

## THE ARMS TRADE TREATY

### REPORTING TEMPLATE

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

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

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

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

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

- if a provision in the text is prefaced with “shall” only, it is considered binding and information on that topic should be provided in the initial report.
- if a provision in the text has qualifiers, such as “shall...subject to its national laws”, or “shall...pursuant to national law”, or “shall...consistent with national law”, or “shall...where necessary/appropriate”, then a binding obligation is deemed to exist if certain pre-requisites are fulfilled. In this case, information on the topic should be provided in the initial report. If the pre-requisites are not fulfilled, the provision is deemed to be non-binding. In this case information need not be provided unless measures have in fact been taken in the national context to comply with such a provision.
- if States Parties are only encouraged to take, or invited to consider taking, certain actions, the provision is deemed non-binding. This category also includes qualifiers such as “may include...” or actions to be initiated “by mutual consent” with another State Party. Information should be provided if measures have been taken in the national context that fulfil this type of provision.

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

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

GOVERNMENT OF THE FEDERATIVE REPUBLIC OF BRAZIL

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

DATE OF REPORT 31/05/2023

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

1.1 GENERAL OVERVIEW

**A. Overview of legislation and ordinances governing the national control system [Article 5(2)]**

(Please list below. If the national control system is governed in whole or part by other means than legislation or ordinances, please indicate these also)

The **Brazilian national control system** is governed by Decree 9.607 (12 December 2018), which established the National Policy on the Import and Export of Defense Products (PNEI-PRODE). Available at: [http://www.planalto.gov.br/ccivil\\_03/\\_ato2015-2018/2018/decreto/d9607.htm](http://www.planalto.gov.br/ccivil_03/_ato2015-2018/2018/decreto/d9607.htm) [in Portuguese]

The **Brazilian national control list** can be found at the Ministerial Act SEPROD/SG-MD N° 5.216 (17 December 2021) - LIPROD  
Available at: <https://www.in.gov.br/en/web/dou/-/portaria-seprod/sg-md-n-5.216-de-17-de-dezembro-de-2021-369376126> [in Portuguese]

The Arms Trade Treaty (ATT) was incorporated to Brazil's domestic legislation by the Executive Decree 11.173 (15 August 2022).  
Available at: [https://www.planalto.gov.br/ccivil\\_03/\\_ato2019-2022/2022/decreto/d11173.htm](https://www.planalto.gov.br/ccivil_03/_ato2019-2022/2022/decreto/d11173.htm) [in Portuguese]

Regarding small arms and light weapons, the control system includes:

- i. Federal No. 10.826 (December 22nd 2003), amended by Law 10.867 (May 12th 2004) — on registration, possession and commerce of small arms as well as the National Weapons System (Sinarm) - [http://www.planalto.gov.br/ccivil\\_03/leis/2003/110.826.htm](http://www.planalto.gov.br/ccivil_03/leis/2003/110.826.htm)
- ii. Decree No. 9.847 (25 June 2019) — regulates the implementation of Law No. 10.826; This norm had some articles amended by Decree n° 11.366, of 1st Jan 23;
- iii. Decree No 10.030 (30 September 2019), regulation on Army-controlled products – regulates the activities (manufacture, use, import, export, customs clearance, transit and trade) involving products controlled by the Brazilian Army;
- iv. Ministerial Ordinance No. 7 (April 28th 2006) – issued by the Logistics Department of the Ministry of Defense to regulate the marking of firearms;
- v. Ministerial Act No. 16 (December 28th 2004) – issued by the Logistics Department of the Ministry of Defense to regulate the marking of ammunition.
- vi. Ordinance No. 214, COLOG/C EX, of 15 Sep 21 — edited by the Army Logistic Command to regulate the marking of ammunition, within the scope of the Inspection System for Products Controlled by the Army.

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<b>B. The national control system includes the following:</b>		Yes	No
i)	a national control list [Article 5(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	competent national authorities [Article 5(5)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	one or more national points of contact to exchange information on ATT implementation [Article 5(6)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If 'Yes' to any of the items above, please consider providing further information. If 'No' to any of the items above, please explain in more detail.			
i)	The updated national control list is established by the Ministerial Act SEPROD/SG-MD N° 6.081 (December 16 <sup>th</sup> , 2022) Available at: <a href="https://www.in.gov.br/en/web/dou/-/portaria-seprod/sg-md-n-6.081-de-16-de-dezembro-de-2022-451620670">https://www.in.gov.br/en/web/dou/-/portaria-seprod/sg-md-n-6.081-de-16-de-dezembro-de-2022-451620670</a> [in Portuguese].		
ii)	<b>Competent National Authorities:</b> Commander of the Brazilian Army Ministry of Defense		
iii)	<b>National Points of Contact:</b> - Division for Disarmament and Sensitive Technologies Ministry of Foreign Affairs of Brazil dds@itamaraty.gov.br +55 61 2030 8660 - Office of International Organizations, Ministry of Defense of Brazil scoi@defesa.gov.br +55 61 33124122		
<b>C. Additional voluntary information about the national control system</b> (Please elaborate below - for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)			
Brazil's national control is mostly performed by the Ministry of Defense, which bears the ultimate competence to issue import/export licenses. The Ministry of Defense carries out the administrative procedures and, previously to the final issuance of export licenses to specific products, the MoD must consult with the Ministry of Foreign Affairs.			
<b>1.2 NATIONAL CONTROL LIST</b>			
<b>D. The national control list covers the following arms:</b>		Yes	No
i)	Battle tanks [Article 2(1)(a)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	Armored combat vehicles [Article 2(1)(b)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	Large-caliber artillery systems [Article 2(1)(c)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iv)	Combat aircraft [Article 2(1)(d)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
v)	Attack helicopters [Article 2(1)(e)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
vi)	Warships [Article 2(1)(f)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
vii)	Missiles and missile launchers [Article 2(1)(g)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
vii)	Small arms and light weapons [Article 2(1)(h)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>The national control list also includes the following items, in order to enable the application of Articles 3 and 4:</b>		Yes	No
ix)	Ammunition/Munitions for the conventional arms covered in Article 2(1) [for the application of Article 3]	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>

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If 'Yes' to any of the items above, please consider providing further information. If 'No' to any of the items above, please explain in more detail below			
Specifications provided by the national control list (see Ministerial Act SEPROD/SG-MD N° 6.081 (16 December 2022))			
<b>E. Does your State maintain a national control list for the following types of transfers? [Articles 2(2) &amp; 5(2)]:</b>		Yes	No
i)	Export	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	Import	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	Transit or trans-shipment	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iv)	Brokering	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>F. Does the same control list apply to all these types of transfers (or do you maintain different lists for different types of transfers)?</b> (If 'No', please explain)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Brazil's national control list applies to exports and imports alike.			
<b>G. 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 checked="" 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			
Control on arms for recreational, cultural, historical and sporting purposes are mostly regulated by Decree 10.030 (30 September 2019).			
<b>H. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)]</b> (If 'Yes', please specify below what the additional categories are)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Besides the ATT categories, Brazil's national control list also includes: <ul style="list-style-type: none"> <li>- Explosives and propellants</li> <li>- Military training equipment and simulators</li> <li>- Electronic and space military equipment</li> <li>- Systems of firing control, surveillance and alert</li> <li>- Less-lethal weapons and ammunition/ Direct energy weapons</li> <li>- Optic instruments</li> <li>- Ballistic armors</li> <li>- Command and control systems, encrypted systems, and cyber warfare systems</li> <li>- Pyrotechnics</li> <li>- Machines and Equipment (employed in the manufacturing of nitrogen chemical compost, explosives, nuclear reactors, machines for separation of isotopes, non-irradiated fuel elements)</li> </ul>			
<b>I. Are items on the national control list defined? [Article 5(3)]</b> (If 'Yes', which definition(s) or descriptions do you use:		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
i)	United Nations Register of Conventional Arms [Article 5(3)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	National definitions	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	Other (please specify, e.g. Wassenaar Arrangement, EU Common Military List, etc.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
- United States Munition List-USML - European control: Liste des Matériels de Guerre et Matériels Assimilés et des Produits Liés à la Défense Première Portie			
<b>J. The national control list is publicly available [Article 5(4)]</b> (If 'Yes', please provide information below as to how your control list is made publicly available - if available on the open internet please provide the hyperlink. If 'No', please explain)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
The Ministerial Act is available in Portuguese on the following link: <a href="https://www.in.gov.br/en/web/dou/-/portaria-seprod/sg-md-n-6.081-de-16-de-dezembro-de-2022-451620670">https://www.in.gov.br/en/web/dou/-/portaria-seprod/sg-md-n-6.081-de-16-de-dezembro-de-2022-451620670</a> [in Portuguese].			
<b>1.3 NATIONAL POINT(S) OF CONTACT</b>			

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<b>K. The contact details of the national point(s) of contact are as follows [Article 5(6)]:</b>			
<b>Name:</b>	<b>Counselor Cláudio Medeiros Leopoldino</b>	<b>Mr.</b> <input checked="" type="checkbox"/>	<b>Ms.</b> <input type="checkbox"/>
<b>Position/Job:</b>	<b>Diplomat/ Head of the Division for Disarmament and Sensitive Technologies</b>		
<b>Ministry:</b>	<b>Ministry of Foreign Affairs of Brazil</b>		
<b>Agency/Department:</b>	<b>Department of Strategic Affairs, Defense and Disarmament</b>		
<b>Email address (individual and/or institutional) :</b>	<b>dds@itamaraty.gov.br</b> <b>claudio.leopoldino@itamaraty.gov.br</b>  <b>Also contact (MoD): Office of International Organizations, Ministry of Defense of Brazil - scoi@defesa.gov.br (+55 61 33124122)</b>		
<b>Telephone no.:</b>	<b>+55 61 20308660</b>		
<b>Address:</b>	<b>Ministry of Foreign Affairs of Brazil</b> <b>Esplanada dos Ministérios, bloco H,</b> <b>Anexo I, 427</b>		

**2. PROHIBITIONS**

<b>A. The national control system prohibits authorization of transfers as defined by Article 2(2), of conventional arms covered under Article 2(1) and items covered under Articles 3 and 4, if:</b>		Yes	No
i)	the transfer would violate its obligations under measures adopted by the United Nations Security Council acting under Chapter VII of the Charter of the United Nations, in particular arms embargoes [Article 6(1)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	the transfer would violate its relevant international obligations under international agreements to which it is a Party, in particular those relating to the transfer of, or illicit trafficking in, conventional arms [Article 6(2)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	the State Party has knowledge at the time of authorization that the arms or items would be used in the commission of genocide, crimes against humanity, grave breaches of the Geneva Conventions of 1949, attacks directed against civilian objects or civilians protected as such, or other war crimes as defined by international agreements to which it is a Party [Article 6(3)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<p>(If 'Yes', please consider providing further information. If 'No' in any respect, please elaborate below)</p> <p>The Decree 11.173 (15 August 2022) incorporates to the Brazilian legal system the full text of the ATT, which includes the prohibitions listed above.</p> <p>The National Policy on the Import and Export of Defense Products (Decree 9.607 – December 12<sup>th</sup>, 2018) also determines that governmental agents involved in export/import procedures shall observe these prohibitions (Article 3).</p>			
<b>B. Which international agreements that you are a Party to do you consider relevant for the application of Article 6(2)?</b>			

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(Please list below. Please be advised that the ATT Secretariat maintains a non exhaustive list of examples of the international agreements other States Parties have reported 'are relevant' to Article 6(2) in their Initial Reports. The list is available at <https://www.thearmstradetreaty.org/initial-report-list-of-examples-for-q-2-b-2-c.html> . States Parties are welcome to consult the list when preparing their answer to this question.)

- 1945 Charter of the United Nations
- 1970 Nuclear Non Proliferation Treaty (NPT)
- 1972 Convention on the Prohibition of the Development, Production and Stockpiling of Bacteriological (Biological) and Toxin Weapons and on their Destruction (BWC/BTWC)
- 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 as amended on 21 December 2001 (CCW)
- 1980 CCW Protocol I on Non-Detectable Fragments
- 1980 CCW Protocol II on Prohibitions or Restrictions on the Use of Mines, Booby Traps and Other Devices as amended on 03 May 1996
- 1980 CCW Protocol III on Prohibitions or Restrictions on the Use of Incendiary Weapons
- 1995 CCW Protocol IV on Blinding Laser Weapons
- 2003 CCW Protocol V on Explosive Remnants of War
- 1993 The Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on their Destruction (the Chemical Weapons Convention or CWC)
- 1997 Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-Personnel Mines and on their Destruction
- 2000 United Nations Convention against Transnational Organized Crime (UNTOC)
- 2001 UNTOC Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition
- 2001 UNTOC Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children
- 2001 UNTOC Protocol against the Smuggling of Migrants by Land, Sea and Air
- 2003 United Nations Convention against Corruption

**C. Which international agreements are you a Party to and do you consider relevant for defining 'war crimes' in the context of Article 6(3)**

(Please list below. Please be advised that the ATT Secretariat maintains a non exhaustive list of examples of the international agreements other States Parties have reported 'are relevant' to Article 6(3) in their Initial Reports. The list is available at <https://www.thearmstradetreaty.org/initial-report-list-of-examples-for-q-2-b-2-c.html> . States Parties are welcome to consult the list when preparing their answer to this question.)

- 1899 Hague Regulations
- 1907 Hague Regulations
- 1948 Convention on the Prevention and Punishment of the Crime of Genocide
- 1949 Geneva Conventions
- 1949 Geneva Conventions: Common Article 3
- 1954 Hague Convention for the Protection of Cultural Property in the Event of Armed Conflict
- 1954 Hague Protocol for the Protection of Cultural Property in the Event of Armed Conflict
- 1977 Protocol I to the Geneva Conventions
- 1977 Protocol II to the Geneva Conventions
- 1994 Convention on the Safety of United Nations and Associated Personnel
- 1995 Protocol on Blinding Laser Weapons
- 1996 Protocol II to the Convention on the Use of Certain Conventional Weapons
- 1997 Anti-Personnel Mine Ban Treaty
- 1998 Rome Statute of the International Criminal Court
- 1999 Second Protocol to the Hague Convention of 1954 for the Protection of Cultural Property in the Event of Armed Conflict

**D. Do you have guidelines on the application of the prohibitions to an individual case?**

(If 'Yes', please provide further information)

Yes

No

**E. Additional voluntary information relevant to prohibitions under Article 6**

(Please elaborate below - for instance: if prohibitions are applied to a wider range of products than defined in Articles 2(1), 3 and 4; the national interpretation of key concepts in Article 6)

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**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 checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	export assessment criteria [Article 7]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	a risk assessment procedure [Article 7]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If 'No' to any of the items above, please explain in more detail below			
<b>B. National legislation, regulations or administrative procedures include a definition of export [Articles 6(1) to 6(3) and Article 7]</b> (If 'Yes', please specify. If 'No', please explain.)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Brazil's National Policy on the Import and Export of Defense Products considers export operations the following (article 8):			
<p>I- shipment of controlled products referring to international purchase and sale contracts;</p> <p>II- operations of technological, industrial or commercial compensation;</p> <p>III- donations;</p> <p>IV- sending samples for tests, to observers and participation in fairs or international exhibitions;</p> <p>V- sending controlled products for maintenance or repair;</p> <p>VI- sending supplies and equipment to the Brazilian Armed Forces operating abroad;</p> <p>VII- sending samples of consumable material</p> <ul style="list-style-type: none"> <li>• The activities dealt with in items IV and V will be classified as temporary exports</li> <li>• The activities referred to in item VI of the caput will be classified as temporary external activities, with the exception of supplies and consumable materials.</li> <li>• Other operations or actions not listed above and that are related to shipments, technology transfer or provision of technical services directly related to controlled products will also be considered export operations and will be subject to the provisions of Brazil's National Policy.</li> </ul>			
<b>C. National export controls apply to all 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 checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>D. The competent national authority(-ies) for the control of exports [Article 5(5)]</b> (Please specify the Ministry, Government Agency or Department below)			
Ministry of Defense Army Command (Brazilian Army)			
<b>E. The national risk assessment procedure includes all the criteria described in Article 7(1)(a) and (b), and Article 7(4)</b> (If 'Yes', please consider providing further information. If 'No' in any respect, please elaborate below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>F. If a risk is identified, does the State ever consider whether there are measures that could be undertaken to mitigate identified risks [Article 7(2)]</b> (If 'Yes' please give examples when mitigation measures are considered and the types of risk mitigation measures that are most often used)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Preliminary procedures to ensure the suitability of the export operations (articles 10-20 of the National Policy on Defense Products) are mainly applied to aver risks involved in transfers of armaments. The use of End User Certificates is one of the main instruments to avert such risks and to act in a non-discriminatory manner. In cases where there is risk, the certificates can be validated through direct contact with government authorities of the imported country.			
<b>G. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)]</b>		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

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(If 'Yes', please consider providing further information. If 'No', please provide further information below)		
<b>H. The national control system allows appropriate information about an export authorization to be made available, upon request, to the importing State Party and/or to the transit or trans-shipment States Parties [Article 7(6)]</b> (If 'No' please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Article 38 of the National Policy on Defense Products dictates that: The information referring to the export and import processes of defense products are considered of <b>restricted access</b> to be granted <b>only to the parties of export processes involving the transfer of defense products</b> . The Ministry of Defense also supports this measure, carrying out export controls as determined by Art. 7 of ATT.		
<b>I. The national control system allows exports of controlled equipment without a licence or under simplified procedure under certain circumstances [for instance temporary exports or exports to trusted partners]</b> (If 'Yes' please provide further information below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Brazil's National Policy established different levels of control that are discriminated in the national control list. To specific items, an automatic license may be issued by the MoD. - Temporary Export – Simplified process (Determined by PNEI-PRODE and LIPRODE). - Some items, parts and pieces - Simplified process level (knowledge and consent level 1)		
<b>J. Do you have guidelines on the application of the export assessment requirements to an individual case?</b> (If 'Yes', please provide further information)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>K. The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in 3.E above</b> (If 'Yes' please specify below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
As provided for in Article 3 of Decree No. 9.607/18, in addition, the Ministry of Defense attends the following principles: Imperatives of national defense, the objectives of the country's foreign policy, the international treaties to which Brazil is Party and other international commitments as well as the operational capacity of the Armed Forces.		
<b>L. 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 checked="" type="checkbox"/>	No <input type="checkbox"/>
Besides the ATT categories, Brazil's national control list also includes: <ul style="list-style-type: none"> <li>- Explosives and propellants</li> <li>- Military training equipment and simulators</li> <li>- Electronic and space military equipment</li> <li>- Systems of firing control, surveillance and alert</li> <li>- Less-lethal weapons and ammunition/ Direct energy weapons</li> <li>- Optic instruments</li> <li>- Ballistic armors</li> <li>- Command and control systems, encrypted systems, and cyber warfare systems</li> <li>- Pyrotechnics</li> <li>- Machines and Equipment (employed in the manufacturing of nitrogen chemical compost, explosives, nuclear reactors, machines for separation of isotopes, non-irradiated fuel elements)</li> </ul>		
<b>M. An export authorization can be reassessed if new relevant information becomes available [Article 7(7)]</b> (If 'Yes', please provide further information below.)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
The authorization for preliminary negotiations and the approval of the export operation granted during the preliminary procedures phase may be canceled at any time, in the event of modification of the conditions that allowed its concessions or in the face of new facts identified by the bodies involved (National Policy, Article 19)		
<b>N. Are there measures in place to suspend or withdraw a license? [Article 7(7)]</b> (If 'Yes', please elaborate under which circumstances. For example, such a provision might exist with respect to arms embargoes but not otherwise. If 'No', please explain.)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

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Art. 7 of the ATT and Art. 3 of PNEI-PRODE.		
<b>O. Information / documentation included in an application for an export authorization</b> (Please specify below)		
- Information provided by the exporting company regarding the end user; - End User Certificate - When required, the contract.		
<b>P. 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)		
Ministry of Foreign Affairs Ministry of Defense		
<b>Q. The national control system provides information requested of it by a State of final destination concerning pending or actual export authorizations pertaining to it [Article 8(3)]</b> (If 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
- Pending Inquiry Tool (ME) - Consultation instrument in the MDIC (Single Portal) – Ministry of Foreign Trade and Development		
<b>R. Additional voluntary information relevant to national export controls</b> (Please specify below - for instance: on the control of re-exports, or further detail on relevant national measures; the national interpretation of key concepts in Article 7)		

### 4. IMPORTS

<b>A. The national control system includes measures to prevent imports of conventional arms covered under Article 2(1) [Article 8(2)], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [Articles 6(1) to 6(3)]</b> (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<p>The Decree 11.173 (August 15<sup>th</sup>, 2022) incorporates to the Brazilian legal system the full text of the ATT, which includes the prohibitions listed above.</p> <p>The National Policy on Defense Products (Decree 9.607 – December 12<sup>th</sup>, 2018) also determines that governmental agents involved in export/import procedures shall observe these prohibitions (Article 3).</p> <p>The Brazilian national control list can be found at SEPROD/SG-MD N<sup>o</sup> 6.081 ordinance (16 December 2022) LIPRODE</p>		
If 'Yes', please also answer the following question		
<b>B. The competent national authority(-ies) for the regulation of imports [Article 5(5)]</b> (Please specify the Ministry, Government Agency or Department below)		
Ministry of Defense		
<b>C. National legislation, regulations or administrative procedures include a definition of import [Articles 6(1) to 6(3) and Article 8]</b> (If 'Yes', please specify. If 'No', please explain.)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<p>Brazil's National Policy on the Import and Export of Defense Products considers import operations the following (article 25):</p> <p>I - entry or internalization of controlled products referring to international purchase and sale contracts;            II – operations of technological, industrial or commercial compensation;            III - receipt of donations;            IV - receipt of samples for tests, demonstrations and participation in national fairs or exhibitions;            V - receipt of controlled products for maintenance or repair;</p>		

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<p>VI – entry of controlled products to be employed to the security service of foreign dignitaries on an official visit to the country;</p> <p>VII - receipt of samples of consumable material;</p> <p>VIII - entry of materials and equipment acquired by the Brazilian Armed Forces in operations abroad.</p> <ul style="list-style-type: none"> <li>• The activities described in items IV to item VI of the caput will be classified as temporary admission imports.</li> <li>• In the event of consumable controlled products falling within the provisions of item VII above, a supporting report on consumption, issued by the importer, shall be forwarded to the Defense Products Secretariat of the Ministry of Defense.</li> <li>• Other operations or actions listed in the caput that are related to entry or internalization into Brazilian territory, transfer of technology or provision of technical services directly related to Prode will also be considered import operations and will be subject to the provisions of this Decree.</li> </ul>		
<p><b>D. The national control system allows the State to provide, pursuant to national law and upon request, appropriate and relevant information to assist another State Party that is conducting an export assessment [Article 8(1)]</b> (If ‘No’, please elaborate below)</p>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<p>The Ministry of Defense is the competent authority to issue the End User Certificate.</p>		
<p><b>E. Imports of conventional arms subject to regulation are, under specific circumstances, permitted without specific authorization or under simplified procedure</b> (If ‘Yes’ please provide further information below)</p>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<p>Brazil’s National Policy establishes different levels of control that are discriminated in the national control list. To specific items, an automatic license may be issued by the MoD.</p>		
<p><b>F. 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)</p>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<p>Besides the ATT categories, Brazil’s national control list also includes:</p> <ul style="list-style-type: none"> <li>- Explosives and propellants</li> <li>- Military training equipment and simulators</li> <li>- Electronic and space military equipment</li> <li>- Systems of firing control, surveillance and alert</li> <li>- Less-lethal weapons and ammunition/ Direct energy weapons</li> <li>- Optic instruments</li> <li>- Ballistic armors</li> <li>- Command and control systems, encrypted systems, and cyber warfare systems</li> <li>- Pyrotechnics</li> <li>- Machines and Equipment (employed in the manufacturing of nitrogen chemical compost, explosives, nuclear reactors, machines for separation of isotopes, non-irradiated fuel elements)</li> </ul>		
<p><b>G. 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)</p>		
<p>Ministry of Defense Ministry of Foreign Affairs</p>		
<p><b>H. Information / documentation required for an import authorization</b> (Please specify below)</p>		
<ul style="list-style-type: none"> <li>- Information provided by the importing company regarding the operation;</li> <li>- End User Certificate (issued by the MoD of Brazil)</li> <li>- When required, the contract.</li> </ul>		
<p><b>I. Additional voluntary information relevant to national import controls</b> (Please specify below)</p>		
<p> </p>		

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5. TRANSIT & TRANS-SHIPMENT

<p><b>A. The national control system includes measures to prevent the transit of conventional arms covered under Article 2(1) [Article 9], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [Articles 6(1) to 6(3)]</b> (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)</p>	<p>Yes <input checked="" type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	
<p><b>B. The national control system includes measures to prevent the trans-shipment of conventional arms covered under Article 2(1) [Article 9], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [Articles 6(1) to 6(3)]</b> (If 'Yes', please provide further information below on the nature of control measures and confirm whether they apply to all items in the national control list. If 'No', please elaborate below)</p>	<p>Yes <input checked="" type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	
<p><b>C. National legislation, regulations or administrative procedures include a definition of transit [Articles 6(1) to 6(3) and Article 9]</b> (If 'Yes', please specify. If 'No', please explain.)</p>	<p>Yes <input checked="" type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	
<p><b>D. National legislation, regulations or administrative procedures include a definition of trans-shipment [Articles 6(1) to 6(3) and Article 9]</b> (If 'Yes', please specify. If 'No', please explain.)</p>	<p>Yes <input checked="" type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	
<p>National legislation (Law 10.826, 22 December 2003).</p>			
<p><b>E. Measures to regulate transit and/or trans-shipment cover :</b> (If 'Yes' to (ii) or (iii), please indicate in the free text field how enforcement is conceived - systematic control or only when information is available?)</p>	<p>Yes</p>	<p>No</p>	
<p>i)</p>	<p>Transit / trans-shipment through land territory (including internal waters)</p>	<p><input checked="" type="checkbox"/></p>	<p><input type="checkbox"/></p>
<p>ii)</p>	<p>Transit / trans-shipment through territorial waters</p>	<p><input checked="" type="checkbox"/></p>	<p><input type="checkbox"/></p>
<p>iii)</p>	<p>Transit / trans-shipment through national air space</p>	<p><input checked="" type="checkbox"/></p>	<p><input type="checkbox"/></p>
<p><b>F. Does your State apply control measures to prevent transit and trans-shipment other than in violation of the prohibitions in Article 6?</b> (If 'Yes', please specify the other control measures that your States applies to transit and trans-shipment.)</p>	<p>Yes <input checked="" type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	
<p>National legislation (Law 10.826, 22 December 2003) also regulate the criminal aspects of transfers of armaments and ammunition.</p>			
<p><b>G. The competent national authority(-ies) for the regulation of transit and trans-shipment [Article 5(5)]</b> (Please specify below)</p>			
<p>Army Command (Comando do Exército), according to article 24, Federal Law 10.826, 22 December 2003. Art. 24. Except for the attributions referred to in art. 2 of this Law, it is incumbent upon the Army Command to authorize and supervise the production, export, import, customs clearance and trade of firearms and other controlled products, including the registration and carrying of firearms for collectors, shooters and hunters.</p>			
<p><b>H. Transit / trans-shipment of controlled equipment is permitted without a specific authorization or under simplified procedure under certain circumstances (for instance in a free trade area)</b> (If 'Yes' please provide further information below)</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	
<p><b>I. Measures to regulate transit and/or trans-shipment are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	

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(If 'Yes', please elaborate below)		
<b>J. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a transit or trans-shipment authorization (when such an authorization is required) [Article 5(5)]</b> (Please specify below)		
<b>K. Information / documentation required in an application for a transit / trans-shipment authorization</b> (Please specify below)		
<b>L. Additional voluntary information relevant to national transit / trans-shipment controls</b> (Please specify below)		

**6. BROKERING**

<b>A. The national control system includes measures to prevent the brokering of conventional arms covered under Article 2(1) [Article 10], as well as items covered under Articles 3 and 4 in violation of the prohibitions in Article 6. [Articles 6(1) to 6(3)]</b> (Pf '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 checked="" type="checkbox"/>	No <input type="checkbox"/>
Decree 1030, of 30 September 2019, establishes, in its <b>Arts. 6 and 7</b> , the obligation of registering individuals or companies before the Army Command to exercise, in their own capacity or outsourced, the activities of "provision of services" related to controlled products, subject to control. <b>Art. 39.</b> The provision of services includes transport, storage, maintenance, repair, application of ballistic armor, training in the use of controlled products, detonation, destruction of controlled products, leasing, courier services, <b>representation self-employed commercial and the service of legal attorney</b> for people who work with controlled products.			
If 'Yes', please also answer the following question			
<b>B. The measures to regulate brokering include:</b>		Yes	No
i)	Requiring brokers to register before engaging in brokering [Article 10]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	Requiring brokers to obtain written authorization before engaging in brokering [Article 10]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>
<b>C. National legislation, regulations or administrative procedures include a definition of brokering [Articles 6(1) to 6(3) and Article 10]</b> (If 'Yes', please specify. If 'No', please explain.)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
In the Brazilian legislation, "brokering" amounts to autonomous commercial representation, being regulated as such (article 39, §4, Decree 1030, of 30 September 2019).			
<b>D. Does your State apply control measures to prevent brokering other than in violation of the prohibitions in Article 6?</b> (If 'Yes', please specify the other control measures that your States applies to brokering)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Illicit brokering activities are criminally typified by Federal Law 10826, of 22 December 2003, as "International firearms trafficking": Art. 18. Import, export, <b>facilitate the entry or exit of the national territory, in any capacity</b> , of a firearm, accessory or ammunition, without authorization from the competent authority:			

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Penalty - imprisonment, from 8 (eight) to 16 (sixteen) years, and fine.		
<b>E. The competent national authority(-ies) for the regulation of brokering [Article 5(5)]</b> (Please specify below)		
Army Command (Brazilian Army) Decree 1030, of 30 September 2019, article 6: It is incumbent upon the Army Command to regulate, authorize and supervise the exercise, by <b>individuals or legal entities</b> , of activities related to controlled products manufacture, trade, import, export, use, <b>provision of services</b> , collection, sport shooting or hunting products.		
<b>F. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 &amp; 10]</b> (If 'Yes', please provide further information below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>G. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)]</b> (If 'Yes', please elaborate below)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>H. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a control measure related to brokering [Article 5(5)]</b> (Please specify below)		
<b>I. Information / documentation required in an application related to brokering</b> (Please elaborate below)		
<b>J. Additional voluntary information relevant to national brokering controls</b> (Please specify below)		

### 7. DIVERSION

<b>A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]</b>	Yes	No
i) assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)	<input checked="" 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 checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>
<b>C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)] :</b>	Yes	No

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i)	establishment of mitigation measures [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
ii)	provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]	<input type="checkbox"/>	<input type="checkbox"/>
iv)	examination, where appropriate, of parties involved in a transfer [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
v)	requirement, where appropriate, for additional documentation, certificates, assurances for a transfer [Article 11(2)]	<input type="checkbox"/>	<input type="checkbox"/>
vi)	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"/>
vii)	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"/>
viii)	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 [Article 11(4)]</b>			
		Yes	No
i)	alerting potentially affected States Parties	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	investigative and law enforcement measures at the national level	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iii)	using international tracing mechanisms to identify points of diversion	<input checked="" type="checkbox"/>	<input type="checkbox"/>
iv)	other measures (if 'Yes', please specify below)	<input type="checkbox"/>	<input checked="" 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>A. The national control system includes provisions for maintaining records regarding:</b> [Article 12(1)] (it is mandatory to retain records for one of the two options below)		Yes	No
i)	issued authorizations for the export of conventional arms covered under Article 2(1) [Article 12(1)]	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ii)	actual exports of conventional arms covered under Article 2(1) [Article 12(1)] (if 'No' to both (i) and (ii), please elaborate below)	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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<b>B. Records are kept for a minimum of 10 years [Article 12(4)]</b> (If 'Yes', please elaborate for how many years records are kept. If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>C. The national control system includes provisions for maintaining records regarding :</b>		Yes	No
i)	imports of conventional arms covered under Article 2(1) 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) [Article 12(2)]	<input type="checkbox"/>	<input type="checkbox"/>
iii)	authorizations related to the conduct of brokering activities included in the scope of the national control system (for instance relating to a register of brokers) [Article 10]	<input type="checkbox"/>	<input type="checkbox"/>
<b>D. Records cover other categories of conventional arms than those specified in Article 2(1)</b> (If 'Yes', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. Additional voluntary information relevant to national record keeping</b> (Please specify below - for instance types of information preserved in national records for exports and imports respectively)			

### 9. REPORTING

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

### 10. ENFORCEMENT

<b>A. Measures are in place that provide the ability to enforce of the national laws and regulations that implement the provisions of the Arms Trade Treaty [Article 14]</b> (If 'No', please elaborate below)	Yes <input checked="" 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>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

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(If 'No', please elaborate below)		
<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 checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>D. Additional voluntary information relevant to national enforcement</b> (Please elaborate below - for instance measures taken to criminalize offences against national laws and regulations that implement the provisions of the Arms Trade Treaty and to prescribe legal penalties in these cases.)		

### 11. INTERNATIONAL COOPERATION

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

### 12. INTERNATIONAL ASSISTANCE

<b>A. National regulations and policy allow for the provision - upon request and if in a position to do so - of implementation assistance as set out in Article 16(1)</b> (If 'No', please elaborate below)		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>B. The State is in a position to provide assistance with the following:</b>		Yes	No
i)	Establishing and/or maintaining a national control system [Article 5(2)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Establishing and/or maintaining a national control list [Articles 5(2)-(4)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Designating competent national authority (-ies) [Article 5(4)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Designating a national point of contact(s) [Article 5(6)] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>

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

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vi)	Establishing measures to regulate the import of arms [Article 8] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
vii)	Establishing measures to regulate the transit and trans-shipment of arms [Article 9] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
viii)	Establishing measures to regulate the brokering of arms [Article 10] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
ix)	Establishing measures to prevent and address diversion [Article 11] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
x)	Record-keeping [Article 12] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
xi)	Reporting [Article 13] (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
xii)	Other (if 'Yes', please specify below)	<input type="checkbox"/>	<input type="checkbox"/>
<b>D. National regulations and policy allow for contribution of financial resources to the Voluntary Trust Fund established under Article 16(3) of the Treaty</b> (If 'No', please elaborate below)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>E. Additional voluntary information relevant to the provision- or receipt of implementation assistance</b> (Please specify below - for instance regarding assistance provision capacities or assistance needs,)			

### 13. DISPUTE SETTLEMENT

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

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ANNEX A. Summary of updates to the previous Initial Report

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

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