

Trade Update

September 2017



TRADE UPDATE 2017

Out of the Shadows

Paul Holtom and Irene Pavesi



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Australian Government

Department of Foreign Affairs and Trade

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Credits

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Small Arms Survey
Graduate Institute of International and Development Studies
Maison de la Paix, Chemin Eugène-Rigot 2E
1202 Geneva, Switzerland

Content edited by Glenn McDonald

Copy-edited by Tania Inowlocki (tania.inowlocki@smallarmssurvey.org)

Proofread by Stephanie Huitson (readstephanie@gmail.com)

Typeset in Meta by Rick Jones (rick@studioexile.com)

Infographics by Daly Design (studio@dalydesign.co.uk)

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About the authors

Paul Holtom is a senior researcher at the Small Arms Survey. His research focuses on efforts to regulate and monitor the international arms trade, as well as measures to address arms trafficking and diversion. He was the director of the Stockholm International Peace Research Institute's Arms Transfers Programme (2009–13) and served as adviser to the 2013 and 2016 United Nations' Group of Governmental Experts on the UN Register of Conventional Arms.

Irene Pavesi is a researcher at the Small Arms Survey. Her work focuses on transparency issues related to the international arms trade, as well as on methods for monitoring and measuring lethal violence at the global level. Since 2012, she has coordinated the Small Arms Trade Transparency Barometer and the Small Arms Survey Database on Violent Deaths.

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List of abbreviations and acronyms

| | |
|--------------------|------------------------------------------------------------------------------------------------|
| ATGM | Anti-tank guided missile |
| ATT | Arms Trade Treaty |
| CAS | Continental Aviation Services |
| CSP | Conference of States Parties for the Arms Trade Treaty |
| GGE | Group of Governmental Experts |
| HS | Harmonized System |
| JCPOA | Joint Comprehensive Plan of Action |
| MANPADS | Man-portable air defence system |
| NCACC | National Conventional Arms Control Committee |
| NISAT | Norwegian Initiative on Small Arms Transfers |
| SEESAC | South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons |
| UAE | United Arab Emirates |
| UN Comtrade | United Nations Commodity Trade Statistics Database |
| UN Register | United Nations Register of Conventional Arms |



The 2017 edition of the Trade Update seeks to shed further light on the sometimes murky, authorized international trade in small arms, with a focus on recent developments in small arms trade transparency and on the trade of the least transparent major exporters.”

Introduction

In August 2016, Egypt intercepted a cargo of around 30,000 PG-7 rocket-propelled grenades and related subcomponents that were hidden under 2,300 tons of iron ore aboard the vessel *Jie Shun* (UNSC, 2017b, paras. 61–71). The seized cargo originated in North Korea and was estimated to be worth several million US dollars, yet data compiled for the United Nations Commodity Trade Statistics Database (UN Comtrade) indicates that North Korea rarely exports more than USD 100,000 worth of small arms in a given year. The 2017 edition of the Trade Update seeks to shed further light on the sometimes murky, authorized international trade in small arms, with a focus on recent developments in small arms trade transparency and on the trade of the least transparent major exporters.

The 2017 Trade Update addresses the following key questions:

- Which countries were the top and major exporters and importers in 2014?
- What are the trends in values transferred at the regional and subregional levels from 2001 to 2014?
- Which countries are the most, and least, transparent top and major exporters?
- Has the Arms Trade Treaty (ATT) increased the transparency of international transfers of small arms?
- Is it possible to determine whether an untransparent country is in fact a top or major exporter?
- What does reliable open source data reveal about the value of small arms transferred by untransparent exporters and trends in such trade?

The Trade Update 2017 comprises three main sections. The first provides an overview of regional and subregional trends in small arms imports since 2001, using Comtrade data (see Box 1). It identifies the top and major exporters and importers of small arms in 2014. Section II presents the 2017 edition of the Small Arms Trade Transparency Barometer. It also considers the implications for small arms trade transparency of the first set of annual reports provided by states parties to the ATT and of the 2016 Group of Governmental Experts (GGE) on the UN Register of Conventional Arms (UN Register). Section III shifts the spotlight to the least transparent exporting countries, using a wide array of data sources to assess the scale of their small arms exports. The conclusion summarizes some of the key messages of this Trade Update and highlights several developments to monitor.

Key findings

The main findings include the following:

- In 2014, the top exporters of small arms (those with annual exports of at least USD 100 million), in descending order, were: the United States, Italy, Brazil, Germany, South Korea, Austria, Turkey, the Russian Federation, the Czech Republic, Belgium, Croatia, Israel, Spain, Switzerland, and Japan. Brazil exported more than USD 500 million worth of small arms for the first time during 2001–14.
- In 2014, the top importers of small arms (those with annual imports of at least USD 100 million), in descending order, were: the United States, Canada, Indonesia, Saudi Arabia, Germany, Australia, Iraq, France, the Netherlands, and the United Kingdom. The United States remains the world's largest importer, but the value of its imports declined for the first time since 2001, from USD 2.5 billion in 2013 to USD 2.2 billion in 2014.
- The international small arms trade was worth at least USD 6 billion in 2014. Ammunition accounted for 38 per cent of global transfers. The value of 'military firearm' shipments increased by 49 per cent between 2013 and 2014, from USD 475 million to USD 708 million. In contrast, the value of the trade in pistols and revolvers declined by 16 per cent, from USD 1 billion to USD 845 million.
- The 2017 edition of the Small Arms Trade Transparency Barometer identifies Germany, Switzerland, the Netherlands, and Serbia as the most transparent top and major small arms exporters. Iran, Israel, North Korea, Saudi Arabia, and the United Arab Emirates (UAE) are the least transparent major exporters.
- The average score in the 2017 Barometer is 11.33 out of 25 points. The areas that have seen the most improvement over the past year are: comprehensiveness (+17 per cent), access and consistency (+12 per cent), licences denied (+11 per cent), and clarity (+4 per cent).
- In their first ATT annual reports, Austria, Costa Rica, the Dominican Republic, and Liberia—none of which had reported small arms transfers to the UN Register—provided information on small arms transfers, thus increasing overall transparency on international small arms transfers.
- Although Iran, North Korea, and the UAE rarely, if ever, recorded small arms exports worth USD 10 million or more in Comtrade, Survey research indicates that they are major small arms exporters. It is more difficult to determine the status of Saudi Arabia, which appears to be a significant re-exporter of small arms.

Box 1 Note to the reader: UN Comtrade data

The figures on the international small arms trade in Sections I and II of this report are based on an analysis of customs data that states provide voluntarily to UN Comtrade. While UN Comtrade captures much international commercial activity, it does not capture all small arms transfers as many states do not report them to UN Comtrade, or do so only partially. If both an exporter and importer of a specific transaction do not share any details of a transfer with UN Comtrade, the activity will not be reflected in the estimates on the global small arms trade contained in Sections I and II of this report. Moreover, transfers of some light weapons, light weapons ammunition, and accessories for small arms and light weapons are not discernible from the non-small arms trade that UN Comtrade tracks, and therefore are not covered in this analysis. As a result, this Trade Update is skewed towards documenting more transparent countries and most certainly underestimates the total value and extent of the global trade in small arms.

To compensate for non-reporting, and to help resolve discrepancies between information provided by an exporter and an importer, the analysis uses the Norwegian Initiative on Small Arms Transfers (NISAT) Reliability Index (Marsh, 2005). It attributes a 'reliability score' that can be used to determine whether to use the data provided to UN Comtrade by an exporter or importer if their figures conflict. The state with the higher reliability score is used.

The UN Comtrade data used for the analysis of the documented trade in 2014 is correct as of 28 November 2016. The analysis does not take into account information that states have reported or amended since that date.



Top exporters and importers

States that traded at least USD 100 million worth of small arms in one calendar year.



Major exporters and importers

States that traded at least USD 10 million worth of small arms in one calendar year.



Top and major exporters, as defined by the Small Arms Survey, account for almost 99 per cent of the global authorized small arms trade, as documented by UN Comtrade. Comtrade data for these states indicates that the financial value of the small arms trade in 2014 was worth at least USD 6 billion.”

I. Authorized transfers

This section presents data and analysis of authorized small arms transfers undertaken in 2014. It uses the financial value of small arms¹ imports and exports reported by states to UN Comtrade, as compiled by the Norwegian Initiative on Small Arms Transfers (NISAT, n.d.).² According to this data, top and major exporters, as defined by the Small Arms Survey (see Box 2), account for almost 99 per cent of the global authorized small arms trade, as documented by Comtrade. Comtrade data for these states indicates that the financial value of the small arms trade in 2014 was worth at least USD 6 billion. This figure represents a 4 per cent increase over the estimated value of the small arms trade in 2013 (USD 5.8 billion).

Top and major exporters in 2014

Between 2013 and 2014, the number of top and major exporters increased from 40 to 42. This total represents the largest number of states accorded top and major exporter status since the Small Arms Survey began collecting trade data for the calendar year 2001. Table 2 presents the list of top and major exporters by tier (see Box 2);

Box 2 Defining top and major small arms exporters and importers

The Small Arms Survey identifies top and major exporters and importers by assessing the financial value of their annual documented small arms exports and imports, based on UN Comtrade data, as elaborated by NISAT (Marsh, 2005). Top exporters and importers are states that traded at least USD 100 million worth of small arms and light weapons in a calendar year. Major exporters and importers are states that traded at least USD 10 million worth of small arms and light weapons in a calendar year. For the purposes of this analysis, top and major exporters and importers are classified according to a tier system, as shown in Table 1.

Table 1 Tier classification of top and major exporters and importers of small arms

| Category of exporter or importer | | Value traded (USD) |
|----------------------------------|--------|--------------------|
| Top | Tier 1 | ≥500 million |
| | Tier 2 | 100–499 million |
| Major | Tier 3 | 50–99 million |
| | Tier 4 | 10–49 million |

it also indicates each exporter’s level of transparency in reporting on transfers, as assessed by the 2017 Small Arms Trade Transparency Barometer (see Section II).

The 15 top exporters of 2014 accounted for 80 per cent of the value of documented small arms exports (USD 4.9 billion). The three largest exporters accounted for close to 40 per cent of those transfers: the United States exported USD 1.1 billion worth of small arms, Italy USD 689 million, and Brazil USD 591 million (see Figure 1). In 2014, Brazil recorded exports worth more than USD 500 million for the first time since the Small Arms Survey began collecting data, in 2001. In contrast, according to Comtrade, China recorded a 26 per cent decline in its small arms exports, from USD 126 million in 2013 to USD 93 million in 2014. Table A1 of the Annex to this Update contains information on the total value of exports, types of small arms exported, and main trading partners for each major exporter.

“ In 2014, Brazil recorded exports worth more than USD 500 million for the first time since the Small Arms Survey began collecting data, in 2001.”

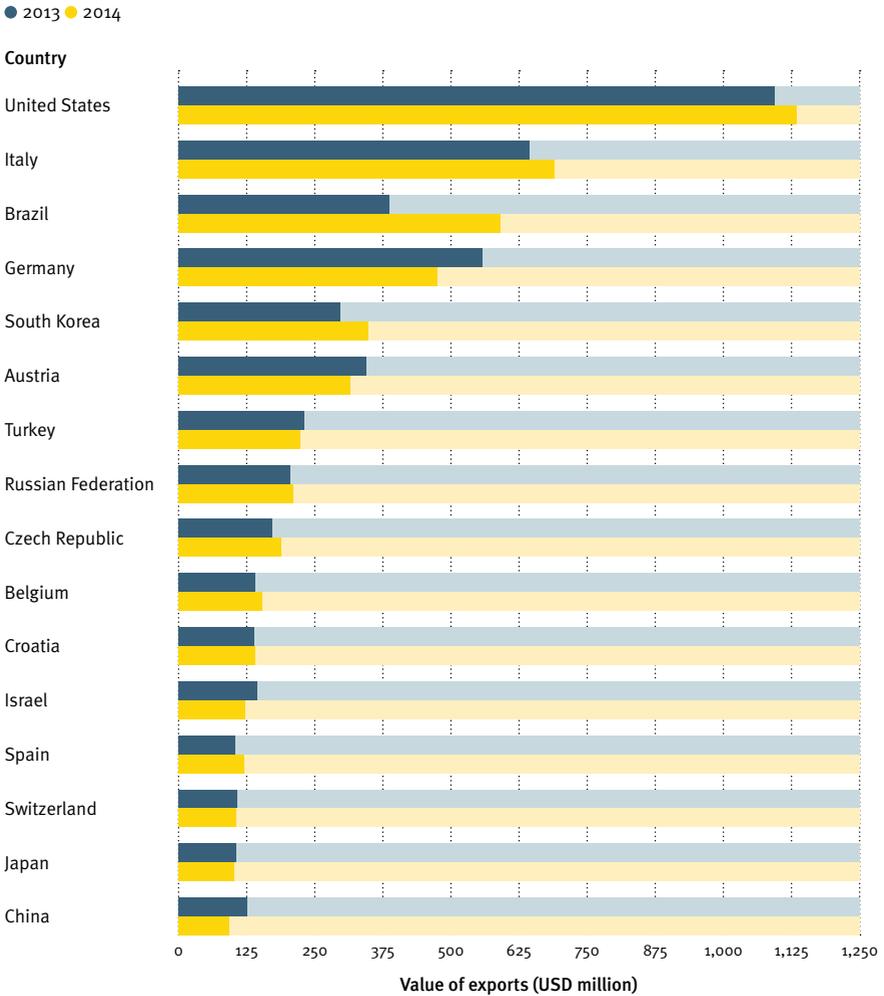
Table 2 Top and major small arms exporters, as reported to UN Comtrade data, 2014, with transparency indicators

| Category | | Export value (USD) | Exporters (in descending order of export value) |
|-----------------|--------|--------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Top exporters | Tier 1 | ≥500 million | United States*; Italy*; Brazil* |
| | Tier 2 | 100–499 million | Germany*; South Korea*; Austria*; Turkey*; Russian Federation*; Czech Republic*; Belgium*; Croatia*; Israel*; Spain*; Switzerland*; Japan* |
| Major exporters | Tier 3 | 50–99 million | Finland*; China*; France*; United Kingdom*; Canada*; Mexico*; Serbia*; Norway*; Sweden* |
| | Tier 4 | 10–49 million | Philippines*; India*; South Africa*; Poland*; Slovakia*; Portugal*; Hungary*; Taiwan, China*; Bulgaria*; United Arab Emirates*; Singapore*; Australia*; Bosnia and Herzegovina*; Netherlands*; Denmark*; Cyprus*; Romania*; Argentina* |

Note: Transparency indicators are based on Small Arms Trade Transparency Barometer 2017 scores: * Level 1 (20.25–25.00); * Level 2 (15.25–20.00); * Level 3 (10.25–15.00); * Level 4 (5.25–10.00); * Level 5 (0.00–5.00).

Sources: NISAT (n.d); Small Arms Survey (2017)

Figure 1 Export values of the top small arms exporters (USD million), 2013–14



Note: China was a top exporter in 2013 but not in 2014.

Source: NISAT (n.d.)

Four states that were not among the major exporters in 2013 recorded exports above USD 10 million in 2014. In alphabetical order, they are:

- Denmark (whose exports increased from USD 9 million to 14 million);
- the Netherlands (USD 7 million to 14 million);

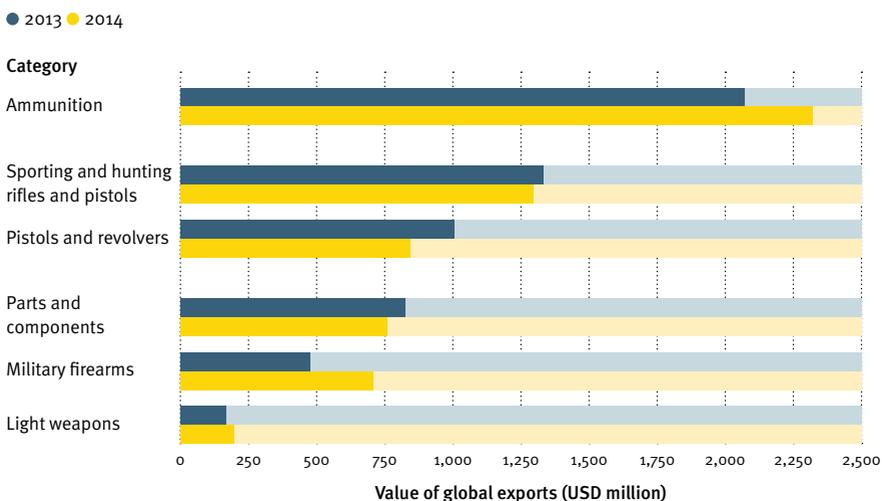
- Singapore (USD 4 million to 21 million); and
- the UAE (USD 1 million to 22 million).

Two countries that were among the major exporters in 2013, Peru and Ukraine, dropped out of this category in 2014, with exports of USD 6 million and USD 7 million, respectively.

Figure 2 shows changes in the value of global small arms exports between 2013 and 2014. Ammunition accounted for 38 per cent of the 2014 value, up from 35 per cent in 2013. It continues to constitute the largest of the six categories of small arms-related exports identified in Comtrade data (Holtom, Pavesi, and Rigual, 2014, p. 115). Transfers of ammunition in 2014 were worth USD 2.3 billion, 12 per cent more than in 2013.

“Military firearms accounted for the most significant increase in the value of exported small arms between 2013 and 2014 . . . This surge is primarily due to a large increase in the value of Brazil’s documented exports of military firearms.”

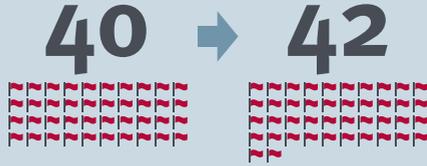
Figure 2 Values of global small arms exports (USD million), by category, 2013–14



Source: NISAT (n.d.)

Top and major exporters in 2014

From 2013 to 2014, the number of top and major exporters increased from 40 to 42.



15



Top exporters

The top fifteen exporters of 2014 accounted for 80% of documented small arms exports, totalling USD 4.9 billion.

The top three exporters accounted for nearly 40% of all transfers.

3



80%
\$4.9 billion



40%
US → \$1.1 billion
Italy → \$689 million
Brazil → \$591 million

In 2014, Brazil recorded exports worth more than USD 500 million for the first time since the Small Arms Survey began collecting data in 2001.

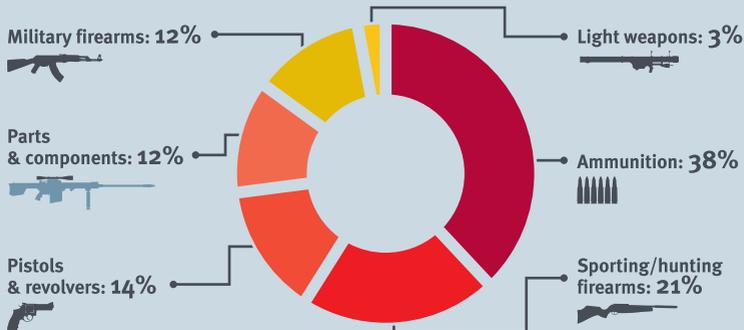
Major exporters

Four countries that were not categorized as major exporters in 2013, were added in 2014.

4

| | 2013 | 2014 |
|-------------|---------------|----------------|
| Denmark | USD 9 million | USD 14 million |
| Netherlands | USD 7 million | USD 14 million |
| Singapore | USD 4 million | USD 21 million |
| UAE | USD 1 million | USD 22 million |

Percentage of global small arms exports, by category, 2014



Military firearms accounted for the most significant increase in the value of exported small arms between 2013 and 2014: the total transfer value rose by 49 per cent, from USD 475 million to USD 708 million. This surge is primarily due to a large increase in the value of Brazil’s documented exports of military firearms, as recorded through importer (mirror) data, from less than USD 1 million in 2013 to USD 198 million in 2014. The value of global exports of light weapons increased by 19 per cent, from USD 166 million in 2013 to USD 197 million in 2014. The 16 per cent decline in the value of exports of pistols and revolvers, from USD 1 billion to USD 845 million, is primarily due to lower recorded exports values for Austria, Brazil, and Germany. The drop in exports of pistols and revolvers by Austria and Brazil is also documented by Comtrade mirror data.

Top and major importers in 2014

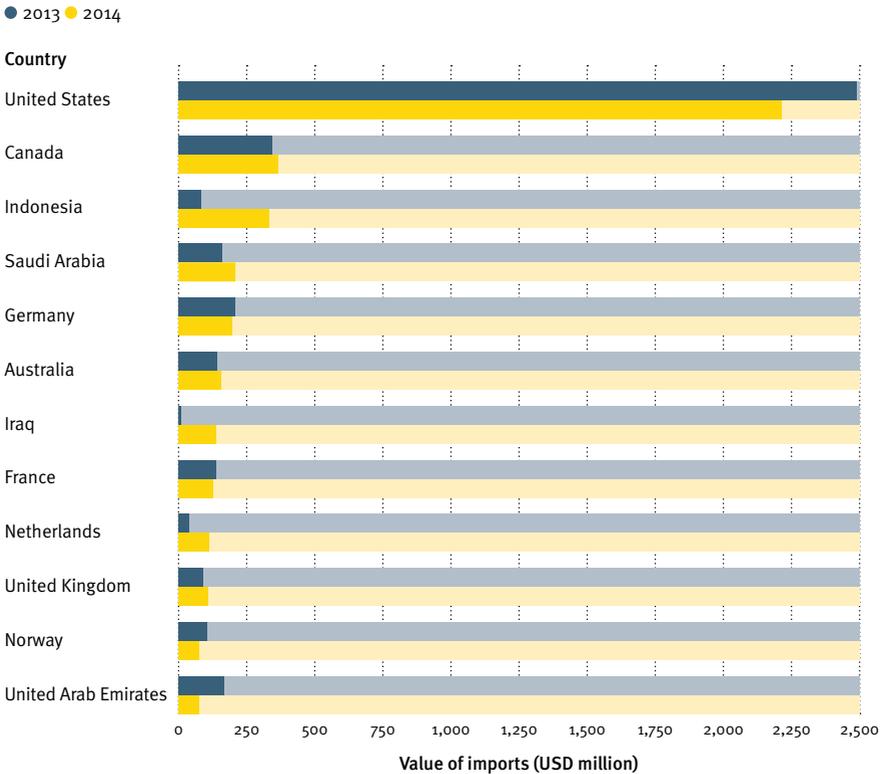
In 2014, 63 countries—six more than the previous year—qualified as top and major importers in that they recorded at least USD 10 million worth of imports (see Table 3). Comtrade data shows that these 63 states accounted for 96 per cent of the reported value of small arms imports in 2014 (see Figure 3). The data reveals a decline in the value of US small arms imports for the first time in the Trade Update time series: from USD 2.5 billion in 2013 to USD 2.2 billion in 2014. Despite that dip, the United States

Table 3 Top and major small arms importers, as reported to UN Comtrade data, 2014

| Category | | Import value (USD) | Importers (in descending order of import value) |
|-----------------|--------|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Top importers | Tier 1 | ≥500 million | United States |
| | Tier 2 | 100–499 million | Canada, Indonesia, Saudi Arabia, Germany, Australia, Iraq, France, Netherlands, United Kingdom |
| Major importers | Tier 3 | 50–99 million | Israel, Mexico, Norway, Philippines, United Arab Emirates, Belgium, Italy, Thailand, Colombia, Russian Federation, Turkey, Egypt, Denmark, Switzerland |
| | Tier 4 | 10–49 million | Portugal, Spain, Japan, Austria, South Africa, Poland, Finland, Oman, Czech Republic, Sweden, South Korea, Lebanon, Jordan, Brazil, New Zealand, Pakistan, Kuwait, Luxembourg, Malawi, Singapore, Qatar, Slovakia, Chile, Kazakhstan, Estonia, Ukraine, Côte d'Ivoire, Argentina, Paraguay, Hungary, Afghanistan, Morocco, Bulgaria, Algeria, Peru, Greece, Malaysia, Guatemala, Botswana |

Sources: NISAT (n.d.); Small Arms Survey (2017b)

Figure 3 Import values of the top small arms importers, 2013–14



Norway and the United Arab Emirates were top exporters in 2013 but not in 2014.

Source: NISAT (n.d.)

accounted for more than one-third (36 per cent) of that year’s value of small arms imports. Table A2 of the Annexe to this Update contains information on the total value of imports, types of small arms imported, and main trading partners for each top and major importer.

Four states changed their status from major importer in 2013 to top importer in 2014 (in alphabetical order):

- Indonesia (whose imports increased from USD 81 million to USD 331 million);
- Iraq (USD 10 million to USD 139 million);
- the Netherlands (USD 37 million to USD 111 million); and
- the United Kingdom (USD 91 million to USD 109 million).

Top and major importers in 2014

In 2014, 63 countries qualified as top and major importers in that they recorded at least USD 10 million worth of imports. Comtrade data shows that these 63 states accounted for 96% of the value of small arms imports that year.



Even though the US small arms imports declined from USD 2.5 billion in 2013 to USD 2.2 billion in 2014, the country still accounted for 36% of the value of small arms imports in 2014.

Top importers

Four states changed their status from major importer in 2013 to top importer in 2014



| | 2013 | 2014 |
|----------------|----------------|-----------------|
| Indonesia | USD 81 million | USD 331 million |
| Iraq | USD 10 million | USD 139 million |
| Netherlands | USD 37 million | USD 111 million |
| United Kingdom | USD 91 million | USD 109 million |

Iraq became a top importer for the first time since data collection by the Small Arms Survey began.

Major importers

Nine states that recorded imports below the USD 10 million threshold in 2013 qualified as major importers in 2014.



| | 2013 | 2014 |
|---------------|---------------|----------------|
| Afganistan | USD 6 million | USD 13 million |
| Algeria | USD 2 million | USD 12 million |
| Botswana | USD 4 million | USD 10 million |
| Bulgaria | USD 9 million | USD 12 million |
| Côte d'Ivoire | USD 9 million | USD 16 million |
| Greece | USD 8 million | USD 11 million |
| Luxembourg | USD 7 million | USD 24 million |
| Malawi | USD 3 million | USD 22 million |
| Morocco | USD 6 million | USD 13 million |

Most notably, Iraq became a top importer for the first time since data collection began. In contrast, the UAE's imports dropped from USD 168 million in 2013 to USD 75 million in 2014.

Nine states that recorded imports below the USD 10 million threshold in 2013 qualified as major importers in 2014. In alphabetical order, they are:

- Afghanistan (whose imports increased from USD 6 million to USD 13 million);
- Algeria (USD 2 million to USD 12 million);
- Botswana (USD 4 million to USD 10 million);
- Bulgaria (USD 9 million to USD 12 million);
- Côte d'Ivoire (USD 9 million to USD 16 million);
- Greece (USD 8 million to USD 11 million);
- Luxembourg (USD 7 million to USD 24 million);
- Malawi (USD 3 million to USD 22 million); and
- Morocco (USD 6 million to USD 13 million).

The Dominican Republic, Latvia, and Sudan were among the major importers in 2013 but recorded imports below the USD 10 million threshold in 2014.

Regional trends in small arms imports

This section uses Comtrade data to assess regional trends for authorized—and reported—imports for the period 2001–14. It covers imports to all states in four geographic regions—Africa, the Americas, Asia and the Pacific, and Europe—including imports from one state to another in the same region (see Figure 4).³ The Americas accounted for 40 per cent of global small arms imports, followed by Europe (30 per cent), Asia and the Pacific (26 per cent), and Africa (4 per cent). The following sections break down the trend data by type of small arm, subregion, and top importers in each region.

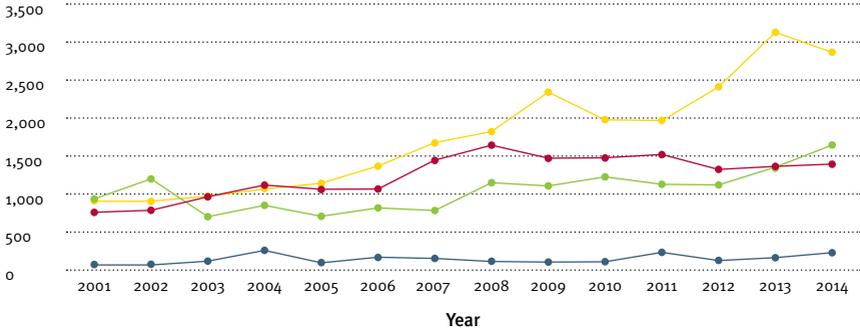
Africa

Although the Africa region had the lowest value for documented small arms imports in 2001–14, the value almost tripled, from USD 82 million to USD 237 million. Thirteen African states imported more than USD 10 million worth of small arms at least once during this period. Egypt is the only African state that qualified as a top importer in 2001–14, with USD 148 million worth of small arms imports in 2004, mostly from the Czech Republic.

Figure 4 Global trends of small arms imports by region, as reported to UN Comtrade (USD million), 2001–14

● Africa ● Americas ● Asia and the Pacific ● Europe

Value of imports (USD million)



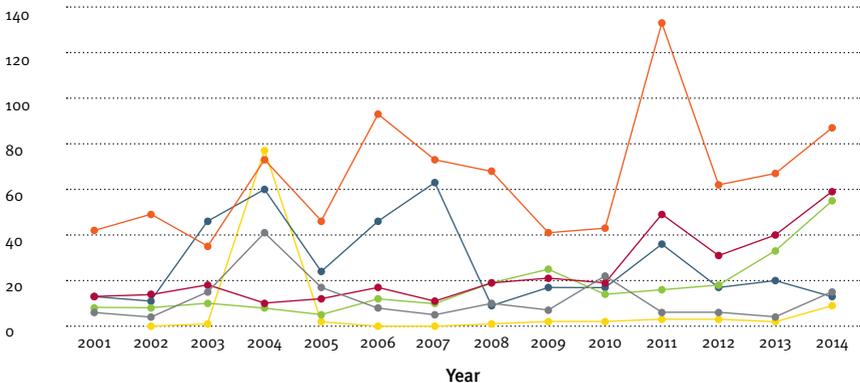
Note: All values are expressed in constant 2014 US dollars.

Source: NISAT (n.d.)

Figure 5 Value of small arms supplied to Africa, by category, as reported to UN Comtrade (USD million), 2001–14

● Military firearms ● Light weapons ● Pistols and revolvers
● Sporting/hunting firearms ● Parts and components ● Ammunition

Value of imports (USD million)



Notes: All values are expressed in constant 2014 US dollars. UN Comtrade category 930120 (light weapons) was introduced in the 2002 Harmonized System.

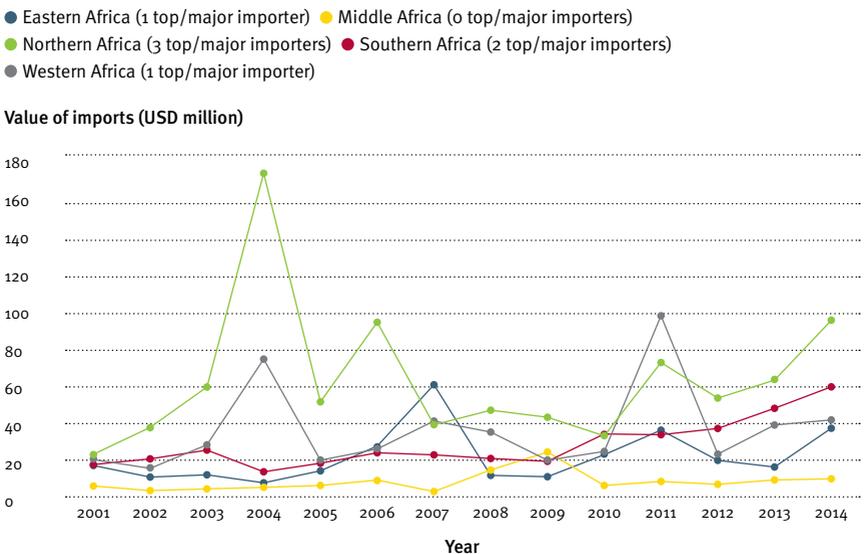
Source: NISAT (n.d.)

Small arms ammunition accounted for 37 per cent (USD 87 million) of all documented African small arms imports in 2014 (see Figure 5).

Northern Africa accounts for the largest share of small arms imports to Africa (see Figure 6). UN Comtrade registers an average annual flow of small arms to Northern Africa equal to USD 62 million (see Table 4). The subregion’s documented small arms imports were worth USD 93 million in 2014, a 51 per cent increase compared to 2013. The largest importing states in the subregion in 2014, starting with the largest importer, were Egypt, Morocco, and Algeria (see Box 3).

Table 4 shows that, in the region, Western Africa was the second-largest importer of small arms, with imports worth an average of USD 35 million per year. Southern Africa was the third, with USD 27 million in imports; the increase in the value of small arms supplies to this subregion correlates with a growth in imports of sporting and hunting firearms, which accounted for more than 50 per cent of imports to Southern Africa during this period. Eastern Africa registered the highest percentage increase (130 per cent) in the value of documented imports between 2013 and 2014. In the subregion, Malawi increased its small arms imports by 633 per cent, from USD 3 million in 2013 to USD 22 million in 2014, making it the third-largest African small arms importer in 2014.

Figure 6 Value of small arms supplied to Africa, by subregion, as reported to UN Comtrade (USD million), 2001–14



Note: All values are expressed in constant 2014 US dollars.

Source: NISAT (n.d.)

Table 4 Value of small arms supplied to Africa, by subregion, as reported to UN Comtrade (USD million), 2001–14

| Subregion | Value of small arms imports (USD million) | | | | % change in import value, 2013 vs. 2014 |
|-----------------|-------------------------------------------|------|------------------|--------------------------|-----------------------------------------|
| | 2001 | 2014 | Average, 2001–14 | Change from 2001 to 2014 | |
| Eastern Africa | 17 | 36 | 21 | 20 | 130% |
| Middle Africa | 6 | 9 | 8 | 4 | 6% |
| Northern Africa | 22 | 93 | 62 | 71 | 51% |
| Southern Africa | 17 | 58 | 27 | 41 | 24% |
| Western Africa | 20 | 41 | 35 | 21 | 7% |

Notes: All values are expressed in constant 2014 US dollars. Due to rounding, individual values may not add up.

Source: NISAT (n.d.)

Box 3 Africa’s five largest small arms importers, 2001–14, in alphabetical order⁴

- **Côte d’Ivoire.** The value of Côte d’Ivoire’s small arms imports increased significantly in 2003–04, 2005–06, 2010–11, and 2013–14. In 2014, Comtrade recorded imports of small arms ammunition from France worth USD 15 million, or 95 per cent of Côte d’Ivoire’s total imports.
- **Egypt.** A top importer in 2004, Egypt acquired USD 62 million worth of light weapons and USD 121 million worth of small arms. The country’s small arms imports increased tenfold between 2001 and 2014, from USD 5 million to USD 58 million. In 2014, more than half of Egypt’s small arms imports consisted of pistols and revolvers, USD 32 million worth of which hailed from the Czech Republic, Italy, and Serbia.
- **Morocco.** In 2011, Morocco registered its highest value of small arms imports (USD 34 million). In 2014, the country imported USD 13 million worth of small arms. That year, its three main trading partners were Italy, the United States, and Spain.
- **South Africa.** The value of small arms imports by South Africa increased from USD 3 million in 2005 to USD 43 million in 2014 (its highest recorded value). The country’s three largest trading partners in 2014 were the United States, Italy, and the Czech Republic.
- **Sudan.** Documented small arms deliveries to Sudan fluctuated from less than USD 100,000 in 2001 to a high of USD 23 million in 2003. Sudan’s three main trading partners in 2014 were Turkey, the Russian Federation, and Côte d’Ivoire.

The Americas

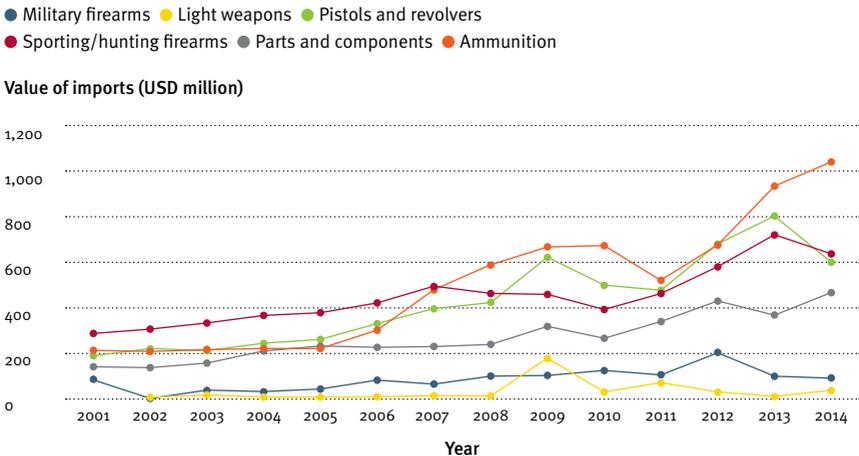
Since 2005, the Americas region has consistently accounted for the largest share of global small arms imports (see Figure 4). The value of small arms imports into this region increased from USD 921 million in 2001 to almost USD 2.9 billion in 2014.

Since 2007, small arms ammunition has represented almost one-third of the value of the Americas' small arms imports; data for 2013–14 trade activities shows that this proportion is on the rise (see Figure 7). In 2014, when imports into the region reached USD 1 billion, ammunition accounted for 36 per cent of documented deliveries, an increase of 4 per cent (USD 122 million) compared to 2013.

Northern America is a significant outlier in the Americas (see Figure 8). The United States and Canada accounted for one-third of global small arms imports and about 87 per cent of small arms supplies to the Americas during 2001–14 (see Table 5 and Box 4). However, the value of small arms deliveries to Northern America decreased by 11 per cent between 2013 and 2014, with notable declines in the value of imported pistols and revolvers and sporting and hunting firearms (see Table 5).

Despite this decrease, Northern America accounted for 47 per cent (USD 2.8 billion) of global imports in 2014.

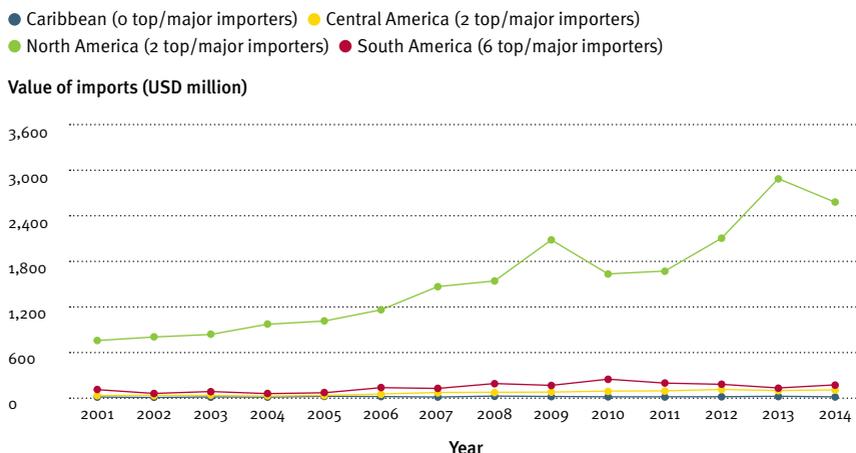
Figure 7 Value of small arms supplied to the Americas, by category, as reported to UN Comtrade (USD million), 2001–14



Notes: All values are expressed in constant 2014 US dollars. UN Comtrade category 930120 (light weapons) was introduced in the 2002 Harmonized System.

Source: NISAT (n.d.)

Figure 8 Values of small arms supplied to the Americas, by subregion, as reported to UN Comtrade (USD million), 2001–14



Note: All values are expressed in constant 2014 US dollars.

Source: NISAT (n.d.)

On average, imports to Southern America represent less than 10 per cent of small arms imports to the Americas. There were, however, significant increases in documented small arms imports to the subregion in 2006 and 2010, driven in both cases by Colombia’s and Venezuela’s imports of military firearms. The increase in 2010 was also influenced by Peru’s small arms imports, as the country imported USD 39 million worth of small arms, including USD 25 million worth of ammunition from Israel.

Table 5 Value of small arms supplied to the Americas, by subregion, as reported to UN Comtrade (USD million), 2001–14

| Subregion | Value of small arms imports (USD million) | | | | % change in import value, 2013 vs. 2014 |
|------------------|-------------------------------------------|-------|------------------|--------------------------|-----------------------------------------|
| | 2001 | 2014 | Average, 2001–14 | Change from 2001 to 2014 | |
| Caribbean | 14 | 16 | 17 | 2 | -27% |
| Central America | 34 | 107 | 68 | 73 | 9% |
| Northern America | 759 | 2,580 | 1,538 | 1,821 | -11% |
| South America | 114 | 172 | 140 | 57 | 31% |

Notes: All values are expressed in constant 2014 US dollars. Due to rounding, individual values may not add up.

Source: NISAT (n.d.)

Box 4 The Americas' five largest small arms importers, 2001–14, in alphabetical order

- **Canada.** In 2005, Canada became a top small arms importer. The value of the country's documented small arms imports increased from USD 71 million in 2001 to USD 364 million in 2014. The United States is the source of two-thirds of Canada's small arms imports, in particular sporting and hunting firearms and small arms ammunition. Other trading partners in 2014 were South Africa and Italy.
- **Chile.** Chile imported an annual average of USD 20 million worth of small arms from 2005 to 2014. In 2012, the country imported USD 52 million worth of military weapons from Norway. In 2014, Chile imported USD 24 million worth of small arms. Its three main trading partners that year were, in decreasing order, the United States, Brazil, and Spain.
- **Colombia.** With average annual imports of USD 55 million, Colombia has been a major small arms importer since 2001. On average, military firearms, light weapons, and small arms ammunition account for 96 per cent of Colombian annual imports. In 2010 alone, Colombia imported USD 62 million worth of military weapons. In 2014, the country imported USD 67 million worth of military firearms, light weapons, and small arms ammunition from, in decreasing order, South Korea, the United States, and Israel.
- **Mexico.** The average annual value of Mexico's documented small arms imports during 2001–14 was USD 41 million. In 2014, Mexico imported USD 78 million worth of small arms imports. The United States, Italy, and China, in that order, were Mexico's three main trading partners in 2014.
- **The United States.** During the period 2001–14, the United States was the world's largest small arms importer. Having first crossed the USD 1 billion mark in 2007, the documented value of US small arms imports exceeded the USD 2 billion mark in 2013. The United States imported USD 1.5 billion worth of small arms ammunition, pistols and revolvers, and sporting and hunting firearms in 2014. The country's three main trading partners in 2014 were, in decreasing order, Italy, Austria, and Germany.

Mexico accounts for about half of the value of Central America's small arms imports, which consist largely of military firearms and small arms ammunition. Mexico also recorded a significant increase in the value of its imports of small arms parts and components, from USD 12 million in 2012 to USD 116 million in 2013 (see Box 4).

Asia and the Pacific

Asia and the Pacific accounted for one-quarter of global small arms imports during 2001–14. Imports by states in the region increased by more than 60 per cent between 2001 and 2014, from USD 945 million to USD 1.6 billion (see Figure 4). The region is home to four top and 17 major small arms importers. Small arms ammunition and

military firearms accounted for the largest shares of small arms imports from 2004 to 2014 (See Figure 9). Documented imports of military firearms fluctuated significantly during this period, from USD 598 million in 2001 to USD 83 million in 2005 and up to USD 484 million in 2014.

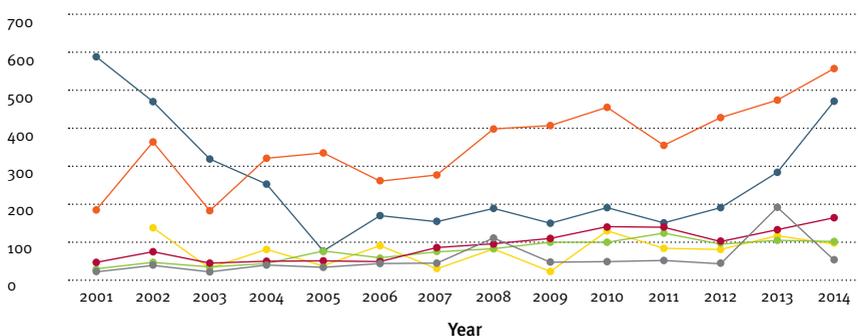
Western Asia, which is home to the largest number of top and major importers in the region, accounts for the largest share of imports to Asia and the Pacific (see Figure 10). Cyprus, Iraq, Saudi Arabia, and the UAE imported more than USD 100 million worth of small arms in at least one year during 2001–14 (Box 5).⁵ The value of Western Asia’s small arms imports declined from 2002 to reach a subregional low of USD 250 million in 2006. The subregion’s average annual value of small arms imports for the period 2007–12 was USD 384 million. As of 2013, following the outbreak of the armed conflict in Syria and the rise of the non-state armed group Islamic State, the value of documented small arms deliveries to Western Asia increased significantly. Iraq and Saudi Arabia have emerged as particularly significant importers in recent years. In 2014, Iraq became a top small arms importer for the first time. Its USD 78 million worth of ammunition imports accounted for more than half of its USD 139 million worth of imports that year. Saudi Arabia’s documented imports crossed the USD 100 million threshold several times during 2001–14.

South-eastern Asia accounted for the second-largest share of the region’s imports from 2007 to 2014. The annual average value of documented small arms flows to South-eastern

Figure 9 Value of small arms supplied to Asia and the Pacific, by category, as reported to UN Comtrade (USD million), 2001–14

- Military firearms
- Light weapons
- Pistols and revolvers
- Sporting/hunting firearms
- Parts and components
- Ammunition

Value of imports (USD million)



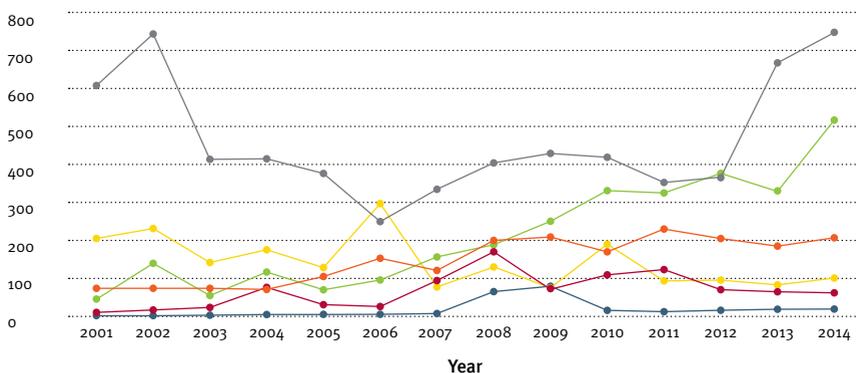
Notes: All values are expressed in constant 2014 US dollars. UN Comtrade category 930120 (light weapons) was introduced in the 2002 Harmonized System.

Source: NISAT (n.d.)

Figure 10 Value of small arms supplied to Asia and the Pacific, by subregion, as reported to UN Comtrade (USD million), 2001–14

- Central Asia (1 top/major importer)
- Eastern Asia (2 top/major importers)
- South-eastern Asia (5 top/major importers)
- Southern Asia (2 top/major importers)
- Western Asia (10 top/major importers)
- Oceania (2 top/major importers)

Value of imports (USD million)



Note: All values are expressed in constant 2014 US dollars.

Source: NISAT (n.d.)

Table 6 Value of small arms supplied to Asia and the Pacific, by subregion, as reported to UN Comtrade (USD million), 2001–14

| Subregion | Value of small arms imports (USD million) | | | | % change in import value, 2013 vs. 2014 |
|--------------------|-------------------------------------------|------|------------------|--------------------------|-----------------------------------------|
| | 2001 | 2014 | Average, 2001–14 | Change from 2001 to 2014 | |
| Central Asia | 2 | 19 | 19 | 17 | 3% |
| Eastern Asia | 205 | 101 | 145 | -104 | 21% |
| South-eastern Asia | 46 | 517 | 214 | 471 | 56% |
| Southern Asia | 11 | 62 | 68 | 52 | -4% |
| Western Asia | 608 | 748 | 466 | 140 | 12% |
| Oceania | 74 | 207 | 148 | 134 | 12% |

Notes: All values are expressed in constant 2014 US dollars. Due to rounding, individual values may not add up.

Source: NISAT (n.d.)

Asia for 2001–14 was USD 214 million (see Table 6). Indonesia and Thailand qualified as top small arms importers at least once during 2001–14; during that period, Malaysia, the Philippines, and Singapore were consistently major importers. The share of South-eastern Asia’s imports represented 5 per cent of the region’s imports for 2001 but accounted for 36 per cent in 2014.

The average annual value of small arms imports by all states in Central Asia, Eastern Asia, Oceania, and Southern Asia for 2001–14 was below USD 200 million.

Box 5 Asia and the Pacific’s five largest small arms importers, 2001–14, in alphabetical order

- **Australia.** Australia was the largest small arms importer in Oceania from 2001 to 2014. The highest value for Australia’s small arms imports during this period was USD 195 million, in 2011. Most of the country’s documented small arms imports are ammunition and sporting and hunting firearms. Its main trading partners in 2014 were the United States and Italy, while a third, ‘unspecified’ country accounted for 20 per cent of its imports that year.
- **Indonesia.** The value of Indonesia’s small arms imports increased significantly between 2013 and 2014, from USD 83 million to USD 331 million. The import of USD 222 million worth of military firearms in 2014 accounted for more than two-thirds of the country’s imports, followed by small arms ammunition and sporting and hunting firearms. Brazil was the source of more than 80 per cent of Indonesia’s small arms imports in 2014.
- **Saudi Arabia.** The value of Saudi Arabia’s small arms imports fell—from USD 253 million in 2001 to USD 32 million in 2003—in line with Western Asia’s imports. Between 2006 and 2012, the overall value of Saudi imports remained below USD 100 million. The country joined the ranks of top importers again in 2013, with documented small arms imports worth USD 164 million that year. The following year, its recorded imports rose further, to USD 209 million. Saudi Arabia’s three main trading partners in 2014 were, in decreasing order, the United States, Croatia, and South Korea.
- **South Korea.** In 2001–14, South Korea was consistently one of the largest importers of documented small arms in Eastern Asia. During that period, the country imported an annual average of USD 71 million worth of small arms. The value of its small arms imports declined from 2011. In 2014, South Korea imported USD 37 million worth of small arms, two-thirds of which were military firearms and light weapons. Its three main trading partners that year were, in decreasing order, the United States, Germany, and Italy.
- **Thailand.** Documented small arms flows to Thailand increased steadily between 2005 and 2011, reaching a value of USD 166 million in the latter year. Since then, the value of Thailand’s small arms imports has declined, with USD 71 million worth of imports recorded in 2014. Military firearms, light weapons, small arms ammunition, and pistols and revolvers accounted for the majority of its imports in 2014. The country’s main trading partners were, in decreasing order, the United States, Singapore, and South Korea.

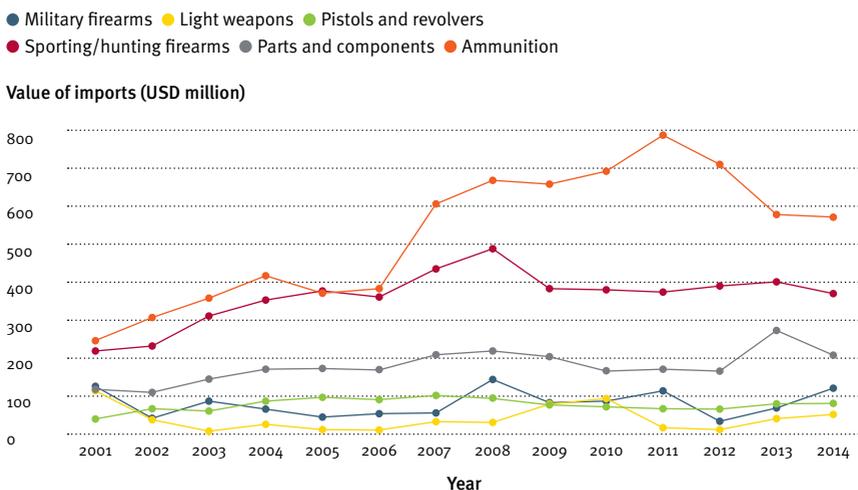
Europe

European states imported a total of USD 17.5 billion worth of small arms from 2001 to 2014. The total annual value of small arms imports increased by 82 per cent during this period, from USD 768 million in 2001 to USD 1.4 billion in 2014. Europe's peak year for small arms imports was 2008, with USD 1.7 billion in documented imports recorded that year. In 2014, the value of documented small arms flows to Europe was USD 1.4 billion, a 2 per cent increase in comparison to 2013. Small arms ammunition and sporting and hunting firearms constituted the largest categories of imports to the region in 2014, accounting for 41 per cent and 26 per cent of imports, respectively (see Figure 11).

Western Europe accounted for 41 per cent of total European small arms imports during 2001–14, with annual average small arms flows to the subregion worth USD 509 million (see Figure 12 and Table 7). All countries in the region qualified as either top or major importers during 2001–14. Germany ranked as a top importer from 2003, France from 2004 (see Box 6).

Northern Europe was the second-largest subregional importer of small arms from 2001 to 2014. The United Kingdom accounted for one-third of Northern Europe's small arms imports, strongly influencing the overall trend for Northern Europe.

Figure 11 Value of small arms supplied to Europe, by category, as reported to UN Comtrade (USD million), 2001–14



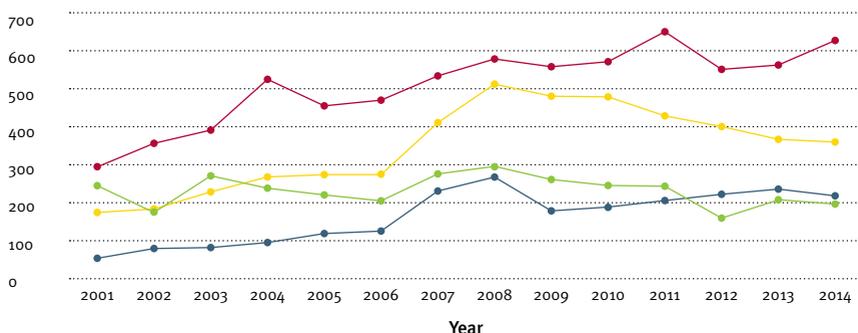
Notes: All values are expressed in constant 2014 US dollars. UN Comtrade category 930120 (light weapons) was introduced in the 2002 Harmonized System.

Source: NISAT (n.d.)

Figure 12 Value of small arms supplied to Europe, by subregion, as reported to UN Comtrade (USD million), 2001–14

● Eastern Europe (7 top/major importers) ● Northern Europe (6 top/major importers)
● Southern Europe (4 top/major importers) ● Western Europe (7 top/major importers)

Value of imports (USD million)



Note: All values are expressed in constant 2014 US dollars.

Source: NISAT (n.d.)

The average annual value of Southern Europe’s small arms imports during 2001–14 was USD 231 million. This was the only European subregion that registered a decrease in the value of imports between 2001 and 2014, from USD 245 million to USD 196 million. Eastern Europe recorded the lowest annual average (USD 164 million) but had the largest recorded increase during 2001–14 (see Table 7).

Table 7 Value of small arms supplied to Europe, by subregion, as reported to UN Comtrade (USD million), 2001–14

| Subregion | Value of small arms imports (USD million) | | | | % change in import value, 2013 vs. 2014 |
|-----------------|-------------------------------------------|------|------------------|--------------------------|-----------------------------------------|
| | 2001 | 2014 | Average, 2001–14 | Change from 2001 to 2014 | |
| Eastern Europe | 54 | 218 | 164 | 164 | -7% |
| Northern Europe | 174 | 360 | 346 | 185 | -2% |
| Southern Europe | 245 | 196 | 231 | -49 | -6% |
| Western Europe | 295 | 627 | 509 | 332 | 11% |

Notes: All values are expressed in constant 2014 US dollars. Due to rounding, individual values may not add up.

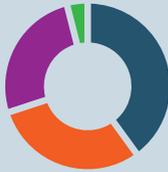
Source: NISAT (n.d.)

Box 6 Europe's five largest small arms importers, 2001–14, in alphabetical order

- **France.** From 2001 to 2004, France's small arms imports increased from USD 66 million to USD 179 million. The country's average annual value of imports was USD 129 million. In 2014, France imported USD 125 million worth of small arms, a 9 per cent decrease compared to 2013. Small arms ammunition and sporting and hunting firearms were the main import categories in 2014. The principal trading partners were, in decreasing order, Germany, Italy, and the United States.
- **Germany.** From 2001 to 2014, Germany was the largest small arms importer in Europe and the world's second-largest importer. It became a top small arms importer in 2003. From 2011 to 2014, Germany's imports accounted for one-third of Western Europe's total small arms imports. In 2014, the country imported USD 198 million worth of small arms, a 7 per cent decrease compared to 2013. Its imports included ammunition and small arms parts and components, primarily sourced from, in decreasing order, the United States, Italy, and Switzerland.
- **Italy.** In 2001–10 and in 2012–14, Italy's small arms imports were consistently between USD 50 million and USD 99 million. Only in 2011 did Italy secure top importer status, with documented small arms imports worth USD 114 million. In 2014, the country imported USD 71 million worth of small arms, an 8 per cent decrease compared to 2013. Italy's three main trading partners in 2014 were, in decreasing order, the United States, Turkey, and Germany. That year it mainly imported small arms parts and accessories, ammunition, and sporting and hunting firearms.
- **Spain.** A well-established major importer, Spain acquired small arms worth an annual average of USD 72 million during 2001–14. The largest percentage increase in Spain's documented small arms imports occurred between 2002 and 2003, when imports rose sharply, from USD 35 million to USD 124 million, marking the first time the country passed the USD 100 million threshold.⁶ Spain's small arms imports declined in 2014—to USD 46 million. Small arms ammunition accounted for almost half of that sum. Italy, Germany, and the United States, in decreasing order, were Spain's main trading partners in 2014.
- **The United Kingdom.** The UK's small arms imports increased from a low of USD 70 million in 2002 to a high of USD 204 million in 2009. The average annual value of UK small arms imports from 2001 to 2014 was USD 125 million. The imports increased by 18 per cent between 2013 and 2014. In 2014, the UK imported USD 109 million worth of small arms. The country's three main trading partners that year were, in decreasing order, Italy, the United States, and Germany.

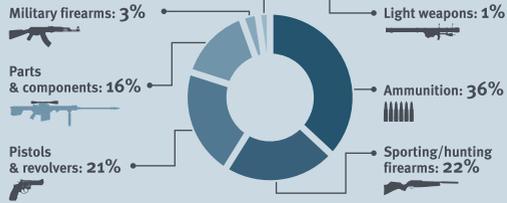
Regional trends in small arms imports, 2001–14

The Americas: 40%
Europe: 30%
Asia & the Pacific: 26%
Africa: 4%



The Americas

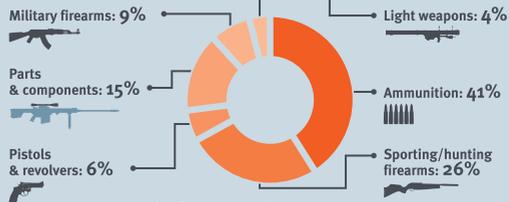
The value of small arms imports into the Americas increased from USD 921 million in 2001 to almost USD 2.9 billion in 2014.



Small arms imports, by category, 2001–14

Europe

The total value of small arms imported to Europe increased by 82% between 2001 and 2014.



Small arms imports, by category, 2001–14

Asia and the Pacific

Imports by states in Asia and the Pacific increased by 71% between 2001 and 2014.



Small arms imports, by category, 2001–14

Africa

The value of documented small arms imports to the African region almost tripled from 2001 to 2014.



Small arms imports, by category, 2001–14

* Due to rounding, individual values may not add up.



The Barometer assesses the transparency of top and major exporters—countries that are believed to have exported at least USD 10 million worth of small arms and light weapons, including their parts, accessories, and ammunition, during any calendar year from 2001 to 2014.”

II. Small Arms Trade Transparency

This section presents the 2017 edition of the Small Arms Trade Transparency Barometer covering transfers that took place in 2014. The Barometer assesses the transparency of top and major exporters—countries that are believed to have exported at least USD 10 million worth of small arms and light weapons, including their parts, accessories, and ammunition, during any calendar year from 2001 to 2014. The assessment is based on information gathered from the following sources:

- national arms export reports, including submissions to regional reports;⁷
- the UN Register; and
- UN Comtrade (NISAT, n.d.).

The Barometer measures the provision of arms export information, but it does not verify the accuracy of that information.

This section also provides an overview of the provisions on reporting of international transfers of small arms under the ATT and an analysis of the first set of ATT annual reports, which cover trade activities that took place during 2015. It assesses the extent to which these annual reports provide more comprehensive information on small arms transfers. The next edition of the Barometer, which will examine reporting on 2015 trade activities, will include an assessment of ATT annual reports.

In addition, this section takes note of the conclusions of the 2016 Group of Governmental Experts on the UN Register and considers their implications for reporting on small arms transfers. It concludes with a review of ten years of information that states have provided on their small arms transfers to the UN Register using a standardized reporting form.

The 2017 Small Arms Trade Transparency Barometer

The 2017 Barometer evaluates the reporting practices of 49 top and major exporters—countries that exported at least USD 10 million worth of small arms during any calendar year from 2001 to 2014 (see Table 8). It examines official information that these 49 countries made publicly available during 2014–16 regarding trade activities that were conducted during 2014. Detailed scoring guidelines are presented in Table A4 in the Annexe to this Update.

The Barometer identifies Germany, Switzerland, the Netherlands, and Serbia as the most transparent exporters for the year 2014. The least transparent exporters were Iran, Israel, North Korea, Saudi Arabia, and the UAE, each of which scored zero points.

Switzerland moved up from fifth to second place in the Barometer, following the receipt of complete UN Comtrade data and of a ‘nil report’ on ‘intangible transfers’,⁸ which earned the country 1.25 more points than it had received in the 2016 Barometer.

More than half (55 per cent) of the exporters reviewed for the 2017 Barometer have improved their scores since the previous edition. The following exporters recorded the largest increase in their scores between the 2016 and 2017 Barometers:

- Hungary gained 3.25 points due to more detailed reporting on small arms exports to the UN Register in 2014 compared to 2013 (reporting on more categories, new information on transit and end users).
- Austria gained 2.00 points because it reported more information to the UN Register and included information on licence refusals in its submission to the EU Annual Report.
- Croatia obtained 2.00 points for having provided a nil report on licences refused.

For about one-third of the exporters under review, scores declined since the last edition of the Barometer. Poland, for instance, dropped from ninth place in the 2016 Barometer to 15th place this year. It lost 1.25 points because its 2014 national report does not include information on the number or value of export and brokering licences (Poland MFA, 2015, p. 20). The following exporters recorded the largest decreases in their score compared to the previous edition of the Barometer:

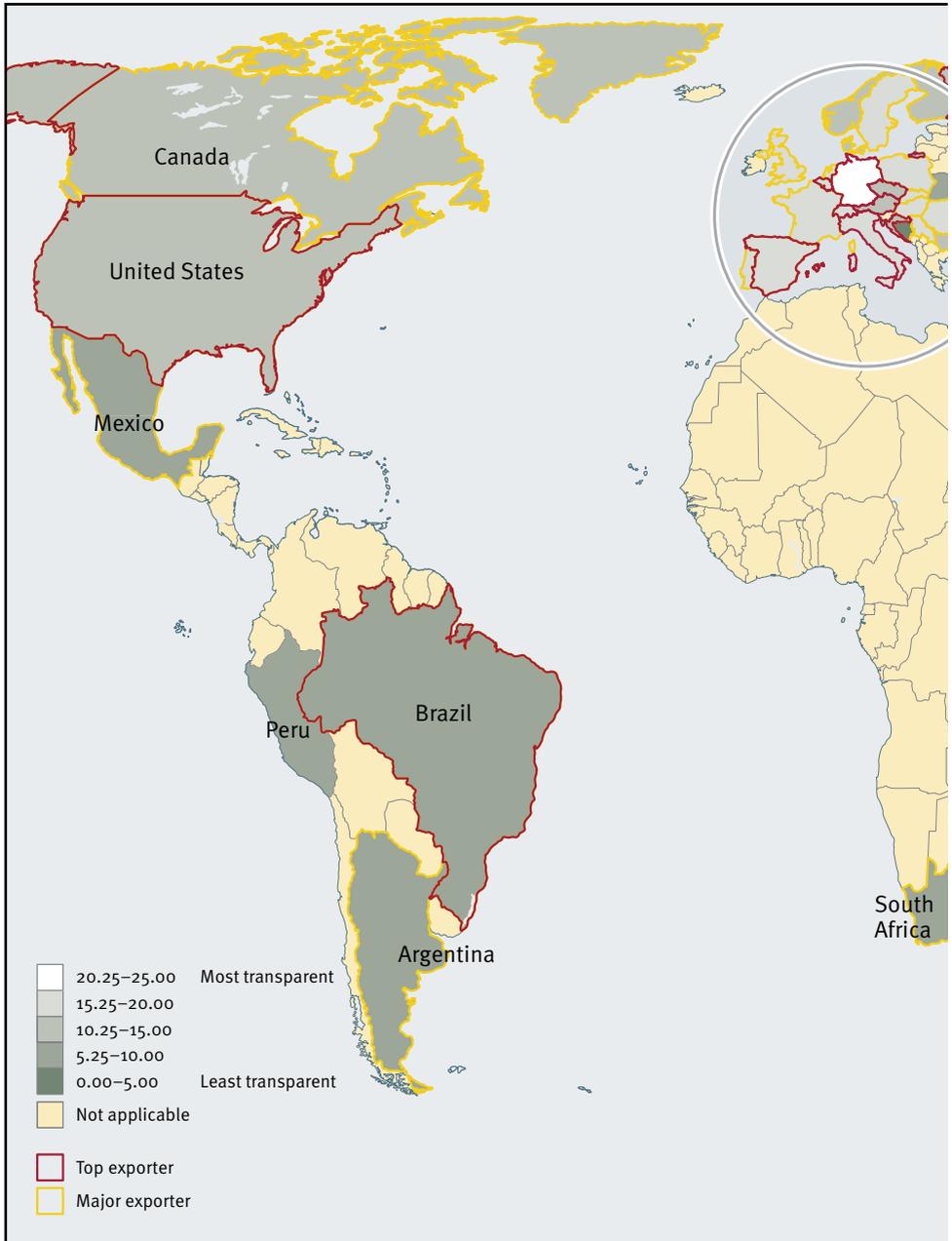
- **Israel.** The 2017 Barometer marks the first time Israel received a score of 0. The country lost 7.75 points because it did not report on small arms exports that took place during 2014 to any of the instruments reviewed by the Barometer (see Box 7).

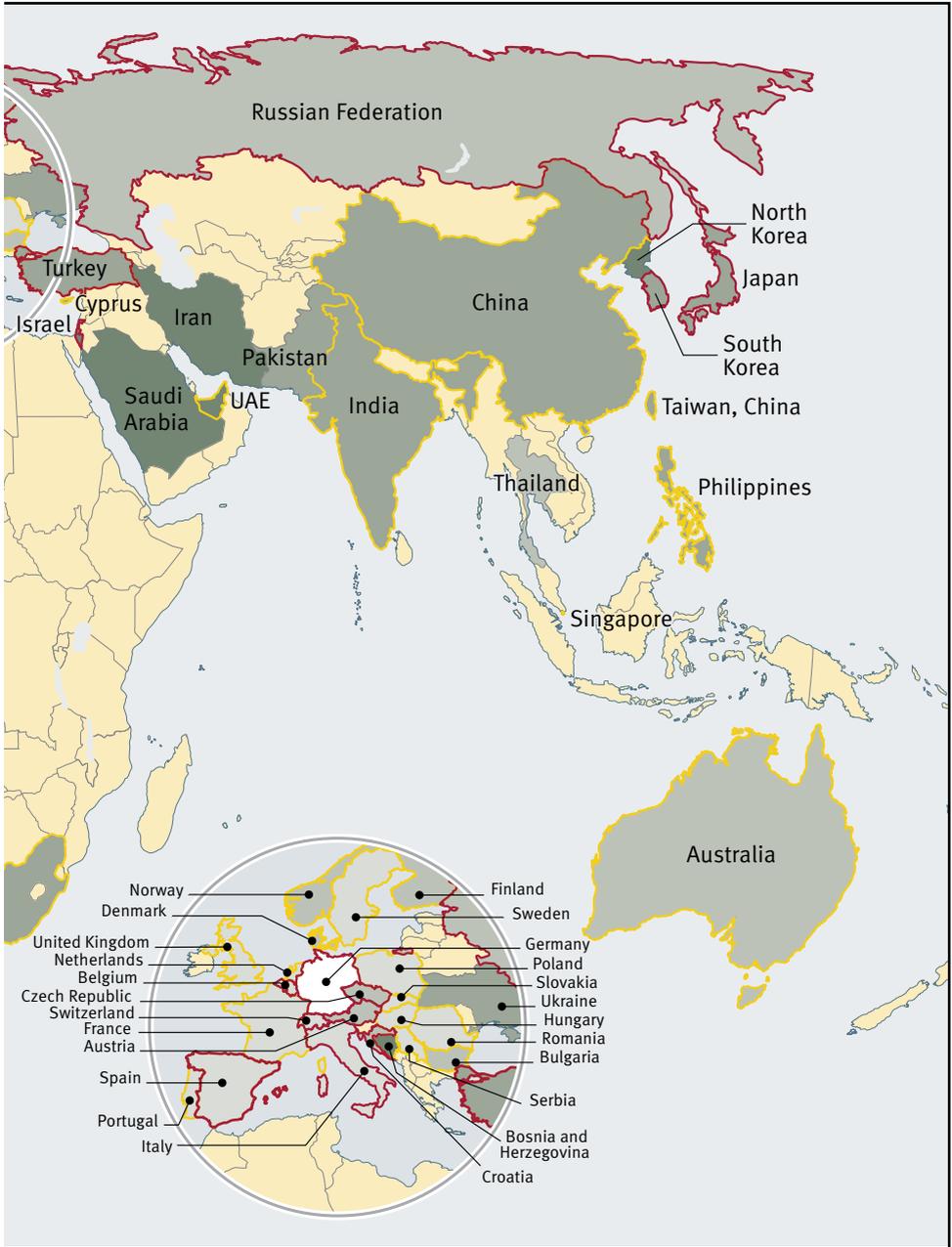
Box 7 A brief review of Israel's Transparency Barometer score

Israel recorded an average Barometer score of 7 out of 25 points during 2001–13, ranging from a low of 3.50 for reporting on 2002 trade activities to a high of 10.75 for 2009 trade activities (Lazarevic, 2010, p. 180; Herron et al., 2011, pp. 16–17). Israel does not publish a national arms export report but has a long history of reporting to the UN Register and UN Comtrade. Israel's Barometer points have primarily been awarded in recognition of information it provided to UN Comtrade on a range of small arms and light weapons transfers. Israel submits information to the UN Register on its exports of conventional weapons (the established seven categories) but has not reported specifically on its small arms exports.

In the 2017 Barometer, Israel scores zero points because it did not report to UN Comtrade on its 2013 or 2014 activities and because its submission to the UN Register for 2014 only became available online in May 2017. As the latter did not include a date of submission, it is presumed that Israel did not report before the Barometer cut-off date of January 2016; consequently, Israel did not earn points for timeliness in reporting. Israel's nil report to the Register on the export of conventional weapons in 2014 does not entitle it to any Barometer points because it lacks small arms-specific information. Israel's report to the UN Register covering its 2015 trade activities will be analysed and scored in the 2018 Barometer.

Map 1 Small Arms Trade Transparency Barometer 2017, based on 2014 trade





5

Least transparent countries



- Iran
- Israel
- North Korea
- Saudi Arabia
- UAE

5

Most transparent countries



- Germany
- Switzerland
- Netherlands
- Serbia
- United Kingdom

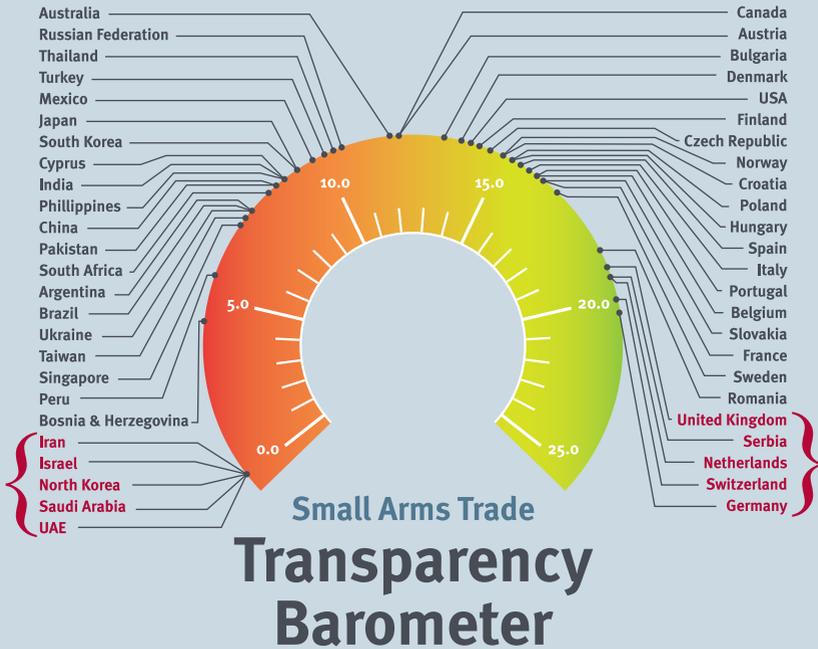


Table 8 Small Arms Trade Transparency Barometer 2017, covering major exporters*

| | Total (25.00 max) | National report**/ Regional report*** | UN Comtrade** | UN Register** | Timeliness (1.50 max) | Access and consistency (2.00 max) | Clarity (5.00 max) | Comprehensiveness (6.50 max) | Deliveries (4.00 max) | Licences granted (4.00 max) | Licences refused (2.00 max) |
|----------------------------|-------------------------|------------------------------------------------|------------------|------------------|--------------------------|-----------------------------------------|--------------------------|---------------------------------|--------------------------|--------------------------------------|--------------------------------------|
| Germany | 20.25 | X/EU | X | X | 1.50 | 2.00 | 4.25 | 4.00 | 3.50 | 3.50 | 1.50 |
| Switzerland | 20.00 | X | X | X | 1.50 | 1.50 | 4.00 | 5.25 | 3.00 | 4.00 | 0.75 |
| Netherlands | 19.50 | X/EU | X | X | 1.50 | 2.00 | 4.25 | 5.75 | 2.50 | 2.50 | 1.00 |
| Serbia | 19.50 | X/SEE | X | X | 1.50 | 1.50 | 3.75 | 5.50 | 3.00 | 3.00 | 1.25 |
| United Kingdom | 19.25 | X/EU | X | X | 1.50 | 2.00 | 4.50 | 4.75 | 3.50 | 1.50 | 1.50 |
| Romania | 18.75 | X/EU | X | X | 1.50 | 2.00 | 2.25 | 5.00 | 2.50 | 3.50 | 2.00 |
| Sweden | 16.75 | X/EU | X | X | 1.50 | 1.50 | 4.00 | 5.00 | 2.50 | 1.50 | 0.75 |
| France | 16.25 | X/EU | X | X | 1.50 | 1.50 | 3.75 | 4.50 | 3.00 | 1.50 | 0.50 |
| Slovakia | 16.25 | X/EU | X | X | 1.50 | 1.50 | 3.00 | 4.25 | 2.50 | 1.50 | 2.00 |
| Belgium ¹ | 16.00 | X/EU | X | X | 1.50 | 2.00 | 3.50 | 3.00 | 2.50 | 2.00 | 1.50 |
| Portugal | 16.00 | X/EU | X | X | 1.50 | 1.50 | 3.25 | 5.00 | 3.00 | 1.50 | 0.25 |
| Italy | 15.75 | X/EU | X | X | 1.50 | 1.50 | 3.50 | 5.25 | 2.50 | 1.50 | 0.00 |
| Spain | 15.50 | X/EU | X | X | 1.50 | 1.50 | 2.75 | 3.75 | 3.00 | 1.50 | 1.50 |
| Hungary | 15.25 | X/EU | X | X | 1.50 | 1.50 | 2.00 | 4.75 | 3.50 | 1.50 | 0.50 |
| Poland | 15.25 | X/EU | X | X | 1.50 | 1.50 | 3.50 | 4.25 | 3.00 | 1.50 | 0.00 |
| Croatia | 15.00 | X/EU/SEE | X | X | 1.50 | 1.50 | 2.50 | 3.50 | 2.50 | 1.50 | 2.00 |
| Norway | 15.00 | X | X | X | 1.50 | 1.50 | 4.00 | 4.25 | 3.00 | 0.00 | 0.75 |
| Czech Republic | 14.75 | X/EU | X | X | 1.50 | 1.50 | 2.50 | 4.00 | 3.00 | 1.50 | 0.75 |
| Finland | 14.50 | X/EU | X | X | 1.50 | 1.50 | 3.25 | 3.50 | 2.50 | 2.00 | 0.25 |
| United States ² | 14.25 | X | X | X | 1.50 | 1.50 | 2.75 | 4.00 | 2.50 | 2.00 | 0.00 |
| Denmark | 14.00 | X/EU | X | X | 1.50 | 1.50 | 2.00 | 4.25 | 3.00 | 1.50 | 0.25 |
| Bulgaria | 13.50 | X/EU | X | X | 1.50 | 1.50 | 2.25 | 3.00 | 3.00 | 1.50 | 0.75 |
| Austria | 12.25 | EU | X | X | 1.50 | 1.00 | 2.00 | 3.00 | 3.00 | 1.50 | 0.25 |
| Canada | 12.25 | X | X | X | 1.50 | 1.50 | 2.25 | 3.50 | 3.50 | 0.00 | 0.00 |
| Australia | 12.00 | X | X | X | 1.50 | 0.50 | 1.50 | 4.50 | 3.00 | 1.00 | 0.00 |
| Russian Federation | 10.50 | X | X | X | 1.50 | 1.00 | 1.50 | 3.50 | 3.00 | 0.00 | 0.00 |
| Thailand | 10.25 | X | X | X | 1.50 | 0.50 | 1.50 | 3.75 | 3.00 | 0.00 | 0.00 |
| Turkey | 10.00 | X | X | X | 1.50 | 1.00 | 1.50 | 3.00 | 3.00 | 0.00 | 0.00 |
| Mexico | 9.75 | X | X | X | 1.50 | 1.00 | 1.50 | 2.75 | 3.00 | 0.00 | 0.00 |
| Japan | 9.25 | X | X | X | 1.50 | 1.00 | 1.50 | 2.75 | 2.50 | 0.00 | 0.00 |
| South Korea | 9.25 | X | X | X(13) | 1.50 | 0.50 | 1.50 | 3.25 | 2.50 | 0.00 | 0.00 |
| Cyprus | 8.75 | X | X | X | 1.50 | 1.00 | 1.25 | 2.50 | 2.50 | 0.00 | 0.00 |
| India | 8.75 | X | X | X | 1.50 | 0.00 | 1.50 | 3.25 | 2.50 | 0.00 | 0.00 |

| | Total (25.00 max) | National report** / Regional report*** | UN Comtrade** | UN Register** | Timeliness (1.50 max) | Access and consistency (2.00 max) | Clarity (5.00 max) | Comprehensiveness (6.50 max) | Deliveries (4.00 max) | Licences granted (4.00 max) | Licences refused (2.00 max) |
|----------------------------|-------------------|----------------------------------------|---------------|---------------|-----------------------|-----------------------------------|--------------------|------------------------------|-----------------------|-----------------------------|-----------------------------|
| Philippines | 8.75 | | X | | 1.50 | 0.50 | 1.50 | 2.25 | 3.00 | 0.00 | 0.00 |
| China | 8.50 | | X | X | 1.50 | 1.00 | 1.00 | 2.50 | 2.50 | 0.00 | 0.00 |
| Pakistan | 8.50 | | | X | 1.50 | 0.50 | 1.50 | 2.50 | 2.50 | 0.00 | 0.00 |
| South Africa ³ | 8.25 | X | | | 1.50 | 1.00 | 0.75 | 2.00 | 0.00 | 3.00 | 0.00 |
| Argentina | 7.50 | | X | X | 1.50 | 0.50 | 1.50 | 1.50 | 2.50 | 0.00 | 0.00 |
| Brazil | 7.50 | | X | X | 1.50 | 1.00 | 1.00 | 1.50 | 2.50 | 0.00 | 0.00 |
| Ukraine | 7.50 | X | | X | 1.50 | 1.50 | 0.75 | 1.75 | 2.00 | 0.00 | 0.00 |
| Taiwan, China ⁴ | 7.25 | | | | 1.50 | 1.50 | 1.50 | 0.75 | 2.00 | 0.00 | 0.00 |
| Singapore | 7.00 | | X | X | 1.50 | 1.00 | 1.00 | 1.50 | 2.00 | 0.00 | 0.00 |
| Peru | 5.50 | | X | | 1.50 | 0.50 | 1.00 | 1.00 | 1.50 | 0.00 | 0.00 |
| Bosnia and Herzegovina | 4.50 | SEE | | X(13) | 1.00 | 0.00 | 1.00 | 0.00 | 1.00 | 1.50 | 0.00 |
| Iran | 0.00 | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Israel | 0.00 | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| North Korea | 0.00 | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Saudi Arabia | 0.00 | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| United Arab Emirates | 0.00 | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

Notes: The online version of the Transparency Barometer incorporates corrections that may affect states' scores and rankings. For this reason, the online version—rather than the printed one—should be considered definitive. See Small Arms Survey (n.d.).

* Major exporters are countries that export—or are believed to export—at least USD 10 million worth of small arms, light weapons, their parts, accessories, and ammunition in a given year. The 2017 Barometer includes any state that qualified as a major exporter at least once during the 2001–14 calendar years.

** X indicates that a report was issued or submitted by the cut-off date; X(year) indicates that, as a report was not issued or submitted by the cut-off date, the state was evaluated on the basis of its most recent submission, covering activities for the year reported in brackets.

*** The Barometer assesses information provided in the following regional reporting instruments: 1) the EU's Seventeenth Annual Report (CoEU, 2016), which reflects military equipment exports carried out by EU member states in 2014 and appears as 'EU' in the Barometer; and 2) the regional report compiled by the South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons, or SEESAC Regional Report (SEESAC, 2015), which covers data on the 2013 trade of South-eastern and Eastern European exporters and appears as 'SEE' in the Barometer. The SEESAC Regional Report for 2014 trade was not available at the time the 2017 Barometer was finalized.

Scoring system

The scoring system for the 2017 Barometer allows exporters to earn up to 25 points via 43 criteria in seven parameters: timeliness; access and consistency; clarity; comprehensiveness; and the level of detail provided on actual deliveries, licences granted, and licences refused. For detailed scoring guidelines, see Table A4 in the Annex to this Update.

Explanatory notes

- The 2017 Barometer is based on national arms export reports that were made publicly available between 1 January 2014 and 31 January 2016. It also reflects information submitted by states to regional reporting mechanisms that were published after 31 January 2016 and before the Barometer was finalized (July 2017)—although the submission of this data does not receive points for timeliness.
- The 2017 Barometer takes account of national submissions to the UN Register from 1 January 2014 to 31 January 2016, as well as information submitted to UN Comtrade on 2014 exports up to and including 28 November 2015.
- The fact that the Barometer is based on multiple reporting mechanisms—international, regional, and national—works to the advantage of exporters that publish data at all of these levels. While Barometer scores acknowledge the provision of information to any of the reporting mechanisms, the same information is not credited twice.

State-specific notes

- 1 In addition to the national report issued by the Belgian federal government, each Belgian region (Brussels, Flanders, and Wallonia) reports separately on its arms exports.
- 2 For the purposes of the Barometer, the US national report refers to the State Department report, issued pursuant to Section 655 of the Foreign Assistance Act on direct commercial sales, as well as the report on foreign military sales, which is prepared by the US Department of Defense.
- 3 In the evaluation of South Africa's national report, the term 'conveyance' is interpreted to mean transit.
- 4 Data on Taiwan, China was retrieved from the Directorate General of the Customs Administration of the Ministry of Finance (Taiwan, China MoF, n.d.).

Source: Small Arms Survey (2017a)

- **South Africa.** Improvements in South Africa’s national report, such as a new reporting template, boosted its Barometer score in the 2016 Barometer; this template continues to prop up the country’s score for 2017 (Pavesi, 2016). South Africa lost 3 points this year, however, because it did not make a UN Register submission for 2013 or 2014 trade activities; as a result, less information is available on actual exports and on the types of small arms it transferred (see Section III).

“Twenty-seven exporters (55 per cent) increased their Barometer scores over the past year, while 16 others (33 per cent) saw their scores decrease.”

The 2017 Barometer shows that overall transparency has not changed significantly over the past year. The average score of 11.33 out of 25 possible points in this edition represents a 1.5 per cent increase over the 11.16 average in the previous Barometer. Twenty-seven exporters (55 per cent) increased their Barometer scores over the past year, while 16 others (33 per cent) saw their scores decrease. The greatest scoring increases were concentrated in the following categories:

- comprehensiveness of data on small arms transfers, including re-exports and transit/transhipment (17 per cent increase over the 2016 Barometer scores);
- access to and consistency of reporting (12 per cent increase);
- information on the denial of export licences (11 per cent increase); and
- clarity of information provided (4 per cent increase).

Small arms transfers in the first ATT annual reports

One of the declared purposes of the ATT is to promote transparency in international transfers of conventional arms, including small arms (UNGA, 2013a, art. 1). ATT states parties are legally obliged to provide to the ATT Secretariat an annual report on authorizations and/or actual exports and imports of conventional arms, including small arms (art. 13.3). Sixty-one states parties were due to submit their first ATT annual report on 2015 trade by 31 May 2016 (see Table 9). By 31 December 2016, 47 (77 per cent) of these states parties had submitted an ATT annual report; one of these reports has not been made publicly available.⁹ Liberia and Switzerland were not among the 61 states parties obliged to submit an annual report by 31 May 2016 because they were not ATT states parties by 31 December 2014. Nevertheless, both states have submitted their first annual reports for transfers undertaken in the 2015 calendar year.

This section addresses the following questions regarding the first 48 publicly available ATT annual reports:

- What format or template did ATT states parties use when providing information on authorizations or actual exports and imports of small arms that occurred in 2015?
- Did ATT states parties provide information on their national definition of small arms?
- Do the first ATT annual reports boost transparency in international small arms transfers?

Use of the ATT annual reporting template

The ATT itself does not provide a template for the annual report. Article 13.3 indicates that a state party can provide the same information in its ATT annual report as in its submission to the UN Register. States parties agreed in late 2014 to establish an informal working group to develop standardized templates for the ATT initial reports on implementation measures and annual reports (ATT Secretariat, 2015a). The informal working group produced a draft annual reporting template, which combined two UN Register forms: the standardized form for reporting on international transfers of conventional arms and the form for information on international transfers of small arms.¹⁰

The yellow areas in Figure 13 highlight the three key differences between the ATT annual reporting template and the UN Register standardized form:

- First, the ATT annual reporting template provides space for states parties to indicate if the data provided relates to authorizations and/or actual exports and imports.
- Second, it offers the option to report on the number of units exported or imported and/or their financial value.
- Third, the UN Register standardized form provides a column for ‘intermediate location’, which is not included in the ATT annual reporting template.

The annual reporting template was not adopted at the first Conference of States Parties (CSP1) for the ATT in 2015 (ATT Secretariat, 2015b, para. 36). Following minor revisions in 2016, CSP2 endorsed the template and recommended it for use by states parties. The Conference also decided to keep the template and procedures for making reports publicly available ‘under review’ (ATT Secretariat, 2016, para. 25).

The ATT Secretariat recorded that of the first 49 annual reports covering 2015 trade, 47 used this template.¹¹ France and the UK provided a version of their UN Register submission.¹² Senegal used the ATT template cover sheet and nil report template for exports, and also provided a copy of its import authorization request form for the ECOWAS Convention on Small Arms and Light Weapons, Their Ammunition and Other Related Materials (ECOWAS, 2006).

Figure 13 Key differences between the ATT reporting template and the UN Register standardized form
ATT reporting template

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

UN Register standardized form

| A Category [I–VII] | B Exporter States(s) | C Number of items | D ^b State of origin (if not exporter) | E ^b Intermediate location (if any) | REMARKS ^c | |
|------------------------------|-------------------------|----------------------|-----------------------------------------------------|--------------------------------------------------|----------------------|--------------------------|
| | | | | | Description of item | Comments on the transfer |
| I. Battle tanks | | | | | | |
| II. Armoured combat vehicles | | | | | | |

National definitions of small arms in ATT annual reports

The ATT does not define small arms and light weapons, referring instead to ‘the descriptions used in relevant United Nations instruments’ (UNGA, 2013a, art. 5.3). The ATT annual report template includes the same six subcategories for small arms and seven subcategories for light weapons contained in the UN Register form (see below). The use of the subcategories is optional. Aggregated information for the category of ‘small arms and light weapons’ is permitted.

Forty-seven ATT states parties provided public information on small arms transfers that were carried out in 2015, including two nil reports for small arms exports or imports (by Samoa and Uruguay). South Africa did not provide information on its small arms transfers in its publicly available report.¹³ Forty-two of the 45 states parties that provided information on small arms used the template subcategories for some or all of their exports and imports.¹⁴ Austria and Belgium used the definition provided by Category 1 of the Wassenaar Arrangement Munitions List and EU Common Military List to define small arms for their ATT annual reports, while Japan provided information on small arms transfers disaggregated by Comtrade categories 9301, 9302, and 9303 (CoEU, 2015; Wassenaar Arrangement, 2016).

Three states parties provided national small arms definitions. New Zealand defined small arms in accordance with Category 1 of its Strategic Goods List, which is based on the Wassenaar Arrangement Munitions List. It provided additional information on its definitions of military-style semi-automatic rifles, shotguns, and medium and general-purpose machine guns. Germany indicated that it used a definition contained in an EU Council document on small arms.¹⁵ Switzerland noted that its annual report did not include ‘arms for recreational, cultural, historical and sporting purposes’, but that it did include ‘exports to private entities’.

Do the first ATT annual reports boost transparency on small arms transfers?

Fifty-two of the 61 states parties due to provide an ATT annual report in 2016 (on their 2015 trade) have provided information on international transfers of small arms to the UN Register at least once, as has Switzerland (see Table 9). Twelve of the 18 ATT states parties that have provided such information to the UN Register only once or twice have also provided information on small arms transfers in their first ATT annual reports. Significantly, four of the ten states parties that have never provided information on their small arms transfers to the UN Register included such information in their ATT reports.

States do not usually indicate whether information in their UN Register submission refers to authorizations or actual small arms transfers (Holtom, 2008, pp. 23–26). The ATT template, however, requests this information. Only two states did not provide such data in

Table 9 Reporting on international transfers of small arms in the first ATT annual reports and in submissions to the UN Register provided prior to or on 31 December 2016

| State party | ATT annual report covering 2015 | UN Register submission containing information on international small arms transfers | |
|------------------------|---------------------------------|-------------------------------------------------------------------------------------|-------------------------|
| | | Number submitted | Last trade year covered |
| Albania | X | 6 | 2013 |
| Antigua and Barbuda | | 3 | 2010 |
| Argentina | X | 7 | 2014 |
| Australia | X | 7 | 2014 |
| Austria | X | 0 | n/a |
| Bahamas | | 1 | 2012 |
| Belgium | X | 1 | 2009 |
| Bosnia and Herzegovina | X | 4 | 2011 |
| Bulgaria | X | 7 | 2015 |
| Burkina Faso | | 0 | n/a |
| Costa Rica | X | 0 | n/a |
| Croatia | X | 6 | 2015 |
| Czech Republic | X | 7 | 2015 |
| Denmark | X | 9 | 2015 |
| Dominican Republic | X | 0 | n/a |
| El Salvador | X | 1 | 2007 |
| Estonia | X | 2 | 2015 |
| Finland | X | 2 | 2015 |
| France | X | 9 | 2015 |
| Germany | X | 10 | 2015 |
| Grenada | | 2 | 2015 |

| State party | ATT annual report covering 2015 | UN Register submission containing information on international small arms transfers | |
|--------------------------------------------|---------------------------------|-------------------------------------------------------------------------------------|-------------------------|
| | | Number submitted | Last trade year covered |
| Hungary | X | 9 | 2015 |
| Iceland | | 1 | 2011 |
| Ireland | X | 5 | 2015 |
| Italy | X | 5 | 2015 |
| Jamaica | X | 2 | 2015 |
| Japan | X | 10 | 2015 |
| Latvia | X | 9 | 2015 |
| Liberia* | X | 0 | n/a |
| Liechtenstein | X | 7 | 2013 |
| Lithuania | X | 9 | 2015 |
| Luxembourg | X | 1 | 2008 |
| Macedonia, the former Yugoslav Republic of | X | 2 | 2012 |
| Mali | X | 1 | 2007 |
| Malta | | 6 | 2013 |
| Mexico | X | 9 | 2015 |
| Montenegro | X | 3 | 2012 |
| Netherlands | X | 12 | 2015 |
| New Zealand | X | 3 | 2009 |
| Nigeria | | 0 | n/a |
| Norway | X | 8 | 2015 |
| Panama | X | 2 | 2009 |
| Poland | X | 12 | 2015 |
| Portugal | X | 9 | 2015 |

| ▶ State party | ATT annual report covering 2015 | UN Register submission containing information on international small arms transfers | |
|----------------------------------|---------------------------------|-------------------------------------------------------------------------------------|-------------------------|
| | | Number submitted | Last trade year covered |
| Saint Kitts and Nevis | | 0 | n/a |
| Saint Lucia | | 1 | 2007 |
| Saint Vincent and the Grenadines | | 1 | 2009 |
| Samoa | X | 2 | 2012 |
| Senegal | X | 1 | 2007 |
| Serbia | X | 5 | 2015 |
| Sierra Leone | | 0 | n/a |
| Slovakia | ** | 9 | 2015 |
| Slovenia | X | 6 | 2015 |
| South Africa | *** | 0 | n/a |
| Spain | X | 3 | 2015 |
| Sweden | X | 10 | 2015 |
| Switzerland* | X | 8 | 2015 |
| Trinidad and Tobago | | 4 | 2015 |
| United Kingdom | X | 12 | 2015 |
| Uruguay | X | 2 | 2015 |
| Total: 63 states | 47 states | 53 states | |

Notes:

* Liberia and Switzerland were not obliged to provide a report on their authorized and/or actual exports and imports of conventional arms for 2015.

** Slovakia provided an ATT annual report in 2016, but the report has not been made publicly available. It is therefore not possible to determine if this report contains information on its authorized and/or actual exports and imports of small arms for 2015.

*** South Africa provided an ATT annual report in 2016 but did not include information on its authorized and/or actual exports and imports of small arms for 2015.

Sources: ATT Secretariat (n.d.); UN Register (n.d.)



Nine states

parties indicated that they had excluded information from their ATT annual report because of national security and/or commercial considerations, which is allowed under the ATT.”

- 35 reports contain information on the number of units transferred;
- 2 reports contain information on the value of authorizations; and
- 8 reports contain information on the number of units and the value of small arms exports and/or imports.¹⁷

Nine states parties indicated that they had excluded information from their ATT annual report because of national security and/or commercial considerations, which is allowed under the ATT (UNGA, 2013a, art. 13.3). Australia, for instance, indicated that information on imports for the Australian National Defence Forces had been ‘withheld’. Sweden provided information on the destinations of its light weapons exports but did not indicate either the number of units or the value. Several states parties aggregated data or omitted certain types of information. For example, Bosnia and Herzegovina and Jamaica aggregated the list of importers and exporters for each small arms subcategory. Denmark and Norway identified only some of their export destinations and import sources. Croatia identified importers by subcategory in its UN Register submissions for 2011–15 but did not identify importers, in any form, in its ATT annual report.

The ATT template indicates that a ‘description’ of small arms transferred and ‘comments on the transfer’ are ‘voluntary’ information. Twenty-four states provided a description—that is, the model and type—for at least some of the small arms being transferred. Specifically, certain states included:

- descriptions of all items transferred (for example, Albania, Liechtenstein, and Slovenia);
- descriptions of most items transferred (for example, Bosnia and Herzegovina, Hungary, and Romania);

their first ATT annual reports: Bosnia and Herzegovina and the UK.¹⁶ Austria and the Dominican Republic provided information on both authorizations and actual transfers, while Panama reported on authorizations for exports and actual imports. Germany reported actual exports for the first seven categories of items covered by ATT Article 2.1 (major conventional weapons) and authorizations for its small arms exports.

States provide information on the number of units exported or imported—rather than values—in their UN Register submissions. ATT states parties take different approaches to their small arms transfers reports:

- descriptions of light weapons only (for example, Bulgaria, Lithuania, Norway, Sweden, and Switzerland); and
- specifications of subcategories within the reporting template's subcategories (for example, France and the UK).

Germany did not provide descriptions of small arms exports in its ATT annual report, but it did provide a description of some small arms exports in its 2015 UN Register submission.

Seven of the ten ATT states parties that used the subcategory 'other' indicated the type of small arms covered, as follows:

- 'sniper rifles' (Bosnia and Herzegovina);
- 'shotguns' or 'airguns' (Denmark, El Salvador, Hungary, Ireland, and Jamaica);¹⁸
- 'AMR semi-automatic destroyer rifle' (Hungary); and
- '20 mm anti-aircraft guns' (Serbia).

Ten of the 13 states parties that gave 'comments on transfer' provided information on the end use or end user of some of their small arms transfers. The practices in this regard are comparable to those used in reporting to the UN Register.

Several states parties provided information on transfers of additional categories of conventional arms or related materiel:

- 'gun barrels' (New Zealand);
- munitions, parts and components of firearms, and other 'personal security items and accessories' (the Dominican Republic); and
- ammunition (Norway and Sweden).¹⁹

This analysis indicates that the ATT's reporting provisions have resulted in an overall increase in transparency in international transfers of small arms. Austria, Costa Rica, the Dominican Republic, and Liberia have not provided information on small arms transfers to the UN Register, but they did provide such information in their first ATT annual reports. Africa and the Americas had the lowest ATT reporting rates in 2016 (covering 2015 small arms transfers). Of the African states parties that were required to report, only 29 per cent (2 of 7) did so, although Liberia submitted voluntarily; of the states parties in the Americas, only 50 per cent (8 of 16) fulfilled the obligation. The number of states parties in the Americas due to report in 2017 increases from 16 to 20, while the number in Africa will rise from 7 to 13 states parties. Efforts must be made to maintain the positive momentum seen in 2016, so that more states parties may fulfil their obligation to provide an annual report and, for the purposes of transparency, make the report publicly available. Wherever needed, international assistance could help states parties fulfil their ATT reporting obligations.

Recent developments in reporting to the UN Register

The UN Register marked two significant anniversaries in 2016: the 25th anniversary of its establishment (1991) and the 10th anniversary of the provision of a standardized form for the submission of background information on international transfers of small arms (2006). UN General Assembly resolutions call upon member states to provide information to the UN Register on their international transfers of seven categories of conventional arms as a transparency and confidence-building measure (UNGA, 1991).²⁰ Small arms were not included in the scope of the UN Register when it was established. Some states have, however, provided information on their small arms transfers, acquisitions, and holdings since the Register's establishment.

The UN Secretary-General has appointed a GGE every three years since 1994 to consider the operation and further development of the UN Register.²¹ The inclusion of small arms in the UN Register has been considered at length by all GGEs since 1997. In 2003, the GGE recommended that the UN Register include small arms by:

- lowering the threshold for the large-calibre artillery category to 75 mm to cover some light weapons;
- including man-portable air defence systems (MANPADS) as a subcategory of missiles and missile launchers; and
- inviting states to provide 'background information' on their international small arms transfers (UNGA, 2003, paras. 112–13).

The 2006 GGE introduced a standardized form to facilitate the provision of information on international small arms transfers (UNGA, 2006, para. 125). While the GGE did not provide a definition of small arms, the form contains six subcategories for small arms and seven subcategories for light weapons, based on the subcategories contained in the 1997 report of the UN Panel of Governmental Experts on Small Arms (UNGA, 1997, para. 26).²²

Subsequent GGEs have considered making small arms and light weapons a formal eighth Register category. The 2009 and 2013 GGEs recommended that states provide their views on this issue to the UN Secretary-General in order to inform the deliberations of the 2016 GGE (UNGA, 2009, para. 75; 2013b, para. 70). Fourteen states and the EU provided their views.²³ Ten of these states and the EU explicitly supported a small arms category (UN Register, n.d.).

Since 2004, 88 states have provided information on their small arms transfers to the UN Register at least once (UNGA, 2016, para. 26). Overall UN Register participation is in decline, and reporting on small arms transfers mirrors this decline (see Table 10). Twenty-nine of the 54 UN Register submissions for 2015 include information on international

Table 10 Reporting on small arms transfers to the UN Register, 2004–15

| Year of submission | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 |
|--------------------------------------|------|------|------|------|------|------|------|------|------|------|------|------|
| No. of reports covering small arms | 5 | 6 | 5 | 37 | 48 | 47 | 43 | 49 | 32 | 34 | 23 | 29 |
| Total no. of UN Register submissions | 113 | 115 | 115 | 113 | 91 | 80 | 72 | 86 | 52 | 69 | 59 | 54 |
| % of reports covering small arms | 4% | 5% | 4% | 33% | 53% | 59% | 60% | 57% | 62% | 49% | 39% | 54% |

Note: The data in this table was verified via correspondence with the United Nations Office for Disarmament Affairs, 11 May 2017.

Sources: UNGA (2006, para. 32; 2009, para. 28; 2013b, p. 13, Table 2; 2016, para. 26 and p. 14, fig. III)

small arms transfers, down from 49 of the 86 submissions for 2011. Most states utilize the six subcategories for small arms and seven for light weapons, while identifying exporters and importers. Some states provide information on the model or type of small arms and the end use or user.

The 2016 GGE report provides a detailed account of the GGE’s deliberations on the inclusion of small arms in the UN Register (UNGA, 2016, paras. 60–61). The 2016 GGE made two recommendations in this regard. First, the Group recommended the distribution of a questionnaire to all UN member states to gather information on reporting practices, challenges, and national positions on the inclusion of small arms in the UN Register. Second, it recommended that the UN Secretary-General ‘appeal to Member States in a position to do so’ to submit reports to the UN Register using a ‘seven plus one formula’ for a trial period (UNGA, 2016, para. 83). Accordingly, these member states would submit the standardized reporting form for international transfers of small arms and light weapons ‘in parallel with the seven categories of the Register’, rather than as an eighth category on the standardized reporting form (para. 75). As of mid-2017, it was unclear whether the response to the questionnaire and the trial period would persuade the next GGE to create an eighth category for small arms.

The 2016 GGE recommendations should enable the alignment of UN Register submissions with ATT state party annual reports. It remains to be seen, however, whether the ‘seven plus one formula’ will help bolster reporting to the UN Register, or whether the Register’s relevance will diminish in the shadow of the ATT.



Based on their Barometer scores from the 2006–17 editions, the five least transparent major small arms exporters are: Iran, North Korea, Saudi Arabia, South Africa, and the UAE. These states do not provide information on their small arms exports to Comtrade or the UN Register.”

III. Casting light on the least transparent major exporters

The Trade Update relies on UN Comtrade and other government-source data to identify the largest small arms exporters each year. Yet these sources are of limited value for documenting the small arms exports of the least transparent major exporters (Dreyfus et al., 2009; Herron et al., 2010; Grzybowski, Marsh, and Schroeder, 2012). If an exporter's main trading partners are also untransparent—that is, if they do not provide information to Comtrade or the UN Register either—then it is not possible to determine the value of its small arms exports using 'mirror data'. Thus, this section examines a range of open sources to address the following questions:

- Can open sources other than Comtrade provide sufficient information to construct patterns of supply that could help to provide reliable estimates for the value of an untransparent state's small arms exports?
- What are the main challenges in estimating the value of an untransparent state's small arms exports?
- Whatever the challenges of estimating these exports, is it possible to conclude that the five least transparent exporters are, in fact, major exporters (exporting at least USD 10 million worth of small arms in a given calendar year)?

Based on their Barometer scores from the 2006–17 editions, the five least transparent major small arms exporters are: Iran, North Korea, Saudi Arabia, South Africa, and the UAE (see Table 11). These states do not provide information on their small arms exports to Comtrade or the UN Register. Information provided to Comtrade by importing states indicates that these five states do not consistently export USD 10 million or more of small arms per year.²⁴

Table 11 The least transparent major small arms exporters based on the Small Arms Trade Transparency Barometer, 2006–17

| State | Small Arms Trade Transparency Barometer score (25.00 max) | | | | | | | | | | | |
|--------------|-----------------------------------------------------------|------|------|------|------|------|------|------|------|-------|------|---------|
| | '06 | '07 | '08 | '09 | '10 | '11 | '12 | '13 | '14 | '16 | '17 | Average |
| Iran | 9.00 | 7.50 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1.50 |
| North Korea | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Saudi Arabia | 5.50 | 7.50 | 7.25 | 8.75 | 7.25 | 3.25 | 2.75 | 0 | 0 | 0 | 0 | 3.80 |
| South Africa | 2.25 | 2.00 | 2.00 | 2.00 | 2.00 | 2.00 | 2.00 | 2.00 | 3.50 | 11.25 | 8.25 | 3.60 |
| UAE | 0 | 8.50 | 8.00 | 9.25 | 9.00 | 8.50 | 0 | 0 | 0 | 0 | 0 | 3.90 |

Source: Small Arms Survey (n.d.)

Table 12 Value of small arms exports by the five least transparent major exporters, as reported to UN Comtrade (USD million), 2004–14

| State | Value of small arms exports (USD million) | | | | | | | | | | |
|--------------|-------------------------------------------|-------|------|-------|------|------|------|------|------|-------|-------|
| | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 |
| Iran | 6.68 | 1.31 | 1.46 | 0.51 | 0.38 | 0.85 | 0.80 | 0.00 | 0.01 | 0.00 | 0.28 |
| North Korea | 0.00 | 0.10 | 0.06 | 0.05 | 0.01 | 0.13 | 0.00 | 0.00 | 0.00 | 0.28 | 0.00 |
| Saudi Arabia | 0.02 | 0.06 | 0.66 | 0.47 | 0.09 | 8.07 | 0.00 | 0.05 | 0.03 | 0.01 | 0.01 |
| South Africa | 8.31 | 10.82 | 0.26 | 15.48 | 0.88 | 8.86 | 5.99 | 6.55 | 6.86 | 21.62 | 33.17 |
| UAE | 0.31 | 8.31 | 1.96 | 11.16 | 8.58 | 1.56 | 1.41 | 3.58 | 2.29 | 0.77 | 22.21 |

Notes: All values are expressed in constant 2014 US dollars. The value 0.00 indicates that Comtrade recorded exports worth less than USD 10,000 or no exports.

Source: NISAT (n.d.)

Table 12 shows that Iran and the UAE have each exported more than USD 10 million in a single year since 2004 (in 2004 and 2014, respectively), and South Africa has done so six times (in 2005–08 and 2013–14). South Africa is an anomaly in this group of states. It is a participating state in the Wassenaar Arrangement, regularly reports to the UN Register, and produces an annual arms export report. Until recently, however, these sources did not provide information on small arms exports. The case of South Africa is considered in the following section; the remaining cases are reviewed thereafter, in alphabetical order.

In addition to data provided by importing states to Comtrade and the UN Register, the following materials have been reviewed to determine the value of small arms exports for these states:

- official press releases and interviews that provide information on deals and deliveries, or the total annual value of arms exports;
- arms industry literature;
- reports from UN panels of experts and field-based research; and
- open source media, including social media.

There are several key limitations in relying on such sources to estimate the value of untransparent states' small arms exports. First, the available sources do not provide a

full accounting of the different types of transfers undertaken by untransparent exporters, such as licensed production arrangements, donations, gifts, or barter. Second, open source data rarely provides a verifiable value for arms deals and deliveries by untransparent states. Third, while social media such as Facebook, Flickr, Twitter, and YouTube can show that small arms have been sent from a particular country, it is not useful for estimating the scale of an untransparent state's small arms exports.

Two of the countries examined in this section—Iran and North Korea—have both been subject to UN arms embargoes during the period under review, with restrictions on small arms exports in place since 2007 and 2009, respectively (UNSC, 2007; 2009). Even though exports from these countries can be considered illicit, as they contravene international law, this review is based on the assumption that documented small arms exports from the two countries are authorized by the relevant authorities in both states—thus qualifying them for consideration in this Trade Update. Because of the UN embargoes, the arms trading activities of Iran and North Korea have been subject to considerable scrutiny in recent years. As a result, UN panels of experts and field researchers have provided sufficient information to allow patterns of supply and the scale of small arms exports from these countries to be determined.

South Africa

South Africa has consistently received one of the lowest scores in the Transparency Barometer. This is somewhat surprising since South Africa regularly reports to the UN Register and its National Conventional Arms Control Act of 2002 requires the National Conventional Arms Control Committee (NCACC) to produce an annual report on arms transfers (South Africa, 2002, s. 23). Yet, during 2003–13, the NCACC annual reports did not provide disaggregated data on small arms exports (Merten, 2013; PMG, 2013). Nor did South Africa provide information on its small arms exports to UN Comtrade or the UN Register. The estimated value for South Africa's small arms exports according to Comtrade 'mirror data' fluctuates from year to year, from a low of USD 5.99 million in 2010 to a high of USD 33.17 million in 2014.

South Africa's parliamentary opposition has called for greater transparency and oversight of the country's arms exports because of concerns that arms are being exported to countries with poor human rights records or that they contribute to regional instability, particularly in Africa (PMG, 2016). The quality of South Africa's annual reports improved after the adoption of the National Conventional Arms Control Regulations of 2012 (South Africa, 2012). In particular, the 2014 annual report included:

- a category description ('heavy weapons', 'light weapons', and 'ammunition');
- a description of the items (such as 'machine gun, 7.62 mm'), as well as their quantity and value in rand; and
- other information relating to arms transfer authorizations (see Figure 14).

Figure 14 Extract from the South African arms export report covering 2014

| Exports authorised Annual Report 2014 01 January to 31 December 2014 | | | | | |
|----------------------------------------------------------------------|----------------|------------------|-----------|---------------|---------|
| A | B | C | D | E | F |
| TYPE AND DESCRIPTION | FINAL EXPORTER | ITEM DESCRIPTION | QUANTITY | RAND VALUE | REMARKS |
| Ammunition | Botswana | Rounds | 1 000 | 140,000.00 | |
| | France | Rounds | 1 512 | 786,240.00 | |
| | | Rounds | 300 | 161,400.00 | |
| | | Rounds | 200 | 57,000.00 | |
| | Indonesia | Rounds | 10 940 | 4,345,923.00 | |
| | Jordan | Rounds | 9 000 | 8,074,950.00 | |
| | | Rounds | 6 000 | 5,604,875.00 | |
| | Malawi | Rounds | 2 000 000 | 9,673,540.00 | |
| | Malaysia | Rounds | 2 400 | 1,706,738.00 | |
| | | Rounds | 1 000 | 288,442.00 | |
| | Philippines | Rounds | 12 500 | 7,585,789.00 | |
| | United Kingdom | Rounds | 55 260 | 44,814,062.00 | |

Reproduced from: South Africa (2015, p. 5)

The most recent South African annual reports reveal authorizations for the export of 111 million rand (USD 9.5 million) worth of small arms and ammunition in 2013 and 198 million rand (USD 18.1 million) for the same type of materiel in 2014 (South Africa, 2014; 2015).²⁵ This data refers to authorizations and is therefore not directly comparable to the delivery data provided to Comtrade by importing states. Yet, the South African reports provide an official annual value for small arms export authorizations that confirms that the country is a major small arms exporter—and that, due to changes in the 2014 annual report, it is no longer one of the least transparent major exporters.

Iran

Iran's Transparency Barometer score has declined from 9 points in 2006 to 0 for all editions since 2008. Iran last provided information to Comtrade on its small arms exports in 2004, and NISAT estimated exports worth USD 16.68 million (in constant 2014 US dollars) for that year.²⁶ In 2013, recipient states notified Comtrade of imports from Iran worth USD 727. The dramatic decline in the value of Iranian small arms exports

reported to Comtrade correlates with the imposition of a UN arms embargo on the country in March 2007 (UNSC, 2007). Information gathered by UN panels of experts, researchers, and other analysts nevertheless indicates that Iranian small arms exports have continued, although their scale is unclear.

The first point to be made regarding such exports is that open source reporting on them can be contradictory. In early 2014, it was reported that the Iraqi government had signed eight contracts with Iran for USD 195 million worth of military equipment, including small arms and ammunition (Rasheed, 2014). The Iraqi authorities firmly denied the deal to the Iran Sanctions Committee (UNSC, 2014c, para. 17). A UN panel of experts has asserted, however, that Iran supplied arms and ammunition to Kurdish forces for use against Islamic State forces in Iraq (UNSC, 2015c, para. 30). One observer has alleged that Iranian deliveries to Iraqi militias during 2014–16 ‘have increased so much that all semi-heavy artillery equipment, sniper weapons and many other types of personal and armored weapons presently used by Iraqi paramilitary forces are Iranian-made’ (Qaidaari, 2016); others have made similar assertions (Gordon and Schmitt, 2014; Knights, 2015). It is possible that some or all of these deliveries were made to subnational or paramilitary forces without being authorized or registered with the Iraqi government.

Second, researchers have indicated that arms and ammunition that originated in Iran are being re-exported from other states, but it is not clear if these re-exports have been authorized by Iranian authorities. Conflict Armament Research, for example, reports that ‘the Yarmouk Industrial Complex (YIC) in Khartoum serves as a production/onward shipment facility for Iranian/Iranian-designed weapons’ (CAR, 2012, pp. 25–27). Licensed production arrangements in Syria also increase the difficulty of determining if new arms and ammunition in use in Syria are from Iranian or Syrian production (Jenzen-Jones, 2014). As a result, when Iranian-produced small arms and ammunition are seized, it can be difficult to determine if the shipment was authorized by Iranian authorities or re-exported without Iranian authorization.

United Nations Security Council Resolution 2231 of 2015 and the Joint Comprehensive Plan of Action (JCPOA) changed the terms of the UN arms embargo on arms exports from Iran (UNSC, 2015d).²⁷ The resolution permits Iran to export arms on a case-by-case basis, once the Security Council has authorized the transfers. In theory, this measure should increase transparency, since it requires Iran and importing states to provide information on proposed arms transfers to the Security Council. In practice, however, that goal will remain elusive, as suggested by the most recent report of the UN Panel of Experts on Iran. Although the panel did not receive information on Iranian exports from UN member states, its report featured numerous media accounts of Iranian arms exports to Iraq, Lebanon, Syria, and Yemen, as well as to non-state armed groups (UNSC, 2015c, para. 28).²⁸ UN panels of experts and field researchers have also documented seizures of Iranian small arms destined for recipients in the Middle East and sub-Saharan Africa in volumes that would confirm that Iran remains a major small arms exporter (see Table 13). If that is the case, it is unlikely to change in the near future. In early 2017, Iranian officials announced plans to export more small arms and ammunition (PressTV, 2017).

Table 13 Reported seizures of suspected Iranian exports or re-exports of small arms and ammunition, 2009–16

| Date of incident | Means of transport | Location of seizure | Destination | Seized items |
|-------------------|-----------------------------------------------------------|---------------------|-------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19 January 2009 | <i>Monchegorsk</i> (Russian ship, Cypriot flag) | Red Sea | Syria | 560 barrels of 7.62 mm × 39 mm bullet shells (estimate); 270 cases of increments of 120 mm mortar shells (estimate); 5,000 AZ 111-A2 type fuses; 792 cases of single-hold propellant SF3-23/1-37-type powder; 600 50-kg cases of black powder pellets; 132 45-kg cases of single-hold propellant 15/1–365/SBP type; 540 40-kg cases of single-hold propellant 15/1–365/SBP type; 660 62-kg cases of yellow powder pellets of approx. 1 cm 12/7.SBP type; 132 70-kg cases of black powder pellets 5/7–SBP type; 6,780 kg of T4 (RDX). |
| April 2009 | ‘Unnamed vessel’ | n/a | Yemen | ‘Crates of weapons.’ |
| 12 October 2009 | <i>Hansa India</i> (German ship and flag) | Red Sea | Syria | 12,170,000 7.62 mm × 39 mm bullet cases; 248,644 brass discs of 40 mm and 7 mm thickness (estimates). |
| 25 October 2009 | <i>Mahan 1</i> (Iranian ship) | Yemen | Yemen | ‘Weapons.’ |
| 3–4 November 2009 | <i>Francop</i> (Cypriot ship, Antiguan and Barbudan flag) | Mediterranean Sea | Syria | 566,220 rounds of 7.62 mm × 39 mm ammunition; 690 122 mm rockets; 2,125 107 mm rockets; |

| Date of incident | Means of transport | Location of seizure | Destination | Seized items |
|------------------|-----------------------------------------------|---------------------|----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | | 690 122 mm fuses; 5,680 60 mm mortar shells; 2,316 81 mm mortar shells; 774 120 mm mortar shells; 3,046 106 mm anti-tank shells; 20,100 fragmentation hand grenades. |
| 26 October 2010 | Everest (Iranian ship, Marshall Islands flag) | Nigeria | Gambia | 1,664,490 rounds of 7.62 mm ammunition; 40,380 rounds of 12.7 mm ammunition; 75,000 cartridges for BKC/ Kalashnikov; 294 107 mm rockets; 360 fuses; 5,341 60 mm mortar shells; 4,162 81 mm mortar shells; 4,885 120 mm mortar shells; 640 hand grenades; 294 firing pins. |
| 5 February 2011 | Truck | Afghanistan | Taliban, Afghanistan | 48 122 mm rockets; 49 fuses; 1,000 rounds of 7.62 mm ammunition. |
| 15 February 2011 | Truck | Turkey | Syria | 2 boxes of gunpowder M9, with a total weight of 890 kg; 2 boxes of propelling charge; 2 boxes of slow-burning material, with a total weight of 30 kg; 1 box of sensitive materials (detonators); 6 pallets of solid rockets; 2 pallets of RDX explosives with a total weight of 1,700 kg. |
| 21 February 2011 | 'Unnamed vessel' | Yemen | Yemen | 900 Iranian-made anti-tank and anti-helicopter rockets. |

| Date of incident | Means of transport | Location of seizure | Destination | Seized items |
|------------------|-----------------------------------------------------------|---------------------|-------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 15 March 2011 | <i>Victoria</i> (German ship, Liberian flag) | Mediterranean Sea | Egypt | 66,240 7.62 mm bullets; 2,280 60 mm mortar shells; 232 120 mm M61 mortar shells with AZ 111-A2 fuses; 6 Nasr 1 (C-704) anti-ship missiles; 2 radars; 2 naval control stations. |
| 19 March 2011 | Ilyushin cargo aircraft (YasAir Cargo Airlines) | Turkey | Syria | 60 Kalashnikov rifles; 14 BKC/Bixi machine guns; 7,920 rounds of BKC/Kalashnikov ammunition; 560 60 mm mortar shells; 1,288 120 mm mortar shells. |
| 14 August 2011 | <i>Nafis 1</i> (Iranian ship) | n/a | Yemen | Allegedly transporting arms. |
| May/June 2012 | <i>Imdad 1</i> | n/a | Yemen | Allegedly transporting arms. |
| 23 January 2013 | <i>Jihan</i> (dhow) | Yemen | n/a | 10 launch tubes for 9M32M missiles; 10 launch tubes for QW-01M missiles; 2 gripstocks for 9M32M missiles; 5 gripstocks for QW-01M missiles; 95 PG-7 launchers; 66 suppressors; 29 PG-7 launcher sights; 20 battery coolant units for 9M32M missiles; 20 battery coolant units for QW-01M missiles; 12,495 12.7 × 108 mm rounds; 316,000 7.62 × 39 mm rounds; 62,920 7.62 × 54R rounds. |
| 5 March 2014 | <i>Klos-C</i> (Marshall Islands ship, Panamanian flag) | Red Sea | Gaza | 40 M-302 rockets; 180 120 mm mortars; around 400,000 rounds of 7.62 mm ammunition. |

| Date of incident | Means of transport | Location of seizure | Destination | Seized items |
|-------------------|----------------------------------|---------------------|------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| March 2015 | 'Unnamed' (Iranian ship) | n/a | Yemen | Reportedly 180 tons of weapons and military equipment. |
| 24 September 2015 | <i>Nassir</i> (dhow) | Oman | Somalia or Yemen | 56 Toophan tube-launched, optically tracked, wireless-guided (TOW) anti-tank guided missiles (ATGMs); 4 TOW optical sights; 4 TOW tripod mounts; 4 TOW launch tubes; 2 TOW battery sets; 2 TOW launcher assembly units; 3 TOW missile guidance systems; 14 TOW battery assemblies; 19 9M113 Konkurs ATGMs. |
| 27 February 2016 | <i>Al Mansoor (Samer)</i> (dhow) | Arabian Sea | Somalia or Yemen | 1,989 Kalashnikov-type assault rifles; 100 RPG-7 variant launchers; 49 PKM general-purpose machine guns; 39 PKM spare barrels; 20 60 mm mortar tubes. |
| 20 March 2016 | 'Unnamed' (dhow) | Arabian Sea | Somalia | 1,999 Kalashnikov-type assault rifles; 64 Dragunov sniper rifles; 9 9M133 Kornet anti-tank missiles; 6 PKM machine guns. |
| 28 March 2016 | <i>Adris</i> (dhow) | Arabian Sea | Somalia or Yemen | 1,500 Kalashnikov-type assault rifles; 200 RPG launchers; 21 DshK .50 calibre machine guns. |

Sources: CAR (2016); UNSC (2011b; 2012a, annexe 9; 2013b, paras. 46–55; 2014c, para. 40; 2015c, annexe 1; 2016a, annexe 12; 2017a, pp. 27–28, table 2)

North Korea

North Korea has received a score of 0 in every edition of the Transparency Barometer to date. It has never provided information on its small arms exports to Comtrade or the UN Register.²⁹ In 2013, Comtrade recorded the highest value for North Korean small arms exports: USD 300,000. However, the UN Panel of Experts on North Korea found that Fiji, Paraguay, and Qatar had mistakenly identified imports from the Republic of Korea (South Korea) as imports from North Korea (UNSC, 2016b, annexe 72, pp. 182–84). Nevertheless, experts estimate that North Korea's total arms exports are worth at least USD 100 million annually (UNSC, 2010, para. 65). South Korean media reported an even higher figure for 2015, valuing North Korean arms sales at USD 300 million (Chosunlibo, 2016).

It is difficult to verify such claims, but knowledge of North Korea's small arms trade practices and recipients has increased in recent years. In the small arms market, it appears that North Korea has established a niche business in the supply of low-cost weapons, parts for old systems, and assistance in establishing or renovating production lines (Berger, 2015, pp. 152–53). The UN Panel of Experts on North Korea has noted that 'although the precise income it earned from this trade is subject to debate, there is no question that it is one of the country's most profitable revenue sources' (UNSC, 2014b, para. 65).

New information on North Korea's established arms clients underlines the difficulty of estimating the value of its arms exports. First, North Korea reportedly charges lower prices than its competitors for similar items (Berger, 2015, pp. 56–57). This could translate into a low overall financial value for North Korean arms exports, which may obscure the volume of materiel the country contributes to the international arms trade. Second, North Korea has provided assistance for the development, upgrade, or overhaul of small arms and ammunition factories in the Democratic Republic of the Congo, Ethiopia, Namibia, Yemen, and possibly Uganda during the period under review (p. 45). The financial value of such assistance has not been revealed and is difficult to estimate.

Third, the use of seizure data to estimate the value of North Korea's small arms trade is rendered more challenging by the fact that the country facilitates the transfer of, or directly transports, small arms and ammunition on behalf of other states, making it difficult to attribute specific shipments to North Korea (UNSC, 2012b, para. 75). For example, it has been reported that North Korea arranged the transfer of 60 .50 calibre machine guns from China to Burundi via a Ukrainian broker for more than USD 3 million in 2009 (Charbonneau, 2011).

Nevertheless, seizure data remains a useful source for indicating the scale of North Korea's small arms exports. Table 14 provides an overview of seizures of small arms documented by the UN panel, including two particularly significant seizures. The first concerns an estimated USD 18 million worth of small arms and ammunition in a cargo plane that was inspected in Thailand in December 2009; the second involves around

Table 14 Reported seizures of suspected North Korean exports or re-exports of small arms and ammunition, 2009–16

| Date of incident | Means of transport | Location of seizure | Destination | Seized items |
|------------------|-------------------------------------------------------|---------------------|------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 22 July 2009 | <i>ANL Australia</i> (Australian ship, Bahamian flag) | UAE | Iran | 10 containers of North Korean weapons, including rocket launchers. |
| 11 December 2009 | Ilyushin-76 aircraft (AWG 732, Air West Company) | Thailand | Iran | 35 tons of conventional arms and munitions worth USD 16–18 million, including: <ul style="list-style-type: none"> • 240 mm rockets; • RPG-7s; • thermobaric grenade-7s; and • MANPADS. |
| January 2010 | <i>Chong Chon Gang</i> (North Korean ship and flag) | Ukraine | n/a | A small number of handguns, ammunition, narcotics, and other illegal goods. Relevant Ukrainian agencies did not believe North Korean authorities were involved. |
| November 2010 | <i>MV San Francisco Bridge</i> (Panamanian flag) | n/a | Syria | Brass discs and copper rods used to manufacture artillery munitions (pellets and rods for crimping cartridges and driving bands); aluminium alloy tubes usable for making rockets. |
| May 2011 | 'Unnamed' | Indian Ocean | n/a | 15 tons of rockets; and USD 15 million worth of explosives. |
| 23 January 2013 | <i>Jihan I</i> (dhow) | Yemen | n/a | Ammunition produced in North Korea. |
| July 2013 | <i>Chong Chon Gang</i> (North Korean ship and flag) | Panama | Cuba–North Korea | 73 mm rocket-propelled projectiles (PG-9/PG-15 anti-tank and OG-9/OG-15 fragmentation projectiles) to be fired with recoilless rifles; |

| Date of incident | Means of transport | Location of seizure | Destination | Seized items |
|------------------|------------------------------------------------|---------------------|-------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | | 1 PG-7VR round; 10 lots of 5–8 shell casings (packed with samples of propelling charge but without primers) of various diameters (57 to 152 mm) for various purposes (fragmentation, high explosive, armour-piercing and/or tracer); 1 box of 7.62 mm cartridges (440 rounds); 1 machine tool for loading shotgun cartridges (12-gauge calibre ammunition); 1 machine tool for manufacturing 5.56 mm cartridges. |
| 11 August 2016 | <i>Jie Shun</i> (Chinese ship, Cambodian flag) | Egypt | n/a | 24,384 disassembled PG-7 rocket-propelled grenades; materials for the assembly of 4,616 rocket-propelled grenades. |

Sources: Berger (2015); Nicholson (2009); UNSC (2010, paras. 61, 80–81; 2012b, paras. 67–72; 2013c, paras. 75–79, 86–90, annexe 13; 2014b, paras. 69–77, 112, annexe 8; 2015b, para. 94; 2017b, paras. 61–65)

30,000 PG-7 rocket-propelled grenades and related subcomponents that were concealed beneath 2,300 tons of iron ore on a North Korean vessel, which was intercepted in Egypt in August 2016 (UNSC, 2010, para. 65; 2013c, para. 75; 2017b, para. 61). Such seizures, which in some cases are estimated to be worth at least USD 10 million, coupled with other documented small arms trade activities, are sufficient to justify North Korea’s status as a major small arms exporter.

Saudi Arabia

Saudi Arabia received an average score of 6.0 in the 2006–12 editions of the Transparency Barometer, before plunging to 0 for 2013–17. The drop reflects the fact that Saudi Arabia stopped providing information to Comtrade on its small arms exports for 2009 and has not resumed reporting since, which was first captured by the 2013 Transparency Barometer. Comtrade data, including mirror data, never recorded Saudi small arms exports equalling or exceeding USD 10 million during the period 2004–14.³⁰



Saudi Arabia
has produced small arms
and ammunition under
licence on the condition
that these items be used
only by its national
security forces.”

The volume of exports as recorded by Comtrade has fluctuated from a high of USD 8 million in 2009 to a low of only USD 11,014 in 2014. There is good evidence, however, to indicate that this Comtrade data includes neither the export of small arms that Saudi Arabia produces under licence from other countries, nor unauthorized re-exports from Saudi Arabia.

Saudi Arabia has produced small arms and ammunition under licence on the condition that these items be used only by its national security forces (Batchelor, 2002, pp. 52–53). It appears, however, that some of the materiel has been exported in vio-

lation of this condition. Germany reportedly put on hold the supply of parts and components for the production of G36 rifles in Saudi Arabia due to concerns that the country had supplied G3 rifles it had produced under licence to Yemen, in violation of assurances that these arms would only be used by Saudi forces (Mascolo and Baars, 2015; Shalal, 2016). As there is little information on exports of small arms produced under licence in Saudi Arabia, it is not possible to estimate their value.

Another difficulty in estimating the value of Saudi small arms exports—and thus determining whether the country is a major exporter—relates to the unauthorized re-export of small arms after delivery to Saudi Arabia, or direct delivery to a third country of arms that have been authorized for delivery to Saudi Arabia. Open sources indicate marked changes in Saudi Arabia’s main small arms exporters in recent years. According to the UN Register, during 2006–10 Saudi Arabia acquired most of its small arms imports from Austria, Canada, France, Germany, and the UK. Since 2011, Bulgaria, Croatia, the Czech Republic, Poland, and Slovakia have accounted for most small arms exports to Saudi Arabia. Eight Central and South-east European states, previously not major suppliers of arms to Saudi Arabia, authorized the export of hundreds of millions of dollars worth of military equipment to the country during 2012–15, including 10,000 rifles, 6,301 machine guns, 18,500 grenade launchers, and more than 350 million rounds of various types of ammunition. Military bases in Jordan, Saudi Arabia, and the UAE have been identified as intermediate destinations for such arms shipments, which were re-exported for distribution to non-Saudi forces in Yemen and Syria (Marzouk, Angelovski, and Patrucic, 2016; Petkova, 2015).

Investigations into these deliveries, and into the former US train-and-equip programme for anti-Assad forces in Syria, have revealed that in cases where Saudi Arabia was not the authorized destination, the country has nonetheless funded arms purchases that were delivered to non-Saudi forces in Syria and Yemen (Chivers and Schmitt, 2013;

Mazzetti and Apuzzo, 2016). Such open source information indicates that Saudi Arabia also re-exports significant quantities of small arms to armed forces and non-state actors in the Middle East, although it is not possible to determine if the value of such deliveries equals or exceeds USD 10 million per year. It is clear, however, that the value of the country's financial support for the abovementioned arms transfers to the region have been worth more than USD 10 million annually in recent years.

The UAE

To some extent, the UAE's small arms trade—and its associated trade transparency—has followed a trend similar to that of Saudi Arabia. The UAE received an average score of 5.26 in the 2007–11 editions of the Transparency Barometer, before dropping to 0 for 2012–17. The country provided information on small arms exports to Comtrade for trade in 2005, 2007–08, and 2013–14. During 2004–13, Comtrade recorded the UAE's annual small arms exports as below USD 10 million. For 2014, Comtrade registered exports worth USD 22 million for the UAE (see Section I). As described below, this increase probably reflects the UAE's recent efforts to establish a small arms industry that not only meets domestic demand, but that is also capable of exporting small arms for security forces in the region and civilian end users around the world.

Specifically, the UAE small arms producers Caracal and Burkan Munitions Factory were established in 2007 to supply small arms and ammunition to UAE security forces, and also to export to other security forces and the global civilian market (Saab, 2014, p. 40). In 2015, they were joined by the UAE's Continental Aviation Services (CAS), which concluded a deal with Indonesia's PT Pindad to produce SS2 assault rifles and ammunition and serve as the main distributor of Indonesian arms in the Middle East (*Jakarta Post*, 2015). There is limited open source information on the exports of Burkan Munitions Factory and CAS, but some is available on Caracal's exports.

Caracal has the capacity to produce 30,000 pistols per year and has estimated that 30 per cent of annual production is exported (Elewa, 2007; Rahman, 2015). The company has exported pistols for the security forces of Bahrain and Jordan, Italian police, and civilian markets in France, Germany, Italy, Thailand, and the United States (Baldwin, 2010). The first delivery of 5,000 pistols for the US civilian market took place in 2010 (worth an estimated USD 3.6 million), with annual deliveries thereafter projected at approximately 10,000 pistols (Baldwin, 2010; WAM, 2012). Poland and Slovakia reported to the UN Register on their imports of very small quantities of small arms from the UAE in 2011, while Italy reported importing 5,220 handguns during 2009–10. The UN Panel of Experts on Libya documented the delivery in 2013 of 5,000 Caracal F pistols and 1 million rounds of ammunition to the Libyan Ministry of Interior (UNSC, 2015a, paras. 125–31). This delivery was reportedly part of a deal for 15,000 Caracal F pistols and 5 million rounds of 9 mm ammunition, which was not notified to the UN Sanctions Committee in

accordance with Security Council Resolution 2009 of 2011 (UNSC, 2011a; 2015a, paras. 125–31). Such anecdotal evidence indicates that the UAE is worth monitoring as an emerging small arms exporter for security forces in the Middle East and North Africa, as well as civilian markets in Asia, Europe, and the United States.

UN expert panels and researchers have also collected evidence indicating that the UAE has played a role similar to that of Saudi Arabia in re-exporting small arms and facilitating small arms transfers from Central and South-eastern Europe to the Middle East and North Africa. For example, the UN Panel of Experts on Libya concluded that UAE-based companies diverted small arms and ammunition from Albania to Libya and re-exported rifles and ammunition, initially received from Ukraine, to Libya (UNSC, 2013a, para. 88; 2014a, annexe V). The UAE also reportedly financed the 2010 transfer of 40,700 assault rifles, 900 hand-held grenade launchers, and 170 60 mm mortars from Bulgaria to the government of Yemen (Petkova, 2015; UNGA, 2011, pp. 82–83). In short, accounts of the UAE's nascent small arms industry, coupled with the abovementioned reports of unauthorized re-exports, suggest that in recent years the UAE has been a major small arms exporter.



While this edition of the Trade Update shows further, year-on-year fluctuations in the composition of the world's top and major small arms importers, the US remains the largest importer although it recorded a drop in the value of its imports: from USD 2.5 billion in 2013 to USD 2.2 billion in 2014.”

Conclusion

Official, publicly available data on small arms transfers enables the identification of major exporters and importers, the mapping of significant changes in small arms flows, and the assessment of policies designed to regulate small arms exports and imports. According to UN Comtrade data, the financial value of the small arms trade in 2014 was at least USD 6 billion, a 4 per cent increase compared to the estimated value for the trade in 2013 (USD 5.8 billion).

While this edition of the Trade Update shows further, year-on-year fluctuations in the composition of the world's top and major small arms importers, the US remains the largest importer although it recorded a drop in the value of its imports: from USD 2.5 billion in 2013 to USD 2.2 billion in 2014. The US demand for small arms continues to determine the global trend in small arms imports, accounting for the largest share of documented transfers by some distance. Both Western Asia (the Middle East) and Western Europe continued to record a high volume of small arms imports through 2014. Yet this 'numbers game' only reveals so much.

The 2017 Trade Update pays close attention to some of the more subtle features of the small arms trade—including exporting countries that do not provide information on their small arms trade. The 2017 Transparency Barometer shows a continuation of the slight upward trend in small arms trade transparency that was reported in the 2016 Barometer. In fact, based on this Trade Update's analysis of the first round of ATT annual reports, the positive trend is likely to persist, as the ATT's reporting provisions have clearly given rise to an overall increase in transparency in international small arms transfers. The 2018 Barometer, covering reporting on transfers conducted in 2015, will assess further developments in transparency as the number of ATT states parties that are due to submit reports increases. The UN Secretary-General's call to UN member states to provide information on their small arms transfers to the UN Register could also bolster the Register's contribution to small arms trade transparency (and arrest the somewhat dramatic recent decline in Register reporting, including reporting on small arms transfers).

The norm of transparency in international small arms transfers is not universally shared, however. This edition of the Trade Update, using a wide array of publicly available information, highlights the huge gap between reported exports and actual exports in some states. Of the five least transparent major exporters of the early 21st century, as defined by the Barometer, South Africa is the country that appears most likely to follow the trend towards greater transparency due to new reporting practices propelled by the South African legislature.

There are no signs that the four other countries on the list of least transparent exporters—Iran, North Korea, Saudi Arabia, and the UAE—will follow the South African example any time soon. A lack of reporting does not necessarily mean a lack of information, however. While the main trading partners of these countries are also untransparent states, and thus preclude the use of importer data to gain information on their exports, other sources

can fill the gap. Open source information gathered by UN experts, field researchers, and the media can help to reconstruct the broad trading patterns of these countries, allowing independent observers to determine not only the significance of these states for the global small arms trade, but also the implications of their trading activities for international peace, security, and stability.

UN expert reports, field research, and seizure data has helped confirm that Iran and North Korea are in fact major small arms exporters—with annual exports worth at least USD 10 million. It appears clear that Saudi Arabia and the UAE have both re-exported, or facilitated the transfer of, significant quantities of small arms in recent years. Available information indicates that both Iran and the UAE are stepping up their production and export of small arms.

Many of the details of this trade remain to be filled in. Some transfers, even though untransparent, may help strengthen security forces that are on the front line of the fight against terrorist groups in the Middle East and North Africa. Yet it is clear that a significant share of the concealed small arms trade is helping to fuel conflict, insecurity, and instability in this region and others. The assumption of those countries that prefer to keep their small arms trade secret is presumably that, by so doing, they will prevent others from determining whether and how such trade contributes to, or undermines, peace and security—to cite the terms of the ATT. But as reporting improves, other sources of information fill reporting gaps, and as ATT norms diffuse more broadly, a lack of trade transparency increasingly raises the question of what, exactly, is being left unsaid.

“Some transfers, even though untransparent, may help strengthen security forces that are on the front line of the fight against terrorist groups in the Middle East and North Africa.”

Annexe

Table A1 Major exporters' annual authorized small arms and light weapons exports (of at least USD 10 million), 2014

Available online at <http://www.smallarmssurvey.org/publications/by-type/trade-update.html>

Table A2 Major importers' annual authorized small arms and light weapons imports (of at least USD 10 million), 2014

Available online at <http://www.smallarmssurvey.org/publications/by-type/trade-update.html>

Table A3 Regional breakdown of countries and territories

| Region | Subregion | Country or territory |
|----------------------|------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Africa | Eastern Africa | Burundi; Comoros; Djibouti; Eritrea; Ethiopia; Kenya; Madagascar; Malawi; Mauritius; Mayotte; Mozambique; Réunion; Rwanda; Seychelles; Somalia; Tanzania; Uganda; Zambia; Zimbabwe |
| | Middle Africa | Angola; Cameroon; Central African Republic; Chad; Democratic Republic of the Congo; Equatorial Guinea; Gabon; Republic of the Congo; São Tomé and Príncipe |
| | Northern Africa | Algeria; Egypt; Libya; Morocco; Sudan; Tunisia |
| | Southern Africa | Botswana; Lesotho; Namibia; South Africa; Swaziland |
| | Western Africa | Benin; Burkina Faso; Cape Verde; Côte d'Ivoire; Gambia; Ghana; Guinea; Guinea-Bissau; Liberia; Mali; Mauritania; Niger; Nigeria; Saint Helena; Senegal; Sierra Leone; Togo |
| Americas | Caribbean | Antigua and Barbuda; Aruba; Bahamas; Barbados; British Virgin Islands; Cayman Islands; Cuba; Curaçao; Dominica; Dominican Republic; Grenada; Guadeloupe; Haiti; Jamaica; Martinique; Montserrat; Saint Kitts and Nevis; Saint Lucia; Saint Pierre and Miquelon; Saint Vincent and the Grenadines; Sint Maarten; Trinidad and Tobago; Turks and Caicos |
| | Central America | Belize; Costa Rica; El Salvador; Guatemala; Honduras; Mexico; Nicaragua; Panama |
| | Northern America | Bermuda; Canada; Greenland; United States |
| | South America | Argentina; Bolivia; Brazil; Chile; Colombia; Ecuador; Falkland Islands; French Guyana; Guyana; Paraguay; Peru; Suriname; Uruguay; Venezuela |
| Asia and the Pacific | Central Asia | Kazakhstan; Kyrgyzstan; Tajikistan; Turkmenistan; Uzbekistan |
| | Eastern Asia | China; Hong Kong, SAR, China; Japan; Macao, SAR, China; Mongolia; North Korea; South Korea; Taiwan, China |

| Region | Subregion | Country or territory |
|--------|--------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | Oceania | Australia; Cook Islands; Fiji; French Polynesia; Guam; Kiribati; Micronesia; Nauru; New Caledonia; New Zealand; Niue; Norfolk Island; Palau; Papua New Guinea; Samoa; Solomon Islands; Tokelau; Tonga Islands; Tuvalu; Vanuatu; Wallis and Futuna |
| | South-eastern Asia | Brunei; Cambodia; Indonesia; Laos; Malaysia; Myanmar; Philippines; Singapore; Thailand; Timor-Leste; Vietnam |
| | Southern Asia | Afghanistan; Bangladesh; Bhutan; India; Iran; Maldives; Nepal; Pakistan; Sri Lanka |
| | Western Asia | Armenia; Azerbaijan; Bahrain; Cyprus; Georgia; Iraq; Israel; Jordan; Kuwait; Lebanon; Oman; Palestinian Territories; Qatar; Saudi Arabia; Syria; Turkey; United Arab Emirates; Yemen |
| Europe | Eastern Europe | Belarus; Bulgaria; Czech Republic; Hungary; Moldova; Poland; Romania; Russian Federation; Slovakia; Ukraine |
| | Northern Europe | Denmark; Estonia; Faroe Islands; Finland; Iceland; Ireland; Latvia; Lithuania; Norway; Sweden; United Kingdom |
| | Southern Europe | Albania; Andorra; Bosnia and Herzegovina; Croatia; Gibraltar; Greece; Holy See; Italy; Malta; Montenegro; Portugal; San Marino; Serbia; Slovenia; Spain; the former Yugoslav Republic of Macedonia |
| | Western Europe | Austria; Belgium; France; Germany; Luxembourg; Netherlands; Switzerland |

Table A4 The Small Arms Trade Transparency Barometer 2017: scoring guidelines

| Parameter (max. points) | Criteria | Points earned | | |
|-------------------------|-----------------------------------------------------------------------------------|----------------------------|---------------------------------|---------------------------|
| | | Yes (for yes/no questions) | Comprehensively or consistently | Partially or occasionally |
| 1. Timeliness (1.50) | 1.1) Did the state submit data in 2014 or 2015? | 0.5 | – | – |
| | 1.2) Did the state submit data in 2015? | 0.5 | – | – |
| | 1.3) Did the state submit data in 2015 that concerned activities in 2014 or 2015? | 0.5 | – | – |

| Parameter (max. points) | Criteria | Points earned | | |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|------------------------------------|------------------------------|
| | | Yes (for yes/no questions) | Comprehensively or consistently | Partially or occasionally |
| 2. Access and consistency (2.00) | 2.1) Did the state make its national report available online free of charge? | 0.5 | – | – |
| | 2.2) Did the state provide interim information (such as biannual or quarterly reports) in addition to a consolidated annual report? | 0.5 | – | – |
| | 2.3) Did the state use the same tool to report on activities in 2012, 2013, and 2014? | 0.5 | – | – |
| | 2.4) Did the state use a single additional tool to report on activities in 2012, 2013, and 2014? | 0.5 | – | – |
| 3. Clarity (5.00) | 3.1) Did the state distinguish between government- and private industry-supplied transactions? Note: a nil report (no private sales exist/are permitted) earns 1 point. | – | 1.0 | 0.5 |
| | 3.2) Did the state distinguish small arms and light weapons and/or their ammunition from other types of conventional arms? | – | 0.5 | 0.25 |
| | 3.3) Did the state distinguish small arms and light weapons ammunition from ammunition for other conventional arms? | – | 0.5 | 0.25 |
| | 3.4) Did the state provide information on temporary exports? (Examples include transfers for exhibitions or demonstrations that must be returned, transfers to troops in peace operations, and materiel sent to be repaired and returned.) Note: a nil report (no temporary exports) earns 0.5 point. | – | 0.5 | 0.25 |
| | 3.5) Did the state provide information on its small arms laws, regulations, and administrative procedures, as well as its multilateral commitments? | See 3.5.1–3.5.4. | | |

| ▶ Parameter (max. points) | Criteria | Points earned | | |
|---------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|---------------------------------|---------------------------|
| | | Yes (for yes/no questions) | Comprehensively or consistently | Partially or occasionally |
| | 3.5.1) Did the state provide a reference to a webpage offering free, full-text access to its transfer controls legislation (covering small arms export, transit, and/or import) AND explain how such legislation is implemented? | 0.25 | – | – |
| | 3.5.2) Did the state provide a reference to a webpage offering free, full-text access to its brokering control legislation AND explain how such legislation is implemented? ALTERNATIVELY, did the state explain how its transfer control legislation covers brokering activities (with free, full-text, online access to such legislation)? | 0.25 | – | – |
| | 3.5.3) Did the state provide a reference to a webpage offering free, full-text access to information on the measures it uses to prevent and detect the diversion of international small arms transfers OR provide such information in its national export report? | 0.25 | – | – |
| | 3.5.4) Did the state provide information on its subregional, regional, and international commitments relating to the control of international small arms transfers, including brokering? | 0.25 | – | – |
| | 3.6) Did the state provide information on aggregated totals of deliveries? | – | 0.5 | 0.25 |
| | 3.7) Did the state provide information on aggregated totals of licences granted and refused? | – | 0.5 | 0.25 |
| | 3.8) Did the state provide information on authorized (small) arms brokers? Note: a nil report (no authorized brokers) earns 0.5 point. | 0.5 | – | – |

| Parameter (max. points) | Criteria | Points earned | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|------------------------------------|------------------------------|
| | | Yes (for yes/no questions) | Comprehensively or consistently | Partially or occasionally |
| <p>4. Comprehensiveness (6.5)</p> <p>Note: each nil report (no exports of the specified arms, ammunition, or parts and accessories listed in 4.1–4.8; no intangible transfers of small arms and light weapons; no re-exports, transit, or trans-shipment of small arms and light weapons or their ammunition) earns 0.5 point for the relevant criterion.</p> | 4.1) Did the state provide information on its exports of guided light weapons, such as man-portable air defence systems (MANPADS) and anti-tank guided weapons (ATGWs)? | – | 0.5 | 0.25 |
| | 4.2) Did the state provide information on its exports of unguided light weapons apart from heavy machine guns and anti-materiel rifles (that is, rocket launchers such as ‘RPGs’ and anti-tank weapons; grenade launchers; mortars; recoilless rifles and guns)? | – | 0.5 | 0.25 |
| | 4.3) Did the state provide information on exports of sporting and hunting firearms? | – | 0.5 | 0.25 |
| | 4.4) Did the state provide information on exports of pistols and revolvers? | – | 0.5 | 0.25 |
| | 4.5) Did the state provide information on exports of military firearms (automatic rifles; light, medium and heavy machine guns; sub-machine guns; anti-materiel rifles; military shotguns) apart from pistols and revolvers? | – | 0.5 | 0.25 |
| | 4.6) Did the state provide information on exports of ammunition of 12.7 mm calibre and below, as well as shotgun shells? | – | 0.5 | 0.25 |
| | 4.7) Did the state provide information on exports of ammunition larger than 12.7 mm calibre that is used in light weapons? (Single-use light weapons systems that contain both the launcher and the projectile are treated as light weapons in either 4.1 or 4.2 above, and are not treated as ‘ammunition’ here.) | – | 0.5 | 0.25 |

| Parameter (max. points) | Criteria | Points earned | | |
|-------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|---------------------------------|---------------------------|
| | | Yes (for yes/no questions) | Comprehensively or consistently | Partially or occasionally |
| | 4.8) Did the state provide information on exports of parts and accessories for small arms and light weapons? | – | 0.5 | 0.25 |
| | 4.9) Did the state provide information on ‘intangible transfers’ concerning small arms and light weapons, their ammunition, and/or their parts and accessories? (Intangible transfers include the provision of technical plans, blueprints, know-how, schematics, and software for the production of small arms, light weapons, their ammunition, and/or their parts and accessories.) | – | 0.5 | 0.25 |
| | 4.10) Did the state provide information on permanent re-exports of small arms and light weapons and/or their ammunition, not including temporary exports covered in 3.4? | – | 0.5 | 0.25 |
| | 4.11) Did the state identify the origin and destination of re-exports of small arms and light weapons and/or their ammunition? | – | 0.5 | 0.25 |
| | 4.12) Did the state provide information on transit and/or transshipment of small arms and light weapons and/or their ammunition? | – | 0.5 | 0.25 |
| | 4.13) Did the state identify the origin and destination of the transit and/or transshipment of small arms and light weapons and/or their ammunition? | – | 0.5 | 0.25 |
| 5. Deliveries (4.0) | 5.1) Did the state provide information on delivery recipients? | – | 1.0 | 0.5 |
| | 5.2) Did the state provide information on the state of import AND specific end user (such as riot control police, air force, museum, or private dealer)? | – | 1.0 | 0.5 |

| Parameter (max. points) | Criteria | Points earned | | |
|------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|------------------------------------|------------------------------|
| | | Yes (for yes/no questions) | Comprehensively or consistently | Partially or occasionally |
| | 5.3) Did the state provide information on the state of import AND the types and quantities of weapons and/or ammunition delivered? | – | 1.0 | 0.5 |
| | 5.4) Did the state provide information on the state of import AND the types and value of weapons and/or ammunition delivered? | – | 1.0 | 0.5 |
| 6. Licences granted (4.0) | 6.1) Did the state provide information on licence recipients? | – | 1.0 | 0.5 |
| | 6.2) Did the state provide information on the intended state of import AND intended end user (such as riot control police, air force, museum, or private dealer)? | – | 1.0 | 0.5 |
| | 6.3) Did the state provide information on the intended state of import AND types AND quantities of weapons and/or ammunition for export? | – | 1.0 | 0.5 |
| | 6.4) Did the state provide information on the intended state of import AND types AND value of weapons and/or ammunition for export? | – | 1.0 | 0.5 |
| 7. Licences refused (2.0) Note: a nil report (no licences rejected) earns 2.0 points. | 7.1) Did the state identify the applicants and/or countries of prospective import that were refused licences? | – | 0.5 | 0.25 |
| | 7.2) Did the state provide a reason/explanation for its refusal to grant a licence to the applicant and/or state of prospective import? | – | 0.5 | 0.25 |
| | 7.3) Did the state provide information on the types AND quantities of weapons and/or ammunition that were the subject of a licence refusal? | – | 0.5 | 0.25 |
| | 7.4) Did the state provide information on the types AND value of weapons and/or ammunition that were the subject of a licence refusal? | – | 0.5 | 0.25 |

Endnotes

- 1 The following UN Comtrade commodity categories are used in this analysis of the small arms trade: 930120, 930190, 930200, 930320, 930330, 930510, 930520, 930521, 930529, 930621, and 930630. This list includes categories from different versions of the Harmonized System (HS), some of which states may still use to report on their transfers. In HS 2002, four categories replaced category 930100 (military weapons): 930111 and 930119 (which were dropped by HS 2012) for artillery weapons, 930120 for light weapons, and 930190 for other military weapons. Similarly, in HS 2012, category 930520 replaced categories 930521 (shotgun barrels) and 930529 (parts and components of shotguns and rifles).
- 2 NISAT considers countries' self-reported exports as well as mirror data—imports reported by destination countries—to generate a single value by transaction; see Marsh (2005).
- 3 The geographic approach used in this assessment is loosely based on the UN's geographic regions and subregions defined by the United Nations Statistics Division; for details, see UNSD (n.d.). Due to the marginal role of Melanesia, Micronesia, and Polynesia in the small arms trade, this report treats Oceania as a subregion of the Asia and the Pacific region. See Table A3 in the Annexe to this Update for the regional breakdown of countries and territories.
- 4 Comtrade data includes the transfer of small arms and ammunition to contributing troops in African Union and UN peacekeeping missions; however, it is not possible to identify this type of transfer. In the case of Côte d'Ivoire, for example, data relating to imports and exports of small arms most probably includes data for international peacekeeping missions.
- 5 Cyprus imported more than USD 100 million worth of small arms in 2001–03; Iraq did so in 2014; Saudi Arabia in 2001–02, 2004–05, 2009, and 2014; and the UAE in 2013.
- 6 This finding is based on values expressed in 2014 US dollars. Raw data (not adjusted for inflation) indicates that Spain had exceeded USD 100 million worth in small arms imports only in 2007.
- 7 For the purposes of the Small Arms Trade Transparency Barometer, national arms export reports also include national submissions (1) by EU member states to the EU Annual Report on military exports (CoEU, 2016), and (2) by South-east European states for the regional report compiled by the South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC) (CoEU, 2016; SEESAC, 2015).
- 8 States may submit 'nil reports' to indicate that they do not or have not engaged in any export or import of particular types of weapon during the applicable reporting period. 'Intangible transfers' include the provision of technical plans, blueprints, know-how, schematics, and software for the production of small arms, light weapons, their ammunition, and their parts and accessories.
- 9 The ATT Secretariat website displayed 28 annual reports on 1 June 2016. Slovakia is the only state party that submitted a 2016 report but restricted access. Slovakia's 2016 submission to the UN Register was made publicly available on the UN Register website.
- 10 For more details, see pp. 54–55 of this Trade Update.
- 11 This section utilizes ATT annual reports that are publicly accessible on the website of the ATT Secretariat (n.d.).
- 12 The first version of Australia's ATT annual report was a copy of its UN Register submission. In December 2016, Australia resubmitted its first ATT annual report, using the template that CSP2 endorsed.
- 13 Austria, Italy, and the UK provided information on small arms exports but did not provide any details on small arms imports or a nil report for such imports.

- 14 Australia used the subcategories when reporting on small arms imports but did not use the subcategories for reporting authorizations for firearms exports. Sweden utilized the light weapons subcategories contained in the ATT reporting template but also used Category 1 of the Wassenaar Arrangement Munitions List and EU Common Military List to define small arms for its ATT annual reports.
- 15 Germany used the definition contained in the annexe to the Council Joint Action of 12 July 2002 (CoEU, 2002).
- 16 A questionnaire prepared by the Stockholm International Peace Research Institute and completed by a UK authority indicates that the UK provides information on authorizations for small arms transfers to the UN Register (Holtom, 2008, p. 26). That data presumably serves as the source for the ATT annual report.
- 17 Bosnia and Herzegovina, Luxembourg, Portugal, and Slovenia indicated that the currency in use was euros; Japan indicated yen; and Montenegro indicated euros for some exports and US dollars for others. Panama did not provide information on the currency used for imports.
- 18 The UK reported exports of shotguns and sniper rifles under the subcategory 'rifles and carbines'.
- 19 Norway and Sweden also provide this information in their national arms export reports (Norway, 2016; Sweden, 2016).
- 20 The seven categories of the UN Register are: battle tanks; armoured combat vehicles; large-calibre artillery systems; combat aircraft; attack helicopters; warships; and missiles and missile launchers.
- 21 The exception to this rule is the 2013 GGE, which took place four years after the 2009 GGE.
- 22 The subcategories for small arms on the standardized form include: revolvers and self-loading pistols; rifles and carbines; sub-machine guns; assault rifles; light machine guns; and others. The subcategories for light weapons are: heavy machine guns; hand-held under-barrel and mounted grenade launchers; portable anti-tank guns; recoilless rifles; portable anti-tank missile launchers and rocket systems; mortars of calibres less than 75 mm; and others. The form omits two subcategories for light weapons contained in the 1997 report of the UN Panel of Governmental Experts on Small Arms: portable anti-aircraft guns and portable launchers of anti-aircraft missile systems. The portable launchers of anti-aircraft missile systems are covered by the MANPADS subcategory of the UN Register's 'missiles and missile launcher's category.
- 23 The 14 states were: China, Colombia, Germany, Israel, Jamaica, Japan, Lebanon, Mauritius, Mexico, the Netherlands, Qatar, Singapore, Switzerland, and the United States.
- 24 Thirteen states reported small arms imports from South Africa to the UN Register during 2006–15 and three states have done so for imports from the UAE. Trinidad and Tobago reported temporary 'imports' from the UAE when Trinidadians took weapons to the UAE and returned with them.
- 25 South Africa's annual reports also provide information on authorizations for conveyance (transit). These reports exclude authorizations for the export of fewer than ten firearms per type and 20,000 related rounds of ammunition. Information can also be excluded 'if disclosure is prohibited in terms of a confidentiality clause in the contract of sale' (South Africa, 2002).
- 26 Iran provided information to Comtrade on small arms exports in 2000 and 2002. No UN member state provided information on small arms imports from Iran to the UN Register during 2007–16.
- 27 The JCPOA was concluded between Iran, the permanent members of the Security Council plus Germany, and the European Union on 14 July 2015 regarding Iran's nuclear programme. The agreement focuses on limiting nuclear weapon proliferation risks connected with Iran's programme, but it is also connected to the EU and UN sanctions regimes. Therefore, the JCPOA contains provisions that relate to Iranian conventional arms transfers, including small arms.
- 28 See also CAR (2016).
- 29 The UN Register does not provide information on any small arms exports from North Korea.
- 30 Comtrade data for 2001 indicates that Saudi small arms exports were worth USD 13 million.

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Small Arms Survey

Maison de la Paix
Chemin Eugène-Rigot 2E
1202 Geneva
Switzerland

t +41 22 908 5777

f +41 22 732 2738

e info@smallarmssurvey.org

About the Small Arms Survey



The Small Arms Survey is a global centre of excellence whose mandate is to generate impartial, evidence-based, and policy-relevant knowledge on all aspects of small arms and armed violence. It is the principal international source of expertise, information, and analysis on small arms and armed violence issues, and acts as a resource for governments, policy-makers, researchers, and civil society. It is located in Geneva, Switzerland, at the Graduate Institute of International and Development Studies.

The Survey has an international staff with expertise in security studies, political science, law, economics, development studies, sociology, and criminology, and collaborates with a network of researchers, partner institutions, non-governmental organizations, and governments in more than 50 countries.

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