorised.

Prior to informing the operations, the JIMDDU conducted a case-by-case analysis of all 2016 transactions applying the following parameters:

- Respect for United Nation, European Union and OSCE embargoes currently in force (Annex VII).
- Compliance with the provisions of the Arms Trade Treaty.
- Observance of commitments undertaken at international control and non-proliferation fora to which Spain is party.
- Enforcement of the eight criteria laid down in Common Position 2008/944/CFSP of 8 December 2008 defining common rules governing control of exports of military technology and equipment.
- Enforcement of the 24 October 2000 OSCE Document and the latter are criteria concerning small arms and light weapons.
- Adoption of restrictive principles in approving exports to certain countries immersed in domestic or regional situations of conflict thus preventing the shipment of arms or equipment that, in light of their characteristics, could be used to take life or injure or could be used for the purpose of do-

mestic repression or as anti-riot material.

- As concerns transactions involving small arms and light weapons, in 2001 the JIMDDU took the decision to make export authorization of these arms contingent upon the end recipient/user being a public body (armed forces and law enforcement officials) in the case of particularly sensitive countries or in those where there is a risk of diversion in terms of the end use made of this material.

The requirement of submitting a control document continued throughout all of 2016 specifying this point as a prerequisite for license authorization.

- Spanish export of certain devices for the restriction of bodily movement such as leg shackles and waist chains has been prohibited as from December 2001.

This prohibition was incorporated as Additional Provision Twelve to the Fiscal, Administrative and Social Order Act, Law 24/2001 of 27 December 2001.

- Spain is party to the conventions concerning anti-personnel mines, cluster munitions and certain especially harmful conventional weapons. The Anti-personnel Mine Ban Convention was signed at Oslo on 18 September 1997. Spain ratified the Convention on 7 March 1999. External trade in

cluster munitions is prohibited as from 11 July 2008 as a consequence of Spain's unilateral moratorium on their use, development, production, acquisition and trade. Subsequent to this moratorium, Spain deposited its instrument of ratification of the Convention on Cluster Munitions of 17 June 2009. The Convention entered into force on 1 August 2010.

During 2016, the Department of Customs and Excise Duties, in accordance with the resolutions adopted by both the EU and by other international bodies and organisations or as mandated by the competent national authorities, established 15 filters in response to the following issues:

- as the result of embargoes against certain countries;
- in compliance with the agreements adopted by the JIMDDU in application of the *catch-all* clause to exports by certain Spanish firms; and
- arising from the denial of licenses for certain exports requested by Spanish firms.

There was a notable decline in the number of filters. This was simply the result of an improvement in the computer application whereby it was no longer necessary to establish a filter for each of the temporary licenses authorised by the JIMDDU.

In 2016, the Ministry of Foreign Affairs and Cooperation authorised 550 transits of defence material and did not deny any.

3. Principal actions undertaken and exchanges of information in the field of conventional arms in 2016

A) Working Group on conventional arms exports (COARM)

The duty of the COARM Group is to study those initiatives whose purpose is to strengthen conventional arms trade controls. Moreover, its discussions focus mainly on issues related to Common Position 2008/944/CFSP of 8 December 2008. Said Common Position is comprised of eight criteria and a series of operational provisions.

We would draw attention to the following important work undertaken in 2016 (XVIII Annual Report):

1. *Enforcement of Common Position 2008/944/CFSP of 8 December 2008 defining common rules governing control of exports of military technology and equipment.* The Common Position envisages checks on brokering transactions, transits and intangible transfers of technology, in addition to reinforced procedures aimed at strengthening the convergence of Member States' export policies. The conclusions of the Foreign Affairs Council meeting held on 20 July 2015 highlighted the areas targeted for improvement in 2014 and 2015 under the Common Position while also taking the

entry into force of the Arms Trade Treaty on 24 December 2014 into account. In addition to the 28 EU Member States, the following countries applied the criteria and principles of the Common Position: Albania, Bosnia-Herzegovina, Canada, the former Yugoslav Republic of Macedonia, Georgia, Iceland, Montenegro and Norway. An information exchange system related to the Common Position has been in place between the EU and third countries since 2012.

2. *Update of the EU's Common List of Military Equipment.* On 14 March 2016, the Council adopted an updated version of the Common List based on the changes made to the Wassenaar Arrangement Military Equipment List at the 2015 plenary. The list was published in OJEU 122/1 of 6 April 2016.
3. *Improvement of the "User's Guide" and the denial database.* Both were compiled in 2003 and became fully operational as of 1 January 2004.

The Guide features clarifications on procedures to be applied to the communication of denials and consultations stemming from the latter in addition to guidelines concerning the interpretation of the criteria and requirements for the provision of data for the Annual Report. This is a public doc-

ument and can be accessed on the web page of the European External Action Service. The Guide was last updated in July 2015 after the full revision of Common Position 2008/944/CFSP.

The database contains all of the denials issued to and consultations made by Member States communicated by means of the *coreu* system. Denials are sorted by denying country, country denied and criteria applied. In July 2016 an online system was put into operation through which denials and Annual Report data are published replacing the previous system where information was delivered by CD ROM.

4. *Participation and information dissemination activities.* These activities were carried out under Council Decision 2012/711/CFSP of 19 November 2012 providing funding for a new round of outreach activity. Germany's Federal Office of Economics and Export Control (BAFA) is the technical agency that organises such activities. Several regional seminars were held in 2016.

The two half-yearly presidencies also held several meetings of the *Troika* with Canada, Norway, Ukraine and the United States within the framework of the political dialogue of the EU's Common Foreign and Security Policy

(CFSP). The main issues discussed were arms export policies to certain destinations, enforcement of controls and development of the Arms Trade Treaty process.

5. *Arms Trade Treaty.* The COARM Working Group held its meetings to coordinate the position of the Member States relating to the Treaty. The Group's work focused on promoting its full enforcement, signing and ratification by the largest possible number of countries and the organisation of preparatory meetings (29 February and 12 July in Geneva) for the Second Conference of States Parties (Geneva, 22 to 26 August 2016). The main issues covered at these meetings were analysis of the duties and location of the Treaty's Permanent Secretariat and proposals relating to its financing. The programming of support activities targeting third countries was based on Council Decision 2013/768/CFSP. The Treaty entered into force on 24 December 2014.
6. *Arms brokering.* In 2003, the Council adopted Common Position 2003/468/CFSP of 23 June 2003 on the control of arms brokering. The Common Position contains the criteria, instruments (licenses, written authorizations, records of activity, consultations) and definitions needed for the effective control of these opera-

tions. In accordance with Article 5 of the Common Position, Member States must establish special mechanisms (specific databases) for the exchange of information on national legislation and registered brokers.

The priority guidelines of the COARM Group for 2017 may be summarised as follows:

- Maintain the exchange of information regarding export policies towards third countries.
- Improve the system for online denial communications, consultations and annual report data.
- Update the Common List of Military Equipment.
- Adapt the national regulations of those Member States to Common Positions 2003/468/CFSP and 2008/944/CFSP.
- Facilitate the effective and universal enforcement of the ATT, especially through the EU's outreach programme targeting third countries resulting from the approval of Council Decision 2013/768/CFSP.
- Maintain active outreach work with third countries with a view to promoting the principles and criteria of Common Position 2008/944/CFSP.

- Keep lines of dialogue open with the European Parliament, civil society and industry.
- Finalise and publish the XIX Annual Report on Arms Exports.

B) Directive 2009/43/EC of the European Parliament and of the Council of 6 May 2009 simplifying terms and conditions of transfers of defence-related items within the Community

This Directive seeks to harmonise the legal and regulatory provisions of the Member States in order to simplify intra-Community transfers of defence-related items to ensure the proper operation of the internal market while at the same time enhancing the competitiveness of the European arms industry and encouraging the participation of small and medium-sized undertakings in the more efficient supply of military material.

General transfer licenses, authorising transfers from Member States to undertakings which comply with the terms and conditions laid down in each general license, are published to facilitate the transfer of defence-related items. In the case of demonstrations, evaluations and temporary exhibits and in the case of transfers for the purpose of maintenance and repairs, general licenses suffice where the recipient is the Armed Forces or a certified undertaking in accordance with the requirements laid down in the Directive. Royal Decree 679/2014 also includes a fifth case for the possible use of general licenses for dispatches to NATO agencies within the EU.

Suppliers must inform recipients of the terms and conditions of the general license as concerns the end use or export of these items. They must also inform the authorities of their intention to use a given general license for the first time 30 days prior to the first transfer. Similarly, they must furnish periodical information on the use made of the general licenses and the transfer of items for statistical purposes and keep these records with the required information on file so as to ensure the traceability of defence material.

Global transfer licenses are issued at the request of the individual supplier authorising the latter to undertake one or several transfers of defence-related items to one or several recipients in one or several Member States. They are valid for three years and may be renewed.

Individual transfer licenses are granted on an exceptional basis upon request by a specific supplier for one single transfer where necessary to protect the essential interest of security or public order in a Member State or in the case of a Member State which has serious reason to believe that a supplier will not be able to comply with the terms and conditions required for the issue of a global or general license.

The Directive provides for the possibility of certifying undertakings which are recipients of defence material to allow them to receive certain defence material in accordance with a general license issued by another Member State, providing that the undertaking meets the reliability crite-

ria laid down in the Directive and commits to comply and enforce compliance with all of the specific conditions related to the end use and export of any specific item or component received.

The deadline for the transposition of the Directive for Member States was 30 June 2011. The proposed measures came into force on 30 June 2012.

The Committee of Member State experts to assist the Commission was created in 2009 in accordance with Article 14 of Directive 2009/43/EC. The Secretary of the Board and the European Defence Agency normally attend meetings. Two working groups were also formed. The first deals with the certification of companies, its goal being the definition of common criteria and best practice guidelines. Its results were published in the Commission Recommendation of 11 January 2011. The second working group, charged with harmonising the scope and conditions of general transfer licenses, was created in March 2015 and met eight times in 2016. This working group will continue to meet in 2017. Two Commission Recommendations based on the conclusions of this group were published in 2016: 2016/2123 and 2016/2124 of 30 November 2016.

The Committee met three times in 2016, the 10th being held on 10 January, the 11th on 22 April and the 12th on 19 September.

On 30 November 2016 the Commission published its assessment report of Directive 2009/43 for the European Parliament and the Council, COM (2016) 760

final, as stipulated in Article 17 of the Directive.

C) Letter of intent (LOI) regarding the restructuring and integration of the European Defence industry

The signing of the Framework Agreement implementing this Letter of Intent took place on 27 July 2000 coinciding with the Farnborough aerospace trade fair (United Kingdom). This Agreement was drawn up based on the conclusions reached by six sub-committees whose creation stemmed from the 8 July 1998 signing of the Letter of Intent (LOI) on the restructuring and integration of the European defence industry by six countries: France, United Kingdom, Germany, Italy, Sweden and Spain.

The aim of the Letter of Intent is to encourage the creation of a competitive and flexible European industrial structure in the best possible position to tackle future defence sector challenges. The Framework Agreement sets the stage for the establishment of a political and legal framework within this sector with a three-pronged approach: the industrial restructuring of Europe's defence sector, a boost for the creation of transnational European companies in this field and the promotion of a more robust and competitive technological base.

In 2016 Spain continued to participate in the activities of the working groups that replaced the initial subcommittees.

Concerning the Informal Working Group on Export Control, the main task in 2016 revolved around the analysis of the transposition to the legal systems of LOI

countries of Directive 2009/43/EC of the European Parliament and of the Council of 6 May 2009 simplifying terms and conditions of transfers of defence-related products within the Community.

The Working Group of the LOI countries met with the Commission on 17 February 2016 to present the second version of the LOI Position Document and the latter's proposals to boost the harmonised enforcement of Directive 2009/43/EC. In 2016 two meetings of the Informal Working Group were held on 21 January and 15 June, the second coinciding with the Salon EUROSATORY in Paris. Those meetings included a brief summary of the talks between the Commission and the LOI countries concerning enforcement of Directive 2009/43/EC. The Commission welcomed the harmonisation efforts made by the six LOI countries. Following are some of the possible improvements in the enforcement of the Directive: develop the CERTIDER database of certified enterprises, stimulate the use of General Licenses and the certification process of defence enterprises, draft a list of guidelines on the concept of 'especially designed for military use', update the lists of defence items as a delegated act of the Commission and appoint a representative in charge of an outreach programme to increase awareness of the Directive and its instruments.

The six LOI countries are immersed in a harmonisation process concerning a series of points found in the Directive. Harmonisation would appear to be particularly important with regard to the number of General Licenses issued, the list of products associated with each General License and requirements for their use.

Firms in the 28 Member States are still quite reluctant to use the General Licenses and would prefer to continue to use the traditional authorisations (individual and global licenses).

The second meeting of the LOI Working Group was used to hold meetings with representatives of the European Commission and the French Aerospace Industries Association (GIFAS) and some of the most important European defence firms. The European industry again called for the effective harmonisation of Member States' control systems and urged the six LOI countries to play a leadership role.

The aim of the Directive is clear and can be summarised as a simplification of administrative procedure. However, some countries have quite a number of different regulations applicable to intra-community dispatches and transfer of defence material.

D) European Union Joint Action on Small Arms and Light Weapons

The European Union continues to be a player and main contributor in the worldwide effort to combat unlawful trade in and proliferation and stockpiling of small arms and light weapons and their munitions.

Joint Action 1999/34/CFSP, adopted by the European Union on 18 December 1998 and updated by Joint Action 2002/589/CFSP of 12 July 2002 on the European Union's contribution to combating the destabilising accumulation and spread of small arms and light weapons, reinforces other initiatives already exist-

ing in the European Union, specifically the so-called Programme for Preventing and Combating Illicit Trafficking in Conventional Arms of 26 June 1997 and Common Position 2008/944/CFSP.

The EU Strategy against the stockpiling and illegal trafficking in small arms and light weapons and their munitions has been in force since December 2005 as part of its 2003 Security Strategy. Other EU programmes and strategies focusing on anti-personnel mines and the participation of children soldiers in conflicts rounds-out the construction of the Security Strategy.

Joint Action 2002/589/CFSP targets regions in conflict and its objectives are to prevent the destabilising stockpiling and proliferation of light weapons and also to contribute to the reduction in stocks of these types of arms. The projects developed under the aegis of this Joint Action are mainly financed through the CFSP budget (specific article on “non-proliferation and disarmament”).

Joint Action 2008/113/CFSP of 12 February 2008 was also approved to support the International Tracing and Marking Instrument (ITI) enabling states to effectively identify and trace small arms and light weapons (SALW) in the EU. African, Asian and Latin American countries will be the beneficiaries of the seminars as indicated above through the United Nations Office for Disarmament Affairs, the aim being to enhance understanding of the ITI and to identify the skills and resources needed to ensure enforcement at national level.

In 2016 the EU continued to provide technical and financial assistance with funds from different budgets for programmes and projects undertaken by different international and non-governmental organisations in the fight against the proliferation of small arms and light weapons and assistance for victims of armed conflicts. The European Union remains one of the world's top contributors in this area.

Of the activities undertaken by Spain in 2016, we would draw attention to the €20,000 contribution to the UN Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR).

This Trust Fund was devised to finance projects (workshops, seminars, technical and legislative assistance and capacity-building) aimed at enhancing enforcement of the Arms Trade Treaty and the Programme of Action of the United Nations against illicit trade in small arms and light weapons (PoA).

The Arms and Explosives Intervention Unit of the Directorate-General for the Guardia Civil (Ministry of the Interior) carried out the following activities in 2016: 214 reports on export licenses of regulated weapons, 537 reports on import licenses of regulated weapons and 551 prior consents (entry into the EU), 97 weapons transfer permits (dispatches to the EU), 355 transfers between authorised EU weapons dealers, 216 prior import permits for regulated items, 716 incoming transfers to the EU of regulated items and 784 outgoing transfers from the EU of regulated items.

E) Programme of Action of the United Nations against illicit trade in small arms and light weapons (PoA) and the International Tracing Instrument

Spain places a high priority on international cooperation in combating and eradicating unlawful trafficking in these types of arms. The Spanish Government has lent its support to all of the work conducted in this field within the scope of the United Nations as well as in other areas (OSCE, Wassenaar Arrangement) as evidenced by the different sections of this report.

The first Conference was held in New York from 9 to 20 July 2001 for the purpose of combating all aspects of illicit trade in small arms and light weapons including the role played by brokers.

Fruit of the work undertaken at the Conference was the political commitment called the Programme of Action (PoA) envisaging States' adoption of measures to combat illicit trade in small arms and light weapons. The said Programme of Action includes (among others) the following elements:

- The introduction of export criteria, albeit less ambitious than those laid down in Common Position 2008/944/CFSP of 8 December 2008.
- The marking of these arms making each unique so that they can be identified and traced internationally implementing the current ITI.

- Development of an international agreement whereby transactions undertaken by brokers may be effectively controlled.
- Cooperation in the collection, control and destruction of these arms and likewise the integration and re-socialisation of combatants.
- Increase in police cooperation.

At EU level, the Joint Action on small arms and light weapons and the Programme for Preventing and Combating Illicit Trafficking in Conventional Arms address these issues in a broader way than the Programme of Action analysed.

All of the activities undertaken by Spain in application of the UN's Programme of Action on small arms and light weapons and the ITI are described in detail in the 2015 biennial report to the United Nations; the extent of national implementation of those two instruments is available on the UN's web page.

At national level, operations were undertaken to control trafficking in and the marking, tracking, registration and destruction of small arms and light weapons, in addition to operations having to do with training and the exchange of information at institutional and international level.

All of the activities undertaken by Spain in application of the UN's Programme of Action on small arms and light weapons and the International Instrument on Marking and Tracing are described in detail in

the 2015 biennial report to the United Nations; the extent of national implementation of those two instruments is available on the UN's web page.

Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition

At the same time as the adoption of the Programme of Action, in 2001 the Protocol Against the Illicit Manufacturing of and Trafficking in Firearms, their parts, components and ammunition, added to the United Nations Convention against Transnational Organised Crime, was adopted and made available for signing. Spain also played an active role in those negotiations.

The Protocol was approved by virtue of Resolution 55/255 of 31 May 2001 at the 101st General Assembly plenary session and entered into force on 3 July 2005.

On 9 February 2007 Spain deposited its instrument of accession to the Protocol which entered into force in Spain on 11 March 2007.

The Firearms Protocol and the United Nations Programme of Action are the main reference documents taken into consideration in the reports submitted, inter alia, to the Multidisciplinary Group on Organised Crime (MDG) to introduce changes and amendments to Council Directive 91/477/EEC or EUROPOL's Group of Experts on arms trafficking and Tracing.

F) Arms Trade Treaty

The Treaty is a legally binding instrument whereby all signatory countries commit to refrain from exporting arms to destinations where human rights and International Humanitarian Law is not respected.

The Final Provision of Law 53/2007 of 28 December 2007 on the control of external trade in defence and dual use items provided that the Government was going to maintain "an active position both outside and within the European Union in favour of drawing up an effective and legally binding International Arms Trade Treaty establishing global rules on the transfer of arms".

On 2 April the UN General Assembly approved the Arms Trade Treaty by majority in a historic vote that ended a long negotiating process that began more than a decade ago. The Resolution was adopted by 154 votes in favour, 23 abstentions and 3 against.

The Treaty signing process was opened on 3 June 2013 and Spain was among the first signatories.

The *Cortes Generales* (Spanish Parliament) unanimously ratified the Arms Trade Treaty on 17 March 2014. Thus Spain was able to participate, along with 16 other EU countries and El Salvador, in the first joint Treaty ratification event which was held on 2 April 2014, the first anniversary of its adoption by the United Nations General Assembly.

Entry into force was on 24 December 2014, 90 days after the deposit of the 50th instrument of ratification.

Article 2 of the Treaty's final text defines its scope and includes the seven categories of conventional weapons laid down in the UN registry, plus an eighth category referring to small arms and light weapons.

Components and ammunition have remained outside of the Treaty's scope. However, explicit references are made to both items and States are obliged to establish and maintain a national system of export control of the components of the eight categories of weapons and their ammunition. It provides that each State Party must establish and maintain a national control list that is recommended to be public and which should include at least the categories included in the UN Register.

The activities covered under this Treaty include exports, imports, brokerage, trans-shipment and transit. The Treaty incorporates three cases in which conventional arms transfers are banned: where an embargo is in force on the country of destination, violations of obligations under international agreements and the possibility that the weapons could be used in acts of genocide, in crimes against humanity, grave breaches of the 1949 Geneva Conventions, in attacks on civilians or war crimes.

The parameters used by the control authorities to evaluate transactions are in line with International Humanitarian Law and International Human Rights Law, i.e. arms transfers must not contribute to acts of terrorism or foster transnational organised crime and must not contribute to gender-based violence or violence

against children. The possible risk of diversion must likewise be considered.

Lastly, exchange of information and transparency are fundamental tools for effectively exercising controls over these operations. The Treaty does not envisage the publication of the information furnished annually by each State Party to the Secretariat responsible for its enforcement and review.

The annual report drafted by the Secretariat must include the authorizations or the actual import and export of conventional weapons, while data on refusals is not required. This report may contain the same information as that submitted to the Register of Conventional Arms of the United Nations, i.e. the number of complete items exported and imported sorted by country of destination and origin. National reports may exclude commercially sensitive data or those relating to national security.

The first Conference of States Parties to the Arms Trade Treaty was held in Mexico on 23-27 August 2015 and the Second Conference was held in Geneva on 22-26 August 2016.

G) Convention on Cluster Munitions

The precursors of this initiative date back to the Ottawa Anti-personnel Mine Ban Convention. This convention was signed on 3 December 1997. Spain ratified the Convention on 7 March 1999.

Under the agreed text, each State committed to refrain from using, developing, producing, acquiring, stockpiling, conserving or exporting anti-personnel

mines. The signatory countries also committed to destroying their stocks of mines within a period of 4 years except in the case of already existing mine fields (10 years). Another exception allows holding on to or the transfer of a number of mines for the development of detection or destruction techniques.

The strength of this legal instrument lies in the verification mechanisms which were approved with a view to checking their effective enforcement and, more specifically, the creation of a United Nations database containing each country's information on existing mines and their eradication programmes.

Spain has had a moratorium on the export of anti-personnel mines since 1 July 1994. The European Union adopted a similar moratorium in March 1996. Lastly, Law 33/1998 on the total prohibition of anti-personnel mines and analogous arms was passed on 5 October.

Both the Convention and Law 33/1998 excluded cluster and fragmentation bombs from the scope of the aforementioned prohibition on manufacture and trade.

Moreover, the requirements laid down in Protocol II of the 10 October 1980 Geneva Convention on the prohibition or restricted use of certain conventional arms considered excessively damaging or indiscriminate (CCW), did not apply either.

The Convention was signed on 3 December 2008 in Oslo and entered into force on 1 August 2010 once the minimum 30 States ratified it.

The Spanish Parliament ratified it on 18 March 2009 and Spain deposited the corresponding instrument of ratification on 17 June 2009. It was the tenth signatory country of the Convention.

The Spanish Government took the decision to act before the ratification of the Convention and established a unilateral moratorium on the use, development, production, acquisition and external trade in cluster munitions. The Agreement, approved by the Cabinet on 11 July 2008, was tabled jointly by the Ministries of Foreign Affairs and Cooperation, Defence and Industry, Tourism and Trade.

The Ministry of Defence completed the destruction of its arsenal of cluster munitions on 18 March 2009 in compliance with the agreement established in the unilateral moratorium. Spain thus became the first signatory country to destroy its arsenal of cluster munitions.

In 2015, Law 33/1998 of 5 October 1998 completely banning anti-personnel mines and weapons of similar effect was amended by Law 27/2015 of 28 July 2015.

Law 27/2015 features three innovative approaches to the Convention:

First of all, by amending former Law 33/1998 on the banning of anti-personnel mines, the scope of the ban was effectively broadened to include cluster munitions and other similar weapons listed in the Convention on Certain Conventional Weapons putting all weapons that inflict 'unacceptable suffering' on the civilian population in the same legal category, promoting synergies between instru-

ments and optimising cooperation and universalisation efforts. Furthermore, Law 27/2015 broadens the scope of the ban to other activities necessary for the production of cluster munitions and other similar weapons such as financing and advertising. Lastly, this Law reflects concern over the illicit use of new technologies by broadening the scope of the ban to include technology and patents related to cluster munitions and other similar weapons.

H) United Nations Register of Conventional Arms

Annex V outlines Spain's contribution in 2015 to the United Nations Conventional Arms Register with a table showing exports of the seven categories of conventional arms and another table showing the exports of small arms and light weapons. This contribution is voluntary in nature.

The seven categories of conventional arms include: tanks, armoured combat vehicles, large calibre artillery systems, fighter jets, attack helicopters, warships and missiles and missile launchers.

The following categories form part of the "small arms" classification: automatic revolvers and pistols, rifles and carbines, machine guns, assault rifles, light machine guns and others. The "light weapons" category includes: heavy machine guns, portable anti-aircraft weapons, portable anti-tank weapons, recoilless rifles, portable missile and rocket launching systems and under 75 mm calibre mortars.

It should be noted that information exchange regarding arms recipients and the complete item, excluding components and munitions, is limited to armed and security forces and to United Nations member countries as regards countries of destination.

I) OSCE Document on Small Arms and Light Weapons

The OSCE Document was adopted in Plenary session on 24 November 2000 and addresses the fundamental objective of putting an end to the excessive stockpiling of SALW and their use in certain regional conflicts. Thanks to this document, the participating States commit to the implementation of regulations, measures and principles needed to achieve the said objective. Specifically, unlawful trafficking in these types of arms is pursued, measures are agreed to prevent their stockpiling and a recommendation is made to authorise shipments strictly for reasons of domestic security, legitimate defence or participation in peacekeeping forces under the auspices of the United Nations or the OSCE.

One of this initiative's most important instruments is the exchange of information and increased transparency pursuant to which all countries must file annual reports on the export and import of small arms and light weapons to and from other participating States. The most recent information furnished by Spain to the OSCE refers to exports authorised and undertaken in 2015 which are listed in Annex VI attached to this report.

Included in this classification under "small arms" are automatic revolvers and pistols, rifles and carbines, sub-machine guns, assault rifles and light machine guns. The following are included under "light weapons": grenade launchers, heavy machine guns, portable anti-aircraft weapons, portable anti-tank weapons, portable missile and rocket launching systems, portable anti-aircraft missile launching systems and mortars under 100 mm calibre.

The exchange of information in the OSCE concerning arms recipients and complete products excluding components and munitions is limited to the armed forces and law enforcement officials while information regarding countries of destination is limited to OSCE countries meaning that Spanish exports included in this annex are a part of the total exports of SALW.

Furthermore, the figures appearing in the tables regarding authorised licenses issued do not necessarily coincide with the figures appearing in the tables on operations undertaken because not all of the licenses give rise to shipments. Moreover, shipments made in one fiscal year could be carried out under a license issued the previous year.

In addition to these actions, in 2016 outreach work was done regarding the system used by Spain to control exports within the scope of defence through the following activities:

- VIII Workshop on Proliferation and Technological Protection,

Police Directorate-General (Madrid, 26 January).

- 2016 HUNTING Fair (Madrid, 17 March).
- UNVEX (Madrid, 24 May).
- EUROSATORY Fair (Paris, 15 June).
- Third Conference on External Trade for Defence Ministry staff (Madrid 27 June).
- Support given to Peruvian authorities in adapting their laws to the provisions of the Arms Trade Treaty (Lima, 23-26 February, 12-13 May and 13-14 October).
- Seminar on the Control of Exports of Defence and Dual Use Material for North African countries (Tunisia, 2-3 November).

PART III. EXPORTS OF OTHER MATERIAL

1. Legislation in force

Smooth-bore barrel hunting and sporting arms and their ammunition which, due to their technical specifications, are not apt for military use and are not completely automatic, were not subject to control until the entry into force of Law 53/2007 (29 January 2008). This regulation extended control to all hunting and sporting arms, their parts and components and ammunition pursuant to the commitments undertaken by virtue of United Nations General Assembly Resolution 55/255 of 8 June 2001 approving the Protocol against the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, supplementing the United Nations Convention against Transnational Organised Crime. Spain's Regulation 679/2014 of 1 August 2014 brought Spanish legislation in this field into line with EU Regulation No 258/2012 of the European Parliament and of the Council of 14 March 2012 whereby Article 10 of that Protocol will be enforced.

2. Statistical analysis

A) Exports completed

The tables showing the export figures corresponding to other material are included in Annex II of this report.

Exports of police and security material completed totalled €6.9 million. Exports completed accounted for 63.5% of those authorised during the same period (€10.9 million).

The destinations of those exports were Tunisia (€4.3 million, 62.1%), Nicaragua (€1.5 million, 21.4%), Bolivia (€607,728, 8.8%), Peru (€339,823, 4.9 %), Niger (€115,072, 1.7 %), France (€70,028, 1.0 %) and Portugal (€8,855, 0.1%).

Exports of hunting and sporting arms (hunting shotguns, shells and their parts) totalled €38.1 million. Exports completed accounted for 25.1% of those authorised during the same period (€152.0 million).

The main destinations were the United States (€5.4 million, 14.2%) and Ghana (€5.3 million, 13.8%). The rest of the transactions were divided among 57 destinations.

75.4% of these exports were hunting shells, 9.4% cases, 8.4% shotguns, 5.5% gunpowder and 1.2% accessories for these weapons and ammunition.

B) Operations processed and exempt from the preliminary report and/or control document

Annex IV of this report includes data on "other material".

A total of 426 were processed, 415 individual, 9 global and 2 temporary. There were also 26 rectifications. Of those 426 individual licenses, 370 were approved, 24 were left pending, 5 expired, 9 were withdrawn and 7 were denied. Of the 9 global licenses, 6 were approved and 3 were withdrawn. The 2 temporary licenses were approved. The 26 rectifications were also approved.

C) Entries in the Special Register for External Trade Operators in Defence and Dual-use Material (Spanish acronym REOCE)

In 2016, two entries were made in the REOCE by firms producing firearms and a further six made joint entries for defence and other material.

D) Licenses denied

There were seven denials for exports of other material in 2016. These denials break down as follows:

- two export licenses to Egypt for tear gas canisters were denied pursuant to the Conclusions of the EU's FAC of 21 August 2013 concerning the suspension of exports that could be used for internal repression.
- an export license to Russia for a hunting shotgun was denied due to the EU embargo of 31 July and 8 September 2014.
- four export licences to Guinea Bissau for hunting shells were denied due to internal instability in the country of destination.

There was also collaboration with the Arms and Explosives Intervention Unit (ICAE) of the Civil Guard Directorate-General regarding the review of legislation on firearms sights.

Details of these denials are found in Annex II.

3. Principal actions undertaken in the field of firearms for civilian use and possible use of equipment in the application of the death penalty and torture in 2016

Progress made in two Community regulations is included in this section, although it should be noted that Council Regulation (EC) No 1236/2005 of 27 June 2005 concerning trade in certain goods which could be used for capital punishment, torture or other cruel, inhuman or degrading treatment or punishment, does not include items classified as "Other Material". Nevertheless, it is worthwhile to describe the work undertaken in 2016 given that it is closely related with that category.

A) Regulation (EU) No 258/2012 of the European Parliament and of the Council of 14 March 2012 implementing Article 10 of the United Nations' Protocol against the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, supplementing the United Nations Convention against Transnational Organised Crime.

On May 31, 2001, the UN General Assembly adopted Resolution 55/255 relating to the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition, added to the United Nations Convention against Transnational Organized Crime of 15 November 2000. The Firearms Protocol entered into force on 3 July 2005. With the Council's authorization, the European Commission negotiated the articles of the Firearms Protocol that fall under Community competence and eventually signed it on 16 January 2002. Spain deposited its instrument of ratification of the Protocol on 9 February 2007.

Article 10 of the Protocol sets out the requirements for authorization of these transactions in the sphere of foreign trade. Thus, each State Party must establish or maintain an effective system of export/import licensing or authorization and other mechanisms relating to

transits. Other essential requirements are verification by the exporting country that the importer has already obtained the import authorization from its authorities and information regarding transits from the countries through which the weapons in question will be moved. However, States may adopt simplified administrative procedures in specific cases, such as temporary exports and imports and the transit of firearms, their parts and components and ammunition for verifiable lawful purposes such as hunting, sport shooting, testing, exhibitions or repairs.

The publication of Regulation (EU) No 258/2012 of 14 March 2012 in the Official Journal of the European Union on 30 May 2012 fulfilled the international commitment acquired by the EU. The Regulation entered into force on 30 September 2013.

It is important to note that the Regulation is applicable exclusively to civilian firearms, their parts and essential components and ammunition and not to firearms intended for specific military purposes. It refers to transfers of firearms to third countries and not to intra-Community transfers. The Regulation covers short and long, semi-automatic, repetition and single-shot firearms, but excludes automatic weapons.

Extension of control to firearms for civilian use (sporting and hunting weapons) and ammunition stems from the approval of Law 53/2007 of 28 December 2007 on the control of foreign trade in defence and dual use items. This Law embodies the obligations undertaken by Spain on 9 February 2007 upon signing and ratifying United Nations General Assembly Resolution 55/255 of 31 May 2001 approving the Protocol against the illicit manufacturing of and trafficking in

firearms, their parts and components and ammunition.

A specific regulation was subsequently drawn up providing sufficient flexibility to enable the rapid and expeditious processing of transactions relating to the civilian use of these weapons. This Regulation was implemented by Royal Decree 2061/2008 of 12 December 2008, amended by Royal Decree 844/2011 of 17 June 2011 and ultimately replaced by Royal Decree 679/2014 of 1 August 2014.

These weapons may be transferred through individual or global licenses. The export licenses for these weapons must be accompanied by a document certifying the issue of import authorizations by the importing State and information regarding the means of transport and transit countries. There is also a biweekly consultation procedure of JIMDDU members for these operations which speeds up their processing.

The third meeting of the Coordination Group created in accordance with Article 20 of Regulation (EU) No 258/2012 was held in Brussels on 4 October 2016.

B) Council Regulation (EC) 1236/2005 of 27 June 2005 concerning trade in certain goods which could be used for capital punishment, torture or other cruel, inhuman or degrading treatment or punishment

The Regulation entered into force on 30 July 2006. This legislation seeks to strike a balance between the primary policy objective (ban on the death penalty and torture) and to not hinder legitimate trade in a range of equipment and items.

Annex II includes a list of items related to the enforcement of the death penalty the export and import of which is prohibited, as is any related technical assistance. This prohibition does not apply to shipments of this equipment to museums. Technical-health items are excluded as well.

Annex III lists torture-related equipment. The items listed in this Annex may be exported and imported but their export requires prior authorization and a control document listing the recipient, use and end users.

The Regulation does not cover transits nor brokering transactions but does mandate an annual activity report and the exchange of denial data among Member States. A denials and consultations procedure similar to the one provided under Common Position 2008/944/CFSP of 8 December 2008 has been adopted, using the dual use database to which this additional function has been added.

The Regulation was amended by Commission Implementing Regulation (EU) No 1352/2011 of 20 December 2011 prohibiting the export of sleeves, electric-shock cuffs and spiked truncheons and also establishing the requirement of prior export authorisation for certain drugs used in anaesthesia and sedatives (amobarbital, pentobarbital, secobarbital, and thiopental) as these could be used to administer lethal death penalty injections.

The 2011 amendment was followed in 2014 and 2016 by an enlargement of the annexes with the inclusion of a large number of new pieces of equipment pursuant to Commission Implementing Regulation (EU) No 775/2014

of 16 July 2014, and an ambitious review of the body of the Regulation that included a set of proposals based on Regulation 428/2009 on the control of dual-use exports (the use of global licenses applicable to certain pharmaceuticals for countries that have accepted the international commitment to abolish the death penalty, the incorporation of global licenses, control of brokering services and technical assistance). This second review was set out in Regulation (EU) No 2016/2134 of the European Parliament and of the Council of 23 November 2016.

Note that in 2016 there were three applications processed under this Regulation. Two were related to personal defence aerosols containing OC gas for the Ministry of the Interior of Tunisia and for a distribution company in Chile and the third license was for vials of tiobarbital intended for the Social Security Institute in Equatorial Guinea.

PART IV. EXPORTS OF DUAL-USE ITEMS AND TECHNOLOGIES

1. Legislation in force

Regulation of external trade in dual-use items and technologies is governed by Regulation (EC) No 428/2009 of 5 May 2009 setting up a Community regime for the control of the export, transfer, brokering and transit of dual-use items, amended by Regulations (EU) No 1232/2011 of the European Parliament and of the Council of 16 November 2011 and No 599/2014 of the European Parliament and of the Council of 16 April 2014. The annexes listing items subject to control have been updated pursuant to Commission Delegated Regulation (EU) No 2016/1969 of 12 September 2016.

The Community Regulation lays down a regime whereby the export of dual-use items and technologies included in Annex I must be controlled (check-list of 10 categories of dual-use items and technologies) along with others not included on this list pursuant to Article 4 (catch-all clause). Annex IV of the Regulation includes the subset of dual-use items and technologies whose shipments within the European Union are subject to control given their especially sensitive nature.

Mention should also be made of Joint Action 2000/401/CFSP of 22 June on the control of technical assistance concerning certain military uses. Here, special attention is paid to the control of technical assistance (including the oral communication of such assistance that could encour

age or provide the basis for the development of weapons of mass

destruction. The Joint Action introduces control of technical assistance lent to non-community countries, allowing Member States to choose between an authorization or prohibition system.

Member States are also urged to consider the possible application of control when technical assistance has a conventional military end-use and focuses on countries subject to international embargoes.

2. Statistical analysis

A) Exports completed

The tables corresponding to these exports are found in Annex III.

Year	Amount (€ millions)
2010	97.3
2011	99.4
2012	234.1
2013	151.6
2014	168.5
2015	167.4
2016	265.9

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

Export of dual use material in 2016 rose significantly (58.8%) vis-à-vis 2015 totalling €265.9 million compared to €167.4 million the previous year.

Exports completed accounted for 31.2% of those authorised (€852.3 million).

In 2016, sales were mostly concentrated in the categories of “Materials processing” (€134.6 million, 50.6%) and “Nuclear materials, facilities and equipment” (€76.9 million, 28.9%).

The following were the top nine countries of destination:

DU countries	Value (€ millions)	Percentage
Most relevant countries	214.4	80.6
United States	108.9	40.9
Iran	36.2	13.6
P.R. China	30.0	11.3
United Arab Emirates	12.9	4.8
Ecuador	9.7	3.6
Russia	9.2	3.5
Colombia	7.5	2.9
Remaining countries	51.5	19.4
TOTAL	265.9	100

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

The number one destination of Spanish exports was the United States with €108.9 million accounting for 40.9% of the total. The principal operations were three shipments consisting of three steam generators, a cap for a nuclear reactor and a machining apparatus, all costing over €10 million.

Iran was second with €36.2 million accounting for 13.6% of the total. The shipments contained chemical substances for the treatment of metallic surfaces in the industrial sector, stainless steel, inconel and bronze valves with spare parts for the oil, gas, petrochemical and steel industries and sets of equipment for industrial steel furnaces.

Exports completed to Iran increased by 156.7% compared to the €14.1 million exported in 2015.

It should be mentioned that export operations to this destination were analysed on a case by case basis by the Secretariat of State for Trade and the JIMDDU.

Of these exports, 21 out of a total of 30 licenses were the result of the application of the so-called *catch-all* clause (Article 4 of Regulation EC No 428/2009). Use of this catch-all clause by the Spanish authorities means that the transactions are studied carefully and do not mean that they are automatically denied. In fact, most of these operations were authorised after being subject to checks.

In 2013, Iran and the 5+1 group of countries reached a temporary agreement that included the lifting of some sanctions in exchange for greater transparency. A final agreement was later reached and on 14 July 2015 the G5+1 and Iran signed a Joint Comprehensive Plan of Action (JCPOA) entailing a series of commitments by both sides before the lifting of sanctions. The agreement was ratified by the United Nations Security Council (UNSC) by virtue of Resolution 2231 (2015) of 20 July. Most of the sanctions were lifted on the so-called ‘implementation day’ of the JCPOA (16 January 2016) when the General Director of the IAEA presented his report to the Board of Governors and to the UNSC verifying compliance of all of Iran’s commitments set out in Annex V of the Plan.

Europe took similar action a few months earlier. On 18 October 2015 the EU published a Decision and two Regu-

lations lifting most of the economic and financial restrictions (Council Decision 2015/1863 amending Decision 2010/413/CFSP, Council Regulation (EU) No 2015/1861 amending Regulation (EU) No 267/2012 and Council Implementing Regulation (EU) 2015/1862 implementing Regulation (EU) No 267/2012 concerning restrictive measures against Iran, all on 18 October 2015) which entered into force on 16 January 2016.

Sanctions remain in force in the area of weapons exports (for five years) and the missile programme (eight years). Exports of equipment and items related to the civil nuclear programme are subject to authorisation by the UNSC in addition to national authorisations.

The third most important destination was the P.R. of China with €30 million accounting for 11.3% of the total consisting of ultrasound inspection systems for parts made of composite material, software for the creation of trajectories in the aeronautics sector, numerical control systems for the automotive sector, a machine for the lathe spinning of disks for the automotive sector, eight machine-tools for the aeronautical, automotive and health-care sectors, inconel valves for the petrochemical sector, electric condensers for the energy generation and rail transport sectors, integrated circuits for the transport sector, user authentication software for the telecommunications sector, infra-red detectors and sensors for the industrial and environmental sectors and image intensifier tubes for the security and surveillance, biological research, environmental and forest fire surveillance sectors.

It is important to note that shipments to Russia (€9.2 million, 3.5%) were made under the EU's sanction exemptions of 31 July and 8 September 2014.

Exports consisted of a chemical substance for the laboratory analysis of sulphide, a shaft pump for starch production, nine machine tools for use in the aerospace sector, plus a repaired milling machine column for the rail sector and a telecommunications satellite component.

Apart from the seven main destinations listed in the preceding table, the remaining percentage (19.4%) was distributed among 54 countries from different areas.

Special mention should be made of the exports to some destinations.

Cuba: €2.2 million for a chemical for agricultural use, a steam sterilisable freeze dryer for the pharmaceutical industry and a measuring device, a scanner and accessories and software for the health sector.

India: €3.5 million for chemicals for the pharmaceutical industry and industrial sector, stainless steel valves for the oil and petrochemical sector, a steam sterilisable freeze-dryer and pressure gauges for the pharmaceutical sector, two grinding machines for the defence sector, a milling machine for the rail transport sector, numerical control for the automotive sector, electric condensers for the transport sector (metro) and user authentication software for the telecommunications sector.

Indonesia: €4.0 million for two steam sterilisable freeze-dryers for the pharmaceutical industry and a UAV and

control station for the security and surveillance sector.

Iraq: €160 for chemicals for a research centre.

Israel: €2.0 million for chemicals for metal surface treatment in the industrial sector, a machining centre for the paper sector, electronic image processing cards to be incorporated into military aircraft in Spain and other countries (Germany, Italy, the Netherlands, United Kingdom, Sweden, the Czech Republic, Brazil, Chile, Colombia and India), integrated circuits, modems and user authentication software for cable communications in the telecommunications sector, a laser system for the research and development sector and two UAV helicopters and control station for the agricultural sector.

Lebanon: €0 for autonomous respiration equipment, radiation detectors and suits, masks and gloves for the surveillance and security sector.

Morocco: €458,733 for chemicals for laboratory analyses, the glass industry, mining and agriculture.

Niger: €0 for a machine tool validation code for use in the building sector.

P.R. China (Hong Kong): €332,307 for integrated satellite circuits, electric condensers for the energy generation and rail transport sectors, thermal cameras for the surveillance and security sector and miscellaneous parts for the IT sector.

P.R. China (Macao): €63,642 for safety valves and a seal centrifugal pump for the chemical sector.

Taiwan: €38,913 for laboratory analysis chemicals, validation codes and machine-tool validation codes and control systems for demonstrations, high frequency regulators for the machining of moulds in the industrial sector and integrated circuits, modems and software for the telecommunications sector.

Turkey: €2.2 million for chemicals for laboratory analyses, the chemical industry and hide tanning companies, a machine-tool validation code for use in the furniture manufacturing sector, titanium pumps for the production of bleaching agent for use in the industrial sector, a signal generator for the electronics industry and equipment for the telecommunications sector.

Ukraine: €135,000 for user authentication software for the telecommunications sector.

Venezuela: €2.6 million for chemicals for use in the oil, petrochemical and industrial refrigeration sectors, communications equipment for use in the security sector and equipment to protect communications devices in the industrial sector.

B) Operations processed and exempt from the preliminary report and/or control document

This information can be found in Annex IV.

In 2016, 588 license applications for the export of dual-use items and technologies were processed corresponding to 534 individual, 19 global and 35 temporary licenses. Thirteen general authorisations were also granted pursuant to Article 9 and Annex II of the Community Regulation on dual-use. 58 rectifications of licenses already awarded and

15 preliminary agreements were processed.

Of those 534 individual licenses, 451 were approved, 35 were left pending, 16 expired, 22 were withdrawn by the exporter himself and 10 were denied. The 19 global licenses were approved. Of the 35 temporary licenses, 33 were approved and 2 were left pending. All of the rectifications were approved except for one that was withdrawn. The 15 preliminary agreements were approved.

128 communications regarding exemption from the requirement of an export license were processed. Of these communications, 93 were related to transactions with Iran, 22 with Russia, 3 with the P.R. of China, 2 with Pakistan, 2 with Israel, 2 with Indonesia and the remaining 4 were distributed amongst Belarus, Egypt, India and Kazakhstan.

Annex IV offers information concerning the time it takes to process licences and the number of licences exempt from the preliminary report and/or control document.

Exemptions from the JIMDDU report and control document were applied to dispatches of non-sensitive material to allied countries or members of international control and non-proliferation fora within the context of the following operations:

- a) Temporary exports-consignments and imports-introductions for repair, check-up, replacement of defective material at no charge, returns to origin, tests, homologations, fairs and exhibits.

- b) The export-consignment of dual-use items and technologies intended for Member Countries of international export control regimes by virtue of which the items intended for export are subject to control with the exception of the items included in Annex II of Regulation (EC) No 428/2009 of 5 May 2009.
- c) The export-dispatch of items, equipment and technology which, included on the Control List of Military Goods and other Material of Royal Decree 679/2014 and of Annex I of Council Regulation (EC) 428/2009 and the latter's successive amendments, were eliminated from or not included on the corresponding international lists.
- d) Introduction from another European Union country of the chemical substances included on Lists 1, 2 and 3 of the 13 January 1993 Convention on the Prohibition of the Development, Production, Stockpiling and use of Chemical Weapons and on their Destruction, with the exception of ricin and saxitoxin.
- e) Rectifications of authorisations having to do with effective term and monetary value.

C) Entries in the Special Register for External Trade Operators in Defence and Dual-use Material (Spanish acronym REOCE)

In 2016, 43 entries were made in the REOCE by firms producing dual-use items and 4 made joint entries for defence and dual use items.

D) Licenses denied

The following nine export operations were denied in the area of dual use:

- three export licenses to Russia for a numerical control machining centre, a repaired column and two machine-tools which were denied pursuant to the EU embargo of 31 July and 8 September 2014, the risk of diversion to military use and denials by other EU countries.
- an export license to India for a milling machine was denied because India does not belong to the NPT, it does not have a safeguard agreement with the IAEA and because of denials by Spain and other countries.
- an export license to Pakistan for a quality control coordinate measuring system was denied due to the risk of diversion to proliferation programmes.
- an export licence to Iran for electronic cards for a machine tool was denied due to the risk of diversion to a proliferation programme.
- an export licence to the P.R. of China for image sensors was denied on the basis of essentially identical denials by other EU countries.
- two export licenses to Sudan for a numerical control machine, a motor pump and spare parts were denied on the basis of the EU and UN embargoes of 15 March 1994 and 30 July 2004 respectively.

Details of these denials are found in Annex III.

Twenty-nine denials were renewed in the Australia Group, one was not renewed and another was revoked. The Nuclear Suppliers Group decided to renew four and the Missile Technology Control Regime renewed four and revoked two.

The catch-all clause was applied in four cases consisting of the potential export to Pakistan of a coordinate measuring machine, to Iran of carbon steel and low alloy steel pipes, to Russia of semi-finished frequency inverter booths and spare parts and to Sudan of a numerical control machine and a pump with impellers due to the risk of diversion to proliferation programmes in the first two cases, possible military use in the third case and lack of guarantees provided by the end user in the fourth case.

All denials and cases in which the catch-all clause was applied were reviewed in 2016 due to UN and EU sanctions against Iran and it was decided to maintain 18 denials and revoke 5 and maintain 13 catch-all clauses and revoke 33.

Regarding dual-use operations in 2016, a communication was received to lift the prohibition against a Spanish company to send machine tools to Iran and an appeal was lodged against the February 2016 denial of an export to Russia of machine tools due to the risk of diversion to military use.

Lastly, Spain collaborated with an allied country in the investigation of shipments by two Spanish companies of UAV to the United Arab Emirates.

3. Principal actions undertaken at international control and non-proliferation fora in 2016

A) Working Group on the export of dual-use items and the Commission Coordination Group

The main duty of these groups is to review and implement Community regulations having to do with the control of exports of dual-use items. Their activities include discussion of new legislative proposals and the update of annexes using the check-lists in order to adapt them to the changes agreed at the main control and non-proliferation fora.

The Council Working Group and the Commission's Dual-use Coordination Group on exports of dual-use items and technology continued to meet on a regular basis in 2016. Following are the main subjects addressed and agreements concluded.

The main duty of these two groups is to review and implement Community regulations having to do with the control of exports of dual-use items. Their activities include discussion of new legislative proposals and the update of annexes using the check-lists in order to adapt them to the changes agreed at the main control and non-proliferation fora.

On 15 November 2016 Commission Delegated Regulation (EU) No 2016/1969 of 12 September 2016, amending Council Regulation (EC) No 428/2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items was published in the Official Journal of the European Union. This Regulation, which entered into force on the day fol-

lowing its publication, updates the annexes of items in accordance with the agreements reached in the control regimes up to 2015.

On 28 September 2016 the European Commission tabled its proposal to recast current Regulation (EC) No 428/2009 on the control of exports. From among the many novelties, special mention should be made of the following:

- **Definitions:** The definition was broadened from dual-use items to items that could be used for telecommunications surveillance and includes a new annex with a list of these types of items. The definitions of 'export' and 'exporter' were amended as were the provisions regarding the determination of competent authorities in order to clarify the application of controls to people, especially in the case of transfers of technology.
- **Technical assistance:** Technical assistance involving the cross-border movement of persons is now included in controls.
- **Brokering and transit:** Controls were broadened to include all items not on the lists intended for military end use subject to embargo and uses linked to terrorism and human rights violations.
- **EU General Export Authorisations (EUGEA):** New types are proposed to facilitate legitimate trade while also guaranteeing a degree of control.

- EUGEA for items with cryptographic functions. This is especially useful in the light of their commercial importance and the broad distribution of this type of equipment. It is also a way to ensure a level playing field vis-à-vis other countries.
- EUGEA for low value shipments providing that the items and destinations meet requirements.
- EUGEA for the inter-enterprise transfer of software and technology. The aim of this authorisation is to facilitate the transfer of dual-use technology within undertakings.
- EUGEA for 'other dual-use items'. The aim of this proposal is to facilitate trade in certain dual-use items such as frequency inverters, for example, for low risk destinations.

Control of intra-community transfers was also revised in 2016. The proposal entailed a review of the products subject to control within the EU with a view to including the most sensitive items (section B of Annex IV) taking technological and market development into account. Furthermore, a general authorisation was introduced for the transfer of certain products in order to minimise administrative red tape.

The Coordination Group analysed several documents on the interpretation

and enforcement of certain controls with the aim of achieving uniform application throughout the Union. The issues discussed included the interpretation of certain articles of the Regulation, determination of controls on certain items and export requirements.

The Commission continued to make improvements and add capabilities to the on-line database of license denials such as, for example, the inclusion of communications linked to the European Union's sanctions regulation.

It is worth mentioning the development of a best practices document for consistent interpretation of European legislation in all Member States. National activities under the various international non-proliferation fora were evaluated and coordinated. Export policies to various destinations were studied as was the possibility of introducing controls on other items such as those that can be used to control communications. Various documents submitted by exporters and European industrial associations with suggestions of ways to improve the control system were analysed.

Member States and EU institutions supported the entry of European Union countries into the fora of which they are not yet members.

Lastly, the European Union maintains an important cooperation and technical assistance programme with third countries (outreach) regarding the control of dual-use items and technologies.

B) Wassenaar Arrangement (WA)

The Arrangement, having replaced the Coordination Committee on Multilateral Export Controls (COCOM) on 19 December 1995, is the principal interna-

tional control and non-proliferation forum. It is comprised of 41 countries.

A new review process got under way in 2016 marking the Arrangement's 20th anniversary. The plenary session was held on 6-8 December.

The review was conducted by four working groups and focused on the following subjects: documentation, strategic aspects, outreach and participation and control lists.

Spain presented four documents on the control of small arms and light weapons and their ammunition, the deactivation of weapons and combating illegal trafficking and intangible transfers of technology.

As concerns the entry of new members, the EU countries continued to support the application submitted by Cyprus which was blocked by one delegation. Applications from several other countries were also discussed. Spain and Mexico act as rapporteurs for Chile's candidacy and made their first visit to Santiago de Chile on 28 and 29 September 2015. Neither of the two candidacies was approved. India formalised its request for entry in October 2016.

In 2016 outreach activities were conducted in several non-member countries of the Wassenaar Arrangement. This was the context for the initiative called "Dialogue with countries of the Sahel and West Africa" which Spain initiated in 2015 beginning with meetings with Morocco, Algeria, Tunisia and Nigeria.

The conflict in the Eastern region of Ukraine and the occupation of Crimea were the subject of part of the plenary

session as has been the case over the last two years.

In 2016 the Group of Experts held 2 two-week meetings (April and September) and an informal meeting in June to analyse the different technical proposals to amend the lists. In addition to participating state delegates, industry representatives and scholars from the world of academics contributed to the analysis.

The Group adopted new export controls in several different areas including a new hydrogen-free high-power explosive, various materials used in reactive armour and specific electronic components (non-volatile memories/MRAMs) able to withstand extreme environmental conditions. In turn, controls on certain lasers used in industry, digital computers and voice coding equipment were relaxed. The thresholds of the control parameters for these items were updated taking account of their swift introduction into the market.

Work continued on refining the text of the existing control lists to make it easier for license issuing bodies and exporters to interpret them. In this connection, existing controls on biological and radioactive agents, information security and the concept and use of 'technology' were clarified.

In addition to updating the lists, the Group of Experts discussed a number of unofficial documents submitted by various delegations on technical issues of great interest to future controls. The new control list passed at the December 2016 plenary and a summary of the changes made in recent years can be found on the Arrangement's official Web page (www.wassenaar.org).

The Licensing and Enforcement Officers Meeting (LEOM) shared experiences on the processing and management of licenses and customs control.

The Spanish delegation participated with a detailed presentation on the practical use of the International Import Certificate (IIC), the additional control document supplementing the export license. Several countries have stopped issuing the IIC for the import of defence material, especially in the case of components. The authorities of these countries believe that the importing companies are the ones that should issue an end-user statement (EUS) where they commit directly in the event of re-export. In view of the foregoing, Spain requested the continued use of the IIC as a control document for those countries that support such use. For export destination countries that do not issue said document, Spain will require other control documents signed by the importing companies.

There were also presentations on export control systems, specifically concerning procedures to verify the classification of strategic items, the new electronic license issue systems and dual-use export detection systems.

Concerning degree of compliance and sanctions for breach of export law, attention was given to preventing abuse of circumstances where licenses are not required, companies' internal compliance programmes, EUS forgeries, fines for crimes in this area and the experience of one country's prosecutor in pursuing crimes for breach of export control rules. Spain made a brief presentation on the different types of control documents used for the export of defence and dual use items.

C) Nuclear Suppliers Group (NSG)

The Group is an international forum whose aim is to prevent the proliferation of nuclear weapons by means of controlling the export of nuclear products and related dual-use items, equipment, software and technology, without hampering international cooperation in the peaceful use of nuclear energy. The participating countries pursue these objectives by adhering to two sets of guidelines and control lists adopted by consensus, and also the exchange of information regarding suspicious nuclear proliferation programmes. Export decisions are the responsibility of the authorities of each participating country in accordance with respective national law on export control.

The Group was created in 1975 following the nuclear test conducted by India in 1974 in which the transfer of civilian nuclear technology for peaceful use had been improperly used. There are 48 Member Countries. The European Commission and the Zangger Committee Chairman attend meetings as permanent observers.

The NSG held its annual plenary meeting in Seoul (South Korea) on 23-24 June 2016. As usual, parallel meetings of the Advisory, Information Exchange and Customs Execution and Control Groups preceded the plenary (20-22 June). The normal working group sessions were held in the Autumn in Vienna.

Members again expressed their concern over ongoing nuclear proliferation activities and reaffirmed their determination to continue cooperating closely to prevent the transfer of controlled items or technologies that could contribute to the building of nuclear weap-

ons or other explosive nuclear devices. They likewise reiterated their firm support for the full enforcement of the NPT as the cornerstone of the international non-proliferation regime, condemned the nuclear test conducted on 6 January 2016 by the DPRK and reconfirmed their commitment to enforce UNSC resolutions stressing the latter's ban on the export of all articles controlled by the NSG to that country. They also expressed their satisfaction regarding the implementation of the Joint Comprehensive Plan of Action of 16 January 2016 concerning Iran. Also, all States were urged to oversee and ensure the effective enforcement of all UNSC resolutions related with the NSG.

A discussion was held within the framework of the NSG's mandate regarding the technical, legal and political aspects of the participation of States that are not party to the NPT and proposals were agreed to clarify and update the Lists and Guidelines. The Group also reaffirmed the importance of striking a balance between confidentiality and transparency regarding NSG activities, expressed satisfaction with the growing number of States that have harmonised their national export control systems with the NSG Lists and Guidelines, supported continued outreach activities with non-member countries and at appropriate international meetings to increase the Group's transparency, shared information on aspects of the 2008 Declaration on civil nuclear cooperation with India and analysed the relationship between the NSG and India.

Lastly, the NSG confirmed that Switzerland will assume the upcoming 2017-2018 chairmanship.

D) Missile Technology Control Regime (MTCR)

The MTCR is a non-proliferation forum formed by countries which share the aims of non-proliferation of unmanned launching systems capable of transporting weapons of mass destruction (WMD) and related equipment and technology by coordinating national controls of exports to prevent proliferation in this area.

The Regime was founded in 1987 by seven countries. Today there are 35 member countries following the entry of India as a new member in 2016. The accession of future members and individual requests for accession continues to be a thorny issue.

The commitments made by these countries continue to be a noteworthy international standard in terms of the control of exports in the field of non-proliferation of missiles and other unmanned delivery vehicles thus contributing to global peace and security.

The MTCR held its annual plenary meeting in Busan (South Korea) from 19 to 21 October 2016 which was preceded by three other *ad hoc* group sessions: the Technical Experts Meeting, the Information Exchange Meeting and the Licensing and Enforcement Experts Meeting. Moreover, members held monthly inter-session consultation meetings and a reinforced meeting in Paris in the Spring. The Group of Technical Experts held a session on 14-17 March and a technical promotion session on 18 March in Luxembourg.

Member countries reiterated the fact that the proliferation of WMD and their delivery systems remain a threat to international peace and security as recognised by UN Security Council Resolution 1540, that the Control Lists and Guidelines serve as an international

benchmark to control the export of missile-related items and technologies insofar as they have been included in some UNSC resolutions and are applied by a growing number of non-member countries and reiterated the decision to continue exercising extreme caution to prevent the transfer of items and technologies that could contribute to missile programmes capable of delivering WMD. In this connection, members urged all states to support the Regime's non-proliferation objectives by observing its Guidelines and establishing the necessary national laws and policing mechanisms. They also voiced their support for ongoing outreach activities with a view to enhancing the transparency of the MTCR, promoting its objectives and maintaining dialogue with third countries.

A wide-ranging debate took place within the framework of the MTCR's mandate on diverse issues such as the increased number of missile launches by the DPRK since February of 2016, support for the implementation of the Joint Comprehensive Plan of Action (JCPOA) with Iran, remaining mindful of the provisions banning ballistic missile exports and their technology included in Annex B of UNSC Resolution 2231 and other concerns associated with missile programme activities under way in the Middle East and South and North-east Asia.

They also reaffirmed the importance of the work being done by the technical groups updating the annex of items and analysing proliferation trends, acquisition activities and strategies in support of weapons of mass destruction supply programmes, 3D printing or additive manufacturing technology, intangible transfers of technology, brokering,

transit and trans-shipment and evasion of export control.

Ireland and Iceland will co-chair the MTCR in 2017 and 2018.

E) Initiatives against the proliferation of weapons of mass destruction within the sphere of nuclear arms and missiles

In 2016 Spain participated in the following international initiatives within the realm of the fight against the proliferation of weapons of mass destruction and missiles able to deliver those weapons:

Proliferation Security Initiative (PSI)

This initiative is the consequence of the 9/11/2001 terrorist attacks. The PSI is not an institution with legal personality nor is it a treaty but is rather a collaboration forum for the exchange of information, discussion and debate regarding the different member countries' legal provisions and coordinated simulation exercises of maritime, land and air interception of sensitive items and technologies.

Exercises are carried out in accordance with international (maritime and air) and national law when information is received regarding ships or aircraft transporting items related with the proliferation of weapons of mass destruction whose legality is questionable.

The initiative was announced in Krakow by the President of the United States on 31 May 2003, Spain being one of the founding States and the organiser of the first multilateral (founding) meeting held in Madrid on 12 June 2003.

The Ministry of Foreign Affairs and Co-operation is the body responsible for the exchange of information and coordination of actions with other PSI nations and likewise coordinates with the rest of the Spanish organisations with competencies in this connection which make action proposals in each specific case.

PSI meetings follow two different formats: 1) High-level political meetings and 2) meetings of the Operational Experts Group (OEG) focusing on more operational and practical state agencies and bodies. OEG meetings address general topics and interception with a special accent on bolstering international legal instruments aimed at combating proliferation. Efforts are now being made to give the PSI a new focus to more specifically target capacity-building and critical skills such as the banning of actions and conducts related with proliferation, inspection and identification, confiscation and provision of items, in addition to finding a way to streamline the decision-making process.

The last High Level Political Meeting (HLPM) and subsequent meeting of the Operational Experts Group (OEG) was held in Warsaw on 28 and 29 May 2013 and assessed the status of the PSI after a decade of operation and established the strategy going forward.

To that end, the HLPM agreed to bolster four strategic areas:

- Ensure a solid initiative.
- Improve interception and critical capacity practices.
- Reinforce national authorities for the action.
- Enhance strategic communication.

The medium level meeting (MLPM) was held in Washington in January of 2016 to prepare the upcoming HLPM to be held in Paris in 2018. That meeting took stock of progress made in the four strategic areas mentioned above and reaffirmed the commitment of PSI countries.

Alongside the political plenaries during these 11 years, many meetings and workshops have been held including 19 operational expert meetings.

Moreover, approximately 30 sea, air and land interception exercises have been organised. Spain has led two of these exercises, one on sea interception (Sanso 03) and another on air interception (Blue Action 05), in addition to another series of smaller exercises.

Global Initiative to Combat Nuclear Terrorism

This is the most recent international initiative developed in the nuclear field which Spain formally joined in April 2007.

It was launched jointly by the Presidents of the United States and the Russian Federation at the G-8 Summit held in St. Petersburg in July 2006.

The Initiative's aim is to strengthen global capacity to prevent, detect and respond to nuclear terrorism by means of multilateral activities which strengthen the schemes, policies, procedures and interoperability of partner States. To that end, this initiative seeks to expand an association to combat nuclear terrorism through the voluntary adherence of States to a declaration of eight principles which encompass a wide array of objectives in the sphere of physical nuclear security. These range from combating unlawful trafficking to information exchange.

The Initiative is based on the existing legal frameworks and fora in the international arena (mainly the International Convention for the Suppression of Acts of Nuclear Terrorism, the Convention on the Physical Protection of Nuclear Material, United Nations Security Council Resolutions 1540 and 1373 and the Nuclear Security Summit Process). Its purpose is not to create a new legal framework.

One of its main objectives is to mobilise States to comply with their obligations within the framework of the aforementioned international instruments and should therefore be viewed as a complementary tool supporting the enforcement of existing commitments.

In 2016 Spain actively participated in GICNT activities. We would note our attendance at the international meeting commemorating the Initiative's 10th anniversary held in June 2016 in Amsterdam. Spain tabled a draft proposal for bilateral cooperation on nuclear security matters based on the experience acquired with Morocco within the framework of the Initiative.

Spain focused on promoting technological Development and scientific know-how related to combating nuclear terrorism among Initiative members. In this context, the *Centro de Investigaciones Energéticas y Medioambientales*—CIEMAT (Centre for Energy and Environmental Research), together with the Ministry of the Interior, have participated in the GICNT's technical developments related to nuclear forensics technology.

Spain has been very present and active in the Nuclear Physics Security Summits cooperating in the design and con-

struction of a new international architecture to confront and respond to the nuclear threat.

In 2016 Spain participated in the Nuclear Security Summit held in Washington on 31 March and 1 April. The Summit approved the action plan supporting the GICNT prepared by Spain and Morocco.

Container Security Initiative (CSI)

The CSI dates back to the 11 September 2001 terrorist attacks and its principle aim is to protect the world economy from terrorist attacks on the logistics chain, heighten security against the risk of the introduction of weapons of mass destruction in containers and to establish threat detectors enabling adequate risk analysis.

The emergence of these new threats in a globalised world where speed in the logistics chain is vital for economic development, has prompted customs authorities to change their structures and incorporate new inspection technologies into their everyday activities.

Non-intrusive container inspection is an example of a new technology which has helped to enhance the level of inspection, even in light of the rise in this type of transport of goods.

The increase in the number of container scanning facilities (now eight in Spain) has been constant: the CSI was signed in 2003, the first three scanners were installed in 2005 at the ports of Algeciras, Barcelona and Valencia, facilities were set up in Bilbao, Las Palmas and Vigo in 2007, in the port of Santa Cruz de Tenerife in 2010 and the port of Tarragona in 2012.

The deployment of these eight scanners has standardised checks of this type of goods transport, is based on a reasonable analysis of risk and permits the inspection of over 90% of the maritime container traffic in Spain.

Megaport Initiative

Detecting possible unlawful trafficking in nuclear and radioactive materials is an international priority in light of the possible consequences of a terrorist attack using these types of weapons.

Radioactivity in containers is detected thanks to the installation of detection portals which sound an alarm in the event of an increase in radiation. These portals are installed at the entrance and exit of terminals so that all containers have to pass through them. When the alarm goes off, the container is moved to a secondary inspection area equipped with a much more sophisticated portal called a spectrophotometer which not only sounds an alarm when a rise in radiation is detected by also identifies the radioactive isotope responsible. It should be noted that a great many alarms are inadvertently triggered by naturally occurring radioactive isotopes and materials such as ceramics, construction materials, fertilisers and some foods like walnuts or bananas.

In 2004, a Memorandum of Understanding known as the Megaport Initiative was signed between the AEAT (Spanish tax agency) and the US Department of Energy on cooperation for the prevention of unlawful trafficking in nuclear and other radioactive material.

The Megaport Initiative aims to deter, detect and intercept illicit trafficking in

nuclear and radioactive materials in containerized international trade.

This Memorandum has led to the installation of different radiology control systems for containers: in 2006 at the port of Algeciras, in 2010 at the ports of Barcelona and Valencia and at another terminal at the Algeciras port, and in 2012 spectrometric portals were installed at the ports of Bilbao and Vigo. The most recent scanners in service at the ports of Santa Cruz de Tenerife and Tarragona are equipped with radiation detection systems and manual equipment for secondary inspection. This means that a total of seven port facilities have detection capacity. The port of Las Palmas is the only one which does not have this technology.

Also, as a result of the Fukushima nuclear power plant accident, the Department of Customs and Excise Duties distributed manual detection equipment in order to conduct routine inspections of goods, mostly at airports, and to have response capacity in the event of an international alarm.

Radioactive material was detected at the ports of Barcelona, Bilbao, Valencia and Algeciras in 2016. On-site detection of such materials involves the implementation of pre-established action protocols in which different specialized agencies participate, and the implementation of a systematic training scheme for the customs workers responsible for such inspections.

Over and above periodic training, in 2016 operators received training from the United States MEGAPORT team at the ports of Algeciras and Valencia.

F) Australia Group (AG)

The Australia Group was created in June 1985 to curtail the risk that certain exports and transfers pose of contributing to the proliferation of chemical and biological weapons. The Group now has 42 members following the incorporation of Mexico in 2013.

The Plenary was held in Paris from 6 to 10 June 2016 as scheduled. The Plenary includes the annual meetings of the Information Exchange (IE), Implementation Meeting (IM) and Execution Exchange (EE) groups and the Plenary meeting itself.

The Plenary was held on the 9th and 10th and the agenda focused on how to improve control of potential chemical and biological weapons in relation to emerging terrorism, particularly Daesh, and growing concern over proliferation activities in Iran and North Korea. Discussions were also held on the possible incorporation of new members (application by Kazakhstan and the incorporation of India still pending a decision) and outreach by the AG to other States and among party states themselves. The Plenary approved the reports of the working groups.

Spain intervened as the Chair of Committee 1540 to request the participation of all members in the Global Review and, as an AG State Party, it emphasised the importance for the Group to avoid working in an isolated fashion but rather in connection with other international treaties or regimes such as the Chemical and Biological Weapons Convention. Summing up, the proposal for the AG to have a strategic work plan was accepted.

Regarding the update of the lists of items controlled by the Group, we

would draw attention to the following incorporations:

- The four types of Dengue virus were excluded from the lists as a vaccine is now available.
-
- A footnote specifies that the enterohemorrhagic *E. coli* bacteria producing shiga toxin includes the *E. coli* bacteria producing vero toxin or verocytotoxin.
- The lists of virus, bacteria, fungi and toxins were definitively closed.
- The proposal concerning the list of type 3 and 4 biological containment laboratory equipment was finally accepted with much simpler wording than was originally proposed.
- No definitive agreement was reached to control fermenters.

The proposal tabled at the April 2016 meeting in Brussels by the Spanish delegation to study the case of Synthetic Biology (SynBio) led to the creation of an advisory group which presented its findings to the Chair prompting the AG to focus its attention on amending the text concerning the tangible part (equipment) of SynBio rather than on the intangible part for the time being. A virtual working group was created to draft the new text.

Lastly, it was agreed to hold the next plenary in Paris in June 2017.

G) Chemical Weapons Convention (CWC)

The Convention prohibiting the development, production and stockpiling of chemical weapons and their destruction was signed on 13 January 1993 and entered into force on 29 April 1997. This Convention is considered the first multilateral disarmament treaty prohibiting the production and use of a whole category of weapons and requires signatory states to completely eliminate all of their arsenals, elimination being subject to verification by independent inspectors. Achieving these goals earned the OPCW the Nobel Peace Prize in 2013.

The body responsible for the international enforcement of the CWC is the Organisation for the Prohibition of Chemical Weapons (OPCW).

While the main objective of the OPCW is the prohibition of chemical weapons, it also pursues international cooperation between Contracting States in the use of chemicals for pacific purposes by sponsoring scientific research, providing legal assistance, improving the capacity of laboratories and providing specialised training regarding Convention enforcement and the safe handling of chemical substances. The OPCW provides support for all non-party States in joining the Convention and effectively implementing a world-wide prohibition on chemical weapons.

The Convention is a global instrument designed to guarantee security against chemical weapons. This objective is endorsed by the different dimensions related with the development of capacities and by better enforcement of the Convention at national level and assistance and protection measures against chemical weapons. It likewise seeks to prevent the re-emergence of chemical weapons. This could happen if non-

governmental agents and others were to acquire or use chemical weapons. Therefore, these are also bound by the Convention's provisions regarding preparation for a terrorist attack using chemical weapons and the corresponding response. Thus, the Organisation has an important role to play in the international fight against terrorism and the development of the most widespread chemical security culture possible.

The maximum decision taking body of the OPCW is the Conference of the States Parties which is also entrusted with the Convention's enforcement and outreach. The Executive Council is the OPCW governing body and therefore answers to the Conference of the States Parties. The Conference has 41 members, elected for a term of two years and in which Spain ceased to be represented with full voting rights in May 2012 when it was replaced by Portugal. Spain regained its presence in May of 2014.

As of the end of 2016, a total of 192 Contracting States had signed and ratified the Convention. There was also one signatory state (Israel) that signed but did not ratify the Convention and 3 non-party states (North Korea, Egypt and South Sudan). All of the States that have yet to sign as well as the signatory state that has not yet submitted its instrument of ratification are subject to Convention restrictions prohibiting trade in the substances listed, except for mixtures which contain 1% or less of the substances on List 2A, 10% or less of the substances on List 2B and 30% or less of those on List 3.

Between April 1997 and the end of 2016, 93% of the total chemical weap-

ons arsenals declared by countries was destroyed (72,304 T).

Spain ratified the CWC on 3 August 1994 and was the first State of the European Union to do so and the tenth in the world. The States Parties to the CWC currently account for approximately 99% of the global chemical industry.

During the course of 2016, the 81st, 82nd and 83rd periods of sessions of the Executive Council and the 20th period of sessions of the Conference of the States Party were held.

One of the topics presented at all of the Council meetings was the status of Syria in terms of its use of chemical weapons against the population on at least three known occasions. A Joint OPCW-UN Investigation Mechanism (JIM) was created under United Nations Security Council Resolution 2235 of 7 August 2015. On 24 August 2016, following on-site inspections and investigations into nine cases of chemical weapons use, the JIM definitively determined that chemical weapons had been used in three cases: two in Idlib (artefacts launched from a helicopter of the Syrian Arab Armed Forces) and another in Aleppo for which Daesh claimed credit and where sulphur mustard was used.

Progress was made during this last year regarding the destruction of schedule 1 arsenals. The United States and Russia have destroyed nearly 100% of their arsenals; Russia expected to complete the process by 2020 and the United States by 2023. Libya was the only holder of schedule 2 weapons and its arsenal was destroyed outside of Libyan territory in a joint action by several countries coordinated by the OPCW. Spain collabo-

rated by lending a boat to evacuate the chemical weapons.

In the 83rd period of Council sessions a decision was taken to study the signing of new agreements concerning the memorandum of cooperation signed in September 2000 between the OPCW and the World Customs Organisation (WCO). The objectives of that memorandum include strengthening the ex-

change of information and documentation. This would open up new channels enabling customs organisations, the OPCW and the National Authorities of the States Parties to strengthen and coordinate national and international measures against the unlawful trade in chemicals listed in the Convention. Such cooperation will also help States Parties to comply with their declaration obligations laid down in the Convention.

It should be noted that the Medium Term Plan drawn up for 2017-2021 was approved at the 21st period of sessions of the Conference of States Parties. The OPCW's main objective is to prevent the re-emergence of chemical weapons by improving the activities carried out in the traditional areas of the Organisation and working to increase the effectiveness of the verification elements, build capacity, apply measures at national level, develop national protection programmes, establish dialogue with stakeholders through training and outreach activities, foster the responsible use of science and continue to support universality and surveillance of progress in science and technology.

A regulator approach on the part of national governments is not enough to successfully enforce the Convention. It

is also important to foster a sense of belonging on the part of stakeholders from the chemical industry, researchers and academia, NGOs and the civil society with a view to getting their support and active collaboration. The Advisory Board on Education and Outreach (ABEO), created in accordance with a decision passed by the Conference of States Parties at its 20th period of sessions (C-20/DEC.9 of 3 December 2015) will support this process.

Another of the important points on the Conference agenda was the drafting of a text providing ethical guidelines derived from the Convention for professionals in the chemical industry. The secretariat was also invited to inform the Council of its efforts to promote the initiative and its objectives in close collaboration with professional organisations and the chemical industry.

The Spanish authority entrusted with enforcing the CWC and centralising related activities is the National Authority for the Prohibition of Chemical Weapons (ANPAQ) chaired by the Ministry of Foreign Affairs and Cooperation and with a Secretariat-General at the Ministry of Economy, Industry and Competitiveness.

As for the activities undertaken by ANPAQ in 2016, we would mention the seven inspections, one of the verification laboratory of the Ministry of Defence and six of other similar industrial facilities (one of which uses flame retardants included on Schedule 2 and five manufacturers of organic substances used in pharmaceuticals, colouring, resins, detergents, foams and additives). In all of these cases, the inspections went smoothly and the undertakings inspected collaborated sufficiently and were transparent. The af-

fected facilities must report to ANPAQ as regards their production, manufacture, consumption, stockpiling and/or external trade as required in the section corresponding to each of the three CWC lists.

A practical inspection exercise was conducted on 15-16 March 2016 at a firm in the province of Madrid to train future OPCW inspectors. Work continued on the drafting of the National NRBC Protection Plan approved at the end of 2009. The CWC's sixth Tools for Chemical Analysis Course, within the framework of the capacity-building initiatives targeting officials of the Latin American and Caribbean Group of countries (GRULAC), was given at the La Marañosa Campus from 23 May to 3 June 2016.

H) Biological and Toxin Weapons Convention (BTWC)

The biological weapons Convention, formally known as the Convention on the prohibition of the development, production and stockpiling of bacteriological (biological) weapons and toxins and on their destruction, was opened for signing in 1972 and entered into force in 1975. Spain signed the Convention on 10 April 1972 and ratified it on 20 June 1979. As of 31 December 2016 there were 178 States Parties, 6 Signatory states and 12 non-member States.

114 States Parties took part in the 8th Review Conference preparatory committee which met in Geneva on 26-27 April and 8-12 August 2016. The 8th Review Conference was held in Geneva from the 7th to the 25th of November 2016 where 124 States Parties and 4 States that signed but have not yet ratified the Convention participated.

The Review Conference examined all of the articles of the Convention as well as the work proposals for the period between sessions (2017-2020). Political difficulties arose during the Conference which prevented consensus on the content of the work programme for that period.

At its last plenary session on 25 November 2016, the Conference decided that the States Parties would meet on an annual basis. The first of those meetings will be held in Geneva on 4 to 8 December 2017, the main task being to reach the aforementioned consensus.

Details of these meetings and information regarding the Convention can be found at www.unog.ch/bwc.

Lastly, in 2016 the Secretariat of the JIMDDU took part in the following instructional activities:

- Outreach seminars on dual-use export controls in Cambodia (Phnom Penh 25-29 July) and Laos (Vientiane 21-25 November).

ANNEX I. EXPORT STATISTICS ON DEFENCE MATERIAL, 2016

AUTHORISED EXPORTS OF DEFENCE MATERIAL BY COUNTRY AND NUMBER OF LICENSES 2016		
COUNTRIES	NUMBER OF LI- CENSES	VALUE (€)
AFGHANISTAN	1	102,248
ALGERIA	1	0
ANDORRA	25	439,587
ARGENTINA	27	2,427,370
AUSTRALIA	7	239,756,000
AUSTRIA	15	31,662,992
AZERBAIJAN	1	71,160,782
BAHRAIN	3	374,000
BANGLADESH	1	0
BELGIUM	21	35,345,577
BOTSWANA	1	600
BRAZIL	52	6,034,281
BULGARIA	1	0
CAMEROON	1	0
CANADA	17	3,348,134
CHILE	14	14,231,178
COLOMBIA	6	9,522,792
COSTA RICA	1	9,420
CROATIA	2	2,550,000
CYPRUS	1	11,337
CZECH REP.	16	12,398,720
DENMARK	14	2,522,840
ECUADOR	1	63,730,005
EGYPT	45	144,287,563
ESTONIA	1	703,000
FINLAND	1	85,000
FRANCE	130	213,009,255
FRANCE (F. POLYNESIA)	1	10,000,000
FRANCE (N. CAL.)	3	10,022,000
GERMANY	111	302,361,037
GHANA	3	1,980,656
GREECE	6	17,426,000
HUNGARY	3	2,551,545
ICELAND	1	0
INDIA	10	10,997,766
INDONESIA	35	104,265,940
IRAQ	3	11,073,575
IRELAND	1	0
ISRAEL	17	13,057,875
ITALY	106	153,403,100
JAPAN	2	7,655,000
JORDAN	1	0
KAZAKHSTAN	2	60,000,000
KENYA	4	1,929,850
LESOTHO	1	30,000,000
LITHUANIA	4	41,430,141
LUXEMBOURG	12	315,440
MACEDONIA	1	2,400,000

AUTHORISED EXPORTS OF DEFENCE MATERIAL BY COUNTRY AND NUMBER OF LICENSES 2016 (Continued)		
COUNTRIES	NUMBER OF LICENSES	VALUE (€)
MALAYSIA	19	35,013,704
MALI	4	61,706,030
MAURITANIA	1	725,000
MEXICO	3	1,031,886
MOROCCO	2	0
NETHERLANDS	19	5,720,640
NEW ZEALAND	4	1,767,250
NICARAGUA	1	0
NIGERIA	1	89,500
NORWAY	18	4,502,016
OMAN	12	210,557,729
P.R. CHINA	1	0
PAKISTAN	6	33,082,803
PARAGUAY	2	1,000,000
PERU	12	1,836,485
PHILIPPINES	6	14,873,197
POLAND	13	7,635,063
PORTUGAL	31	6,881,449
QATAR	3	64,790
ROMANIA	2	1,073,000
SAUDI ARABIA	10	154,859,063
SENEGAL	4	23,124
SINGAPORE	7	48,034,665
SLOVAKIA	2	27,000
SLOVENIA	2	1,400,000
SOUTH AFRICA	11	116,690
SOUTH KOREA	9	1,480,529,700
SWEDEN	37	550,578
SWITZERLAND	26	4,268,730
TAIWAN	1	0
TANZANIA	2	6,560
THAILAND	14	16,053,225
TUNISIA	7	1,897,700
TURKEY	34	927,553,427
UKRAINE	1	48,000
UNITED ARAB EMIR.	8	41,018,766
UNITED KINGDOM	132	730,220,604
UNITED KINGDOM (JERSEY)	1	0
UNITED STATES	245	104,542,000
URUGUAY	5	2,808,188
VENEZUELA	3	11,520,613
ZAMBIA	1	2,400,000
TOTAL	1,455	5,550,021,781

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

AUTHORISED EXPORTS OF DEFENCE MATERIAL BY COUNTRY AND CATEGORY
2016

COUNTRIES	CATEGORY AND VALUE (€)										
	1	2	3	4	5	6	7	8	9	10	11
AFGHANISTAN											
ALGERIA										0	
ANDORRA	292,033		147,554								
ARGENTINA	1,773,420			653,950							
AUSTRALIA	6,000								750,000	239,000,000	0
AUSTRIA	57,000				0	1,605,992				30,000,000	
AZERBAIJAN											
BAHRAIN					0	374,000					
BANGLADESH			0								
BELGIUM	353,000	38,730	1,608,246	771,125		4,563,976		10,500		28,000,000	
BOTSWANA	600										
BRAZIL	87,665		895,206			49,867				5,001,543	
BULGARIA					0						
CAMEROON											0
CANADA	50,000			950,438	0	14,850			2,157,879	100,000	74,967
CHILE			407,394	0		7,721,180				5,652,604	450,000
COLOMBIA		262,823	3,350,525	2,814,440		445,000				0	
COSTA RICA	9,420										
CROATIA	2,550,000										
CYPRUS	11,337										
CZECH REP.	160,000		1,471,881	416,200		0				10,350,639	0
DENMARK	2,000	0	340	0				250,000		0	270,500
ECUADOR											
EGYPT	13,300					8,367,663				135,906,600	0
ESTONIA		703,000									
FINLAND	85,000										
FRANCE	586,520	189,240	559,167	2,713,956	0	1,250,000		4,757,039		200,514,834	2,438,499
FRANCE (F. POLYNESIA)										10,000,000	
FRANCE (N. CAL.)	22,000									10,000,000	
GERMANY	876,440		82,700	9,798,511	0	790,000		1,408,289		251,641,082	37,764,015
GHANA	580		76	1,980,000							
GREECE	41,000							17,385,000		0	
HUNGARY	2,551,545										
ICELAND										0	
INDIA			0	0		45,773			7,483,216	500,000	2,968,777
INDONESIA	100,000	0	3,600,505	1,891,880	5,650,300	2,430,368				89,939,000	6,987
IRAQ			11,073,575			0					
IRELAND	0										
ISRAEL			24,000	0	0	900,000				710,000	11,170,000
ITALY	175,220	10,000,000	7,193,427	12,489,411		5,775,933		24,755,250	1,784,291	90,979,568	250,000
JAPAN								7,655,000			
JORDAN					0						
KAZAKHSTAN										60,000,000	
KENYA			1,892,000	37,850							
LESOTHO										30,000,000	
LITHUANIA			4,574,420								
LUXEMBOURG	3,030	0	223,300	0		0				88,140	

AUTHORISED EXPORTS OF DEFENCE MATERIAL BY COUNTRY AND CATEGORY
2016 (Continued)

COUNTRIES	CATEGORY AND VALUE (€)										
	1	2	3	4	5	6	7	8	9	10	11
MACEDONIA	2,400,000										
MALAYSIA	33,150	0		0	84,900	946,154				32,400,000	1,549,500
MALI				1,706,030						60,000,000	
MAURITANIA								725,000			
MEXICO	3,851			778,035						250,000	
MOROCCO					0						0
NETHERLANDS	2,000		49,000	1,624,550		0			565,144	0	3,477,746
NEW ZEALAND	500,000		1,267,250	0							
NICARAGUA							0				
NIGERIA			89,500								
NORWAY	250,000		1,372,140	91,526				388,350	2,400,000	0	0
OMAN		26,556	315,000	201,000	40,000	4,922,173		53,000		205,000,000	
P.R. CHINA								0			
PAKISTAN		0				0					33,082,803
PARAGUAY	0									1,000,000	
PERU	26,286	0	369,600		420,000	52,599					968,000
PHILIPPINES			3,378,197					11,495,000			
POLAND	60,000		3,933,440	3,532,000		9,603				0	
PORTUGAL	1,470,996	31,938	796,356			471,728			110,431	4,000,000	0
QATAR		20,000									44,790
ROMANIA			73,000			1,000,000					
SAUDI ARABIA			51,812,605							88,250,000	9,152,880
SENEGAL	23,124				0						
SINGAPORE			1,767,680			101,854				45,000,000	
SLOVAKIA	27,000										
SLOVENIA	1,400,000										0
SOUTH AFRICA	65,000	23,270	8,420							20,000	
SOUTH KOREA								1,500,000		1,470,000,000	5,419,700
SWEDEN	10,000	0	0	0						540,578	
SWITZERLAND	35,000	571,926	132,672			1,339,440				1,091,668	0
TAIWAN				0							
TANZANIA	6,560										
THAILAND			5,489,825	291,000				230,400		10,000,000	
TUNISIA			1,537,700			360,000	0				
TURKEY			5,960,072					24,126,200	94,256,860	803,210,295	
UKRAINE	48,000										
UNITED ARAB EMIR.			32,518,766	8,500,000							0
UNITED KINGDOM	1,400,000		3,817,216	24,914,612		34,632,950		0	1,296,005	579,456,240	84,587,481
UNITED KINGDOM (JERSEY)	0										
UNITED STATES	27,602,294	0	4,137,994	922,010	0	0	0		1,516,429	47,236,281	18,210,585
URUGUAY				951,819				12,182			1,779,720
VENEZUELA										9,890,000	
ZAMBIA	2,400,000										
TOTAL	47,570,371	11,867,483	155,930,749	78,030,343	6,195,200	78,171,103	0	94,751,210	112,320,255	4,555,729,072	213,666,950

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

AUTHORISED EXPORTS OF DEFENCE MATERIAL BY COUNTRY AND CATEGORY 2016 (Continued)												
COUNTRIES	CATEGORY											VALUE (€)
	12	13	14	15	16	17	18	19	20	21	22	
AFGHANISTAN				102,248								102,248
ALGERIA												0
ANDORRA												439,587
ARGENTINA				0								2,427,370
AUSTRALIA												239,756,000
AUSTRIA												31,662,992
AZERBAIJAN				71,160,782								71,160,782
BAHRAIN				0								374,000
BANGLADESH												0
BELGIUM												35,345,577
BOTSWANA												600
BRAZIL			0									6,034,281
BULGARIA												0
CAMEROON												0
CANADA				0								3,348,134
CHILE				0								14,231,178
COLOMBIA				2,650,004								9,522,792
COSTA RICA												9,420
CROATIA												2,550,000
CYPRUS												11,337
CZECH REP.												12,398,720
DENMARK				2,000,000								2,522,840
ECUADOR				63,730,005								63,730,005
EGYPT				0		0						144,287,563
ESTONIA												703,000
FINLAND												85,000
FRANCE				0						0		213,009,255
FRANCE (F. POLYNESIA)												10,000,000
FRANCE (N. CAL.)												10,022,000
GERMANY				0								302,361,037
GHANA												1,980,656
GREECE				0								17,426,000
HUNGARY												2,551,545
ICELAND												0
INDIA												10,997,766
INDONESIA				646,900								104,265,940
IRAQ												11,073,575
IRELAND												0
ISRAEL			0	253,875								13,057,875
ITALY												153,403,100
JAPAN												7,655,000
JORDAN												0
KAZAKHSTAN												60,000,000
KENYA												1,929,850
LESOTHO												30,000,000
LITHUANIA				36,855,721								41,430,141
LUXEMBOURG				970								315,440

AUTHORISED EXPORTS OF DEFENCE MATERIAL BY COUNTRY AND CATEGORY 2016 (Continued)												
COUNTRIES	CATEGORY											VALUE (€)
	12	13	14	15	16	17	18	19	20	21	22	
MACEDONIA												2,400,000
MALAYSIA												35,013,704
MALI												61,706,030
MAURITANIA												725,000
MEXICO												1,031,886
MOROCCO												0
NETHERLANDS				2,200								5,720,640
NEW ZEALAND			0									1,767,250
NICARAGUA												0
NIGERIA												89,500
NORWAY												4,502,016
OMAN												210,557,729
P.R. CHINA												0
PAKISTAN												33,082,803
PARAGUAY												1,000,000
PERU												1,836,485
PHILIPPINES												14,873,197
POLAND					100,020							7,635,063
PORTUGAL												6,881,449
QATAR												64,790
ROMANIA												1,073,000
SAUDI ARABIA				5,643,578								154,859,063
SENEGAL												23,124
SINGAPORE				1,165,131								48,034,665
SLOVAKIA												27,000
SLOVENIA												1,400,000
SOUTH AFRICA												116,690
SOUTH KOREA				3,610,000								1,480,529,700
SWEDEN												550,578
SWITZERLAND				0						1,098,024		4,268,730
TAIWAN												0
TANZANIA												6,560
THAILAND				42,000								16,053,225
TUNISIA												1,897,700
TURKEY												927,553,427
UKRAINE												48,000
UNITED ARAB EMIR.												41,018,766
UNITED KINGDOM				56,100							60,000	730,220,604
UNITED KINGDOM (JERSEY)												0
UNITED STATES			1,139,315	3,777,092								104,542,000
URUGUAY				64,467								2,808,188
VENEZUELA										1,630,613		11,520,613
ZAMBIA												2,400,000
TOTAL			1,139,315	191,761,073	100,020	0				2,728,637	60,000	5,550,021,781

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS OF DEFENCE MATERIAL BY COUNTRY AND CATEGORY											
2016											
COUNTRIES	CATEGORY AND VALUE (€)										
	1	2	3	4	5	6	7	8	9	10	11
AFGHANISTAN											
ALGERIA										2,244,162	
ANDORRA	41,216		101,550								
ARGENTINA	146,772									42,980	1,000,000
AUSTRALIA	107,050			1,170,000					262,922	21,222,984	142,840
AUSTRIA	40,260	0			0	1,605,992				0	
BAHRAIN						19,080,823					
BANGLADESH			0								
BELGIUM	24,914	38,730	1,860,098	0		142,587		10,500		35,078	
BOLIVIA										12	
BOTSWANA	600									1,096,938	
BRAZIL	66,494					49,867				15,267,244	1,348,494
BRUNEI				0	0					3,251	
BULGARIA	15,840		4,257,184					69,555			719,524
CAMEROON										108	
CANADA	30,000			1,157,687		227,743				1,187,408	24,739
CHILE			1,118,926			4,362,175				6,773,340	300,000
COLOMBIA		256,119	3,350,525	2,814,440		231,577				13,663,169	
COSTA RICA	17,368										
CROATIA	43,320										
CYPRUS	11,337										
CZECH REP.	52,782		321,882	496,500						19,470,995	
DENMARK	0		340	0				338,300			
ECUADOR										2,949,642	
EGYPT	13,300					2,375,034				216,899,891	
ESTONIA		726,100									
FINLAND	2,935									2,432,090	
FRANCE	311,907	175,973	409,269	3,416,451				4,341,677		170,109,822	4,641,036
FRANCE (F. POLYNE-SIA)										687,149	
FRANCE (N. CAL.)										81,171	
GERMANY	236,120		67,700	4,990,913		85,000		476,598		735,653,325	16,416,520
GHANA	580		76	635,975						30,703,592	
GREECE	18,000							10,816,000			
GREENLAND								8,768,548			
HUNGARY	8,944										
INDIA				0		45,772			2,932,360	47,030	14,878,824
INDONESIA	23,000	5,436,016	7,800,625	2,097,640	4,907,509	2,417,355				41,997,513	6,987
IRAQ			38,025,653			14,665,157					
IRELAND	0									522,925	
ISRAEL										6,127	
ITALY	214,580	13,869,900	1,815,255	5,659,351		1,974,549		10,249,483	1,305,212	97,484,997	792,354
JAPAN								5,766,000			
JORDAN										5,096,948	
KAZAKHSTAN										55,317,377	
LESOTHO										252,937	
LITHUANIA			4,574,420								
LUXEMBOURG			136,000							90,396	
MACEDONIA	9,477										

EXPORTS OF DEFENCE MATERIAL BY COUNTRY AND CATEGORY
2016 (Continued)

COUNTRIES	CATEGORY AND VALUE (€)										
	1	2	3	4	5	6	7	8	9	10	11
MALAYSIA	10,935		2,428,326		76,410					165,072,280	44,550
MALI				150,093						30,446,851	
MEXICO	3,851			778,035						11,527,115	
MOROCCO			22,198,740	7,764,000						308,089	
NETHERLANDS	1,000		49,000	5,837,900					565,144	1,801,112	
NEW ZEALAND				1,460,950							
NICARAGUA							0				
NORWAY	12,720		2,124,133	1,666,526				921,848	1,776,123		
OMAN		26,556	1,318,800	243,000		17,909,320				188,001,978	
P.R. CHINA								0			
PAKISTAN		0				826,476				46,856	7,564,400
PARAGUAY	0									18	
PERU	13,143	1,341,120	3,353,040	218,400	420,000	52,599			23,421		
PHILIPPINES			2,518,892					8,974,000		886,571	
POLAND	14,000		3,615,940	3,532,000		9,603		8,000		855,212	980,000
PORTUGAL	1,320,389	31,938	854,544	452,340		214,422			110,431	2,912,387	
QATAR						21,342					44,790
ROMANIA			73,000								
SAUDI ARABIA			34,780,546	41,200,000						32,232,315	4,229,178
SENEGAL	23,124										
SERBIA	42,844										
SINGAPORE			2,490,848			330,648				370,108	
SLOVAKIA	1,200										
SLOVENIA	4,000										
SOUTH AFRI- CA	16,000	17,600	3,420							951,396	
SOUTH KO- REA								11,100		7,992,604	3,856,608
SWEDEN	8,890		0	0						591,117	
SWITZERLAND	93,475	411,100				108,808				5,876	
TANZANIA	6,000										
THAILAND			2,296,425	2,588,108				230,400		30,441,329	
TUNISIA			1,537,700			60,000	0				
TURKEY			3,664,072	25,000			30,392	37,571,714	1,835,388	40,899,128	970,000
UKRAINE	16,333										
UNITED ARAB EMIR.			5,572,266							21,166,596	
UNITED KING- DOM	69,285		1,045,656	23,913,535		36,082,141		62,580	278,239	1,135,460,202	18,341,189
UNITED STATES	14,921,377		1,991,764	4,553,572	1,029,538			2,474,009	934,853	16,459,925	18,818,165
URUGUAY				951,819				11,770		203,115	431,081
UZBEKISTAN										49,229,065	
VENEZUELA						784,460				237,758	
VIETNAM					169,215					2,705,681	
ZAMBIA	6,804										
TOTAL	18,022,166	22,331,152	155,756,615	117,774,235	6,602,672	103,663,450	30,392	91,102,082	10,024,093	3,182,145,285	95,551,279

Source: Customs and Excise Department (Ministry of Finance and Civil Service) and exporting companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS OF DEFENCE MATERIAL BY COUNTRY AND CATEGORY 2016 (Continued)												
COUNTRIES	CATEGORY											VALUE (€)
	12	13	14	15	16	17	18	19	20	21	22	
AFGHANISTAN				102,248								102,248
ALGERIA												2,244,162
ANDORRA												142,766
ARGENTINA				0								1,189,752
AUSTRALIA												22,905,796
AUSTRIA			50,000									1,696,252
BAHRAIN												19,080,823
BANGLADESH												0
BELGIUM												2,111,907
BOLIVIA												12
BOTSWANA												1,097,538
BRAZIL			19,359									16,751,458
BRUNEI												3,251
BULGARIA												5,062,103
CAMEROON												108
CANADA												2,627,577
CHILE												12,554,441
COLOMBIA				2,650,004								22,965,834
COSTA RICA												17,368
CROATIA												43,320
CYPRUS												11,337
CZECH REP.												20,342,159
DENMARK				998,332								1,336,972
ECUADOR				52,269,388								55,219,030
EGYPT												219,288,225
ESTONIA												726,100
FINLAND												2,435,025
FRANCE				23,733						0		183,429,868
FRANCE (F. POLYNESIA)												687,149
FRANCE (N. CAL.)												81,171
GERMANY				13,774,869								771,701,045
GHANA												31,340,223
GREECE												10,834,000
GREENLAND												8,768,548
HUNGARY												8,944
INDIA												17,903,986
INDONESIA				1,224,700								65,911,345
IRAQ												52,690,810
IRELAND												522,925
ISRAEL				524,800								530,927
ITALY				4,928,068								138,293,749
JAPAN												5,766,000
JORDAN												5,096,948
KAZAKHSTAN				18,002,784								73,320,161
LESOTHO												252,937
LITHUANIA				3,188,000								7,762,420
LUXEMBOURG				970								227,366
MACEDONIA												9,477

EXPORTS OF DEFENCE MATERIAL BY COUNTRY AND CATEGORY 2016 (Continued)												
COUNTRIES	CATEGORY											VALUE (€)
	12	13	14	15	16	17	18	19	20	21	22	
MALAYSIA												167,632,501
MALI												30,596,944
MEXICO												12,309,001
MOROCCO												30,270,829
NETHERLANDS				0								8,254,156
NEW ZEALAND												1,460,950
NICARAGUA												0
NORWAY												6,501,350
OMAN				782,080								208,281,734
P.R. CHINA												0
PAKISTAN												8,437,732
PARAGUAY												18
PERU												5,421,723
PHILIPPINES												12,379,463
POLAND												9,014,755
PORTUGAL												5,896,451
QATAR												66,132
ROMANIA												73,000
SAUDI ARABIA											3,750,000	116,192,039
SENEGAL												23,124
SERBIA												42,844
SINGAPORE				1,165,131								4,356,735
SLOVAKIA												1,200
SLOVENIA												4,000
SOUTH AFRICA												988,416
SOUTH KOREA				5,040,789								16,901,101
SWEDEN		49,000										649,007
SWITZERLAND										530,200		1,149,459
TANZANIA												6,000
THAILAND				557,800								36,114,062
TUNISIA												1,597,700
TURKEY												84,995,694
UKRAINE												16,333
UNITED ARAB EMIR.												26,738,862
UNITED KINGDOM				56,263,940							75,165,657	1,346,682,424
UNITED STATES			3,912,725	2,078,838								67,174,766
URUGUAY				98,078								1,695,863
UZBEKISTAN												49,229,065
VENEZUELA										1,630,518		2,652,736
VIETNAM												2,874,896
ZAMBIA												6,804
TOTAL		49,000	3,982,084	163,674,552						2,160,718	78,915,657	4,051,785,432

Source: Customs and Excise Department (Ministry of Finance and Civil Service) and exporting companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS OF DEFENCE MATERIAL COMPLETED WITH INDICATION OF THE NATURE OF THE END USER, FINAL USE MADE AND PERCENTAGE
2016

COUNTRIES	ARMOURY	PRIVATE COMPANY	PUBLIC COMPANY	ARMED FORCES	PRIVATE PARTY	POLICE
AFGHANISTAN				100.00%		
ALGERIA				100.00%		
ANDORRA	85.73%				14.27%	
ARGENTINA		7.24%		87.66%	5.10%	
AUSTRALIA		93.09%	1.15%	5.73%	0.03%	
AUSTRIA	1.06%	95.91%		3.03%		
BAHRAIN				100.00%		
BANGLADESH				100.00%		
BELGIUM	1.00%	19.92%		79.08%		
BOLIVIA				100.00%		
BOTSWANA				99.95%	0.05%	
BRAZIL		0.10%		99.50%	0.40%	
BRUNEI				100.00%		
BULGARIA		1.69%		84.10%		14.21%
CAMEROON				100.00%		
CANADA		90.76%		8.10%	1.14%	
CHILE		2.19%		97.81%		
COLOMBIA				100.00%		
COSTA RICA		100.00%				
CROATIA		100.00%				
CYPRUS	100.00%					
CZECH REP.	0.07%	1.84%		97.90%	0.19%	
DENMARK	0.00%	12.68%		87.32%		
ECUADOR				100.00%		
EGYPT				100.00%		
ESTONIA				100.00%		
FINLAND		0.12%		99.88%		
FRANCE	0.03%	8.57%	0.00%	91.40%	0.00%	
FRANCE (F. POLYNESIA)				100.00%		
FRANCE (N. CAL.)				100.00%		
GERMANY	0.00%	20.39%		79.59%	0.02%	
GHANA		2.03%		97.97%		
GREECE	0.16%			99.83%	0.01%	
GREENLAND				100.00%		
HUNGARY		88.82%			11.18%	
INDIA		61.00%		39.00%		
INDONESIA	0.04%	31.38%	31.12%	29.41%		8.05%
IRAQ				100.00%		
IRELAND		28.02%		71.98%		
ISRAEL		1.15%		98.85%		
ITALY	0.01%	84.14%		15.71%	0.14%	
JAPAN				100.00%		
JORDAN				100.00%		
KAZAKHSTAN				100.00%		
LESOTHO				100.00%		
LITHUANIA				100.00%		
LUXEMBOURG			0.00%	100.00%		
MACEDONIA		100.00%				

EXPORTS OF DEFENCE MATERIAL COMPLETED WITH INDICATION OF THE NATURE OF THE END USER, FINAL USE MADE AND PERCENTAGE 2016 (Continued)						
COUNTRIES	ARMOURY	PRIVATE COMPANY	PUBLIC COMPANY	ARMED FORCES	PRIVATE PARTY	POLICE
MALAYSIA				100.00%		
MALI		0.49%		99.51%		
MEXICO				85.75%		14.25%
MOROCCO				100.00%		
NETHERLANDS	0.01%	21.82%		78.17%		
NEW ZEALAND				100.00%		
NICARAGUA						100.00%
NORWAY		33.91%	14.54%	51.55%		
OMAN				100.00%		
P.R. CHINA		100.00%				
PAKISTAN				100.00%		
PARAGUAY		100.00%			0.00%	
PERU		0.24%		99.76%		
PHILIPPINES				100.00%		
POLAND	0.16%	9.68%		79.29%		10.87%
PORTUGAL		22.78%	2.38%	74.61%	0.23%	
QATAR				100.00%		
ROMANIA				100.00%		
SAUDI ARABIA			3.23%	84.94%		11.83%
SENEGAL		100.00%				
SERBIA					100.00%	
SINGAPORE				100.00%		
SLOVAKIA	100.00%					
SLOVENIA	100.00%					
SOUTH AFRICA	1.62%	3.18%		95.20%	0.00%	
SOUTH KOREA		0.07%		99.89%		0.04%
SWEDEN	1.23%	91.22%				7.55%
SWITZERLAND		56.48%		43.52%	0.00%	
TANZANIA					100.00%	
THAILAND			0.00%	99.33%		0.67%
TUNISIA				67.50%		32.50%
TURKEY		22.99%		72.91%		4.10%
UKRAINE		61.73%			38.27%	
UNITED ARAB EMIR.		11.16%		88.84%		
UNITED KINGDOM		56.47%		43.53%		
UNITED STATES		45.20%	0.00%	54.09%	0.71%	
URUGUAY				100.00%		
UZBEKISTAN				100.00%		
VENEZUELA			61.47%	38.53%		
VIETNAM		0.40%		99.60%		
ZAMBIA		100.00%				

Note - Armoury, private use; Private Company, private use; Public Company, public use; Armed Forces, use of the Armed Forces; Private Party, private use; Police, police use.

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS OF DEFENCE MATERIAL AUTHORISED EXCEEDING €100 MILLION 2016			
COUNTRIES	ITEMS	DATE	VALUE (€)
AUSTRALIA	1 in-flight refuelling aircraft, spare parts and documentation	17/03/2016	200,000,000
SOUTH KOREA	4 in-flight refuelling aircraft, spare parts and documentation	29/04/2016	1,400,000,000
GERMANY	Aircraft motors, equipment and components	27/05/2016	120,000,000
FRANCE	Aircraft motors, equipment and components	31/05/2016	120,000,000
UNITED KING- DOM	1 in-flight refuelling aircraft, spare parts and documentation	02/06/2016	200,000,000
TURKEY	Aircraft motors, equipment and components	27/06/2016	120,000,000
TURKEY	Aircraft motors, equipment and components	27/09/2016	500,000,000
UNITED KING- DOM	Electronic systems for use in aircraft	11/11/2016	181,710,780
OMAN	1 transport plane, spare parts, land equipment and documenta- tion	20/12/2016	190,000,000
TOTAL			3,031,710,780

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS OF DEFENCE MATERIAL COMPLETED EXCEEDING €10 MILLION 2016		
COUNTRIES	ITEMS	VALUE (€)
UNITED KINGDOM	4 transport planes, 2 in-flight refuelling aircraft and documentation	1,167,553,076
GERMANY	4 transport planes, spare parts, land equipment and documentation	697,069,807
EGYPT	8 transport planes, spare parts, land equipment and documentation	213,109,910
OMAN	2 transport planes, spare parts, documentation and non-armoured vehicles	195,937,508
MALAYSIA	1 transport plane, spare parts, land equipment and documentation	156,905,184
FRANCE	1 transport plane, spare parts, land equipment and documentation	156,856,733
SAUDI ARABIA	Spare parts for in-flight refuelling aircraft, projectiles and grenades	101,811,591
ITALY	Civilian and military aircraft parts and components and firing sights	74,507,926
KAZAKHSTAN	2 transport planes, spare parts and radar jammer stations	71,697,988
TURKEY	Spare parts for transport planes and military fuel for planes	56,344,536
ECUADOR	Aerial surveillance radar systems and transport equipment	52,269,388
UZBEKISTAN	2 transport planes, spare parts, land equipment and documentation	49,229,065
INDONESIA	Spare parts for transport planes, land equipment and documentation	33,801,912
MALI	1 transport plane, spare parts, land equipment and documentation	27,290,250
THAILAND	1 transport plane, spare parts, land equipment and documentation	27,280,222
GHANA	1 transport plane, spare parts, land equipment and documentation	25,300,000
MOROCCO	Non-metallic munition shells	22,198,740
BAHRAIN	14 mortars integrated into military vehicles	12,880,000
UNITED ARAB EMIR.	Spare parts, land equipment and documentation for in-flight refuelling aircraft	11,671,250
GREECE	Military fuel for planes	10,816,000
AUSTRALIA	Spare parts, land equipment and documentation for in-flight refuelling aircraft	10,778,848
TOTAL		3,175,309,934

Source: Customs and Excise Department (Ministry of Finance and Civil Service) and exporting companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

DEFENCE MATERIAL EXPORTS COMPLETED
(LEASING, ASSIGNMENTS, DONATIONS, SECOND-HAND, TECHNICAL ASSISTANCE AND PRO-
DUCTION UNDER LICENSE)

2016

COUNTRIES	DESCRIPTION	OPERATION	VALUE (€)
ANDORRA	1 revolver and 3 pistols	Second-hand	1,000
ARGENTINA	1 rifle	Second-hand	945
GERMANY	2 pistol and 1 carbine	Donation	0
IRELAND	1 rifle	Donation	0
NICARAGUA	24 gas masks with filters	Donation	0
PORTUGAL	1 rifle	Donation	0
UNITED STATES	5 rifles with sights and barrels	Donation	0
TOTAL			1,945

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS MADE AS PART OF THE MOST NOTEWORTHY DEFENCE MATERIAL PROGRAMMES

2016

COUNTRIES	A400M	EF-2000	IRIS-T	METEOR	MIDS	MRTT	TIGER	TOTAL (€)
BELGIUM	35,078							35,078
FRANCE	164,573,092				834,919		3,253,003	168,661,014
GERMANY	620,400,977	111,795,081	312,805	1,153,302	105,600		6,710,882	740,478,647
ITALY		67,625,451			5,461,996			73,087,447
TURKEY	40,112,129							40,112,129
UNITED KING- DOM	491,915,431	262,057,637		32,559,670		169,416,500		955,949,238
TOTAL	1,317,036,707	441,478,169	312,805	33,712,972	6,402,515	169,416,500	9,963,885	1,978,323,553

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

DEFENCE MATERIAL EXPORTS DENIED

2016

COUNTRIES	NUMBER	ITEMS	CRITERIA (Common Position 2008/944/CFSP)
LIBYA	1 EA	Protective vests	3 The internal situation in the country of final destination, as a function of the existence of tensions or armed conflicts

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

DEFENCE MATERIAL EXPORT SUSPENSIONS

2016

COUNTRIES	NUMBER	ITEMS	REASONS
		None during this period	

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

DESCRIPTION OF THE 22 ITEMS ON THE DEFENCE MATERIAL LIST (ORDER ECC/1493/2016 OF 19 SEPTEMBER 2016 UPDATING THE REGULATION OF ROYAL DECREE 679/2014 OF 1 AUGUST 2014)		
CATEGORY	DESCRIPTION	LIST OF ITEMS INCLUDED
1	Smooth-bore weapons with a calibre of less than 20 mm and automatic weapons with a calibre of 12.7 mm	Rifles, revolvers, pistols, machine guns, silencers, magazines for these weapons, optical sights and flash suppressors
2	Smooth-bore weapons with a calibre of less than 20 mm and other weapons with a calibre over 12.7 mm	Firearms (including pieces of artillery), rifles, howitzers, cannons, mortars, anti-tank weapons, projectile launchers, flame throwers, recoilless cannons, signature reduction devices, military smoke, gas and pyrotechnic projectors or generators, sights and magazines for these weapons
3	Fuse-setting ammunition and devices.	Ammunition for the weapons subject to control under articles 1, 2 or 12. Fuse-setting devices including cases, links, bands, power supplies with high operational output and sub-munitions
4	Bombs, torpedoes, rockets, missiles, other devices and explosive charges	Bombs, torpedoes, grenades, smoke canisters, rockets, mines, missiles, depth charges, demolition charges, "pyrotechnic" devices, shells and simulators, smoke grenades, incendiary bombs, missile rocket nozzles and re-entry vehicle nosetips.
5	Fire control systems	Weapon sights, bombing computers, gun laying equipment, weapon control systems, systems for data collection, surveillance or tracking, recognition or identification
6	Ground vehicles and components	Tanks and other military armed vehicles and military vehicles fitted with mountings for arms or equipment for mine laying, armoured vehicles, amphibious vehicles and bullet-proof tyres
7	Chemical or biological toxic agents	Chemical and biological agents and radioactive materials, nerve agents, vesicant agents, tear gases, anti-riot agents
8	Energetic materials and related substances	Explosives, propellants, pyrotechnics, fuels and related substances, perchlorates, chlorates and chromates, oxidizers, binders, additives and precursors
9	Warships (surface or underwater)	Surface or underwater vessels, naval equipment, motors and propulsion systems and anti-submarine and anti-torpedo nets
10	Aircraft, lighter-than-air vehicles, unmanned aerial vehicles (UAV) and motors	Aircraft, manned lighter-than-air vehicles, unmanned aircraft, aircraft motors, remotely piloted air vehicles, refuelling equipment, pressurised breathing equipment, parachutes and paragliders
11	Electronic equipment, space vehicle and components	Countermeasure and electronic counter-countermeasure equipment, underwater acoustic material, data security equipment, equipment using ciphering processes, guidance, navigation and transmission equipment
12	High-speed kinetic energy weapon systems and related equipment	Kinetic energy weapon systems, test and evaluation facilities and test models, propulsion systems, homing seeker, guidance or divert propulsion systems for projectiles
13	Armoured or protection equipment and constructions	Armoured plate, constructions of metallic or non-metallic materials, military helmets, body armour and protective garments
14	Specialised equipment for military training or simulation of military scenarios	Attack trainers, flight trainers, radar target trainers, anti-submarine warfare trainers, missile launch trainers, image generating trainers
15	Imaging or countermeasure equipment	Recorders and image processing equipment, cameras, photographic equipment, image intensifier equipment, infra-red or thermal imaging equipment, imaging radar sensor equipment
16	Forgings, castings and unfinished products	Unfinished products identifiable by their material composition, geometry or function
17	Miscellaneous equipment, materials and libraries	Self-contained diving and underwater swimming apparatus, closed and semi-closed circuit apparatus, robots, ferries
18	Production equipment and components	Environmental test facilities, continuous nitrators, centrifugal testing apparatus or equipment, screw extruders
19	Directed energy weapons systems (DEW)	Laser systems, particle beam systems, radio-frequency systems, particle accelerators
20	Cryogenic and superconductive equipment, components and accessories	Equipment especially designed or configured to be installed in a vehicle for military ground, marine, airborne or space applications, superconductive electrical equipment
21	Software	Software designed for modelling, simulation or evaluation of military weapon systems or for the simulation of military operation scenarios, for command, communications, control and intelligence applications
22	Technology	Technology for the development, production or use of items subject to control

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

ANNEX II. EXPORT STATISTICS ON OTHER ANTI-RIOT MATERIAL AND HUNTING AND SPORTING ARMS, 2016

EXPORTS AUTHORISED OF OTHER MATERIAL (ANTI-RIOT) BY COUNTRY 2016		
COUNTRIES	NUMBER OF LICENSES	VALUE (€)
BOLIVIA	4	607,728
NICARAGUA	2	1,478,571
NIGER	1	115,072
OMAN	1	4,381,471
PORTUGAL	1	8,855
TUNISIA	2	4,302,447
TOTAL	11	10,894,144

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS OF OTHER MATERIAL COMPLETED (ANTI-RIOT) (BY COUNTRY) 2016		
COUNTRIES	ITEMS	VALUE (€)
BOLIVIA	Propulsion cartridges and quadruple tear gas devices.	607,728
FRANCE	Smoke grenades	70,028
NICARAGUA	Anti-riot cartridges and triple tear gas devices.	1,478,571
NIGER	Tear gas Cartridges	115,072
PERU	Light and sound devices, handcuffs, aerosols and smoke canisters	339,823
PORTUGAL	Coloured smoke canisters	8,855
TUNISIA	Tear gas cartridges and canisters.	4,302,447
TOTAL		6,922,524

Source: Customs and Excise Department (Ministry of Finance and Civil Service) and exporting companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy and Competitiveness)

EXPORTS OF OTHER MATERIAL COMPLETED (ANTI-RIOT) WITH INDICATION OF THE NATURE OF THE END USER AND FINAL USE MADE OF THE MATERIAL 2016			
COUNTRIES	END USER	END USE	PERCENTAGE
BOLIVIA	Police	Public	100%
FRANCE	Police	Public	100%
NICARAGUA	Police	Public	100%
NIGER	Police	Public	100%
PERU	Armed Forces	Public	100%
PORTUGAL	Police	Public	100%
TUNISIA	Police	Public	100%

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS OF OTHER MATERIAL COMPLETED (ANTI-RIOT)
(LEASING, DONATIONS, SECOND-HAND, TECHNICAL ASSISTANCE AND PRODUCTION UNDER LICENSE)
2016

COUNTRIES	ITEMS	OPERATIONS	VALUE (€)
NICARAGUA	High emission CS devices, barrel tips and tear gas devices	Donation	0
TOTAL			0

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

OTHER MATERIAL EXPORTS DENIED (ANTI-RIOT)
2016

COUNTRIES	NUMBER	ITEMS	REASONS
EGYPT	2	CS Tear gas cartridges	FAC EU recommendations of 21/08/2013

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

OTHER MATERIAL EXPORTS SUSPENDED (ANTI-RIOT)
2016

COUNTRIES	NUMBER	ITEMS	REASONS
		None during this period	

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

**EXPORTS OF OTHER MATERIAL AUTHORISED (HUNTING AND SPORTING
ARMS) BY COUNTRY AND NUMBER OF LICENSES**

COUNTRIES	NUMBER OF LI- CENSES	VALUE (€)
ALGERIA	2	3,105
ANDORRA	12	138,723
ANGOLA	2	2,950,000
ARGENTINA	49	471,636
ARMENIA	1	95,000
AUSTRALIA	6	2,896,800
BOLIVIA	1	110,000
BOSNIA AND HERZEGOVINA	1	140,000
BOTSWANA	1	57,000
BRAZIL	8	10,540
BURKINA FASO	5	931,080
CAMEROON	3	1,530,400
CANADA	4	426,900
CHILE	18	1,758,600
COLOMBIA	1	51,557
DOMINICAN REP.	5	675,000
ECUADOR	3	66,000
EQUATORIAL GUINEA	31	19,556
FRANCE (GUADALUPE)	1	35,945
FRANCE (NEW CALEDONIA)	1	40,000
GABON	1	75,000
GEORGIA	7	1,396,757
GHANA	7	5,960,000
GUATEMALA	5	725,000
GUINEA BISSAU	1	1,588
HONDURAS	1	130,000
ICELAND	1	40,000
INDIA	2	98,930
ISRAEL	1	444,000
JAMAICA	1	180,000
JAPAN	3	2,360,000
JORDAN	1	11,370
KUWAIT	1	80,000
LEBANON	8	1,395,882
MALAYSIA	2	230,000
MAURITANIA	1	250,000
MEXICO	4	696,300
MOLDAVIA	1	300,000
MOROCCO	4	1,165,000
NAMIBIA	2	194,000
NEW ZEALAND	2	1,000,000
NICARAGUA	3	270,000
NORWAY	5	1,936,395
P.R. CHINA	1	450,000
PAKISTAN	1	20,000
PARAGUAY	5	1,250,550
PERU	4	1,665,000

**EXPORTS OF OTHER MATERIAL AUTHORISED (HUNTING AND SPORTING
ARMS) BY COUNTRY AND NUMBER OF LICENSES**
2016 (Continued)

COUNTRIES	NUMBER OF LI- CENSES	VALUE (€)
PHILIPPINES	4	460,000
QATAR	1	500
RUSSIA	10	1,271,000
SENEGAL	6	870,925
SOUTH AFRICA	6	1,148,200
SOUTH KOREA	2	185,000
SWITZERLAND	6	364,800
TAIWAN	1	160,000
TANZANIA	1	200
THAILAND	5	700,000
TRINIDAD AND TOBAGO	1	40,000
TUNISIA	12	3,270,500
TURKEY	8	33,820,000
UKRAINE	8	2,427,729
UNITED ARAB EMIR.	1	67,500
UNITED STATES	59	71,192,498
URUGUAY	5	1,310,000
TOTAL	366	152,022,466

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Co-operation)

EXPORTS OF OTHER MATERIAL COMPLETED (HUNTING AND SPORTING ARMS) BY COUNTRY 2016		
COUNTRIES	DESCRIPTION	VALUE (€)
ALGERIA	Shotguns	2,736
ANDORRA	Shells, shotguns and a daytime sights	20,837
ANGOLA	Shells	1,047,250
ARGENTINA	Shells and shotguns	481,653
AUSTRALIA	Shells and shotguns	1,395,900
BANGLADESH	Shells	170,000
BOLIVIA	Shells	98,220
BOTSWANA	Shells	50,550
BRAZIL	Shotguns and daytime sights	10,540
BURKINA FASO	Shells	534,404
CAMEROON	Shells	1,640,792
CANADA	Shotguns and cases with piston	324,156
CHILE	Shells, shotguns and smokeless gunpowder	1,590,902
COLOMBIA	Shotguns	51,869
DOMINICAN REP.	Shells	89,957
ECUADOR	Smokeless gunpowder	22,000
EQUATORIAL GUINEA	Shotguns	18,789
FRANCE (GUADALUPE)	Shells	97,632
FRANCE (N. CAL.)	Shells, non-metallic ammunition and shot	40,260
GEORGIA	Shells	88,855
GHANA	Shells	5,275,199
GUATEMALA	Shells	327,152
GUINEA BISSAU	Shells	363,143
HONDURAS	Shells	120,000
ICELAND	Non-metallic shells and ammunition	36,990
INDIA	Pistons for shells	57,700
ISRAEL	Shells	202,798
JAMAICA	Non-metallic shells and ammunition	150,000
JAPAN	Non-metallic shells and ammunition	1,382,140
JORDAN	Non-metallic shells and ammunition	19,800
LEBANON	Shells, shotguns, pistons and smokeless gunpowder	721,062
MALAYSIA	Non-metallic shells and ammunition	207,780
MAURITANIA	Non-metallic shells and ammunition	419,800
MEXICO	Shells, shotguns, gunpowder and cases	1,133,522
MOROCCO	Non-metallic shells and ammunition	1,456,864
NAMIBIA	Non-metallic shells and ammunition	416,865
NEW ZEALAND	Non-metallic shells and ammunition	788,974
NICARAGUA	Non-metallic shells and ammunition	214,801
NORWAY	Shells, shotguns, non-metallic ammunition and shot	695,615
P.R. CHINA	Shells	82,900
PAKISTAN	Shotgun	18,001
PARAGUAY	Non-metallic shells and ammunition	394,180
PERU	Shells, non-metallic ammunition and shot	1,122,710
PHILIPPINES	Shells, non-metallic ammunition and cases with piston	210,090
RUSSIA	Shells, shot guns, smokeless gunpowder and cases with piston	1,639,510
SENEGAL	Shells and shotguns	447,154
SERBIA	Shotguns	28,297
SOUTH AFRICA	Shells, shotguns and non-metallic ammunition	433,013

EXPORTS OF OTHER MATERIAL COMPLETED (HUNTING AND SPORTING ARMS) BY COUNTRY		
2016 (Continued)		
COUNTRIES	DESCRIPTION	VALUE (€)
SOUTH KOREA	Shells	147,250
SWITZERLAND	Shells, shotguns and non-metallic ammunition	164,630
TAIWAN	Non-metallic shells and ammunition	51,530
THAILAND	Shells and cases with piston	371,406
TRINIDAD AND TOBAGO	Shells	14,580
TUNISIA	Shells, shotguns and non-metallic ammunition	1,512,767
TURKEY	Shotguns, smokeless gunpowder, pistons and cases	2,774,890
UKRAINE	Shells, shot guns, smokeless gunpowder and cases with piston	1,297,401
UNITED ARAB EMIR.	Non-metallic shells and ammunition	67,230
UNITED STATES	Carbines, shells, shotguns and smokeless gunpowder	5,413,464
URUGUAY	Shells	173,058
TOTAL		38,131,568

Source: Customs and Excise Department (Ministry of Finance and Civil Service) and exporting companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS OF OTHER MATERIAL COMPLETED (HUNTING AND SPORTING ARMS) WITH INDICATION OF THE NATURE OF THE END USER AND FINAL USE MADE OF THE MATERIAL AND PERCENTAGE
2016

COUNTRIES	ARMOURY	PRIVATE COMPANY	ARMED FORCES	PRIVATE PARTY	POLICE
ALGERIA				100.00%	
ANDORRA	91.05%			8.95%	
ANGOLA		100.00%			
ARGENTINA		55.47%		44.53%	
AUSTRALIA		100.00%			
BOLIVIA		100.00%			
BOTSWANA		100.00%			
BRAZIL				100.00%	
BURKINA FASO		52.40%		47.60%	
CAMEROON	17.31%	82.69%			
CANADA	3.10%	91.23%		5.67%	
CHILE	5.23%	94.48%		0.29%	
COLOMBIA				100.00%	
DOMINICAN REP.		100.00%			
ECUADOR				100.00%	
EQUATORIAL GUINEA	1.06%			98.94%	
FRANCE (GUADALUPE)		100.00%			
FRANCE (N. CAL.)		100.00%			
GEORGIA		100.00%			
GHANA	45.23%	54.77%			
GUATEMALA		100.00%			
GUINEA BISSAU		100.00%			
HONDURAS	100.00%				
ICELAND		100.00%			
INDIA		100.00%			
ISRAEL		100.00%			
JAMAICA		100.00%			
JAPAN		100.00%			
JORDAN		100.00%			
LEBANON		100.00%			
MALAYSIA		100.00%			
MAURITANIA		80.99%		19.01%	
MEXICO	17.14%	6.11%	76.75%		
MOROCCO	38.98%	61.02%			
NAMIBIA		100.00%			
NEW ZEALAND		100.00%			
NICARAGUA	34.92%	65.08%			
NORWAY		98.79%		1.21%	
P.R. CHINA		100.00%			
PAKISTAN				100.00%	
PARAGUAY		100.00%			
PERU	8.27%	91.73%			
PHILIPPINES		100.00%			
RUSSIA	0.89%	90.58%		8.53%	
SENEGAL	62.67%	37.12%		0.21%	
SERBIA				100.00%	
SOUTH AFRICA		99.72%		0.28%	

EXPORTS OF OTHER MATERIAL COMPLETED (HUNTING AND SPORTING ARMS) WITH INDICATION OF THE NATURE OF THE END USER AND FINAL USE MADE OF THE MATERIAL AND PERCENTAGE

2016 (Continued)

COUNTRIES	ARMOURY	PRIVATE COMPANY	ARMED FORCES	PRIVATE PARTY	POLICE
SOUTH KOREA		100.00%			
SWITZERLAND	1.70%	65.45%		32.85%	
TAIWAN		100.00%			
THAILAND		100.00%			
TRINIDAD AND TOBAGO		100.00%			
TUNISIA	0.95%	49.31%		49.74%	
TURKEY	6.14%	93.86%			
UKRAINE		100.00%			
UNITED ARAB EMIR.		100.00%			
UNITED STATES	8.54%	78.33%		13.13%	
URUGUAY		100.00%			

Note - Armoury, private use; Private Company, private use; Armed Forces, use of the Armed Forces; Private Party, private use; and Police, police use.

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

**EXPORTS COMPLETED OF OTHER MATERIAL (HUNTING AND SPORTING ARMS)
(LEASING, DONATIONS, SECOND HAND, TECHNICAL ASSISTANCE AND PRODUCTION
UNDER LICENSE)**

2016

ARGENTINA	Second-hand over-under double-barrelled shotgun	Second-hand	1,500
CANADA	Side-by-side double barrelled shotgun	Gift	0
EQUATORIAL GUINEA	Hunting shotguns	Second-hand	0
LEBANON	Hunting shotguns	Second-hand	42,646
UNITED STATES	Second-hand double-barrelled shotguns, side-by-side and over-under	Second-hand and as a gift	7,040
TOTAL			51,186

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

OTHER MATERIAL EXPORTS DENIED (HUNTING AND SPORTING ARMS)

2016

COUNTRIES	NUMBER	ITEMS	REASON
GUINEA BISSAU	4	Hunting shells	Internal situation and risk of diversion
RUSSIA	1	Hunting shotguns	EU embargo of 31/07/2014 and 08/09/2014

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

SUSPENSIONS OF OTHER MATERIAL EXPORTS (HUNTING AND SPORTING ARMS)

2016

COUNTRIES	NUMBER	ITEMS	REASONS
		None during this period	

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

LIST OF OTHER MATERIAL

(ORDER ECC/1493/2016 OF 19 SEPTEMBER 2016 UPDATING THE REGULATION OF ROYAL DECREE 679/2014 OF 1 AUGUST 2014)

ANNEX II.1 FIREARMS, THEIR PARTS AND ESSENTIAL COMPONENTS AND AMMUNITION FOR CIVILIAN USE

1. Those firearms and their parts and essential components and ammunition defined in Annex I of Regulation (EU) No 258/2012 of the European Parliament and of the Council of 14 March 2012 implementing Article 10 of the United Nations' Protocol against the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, supplementing the United Nations Convention against Transnational Organised Crime and establishing export authorisation and import and transit measures for firearms, their parts and components and ammunition.

2. Telescopic or light/image intensification visors and sights for firearms other than those included in Annex I.1 of this Royal Decree.

ANNEX II.2 LIST OF OTHER MATERIAL

1. Generator devices, projectors, smoke dispensers, gases, "anti-riot agents" or incapacitating substances

2. Launchers of the elements described under 1 above.

3. Light and deafening sound equipment for riot control

4. Anti-riot vehicles with any of the following characteristics:

1. Systems to produce electric shocks;
2. Systems to dispense incapacitating substances;
3. Systems to dispense anti-riot agents;
4. Water cannons.

5. Standard handcuffs

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material
Ministry of Economy, Industry and Competitiveness

ANNEX III. EXPORT STATISTICS ON DUAL-USE ITEMS AND TECHNOLOGIES 2016

AUTHORIZED EXPORT OF DUAL-USE ITEMS AND TECHNOLOGIES BY COUNTRY, NUMBER OF LICENSES AND VALUE (€) 2016		
COUNTRIES	NUMBER OF LI- CENSES	VALUE (€)
ALGERIA	6	894,409
ANDORRA	15	2,507,796
ARGENTINA	15	2,516,800
AZERBAIJAN	3	687,430
BANGLADESH	1	3,265
BOLIVIA	2	371
BRAZIL	22	203,125,530
CHILE	10	125,522,814
COLOMBIA	31	96,656,164
CUBA	3	269,424
ECUADOR	3	40,000,365
EGYPT	7	696,068
INDIA	17	21,131,322
INDONESIA	1	110,000
IRAN	27	36,732,935
IRAQ	1	160
ISRAEL	16	2,998,337
IVORY COAST	1	720
JORDAN	4	946
KAZAKHSTAN	1	498,836
KUWAIT	3	1,878,445
MALAYSIA	4	3,555,175
MEXICO	14	142,025,741
MONTENEGRO	3	65,000
MOROCCO	11	3,512,221
NIGER	1	0
NORWAY	1	0
OMAN	4	2,476,729
P.R. CHINA	57	36,137,693
P.R. CHINA (HONG KONG)	12	365,910
P.R. CHINA (MACAO)	7	84,330
PAKISTAN	2	0
PANAMA	1	6,020
PARAGUAY	3	5,160
PERU	24	13,426,574
PHILIPPINES	4	9,770
QATAR	6	651,587
RUSSIA	12	7,247,073
SAO TOME AND PRINCIPE	2	0
SAUDI ARABIA	16	1,256,705
SENEGAL	4	500
SINGAPORE	3	380,345

AUTHORIZED EXPORT OF DUAL-USE ITEMS AND TECHNOLOGIES BY COUNTRY, NUMBER OF LICENSES AND VALUE (€) 2016 (Continued)		
COUNTRIES	NUMBER OF LI- CENSES	VALUE (€)
SOUTH AFRICA	12	1,633,142
SOUTH KOREA	35	8,070,590
TAIWAN	19	773,491
THAILAND	8	1,825,677
TUNISIA	3	69,976
TURKEY	7	933,020
UKRAINE	2	135,000
UNITED ARAB EMIR.	28	8,007,629
UNITED STATES	6	77,803,600
URUGUAY	1	680,000
VENEZUELA	9	4,754,819
VIETNAM	4	207,598
TOTAL	514	852,333,212

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS OF DUAL-USE ITEMS AND TECHNOLOGIES AUTHORISED BY COUNTRY AND CATEGORY											
2016											
COUNTRIES	CATEGORY									VALUE (€)	
	0	1	2	3	4	5	6	7	8		9
ALGERIA		894,409									894,409
ANDORRA						2,507,796					2,507,796
ARGENTINA	713,435		10,098	1,793,267		0					2,516,800
AZERBAIJAN		687,430					0				687,430
BANGLADESH			3,265								3,265
BOLIVIA		371									371
BRAZIL		1,152,785	11,820,785	151,960		190,000,000					203,125,530
CHILE		512,814				125,010,000					125,522,814
COLOMBIA		556,164				96,000,000				100,000	96,656,164
CUBA		269,424									269,424
ECUADOR		365				40,000,000					40,000,365
EGYPT		150,000	485,368			60,700				0	696,068
INDIA		12,188,016	8,883,606	59,700		0					21,131,322
INDONESIA										110,000	110,000
IRAN		97,000	36,635,935								36,732,935
IRAQ		160									160
ISRAEL		930,600	1,063,102		552,385	65,000	132,250	255,000			2,998,337
IVORY COAST		720									720
JORDAN		946									946
KAZAKHSTAN							498,836				498,836
KUWAIT		920	1,877,525								1,878,445
MALAYSIA		869,925		3,250		0				2,682,000	3,555,175
MEXICO			4,339,122			137,686,619				0	142,025,741
MONTENEGRO						65,000	0				65,000
MOROCCO		3,053,821					458,400				3,512,221
NIGER			0								0
NORWAY	0										0
OMAN			2,476,729				0				2,476,729
P.R. CHINA		1,740,355	18,023,202	14,137,768		0	2,236,368				36,137,693
P.R. CHINA (HONG KONG)				348,029		17,881					365,910
P.R. CHINA (MACAO)			84,330								84,330
PAKISTAN							0				0
PANAMA		6,020									6,020
PARAGUAY		4,200	960								5,160
PERU		321,259	7,661,600			5,258,715	185,000				13,426,574
PHILIPPINES		110	9,660			0					9,770
QATAR		600,000	51,587							0	651,587
RUSSIA		1,849,788	5,077,120			320,165					7,247,073
SAO TOME AND PRINCIPE										0	0
SAUDI ARABIA		258,364	973,130			25,211	0				1,256,705
SENEGAL		500									500
SINGAPORE		2,700	377,645								380,345
SOUTH AFRICA		1,622,500	6,290			4,352	0				1,633,142
SOUTH KOREA		1,975,880	3,709,572	997,083			1,388,055				8,070,590
TAIWAN		5,148	761,900	1,930			4,513				773,491
THAILAND		11,671	1,814,006								1,825,677
TUNISIA		69,496	480								69,976
TURKEY			252,180			680,840	0				933,020
UKRAINE						135,000				0	135,000
UNITED ARAB EMIR.		4,460,247	3,517,256			30,126				0	8,007,629
UNITED STATES	76,203,600	700,000		0						900,000	77,803,600
URUGUAY		680,000									680,000
VENEZUELA		3,550,000	54,208			1,150,611					4,754,819
VIETNAM		844	26,754			180,000					207,598
TOTAL	76,917,035	39,224,952	109,997,415	17,492,987	552,385	599,198,016	4,903,422	255,000		3,792,000	852,333,212

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS OF DUAL-USE ITEMS AND TECHNOLOGIES COMPLETED BY COUNTRY AND CATEGORY											
2016											
COUNTRIES	CATEGORY										VALUE (€)
	0	1	2	3	4	5	6	7	8	9	
ALGERIA		704,045									704,045
ANDORRA						2,255,007					2,255,007
ARGENTINA	703,247	716,312	10,098	856,027							2,285,684
AUSTRALIA		3,567					9,706				13,273
BOLIVIA		352									352
BRAZIL		1,817,398	532,324	30,777		2,089					2,382,588
CANADA		136,864				20,613	3,495				160,972
CHILE		108,941				97,760					206,701
COLOMBIA		764,490				6,686,168				0	7,450,658
CUBA		244,073	1,942,101								2,186,174
CURAÇAO		670,259									670,259
CZECH REPUBLIC		203,850									203,850
ECUADOR		696				9,700,607					9,701,303
EGYPT		107,720	554,492								662,212
GERMANY						312					312
GUATEMALA		2,755									2,755
INDIA		42,542	3,359,749	59,700		0					3,461,991
INDONESIA			3,884,892							110,000	3,994,892
IRAN		46,196	36,136,035								36,182,231
IRAQ		160									160
ISRAEL		17,180	1,063,818		602,879	65,000	132,500	80,000		63,508	2,024,885
ITALY				0							0
JAPAN				52,096		1,601	16,627				70,324
JORDAN		560									560
KAZAKHSTAN							628,835				628,835
KUWAIT			1,864,981								1,864,981
LEBANON		0									0
MALAYSIA		869,925				762,263				447,000	2,079,188
MEXICO			2,870,571			809,803					3,680,374
MONTENEGRO						65,000					65,000
MOROCCO		458,733									458,733
NEW ZEALAND		55									55
NIGER			0								0
NORWAY		195,100									195,100
OMAN			1,376,182								1,376,182
P.R. CHINA		1,683,918	23,182,781	3,740,848		0	1,438,049				30,045,596
P.R. CHINA (HONG KONG)				181,542		765	150,000				332,307
P.R. CHINA (MACAO)			63,642								63,642
PANAMA		6,020									6,020
PARAGUAY			976								976
PERU		6,976	511,808			3,486,073	185,000				4,189,857
PHILIPPINES		50				0					50
QATAR			8,478								8,478
RUSSIA		4,788	9,217,873								9,222,661
SAUDI ARABIA		639,389	964,534	633		25,211					1,629,767
SENEGAL		270									270
SERBIA		1,566									1,566
SINGAPORE			377,645			5,655					383,300
SOUTH AFRICA		509,825	6,290			3,548					519,663
SOUTH KOREA		1,975,880	1,896,172	692,216			61,505				4,625,773
SWITZERLAND		68,950	1,113,372								1,182,322
TAIWAN		4,524	18,543	1,929		9,404	4,513				38,913
THAILAND		11,671	1,814,006								1,825,677
TUNISIA		8,803	480								9,283
TURKEY		379,577	252,180			1,593,534					2,225,291
UKRAINE						135,000					135,000
UNITED ARAB EMIRATES		2,280,186	10,635,549			30,126					12,945,861
UNITED STATES	76,203,600	892,615	30,967,148		772,459	61,308	12,528				108,909,658
URUGUAY		22,901									22,901
VENEZUELA		1,476,611				1,147,621					2,624,232
VIETNAM		844	26,754								27,598
TOTAL	76.906.847	17.087.137	134.653.474	5.615.768	1.375.338	26.964.468	2.642.758	80.000		620.508	265.946.298

Source: Customs and Excise Department (Ministry of Finance and Civil Service) and exporting companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS OF DUAL USE ITEMS AND TECHNOLOGIES COMPLETED WITH INDICATION OF THE NATURE OF THE END USER, FINAL USE AND PERCENTAGE
2016

COUNTRIES	PRIVATE COMPANY	PUBLIC COMPANY	ARMED FORCES	POLICE
ALGERIA	98.40%	1.60%		
ANDORRA	86.90%	12.77%		0.33%
ARGENTINA	62.81%	37.19%		
AUSTRALIA	100.00%			
BOLIVIA	100.00%			
BRAZIL	97.69%	2.31%		
CANADA	100.00%			
CHILE	99.99%	0.01%		
COLOMBIA	100.00%			
CUBA	75.75%	24.25%		
CURAÇAO	100.00%			
CZECH REPUBLIC	100.00%			
ECUADOR	100.00%	0.00%		
EGYPT	100.00%			
GERMANY	100.00%			
GUATEMALA	100.00%			
INDIA	38.21%	61.79%		
INDONESIA	100.00%			
IRAN	75.99%	24.01%		
IRAQ	100.00%			
ISRAEL	67.09%	3.14%	29.77%	
ITALY	100.00%			
JAPAN	25.92%	74.08%		
JORDAN	100.00%			
KAZAKHSTAN			100.00%	
KUWAIT	100.00%			
LEBANON		100.00%		
MALAYSIA	78.50%	21.50%		
MEXICO	100.00%			
MONTENEGRO	100.00%			
MOROCCO	100.00%			
NEW ZEALAND	100.00%			
NIGER	100.00%			
NORWAY	100.00%			
OMAN	35.09%	64.91%		
P.R. CHINA	91.02%	8.98%		
P.R. CHINA (HONG KONG)	21.01%	33.85%		45.14%
P.R. CHINA (MACAO)	100.00%			
PANAMA	100.00%			
PARAGUAY	100.00%			
PERU	100.00%	0.00%		
PHILIPPINES		100.00%		
QATAR	100.00%			
RUSSIA	100.00%			
SAUDI ARABIA	100.00%			
SENEGAL	100.00%			
SERBIA	100.00%			
SINGAPORE	100.00%			
SOUTH AFRICA	100.00%			
SOUTH KOREA	84.86%	15.14%		
SWITZERLAND	100.00%			
TAIWAN	88.40%	11.60%		
THAILAND	99.76%	0.11%	0.13%	
TUNISIA	100.00%			
TURKEY	79.90%	20.10%		
UKRAINE	100.00%			
UNITED ARAB EMIRATES	38.01%	61.99%		
UNITED STATES	99.46%	0.54%		
URUGUAY	100.00%			
VENEZUELA	46.22%	53.78%		
VIETNAM	100.00%			

Note Private Company, private use. Public Company, public use. Armed Forces, use of the Armed Forces. Police, police use.

Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORT AUTHORISATIONS DENIED FOR DUAL USE ITEMS AND TECHNOLOGIES
2016

COUNTRIES	NUMBER	ITEMS	REASONS
INDIA	1	Milling machine	India does not belong to the NPT, it does not have a safeguard agreement with the IAEA and because of denials by Spain and other countries.
IRAN	1	Electronic cards for an EDM machine	Risk of diversion to a programme of proliferation
PAKISTAN	1	Quality control coordinate measuring system	Risk of diversion to a programme of proliferation
P.R. CHINA	1	Image sensors	Essentially identical denials from two EU countries
RUSSIA	3	Numerical control machining centre, repaired column and spin forming machines	EU embargo of 31/07/2014 and 08/09/2014 and risk of diversion to military use and proliferation
SUDAN	2	Numerical control, motor pump and spare parts	Risk of diversion to military use, EU and UN embargoes of 15/03/1994 and 30/07/2004

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

APPLICATION OF THE CATCH-ALL CLAUSE IN THE EXPORT OF DUAL-USE ITEMS AND TECHNOLOGIES
2016

COUNTRIES	NUMBER	ITEMS	REASONS
IRAN	1	Carbon steel and low alloy steel pipes	Risk of being diverted to nuclear proliferation programmes
PAKISTAN	1	Coordinate measuring machine	Risk of being diverted to nuclear proliferation programmes
RUSSIA	1	Semi-finished frequency inverter booths and spare parts	Risk of diversion to military use
SUDAN	1	Numerical control and a pump with impellers	Lack of guarantees by the end user

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

EXPORTS OF DUAL-USE ITEMS AND TECHNOLOGIES COMPLETED EXCEEDING €10 MILLION
2016

COUNTRIES	DESCRIPTION	VALUE (€)
UNITED STATES	Steam generators, cap for a nuclear reactor vessel, machining, tape laying and drilling equipment	105,653,041
Total		105,653,041

Source: Customs and Excise Department (Ministry of Finance and Civil Service) and exporting companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

DESCRIPTION OF THE 10 CATEGORIES OF DUAL-USE ITEMS AND TECHNOLOGIES (COMMISSION REGULATION (EU) NO 2016/1969 OF 12 SEPTEMBER UPDATING THE ANNEXES TO COUNCIL REGULATION (EC) NO 428/2009 OF 5 MAY		
CATEGORY	DESCRIPTION	LIST OF ITEMS INCLUDED
0	Nuclear material, facilities and equipment	Nuclear reactors, plants for the separation of isotopes of natural uranium, depleted uranium and fissionable materials, gas centrifuges, mass spectrometers, graphite electrodes
1	Materials, chemicals, "microorganisms" and "toxins"	Protection and detection equipment: protective clothing, gloves and footwear, personal dosimeters, prepregs, tools, dies, moulds, continuous mixers, filament winding machines, fluids and lubricating materials, fluorides, sulphides, cyanides and halogenated derivatives
2	Materials processing	Bearings, crucibles, machine tools, isostatic presses, linear and angular displacement measuring instruments, robots, motion simulators or rate tables and machining centres
3	Electronics	Electronic components, integrated circuits, microprocessor microcircuits, programmable gate logic arrays, microwave components, mixers and frequency converters or generators and electrically fired explosive detonators
4	Computers	Electronic, hybrid, digital, analogue, systolic array, neural and optical computers
5	Telecommunications and "information security"	Telecommunications transmission equipment and systems, underwater communication systems, radio equipment, optic fibre cables, remote metering and remote control equipment and information security systems
6	Sensors and lasers	Acoustics, image intensifier tubes, optical sensors, instrumentation cameras, optics, lasers, gravity meters, sonars, hydrophones, gravity gradiometers and radar systems
7	Navigation and avionics	Accelerometers, gyros, GNSS, GPS and GLONASS, star followers, altimeters, hydraulic, mechanical, electro-optical and electro-mechanical flight control systems (<i>fly by wire</i>)
8	Marine	Submersible vehicles (manned and unmanned) and surface vessels, hydrofoil vessels, underwater vision systems, diving and underwater swimming apparatus
9	Propulsion systems, space vehicles and related equipment	Aero and marine gas turbine engines, space launchers and space vehicles, solid and liquid rocket propulsion systems, ramjet, turbojet and turbofan engines, sounding rockets, hybrid rocket propulsion systems, launch support equipment, environmental and anechoic chambers and re-entry vehicles

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

AUTHORISED AND COMPLETED EXPORTS OF DEFENCE MATERIAL, OTHER MATERIAL AND DUAL-USE ITEMS AND TECHNOLOGIES 2016				
STATUS	DEFENCE MATERIAL AMOUNT (€)	OTHER MATERIAL AMOUNT (€)		DUAL-USE AMOUNT (€)
		Anti-riot	Hunting and sporting arms	
Authorised	5,550,021,781	10,894,144	152,022,466	852,333,212
Completed	4,051,785,432	6,922,524	38,131,568	265,946,298
Percentage	73.0	63.5	25.1	31.2

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

ANNEX IV. LICENSES PROCESSED AND OPERATIONS EXEMPT

NUMBER OF EXPORT LICENSES PROCESSED 2016						
DEFENCE MATERIAL						
TYPE OF LICENSE	Approved	Pending	Expired	Denied	Withdrawn	TOTAL
INDIVIDUAL	818	87	46		39	990
GLOBAL	97				2	99
GLOBAL PROJECT	54					54
TEMPORARY	425			1	5	431
GENERAL COMMUNITY	4					4
RECTIFICATIONS	331					331
PRELIM. AGREEMENTS	85			1	3	89
TOTAL	1,814	87	46	2	49	1,998
OTHER MATERIAL						
TYPE OF LICENSE	Approved	Pending	Expired	Denied	Withdrawn	TOTAL
INDIVIDUAL	370	24	5	7	9	415
GLOBAL	6				3	9
TEMPORARY	2					2
RECTIFICATIONS	26					26
TOTAL	404	24	5	7	12	452
DUAL-USE ITEMS AND TECHNOLOGIES						
TYPE OF LICENSE	Approved	Pending	Expired	Denied	Withdrawn	TOTAL
INDIVIDUAL	451	35	16	10	22	534
GLOBAL	19					19
TEMPORARY	33	2				35
RECTIFICATIONS	57				1	58
PRELIM. AGREEMENTS	15					15
GENERAL AUTHORISATIONS	13					13
TOTAL	588	37	16	10	23	674

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

LICENSE PROCESSING TIME FOR DEFENCE MATERIAL, OTHER MATERIAL AND DUAL-USE ITEMS AND TECHNOLOGIES			
2016			
DEFENCE MATERIAL	Preliminary report	= 0 < 30 days	67 %
		> 30 days	33 %
	Exempt from report	= 0 < 5 days	88 %
		> 5 days	12 %
OTHER MATERIAL	Preliminary report	= 0 < 30 days	90 %
		> 30 days	10 %
	Exempt from report	= 0 < 5 days	100 %
		> 5 days	0 %
DUAL-USE ITEMS AND TECH- NOLOGIES	Preliminary report	= 0 < 30 days	74 %
		> 30 days	26 %
	Exempt from report	= 0 < 5 days	61 %
		> 5 days	39 %

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

DEFENCE MATERIAL TRANSACTIONS EXEMPT FROM THE JIMDDU PRELIMINARY REPORT AND FROM END USE CONTROL DOCUMENTS 2016									
Art. RMD	Eurofighter	A400M	Tiger Eurocopter Mids	Missile Meteor	Military fuel	Repair	Fairs	Tests Demonstra- tion Homologation	Return Origin
1						4	19	1	5
2						3	2	4	
3							1	2	1
4				7		22	5	2	5
5						17		1	1
6						26	12	10	7
8					6				
9						3			1
10	16	13	6			158	2	5	40
11	8	2	4			47	2	1	7
14						7			
15						12		1	8
TOTAL	24	15	10	7	6	299	43	27	75

**DUAL-USE ITEMS AND TECHNOLOGY TRANSACTIONS EXEMPT FROM THE JIMDDU PRELIMINARY
REPORT AND FROM END USE CONTROL DOCUMENTS - 2016**

Category	Exemption from the Board Report
	Member countries of international non-proliferation fora
2	4
3	2
5	8
6	4
9	1
TOTAL	19

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

ANNEX V. SPANISH STATISTICS AS CONCERNS THE UNITED NATIONS CONVENTIONAL ARMS REGISTER



Report on the international transfer of conventional weapons (in accordance with Resolution 46/36 L of the United Nations General Assembly)

Country submitting information: SPAIN

Calendar year: 2016

National contact point: Ministry of Defence (DGAM/SDG REINT)

Conventional arms						
A	B	C	D	E	Observations	
Categories (I-VII)	End importer state(s)	Number of items	Country of origin (if not the exporter)	Location Interim (if applicable)	Description of the item	Comments regarding the transfer
I. Tanks						
II. Armoured combat vehicles						
III. Large calibre artillery systems	Bahrain Italy Switzerland	14 137 1				EUC Exempt EUC
IV. Combat aircraft						
V. Attack helicopters						
VI. Warships						
VII. Missiles and a) missile launcher d b)						

Small arms and light weapons						
A	B	C	D	E	Observations	
Category VIII	End importer state(s)	Number of items	Country of origin (if not the exporter)	Location Interim (if applicable)	Description of the item	Comments regarding the transfer
Small arms						
1. Revolvers and automatic pistols						
2. Rifles and Carbines						
3. Machine guns						
4. Assault rifles						
5. Light machine guns						
6. Other						
Light weapons						
1. Heavy machine guns						
2. Portable grenade launcher with and without support						
3. Portable anti-tank cannons						
4. Recoilless rifles						
5. Portable anti-tank missile launchers and rocket systems	Estonia Indonesia Pakistan Peru	500 2,549 8 135				IIC EUC EUC EUC
6. Mortars under 75mm calibre	Belgium	6				Exempt
7. Other						

* Control document.

Source: Deputy Directorate-General of International Relations. Directorate-General for Armament and Material (Ministry of Defence)

Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

ANNEX VI. SPANISH STATISTICS AS CONCERNS THE OSCE DOCUMENT ON SMALL ARMS AND LIGHT WEAPONS



EXPORTS AUTHORISED IN 2016					
Annual information regarding the export of small arms and light weapons					
Reporting country SPAIN	Reporting year: 2016				
Original language: Spanish	Report date: May 2017				
Category and sub-category	End importing state	Number of items	State of origin (if not the importer)	Intermediate situation (if applicable)	Commentary on the transfer*
A. Small arms					
1. Revolvers and automatic pistols					
2. Rifles and Carbines					
3. Submachine guns					
4. Assault rifles					
5. Light machine guns					
B. Light weapons					
1. Heavy machine guns	Italy	1			IIC
2. Portable grenade launchers with and without support					
3. Portable anti-aircraft cannons					
4. Portable anti-tank cannons					
5. Recoilless cannons					
6. Launchers for portable anti-tank missile and rocket systems	Estonia	500			IIC
7. Launchers for portable anti-aircraft missiles					
8. Mortars under 100 mm calibre	Belgium Switzerland	6 7			Exempt EUC

* Control document.

Note. — Recipients are the Armed Forces and Police and Security Forces of the OSCE countries and the items are complete except for parts and ammunition.

Source: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)



EXPORTS COMPLETED in 2016					
Annual information regarding the export of small arms and light weapons					
Reporting country SPAIN	Reporting year: 2016				
Original language: Spanish	Report date: May 2017				
Category and sub-category	End importing state	Number of items	State of origin (if not the importer)	Intermediate situation (if applicable)	Commentary on the transfer*
C. Small arms					
6. Revolvers and automatic pistols					
7. Rifles and Carbines					
8. Submachine guns					
9. Assault rifles					
10. Light machine guns					
D. Light weapons					
9. Heavy machine guns					
10. Portable grenade launchers with and without support					
11. Portable anti-aircraft cannons					
12. Portable anti-tank cannons					
13. Recoilless cannons					
14. Launchers for portable anti-tank missile and rocket systems	Estonia	500			IIC
15. Launchers for portable anti-aircraft missiles					
16. Mortars under 100 mm calibre	Belgium Italy Switzerland	6 137 1			Exempt Exempt EUC

* Control document.

Note.- Recipients are the Armed Forces and Police and Security Forces of the OSCE countries and the items are complete except for parts and ammunition.
Source: Export companies. Drafting: Deputy Directorate-General of International Trade in Defence and Dual-use Material (Ministry of Economy, Industry and Competitiveness)

ANNEX VII. DEFENCE AND DUAL-USE MATERIAL EMBARGOES CURRENTLY IN FORCE (AS OF 24/04/2017)

DEFENCE MATERIAL AND EQUIPMENT FOR DOMESTIC REPRESSION

Countries	United Nations	European Union	OSCE
Afghanistan (Taliban)	January 2002 January 2012 (Mod.)	May 2002 June 2012 (Mod.)	
Azerbaijan (Nagorno-Karabakh)			February 1992
Belarus		June 2011 February 2017 (Mod.)	
Central African Rep.	December 2013 January 2017 (Mod.)	December 2013 April 2016 (Mod.)	
China		June 1989	
Dem. Rep. Congo	July 2003 June 2016 (Mod.)	April 1993 July 2016 (Mod.)	
Egypt		August 2013 (*)	
Eritrea	December 2009	March 2010	
Iran	December 2006 June 2010 (Mod.)	April 2007 December 2012 (Mod.)	
Iraq	August 1990 June 2004 (Mod.)	August 1990 July 2004 (Mod.)	
Lebanon	August 2006	September 2006	
Libya	February 2011 April 2015 (Mod.)	February 2011 January 2016 (Mod.)	
Myanmar/Burma		July 1991 April 2015 (Mod.)	
Popular Democratic Republic of Korea	October 2006 April 2016 (Mod.)	November 2006 March 2016 (Mod.)	
Russia		July 2014 September 2014 December 2016 (Mod.)	
Somalia	January 1992 October 2014 (Mod.)	December 2002 March 2015 (Mod.)	
South Sudan	July 2004	March 1994 May 2015 (Mod.)	
Sudan	July 2004 October 2010 (Mod.)	March 1994 July 2014 (Mod.)	
Syria		May 2011 May 2016 (Mod.)	
Yemen	April 2015 February 2016 (Mod.)	June 2015	
Zimbabwe		February 2002 February 2017 (Mod.)	

DUAL-USE

Countries	United Nations	European Union	Restrictive measure
Non-governmental agents	April 2004 (1540) April 2006 (1673)		Prevent all transfers for use in WMD and their delivery vehicles
Democratic Republic of Korea	July 2006 (1695) October 2007 (1718) June 2009 (1874) March 2013 (2094) March 2016 (2270) November 2016 (2321)	November 2006 July 2013 April 2016 August 2016 October 2016 February 2017	Prevent all transfer of conventional weapons, dual-use items and luxury items
Iran	July 2006 (1696) December 2006 (1737) March 2007 (1747) (v) March 2008 (1803) September 2008 (1835) June 2010 (1929) July 2015 (2231)	February 2007 December 2009 July 2010 October 2010 May 2011 December 2012 July 2015 (Joint Comprehensive Plan of Action) October 2015 January 2016 July 2016	Economic and financial restrictive measure were lifted as were those on the oil, gas and petrochemical sectors. General export and import bans on dual-use items were lifted and are subject to the authorisation requirements laid down in Regulation (EU) No 428/2009 on dual-use items. Moreover, Regulation 2015/1861 imposes the following restrictions: Annex I: Nuclear and dual-use lists of the Nuclear Suppliers Group and associated services which require prior authorisation from the UNSC for export and from the joint commission for import. Annex II: Additional list of items and technology and associated services liable to contribute to nuclear activity requiring authorisation for export and import. Annex III: Missile Technology Control Regime items which remain subject to the embargo for five years. Weapons exports remain under the embargo (EU Common List of Military Equipment) and the ban on the provision of technical assistance or brokering services relating to such exports. Prior authorisation is required for the sale and other associated services, including financial, trade, etc. of certain items such as enterprise planning software, graphite and base metals.
Syria		June 2012 December 2013	Prevent the transfer of equipment which could potentially be used for domestic repression (dual-use)

Russia		July 2014 September 2014 December 2016 (Mod.)	Retroactivity is excluded when a safeguard clause, applicable to contracts concluded before the date of entry into force of the sanctions (1 August and 9 September 2014), is incorporated. The prohibition is applied to all dual-use categories with military end use and end users, to a list of 9 entities engaging in military activities; the aeronautics and space sector are excluded when the use and end users are not military.
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(Mod.) Date of modification.

The United Nations (January 2002) and the European Union (May 2002) agreed to prohibit the export of arms and all types of related equipment to Osama Bin Laden, members of Al-Qaeda and the Taliban and to other individuals, groups and organisations related to these.

The embargoes reflected in this table exclude prohibitions on the export of non-lethal equipment for humanitarian purposes or for certain International Organisations and United Nations personnel as well as those used for mine removal actions except in the case of China. In the case of the embargoes against Ivory Coast, Iraq, Lebanon, Liberia, the Central African Republic, the Democratic Republic of Congo, Somalia and South Sudan, the prohibition of arms shipments to their governments, security forces and international peace-keeping forces is excluded.

The embargo against Russia includes exports and imports of weapons, with a safeguard for the execution of contracts and agreements concluded before 1 August 2014.

The embargo on Yemen applies to the supply of weapons to rebel forces.

(*) There is no formal embargo against Egypt. At its 21 August 2013 extraordinary meeting, the Foreign Affairs Council (FAC) of the European Union adopted a set of conclusions resulting in the suspension of export licenses for any military equipment to this country that could be used for domestic repression.

ANNEX VIII. LINKS

Web pages of international bodies and fora

1. United Nations

<http://www.un.org>

2. European Union

<http://europa.eu>

3. Organisation for Security and Co-operation in Europe (OSCE)

<http://www.osce.org>

4. Chemical Weapons Convention (CWC)

<http://www.opcw.org>

<http://www.minetur.gob.es/industria/ANPAQ/Paginas/Index.aspx>

5. Biological and Toxin Weapons Convention (BTWC)

<http://www.opbw.org>

6. Australia Group (AG)

<http://www.australiagroup.net>

7. International Atomic Energy Agency (IAEA)

<http://www.iaea.org>

8. Nuclear Suppliers Group (NSG)

<http://www.nuclearsuppliersgroup.org>

9. Wassenaar Arrangement (WA)

<http://www.wassenaar.org>

10. Missile Technology Control Regime (MTCR)

<http://www.mtcr.info>

11. Zangger Committee

<http://www.foi.se/en/Customer--Partnets/Projects/zc/zangger>

Other links of interest

1. Stockholm International Peace Research Institute

<http://www.sipri.org>

2. Small Arms Survey

<http://www.smallarmssurvey.org>

3. Conflict Armament Research

<http://www.conflictarm.com>