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Arms Trade Treaty  
**First Conference of States Parties**  
Cancun, 24-27 August 2015

**Provisional Reporting Templates**  
**Final Draft**

The attached provisional reporting templates for States Parties' reporting under Article 13(1) and 13(3) of the Arms Trade Treaty respectively, represent a first approximation. Although they have been addressed, it has not been possible to satisfactorily resolve all issues related to interpretation of the Treaty, differences in national data gathering systems and national confidentiality needs.

A first full round of reporting is needed to gain the necessary experience to develop more definitive templates for the ATT's mandatory reporting requirements. The Conference of States Parties therefore encourages all States Parties to use as a basis the attached templates for the first round of mandatory reporting, in order to contribute to further development work with any specific issues that are detected at the national level.

The provisional nature of these templates does not diminish the obligation for each State Party to provide reports in accordance with the language of Articles 13(1) and 13(3) of the Treaty.

## PROVISIONAL TEMPLATE

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

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

The template is divided into two sections. Section A encompasses information which relates to binding obligations under the Treaty. Section B (shaded) contains information which relates to provisions in the Treaty which are estimated to be binding to a lesser degree, or non-binding.

The division of provisions into binding and non-binding has been undertaken - solely for the purpose of this Template - on the basis of a strict observance of the qualifiers included in the text of the Treaty. Thus,

- if a provision in the text is prefaced with "shall" only, it is considered binding and information on that topic should be provided in the initial report.
- if a provision in the text has qualifiers, such as "shall...subject to its national laws", or "shall...pursuant to national law", or "shall....consistent with national law", or "shall....where necessary/appropriate", then a binding obligation is deemed to exist unless certain conditions are fulfilled - and information should be provided at least to indicate whether the obligation is considered applicable or not in the specific national context.
- if States Parties are only encouraged to take, or invited to consider taking, certain actions, the provision is deemed non-binding and information on the topic is voluntary. This category also includes qualifiers such as "may include..." or actions to be initiated "by mutual consent" with another State Party.

In Section B, States Parties are obliged according to Article 13(1) to provide information on the listed measures to the extent that such measures have been undertaken to implement the Treaty. On a voluntary basis, more information may also be provided.

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

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

<b>This Initial Report may be made publicly available</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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**SECTION A.  
INFORMATION RELATED TO BINDING OBLIGATIONS IN THE TREATY**

**1. NATIONAL CONTROL SYSTEM AND LIST**

<b>A. Overview of legislation and ordinances governing the national control system</b> [Article 5(2)] (please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)			
<b>B. The national control system includes the following:</b>		Yes	No
i)	competent national authorities (further specified below) [Article 5(5)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	a control list [Article 5(2)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	one or more national points of contact to exchange information on ATT implementation [Article 5(6)]	<input type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below.			
<b>C. The national point(s) of contact has (have) been notified to the Secretariat of the Treaty</b> [Article 5(6)] (if 'No', please clarify below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>D. The national control list covers the following:</b>		Yes	No
i)	Battle tanks [Article 2(1a)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Armored combat vehicles [Article 2(1b)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Large-caliber artillery systems [Article 2(1c)]	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Combat aircraft [Article 2(1d)]	<input type="checkbox"/>	<input type="checkbox"/>
v)	Attack helicopters [Article 2(1e)]	<input type="checkbox"/>	<input type="checkbox"/>
vi)	Warships [Article 2(1f)]	<input type="checkbox"/>	<input type="checkbox"/>
vii)	Missiles and missile launchers [Article 2(1g)]	<input type="checkbox"/>	<input type="checkbox"/>
viii)	Small arms and light weapons [Article 2(1h)]	<input type="checkbox"/>	<input type="checkbox"/>
<b>The national control list also includes the following, in order to enable the application of Articles 3 and 4:</b>		Yes	No

ix)	Ammunition/Munitions for the conventional arms covered in Article 2(1) [for the application of Article 3]	<input type="checkbox"/>	<input type="checkbox"/>
x)	Parts and components in a form that provides the capability to assemble the conventional arms covered in Article 2(1) [for the application of Article 4]	<input type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below			
<b>E. The national control list has been provided to the Secretariat of the Treaty [Article 5.4]</b> (if 'No', please elaborate further below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>

## 2. PROHIBITIONS

<b>A. The national control system prohibits authorization of transfers as defined by Article 2(2), of conventional arms covered under Article 2(1) and items covered under Articles 3 and 4, in the circumstances specified in Articles 6(1) to 6(3)</b> (if 'No' in any respect, please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(2)</b> (please list below)		
<b>C. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(3)</b> (please list below)		

## 3. EXPORTS

<b>A. The national control system includes the following:</b>	Yes	No
i) an authorization or licensing system for arms exports [Article 5(2)]	<input type="checkbox"/>	<input type="checkbox"/>
ii) prohibition assessment guidelines [Article 6]	<input type="checkbox"/>	<input type="checkbox"/>
iii) export assessment criteria [Article 7]	<input type="checkbox"/>	<input type="checkbox"/>
iv) a risk assessment procedure [Article 7]	<input type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please provide background below		
<b>B. National export controls apply to the conventional arms covered under Article 2(1), and the items covered under Articles 3 and 4</b> (if 'No', please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>C. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export</b> [Article 7(5)]	Yes <input type="checkbox"/>	No <input type="checkbox"/>

(if 'No', please provide further information below)		
<b>D. The national risk assessment procedure includes all the criteria described in Article 7(1)(a) and (b), and Article 7(4)</b> (if 'No' in any respect, please elaborate below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. The competent national authority(-ies) for the control of exports</b> [Article 5(5)] (please specify below)		
<b>F. The national control system allows appropriate information about an export authorization to be made available, upon request, to the importing State Party and/or to the transit or trans-shipment States Parties</b> [Article 7(6)] (if 'No' please elaborate below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>

#### 4. IMPORTS

<b>A. The national control system includes measures that allow the regulation, where necessary, of imports of conventional arms covered under Article 2(1).</b> [Articles 6(1) to 6(3) and Article 8(2)] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'Yes', please also answer the following question		
<b>B. The competent national authority(-ies) for the regulation of imports</b> [Article 5(5)] (please specify below)		
<b>C. The national control system allows for the provision, pursuant to national law and upon request, of appropriate and relevant information to assist an export assessment by a potential exporting State Party</b> [Article 8(1)] (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

#### 5. TRANSIT & TRANS-SHIPMENT

<b>A. The national control system includes measures that allow the regulation, where necessary and feasible, of transit of conventional arms covered under Article 2(1)</b> [Articles 6(1) to 6(3) and Article 9] (if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. The national control system includes measures that allow the regulation, where necessary and feasible, of trans-shipment of conventional arms covered under Article 2(1)</b> [Articles 6(1) to 6(3) and Article 9]	Yes <input type="checkbox"/>	No <input type="checkbox"/>

(if 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)			
<b>C. Control measures for the regulation of transit and/or trans-shipment cover :</b> (If 'Yes' to (ii) or (iii), please indicate in the free text field how enforcement is conceived - systematic control or only when information is available?)			
		Yes	No
i)	Transit / trans-shipment through land territory (including internal waters)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Transit / trans-shipment through territorial waters	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Transit / trans-shipment through national air space	<input type="checkbox"/>	<input type="checkbox"/>
<b>D. The competent national authority(-ies) for the regulation of transit and trans-shipment</b> [Article 5(5)] (please specify below)			

## 6. BROKERING

<b>A. The national control system includes measures that allow the regulation, pursuant to national laws, of brokering of conventional arms covered under Article 2(1)</b> [Articles 6(1) to 6(3) and Article 10] (if 'Yes', please provide further information below on the nature of control measures and confirm that they apply to all items in the national control list. If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. The definition of brokering used in national legislation</b> [Articles 6(1) to 6(3) and Article 10] (please specify in particular if there are extraterritorial elements in the definition, for instance the activities of nationals resident abroad, or transfers that take place between two third countries)			
<b>C. The competent national authority(-ies) for the regulation of brokering</b> [Article 5(5)] (please specify below)			

## 7. DIVERSION

<b>A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1)</b> [Article 11(1)]		Yes	No
i)	assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	cooperation and information exchange, where appropriate and feasible and pursuant to national law, with other States Parties [Article 11(3)] (if 'No', please provide background below)	<input type="checkbox"/>	<input type="checkbox"/>

<b>B. The national control system includes appropriate measures to be taken, pursuant to national law and in accordance with international law, when a diversion of transferred conventional arms under Article 2(1) has been detected [Article 11(4)]</b> (if 'No', please elaborate below)	<input type="checkbox"/>	<input type="checkbox"/>

## 8. RECORD KEEPING

<b>A. The national control system includes provisions for maintaining records regarding:</b> [Article 12(1)] (mandatory to retain records for one of the two options below)	Yes	No
i) issued authorizations for the export of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)]	<input type="checkbox"/>	<input type="checkbox"/>
ii) actual exports of conventional arms covered under Article 2(1) of the Treaty [Article 12(1)] (if 'No' to both (i) and (ii), please elaborate below)	<input type="checkbox"/>	<input type="checkbox"/>
<b>B. Records are kept for a minimum of 10 years</b> [Article 12(4)] (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

## 9. REPORTING

<b>A. The national control system allows for the provision of information as required by Article 13(3)</b> (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

## 10. ENFORCEMENT

<b>A. Measures are in place that provide the ability to enforce of the national laws and regulations that implement the provisions of the Arms Trade Treaty [Article 14]</b> (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>B. National legislation allows the provision to another State Party of jointly agreed assistance in investigations, prosecutions and judicial proceedings in relation to violations of national measures established pursuant to this Treaty [Article 15(5)]</b> (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

## 11. INTERNATIONAL COOPERATION

<b>A. Cooperation is possible with other States Parties of the Treaty with a view to its effective implementation, where such cooperation is consistent with national law and security interests</b> [Article 15(1)] (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

**12. INTERNATIONAL ASSISTANCE**

<b>A. National regulations and policy allow for the provision - upon request and if in a position to do so - of implementation assistance as set out in Article 16(1)</b> (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

**13. DISPUTE SETTLEMENT**

<b>A. National regulations and policy allow for consultations and, by mutual consent, cooperation in the settlement of disputes regarding the interpretation or application of the Treaty by at least one of the means outlined in Article 19(1)</b> (if 'No', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

**SECTION B.**  
**INFORMATION RELATED TO NON-BINDING PROVISIONS IN THE TREATY**

States Parties are obliged according to Article 13(1) to provide information on the measures listed below, to the extent that such measures have been undertaken to implement the Treaty. On a voluntary basis, more information may also be provided

**1. NATIONAL CONTROL SYSTEM AND LIST**

<b>F. Arms for recreational, cultural, historical and sporting purposes are included in the national control list [Article 2(1)(h) &amp; Preamble, 13<sup>th</sup> para]</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If 'No', please provide further information below, for instance whether a separate set of controls are applied to these types of arms		
<b>G. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)] (If 'Yes', please specify below)</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>H. Control list definitions are supplemented by more detailed definitions not in the control list itself [Article 5(3)] (If 'Yes', please provide further information below)</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>I. The national control list is publicly available [Article 5(4)] (if 'Yes', please provide information below as to how your control list is made publicly available - if available on the open internet please provide the hyperlink)</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>J. Additional voluntary information about non-obligatory aspects of a national control system</b> (please elaborate below - for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)		

**2. PROHIBITIONS**

<b>D. Additional voluntary information relevant to prohibitions under Article 6</b> (please elaborate below)

**3. EXPORTS**

<b>G. The national risk assessment procedure includes the consideration of risk mitigation measures that could be undertaken to mitigate identified risks [Article 7(2)] (if 'Yes' please elaborate below, including an indication of types of risk mitigation measures that are most often used)</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>H. The national control system allows exports of controlled equipment without a licence or under simplified procedure under certain circumstances [for instance</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<b>temporary exports or exports to trusted partners]</b> (if 'Yes' please provide further information below)		
<b>I. The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in 3.D above</b> (if 'Yes' please specify below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>J. Measures to exercise control over exports are applicable also to other categories of conventional arms than those covered in Articles 2(1), 3 and 4 [Article 5(3)]</b> (if 'Yes', please elaborate below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>K. An export authorization can be reassessed if new relevant information becomes available [Art 7(7)]</b> (if 'Yes', please provide further information below. Are there also legal provisions for suspension or withdrawal of a license?)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>L. Information / documentation included in an application for an export authorization</b> (please specify below)		
<b>M. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an export authorization [Article 5(5)]</b> (please specify below)		
<b>N. The national control system allows a State of final destination to request information concerning pending or actual export authorizations pertaining to it [Article 8(3)]</b> (if 'No', please elaborate below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>O. Additional voluntary information relevant to national export controls</b> (please specify below - for instance on the control of re-exports.)		

#### 4. IMPORTS

<b>D. Imports of conventional arms subject to control are under specific circumstances permitted without regulation or under simplified procedure</b> (if 'Yes' please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. Measures to regulate imports are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b> (if 'Yes', please elaborate below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>F. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an import authorization (when such an authorization is required) [Article 5(5)]</b>		

(please specify below)
<b>G. Information / documentation required for an import authorization</b> (please specify below)
<b>H. Additional voluntary information relevant to national import controls</b> (please specify below)

## 5. TRANSIT & TRANS-SHIPMENT

<b>E. Transit / trans-shipment of controlled equipment is permitted without regulation or under simplified procedure under certain circumstances (for instance in a free trade area)</b> (if 'Yes' please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>F. National control of transit and/or trans-shipment goes beyond the fulfillment of obligations under Article 6 of the Treaty</b> (if 'Yes', please specify the additional scope of control and indicate whether the additional control applies to all items in the national control list)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>G. Measures to regulate transit and/or trans-shipment are applicable also to other categories of conventional arms than those covered in Article 2(1)</b> [Article 5(3)] (if 'Yes', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>H. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a transit or trans-shipment authorization (when such an authorization is required)</b> [Article 5(5)] (please specify below)		
<b>I. Information / documentation required in an application for a transit / trans-shipment authorization</b> (please specify below)		
<b>J. Additional voluntary information relevant to national transit / trans-shipment controls</b> (please specify below)		

## 6. BROKERING

<b>D. National brokering controls contain exemptions (for instance for national armed forces or defence industry)</b> [Articles 6 & 10] (if 'Yes', please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. National brokering controls go beyond the fulfillment of obligations under</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<b>Article 6 of the Treaty (for instance regulating brokering in other situations)</b> (if 'Yes', please specify the additional scope of control)		
<b>F. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1)</b> [Article 5(3)] (if 'Yes', please elaborate below)		
	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>G. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a control measure related to brokering</b> [Article 5(5)] (please specify below)		
<b>H. Information / documentation required in an application related to brokering</b> (please elaborate below)		
<b>I. Additional voluntary information relevant to national brokering controls</b> (please specify below)		

## 7. DIVERSION

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

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

## 8. RECORD KEEPING

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

## 9. REPORTING

<b>B. Additional voluntary information relevant to national reporting</b> (please specify below, for instance if national reports are publicly available - if available on the open internet please provide the relevant hyperlink)
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## 10. ENFORCEMENT

<b>C. National measures have been taken to prevent, in cooperation with other States Parties, the transfer of conventional arms covered under Article 2(1) of the Treaty becoming subject to corrupt practices [Article 15(6)]</b> (please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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**D. Additional voluntary information relevant to national enforcement**

(please elaborate below - for instance measures taken to criminalize offences against national laws and regulations that implement the provisions of the Arms Trade Treaty and to prescribe legal penalties in these cases.)

**11. INTERNATIONAL COOPERATION****B. Additional voluntary information relevant to participation in international cooperation**

(please elaborate below - for instance in terms of the measures suggested in Article 15, or in terms of participation in international or regional cooperation in the transfer control area)

**12. INTERNATIONAL ASSISTANCE**

**B. National regulations and policy allow the provision of financial resources to the voluntary trust fund established under Article 16(3) of the Treaty**  
(if 'No', please elaborate below)

Yes No 

**C. Additional voluntary information relevant to the provision- or receipt of implementation assistance**  
(please specify below - for instance regarding assistance provision capacities or assistance needs,)

**13. DISPUTE SETTLEMENT**

**B. National regulations and policy allow for the settlement of disputes concerning the interpretation or application of the Treaty through recourse by mutual consent to arbitration as outlined in Article 19(2)**  
(if 'No', please elaborate below)

Yes No 

**C. Additional voluntary information relevant to dispute settlement under the terms of the Treaty**  
(please specify below)

## PROVISIONAL TEMPLATES FOR ANNUAL REPORTING

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

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

REPORT FOR THE CALENDAR YEAR \_\_\_\_\_

## National Point of Contact for this Report:

<b>Name :</b>	
<b>Organisation :</b>	
<b>Fixed Phone :</b>	
<b>Mobile Phone :</b>	
<b>Fax :</b>	
<b>E-mail :</b>	

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

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

## EXPORTS OF CONVENTIONAL ARMS<sup>1</sup>

- SHADED COLUMNS AND ROWS REPRESENT VOLUNTARY INFORMATION -

<b>Reporting country :</b>		<b>Calendar Year :</b>	<b>Cutoff date<sup>2</sup> :</b>
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<b>In this report, the following definition of the term exports was used<sup>3</sup> (check as appropriate) :</b>		
Physical transfer of items across a national border :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of title :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of control :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other (please provide a brief description below) :	Yes <input type="checkbox"/>	No <input type="checkbox"/>

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

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

Category of arms <sup>4</sup> [I-VIII]		Authorised or actual exports <sup>5</sup>		Extent of exports <sup>6</sup> (choose one or both)		Final importing State <sup>9</sup>	State of origin (if not exporter) <sup>10</sup>	Remarks <sup>11</sup>	
		Auth.	Act.	Number of items <sup>7</sup>	Value <sup>8</sup>			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
2.	Hand-held under-barrel and mounted grenade launchers	<input type="checkbox"/>	<input type="checkbox"/>						
3.	Portable anti-tank guns	<input type="checkbox"/>	<input type="checkbox"/>						
4.	Recoilless rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5.	Portable anti-tank missile launchers and rocket systems	<input type="checkbox"/>	<input type="checkbox"/>						
6.	Mortars of calibres less than 75 mm	<input type="checkbox"/>	<input type="checkbox"/>						
7.	Others	<input type="checkbox"/>	<input type="checkbox"/>						
<b>C. Voluntary National Categories<sup>18</sup></b> (please define in Annex 2)									
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						

This annual export report may be made publicly available	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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## IMPORTS OF CONVENTIONAL ARMS<sup>1</sup>

- SHADED COLUMNS AND ROWS REPRESENT VOLUNTARY INFORMATION -

<b>Reporting country :</b>		<b>Calendar Year :</b>	<b>Cutoff date<sup>2</sup> :</b>
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<b>In this report, the following definition of the term imports was used<sup>3</sup> (check as appropriate) :</b>		
Physical transfer of items across a national border :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of title :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Transfer of control :	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other (please provide a brief description below) :	Yes <input type="checkbox"/>	No <input type="checkbox"/>

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

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

Category of arms <sup>4</sup> [I-VIII]		Authorised or actual imports <sup>5</sup>		Extent of imports <sup>6</sup> (choose one or both)		Exporting State <sup>9</sup>	State of origin (if not exporter) <sup>10</sup>	Remarks <sup>11</sup>	
		Auth.	Act.	Number of items <sup>7</sup>	Value <sup>8</sup>			Description of Item	Comments on the transfer
1		2	3	4	5	6	7	8	9
2.	Hand-held under-barrel and mounted grenade launchers	<input type="checkbox"/>	<input type="checkbox"/>						
3.	Portable anti-tank guns	<input type="checkbox"/>	<input type="checkbox"/>						
4.	Recoilless rifles	<input type="checkbox"/>	<input type="checkbox"/>						
5.	Portable anti-tank missile launchers and rocket systems	<input type="checkbox"/>	<input type="checkbox"/>						
6.	Mortars of calibres less than 75 mm	<input type="checkbox"/>	<input type="checkbox"/>						
7.	Others	<input type="checkbox"/>	<input type="checkbox"/>						
<b>C. Voluntary National Categories<sup>18</sup></b> (please define in Annex 2)									
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						
		<input type="checkbox"/>	<input type="checkbox"/>						

This annual import report may be made publicly available

Yes

No

**EXPLANATORY NOTES**

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

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

## ANNEX 1

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

#### I. Battle tanks

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

#### II. Armoured combat vehicles

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

#### III. Large-calibre artillery systems

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

#### IV. Combat aircraft

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

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

#### V. Attack helicopters

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

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<sup>1</sup> Excerpted from the 2014 UN Registry reporting template

**VI. Warships**

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

**VII. Missiles and missile launchers<sup>2</sup>**

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

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

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

## ANNEX 2

<b>Reporting country :</b>		<b>Calendar Year :</b>	
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**Specific (diverging or more detailed) national definitions of categories I-VIII**  
(or simple reference to initial report, if this information was provided there)

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

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

No	Description

## ANNEX 3 A

**NIL REPORT**  
**Exports of Conventional Arms<sup>1</sup>**

<b>Reporting country :</b>		<b>Calendar Year :</b>	
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The Government of \_\_\_\_\_,

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

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

**ANNEX 3 B**

**NIL REPORT  
Imports of Conventional Arms<sup>1</sup>**

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

The Government of \_\_\_\_\_,

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

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

**ANNEX 4****Proposal by Sweden regarding a Working Group  
for intersessional work on reporting templates**

The First Conference of States Parties of the Arms Trade Treaty has considered provisional templates for the Treaty's mandatory reporting requirements in Article 13(1) and 13(3).

There is general agreement that further work is needed in this area, after more experience is gained a the first round of reporting, taking into account the experience gained by individual States Parties applying the provisional templates in their national system.

Such work would cover both the initial report and the annual report.

At the Final Preparatory Meeting in Geneva the facilitator for reporting templates also introduced a proposal by Argentina regarding a template for reporting under Article 13(2) of the Treaty (see document ATT/CSP1/2015/PM.2/WP.4/Rev.1).

In accordance with Article 17(4)f of the Treaty, the Conference of States Parties decides to establish a Working Group for Intersessional Work on Reporting Templates. The task of the Group shall be to continue work on reporting templates with a view to submitting the results for consideration at the Second Conference of States Parties.