
Arms Trade Treaty
First Conference of States Parties
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THE ARMS TRADE TREATY

PROVISIONAL TEMPLATE

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

This provisional 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).

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 THE UNITED MEXICAN STATES

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

This Initial Report may be made publicly available	Yes ☒	No ☐
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**SECTION A.
INFORMATION RELATED TO BINDING OBLIGATIONS IN THE TREATY**

1. NATIONAL CONTROL SYSTEM AND LIST

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

ix)	Ammunition/Munitions for the conventional arms covered in Article 2(1) [for the application of Article 3]	X	☐
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]	X	☐
If 'No' to any of the items above, please provide background below			
E. The national control list has been provided to the Secretariat of the Treaty [Article 5.4] (if 'No', please elaborate further below)		Yes ☐	No X
EN ESTE INFORME SE PRESENTA LA LISTA DE CONTROL			

2. PROHIBITIONS

A. The national control system prohibits authorization of transfers as defined by Article 2(2), of conventional arms covered under Article 2(1) and items covered under Articles 3 and 4, in the circumstances specified in Articles 6(1) to 6(3) (if 'No' in any respect, please elaborate below)	Yes X	No ☐
B. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(2) (please list below)		
• CONVENCIÓN INTERAMERICANA CONTRA LA FABRICACIÓN Y EL TRÁFICO ILÍCITOS DE ARMAS DE FUEGO, MUNICIONES, EXPLOSIVOS Y OTROS MATERIALES RELACIONADOS (CIFTA) • INSTRUMENTO DE PRESENTACIÓN DE INFORMES SOBRE GASTOS MILITARES • PROTOCOLO CONTRA LA FABRICACIÓN ILÍCITA Y EL TRÁFICO DE ARMAS DE FUEGO, SUS PARTES Y COMPONENTES Y MUNICIONES • REGISTRO DE ARMAS CONVENCIONALES DE LA ONU • PROGRAMA DE ACCIÓN PARA PREVENIR, COMBATIR Y ELIMINAR EL COMERCIO ILÍCITO DE ARMAS PEQUEÑAS Y LIGERAS EN TODOS SUS ASPECTOS (UNPOA) • CONVENCIÓN INTERAMERICANA SOBRE LA TRANSPARENCIA EN LAS ADQUISICIONES DE ARMAS CONVENCIONALES • ARREGLO DE WASSENAAR		
C. International agreements to which the country is a Party, and which are considered relevant for the application of Article 6(3) (please list below)		
• CONVENCIÓN INTERAMERICANA CONTRA LA FABRICACIÓN Y EL TRÁFICO ILÍCITOS DE ARMAS DE FUEGO, MUNICIONES, EXPLOSIVOS Y OTROS MATERIALES RELACIONADOS (CIFTA) • INSTRUMENTO DE PRESENTACIÓN DE INFORMES SOBRE GASTOS MILITARES • PROTOCOLO CONTRA LA FABRICACIÓN ILÍCITA Y EL TRÁFICO DE ARMAS DE FUEGO, SUS PARTES Y COMPONENTES Y MUNICIONES • REGISTRO DE ARMAS CONVENCIONALES DE LA ONU • PROGRAMA DE ACCIÓN PARA PREVENIR, COMBATIR Y ELIMINAR EL COMERCIO ILÍCITO DE ARMAS PEQUEÑAS Y LIGERAS EN TODOS SUS ASPECTOS (UNPOA) • CONVENCIÓN INTERAMERICANA SOBRE LA TRANSPARENCIA EN LAS ADQUISICIONES DE ARMAS CONVENCIONALES (CITAAC) • ARREGLO DE WASSENAAR		

3. EXPORTS

A. The national control system includes the following:		Yes	No
i)	an authorization or licensing system for arms exports [Article 5(2)]	X	☐
ii)	prohibition assessment guidelines [Article 6]	X	☐
iii)	export assessment criteria [Article 7]	X	☐
iv)	a risk assessment procedure [Article 7]	X	☐
If 'No' to any of the items above, please provide background below			
B. National export controls apply to the conventional arms covered under Article 2(1), and the items covered under Articles 3 and 4 (if 'No', please provide further information below)		Yes X	No ☐
C. The national control system includes measures to ensure that all export authorizations are detailed and issued prior to export [Article 7(5)] (if 'No', please provide further information below)		Yes X	No ☐
D. The national risk assessment procedure includes all the criteria described in Article 7(1)(a) and (b), and Article 7(4) (if 'No' in any respect, please elaborate below)		Yes X	No ☐
E. The competent national authority(-ies) for the control of exports [Article 5(5)] (please specify below)			
LA SECRETARÍA DE LA DEFENSA NACIONAL			
F. The national control system allows appropriate information about an export authorization to be made available, upon request, to the importing State Party and/or to the transit or trans-shipment States Parties [Article 7(6)] (if 'No' please elaborate below)		Yes X	No ☐

4. IMPORTS

A. The national control system includes measures that allow the regulation, where necessary, of imports of conventional arms covered under Article 2(1). [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 X	No ☐
If 'Yes', please also answer the following question			
LA LEY FEDERAL DE ARMAS DE FUEGO Y EXPLOSIVOS, EN SU ARTÍCULO 55 ESTABLECE QUE LAS ARMAS, OBJETOS Y MATERIALES CUBIERTOS POR ESTA LEY, IMPORTADOS EN LOS PERMISOS ORDINARIOS Y EXTRAORDINARIOS, DEBEN SER DESTINADOS AL USO QUE SE ESTABLECE EN LOS PERMISOS. CUALQUIER MODIFICACIÓN, CAMBIO O TRANSFORMACIÓN, REQUIERE UN NUEVO PERMISO. EL ACUERDO QUE ESTABLECE LA CLASIFICACIÓN Y CODIFICACIÓN DE LAS MERCANCÍAS CUYA IMPORTACIÓN Y EXPORTACIÓN ESTÁN SUJETAS A REGULACIÓN POR LA SECRETARÍA DE LA DEFENSA NACIONAL Y REGLAMENTOS NACIONALES.			
B. The competent national authority(-ies) for the regulation of imports [Article 5(5)] (please specify below)			

LA SECRETARÍA DE LA DEFENSA NACIONAL		
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 [Article 8(1)] (if 'No', please elaborate below)	Yes ☒	No ☐

5. TRANSIT & TRANS-SHIPMENT

A. The national control system includes measures that allow the regulation, where necessary and feasible, of transit of conventional arms covered under Article 2(1) [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 ☒	No ☐
LA LEY FEDERAL DE ARMAS DE FUEGO Y EXPLOSIVOS, EN SU ARTÍCULO 60, CONCEDE LA AUTORIZACIÓN A LOS PERMISOS GENERALES. EL ACUERDO POR EL QUE SE SUJETA AL REQUISITO DE PERMISO PREVIO LA EXPORTACIÓN DE ARMAS CONVENCIONALES, SUS PARTES Y COMPONENTES, BIENES DE USO DUAL, SOFTWARE Y TECNOLOGÍAS SUSCEPTIBLES DE DESVÍO PARA LA FABRICACIÓN Y PROLIFERACIÓN DE ARMAS CONVENCIONALES Y DE DESTRUCCIÓN MASIVA, PUBLICADO EN EL DIARIO OFICIAL DE LA FEDERACIÓN, EL 16 DE JUNIO DE 2011, DEFINE TRÁNSITO, COMO SIGUE: EL PASO A TRAVÉS DEL TERRITORIO MEXICANO DE LOS OBJETOS REGULADOS SIN QUE ESTOS SEAN DESCARGADOS EN EL TERRITORIO NACIONAL		
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) [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 ☒	No ☐
EL ACUERDO POR EL QUE SE SUJETA AL REQUISITO DE PERMISO PREVIO LA EXPORTACIÓN DE ARMAS CONVENCIONALES, SUS PARTES Y COMPONENTES, BIENES DE USO DUAL, SOFTWARE Y TECNOLOGÍAS SUSCEPTIBLES DE DESVÍO PARA LA FABRICACIÓN Y PROLIFERACIÓN DE ARMAS CONVENCIONALES Y DE DESTRUCCIÓN MASIVA, PUBLICADO EN EL DIARIO OFICIAL DE LA FEDERACIÓN, EL 16 DE JUNIO DE 2011, DEFINE TRANSBORDO COMO SIGUE: LA DESCARGA O CAMBIO DE MEDIO DE TRANSPORTE DE LOS OBJETOS CONTENIDOS EN LOS ANEXOS I, II Y III DEL PRESENTE ACUERDO ENTRE EL PUNTO INICIAL DE CARGA Y EL DESTINO FINAL DE DICHOS BIENES		
C. Control measures for the regulation of transit and/or trans-shipment cover : (If 'Yes' to (ii) or (iii), please indicate in the free text field how enforcement is conceived - systematic control or only when information is available?)	Yes	No
i) Transit / trans-shipment through land territory (including internal waters)	☒	☐
ii) Transit / trans-shipment through territorial waters	☒	☐
iii) Transit / trans-shipment through national air space	☒	☐
SÓLO CUANDO LA INFORMACIÓN ESTÁ DISPONIBLE		
D. The competent national authority(-ies) for the regulation of transit and trans-shipment [Article 5(5)] (please specify below)		

**LA SECRETARÍA DE LA DEFENSA NACIONAL
LA SECRETARÍA DE HACIENDA Y CRÉDITO PÚBLICO**

6. BROKERING

A. The national control system includes measures that allow the regulation, pursuant to national laws, of brokering of conventional arms covered under Article 2(1) [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 ☒	No ☐
EL ACUERDO POR EL QUE SE SUJETA AL REQUISITO DE PERMISO PREVIO LA EXPORTACIÓN DE ARMAS CONVENCIONALES, SUS PARTES Y COMPONENTES, BIENES DE USO DUAL, SOFTWARE Y TECNOLOGÍAS SUSCEPTIBLES DE DESVÍO PARA LA FABRICACIÓN Y PROLIFERACIÓN DE ARMAS CONVENCIONALES Y DE DESTRUCCIÓN MASIVA, PUBLICADO EN EL DIARIO OFICIAL DE LA FEDERACIÓN, EL 16 DE JUNIO DE 2011 PROPORCIONA EL MARCO REGULATORIO PARA LAS TRANSFERENCIAS INTERNACIONALES DE ARMAS CONVENCIONALES		
B. The definition of brokering used in national legislation [Articles 6(1) to 6(3) and Article 10] (please specify in particular if there are extraterritorial elements in the definition, for instance the activities of nationals resident abroad, or transfers that take place between two third countries)		
DE CONFORMIDAD CON EL ACUERDO POR EL QUE SE SUJETA AL REQUISITO DE PERMISO PREVIO LA EXPORTACIÓN DE ARMAS CONVENCIONALES, SUS PARTES Y COMPONENTES, BIENES DE USO DUAL, SOFTWARE Y TECNOLOGÍAS SUSCEPTIBLES DE DESVÍO PARA LA FABRICACIÓN Y PROLIFERACIÓN DE ARMAS CONVENCIONALES Y DE DESTRUCCIÓN MASIVA, PUBLICADO EN EL DIARIO OFICIAL DE LA FEDERACIÓN, EL 16 DE JUNIO DE 2011, LA INTERMEDIACIÓN SE DEFINE COMO SIGUE: LA NEGOCIACIÓN U ORGANIZACIÓN DE TRANSACCIONES PARA LA COMPRA, VENTA O SUMINISTRO DE LOS OBJETOS REGULADOS DESDE UN TERCER PAÍS A OTRO TERCER PAÍS CUALQUIERA, O LA COMPRA O VENTA DE LOS OBJETOS REGULADOS QUE SE ENCUENTREN EN TERCEROS PAÍSES PARA SU TRANSFERENCIA A OTRO TERCER PAÍS.		
C. The competent national authority(-ies) for the regulation of brokering [Article 5(5)] (please specify below)		
LA SECRETARÍA DE LA DEFENSA NACIONAL		

7. DIVERSION

A. Measures foreseen in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)]	Yes	No
i) assessing the risk of diversion of an export [Article 11(2)] (if 'No', please provide background below)	X	☐
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)	X	☐

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

8. RECORD KEEPING

A. The national control system includes provisions for maintaining records regarding: [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)]	X	☐
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)	X	☐
B. Records are kept for a minimum of 10 years [Article 12(4)] (if 'No', please elaborate below)		Yes X	No ☐

9. REPORTING

A. The national control system allows for the provision of information as required by Article 13(3) (if 'No', please elaborate below)	Yes X	No ☐
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10. ENFORCEMENT

A. Measures are in place that provide the ability to enforce of the national laws and regulations that implement the provisions of the Arms Trade Treaty [Article 14] (if 'No', please elaborate below)	Yes X	No ☐
B. National legislation allows the provision to another State Party of jointly agreed assistance in investigations, prosecutions and judicial proceedings in relation to violations of national measures established pursuant to this Treaty [Article 15(5)] (if 'No', please elaborate below)	Yes ☐	No X
LA LEGISLACIÓN NACIONAL MEXICANA, NO CONTEMPLA LA ASISTENCIA CONJUNTA		

11. INTERNATIONAL COOPERATION

A. Cooperation is possible with other States Parties of the Treaty with a view to its effective implementation, where such cooperation is consistent with national law and security interests [Article 15(1)] (if 'No', please elaborate below)	Yes X	No ☐

12. INTERNATIONAL ASSISTANCE

	Yes X	No ☐
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A. National regulations and policy allow for the provision - upon request and if in a position to do so - of implementation assistance as set out in Article 16(1) (if 'No', please elaborate below)		

13. DISPUTE SETTLEMENT

A. National regulations and policy allow for consultations and, by mutual consent, cooperation in the settlement of disputes regarding the interpretation or application of the Treaty by at least one of the means outlined in Article 19(1) (if 'No', please elaborate below)	Yes ☒	No ☐
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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

F. Arms for recreational, cultural, historical and sporting purposes are included in the national control list [Article 2(1)(h) & Preamble, 13th para]	Yes ☒	No ☐
If 'No', please provide further information below, for instance whether a separate set of controls are applied to these types of arms		
G. Additional categories not listed under Section A1.D are included in the national control list [Article 5(3)] (If 'Yes', please specify below)	Yes ☒	No ☐
H. Control list definitions are supplemented by more detailed definitions not in the control list itself [Article 5(3)] (If 'Yes', please provide further information below)	Yes ☒	No ☐
LAS DEFINICIONES ESPECIFICAS SE ENCUENTRAN EN DIFERENTES MANUALES MILITARES		
I. The national control list is publicly available [Article 5(4)] (if 'Yes', please provide information below as to how your control list is made publicly available - if available on the open internet please provide the hyperlink)	Yes ☒	No ☐
LA LISTA DE CONTROL NACIONAL ESTÁ CONTENIDA EN: • LA LEY FEDERAL DE ARMAS DE FUEGO Y EXPLOSIVOS Y SUS MODIFICACIONES • EL ACUERDO QUE ESTABLECE LA CLASIFICACIÓN Y CODIFICACIÓN DE LAS MERCANCIAS CUYA IMPORTACIÓN O EXPORTACIÓN ESTÁN SUJETAS A REGULACIÓN POR LA SECRETARÍA DE LA DEFENSA NACIONAL • EL ACUERDO POR EL QUE SE SUJETA AL REQUISITO DE PERMISO PREVIO POR PARTE DE LA SECRETARÍA DE ECONOMÍA, LA EXPORTACIÓN DE ARMAS CONVENCIONALES, SUS PARTES Y COMPONENTES, BIENES DE USO DUAL, SOFTWARE Y TECNOLOGÍAS SUSCEPTIBLES DE DESVÍO PARA LA FABRICACIÓN Y PROLIFERACIÓN DE ARMAS CONVENCIONALES Y DE DESTRUCCIÓN MASIVA		
J. Additional voluntary information about non-obligatory aspects of a national control system (please elaborate below - for instance regarding inter-agency coordination structures, training systems for relevant officials, transparency and accountability mechanisms, outreach to private actors such as industry, or any ongoing / planned review or change of the national control system or parts thereof)		
COMO PARTE DEL PROCESO OPERATIVO DEL SISTEMA MEXICANO DE CONTROL DE EXPORTACIONES, DE SER NECESARIO, LA SECRETARÍA DE LA DEFENSA NACIONAL CONVOCA CONSULTAS INTERINSTITUCIONALES EL COMITÉ DE CONTROL DE EXPORTACIONES, ANALIZA LAS SOLICITUDES DE LICENCIA DE EXPORTACIÓN, DECIDE ENMIENDAS A LA LISTA DE CONTROL Y DECIDE EL ESTABLECIMIENTO DE NUEVAS MEDIDAS DE CONTROL DE EXPORTACIÓN		

2. PROHIBITIONS

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

3. EXPORTS

G. The national risk assessment procedure includes the consideration of risk mitigation measures that could be undertaken to mitigate identified risks [Article 7(2)] (if 'Yes' please elaborate below, including an indication of types of risk mitigation measures that are most often used)	Yes ☒	No ☐
MÉXICO PROMUEVE ACTIVAMENTE LA APLICACIÓN DE MEDIDAS DE REDUCCIÓN DEL RIESGO, EN PARTICULAR , MEDIDAS DE FOMENTO A LA CONFIANZA COMO INFORMACIÓN COMPLEMENTARIA DE PARTICIPACIÓN , MEDIDAS DE OBSERVACIÓN Y VERIFICACIÓN, MAYORES NIVELES DE TRANSPARENCIA Y COOPERACIÓN EXTENSA, A FIN DE REDUCIR DE MANERA SIGNIFICATIVA EL RIESGO DE DESVIACIÓN Y AUMENTAR LA CONFIANZA Y LA RESPONSABILIDAD EN TODAS NUESTRAS TRANSFERENCIAS DE ARMAS. ENTRE LAS PRINCIPALES MEDIDAS ADOPTADAS POR LAS AUTORIDADES MEXICANAS COMO PARTE DEL PROCESO OPERATIVO ANTES DE LA AUTORIZACIÓN DE LA EXPORTACIÓN DE ARMAS SON: I) EVALUACIÓN DEL RIESGO II) EVALUACIÓN DE LAS CARACTERÍSTICAS TÉCNICAS DE LOS ARTÍCULOS Y III) EVALUACIÓN DEL USUARIO FINAL Y PAÍS DESTINO. ADEMÁS, LA DETERMINACIÓN DE LA CONVENIENCIA DE LA EMISIÓN DE LA SOLICITUD DE LICENCIA DE EXPORTACIÓN TOMANDO EN CUENTA CONSULTAS TÉCNICAS CON LOS ORGANISMOS GUBERNAMENTALES PERTINENTES INVOLUCRADAS EN EL PROCESO, DEPENDIENDO DE LA NATURALEZA, EL USUARIO FINAL Y PAÍS DESTINO DE LA TRANSFERENCIA. ADICIONALMENTE, LA LEY FEDERAL DE ARMAS DE FUEGO Y EXPLOSIVOS, EN SU ARTÍCULO 55, ESTABLECE QUE PARA PARA EMITIR PERMISOS PARA EXPORTACIÓN DE ARMAS, OBJETOS Y MATERIALES CUBIERTOS POR DICHA LEY, LOS EXPORTADORES DEBEN NOTIFICAR A LA SECRETARÍA DE LA DEFENSA NACIONAL QUE YA TIENEN EL PERMISO DE IMPORTACIÓN CORRESPONDIENTE EMITIDO POR EL GOBIERNO DEL PAÍS DE ORIGEN.		
H. 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] (if 'Yes' please provide further information below)	Yes ☐	No ☒
I. The national risk assessment procedure includes other criteria <u>not</u> mentioned in the articles cited in 3.D above (if 'Yes' please specify below)	Yes ☒	No ☐
J. Measures to exercise control over exports are applicable also to other categories of conventional arms than those covered in Articles 2(1), 3 and 4 [Article 5(3)] (if 'Yes', please elaborate below)	Yes ☒	No ☐
K. An export authorization can be reassessed if new relevant information becomes available [Art 7(7)] (if 'Yes', please provide further information below. Are there also legal provisions for suspension or withdrawal of a license?)	Yes ☒	No ☐
SI SE DISPONE, LAS AUTORIDADES RESPECTIVAS PUEDEN REEVALUAR UNA SOLICITUD DE LICENCIA DE EXPORTACIÓN, COMENTARLO Y DETERMINAR LA CONVENIENCIA DE SU EMISIÓN.		

L. Information / documentation included in an application for an export authorization (please specify below)		
PARA LA AUTORIZACIÓN DE EXPORTACIÓN, LA SECRETARÍA DE LA DEFENSA NACIONAL EXIGE EL CUMPLIMIENTO DE LOS PERMISOS ORDINARIOS Y EXTRAORDINARIOS, QUE INCLUYEN, ENTRE OTRAS, LA SIGUIENTE INFORMACIÓN RELEVANTE:		
• DETALLES DEL USO FINAL • DETALLES DEL USUARIO FINAL • DESCRIPCIÓN TÉCNICA DE LOS ARTÍCULOS (MODELO / TIPO) • CANTIDAD • VALOR EN DÓLARES AMERICANOS Y EN MONEDA LOCAL • DESPACHO ADUANAL		
M. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an export authorization [Article 5(5)] (please specify below)		
• SECRETARÍA DE ECONOMÍA • SECRETARÍA DE RELACIONES EXTERIORES • SECRETARÍA DE MARINA • SECRETARÍA DE GOBERNACIÓN • SECRETARÍA DE HACIENDA Y CRÉDITO PÚBLICO		
N. The national control system allows a State of final destination to request information concerning pending or actual export authorizations pertaining to it [Article 8(3)] (if 'No', please elaborate below)	Yes ☒	No ☐
O. Additional voluntary information relevant to national export controls (please specify below - for instance on the control of re-exports.)		

4. IMPORTS

D. Imports of conventional arms subject to control are under specific circumstances permitted without regulation or under simplified procedure (if 'Yes' please provide further information below)	Yes ☐	No ☒
E. Measures to regulate imports are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)	Yes ☐	No ☒
F. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for an import authorization (when such an authorization is required) [Article 5(5)] (please specify below)		
• SECRETARÍA DE ECONOMÍA • SECRETARÍA DE RELACIONES EXTERIORES		
G. Information / documentation required for an import authorization (please specify below)		

PARA LA AUTORIZACIÓN DE IMPORTACIÓN, LA SECRETARÍA DE LA DEFENSA NACIONAL EXIGE EL CUMPLIMIENTO DE LOS PERMISOS ORDINARIOS Y EXTRAORDINARIOS, QUE INCLUYEN, ENTRE OTRAS, LA SIGUIENTE INFORMACIÓN RELEVANTE:

- DETALLES DEL USO FINAL
- DETALLES DEL USUARIO FINAL
- DESCRIPCIÓN TÉCNICA DE LOS ARTÍCULOS (MODELO / TIPO)
- CANTIDAD
- VALOR EN DÓLARES AMERICANOS Y EN MONEDA LOCAL
- DESPACHO ADUANAL

H. Additional voluntary information relevant to national import controls
(please specify below)

5. TRANSIT & TRANS-SHIPMENT

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

6. BROKERING

D. National brokering controls contain exemptions (for instance for national armed forces or defence industry) [Articles 6 & 10] (if 'Yes', please provide further information below)	Yes ☐	No X
E. National brokering controls go beyond the fulfillment of obligations under Article 6 of the Treaty (for instance regulating brokering in other situations) (if 'Yes', please specify the additional scope of control)	Yes ☐	No X
F. Measures to regulate brokering are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)	Yes ☐	No X
G. Apart from the competent national authority, the following ministries or government authorities may be involved in the decision-making process for a control measure related to brokering [Article 5(5)] (please specify below)		
• SECRETARÍA DE ECONOMÍA • SECRETARÍA DE RELACIONES EXTERIORES • SECRETARÍA DE MARINA • SECRETARÍA DE GOBERNACIÓN • SECRETARÍA DE HACIENDA Y CRÉDITO PÚBLICO		
H. Information / documentation required in an application related to brokering (please elaborate below)		
I. Additional voluntary information relevant to national brokering controls (please specify below)		

7. DIVERSION

C. Measures included in the national control system to prevent the diversion of conventional arms covered by Article 2(1) [Article 11(1)] :		Yes	No
iii)	establishment of mitigation measures [Article 11(2)]	X	☐
iv)	provision, upon request, of end use / end user documentation to the exporting State [Article 8(1)]	X	☐
v)	requirement for end use / end user assurances from an importing State (or industry) [Article 8(1)]	X	☐
vi)	examination, where appropriate, of parties involved in a transfer [Article 11(2)]	X	☐
viii)	requirement, where appropriate, for additional documentation, certificates, assurances for a transfer [Article 11(2)]	X	☐
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)]	X	☐
x)		☐	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)]		
xi)	other measures [Article 11(1)] (if 'Yes', please specify below)	☐	X
D. Measures included in the national control system, to be taken when a diversion of transferred conventional arms has been detected [Article 11(4)]		Yes	No
i)	alerting potentially affected States Parties	X	☐
ii)	investigative and law enforcement measures at the national level	☐	X
iii)	using international tracing mechanisms to identify points of diversion	X	☐
iv)	other measures (if 'Yes', please specify below)	☐	X
E. Measures taken to prevent or address diversion are applicable also to other categories of conventional arms than those covered in Article 2(1) [Article 5(3)] (if 'Yes', please elaborate below)		Yes ☐	No X
F. Additional voluntary information relevant to the prevention of diversion of conventional arms (please specify below - for instance regarding measures in place to avoid diversion in the context of the international movement of conventional arms referred to in Article 2(3) of the Treaty)			

8. RECORD KEEPING

C. The national control system includes provisions for maintaining records regarding :		Yes	No
i)	imports of conventional arms covered under Article 2(1) of the Treaty into national territory as final destination [Article 12(2)]	Yes X	No ☐
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)]	Yes X	No ☐
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]	Yes X	No ☐
D. Records cover other categories of conventional arms than those specified in Article 2(1) (if 'Yes', please elaborate below)		Yes ☐	No X
E. Additional voluntary information relevant to national record keeping (please specify below - for instance types of information preserved in national records for exports and imports respectively)			

9. REPORTING

B. Additional voluntary information relevant to national reporting (please specify below, for instance if national reports are publicly available - if available on the open internet please provide the relevant hyperlink)
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MÉXICO INFORMA ANUALMENTE AL REGISTRO DE ARMAS CONVENCIONALES DE LAS NACIONES UNIDAS, LAS EXPORTACIONES E IMPORTACIONES DE ARMAS AUTORIZADAS, ASÍ COMO LA ACTUALIZACIÓN DE LAS EXPORTACIONES E IMPORTACIONES.

TAMBIÉN, COMO PARTE DE SUS OBLIGACIONES COMO ESTADO PARTE DEL ARREGLO DE WASENAAR, MÉXICO PRESENTA INFORMACIÓN RELEVANTE

10. ENFORCEMENT

C. National measures have been taken to prevent, in cooperation with other States Parties, the transfer of conventional arms covered under Article 2(1) of the Treaty becoming subject to corrupt practices [Article 15(6)] (please elaborate below)	Yes ☐	No X
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)
MÉXICO HA COLABORADO CON EL CENTRO DE REGIONAL DE LAS NACIONES UNIDAS PARA LA PAZ, DESARME Y DESARROLLO EN AMÉRICA LATINA Y EL CARIBE (UNLIREC), EN EL DISEÑO DE MECANISMOS (SEMINARIOS/TALLERES) QUE BUSCAN PROMOVER EL TRATADO Y AYUDEN A LOS PAÍSES A IMPLEMENTARLO CON ÉXITO. ADEMÁS, MÉXICO HA COOPERADO CON EL GOBIERNO DE NUEVA ZELANDIA EN LA ELABORACIÓN DE LEGISLACIÓN MODELO PARA EL T.C.A, PARA AYUDAR A LOS PAÍSES INSULARES DEL PACÍFICO CON SU PROCESO DE APLICACIÓN NACIONAL, TENIENDO EN CUENTA MÁS TARDE APLICAR UNA LEGISLACIÓN MODELO SIMILAR CON LOS ESTADOS DEL CARIBE.

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 X	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,)		
LA COLABORACIÓN QUE MÉXICO SOSTIENE CON UNLIREC INCLUYE LA ASISTENCIA EN EL DESARROLLO DE UN MANUAL INTRODUCTORIO DEL TRATADO QUE BUSCA AYUDAR A LOS PAÍSES DE LA REGIÓN CON LOS ASPECTOS LEGALES DE LA APLICACIÓN DEL TRATADO. UN ESTADO PARTE EN TODOS LOS INSTRUMENTOS INTERNACIONALES DE ARMAS CONVENCIONALES RELEVANTES COMO EL PROGRAMA DE LAS NACIONES UNIDAS DE ACCIÓN PARA PREVENIR, COMBATIR Y ERRADICAR EL TRÁFICO ILÍCITO DE ARMAS PEQUEÑAS Y LIGERAS EN TODOS SUS ASPECTOS (POA) Y EL REGISTRO DE ARMAS CONVENCIONALES DE LAS NACIONES UNIDAS, COMO MIEMBRO DEL ARREGLO DE		

WASSENAAR Y COMO UN PAÍS CON UN SISTEMA DE CONTROL FUERTE EN LA EXPORTACIÓN, MÉXICO PARTICIPA EN EL DESARROLLO DE MEJORES PRÁCTICAS EN EL MARCO DE ESTOS INSTRUMENTOS Y REGÍMENES QUE PODRÍAN AYUDAR A LOS ESTADOS PARTE, EN LA APLICACIÓN CON ÉXITO DEL TRATADO.

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)		