



## ITAR LICENSING

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## LICENSE TYPES

- DSP-5 – Permanent Export\*\*
  - DSP-6 – Amendment\*\*
- DSP-73 – Temporary Export\*\*
  - DSP-74 – Amendment\*\*
- DSP-61 – Temporary Import\*\*
  - DSP-62 – Amendment\*\*
- DSP-85 – Classified Transactions
  - New DSP-85 needed for amendments
- General Correspondence - Re-transfer / Re-export

\*\*D-TRADE only

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## VALIDITY PERIOD

Valid for maximum of 48 months / 4 years

- Exceptions:
  - Firearms authorization will be limited in duration based on foreign import certificate
  - Foreign person employment limited by work authorization
  - Limited Defense Service

A license expires whenever:

- Total authorized quantity exhausted; or
- Total authorized value exhausted; or
- Expiration date reached

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## DSP-5 Permanent Export License: Hardware



Defense Articles (hardware)

- Only one ultimate foreign end-user (Block 14)
- Must be supported by documentation from a foreign party to the transaction
- Purpose and commodity blocks must be consistent with supporting documentation
- Part 130 statement

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## DSP-5 Permanent Export License: Support Documentation



- Purchase order, letter of intent, contract, end user statement, or other appropriate documentation
  - Commodity
  - Quantity
  - Price
  - End-use/End-user
- DSP-83
- Import certificate
- Must be consistent with information on license application
- LOI must not exceed \$1 million of non-SME

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## DSP-5 Permanent Export License: Support Documentation



- Must be addressed to the U.S. applicant applying for the export license
  - Subsidiary must be identified in Block 5 (continuation page)
- Must be provided by a foreign party to the transaction
- Must be in English (or provide translation)
- Should not be over 1 year old
- Must have U.S. dollar value identified
- Cannot use “classified” terms or phrases

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## DSP-5 Permanent Export License: Support Documentation



- HIGHLY recommended attachments
  - Cover Letter (Supplementary Explanation of Transaction)
  - Product Brochures/Technical Data
  - Previous (Pre-ECR) and Precedent (Post ECR) Licenses
  - Review the new guidance on changed USML commodities, i.e., IV, V, VI, VII, VIII, IX, X, XI, XII, XIII, XV, XVI, XVII, XIX, XX, and XXI prior to submission

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## DSP-5 Permanent Export License: Scenarios / Purpose



- Technical Data
  - Marketing/bid and proposal
  - Plant Visit
  - Offshore procurement
- Defense Services – Exceptional circumstances!
  - Short-term training
  - Foreign Person Employment
- Can be multiple ultimate foreign end-users for technical data and defense services

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## DSP-5 Permanent Export License: Support Documentation



- Technical Data
  - Technical data OR sufficient information for DOD to conduct a technical review
- Defense Services
  - Letter requesting exception per 22 CFR 124.1(a) – DDTC discretion on approval
  - Include the validity period of the Limited Defense Service
  - Description of services to be provided
  - If using USML IX(e) – you must include the subcategory

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## DSP-5 Permanent Export License: Scenarios / Purpose



- Foreign Person Employment
  - Employment by a U.S. Person
  - Requires a DSP-5 from DDTC regardless of physical location, U.S. or abroad
  - Does cover interaction with other parties, U.S. or foreign with notification by employing person
  - No longer requires a TAA in addition to DSP-5
  - Ensure you submit all required support documentation

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## DSP-5 Permanent Export License: Support Documentation



- Foreign Person Employment
  - Resume
  - Date and Place of Birth
  - Copy of Passport Photo Page
  - Work Authorization, if applicable
  - Job Description
  - Description/copies of technical data
  - Kept by applicant:
    - Non-disclosure Agreement (NDA)
    - DSP-83, as applicable

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## DSP-73 Temporary Export License



- Temporary export of defense articles only. Export of technical data is a permanent export.  
\*\*Exception: Software loaded on a computer or manuals/operating instructions for trade show/demonstration
- Repair and/or replacement
- Test equipment/testing and “fit-checks”
- Demonstration/marketing
- Trade shows

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## DSP-73 Temporary Export License



- Series versus single departure
  - Quantity restored upon return to U.S.
- Can be multiple temporary foreign end-users
- Encourage limiting transactions to one geographic region (Europe, Middle East, South America, etc.)
- Purpose and commodity blocks must be consistent with request

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## DSP-73 Temporary Export License: Support Documentation



- Often initiated by U.S. applicant so there is no foreign support documentation required
- Block 23 or attached cover letter
  - Summarize the transaction
  - Explain roles of the parties to the transaction
- Descriptive literature/technical data on commodity being exported
- Additional documentation may be required based on commodity (i.e., booth registration, website of the trade show)

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## DSP-61 Temporary Import License



22 CFR 123.3(a)(1) – Temporary imports of unclassified defense articles that are to be returned directly to the country from which they were shipped to the United States. Corresponds to Block 23(b) option 1:

- Overhaul/repair
- Modification/upgrade (redesign will require a DSP-5)
- Demonstration/Trade Shows (foreign-manufactured goods)
- Military exercises at U.S. bases/ranges (U.S. Military invite letter)
- Single entry and exit authorized
  - Per line item
  - Cannot exceed approved quantity/scope

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## DSP-61 Temporary Import License



22 CFR 123.3(a)(2) – Temporary import of unclassified defense articles in transit to a third country. Corresponds to Block 23(b) option 2:

- Transshipment
- Single entry and exit authorized
- Block 23(a) option “other” includes transshipment, trade shows, demonstration and military exercises

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## DSP-61 Temporary Import License: Support Documentation



### 22 CFR 123.3(a)(1): Return to Original Country

- Documentation from foreign party requesting overhaul/repair/modification;
- Documentation identifying the U.S. or foreign party maintaining control of defense articles in U.S. for trade show and/or demonstration;
- Documentation from foreign party identifying participation in a military exercise

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## DSP-61 Temporary Import License: Support Documentation



### 22 CFR 123.3(a)(2): In transit/Transshipment

- Foreign-origin defense articles must be supported by documentation representing the transaction between the two foreign parties and should include the same information as a DSP-5. Should not be addressed to the U.S. applicant.

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## DSP-85 Classified Transactions Scenarios / Purpose



- Classified transactions:
  - Permanent/Temporary Exports
  - Temporary Imports
- Limited Defense Services
- Purpose and commodity blocks must be consistent with supporting documentation
- Facility Security Clearance Code (FSC), level and date for all parties to the transaction (some exceptions)
- Defense Security Service (DSS) office

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## DSP-85 Classified Transactions



### Supporting Documentation

- Same documentation as the unclassified DSP licenses

### Application Submission

- Still a paper process!
- DSP-85 is a form-fillable .pdf
- Original signature not required in Block 24
- DSS Retains the Original Version

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## DSP-83 Non-Transfer and Use Certificate



22 CFR 123.10 and 124.10

- SME, classified hardware or technical data
- Signed by foreign consignee, foreign end-user and applicant
- Can be requested by DDTC for any application (22 CFR 123.10)
- DDTC can request that the 'appropriate authority of the government of the country of ultimate destination also execute'

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## DSP-83 Non-Transfer and Use Certificate



- Be sure that your DSP-83 matches all of your other documents (*i.e.*, purchase order, license application).
- DSP-83 needs to be submitted with hardware licenses for SME
- When signing the DSP-83, the applicant is certifying that they have made no changes to the form after it was signed by the foreign parties.

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## General Correspondence Requests: §123.9(a)



- Defense articles may not be re-exported, retransferred, or used for a different end-use without DDTC prior authorization
- Request may be submitted by the foreign end-user or the U.S. applicant on behalf of the end-user
- Known as “General Correspondence” or “GC”
- Request must be made in writing and submitted to:

PM/DDTC, SA-1, 12<sup>th</sup> Floor  
Directorate of Defense Trade Controls  
Bureau of Political Military Affairs  
U.S. Department of State  
Washington, D.C. 20522-0112

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## Re-export §123.9(c)



- Re-export/retransfer requests must contain:
  - Reference to the precedent licenses
  - Description of commodity w/USML Categories
  - Quantity and Value
  - Purchase documentation (permanent only)
  - New end-use / end-user
  - Detail narrative/explanation
  - Technical data involved
  - 126.13 Certification

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## LICENSE PREPARATION – OBTAIN THE FACTS

- Become part of the business team at the beginning!
  - Talk to your Program Manager, Business Development, Marketing, Contracts, Engineering, Procurement teammates
- Define the transaction in plain English
  - Answer: Who, What, When, Where, Why

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## LICENSE PREPARATION – WHO?

- Who are the parties involved in the transaction?
  - Applicant
  - Seller
  - Source of Commodity
  - Manufacturer of Commodity
  - U.S. Consignors, Freight Forwarders
  - Foreign Intermediate Consignee (Freight Forwarder)
  - Foreign Consignee(s) – Installer, Integrator, Translator, any party designated by the customer
  - Foreign End User – Ministry of Defense or private party?
- What is the role of each party to the transaction?

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## LICENSE PREPARATION – WHAT?

- Hardware

- What is it? Is it a permanent export, temporary export or temporary import? Is it in furtherance of an Agreement?
- Is it related to a Voluntary Disclosure filed with DTCC?
- Is it a classified transaction?
- What is the commodity? – model, nomenclature?
- What quantity is ordered? If temporary, will more than one be needed? Will the shipment be sent more than once? Will spares, tool kits be needed?
- What is the USML Category? Has your category changed due to ECR?
- What is the U.S. dollar value per unit? (**Use Fair Market Value**)
- What are the special characteristics of the hardware?

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## LICENSE PREPARATION – WHAT?

- Technical Data

- All exports are permanent
- Is it a classified transaction?
- What tech data is needed for what commodity?
- Is it for a Foreign Person Employment license?
- What quantity is needed?
- What is the USML Category?
- What U.S. dollar value should you put on your license?

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## LICENSE PREPARATION – WHEN?

- Since licenses can take over 60 days, you need to know when is the:
  - delivery date for the hardware?
  - date of the Trade Show?
  - date of the demo with the customer?
  - customer coming for a meeting, plant tour and demo?
  - response to the proposal due?

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## LICENSE PREPARATION – WHERE?

- Where are the articles going?
- What is/are the country(ies) of Ultimate Destination?
- What about the country(ies) of the other Parties involved in the transaction?
- Is it an eligible country and entity?
  - ITAR 126.1 proscribed countries
  - Denied Party Screening

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## LICENSE PREPARATION – WHY?

Why is the transfer taking place – specific purpose?

- To install on Eurofighter for use by the MoD
- To demonstrate at Paris Air Show
- To do a demonstration of the equipment at the foreign customer plant
- To send to customer for trial and evaluation
- Tech data for marketing efforts, to respond to a proposal, conduct limited technical discussion, host in-plant visit
- To import for trial and evaluation
- Employ Foreign National as part of your work force

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## GETTING STARTED WITH D-TRADE

- D-Trade is the electronic submission portal for the following applications:
  - DSP-5/6, DSP-61/62 and DSP-73/74
  - Agreements (TAA, MLA and WDA – DSP-5 “Vehicle”)
- Paper submissions accepted only for DSP-85s, Advisory Opinions, and General Correspondence

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# GETTING STARTED WITH D-TRADE

1. Purchase an Access Certificate for Electronic Services (ACES) digital certificate
2. Install the ACES digital certificate in Internet Explorer
3. Log on to D-Trade2 to register your ACES Digital Certificate
4. Assign User Roles to the Registered Digital Certificate
  - User Types
  - User Roles
5. Confirmation of Super User Status

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[HTTP://WWW.PMDDTC.STATE.GOV/DTRADE/INDEX.HTML](http://www.pmdtcc.state.gov/dtrade/index.html)

<a href="#">Home</a>	<a href="#">DDTC Homepage/ DTrade</a>	Updated 12.31.16 Printer Friendly Version
<a href="#">About DDTC</a>		
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<a href="#">Country Policies and Embargoes</a>		
<a href="#">Treaties</a>		
<a href="#">FAQs</a>		
<a href="#">Outreach</a>		
<a href="#">Metrics</a>		
<a href="#">Reports</a>		
<a href="#">Federal Register Notices</a>		
<a href="#">Links to Other Web Sites</a>		
<a href="#">DTAG</a>		
<a href="#">Miscellany</a>		

## DTrade Information Center

DTrade is a fully-electronic defense export licensing system. DDTC is prepared to receive and adjudicate defense export authorization requests properly submitted by any U.S. person who is a defense trade registrant and wishes to permanently export unclassified defense articles via the Form DSP-5, temporarily import unclassified defense articles via the Form DSP-61, or temporarily export unclassified defense articles via the Form DSP-73. Based on envisioned expansion of electronic processing capabilities, DDTC anticipates, with few exceptions, most export licensing submissions via DTrade in the near future.

### DTRADE NOTICES:

**Release Notes:** DTrade v3.2.2 (12.31.16)  
[Click here for more information](#)

**Release Notes:** DTrade v3.2 (04.18.16)  
[Click here for more information](#)  
[DTrade Announcement Archives](#)

### DTrade2 Log-In

[DTrade Help Desk](#)  
[Getting Started With DTrade \(PDF, 355KB\)](#)  
[DTrade FAQs \(PDF, 624KB\)](#)

### Track Status With

ELISA  
MARY

### Form Guidelines

[DSP-5 Guidelines \(PDF, 59KB\)](#)  
[DSP-61 Guidelines \(PDF, 45KB\)](#)  
[DSP-62 Guidelines \(PDF, 66KB\)](#)  
[DSP-73 Guidelines \(PDF, 64KB\)](#)  
[DSP-74 Guidelines \(PDF, 59KB\)](#)

### Additional Guidelines

[DSP-73 & 61 Additional Guidelines \(PDF, 125KB\)](#)  
[DTrade User Requirements \(PDF, 32KB\)](#)  
[DTrade User Manual \(PDF, 10MB\)](#)  
[Other Licensing Guidelines](#)  
[Company Names Guidelines \(PDF, 354KB\)](#)

### Digital Certificates

[What are digital certificates? \(PDF, 9KB\)](#)  
GSA Authorized Vendors  
- [IdemTrust](#)  
- [ORC](#)

### PKI/SHA-256 Information

[SHA-256 Digital Certificate FAQs \(PDF, 398KB\)](#)

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[HTTP://WWW.PMDDTC.STATE.GOV/DTRADE/INDEX.HTML](http://www.pmdtcc.state.gov/DTRADE/INDEX.HTML)

**New Forms and Batch Schemas:**

*Please note these forms will not be accepted in DTrade until November 26, 2015, unless otherwise notified.*

**DTrade Forms:**

- **DSP-5 v9.1:** (XFDL, 362KB)  
Application for Permanent Export of Unclassified Defense Articles, Related Technical Data, and Defense Services
- **DSP-6 v9.1:** (XFDL, 280KB)  
Application for Amendment to a DSP-5 License
- **DSP-61 v9.1:** (XFDL, 319KB)  
Application/License for Temporary Import of Unclassified Defense Articles
- **DSP-62 v9.1:** (XFDL, 286KB)  
Application for Amendment to a DSP-61 License
- **DSP-73 v9.1:** (XFDL, 342KB)  
Application/License for Temporary Export of Unclassified Defense Articles
- **DSP-74 v9.1:** (XFDL, 290KB)  
Application for Amendment to a DSP-73 License

[DTrade Announcement Archives](#)

[Company Names Guidelines](#) (PDF, 354KB)

**Digital Certificates**

[What are digital certificates?](#) (PDF, 9KB)

[GSA Authorized Vendors](#)

- [IBMTrust](#)

- [ORC](#)

**PKI/SHA-256 Information**

[SHA-256 Digital Certificate FAQs](#) (PDF, 35

**DTrade Form Viewer**

[IBM Forms Viewer \(v 8.0.1.1\)](#)

[IBM Forms Viewer Installation Instructions](#)

**DTrade v3.1.9 – Production Forms**

**DSP-5 v9.1:** [Form](#) (XFD, 362KB)

**DSP-6 v9.1:** [Form](#) (XFD, 280KB)

**DSP-61 v9.1:** [Form](#) (XFD, 319KB)

**DSP-62 v9.1:** [Form](#) (XFD, 286KB)

**DSP-73 v9.1:** [Form](#) (XFD, 342KB)

**DSP-74 v9.1:** [Form](#) (XFD, 290KB)

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## D-TRADE HELP DESK

- Phone: (202) 663-2838
- Fax: (202) 663-2756
- E-mail: [dtradehelpdesk@state.gov](mailto:dtradehelpdesk@state.gov)
- Website: [pmdtcc.state.gov/DTRADE/index.html](http://pmdtcc.state.gov/DTRADE/index.html)

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# LICENSE PREPARATION

U.S. DEPARTMENT OF STATE

DIRECTORATE OF DEFENSE TRADE CONTROLS

## APPLICATION/LICENSE FOR PERMANENT EXPORT OF UNCLASSIFIED DEFENSE ARTICLES AND RELATED UNCLASSIFIED TECHNICAL DATA

\*Transaction Number:

Please note that an Asterisk (\*) next to a field in the documents designates a mandatory field.

No classified information can be included in this application. Classified information must be sent separately to PM/DDTC in accordance with Defense Security Service guidelines.

Transaction ID determined by Applicant

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# LICENSE PREPARATION

To select and open a document, highlight a form and select the "Open Document" button. The document that you selected will open.

### Required Documents

### Included Documents

### Optional Documents

- DSF-13 Eligibility Letter
- Basic Ordering Agreement
- Contract
- DSF-83
- Firearms and Ammunitions Import Permit
- Firearms and Ammunitions Letter of Explanation
- Letter of Intent
- Other Amplifying Data
- Part 130 Report
- PM/DDTC Sec 126.8 Prior Approval
- Precedent (Identical/similar) Cases
- Product Brochures
- Purchase Order
- Supplementary Explanation of Transaction
- Technical Data to Support Hardware License
- Technical Drawings, Schematics, or Blue Prints
- Transaction Exception Request

Open Document

Open Document

Open Document

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# LICENSE PREPARATION – WHO / WHERE?

UNITED STATES OF AMERICA DEPARTMENT OF STATE  
APPLICATION/LICENSE FOR PERMANENT EXPORT OF UNCLASSIFIED DEFENSE ARTICLES AND RELATED UNCLASSIFIED TECHNICAL DATA

*1. Date Prepared 05/23/2008	*2. PM/DDTC Applicant/ Registrant Code M-XXXX	*3. Country of Ultimate Destination: Country [v] <==	*4. Dispatch Point of Exit from U.S. May enter more than 1 Port
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NOTE: You may only select 1 country as the ultimate destination if the commodity(ies) being shipped include hardware type.

5. Applicant's Name, Address, ZIP Code, Telephone Number *Applicant is: <input type="radio"/> Government <input checked="" type="radio"/> Manufacturer <input type="radio"/> Exporter <input checked="" type="checkbox"/> Subsidiary Add Subsidiary Information *Name *Attention *Address *City *State [v] * ZIP Code *Telephone # [v] Ext. [v]	6. Name, agency and telephone number of U.S. Government Personnel (not PM/DDTC) familiar with the commodity. Name Telephone # [v] Ext. [v] Agency [v] Add <input type="checkbox"/> 7. Name and telephone numbers of applicant contact if U.S. Government needs additional information. *Name *Telephone # [v] Ext. [v] Add <input type="checkbox"/>
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# LICENSE PREPARATION – WHAT?

8. Description of Transaction:  
\*a. This application represents:  ONLY a completely new shipment  ONLY the unshipped balance under license numbers  
b. This Application has related license # [v]  
c. This Application is in reference to agreement # [v]  
\*d. If the commodity is being financed under:  Foreign Military Sale  Foreign Military Financing  Grant Aid Program  Not Applicable  
\*e. This application is related to a disclosure filed with Defense Trade Controls Compliance:  No  Yes  
Enter Compliance Disclosure Number: [v]

Item #	*9. Quantity Unit Type [v]	*10. Commodity Defense Article Type [v]	*11. USML Category Category [v] Sub [v] Item is SME and DSP-83 is required <input type="checkbox"/> Is a DSP-83 attached? [v] If SME, and DSP-83 is not attached, state why. *12. \$ Value Unit Price [v] Line Item Total [v]
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Add  \*13. TOTAL VALUE \$ [v]



## Paragraph “x”: Overview



- Approved by previous Administration under EO 13222
- Exists to create “one-stop shopping” for applicants
- ITAR 120.5(b)
  - Authorizes DOS to approve licenses containing EAR controlled items:
  - However, Commerce retains jurisdiction for subsequent transactions, *e.g.*, re-exports/re-transfers, voluntary disclosures, *etc.*
- ITAR 120.10(a)(2-4) – expands definition of tech data to include items/services controlled under 600-series

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## Paragraph “x”: Overview



- 123.1(b) allows for inclusion of EAR controlled items on export and temp import licenses provided:
  - The PO/LOI/EUS cites all items on the license;
  - Articles subject to the EAR are for end-use in/with the USML defense article proposed for export;
  - EAR-controlled items enumerated on the application as “x”
  - Category “x” items can be submitted with licenses that commodities can be integrated into or with
    - Must provide the current ECCN in block 10 with the listed Commerce item.
- All current documentation requirements will remain valid under 123.1(c)

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# Paragraph "x" Licenses



Item 1	*9. Quantity 1	*10. Commodity 9A610.x parts used in or with USML Category VIII(h)3 tail boom folding system.	* 11. USML Category VIII x	
	Unit Type Lots		Item is SME and DSP-83 is required <input type="checkbox"/> Is a DSP-83 attached? <input type="checkbox"/> If SME, and DSP-83 is not attached, state why. <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	
		Defense Article Type Hardware	*12. \$ Value	
			Unit Price 100	Line Item Total 100
Add <input type="checkbox"/>		*13. TOTAL VALUE \$ 100		

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# LICENSE PREPARATION – WHO / WHERE?

14. Name and address of foreign end-user * Name <div style="border: 2px solid black; padding: 5px; text-align: center;"> <b>1 end-user for hardware; multiple for tech data</b> </div> *Address *City *Country Add <input type="checkbox"/>	15. Manufacturer of Commodity <input type="checkbox"/> Same as Block 5 *Name *Address *City State ZIP Code *Country Add <input type="checkbox"/>
16. Name and address of foreign consignee <input type="checkbox"/> Same as Block 14 *Name <div style="border: 2px solid black; padding: 5px; text-align: center;"> <b>Purchaser &amp; any party who receives items</b> </div> *Address *City *Country Add <input type="checkbox"/>	17. Source of Commodity <input type="checkbox"/> Same as Block 5 <input type="checkbox"/> Same as Block 15 *Name *Address *City State ZIP Code *Country Add <input type="checkbox"/>



## LICENSE PREPARATION – WHO / WHERE?

<p><b>18. Name and address of foreign intermediate consignee</b></p> <p><input type="checkbox"/> None</p> <p>*Name</p> <p>*Address</p> <p>*City</p> <p>*Country</p> <p>*Role</p> <p>Add <input type="checkbox"/></p>	<p><b>19. Name and address of Seller in United States</b></p> <p><input type="checkbox"/> Same as Block 5 <input checked="" type="checkbox"/> Same as Block 15 <input checked="" type="checkbox"/> Same as Block 17</p> <p>*Name</p> <p>*Address</p> <p>*City</p> <p>*State</p> <p>*ZIP Code</p> <p>Add <input type="checkbox"/></p>
<p><b>20. Specific purpose for which the material is required, including specific Program/End Item.</b></p> <p>Select at least one:</p> <p><input type="checkbox"/> Off-Shore <input type="checkbox"/> Request for Prior Approval (22 CFR 126.8)</p> <p><input type="checkbox"/> Brokering (22 CFR 129) <input type="checkbox"/> Other (Please Provide Details)</p> <p>Add item, end-item, platform/program</p>	<p><b>21. Name and address of consignor and/or freight forwarder in United States</b></p> <p><input type="checkbox"/> Same as Block 5</p> <p>*Name</p> <p>*Address</p> <p>*City</p> <p>*State</p> <p>*ZIP Code</p> <p>Add <input type="checkbox"/></p>

Foreign Freight Forwarder or Customs Brokers

US Freight Forwarders



## LICENSE PREPARATION – SUPPORTING DOCS

To select and open a document, highlight a form and select the "Open Document" button. The document that you selected will open.

<p><b>Required Documents</b></p> <p>Basic Ordering Agreement</p> <p>Contract</p> <p>DSP-53</p> <p>Letter of Intent</p> <p>Purchase Order</p>	<p><b>Included Documents</b></p> <p>DSP-5</p>
<p><b>Optional Documents</b></p> <p>DD-43 Eligibility Letter</p> <p>Firearms and Ammunitions Import Permit</p> <p>Firearms and Ammunitions Letter of Explanation</p> <p>Other Amplifying Data</p> <p>Part 130 Report</p> <p>FM/DDTC Sec 126.8 Prior Approval</p> <p>Precedent (Identical/similar) Cases</p> <p>Product Brochures</p> <p>Supplementary Explanation of Transaction</p> <p>Technical Data to Support Hardware License</p> <p>Technical Drawings, Schematics, or Blue Prints</p> <p>Transaction Exception Request</p>	

Only 1 purchase document required.

Include any documents that will help expedite USG review (i.e., cover letter, end-use statement, tech data)



# LICENSE PREPARATION

## 22. Applicant's statement

I, \_\_\_\_\_  
an empowered official (ITAR 120.25) or an official of a foreign government entity in the U.S., hereby apply for a license to complete the transaction described above, warrant the truth of all statements made herein, and acknowledge, understand and will comply with the provisions of Title 22 CFR § 120-130, and any conditions and limitations imposed.

I am authorized by the applicant to certify the following in compliance with 22 CFR 126.13:

**Will auto-fill when digitally signed**

**Most companies will select "a."**

### \*22 CFR 126.13 Certification (Select one)

- a. I am authorized by the applicant to certify that the applicant and all the parties to the transaction can meet in full the conditions of 22 CFR § 126.13 as listed above.
- b. I am authorized by the applicant to certify to 22 CFR § 126.13. The applicant or one of the parties of the transaction cannot meet one or more of the conditions of 22 CFR § 126.13 as listed above. A request for an exception to policy, as described in Section 127.11 of the ITAR, is attached.
- c. I am authorized by the applicant to certify to 22 CFR § 126.13. The applicant or one of the parties of the transaction cannot meet one or more of the conditions of 22 CFR § 126.13 as listed above. However that party has met the conditions imposed by the Directorate of Defense Trade Controls in order to resume standard submission of applications, not requiring an exception to policy as described in Section 127.11 of the ITAR.
- d. I am not authorized by the applicant to certify the conditions of 22 CFR § 126.13. The applicant and all of the parties to the transaction can meet in full the conditions of 22 CFR § 126.13 as listed above. Please see the attached letter from an official that is authorized by the applicant to certify to the conditions of 22 CFR § 126.13.
- e. I am not authorized by the applicant to certify the conditions of 22 CFR § 126.13. The applicant or one of the parties of the transaction cannot meet one or more of the conditions of 22 CFR § 126.13 as listed above. A request for an exception to policy, as described in Section 127.11 of the ITAR, and a letter from an official that is authorized by the applicant to certify to the conditions of 22 CFR § 126.13 are attached.
- f. I am not authorized by the applicant to certify the conditions of 22 CFR § 126.13. The applicant or one of the parties of the transaction cannot meet one or more of the conditions of 22 CFR § 126.13 as listed above. However that party has met the conditions imposed by the Directorate of Defense Trade Controls in order to resume standard submission of applications, not requiring an exception to policy as described in Section 127.11 of the ITAR. Please see the attached letter from an official that is authorized by the applicant to certify to the conditions of 22 CFR § 126.13.

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# LICENSE PREPARATION

### \* Compliance with 22 CFR 130 (Select one)

- This transaction does not meet the requirements of 22 CFR 130.2
- This transaction meets the requirements of 22 CFR 130.2. The applicant or its vendors **have not** paid, nor offered, nor agreed to pay, in respect of any sale for which a license or approval is requested, political contributions, fees or commissions in amounts as specified in 22 CFR 130.9(a).
- The applicant or its vendors **have** paid, or offered, or agreed to pay, in respect of any sale for which a license or approval is requested, political contributions, fees or commissions in amounts as specified in 22 CFR 130.9(a). Information required under 22 CFR 130.10 is attached.
- I am not authorized by the applicant to certify the conditions of 22 CFR 130.9(a). Please see the attached letter for such certification.

\*Signature  
\_\_\_\_\_  
Signature

**When selecting a Part 130 statement, be aware of what you are certifying!**

### 23. License to be to. (Enter name, address and phone number)

[This block is inactive on electronic form.]

Same as Block 5     Hold for Pickup

Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_

State  ZIP Code

Telephone #  -



# LICENSE PREPARATION

Submit

Save

Print

Electronic Form Version Number: 9.3

**Must use current form version.**

OMB APPROVAL NO. 1405-0003  
EXPIRATION DATE: 04-30-2018  
\*ESTIMATED BURDEN: 1 HOUR

\* PAPERWORK REDUCTION ACT STATEMENT: Public reporting burden for this collection of information is estimated to average 1 hour per response, including time required for searching existing data sources, gathering the necessary data, providing the information required, and reviewing the final collection. Send comments on the accuracy of this estimate of the burden and recommendations for reducing it to: Department of State (A/ISS/DIR) Washington, D.C. 20520.

**U.S. DEPARTMENT OF STATE  
DIRECTORATE OF DEFENSE TRADE CONTROLS  
APPLICATION FOR PERMANENT EXPORT OF UNCLASSIFIED DEFENSE  
ARTICLES, RELATED TECHNICAL DATA, AND DEFENSE SERVICES**

\*Transaction Number:

Please note that an Asterisk (\*) next to a field in the documents designates a mandatory field.

No classified information can be included in this application. Classified information must be sent separately to PM/DDTC in accordance with Defense Security Service guidelines.

Classified information is being sent under separate cover

To select and open a document, highlight a form and select the "Open Document" button. The document that you selected will open.

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# LICENSE PREPARATION

Submit

Save

Cancel

**U.S. DEPARTMENT OF STATE  
DIRECTORATE OF DEFENSE TRADE CONTROLS**

By selecting the "Submit" button, above, the Applicant hereby warrants the truthfulness of all statements made herein and in accompanying documentation; acknowledges and understands that, in accordance with 22 C.F.R. §127.2, it is unlawful to use any export or temporary import control document containing a false statement or misrepresenting or omitting a material fact for the purpose of exporting any defense article or technical data or the furnishing of any defense service for which a license or approval is required by this subchapter and that any false statement, misrepresentation, or omission of material fact in an export control or temporary import control document will be consider as made in a matter within the jurisdiction of a department or agency of the United States for the purposes of 18 U.S.C. 1001, 22 U.S.C. 2778 and 22 U.S.C. 2779; and that the applicant further agrees to comply with all applicable provisions of 22 C.F.R. §120-130.

To cancel this submission, select "Cancel".

(If you cancel the submission, you will return to the previous page.)

Please be further advised, that if the "Submit" button is not active and you have already saved the submission, you may not have completed all of the required fields. As a reminder you must save the submission before you can submit.

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## SUCCESS IN D-TRADE

Your submission is being validated for processing as of 2012.06.18 9:45 AM, EDT.

Submission Type : DSP5  
 Owner Name : I.M. Overworked  
 Owner Email : I.M.OVERWORKED@AFAS.COM  
 DDTC Case # : 050555555

Tomorrow, please use the DTRADE online case status tool to ensure your case has been properly received.

If your case is not found or is shown as rejected in the status tool, please contact the DDTC Help Desk at [dtradehelpdesk@state.gov](mailto:dtradehelpdesk@state.gov) or 202-663-2838.

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- Track Status

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- View Users

**Links**

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- Industry Users Manual
- Managing Digital Certificates FAQs
- US Department of State

### Search Results

Displaying Records: 1-3 of 3

Type	Case #	Trans. ID	Staff	License Officer	Status	Status Date	Date Prepared	License Value	Country
DSP5	050497693	AG-UTS14-0002	N	System	In Review	27-Jan-14	24-Jan-14	2	UK
DSP5	050497715	AG-UTS14-0003	N	System	In Review	27-Jan-14	24-Jan-14	2	DA
DSP5	050555555	AFAS DSP-5	N	System	In Review	24-Jan-14	24-Jan-14	2010000	AS

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### Application Detail

<b>Case Number:</b> 050555555		<b>Date Prepared:</b> 24-Jan-14
<b>License Type:</b> DSP5	<b>Transaction ID:</b> AFAS DSP-5	<b>License Officer:</b> System
<b>Status:</b> In Review		<b>Status Date:</b> 24-Jan-14
<b>Country Code:</b> AS		<b>Staffed:</b> N
<b>Country Name:</b> AUSTRALIA		

### Complete License Status Information

Case Status	LO Name	Status Date	Comments

### Staffing Status

Agency Info	Version #	Date Staffed	Date of Response

### Additional Documentation

File Name	Category	Comments	Date

You may click on the button below to upload any additional documentation for this case.

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# REJECTIONS IN D-TRADE

Type	Case #	Trans. ID	Staff	License Officer	Status	Status Date
DSP5	<a href="#">050555555</a>	AFAS DSP-5	N	System	Rejected	12-Nov-13

Your application was rejected due to the following errors:

Error Level	Error Name	Error Type	Error Description	Additional Info
FATAL	Undefined			This submission has been REJECTED as a duplicate submission of 050487450INITIAL_VALIDATION

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## DIVISION STRUCTURE



### Division Chief/Co-Leads

- Case Assignment
- Team Management

### Licensing Officers

- Case Adjudication
- Special Projects/Assignments

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## CASE ASSIGNMENT



D-TRADE automatically assigns to a Division based on USML category

- Review all applicable ECR Federal Reg. Notices
- Be attentive in assigning USML category

Division Chief/Co-Leads assign to Licensing Officer for adjudication

- Administrative Review
- Regulatory Review

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## REVIEW CRITERIA



### Administrative Review

- Support Documentation
  - Purchase Order, End-Use Statement, etc.
  - DSP-83 for SME
- Verify Registration Code – Subsidiary
- Verify USML category and sub-category
- Part 130 statement/Eligibility
- No P.O. Boxes
- Seller/Applicant are the Same
- All Required Blocks are Filled

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## REVIEW CRITERIA



### Regulatory Review

- Hold/No Hold
- Transaction Flow
  - Review Supporting Documentation
  - Match With Application – Possible RWA
    - Commodity - Quantity/Price
    - Foreign Parties
    - Destination Country – 126.1
    - Stated End-Use and End-User
  - Review Purpose For Explanation
  - Review Precedent Licenses
    - Important for Staffing Purposes

### Regulatory Review

- Foreign Policy
- National Security
- Regional Stability
- Human Rights Policy
- Multilateral Regimes

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## REFERRAL PROCESS



### Department of State

- Foreign Policy – Country Desk Office (e.g. EAP, NEA)
- Regional Stability – PM/RSAT
- Human Rights Policy – DRL

### Department of Defense (DoD)

- National Security
- Technical Review
- Regime Compliance (MTEC)

### Other U.S. Government Agencies

- NASA – Space-related applications
- Department of Energy – Nuclear-related applications

### Please note:

- Referral points have 30 days to reply
- DoD has no time limit for review

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## FINAL REVIEW AND ISSUANCE



Licensing Officer reviews case with recommendation of other agencies and determines final disposition of cases:

- Approve
- Approve with provisos
- Return Without Action (RWA)
- Deny

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## DDTC AND CUSTOMS



Transfers to U.S. Customs and Border Protection (CBP) are provided on all approved applications

DDTC receives information from the Automated Export System (AES Direct) to track shipments

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## CONGRESSIONAL NOTIFICATION THRESHOLDS



22 CFR 123.15

- NATO +5 (Japan, Australia, New Zealand, South Korea, Israel):
  - \$25 million Major Defense Equipment (MDE) (22 CFR 120.8)
  - \$100 million: any defense articles, technical data and defense services
- All other countries:
  - \$14 million MDE
  - \$50 million: any defense articles, technical data and defense services

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## CONGRESSIONAL NOTIFICATION THRESHOLDS



### 22 CFR 123.15 (Cont.):

- USML Category I (a-e) Firearms - \$1 million
- Commercial communication satellites launched from Russian Federation States, Ukraine, and Kazakhstan [AECA 36(c)(2)(B)]

### 22 CFR 124.11

- SME Manufactured abroad; regardless of value

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## LICENSE TRACKING

- DDTC's Tracking Tools
  - DTRADE (case number, upload additional docs, retrieve approved licenses)
  - Paper Cases (GC's, DSP-85)
- DTSA's Tracking Tool
  - ELISA (staffing information for DDTC & DTSA)
  - [http:// elisa.dtsa.mil/](http://elisa.dtsa.mil/)

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# LICENSE STATUS

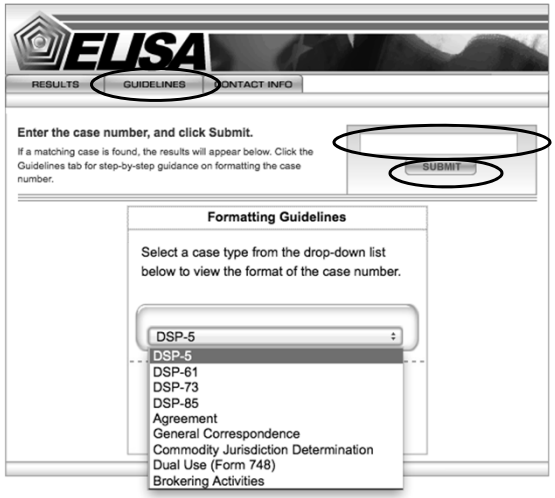
Check status with DTSA - <http://elisa.dtsa.mil/>



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# LICENSE STATUS



**Case Number Format**

**Case Type:** Commodity Jurisdiction Determination

**Example:** CJ-123-98A

"CJ", a dash, three digits, a

**Format:** dash, a 2-digit year, and a letter if applicable

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# LICENSE STATUS

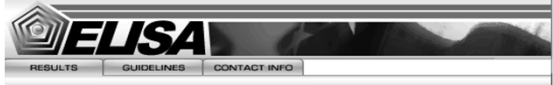
Enter the case number, and click Submit.  
If a matching case is found, the results will appear below. Click the Guidelines tab for step-by-step guidance on formatting the case number.

**Formatting Guidelines**  
Select a case type from the drop-down list below to view the format of the case number.

DSP-5

**Case Number Format**  
Case Type: DSP-5  
Example: 051234567  
Format: Nine digits

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Enter the case number, and click Submit.  
If a matching case is found, the results will appear below. Click the Guidelines tab for step-by-step guidance on formatting the case number.

05055555

**Case Number:** 05055555

### Department of State

Received: 11/5/2013 11:53:06 AM

Closed:

Status: Open

Analyst: Sebastian Liberatore 202-663-2720  
Email: liberatorese@state.gov

**Staffed Organization Status**

Organization	Staffed Date	Reply Date
PM/RSAT	11/8/2013	11/13/2013 4:49:42 PM
DOD	11/8/2013	
SCA	11/8/2013	11/25/2013 10:52:16 AM
DRL	11/8/2013	11/12/2013 11:26:10 AM

### Department of Defense

Analyst: Katherine L. Moody 571-372-2307  
Email: lee.moody@dtsa.mil

**Staffed Organization Status**

Organization	Staffed Date	Reply Date
DF/TT	11/13/2013	12/9/2013 3:56:37 PM
TD	11/13/2013	

Report Data Last Updated: 1/24/2014



# FINAL LICENSE ACTION

**Case Number:** 05055555

### Department of State

Received: 11/22/2013 1:19:17 PM

Closed: 1/14/2014 10:18:41 AM

Status: Released

Recommendation: Approve with Conditions

Analyst: Alex J Douville 202-663-2718  
Email: douvilleaj@state.gov

**Staffed Organization Status**

Organization	Staffed Date	Reply Date
DOD	11/29/2013	1/8/2014 12:44:29 PM

Report Data Last Updated: 1/27/2014

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**DDTC**  
Electronic Filing System & Treaty Reference System Website

Use the menu items on the left to access the website functions. Use the "Links" menu to navigate to related websites.

**DTRADE NOTICES:**

**Industry Notice:** *Updated Forms* – In support of OMB form expiration date updates the following forms DSP -5, -6, -61, -62, -73, and -74 have been updated. Beginning Thursday, November 26, 2015, DTrade users must use version 9.1 for forms DSP-5, -6, -61, -62, -73 and -74.

Earlier versions of these forms will automatically be rejected by the system beginning **November 26, 2015**. To access the new DTrade Forms and Batch Schemas, [click here](#). (11.25.15)

**TRS NOTICES:**

- **Industry Notice:** The TRS Approved Community login is now located under the left menu item titled TRS ACID Search. [Click here](#) for additional TRS guidance.

**DTRADE HELP DESK CONTACT INFORMATION:**  
Phone: 202-663-2838  
E-mail: [dtradehelpdesk@state.gov](mailto:dtradehelpdesk@state.gov)

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Shows a 3-month snapshot of cases

**Track Status**  
All dates must be in the following format: mm/dd/yyyy.  
An \* can be used as a wildcard in the Transaction ID field.

**Form Type**

- All
- DSP5
- DSP6
- DSP61
- DSP62
- DSP73
- DSP74

**Transaction ID**

**Date Submitted From**

 \* 

**Status**

**Status Date From**

**Total License Value From**

**Country of Ultimate Destination**

**Case #**

**Date Submitted To**

 \*

**Status Date To**

**Total License Value To**



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### Search Results

Displaying Records: 101-120 of 122

1 2 3 4 5 6 7

Type	Case #	Trans. ID	Staff	License Officer	Status	Status Date	Date Prepared	License Value	Country
DSP5			N	System	Signed	03-Dec-13	31-Oct-13	3000000	IT
DSP5			N	System	Signed	02-Dec-13	01-Nov-13	4217020	JA
DSP5			N		Rejected	27-Nov-13	27-Nov-13	1000000	
DSP5			N		Rejected	27-Nov-13	27-Nov-13	1000000	
DSP5			N	System	Signed	26-Nov-13	21-Nov-13	1780666	PL
DSP5			N		Rejected	25-Nov-13	25-Nov-13		
DSP5			N	System	In Review	25-Nov-13	22-Nov-13	4000001	AS, BX, ID, IN, KS, MY, NZ, RP, SN, TH, TW
DSP5			N	System	Signed	25-Nov-13	20-Nov-13	11800000	MX
DSP5			N	System	Signed	25-Nov-13	08-Nov-13	12999	JA

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### Application Detail

**Case Number:** 050555555

**License Type:** DSP5 **Date Prepared:** 20-Dec-13

**Transaction ID:** AFAS DSP-5 **License Officer:** System

**Status:** Signed **Status Date:** 15-Jan-14

**Country Code:** AS **Staffed:** N

**Country Name:** AUSTRALIA

Electronic Case with Final Decision

Click on the case number to the right to download the electronic case with final decision and letter: [signed0505555555.pdf](#)

Complete License Status Information

Case Status	LO Name	Status Date	Comments

Staffing Status

Agency Info	Version #	Date Staffed	Date of Response

Additional Documentation

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**Additional Documentation**

Comments on the document:

Attachment Category: 22 CFR § 126.13 Certification Letter

Browse for your document to upload:

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## License Amendments



22 CFR 123.25(b) changes considered:

- Addition/change of U.S. freight forwarder / consignor
- Addition/change of source / manufacturer
- Change due to obvious typographical error
- Addition / change of foreign intermediate consignee if party is only transporting equipment and will not process (i.e., integrate, modify, etc.)



# License Amendments




- These changes require a new license per 22 CFR 123.25(c):
  - Additional quantity
  - Changes in commodity
  - Country of ultimate destination, end-use or end-user
  - Foreign consignee and foreign intermediate consignee if more than transporting equipment
  - Extension of duration
  - Incorrect USML category change due to ECR

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# D-TRADE AMENDMENT FORMS



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## Welcome to the DDTC Electronic Filing System

This is the DDTC Electronic Filing System web site. Use the menus on the left to navigate to the accessible functions. Use the "Links" menu to navigate to related web sites.

**IMPORTANT NOTICES: (Updated - January 03, 2014)**

- **Industry Notice (01/03/2014):** In support of Federal Register Notice 78 FR 40922, all DTrade DSP forms, DS2032, and the Common Schema have been upgraded to accommodate the additions and revisions to USML Categories VI, VII, XIII, and XX. Beginning January 6, 2014, DTrade users must use version 8.1 for the DSP-5, 6, 61, 62, and 74 and version 8.2 for the DSP-73 to submit license applications and amendment forms; registrants must use version 4.1 to submit the DS2032; and the Common Schema has been updated to version 7.1, earlier versions of these forms and schema will automatically be rejected by the system. If you have any questions related to this announcement, please contact the DDTC Help Desk at 202-663-2838 or [DTradeHelpDesk@state.gov](mailto:DTradeHelpDesk@state.gov) . (1.3.14)
- **Industry Notice (11/22/2013):** DDTC external systems (i.e., DTrade, EFS, Mary, and Ellie) and DTAS Online are now operational and available for use. DTrade has been upgraded in compliance with the use of Access Certificates for Electronic Services (ACES) SHA-256 ("SHA-256") digital certificates, as required by the National Institute of Standards and Technology federal mandate.

DTrade users may now use either their existing ACES SHA-1 ("SHA-1") certificate or the new SHA-256 certificate until December 31, 2013.

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# AMENDING A LICENSE

## U.S. DEPARTMENT OF STATE APPLICATION FOR AMENDMENT TO A DSP-5 LICENSE

\*Transaction Number:

Please note that an Asterisk (\*) next to a field or block in a document designates a mandatory field or block.

**No classified information can be included in this application. Classified information must be sent separately to PM/DDTC in accordance with the Defense Security Service guidelines.**

Classified information is being sent under separate cover

To open a document, click on a document to highlight it and select the "Open Document" button. The document that you selected will open.

### Required Documents

**DSP-6**  
Copy of DSP License with PM/DDTC Proviso(s)

### Optional Documents

22 CFR § 126.13 Certification Letter  
22 CFR § 127.11 Exception to Policy Letter  
DTCC Acknowledgement Letter  
Other Amplifying Data  
Other DSP-6 Authorizations  
Purchase order submitted with original license

### Included Documents



# AMENDING A LICENSE

*1. Date Prepared <input type="text" value="06/03/2009"/>	*2. PM/DDTC Applicant/Registrant Code <input type="text"/>
<b>3. Applicant Name, Address, ZIP Code and Telephone Number</b>	*4. Amendment to License No. <input type="text"/>
<input checked="" type="checkbox"/> Subsidiary <input type="button" value="Add Subsidiary Information"/>	I certify that the stated license has an unshipped balance and has not expired.
*Name <input type="text"/>	*5. Amendment in accordance with (select one) <input type="radio"/> 22 CFR § 123.25 <input type="radio"/> 22 CFR § 122.4
*Attention <input type="text"/>	<b>6. Compliance Case Number</b>
*Address <input type="text"/>	a. Provide Compliance Case Number <input type="text"/>
*City <input type="text"/>	b. Provide date of DTCC Acknowledgement Letter (mm/dd/yyyy) <input type="text"/>
*State <input type="text"/> *ZIP Code <input type="text"/>	<b>7. Name and Telephone Number of applicant contact(s) familiar with the application and proposed amendments if U.S. Government needs additional information.</b>
*Telephone # <input type="text"/> Ext. <input type="text"/>	<b>Item # 1:</b>
	Name <input type="text"/>
	Telephone # <input type="text"/> Ext. <input type="text"/>
	<input type="button" value="Add"/>

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## AMENDING A LICENSE

### \*8. Summary of Amendment(s) to DSP-5

Type of Amendment(s)
DTCC Acknowledgement Letter (Modify Blocks 2, 5, 15, 17, 19, and/or 21):
g Modify Applicant/Registrant Code
a Modify Block 5, Applicant/Subsidiary
Correct Block 9, Quantity
Correct Block 10, Commodity Description
Correct Block 12, \$ Value
Correct Block 13, License Total Value Only
Correct Block 14, Foreign End-User
Modify Block 15, Manufacturer of Commodity
Modify Block 16, Foreign Consignee
b Modify Block 17, Source of Commodity
Modify Block 18, Foreign Intermediate Consignee
Modify Block 19, Seller in U.S.
Modify Block 21, U.S. Consignor and/or U.S. Freight Forwarder

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## AMENDING A LICENSE

### 19. Change in Foreign Intermediate Consignee (DSP-5 Block 18)

Item # 1:

\*a. Type of Modification:

\*b. State specific reason for the change:

c. Foreign Intermediate Consignee as stated on original DSP-5:

Name

Address

City

Country

d. New Foreign Intermediate Consignee:

Name

Address

City

Country

Add

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# AMENDING A LICENSE

## 21. Additional Details of Transaction

\* This application is related to a disclosure filed with Defense Trade Controls Compliance  No  Yes

Enter Compliance Disclosure Number:

\*USML Category

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# AMENDING A LICENSE

## 22. Applicant's statement

I

an empowered official (ITAR 120.25) or an official of a foreign government entity in the U.S., hereby apply for a license to complete the transaction described above, warrant the truth of all statements made herein, and acknowledge, understand and will comply with the provisions of Title 22 CFR, 120-130, and any conditions and limitations imposed.

I am authorized by the applicant to certify the following in compliance with 22 CFR 126.13:

### \*22 CFR 126.13 Certification (Select one)

- a. I am authorized by the applicant to certify that the applicant and all the parties to the transaction can meet in full the conditions of 22 CFR § 126.13 as listed above.
- b. I am authorized by the applicant to certify to 22 CFR § 126.13. The applicant or one of the parties of the transaction cannot meet one or more of the conditions of 22 CFR § 126.13 as listed above. A request for an exception to policy, as described in Section 127.11 of the ITAR, is attached.
- c. I am authorized by the applicant to certify to 22 CFR § 126.13. The applicant or one of the parties of the transaction cannot meet one or more of the conditions of 22 CFR § 126.13 as listed above. However that party has met the conditions imposed by the Directorate of Defense Trade Controls in order to resume standard submission of applications, not requiring an exception to policy as described in Section 127.11 of the ITAR.
- d. I am not authorized by the applicant to certify the conditions of 22 CFR § 126.13. The applicant and all of the parties to the transaction can meet in full the conditions of 22 CFR § 126.13 as listed above. Please see the attached letter from an official that is authorized by the applicant to certify to the conditions of 22 CFR § 126.13.
- e. I am not authorized by the applicant to certify the conditions of 22 CFR § 126.13. The applicant or one of the parties of the transaction cannot meet one or more of the conditions of 22 CFR § 126.13 as listed above. A request for an exception to policy, as described in Section 127.11 of the ITAR, and a letter from an official that is authorized by the applicant to certify to the conditions of 22 CFR § 126.13 are attached.
- f. I am not authorized by the applicant to certify the conditions of 22 CFR § 126.13. The applicant or one of the parties of the transaction cannot meet one or more of the conditions of 22 CFR § 126.13 as listed above. However that party has met the conditions imposed by the Directorate of Defense Trade Controls in order to resume standard submission of applications, not requiring an exception to policy as described in Section 127.11 of the ITAR. Please see the attached letter from an official that is authorized by the applicant to certify to the conditions of 22 CFR § 126.13.

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## AMENDING A LICENSE

Validate Form

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Save

Close

**\* Compliance with 22 CFR 130 (Select one)**

- This transaction does not meet the requirements of 22 CFR 130.2
- This transaction meets the requirements of 22 CFR 130.2. The applicant or its vendors **have not** paid, nor offered, nor agreed to pay, in respect of any sale for which a license or approval is requested, political contributions, fees or commissions in amounts as specified in 22 CFR 130.9(a).
- The applicant or its vendors **have** paid, or offered, or agreed to pay, in respect of any sale for which a license or approval is requested, political contributions, fees or commissions in amounts as specified in 22 CFR 130.9(a). Information required under 22 CFR 130.10 is attached.
- I am not authorized by the applicant to certify the conditions of 22 CFR 130.9(a). Please see the attached letter for such certification.

**\*Signature**

Signature

**23. License to be to: (Enter name, address and phone number)**

[This block is inactive on electronic form.]

Same as Block 5       Hold for Pickup

Name   
Address   
City   
State  ZIP Code   
Telephone #



## Renewal/Replacement Licenses



- Renewals submitted for review 60 days prior to expiration of current authorization
  - Copy of current authorization
  - Cover letter explaining need for continued activity and shipment summary for unshipped balances
  - Ensure USML categories are post ECR.
- Replacement package submitted as needed
  - Requires same information as renewal package with emphasis on need for replacement
- Current authorization is revoked

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## SUMMARY

- Get registered
- Your success is dependent upon telling the story and providing detailed information
  - Answer the who, where, what, why and when
  - Explain in plain English – spell out acronyms
  - Ensure all supporting documentation is included
- Track the status - it's your application
- Understand, implement and manage your approvals
- Train! Train! Train!
- Maintain good records and recordkeeping log!

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