

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

Government of	Japan	
This Initial Report may be made publicly available.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

Updated following two sections:

1. 1.D The link of English translation for revised Foreign Exchange and Foreign Trade Act based on its amendment in 2017.

2. 7.C Updated the link for summary of the Three Principles on Transfer of Defense Equipment and Technology .

# 1 NATIONAL CONTROL SYSTEM AND LIST

A. Does your State maintain a national system for controlling or regulating:  
[Articles 3, 4, 5.2, 8, 9, 10]

	<u>Yes</u>	<u>No</u>
i) Export	X	<input type="checkbox"/>
ii) Import	X	<input type="checkbox"/>
iii) Transit / Transshipment	X	<input type="checkbox"/>
a) By land		
b) By sea	X	<input type="checkbox"/>
c) By air	X	<input type="checkbox"/>
iv) Brokering	X	<input type="checkbox"/>

B. For which activities does your State maintain a national control list of conventional arms:  
[Article 2.2 and Article 5.2]

	<u>Yes</u>	<u>No</u>
i) Export	X	<input type="checkbox"/>
ii) Import	X	<input type="checkbox"/>
iii) Transit / Transshipment	X	<input type="checkbox"/>
iv) Brokering	X	<input type="checkbox"/>

C. Does your national control list cover the following:  
[Articles 2.1, 3, 4, and 5.2]

	<u>Yes</u>	<u>No</u>
i) Battle tanks [Article 2.1]	X	<input type="checkbox"/>
ii) Armored combat vehicles [Article 2.1]	X	<input type="checkbox"/>
iii) Large-caliber artillery systems [Article 2.1]	X	<input type="checkbox"/>
iv) Combat aircraft [Article 2.1]	X	<input type="checkbox"/>
v) Attack helicopters [Article 2.1]	X	<input type="checkbox"/>
vi) Warships [Article 2.1]	X	<input type="checkbox"/>
vii) Missiles and missile launchers [Article 2.1]	X	<input type="checkbox"/>
viii) Small arms and light weapons [Article 2.1]	X	<input type="checkbox"/>
ix) Ammunition / Munitions for the above items [Article 3]	X	<input type="checkbox"/>
x) Parts and components requiring control for the above items [Article 4]	X	<input type="checkbox"/>

D. Is/are your national control list(s) publicly available? [Article 5.3]

<u>Yes</u>	<u>No</u>
X	<input type="checkbox"/>

i) If yes, please provide a copy or link to where your control list is made publicly available.

<http://www.japaneselawtranslation.go.jp/law/detail/?printID=&id=3066&re=01&vm=02>

ii) If no, please provide a copy of your control list or provide information on the additional items that are covered.

E. Are the controlled items defined? [Article 5.3]

<u>Yes</u>	<u>No</u>
X	<input type="checkbox"/>

i) If yes, which definition(s) do you use? (e.g. Wassenaar, United Nations Register of Conventional Arms, National definitions, etc.)

national definitions

## 2 EXPORTS

	Yes	No	Details / reference / Web link / additional comments	Do not know
A) Is the control of arms exports established in national legislation? [Article 5.5]	X	<input type="checkbox"/>		<input type="checkbox"/>
B) Which Ministry/ies or government agency/ies is/are responsible for implementing controls on arms exports? [Article 5.5]	Ministry of Economy, Trade and Industry (METI)			<input type="checkbox"/>
i) Which Ministry or agency leads this process? [Article 5.5]	METI			<input type="checkbox"/>
C) Does your State take measures to ensure that all authorizations are detailed and issued prior to export? [Article 7.5]	X	<input type="checkbox"/>		<input type="checkbox"/>
i) If yes, what measures does your State take to ensure that all authorizations are detailed and issued prior to export?	Detailed information is required to apply for the export authorization.			<input type="checkbox"/>
D) Can your State reassess an authorization if your State becomes aware of new and relevant information? [Article 7.7]	X	<input type="checkbox"/>		<input type="checkbox"/>
E) Does your State maintain records of arms export authorizations? [Article 12.1]	X	<input type="checkbox"/>		<input type="checkbox"/>
i) For how many years are records maintained? [Articles 12.1, 12.4]	Ten years in accordance with the ATT requirement			<input type="checkbox"/>
ii) What information do the records contain? [Article 12.3]				<input type="checkbox"/>
a) Quantity	X	<input type="checkbox"/>		<input type="checkbox"/>
b) Value	X	<input type="checkbox"/>		<input type="checkbox"/>
c) Model/type	X	<input type="checkbox"/>		<input type="checkbox"/>
d) Importing State	X	<input type="checkbox"/>		<input type="checkbox"/>
e) End-User	X	<input type="checkbox"/>		<input type="checkbox"/>
f) Other (please specify)				
	Yes	No	Details / reference / Web link / additional comments	Do not Know
F) Does your State maintain records of actual arms exports? [Article 12.1]	X	<input type="checkbox"/>		<input type="checkbox"/>
i) For how many years are records maintained? [Articles 12.1, 12.4]	Ten years in accordance with the ATT requirement			<input type="checkbox"/>
ii) What information do the records contain?				<input type="checkbox"/>
a) Quantity	X	<input type="checkbox"/>		<input type="checkbox"/>
b) Value	X	<input type="checkbox"/>		<input type="checkbox"/>
c) Model/Type	X	<input type="checkbox"/>		<input type="checkbox"/>
d) Importing State	X	<input type="checkbox"/>		<input type="checkbox"/>

e) End-User	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
f) Transit /transshipment State(s)	<input type="checkbox"/>	<input checked="" type="checkbox"/>		<input type="checkbox"/>
g) Other (please specify)				
G) Please provide any other information on export practices you would like to share.				

<b>3 IMPORTS</b>	<b>Yes</b>	<b>No</b>	<b>Details / reference / Web link /additional comments</b>	<b>Do not Know</b>
A) Is the regulation of arms imports established in national legislation? [Article 8.2]	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
B) Which Ministry/ies or government agency/ies is/are responsible for regulating arms imports? [Article 5.5]	METI			<input type="checkbox"/>
i) Which Ministry or agency leads this process? [Article 5.5]	METI			<input type="checkbox"/>
C) What measures does your State take to regulate imports? [Article 8.1]	Imports of arms are subject to the licensing system.			<input type="checkbox"/>
D) Does your State have measures in place to ensure that appropriate and relevant information is available to exporting States as part of their export assessment process? [Article 8.1 and 11.3]	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Appropriate measures are taken in accordance with national laws.	<input type="checkbox"/>
E) Does your State maintain records of arms imports? [Article 12.2]	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
i) For how many years are records maintained? [Articles 12.2 and 12.4]	Ten years in accordance with the ATT requirements			<input type="checkbox"/>
	<b>Yes</b>	<b>No</b>	<b>Details / reference / Web link /additional comments</b>	<b>Do not Know</b>
ii) What information do the records contain? [Article 12.3]				<input type="checkbox"/>
a) Quantity	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
b) Value	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
c) Model / type	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
d) Exporting State	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
e) Transit /transshipment State(s)	<input type="checkbox"/>	<input checked="" type="checkbox"/>		<input type="checkbox"/>
f) Other (please specify)				
F) Please provide any other information on import practices you would like to share.				

<b>4 TRANSIT/TRANSHIPMENT</b>	<b>Yes</b>	<b>No</b>	<b>Details / reference / Web link /additional comments</b>	<b>Do not Know</b>
A) Is the regulation of transit and/or transshipment established in national legislation? [Article 9]	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
i) If yes, please provide the definition of transit and/or transshipment in your national legislation.	No specific definitions.			<input type="checkbox"/>
B) Which Ministry/ies or government agency/ies is/are responsible for regulating arms transit and/or transshipment? [Article 5.5]	METI, Japan Customs			<input type="checkbox"/>

i) Which Ministry or agency leads this process? [Article 5.5]	METI, Japan Customs			<input type="checkbox"/>
C) What measures does your State take to regulate transit and/or transshipment under its jurisdiction? [Article 9]	Transshipment requires re-export authorization while transit control is conducted in accordance with relevant national law.			<input type="checkbox"/>
D) Does your State maintain records of arms that are authorized to transit and/or transship territory under its jurisdiction? [Article 12.2 and 12.4]	X	<input type="checkbox"/>	Only in case of transshipment	<input type="checkbox"/>
i) For how many years are records maintained? [Article 12.4]	Ten years after the entry into force of the ATT			<input type="checkbox"/>
	Yes	No	Details / reference / Web link / additional comments	Do not Know
ii) What information do the records contain? [Article 12.3]				<input type="checkbox"/>
a) Quantity	X	<input type="checkbox"/>		<input type="checkbox"/>
b) Value	X	<input type="checkbox"/>		<input type="checkbox"/>
c) Model/Type	X	<input type="checkbox"/>		<input type="checkbox"/>
d) Exporting State	X	<input type="checkbox"/>		<input type="checkbox"/>
e) Importing State	X	<input type="checkbox"/>		<input type="checkbox"/>
f) Transit / transshipment State(s)	<input type="checkbox"/>	X		<input type="checkbox"/>
g) End-User	X	<input type="checkbox"/>		<input type="checkbox"/>
h) Other (please specify)				
E) Please provide any other information on transit and/or transshipment practices you would like to share.				

## 5 ARMS BROKERING

	Yes	No	Details / reference / Web link / additional comments	Do not Know
A) Is the regulation of arms brokering established in national legislation? [Article 10]	X	<input type="checkbox"/>		<input type="checkbox"/>
i) If yes, please provide the definition of brokering used in your national legislation?	No specific definition			<input type="checkbox"/>
B) Which Ministry/ies or government agency/ies is /are responsible for implementing controls on arms brokering? [Article 5.5]	METI			<input type="checkbox"/>
i) Which Ministry or agency leads this process? [Article 5.5]	METI			<input type="checkbox"/>
C) Does your State take measures to regulate brokering taking place under your jurisdiction? [Article 10]	X	<input type="checkbox"/>		<input type="checkbox"/>
i) If yes, what measures does your State take to regulate brokering taking place under your jurisdiction? [Article 10]	Authorization of brokering in accordance with the Foreign Exchange and Foreign Trade Act			<input type="checkbox"/>
D) Please provide any other information on brokering practices you would like to share.				

## 6 PROHIBITIONS

	Yes	No	Details / reference / Web link / additional comments	Do not know
A) Does your State prohibit transfers of conventional arms:				
i) If the transfer would violate obligations under measures adopted by the United Nations Security Council acting under Chapter VII, in particular arms embargoes. [Article 6.1]	X	<input type="checkbox"/>		<input type="checkbox"/>
ii) If the transfer would violate relevant international obligations under international agreements to which you are a party, in particular those relating to the transfer of, or illicit trafficking in, conventional arms. [Article 6.2]	X	<input type="checkbox"/>		<input type="checkbox"/>
a) Please provide a list of the relevant international agreements to which you are a party. [Article 6.2]	Anti-personnel Landmine Treaty, Convention on Cluster Munitions, CCW			<input type="checkbox"/>
iii) If you have knowledge at the time of authorization that the arms or items covered by your State's legislation 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 you are a Party. [Article 6.3]	X	<input type="checkbox"/>		<input type="checkbox"/>
a) Please provide a list of the relevant international agreements to which you are a party. [Article 6.3]	Geneva Conventions of 1949 and their two Additional Protocols, ICC Statute			<input type="checkbox"/>
B) Please provide any other information on prohibitions you would like to share.				

## 7 RISK ASSESSMENT

	Yes	No	Details / reference / Web link / additional comments	Do not know
A) Does your State always conduct a risk assessment prior to authorization of an arms export? [Article 7.1]	X	<input type="checkbox"/>		<input type="checkbox"/>
i) If no, please specify under which conditions a risk assessment is not required. [Article 7.1]				<input type="checkbox"/>

B) Does your State require that the following criteria are included in your national assessment prior to granting an export authorization: [Article 7.1]				<input type="checkbox"/>
i) Whether the arms would contribute to or undermine peace and security?	X	<input type="checkbox"/>		<input type="checkbox"/>
ii) Whether the arms could be used to commit or facilitate a serious violation of international humanitarian law?	X	<input type="checkbox"/>		<input type="checkbox"/>
iii) Whether the arms could be used to commit or facilitate a serious violation of international human rights law?	X	<input type="checkbox"/>		<input type="checkbox"/>
iv) Whether the arms could be used to commit or facilitate an act constituting an offence under international conventions or protocols relating to terrorism to which your State is a party?	X	<input type="checkbox"/>		<input type="checkbox"/>
v) Whether the arms could be used to commit or facilitate an act constituting an offence under international conventions or protocols relating to transnational organized crime to which your State is a party?	X	<input type="checkbox"/>		<input type="checkbox"/>
C) Are additional criteria considered in addition to the above prior to authorizing a transfer:				
i) Risk of diversion [Article 11.2]	X	<input type="checkbox"/>		<input type="checkbox"/>
ii) Acts of gender based violence? [Article 7.4]	X	<input type="checkbox"/>		<input type="checkbox"/>
iii) Other (please specify)	<b>The Three Principles on Transfer of Defense Equipment and Technology</b> <a href="http://www.mofa.go.jp/fp/nsp/page1we_000083.html">http://www.mofa.go.jp/fp/nsp/page1we_000083.html</a>			
D) Does your State consider risk mitigation measures as part of its authorization process? [Article 7.2]	X	<input type="checkbox"/>		<input type="checkbox"/>
	<b>Details / reference / Web link / additional comments</b>			<b>Do not know</b>
i) If yes, what risk mitigation measures does your State consider / practice? [Article 7.2] (i.e confidence building measures or jointly developed and agreed programs.)				X
E) Please provide any other information on risk assessment and / or mitigation practices you would like to share.				
<b>8 DIVERSION</b>	<b>Yes</b>	<b>No</b>	<b>Details / reference / Web link / additional comments</b>	<b>Do not know</b>
A) Does your State take preventative measures to mitigate the risk of diversion? [Article 11.2]	X	<input type="checkbox"/>		<input type="checkbox"/>

i) If yes, what preventative measures does your State take to mitigate the risk of diversion?	e.g. Robust export control system, import licensing system		<input type="checkbox"/>
B) Does your State cooperate and exchange information with States to mitigate the risk of diversion? [Article 11.3].	X	<input type="checkbox"/>	Information is exchanged in accordance with national law and policy. <input type="checkbox"/>
C) Does your State take appropriate measures when it detects a diversion of transferred conventional arms?	X	<input type="checkbox"/>	<input type="checkbox"/>
i) If yes, what appropriate measures does your State take when it detects a diversion of transferred conventional arms?			<input type="checkbox"/>
D) Is your State willing to share information on effective measures to address diversion?	X	<input type="checkbox"/>	<input type="checkbox"/>
i) If yes, what information is your State willing to share?	Appropriate information is exchanged in accordance with national law and policy.		<input type="checkbox"/>

## 9 ENFORCEMENT

A) Which agency/ies is/are responsible for enforcing arms transfer controls? [Article 5.5]	METI, National Police Agency(NPA), Japan Customs		<input type="checkbox"/>
i) Which Ministry or agency leads this process? [Article 5.5]	METI		<input type="checkbox"/>
B) What measures does your State take to enforce national laws and regulations that implement the provisions of the Treaty? [Article 14]	Violations of the Foreign Exchange and Foreign Trade Act are punished.		<input type="checkbox"/>
C) Please provide any other information on enforcement practices you would like to share.			

## 10 TRANSPARENCY

	Yes	No	Details / reference / Web link / additional comments	Do not know
A) Will your State provide an initial report within one year of entry into force on measures undertaken in order to implement that ATT? [Article 13.1]	X	<input type="checkbox"/>		<input type="checkbox"/>
B) Does your State produce an annual report on: [Article 13.3]				
i) Authorized arms exports	X	<input type="checkbox"/>		<input type="checkbox"/>
ii) Authorized arms imports	X	<input type="checkbox"/>		<input type="checkbox"/>
iii) Actual arms exports	X	<input type="checkbox"/>		<input type="checkbox"/>
iv) Actual arms imports	X	<input type="checkbox"/>		<input type="checkbox"/>
C) Are there legal impediments to the reporting requirements under the ATT? [Article 13.3]	<input type="checkbox"/>	X		<input type="checkbox"/>
D) Can your State report on measures taken to address the diversion of transferred conventional arms? [Article 13.2]	X	<input type="checkbox"/>		<input type="checkbox"/>
E) Has your State designated a national contact point for the ATT? [Article 5.6]	X	<input type="checkbox"/>		<input type="checkbox"/>



i) If yes, please provide contact information.	Conventional Arms Division, Ministry of Foreign Affairs guntsu@mofa.go.jp		<input type="checkbox"/>	
F) Please provide any other information on transparency practices you would like to share.	Actual arms exports and imports might be reported instead of authorized arms exports and imports according to the nature of permission system for the specific item.			
<b>11 INTERNATIONAL COOPERATION</b>	<b>Yes</b>	<b>No</b>	<b>Details / reference / Web link /additional comments</b>	<b>Do not know</b>
A) Is your State involved in cooperative measures that will help to implement the ATT? [Article 15.1]	X	<input type="checkbox"/>		<input type="checkbox"/>
B) Is your State currently involved in:				
i) Exchange of information on conventional arms transfers [Articles 15.2 and 15.3]	X	<input type="checkbox"/>		<input type="checkbox"/>
ii) Cooperative measures to prevent diversion [Article 15.4]	X	<input type="checkbox"/>		<input type="checkbox"/>
iii) Widest measure of assistance in investigations, prosecutions and judicial proceedings [Article 15.5]	X	<input type="checkbox"/>		<input type="checkbox"/>
iv) Measures to prevent corruption [Article 15.6]	X	<input type="checkbox"/>		<input type="checkbox"/>
v) Development of best practices and lessons learned [Article 15.7]	X	<input type="checkbox"/>		<input type="checkbox"/>
C) Does your State intend to pursue cooperation in:				
i) Exchange of information on conventional arms transfers [Articles 15.1, 15.2 and 15.3]	X	<input type="checkbox"/>		<input type="checkbox"/>
ii) Cooperative measures to prevent diversion [Article 15.4]	X	<input type="checkbox"/>		<input type="checkbox"/>
iii) Widest measure of assistance in investigations, prosecutions and judicial proceedings [Article 15.5]	X	<input type="checkbox"/>		<input type="checkbox"/>
iv) Measures to prevent corruption [Article 15.6]	X	<input type="checkbox"/>		<input type="checkbox"/>
v) Development of best practices and lessons learned [Article 15.7]	X	<input type="checkbox"/>		<input type="checkbox"/>

<b>12 INTERNATIONAL ASSISTANCE</b>	<b>Yes</b>	<b>No</b>	<b>Details / reference / Web link /additional comments</b>	<b>Do not know</b>
A) Does your State require assistance to implement the provisions of the Arms Trade Treaty? [Article 16.1] If yes, please answer B. If no go straight to C. [Article 16.2]	<input type="checkbox"/>	X		<input type="checkbox"/>
B) Does your State require: [[Article 16.1]				
i) Legal assistance	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
ii) Legislative assistance, including model legislation	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
iii) Assistance for institution building	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>

iv) Technical assistance	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
v) Financial assistance	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
vi) Material assistance	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
vii) Stockpile management assistance	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
viii) Disarmament, demobilization, or reintegration assistance	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
ix) Assistance with effective practices for implementation	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
x) Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
C) Is your State in a position to provide assistance to other States to enable implementation of the provisions of the Arms Trade Treaty? [Articles 16.1, 16.2 and 16.3] If yes, please answer D. If no, please go straight to E.	X	<input type="checkbox"/>		<input type="checkbox"/>
	Yes	No	Details / reference / Web link /additional comments	Do not know
D) Is your State in a position to provide:[Article 16.1]				
i) Legal assistance	X	<input type="checkbox"/>		<input type="checkbox"/>
ii) Legislative assistance, including model legislation	X	<input type="checkbox"/>		<input type="checkbox"/>
iii) Assistance for institution building	X	<input type="checkbox"/>		<input type="checkbox"/>
iv) Technical assistance	X	<input type="checkbox"/>		<input type="checkbox"/>
v) Financial assistance	X	<input type="checkbox"/>		<input type="checkbox"/>
vi) Material assistance	X	<input type="checkbox"/>		<input type="checkbox"/>
vii) Stockpile management assistance	X	<input type="checkbox"/>		<input type="checkbox"/>
viii) Disarmament, demobilization, or reintegration assistance	X	<input type="checkbox"/>		<input type="checkbox"/>
ix) Assistance with effective practices for implementation	X	<input type="checkbox"/>		<input type="checkbox"/>
x) Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
E) Please provide information on any additional needs required to implement the ATT, particularly with regards to legal, licensing, customs, awareness raising and enforcement of sanctions, reporting, and transparency. [Articles 16.1 and 16.2]				

F) Please provide information on any specific assistance programs that your State has provided that may help others implement the ATT, particularly with regards to legal, licensing, customs, awareness raising and enforcement of sanctions, reporting, and transparency. [Articles 16.1 and 16.2]	Bilateral assistance through the Japan International Cooperation Agency (JICA) and multilateral assistance through UN agencies including UNDP
G) Please provide information on specific assistance your State has received through the United Nations, international, regional, subregional or national organizations, non-governmental organizations, or on a bilateral basis that could be considered relevant for ATT implementation. [Article 16.2]	

## 13 THE ARMS TRADE TREATY

	Yes	No	Details / reference / Web link / additional comments
A) Has Your State already signed the Arms Trade Treaty?	X	<input type="checkbox"/>	
B) Has your State already ratified the Arms Trade Treaty?	X	<input type="checkbox"/>	Japan deposited the instrument of acceptance on May 9, 2014.
C) Is your State preparing to sign the Arms Trade Treaty in the next two years?	<input type="checkbox"/>	<input type="checkbox"/>	
D) Is your State preparing to ratify the Arms Trade Treaty in the next two years?	<input type="checkbox"/>	<input type="checkbox"/>	
E) Will/Has your State formulate/d one or more reservations upon ratification? [Article 25.1]	<input type="checkbox"/>	X	
i) If yes, please provide a description of your reservation (s).			