**Defense-related Terminology**

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| **Term** | **Definition** |
| **Ammunition**  | All substances and items that have or may have explosive properties, including: a) explosive substances and pyrotechnic mixtures; b) items containing explosives;[[1]](#endnote-1) c) agents and items not listed under a) or b) that were produced to bring about a practical effect by means of an explosion or a pyrotechnic effect; and d) agents and substances that produce smoke. This definition includes conventional ammunition, explosive material, and detonating devices of land, air, and sea-based weapons systems.[[2]](#endnote-2) Ammunition and explosives include cartridges (rounds) from small arms, shells and missiles for light weapons, mobile containers with missiles or shells for single-action anti-aircraft and anti-tank systems, anti-personnel and anti-tank hand grenades, landmines, and explosives.[[3]](#endnote-3) In the context of firearms, “ammunition” is considered the complete round or its components, including cartridge cases, primers, propellant powder, bullets, and projectiles, that are used in the firearm.[[4]](#endnote-4) |
| **Arms** | All weapons of war, munitions, sub-components, and delivery systems, including battle tanks, armored combat vehicles, military aircraft, artillery systems, military helicopters, missiles, paramilitary police equipment, mortars, machine guns and sub-machine guns, rifles, pistols, anti-tank weapons, mines, grenades, cluster bombs, and all types of ammunition. |
| **Arms Broker** | The United Nations (UN) defines an “arms broker” as: “a person or entity acting as an intermediary that brings together relevant parties and arranges or facilitates a potential transaction of [arms] in return for some form of benefit, whether financial or otherwise.”[[5]](#endnote-5) Arms brokers negotiate, arrange for, or otherwise facilitate the transfer of arms by bringing together buyers, sellers, transporters, financiers, and/or insurers to make a deal for some form of compensation or financial reward.[[6]](#endnote-6) |
| **Arms Brokering Activities**  | Activities carried out for a commission, advantage, or cause, whether financial or otherwise, including political or personal consideration, by private individuals or corporate entities involving one or more of the following activities: * *Acting as an intermediary to negotiate or arrange an arms transaction (deal) between any supplier or provider of related services and any buyer or recipient,* such as
	+ putting buyers and sellers in contact;
	+ finding and offering business opportunities to a buyer and seller; and
	+ providing detailed information or practical assistance to help implement or conclude a transaction;
* *Arranging contracts and obtaining necessary documents and/or authorizations on behalf of others to conduct an arms trade transaction*, which may include:
* proposing, designing, or facilitating the transfer of contracts between buyer, seller, and service providers;
* ensuring the exchange of other necessary commercial, import, export, end-use, and/or customs documentation and payment(s) between the parties and the relevant national authorities;
* *Organizing, negotiating, or facilitating essential services to complete an arms trade transaction* such as technical consultancy, transportation, freight forwarding, warehousing/storage, logistics, financing, or insurance;
* *Acting as an agent or representative for buyers, sellers, or brokers* to negotiate, implement, or conclude an arms trade transaction.[[7]](#endnote-7)

Note: *There are numerous internationally accepted definitions of “arms brokering” and “arms brokering activities.” Most international definitions, such as those of the Organization for Security and Co-operation in Europe (OSCE) and European Union (EU) Common Position on Arms Brokering, include negotiating or arranging transactions and dealing or trading (buying and selling) regardless of whether the person or entity doing this acts as an intermediary.*[[8]](#endnote-8) *The broader definition of “arms brokering activities” reflects the reality of the arms brokering business and takes into consideration the diverse services that arms brokers may provide.*[[9]](#endnote-9) *Awareness and regulation of these activities are important elements of comprehensive and effective arms brokering controls and combating illicit arms transfers.* |
| **Arms Dealer** | An individual or entity that purchases arms for the purpose of resale or sells arms already in their possession.[[10]](#endnote-10) |
| **Arms Embargo:** | National, international, or regional policies to prevent the direct or indirect supply, sale, or transfer of arms to listed countries, territories, individuals, groups, undertakings, and entities from their territories or by their nationals outside their territories, or using their flag vessels or aircraft, of arms and related materiel of all types, assistance, or training related to military activities.[[11]](#endnote-11) A **UN Embargo** consists of measures which may include complete or partial interruption of economic relations and of rail, sea, air, postal, telegraphic, radio, and other means of communications, and the severance of diplomatic relations that is mandatory and binding on all UN Member States pursuant to Chapter VII.[[12]](#endnote-12) |
| **Arms Trade**  | The international trade and transfer of all weapons of war, munitions, sub-components and delivery systems, and other commodities designed for military use or intended for military use. The “arms trade” also consists of military services such as training, supply operations, equipment repair, technical assistance, and the construction of defense production facilities.[[13]](#endnote-13) |
| **Arms Transfer**  | Any transaction resulting in a change of title to, and/or control over all weapons of war, munitions, sub-components and delivery systems, and other commodities designed for military use, and any physical movement of such items from one jurisdiction to another. Transfers include those conducted in return for direct payment, credit, foreign aid, grants, and goods received as a result of off-set or barter arrangements. Arms transfers also include physical or intangible transfers of expertise, information, designs, blueprints, technology, or goods under licensing and co-production agreements, leasing arrangements, and arms deliveries in return for which the supplier receives no financial compensation, goods, or services. The provision by one or more persons to another in a different jurisdiction of expertise, knowledge, or skills in the use of arms also constitutes an intangible transfer.[[14]](#endnote-14)A transfer may be:* **Legal/legitimate:** An arms transfer conducted with either the active or passive involvement of a national government or its authorized agent(s) and in accordance with both national and international law;[[15]](#endnote-15)
* **Illegal/illicit/“black market”:** An arms transfer conducted in clear violation of national and/or international laws and without official government consent or authorization;[[16]](#endnote-16)
* **“Gray market”:** A transfer conducted by a government, its agent(s), or an individual that deliberately exploits loopholes in national and/or international laws to circumvent controls on trade in arms intentionally.[[17]](#endnote-17)
 |
| **Delivery System** | Missiles, rockets, and other unmanned systems that are capable of and specially designed for delivering nuclear, chemical, biological, or conventional weapons.[[18]](#endnote-18) |
| **Delivery Verification Certificate (DVC)** | **“**Document issued by the government of the country of the ultimate destination after the export has taken place and the items have either entered the export jurisdiction of the recipient country or are otherwise accounted for by the importer to the issuing government.”[[19]](#endnote-19) |
| **Destination of diversion concern** | States are labelled as “destinations of diversion concern” if it is determined that they allow a substantial diversion of goods, both controlled and uncontrolled, through their country into another that is subject to sanctions or embargoes.[[20]](#endnote-20) |
| **End-User(s) of Concern:**  | Individuals, entities, and governments under international, regional, or national arms sanctions, restrictions, or embargoes. End-users of concern include those countries subject to arms embargoes by the United Nations and/or OSCE, as well as any individuals or entities that have been designated as restricted parties by the UN Security Council. |
| **Explosives** | **“**Solid, liquid or gaseous substances or mixtures of substances which, in their application as primary, booster, or main charges in warheads, demolition and other applications, are required to detonate.”[[21]](#endnote-21) |
| **Extra-Territorial Controls** | 1. Provisions of national legislation that allow a government to exercise jurisdiction and control over nationals, permanent residents, and registered companies when they conduct activities abroad.[[22]](#endnote-22) Examples of extra-territorial activities that governments may choose to regulate include brokering, associated activities and related services, and re-export and/or re-transfer to a third party.[[23]](#endnote-23)
 |
| **Firearm** | Any portable barreled weapon that expels, is designed to expel, or may be readily converted to expel a shot, bullet, or projectile by the action of an explosive (excluding antique firearms or their replicas).[[24]](#endnote-24) |
| **Flag of Convenience** | The business practice of registering a merchant ship in a sovereign state different from that of the ship's owners and flying that state's flag on the ship. One may choose to register a ship under a flag of convenience (FOC) in order to reduce operating costs, evade taxes, or avoid the regulations of the owner's country. The closely related term “open registry” is used to describe an organization that will register ships owned by foreign entities.[[25]](#endnote-25) |
| **International Traffic in Arms Regulations (ITAR)** | Regulations administered by the U.S. Department of State (DOS) to control the export of U.S. defense articles and services. The provisions implemented in the ITAR are governed by the Arms Export Control Act (AECA). Direct commercial sales of U.S. origin defense products, components, technologies, and services are licensed under the ITAR by the DOS’s Directorate of Defense Trade Controls (DDTC).[[26]](#endnote-26) |
| **Man-Portable Air-Defense Systems (MANPADs)** | Surface-to-air missile systems intended for use by an individual or several members of armed forces serving as a crew. |
| **Military Aircraft** | Fixed-wing or variable-geometry wing aircraft which are designed, equipped or modified to: (1) engage targets by employing: guided missiles, unguided rockets, bombs, guns, machine guns, cannons or other weapons of destruction; (2) perform reconnaissance; (3) engage in the command of troops or electronic warfare; (4) provide electronic and fire suppression of air defense systems; or, (5) engage in refueling or airdrop missions.  |
| **Military End-Use Catch-All Control**  | Provision of national legislation that requires a legal or natural person to seek a license to perform a specified trade activity involving non-listed goods or technologies when the person knows, has been informed by government authorities, or has reason to believe that the goods or technology may be destined for a conventional military end-use.  |
| **Missiles or Missile Systems** | Guided or unguided rockets, ballistic or cruise missiles capable of delivering a warhead or weapon of destruction to a range of at least 25 km, and means designed or modified specifically for launching such missiles or rockets. |
| **Munitions (also known as defense or military-related items/conventional weapons/arms)** | “Munitions” are “complete devices charged with explosives, propellants, pyrotechnics, initiating composition, or nuclear, biological, or chemical material for use in military operations.” “Conventional weapons refer to weapons that are not weapons of mass destruction. They include but are not limited to: armored combat vehicles, combat helicopters, combat aircraft, warships, small arms and light weapons (SALW), landmines, cluster bombs, ammunition and artillery. They are the principal tools of war.[[27]](#endnote-27) |
| **Munitions Control List** | The national list of arms and military equipment, parts, components, software, and technologies subject to specified trade controls. Note 1: *The Munitions List of the Wassenaar Arrangement (WA) provides the basis for the control lists of all Wassenaar Participating States. The WA Munitions List covers a wide range of arms and military equipment, as well as ammunition, information, and communication technologies, training equipment, and equipment for producing arms.[[28]](#endnote-28)* Note 2: *The Common Military List of the European Union (EU) is a list of goods, technologies, and equipment covered by the EU Common Position on Arms Exports.[[29]](#endnote-29)* |
| **National Arms Trade Control System** | A national system of laws, policies, procedures and guidelines aimed at effectively regulating and monitoring trade in arms-related goods and technologies. Comprehensive and effective arms trade control systems regulate the import, export, transit, transshipment, brokering, and intangible transfer of specified arms-related goods, parts, components, software, and technologies. |
| **Parts and Components** | “Parts and components” of firearms consist of any element or replacement element specifically designed for a firearm and essential to its operation, including a barrel, frame or receiver, slide or cylinder, bolt or breech block, and any device designed or adapted to diminish the sound caused by firing a firearm.[[30]](#endnote-30) The Wassenaar Munitions List identifies “components” of munitions items on an entry-by-entry basis. |
| **Registration** | 1. The recording of legal and/or natural persons that wish to engage in certain types of trade and/or activities on an official national government list or directory. Regulatory authorities may require a registration applicant to submit information related to its experience, business data, financial data, the items in which the applicant wishes to trade, and possibly business references. Authorities may require applicants to identify their country of residence and citizenship, ownership of any entity or involvement in relevant businesses that may be used to facilitate related activities, and the range/types of items in which the applicant wishes to deal in. Registration also may include official screening and verification of the information provided by the applicant. These checks may include reviewing whether the applicant has ever been indicted or convicted of crimes subject to national discretion.[[31]](#endnote-31)In some countries, registration requirements only apply to arms manufacturers. In other countries, dual-use manufacturers may also have to register with the government prior to applying for a transactional license. \* *Please be sure to consult your country’s STC and other legislation to determine if registration requirements exist for individuals and entities that trade in arms-related items.*
 |
| **Related Services** | Refers to the related services that may be performed to facilitate a trade transaction, such as technical assistance and services, training, transport, freight forwarding, storage, finance, insurance, maintenance, and security.[[32]](#endnote-32) |
| **Riot control agent** | “Substances which, under the expected conditions of use for riot control purposes, produce rapidly in humans sensory irritation or disabling physical effects which disappear within a short time following termination of exposure. (Tear gases, for example, are a subset of "riot control agents".)”[[33]](#endnote-33) |
| **Shell company** | A shell company is a legal entity that serves as a vehicle for business transactions without itself having any significant assets, operations, or employees. Untraceable shell companies are an attractive vehicle for money launderers, terrorist financiers, or those looking to evade international sanctions. Criminals may use layers of shell companies to frustrate investigators and protect themselves from criminal prosecution. By using a series of shell companies where administrative capacity and law enforcement are weak, willful proliferators can arrange the delivery of strategic items to unauthorized end-users.[[34]](#endnote-34) |
| **Small Arms and Light Weapons (SALW)** | Civilian, private, and military weapons that fire a projectile with the condition that the unit or system may be carried by an individual, a small number of people, or transported by a pack animal or a light vehicle.[[35]](#endnote-35)* **Small Arms:** revolvers and self-loading pistols, rifles and carbines, assault rifles, sub-machine guns and light machine guns.[[36]](#endnote-36)
* **Light Weapons:** heavy machine guns, hand-held under-barrel and mounted grenade launchers, portable anti-aircraft guns, portable anti-tank guns, recoilless rifles, portable launchers of anti-tank missile and rocket systems; portable launchers of anti-aircraft missile systems (MANPADS); and mortars of calibers of less than 100 mm.[[37]](#endnote-37)
 |
| **Tax Haven** | A political/economic entity that has little or no taxation on foreign-source income or capital gains and is an attractive locale for those who wish to shelter their funds. The central feature of a tax haven is that its laws and other measures can be used to evade or avoid the tax laws or regulations of other jurisdictions.[[38]](#endnote-38) Tax havens are characterized by lax regulatory systems, poor licensing procedures, weak customs controls, and inadequate enforcement capacity. The relatively few restrictions placed on financial transactions or corporate activity in tax havens enables confidential money transactions and prevents the identification and monitoring of entities involved in arms transfers. Tax havens are often used by unscrupulous brokers, transport agents, and cargo companies as a convenient money laundering and tax evasion destination.[[39]](#endnote-39) |

1. Includes complete devices (missile, shell, mines, etc.) charged with explosives, propellants, pyrotechnics, initiating composition, or nuclear, biological, or chemical material for use in connection with offense, or defense, or training, or non-operational purposes, including those parts of weapons systems containing explosives. See "United Nations International Ammunition Technical Guideline (IATG) Glossary of Terms, Definitions and Abbreviations," United Nations Office for Disarmament Affairs (UNODA), October 1, 2011, <www.un.org/disarmament/convarms/Ammunition/IATG/docs/IATG01.40.pdf>. [↑](#endnote-ref-1)
2. "OSCE Handbook of Best Practices on Conventional Ammunition,” Organization for Security and Co-operation in Europe (OSCE), 2008, <www.osce.org/fsc/33371?download=true>. [↑](#endnote-ref-2)
3. “Report of Governmental Experts on Small Arms”, A/52/298, Articles 26c and 27, United Nations, August 1997, <http://www.un.org/Depts/ddar/Firstcom/SGreport52/a52298.html>. [↑](#endnote-ref-3)
4. Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, Article 3a, <https://treaties.un.org/doc/source/RecentTexts/18-12\_c\_E.pdf>. [↑](#endnote-ref-4)
5. UN document A/62/163: Report of the Group of Governmental Experts established pursuant to General Assembly resolution 60/81 to consider further steps to enhance international cooperation in preventing, combating and eradicating illicit brokering in small arms and light weapons, United Nations General Assembly, August 30, 2007, <www.poa-iss.org/BrokeringControls/English\_N0744232.pdf>. [↑](#endnote-ref-5)
6. *Small Arms Survey 2001: Profiling the Problem*, Graduate Institute of International Studies, Geneva, Oxford University Press, 2001, Chapter 3, <http://www.smallarmssurvey.org/publications/by-type/yearbook/small-arms-survey-2001.html#c2973>. [↑](#endnote-ref-6)
7. “Developing a Mechanism to Prevent Illicit Brokering in Small Arms and Light Weapons: Scope and Implications,” United Nations Institute for Disarmament Research (UNIDR), 2006, <www.unidir.org/files/publications/pdfs/developing-a-mechanism-to-prevent-illicit-brokering-in-small-arms-and-light-weapons-scope-and-implications-328.pdf>; Holder Anders and Silvia Catteneo, “Taking Stock and Moving Forward the United Nations Process," Groupe de Recherche et d'Information sur la Paix et la Securité (GRIP) Report, 2005, <http://issat.dcaf.ch/content/download/9789/93715/file/Anders-Cattaneo2005-hs1.pdf>. [↑](#endnote-ref-7)
8. EU Common Position on Arms Brokering, Articles 2 and 3, *Official Journal of the European Union*, June 23, 2003, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2003:156:0079:0080:En:PDF>. The OSCEand EU Common Position on Arms Brokering define “arms brokers” as: persons or entities negotiating or arranging transactions that may involve the transfer of items on the EU Common Military List from a third country to any other third country; or individuals or entities who buy, sell or arrange the transfer of such items that are in their ownership from a third country to any other third country. [↑](#endnote-ref-8)
9. “Developing a Mechanism to Prevent Illicit Brokering in Small Arms and Light Weapons: Scope and Implications,” UNIDR, 2006. [↑](#endnote-ref-9)
10. *Small Arms Survey 2001: Profiling the Problem*, 2001, p. 129. [↑](#endnote-ref-10)
11. “Arms Embargo: Explanation of Terms,” United Nations Sanctions Committee 1267, December 30, 2013, <www.un.org/sc/committees/1267/pdf/EOT%20Arms%20embargo\_ENGLISH.pdf>. [↑](#endnote-ref-11)
12. Charter of the United Nations, Article 41, United Nations, <https://www.un.org/en/documents/charter/>. [↑](#endnote-ref-12)
13. Paul Holtom and Mark Bromley, “The International Arms Trade: Difficult to Define, Measure, and Control,” *Arms Control Today*, July/August 2010, <http://www.armscontrol.org/act/2010\_07-08/holtom-bromley#3>. [↑](#endnote-ref-13)
14. “Nobel Peace Laureates' International Code of Conduct on Arms Transfers May 1997,” Nuclear Age Peace Foundation, 1997, <https://www.wagingpeace.org/articles/1997/05/00\_nobel-code-conduct.htm>. [↑](#endnote-ref-14)
15. *Small Arms Survey 2001: Profiling the Problem*, 2001, p. 167. [↑](#endnote-ref-15)
16. “The Illicit Arms Trade,” Federation of American Scientists (FAS), Issue Brief # 3, 2008, <http://www.fas.org/asmp/campaigns/smallarms/IssueBrief3ArmsTrafficking.html#ter>, and *Small Arms Survey 2001: Profiling the Problem*, 2001, Chapter 5. [↑](#endnote-ref-16)
17. “Developing a Mechanism to Prevent Illicit Brokering in Small Arms and Light Weapons: Scope and Implications,” UNIDR, 2006. [↑](#endnote-ref-17)
18. “List of National Reports by Submitting Member States,” UNSCR 1540 Committee, 2013, <http://www.un.org/en/ga/search/view\_doc.asp?symbol=S/RES/1540(2004)>. [↑](#endnote-ref-18)
19. https://books.google.com/books?id=LNRMAgAAQBAJ&pg=PA345&lpg=PA345&dq=%22Delivery+Verification+Certificate%22+AND+Export+Controls&source=bl&ots=jxTL0w8ugX&sig=xQ1R8wSiL4NmUHYHdSHlVaosJCk&hl=en&sa=X&ved=0ahUKEwiUvIqb8JPNAhUGWSYKHbV9CjA4ChDoAQgoMAA#v=onepage&q=%22Delivery%20Verification%20Certificate%22%20AND%20Export%20Controls&f=false [↑](#endnote-ref-19)
20. https://www.law.cornell.edu/uscode/text/22/8543 [↑](#endnote-ref-20)
21. "Definitions of Terms in these Lists," Wassenaar Arrangement, CTP, 2016, <http://wa.ctp-inc.com/index/index/view/content/page/Definitions.html>. [↑](#endnote-ref-21)
22. UN document A/62/163: Report of the Group of Governmental Experts established pursuant to General Assembly resolution 60/81 to consider further steps to enhance international cooperation in preventing, combating and eradicating illicit brokering in small arms and light weapons, United Nations General Assembly, August 30, 2007. [↑](#endnote-ref-22)
23. “Developing a Mechanism to Prevent Illicit Brokering in Small Arms and Light Weapons: Scope and Implications,” UNIDR, 2006. [↑](#endnote-ref-23)
24. Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, Article 3a. [↑](#endnote-ref-24)
25. Rosenberg, *The Essential Dictionary of International Trade*, 2004, p. 184. [↑](#endnote-ref-25)
26. http://www.unzco.com/infosource/glossary.htm#B [↑](#endnote-ref-26)
27. “United Nations International Ammunition Technical Guideline (IATG) Glossary of Terms, Definitions and Abbreviations,” UNODA, October 1, 2011. [↑](#endnote-ref-27)
28. Holtom and Bromley, “The International Arms Trade: Difficult to Define, Measure, and Control,” *Arms Control Today*, July/August 2010. [↑](#endnote-ref-28)
29. “Arms Export Control,” EU External Action website, 2013, <http://eeas.europa.eu/non-proliferation-and-disarmament/arms-export-control/index\_en.htm>. [↑](#endnote-ref-29)
30. Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, Article 3(b). [↑](#endnote-ref-30)
31. UN document A/62/163: Report of the Group of Governmental Experts established pursuant to General Assembly resolution 60/81 to consider further steps to enhance international cooperation in preventing, combating and eradicating illicit brokering in small arms and light weapons, United Nations General Assembly, August 30, 2007. [↑](#endnote-ref-31)
32. Anders and Catteneo, “Taking Stock and Moving Forward the United Nations Process,” 2005. [↑](#endnote-ref-32)
33. "Definitions of Terms in these Lists," Wassenaar Arrangement, CTP, 2016. [↑](#endnote-ref-33)
34. “Developing a Mechanism to Prevent Illicit Brokering in Small Arms and Light Weapons: Scope and Implications,” UNIDR, 2006. [↑](#endnote-ref-34)
35. "Definitions of Small Arms and Light Weapons," Small Arms Survey, 2017, <www.smallarmssurvey.org/weapons-and-markets/definitions.html>. [↑](#endnote-ref-35)
36. Definitions of Small Arms and Light Weapons," Small Arms Survey, 2017. [↑](#endnote-ref-36)
37. Definitions of Small Arms and Light Weapons," Small Arms Survey, 2017. [↑](#endnote-ref-37)
38. Rosenberg, *The Essential Dictionary of International Trade*, 2004, p. 400. [↑](#endnote-ref-38)
39. *Small Arms Survey 2001: Profiling the Problem*, 2001, Chapter 5. [↑](#endnote-ref-39)