

APPENDIX 1: METHODOLOGY FOR INITIAL REPORTS TABLE

The table lists States' responses to questions from publicly available initial reports submitted prior to 30 May 2016.* The questions are separated into six thematic sections representing the main topics contained within the Arms Trade Treaty. State responses are denoted by check marks and X's. Checks and Xs are based on answers to yes or no questions as well as information provided in free-form text boxes (where States had the option of providing additional information). Checks represent when information was included in a report, and X's represent when information was not included or questions were left blank. Asterisks represent special situations in which States either indicated they did not know whether their control system included a given measure or provided information indicating progress towards establishing specific measures.

Information reflects what States self-reported and was not independently verified. The list of States represents those with initial reports due by 30 May 2016.

*Since 31 May 2016, additional States Parties have submitted their initial reports, including Argentina and Côte d'Ivoire.



U.S. MARINE CPL. JESSE WILLIAMS, LOADS AN 81 MM MORTAR INTO THE TUBE OF GUN 8 DURING EXERCISE TALISMAN SABRE 2011.

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APPENDIX 2: DATA FROM INITIAL REPORTS

NATIONAL CONTROL SYSTEM

State	National control system includes national control list	National control system covers exports	National control system covers imports	National control system covers transit/transshipment	National control system covers brokering	National control system covers 8 categories covered in Article 2(1)	National control system covers ammunition	National control system covers parts and components
Albania	✓	✓	✓	✓	✓	✓	✓	✓
ANTIGUA AND BARBUDA								
ARGENTINA								
Australia	✓	✓	✓	✓	✓	✓	✓	✓
Austria	✓	✓	✓	✓	✓	✓	✓	✓
BAHAMAS								
Belgium	✓	✓	✓	✓	✓	✓	✓	✓
Bosnia and Herzegovina	✓	✓	✓	✓	✓	✓	✓	✓
Bulgaria	✓	✓	✓	✓	✓	✓	✓	✓
Burkina Faso*								
Costa Rica	✓	✗	✓	✓	✓	✓	✓	✗
Croatia	✓	✓	✓	✓	✓	✓	✓	✓
Czech Republic	✓	✓	✓	✓	✓	✓	✓	✓
DENMARK								
Dominican Republic	✓	✗	✓	✓	✗	✓	✓	✓
EL SALVADOR								
Estonia	✓	✓	✓	✓	✓	✓	✓	✓
Finland	✓	✓	✓	✓	✓	✓	✓	✓
France	✓	✓	✓	✓	✓	✓	✓	✓
Germany	✓	✓	✓	✓	✓	✓	✓	✓
GRENADA								
GUINEA								
GUYANA								
Hungary	✓	✓	✓	✓	✓	✓	✓	✓

*Report is private
 Has submitted public report
 HAVE NOT SUBMITTED REPORT

APPENDIX 2

NATIONAL CONTROL SYSTEM (CONTINUED)

State	National control system includes national control list	National control system covers exports	National control system covers imports	National control system covers transit/transshipment	National control system covers brokering	National control system covers 8 categories covered in Article 2(1)	National control system covers ammunition	National control system covers parts and components
Iceland	✓	✓	✓	✓	✓	✓	✓	✓
Ireland	✓	✓	✓	✓	✓	✓	✓	✓
Italy	✓	✓	✓	✓	✓	✓	✓	✓
Jamaica	X	✓	✓	✓	X	X	X	X
Japan	✓	✓	✓	✓	✓	✓	✓	✓
Latvia	✓	✓	✓	✓	✓	✓	✓	✓
Liechtenstein	✓	✓	✓	✓	✓	✓	✓	✓
Lithuania	✓	✓	✓	✓	✓	✓	✓	✓
Luembourg	✓	✓	✓	✓	X	✓	✓	✓
Macedonia	✓	✓	✓	✓	✓	✓	✓	✓
MALI								
MALTA								
Meico	✓	✓	✓	✓	✓	✓	✓	✓
Montenegro	✓	✓	✓	✓	✓	✓	✓	✓
Netherlands	✓	✓	✓	✓	✓	✓	✓	✓
New Zealand	✓	✓	✓	✓	✓	✓	✓	✓
Nigeria*								
Norway	✓	✓	✓	✓	✓	✓	✓	✓
PANAMA								
Poland	✓	✓	✓	✓	✓	✓	✓	✓
Portugal	✓	✓	✓	✓	✓	✓	✓	✓
Romania	✓	✓	✓	✓	✓	✓	✓	✓
SAINT KITTS AND NEVIS								
SAINT LUCIA								
SAINT VINCENT AND THE GRENADINES								

*Report is private
 Has submitted public report
 HAVE NOT SUBMITTED REPORT

NATIONAL CONTROL SYSTEM (CONTINUED)

State	National control system includes national control list	National control system covers exports	National control system covers imports	National control system covers transit/transshipment	National control system covers brokering	National control system covers 8 categories covered in Article 2(1)	National control system covers ammunition	National control system covers parts and components
Samoa	✓	✗	✓	✓	✗	✓	✓	✓
Senegal [*]								
Serbia	✓	✓	✓	✓	✓	✓	✓	✓
Sierra Leone	✓	✗	✓	✗	✗	✗	✓	✓
Slovakia	✓	✓	✓	✓	✓	✓	✓	✓
Slovenia	✓	✓	✓	✓	✓	✓	✓	✓
South Africa	✓	✓	✓	✓	✓	✓	✓	✓
Spain	✓	✓	✓	✓	✓	✓	✓	✓
Sweden	✓	✓	✓	✓	✓	✓	✓	✓
Switzerland	✓	✓	✓	✓	✓	✓	✓	✓
Trinidad and Tobago	✓	✓	✓	✓	✓	✓	✓	✗
United Kingdom	✓	✓	✓	✓	✓	✓	✓	✓
URUGUAY								

^{*}Report is private
 Has submitted public report
 HAVE NOT SUBMITTED REPORT

APPENDIX 2

EXPORTS AND IMPORTS

State	EXPORTS		IMPORTS
	Have measures to ensure authorizations are detailed and issued prior to export	Authorizations can be reassessed if new and relevant information becomes available	Have measures to ensure appropriate and relevant information is available to exporting State in order to assist an export assessment
Albania	✓	✓	✓
ANTIGUA AND BARBUDA			
ARGENTINA			
Australia	✓	✓	✓
Austria	✓	✓	✓
BAHAMAS			
Belgium	✓	✓	✓
Bosnia and Herzegovina	✓	✓	✓
Bulgaria	✓	✓	✓
Burkina Faso*			
Costa Rica	X	X	✓
Croatia	✓	✓	✓
Czech Republic	✓	✓	✓
DENMARK			
Dominican Republic	X	X	✓
EL SALVADOR			
Estonia	✓	✓	✓
Finland	✓	✓	✓
France	✓	✓	✓
Germany	✓	✓	✓
GRENADA			
GUINEA			
GUYANA			
Hungary	✓	X	X
Iceland	✓	✓	✓
Ireland	✓	✓	✓

*Report is private
 Has submitted public report
 HAVE NOT SUBMITTED REPORT

EXPORTS AND IMPORTS (CONTINUED)

State	EXPORTS		IMPORTS
	Have measures to ensure authorizations are detailed and issued prior to export	Authorizations can be reassessed if new and relevant information becomes available	Have measures to ensure appropriate and relevant information is available to exporting State in order to assist an export assessment
Italy	✓	✓	✓
Jamaica	✓	✓	✓
Japan	✓	✓	✓
Latvia	✓	✓	✓
Liechtenstein	✓	✓	✓
Lithuania	✓	✓	✓
Luxembourg	✓	✓	✓
Macedonia	✓	✓	✓
MALI			
MALTA			
Mexico	✓	✓	✓
Montenegro	✓	✓	✓
Netherlands	✓	✓	✓
New Zealand	✓	✓	✓
Nigeria*			
Norway	✓	✓	✓
Panama			
Poland	✓	✓	✓
Portugal	✓	✓	✓
Romania	✓	✓	✓
SAINT KITTS AND NEVIS			
SAINT LUCIA			
SAINT VINCENT AND THE GRENADINES			
Samoa	✓	✓	X
Senegal*			

*Report is private
 Has submitted public report
 HAVE NOT SUBMITTED REPORT

EXPORTS AND IMPORTS (CONTINUED)

State	EXPORTS		IMPORTS
	Have measures to ensure authorizations are detailed and issued prior to export	Authorizations can be reassessed if new and relevant information becomes available	Have measures to ensure appropriate and relevant information is available to exporting State in order to assist an export assessment
Serbia	✓	✓	✓
Sierra Leone	X	X	✓
Slovakia	✓	✓	✓
Slovenia	✓	✓	✓
South Africa	✓	✓	✓
Spain	✓	✓	✓
Sweden	✓	✓	✓
Switzerland	✓	✓	✓
Trinidad and Tobago	✓	✓	X
United Kingdom	✓	✓	✓
URUGUAY			

APPENDIX 2

TRANSIT/TRANSHIPMENT & BROKERING

State	Provides definition of transit/transhipment	Provides definition of brokering
Albania	X	✓
ANTIGUA AND BARBUDA		
ARGENTINA		
Australia	X	(not defined, but explained)
Austria	✓	✓
BAHAMAS		
Belgium	✓	✓
Bosnia and Herzegovina	X	✓
Bulgaria	X	✓
Burkina Faso*		
Costa Rica	✓	✓
Croatia	X	✓
Czech Republic	X	✓
DENMARK		
Dominican Republic	X	✓
EL SALVADOR		
Estonia	X	✓
Finland	X	✓
FRANCE		
Germany	X	✓
GRENADA		
GUINEA		
GUYANA		
Hungary	X	✓
Iceland		✓
Ireland	X	✓

State	Provides definition of transit/transhipment	Provides definition of brokering
Italy	X	✓
Jamaica	X	X
Japan	X	X
Latvia	X	✓
Liechtenstein	X	✓
Lithuania	✓	✓
Luxembourg	X	✓
Macedonia	✓	✓
MALI		
MALTA		
Mexico	✓	✓
Montenegro	✓	✓
Netherlands	X	✓
New Zealand	X	✓ (draft definition)
Nigeria*		
Norway	X	✓
PANAMA		
Poland	X	✓
Portugal	X	✓
Romania	X	✓
SAINT KITTS AND NEVIS		
SAINT LUCIA		
SAINT VINCENT AND THE GRENADINES		
Samoa	X	X
Senegal*		
Serbia	✓	✓

*Report is private
 Has submitted public report
 HAVE NOT SUBMITTED REPORT

TRANSIT/TRANSHIPMENT & BROKERING (CONTINUED)

State	Provides definition of transit/transshipment	Provides definition of brokering
Sierra Leone	X	X
Slovakia	X	✓
Slovenia	X	✓
South Africa	X	X
Spain	X	✓
Sweden	✓	✓
Switzerland	X	✓
Trinidad and Tobago	X	X
United Kingdom	✓	X
URUGUAY		

APPENDIX 2

PROHIBITIONS

State	Prohibits arms transfers in all circumstances specified in Article 6
Albania	✓
ANTIGUA AND BARBUDA	
ARGENTINA	
Australia	✓
Austria	✓
BAHAMAS	
Belgium	✓
Bosnia and Herzegovina	✓
Bulgaria	✓
Burkina Faso*	
Costa Rica	✓
Croatia	✓
Czech Republic	✓
DENMARK	
Dominican Republic	✓
EL SALVADOR	
Estonia	✓
Finland	✓
France	✓
Germany	✓
GRENADA	
GUINEA	
GUYANA	
Hungary	✓
Iceland	✓
Ireland	✓

State	Prohibits arms transfers in all circumstances specified in Article 6
Italy	✓
Jamaica	✓
Japan	✓
Latvia	✓
Liechtenstein	✓
Lithuania	✓
Luxembourg	✓
Macedonia	✓
MALI	
MALTA	
Mexico	✓
Montenegro	✓
Netherlands	✓
New Zealand	✓
Nigeria*	
Norway	✓
PANAMA	
Poland	✓
Portugal	✓
Romania	✓
SAINT KITTS AND NEVIS	
SAINT LUCIA	
SAINT VINCENT AND THE GRENADINES	
Samoa	✓
Senegal*	
Serbia	✓

State	Prohibits arms transfers in all circumstances specified in Article 6
Sierra Leone	✓
Slovakia	✓
Slovenia	✓
South Africa	✓
Spain	✓
Sweden	✓
Switzerland	✓
Trinidad and Tobago	✗
United Kingdom	✓
URUGUAY	

APPENDIX 2

DIVERSION

State	Measures in place to prevent diversion	Require end-use(r) documentation, statements, and/or other assurances	Examine parties involved in transfer	Require additional documentation, certification, and/or other assurances	Exchange relevant information with other States Parties	Measures in place to be taken when diversion has been detected
Albania	✓	✓	✓	✓	✓	✓
ANTIGUA AND BARBUDA						
ARGENTINA						
Australia	✓	✓	✓	✓	✓	✓
Austria	✓	✓	✓	✓	✓	✓
BAHAMAS						
Belgium	✓	✓	✓	✓	✓	✓
Bosnia and Herzegovina	✓	✓	✓	✓	✓	✓
Bulgaria	✓	✓	✓	✓	✓	✓
Burkina Faso*						
Costa Rica	✓	✓	X	✓	✓	✓
Croatia	✓	✓	✓	✓	✓	✓
Czech Republic	✓	✓	✓	✓	✓	✓
DENMARK						
Dominican Republic	✓	✓	✓	✓	✓	✓
EL SALVADOR						
Estonia	✓	✓	✓	✓	✓	✓
Finland	✓	✓	✓	✓	✓	✓
France	✓	✓	✓	✓	✓	✓
Germany	✓	✓	✓	✓	✓	✓
GRENADA						
GUINEA						
GUYANA						
Hungary	✓	X	X	X	X	X
Iceland	✓	✓	✓	✓	✓	✓
Ireland	✓	✓	✓	✓	✓	✓

*Report is private
 Has submitted public report
 HAVE NOT SUBMITTED REPORT

DIVERSION (CONTINUED)

State	Measures in place to prevent diversion	Require end-use(r) documentation, statements, and/or other assurances	Examine parties involved in transfer	Require additional documentation, certification, and/or other assurances	Exchange relevant information with other States Parties	Measures in place to be taken when diversion has been detected
Italy	✓	✓	✓	✓	✓	✓
Jamaica	✓	✓	✓	✓	✓	X
Japan	✓	X	X	X	✓	✓
Latvia	✓	✓	✓	✓	✓	✓
Liechtenstein	✓	✓	✓	✓	✓	✓
Lithuania	✓	✓	✓	✓	✓	✓
Luxembourg	✓	✓	✓	✓	✓	X
Macedonia	✓	X	X	X	✓	✓
MALI						
MALTA						
Mexico	✓	✓	✓	✓	✓	✓
Montenegro	X	X	X	X	X	X
Netherlands	✓	✓	✓	✓	✓	✓
New Zealand	✓	✓	✓	✓	✓	✓
Nigeria*						
Norway	✓	✓	✓	✓	✓	✓
PANAMA						
Poland	✓	✓	✓	✓	✓	✓
Portugal	✓	✓	✓	✓	✓	✓
Romania	✓	✓	✓	✓	✓	✓
SAINT KITTS AND NEVIS						
SAINT LUCIA						
SAINT VINCENT AND THE GRENADINES						
Samoa	✓	✓	✓	✓	✓	X
SENEGAL*						

*Report is private
 Has submitted public report
 HAVE NOT SUBMITTED REPORT

DIVERSION (CONTINUED)

State	Measures in place to prevent diversion	Require end-use(r) documentation, statements, and/or other assurances	Examine parties involved in transfer	Require additional documentation, certification, and/or other assurances	Exchange relevant information with other States Parties	Measures in place to be taken when diversion has been detected
Serbia	✓	✓	✓	✓	✓	✓
Sierra Leone	✓	✓	✓	✓	✓	✓
Slovakia	✓	✓	✓	✓	✓	✓
Slovenia	✓	✓	✓	✓	✓	✓
South Africa	✓	✓	✓	✓	✓	✓
Spain	✓	✓	✓	✓	✓	✓
Sweden	✓	✓	✓	✓	✓	✓
Switzerland	✓	✓	✓	✓	✓	✓
Trinidad and Tobago	X	✓	X	X	X	X
United Kingdom	✓	✓	X	✓	✓	✓
URUGUAY						

APPENDIX 2

ENFORCEMENT

State	Measures in place to enforce national laws and regulations that implement the ATT	National legislation allows for the provision of joint assistance in investigations, prosecutions and judicial proceedings
Albania	✓	✓
ANTIGUA AND BARBUDA		
ARGENTINA		
Australia	✓	
Austria	✓	✓
BAHAMAS		
Belgium	✓	✓
Bosnia and Herzegovina	✓	✓
Bulgaria	✓	✓
Burkina Faso*		
Costa Rica	✗	✗
Croatia	✓	✓
Czech Republic	✓	✓
DENMARK		
Dominican Republic	✓	✓
EL SALVADOR		
Estonia	✓	✓
Finland	✓	✓
France	✓	✗
Germany	✓	✓
GRENADA		
GUINEA		
GUYANA		
Hungary	✓	✓

State	Measures in place to enforce national laws and regulations that implement the ATT	National legislation allows for the provision of joint assistance in investigations, prosecutions and judicial proceedings
Iceland	✓	✓
Ireland	✓	✓
Italy	✓	✓
Jamaica	✗	✗
Japan	✓	✓
Latvia	✓	✓
Liechtenstein	✓	✓
Lithuania	✓	✓
Luembourg	✓	✓
Macedonia	✓	✓
MALI		
MALTA		
Meico	✓	✗
Montenegro	✓	✗
Netherlands	✓	✓
New Zealand	✓	✓
Nigeria*		
Norway	✓	✓
PANAMA		
Poland	✓	✓
Portugal	✓	✓
Romania	✓	✓
SAINT KITTS AND NEVIS		
SAINT LUCIA		

*Report is private
 Has submitted public report
 HAVE NOT SUBMITTED REPORT

ENFORCEMENT (CONTINUED)

State	Measures in place to enforce national laws and regulations that implement the ATT	National legislation allows for the provision of joint assistance in investigations, prosecutions and judicial proceedings
SAINT VINCENT AND THE GRENADINES		
Samoa	✓	✓
Senegal*		
Serbia	✓	X
Sierra Leone	✓	✓
Slovakia	✓	✓
Slovenia	✓	✓
South Africa	✓	✓
Spain	✓	✓
Sweden	✓	✓
Switzerland	✓	✓
Trinidad and Tobago	✓	✓
United Kingdom	✓	✓
URUGUAY		