

# Back to the Sources:

## INTERNATIONAL SMALL ARMS TRANSFERS

# 4

### ANNEXES

#### ANNEXE 4.1 ESTIMATION TECHNIQUE FOR SMALL ARMS EXPORTS

To estimate small arms exports of the one major producing country that does not report on its exports—namely China—we have assumed that it is possible to use other states' ratios of small arms exports to total arms exports as a basis for estimation.<sup>1</sup> While in theory simple, this is complicated by the fact that few states provide the data that would make the calculation of the ratio possible (that is, data on total arms exports and total small arms exports). Moreover, among those states that provide both total figures of the arms trade and the SALW share, some use definitions of SALW that are incompatible with the UN definition. Hence, the range of countries whose ratio of small arms exports to total exports could be used is considerably narrowed down. We have thus been obliged to rely on the ratios of only three countries, namely Belgium, Canada, and Switzerland (see Table A1).

A second complicating factor is that China does not publish any official figures on its total arms exports. Stockholm International Peace Research Institute (SIPRI) estimates are based on numbers of weapons, not their monetary value, and so cannot be used here. Another oft-quoted source, the World Military Expenditures and Arms Transfers (WMEAT) of the US Department of State, is published with a four year lag (that is, 1999 data were published in 2003). Thus, we have relied on the *Conventional Arms Transfers to Developing Nations 1994–2001* published by the US Congressional Research Service. According to the 2002 edition of this yearly report, China sold USD 500 million worth of weapons in 2001 (Grimmett, 2002).

Using the ratios for Belgium, Canada, and Switzerland, we can estimate the value of SALW exports of China at between USD 22 million and USD 175 million. An average estimate is hence USD 98.5 million or approximately 100 million. This figure is actually quite close to the figure for the only year in which China published customs data on its SALW exports (in 1998).

**Table A1**

| Country     | Reporting year | Total arms exports (deliveries) | SALW exports (deliveries) | SALW exports as % of total arms exports |
|-------------|----------------|---------------------------------|---------------------------|---|
| Belgium     | 2001           | EUR 235m*                       | EUR 82**                  | 35                                      |
| Canada      | 2001           | CAD 592m                        | CAD 26m                   | 4.4                                     |
| Switzerland | 2002           | CHF 277.7m                      | CHF 16.3m                 | 5.9                                     |

Notes: \*Not including dual-use material \*\*Including SALW ammunition

Sources: Belgium (2003); Canada (2003); Switzerland (2003)

<sup>1</sup> A similar technique was used in Small Arms Survey (2001, p. 144) to estimate the total value of the small arms trade.

## ANNEXE 4.2 EXPORTS OF US SMALL ARMS BY MANUFACTURING COMPANY, 2001

Table A1

| Company                    | Quantity produced | Quantity exported | Percentage exported |
|----------------------------|-------------------|-------------------|---------------------|
| Sturm Ruger (pistols)      | 112,847           | 1,670             | 1.5                 |
| Bryco Arms (pistols)       | 66,874            | -                 | 0                   |
| Smith & Wesson (pistols)   | 63,235            | 9,807             | 15.5                |
| Baretta (pistols)          | 58,151            | 1,752             | 3.0                 |
| Beemiller (pistols)        | 50,878            | -                 | 0                   |
| Kel Tec CNC (pistols)      | 45,658            | -                 | 0                   |
| Arms Tech Inc (pistols)    | 38,145            | 92                | 0.2                 |
| Kimber (pistols)           | 32,746            | 213               | 0.7                 |
| Springfield (pistols)      | 27,186            | 584               | 2.1                 |
| Colt's (pistols)           | 25,916            | 1,048             | 4.0                 |
| Davis Ind. (pistols)       | 13,656            | 13,656            | 100                 |
| SturmRuger (revolvers)     | 150,844           | 3,740             | 2.5                 |
| Smith & Wesson (revolvers) | 92,325            | 26,377            | 28.6                |
| Heritage Mfg. (revolvers)  | 34,100            | -                 | 0                   |
| North Am. Arms (revolvers) | 22,146            | 1,428             | 6.4                 |
| Remington (rifles)         | 289,470           | 19,654            | 6.8                 |
| Marlin (rifles)            | 258,383           | 10,611            | 4.1                 |
| Sturm Ruger (rifles)       | 242,166           | 9,245             | 3.8                 |
| US Repeating (rifles)      | 112,010           | 2,633             | 2.4                 |
| Savage Arms (rifles)       | 70,005            | 1,004             | 1.4                 |
| Argus (rifles)             | 63,037            | -                 | 0                   |
| H&R (rifles)               | 51,783            | 186               | 0.4                 |
| Bushmaster (rifles)        | 31,346            | 167               | 0.5                 |
| Thompson Center (rifles)   | 28,918            | 471               | 1.6                 |
| Century (rifles)           | 21,893            | -                 | 0                   |
| Beemiller (rifles)         | 13,450            | -                 | 0                   |
| Keystone (rifles)          | 13,218            | -                 | 0                   |
| Remington (shotguns)       | 276,116           | 12,465            | 4.5                 |
| OF Mossberg (shotguns)     | 168,733           | 12,952            | 7.7                 |
| H&R (shotguns)             | 140,758           | 5,478             | 3.9                 |
| US Repeating (shotguns)    | 46,361            | 834               | 1.8                 |
| Maverick (shotguns)        | 31,265            | 14,230            | 45.5                |
| OF Mossberg (other)        | 12,995            | 4,995             | 38.4                |
| Maverick (other)           | 7,037             | 5,523             | 78.5                |

Note: The ATF report available does not list machine gun exports by manufacturer: this portion of the report is not released to the public.

Source: US, ATF 2001

### ANNEXE 4.3 EXPORT DEPENDENCE OF US SMALL ARMS BY TYPE OF WEAPON; PERCENTAGE OF NEWLY PRODUCED WEAPONS EXPORTED

| Year | Pistols | Revolvers | Rifles | Shotguns | Machine guns | Other firearms |
|------|---------|-----------|--------|----------|--------------|----------------|
| 1998 | 3       | 5         | 5      | 9        | 38           | 10             |
| 1999 | 3       | 14        | 4      | 6        | 99           | 10             |
| 2000 | 3       | 15        | 3      | 4        | 25           | 36             |
| 2001 | 5       | 10        | 4      | 7        | 18           | 51             |

Source: US, ATF

### ANNEXE 4.4: SMALL ARMS TRADE TRANSPARENCY BAROMETER, COVERING KNOWN OR ESTIMATED TOP EXPORTERS, BASED ON THE LATEST EXPORT REPORT MADE PUBLICLY AVAILABLE AND ON 2001 INTERNATIONAL CUSTOMS DATA (FROM UN COMTRADE)

| Country   | Total points<br>(max 20 points) | Source<br>(E= exp. rep., C= customs) | Access<br>(2 points max) | Clarity<br>(4 points max) | Comprehensive-<br>ness<br>(4 points max) | Info on deliveries<br>(disaggregated)<br>Value of deliveries (V)<br>Quantity of weapons (Q)<br>(4 points max) |                                | Info on licences<br>granted<br>(disaggregated)<br>Value of licences (V)<br>Quantity of weapons (Q)<br>(4 points max) |                                | Info on licences<br>refused<br>(disaggregated)<br>Value of licences (V)<br>Quantity of weapons (Q)<br>(2 points max) |                                |
|-----------|---------------------------------|--------------------------------------|--------------------------|---------------------------|--|---|--------------------------------|--|--------------------------------|--|--------------------------------|
|           |                                 |                                      |                          |                           |  | By<br>weapon<br>type  | By<br>country<br>and<br>weapon | By<br>weapon<br>type   | By<br>country<br>and<br>weapon | By<br>weapon<br>type   | By<br>country<br>and<br>weapon |
| Australia | 8.5                             | E (01/02),<br>C                      | 1+ 0.5<br>+ 0.5          | 1+ 0.5<br>+ 0.5 + 0       | 0 + 1 + 1<br>+ 0.5                       | 1, 1  | 1, 0                           | 0, 0   | 0, 0                           | 0, 0   | 0, 0                           |
| Austria   | 6.5                             | C                                    | 1+ 0.5 + 0               | 1+ 0.5<br>+ 0.5 + 0       | 0 + 0 + 1<br>+ 0                         | 1, 0  | 1, 0                           | 0, 0   | 0, 0                           | 0, 0   | 0, 0                           |
| Belgium   | 9.5                             | E (02), C                            | 1+ 0.5<br>+ 0.5          | 1+ 1+ 0.5<br>+ 0          | 0.5 + 0.5<br>+ 1 + 1                     | 1, 0  | 1, 0                           | 0, 0   | 0, 0 <sup>2</sup>              | 0, 0   | 0, 0                           |
| Brazil    | 6.5                             | C                                    | 1+ 0.5 + 0               | 1+ 0.5<br>+ 0.5 + 0       | 0 + 0 + 1<br>+ 0                         | 1, 0  | 1, 0                           | 0, 0   | 0, 0                           | 0, 0   | 0, 0                           |
| Bulgaria  | 0                               | -                                    | 0 + 0 + 0                | 0 + 0 + 0<br>+ 0          | 0 + 0 + 0<br>+ 0                         | 0, 0  | 0, 0                           | 0, 0   | 0, 0                           | 0, 0   | 0, 0                           |
| Canada    | 10.5                            | E (01), C                            | 1+ 0.5<br>+ 0.5          | 1+ 1+ 1<br>+ 0            | 0.5 + 1 + 1<br>+ 1                       | 1, 0  | 1, 0                           | 0, 0   | 0, 0                           | 0, 0   | 0, 0                           |
| China     | 6                               | C                                    | 1+ 0.5<br>+ 0            | 1+ 0.5<br>+ 0.5 + 0       | 0 + 0 + 0.5<br>+ 0                       | 1, 0  | 1, 0                           | 0, 0   | 0, 0                           | 0, 0   | 0, 0                           |

<sup>2</sup> The text of the Belgian arms export report contains a string of references to a table detailing licences; however, this table is not included in the report.

**SMALL ARMS SURVEY 2004**

| Country            | Total points (max 20 points) | Source (E= exp. rep., C= customs) | Access (2 points max) | Clarity (4 points max) | Comprehensiveness (4 points max) | Info on deliveries (disaggregated)                                   |                | Info on licences granted (disaggregated) |  | Info on licences refused (disaggregated) |                       |
|--------------------|------------------------------|-----------------------------------|-----------------------|------------------------|----------------------------------|--|----------------|--|--|--|-----------------------|
|                    |                              |                                   |                       |                        |                                  | Value of deliveries (V)<br>Quantity of weapons (Q)<br>(4 points max) | By weapon type | By country and weapon                    | Value of licences (V)<br>Quantity of weapons (Q)<br>(4 points max) | By weapon type                           | By country and weapon |
| Czech Republic     | 11.5                         | E (02), C                         | 1+ 0.5<br>+ 0.5       | 1+ 1<br>+ 0.5 + 0      | 1+ 1+ 1<br>+ 1                   | 1, 1   | 1, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| Finland            | 10                           | E (02), C                         | 1+ 0.5<br>+ 0.5       | 1+ 1+ 1<br>+ 0         | 0.5+ 1+ 1<br>+ 0.5               | 1, 0   | 1, 0           | 0, 0                                     | 0, 0 <sup>3</sup>  | 0, 0                                     | 0, 0                  |
| France             | 13                           | E (01), C                         | 1+ 0.5<br>+ 0.5       | 1+ 1+ 1<br>+ 0.5       | 1+ 0.5<br>+ 1+ 1                 | 1, 1   | 1, 1           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| Germany            | 15.5                         | E (02), C                         | 1+ 0.5<br>+ 0.5       | 1+ 1+ 1<br>+ 0         | 1+ 1+ 1+ 1                       | 1, 0   | 1, 0           | 1, 1                                     | 1, 1   | 0.25, 0                                  | 0.25, 0               |
| Israel             | 5.5                          | C                                 | 1+ 0.5<br>+ 0         | 1+ 0.5<br>+ 0.5 + 0    | 0+ 0+ 0<br>+ 0                   | 1, 0   | 1, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| Italy              | 12                           | E (02), C                         | 1+ 0.5<br>+ 0.5       | 1+ 1+ 1<br>+ 0         | 0.5+ 1+ 1<br>+ 0.5               | 1, 0   | 1, 0           | 1, 1                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| Japan              | 6.5                          | C                                 | 1+ 0.5<br>+ 0         | 1+ 0.5<br>+ 0.5 + 0    | 0+ 0+ 1<br>+ 0                   | 1, 0   | 1, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| Mexico             | 6                            | C                                 | 1+ 0.5<br>+ 0         | 1+ 0.5<br>+ 0.5 + 0    | 0+ 0+ 0.5<br>+ 0                 | 1, 0   | 1, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| Norway             | 10.5                         | E (03), C                         | 1+ 0.5<br>+ 0.5       | 1+ 1+ 1<br>+ 0         | 0.5+ 1+ 1<br>+ 1                 | 1, 0   | 1, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| Portugal           | 7.5                          | E (01), C                         | 1+ 0.5<br>+ 0.5       | 1+ 0.5<br>+ 0.5 + 0    | 0.5+ 0+ 1<br>+ 0                 | 1, 0   | 1, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| Romania            | 7                            | E(01/02)                          | 1+ 0.5<br>+ 0.5       | 1+ 0.5<br>+ 0+ 0       | 1+ 0.5<br>+ 0+ 1                 | 1, 0   | 0, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| Russian Federation | 6.5                          | C                                 | 1+ 0.5<br>+ 0         | 1+ 0.5<br>+ 0.5 + 0    | 0+ 0+ 1<br>+ 0                   | 1, 0   | 1, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| South Africa       | 5                            | E (00/02)                         | 1+ 0.5<br>+ 0.5       | 0+ 0.5<br>+ 0.5 + 0    | 0+ 0<br>+ 0+ 0                   | 1, 0   | 1, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| South Korea        | 6.5                          | C                                 | 1+ 0.5<br>+ 0         | 1+ 0.5<br>+ 0.5 + 0    | 0+ 1+ 1<br>+ 0                   | 1, 0   | 0, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| Spain              | 10.5                         | E (02), C                         | 1+ 0.5<br>+ 0.5       | 1+ 1+ 1<br>+ 0         | 1+ 0.5<br>+ 1+ 1                 | 1, 0   | 1, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| Sweden             | 9.5                          | E (03), C                         | 1+ 0.5<br>+ 0.5       | 1+ 0.5<br>+ 0.5 + 0    | 1+ 0.5<br>+ 1+ 1                 | 1, 0   | 1, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |
| Switzerland        | 9                            | E (03), C                         | 1+ 0.5<br>+ 0.5       | 1+ 1<br>+ 0.5 + 0      | 0+ 1<br>+ 1+ 0                   | 1, 0   | 1, 0           | 0, 0                                     | 0, 0   | 0.5, 0                                   | 0, 0                  |
| Turkey             | 7.5                          | C                                 | 1+ 0.5<br>+ 0         | 1+ 0.5<br>+ 0.5 + 0    | 0+ 1+ 1<br>+ 0                   | 1, 0   | 1, 0           | 0, 0                                     | 0, 0   | 0, 0                                     | 0, 0                  |

<sup>3</sup> The Finnish arms export report includes a table with detailed information on licences, however, codes in the table are not explained.

## TRANSFERS

| Country              | Total points<br>(max 20 points) | Source<br>(E= exp. rep., C= customs) | Access<br>(2 points max) | Clarity<br>(4 points max) | Comprehensiveness<br>(4 points max) | Info on deliveries (disaggregated)<br>Value of deliveries (V)<br>Quantity of weapons (Q)<br>(4 points max) |                       | Info on licences granted (disaggregated)<br>Value of licences (V)<br>Quantity of weapons (Q)<br>(4 points max) |                       | Info on licences refused (disaggregated)<br>Value of licences (V)<br>Quantity of weapons (Q)<br>(2 points max) |                       |
|----------------------|---------------------------------|--------------------------------------|--------------------------|---------------------------|-------------------------------------|--|-----------------------|--|-----------------------|--|-----------------------|
|                      |                                 |                                      |                          |                           |                                     | By weapon type   | By country and weapon | By weapon type   | By country and weapon | By weapon type   | By country and weapon |
| <b>UK</b>            | <b>13.5</b>                     | E (03), C                            | 1+ 0.5<br>+ 0.5          | 1+1+1<br>+ 0.5            | 1+1+1+1                             | 1, 1   | 1, 1                  | 0, 0   | 0, 0                  | 0, 0   | 0, 0                  |
| <b>United States</b> | <b>14</b>                       | E (02), C                            | 1+ 0.5<br>+ 0.5          | 1+1+1<br>+ 0              | 1+1+1<br>+ 0                        | 1, 0   | 1, 0                  | 1, 1   | 1, 1                  | 0, 0   | 0, 0                  |

Sources: UN Comtrade, download date 31 Oct 2003, Australia (2003), Belgium (2003), Canada (2002), Czech Republic (2003), Finland (2002), France (2003), Germany (2002, 2003), Italy (2003), Norway (2003, 2004), Portugal (2002), Romania (2002, 2003), South Africa (2002), Spain (2003, 2004), Sweden (2003), Switzerland (2003, 2004), UK (2003, 2004), United States Department of State (2003)

**Access:**

- available in a UN language ..... (1 point)
- available on Internet ..... (0.5 point)
- free of charge ..... (0.5 point)

**Clarity:**

- methodology (sources of information) included ..... (1 point)
- small arms and light weapons distinguishable from other types of weapons ..... (1 point)
- SALW ammunition distinguishable from other types of ammunition ..... (1 point)
- information on end user categories (military; police; other security forces; civilian directly; civilian retailers, etc.) .(1 point)

**Comprehensiveness: Information covers:**

- government as well as industry-negotiated transactions ..... (1 point)
- all types of SALW (military/civilian) ..... (1 point)
- information on SALW parts ..... (1 point)
- summaries of export laws and regulations as well as international commitments ..... (1 point)