DS-XXXX

PART A
Broker Name_____Broker Registration Code_____Reporting Period
Certification: The applicant or the chief executive officer, president vice-presidents, other senior officers or officials (e.g. comptroller, treasurer, general counsel) or any member of the board of directors in the subject of an indictment for or has been convicted of violating any foreign criminal statutes dealing with the subject mater of those U.S. criminal statues enumerated in 120.27 of this subchapter, or are ineligible to contract with, or to receive a license or other approval to import defense articles or defense services from, or to receive an export license or other approval, or to receive a license or other approval to engage in the business of brokering from any agency of a foreign government. A person subject to any such status under foreign law shall be deemed generally ineligible.
Signature: _____

PART B. Prior Written Approval

DDTC No.	Additional Info	SME	Consideration Received	Consideration Payor/source	Activity
text box	text box	Y/N	text box	text box	Y/N

PART C.   Exemption

Exemption Citation	Prior Written Approval	Other Written Approval	Describe Activity	Role of Persons	Nationality of Persons	Consideration Received	Consideration Payor/source	Territory	USML Cat/sub
Text box	text box	test box	text box	text box	text box	text box	text box	drop dwn	drop dwn

Continued

SME	Military Designation/ Model Number	Source	Quantity	Value	Security Classification	End Use	End User	Third Party Transfer	DCS or FMS
Y/N	Text box	text box	text box	text box	text box	text box	text box	text box	text box

Rev 3/27/08

U.S. Department of State
Instructions for Reporting Brokering Activities
In accordance with 22 CFR 129.9

PART A

Broker Name	The name as it appears in Block 1 of the DS-2032 registration form (129.9(a))
Broker Reg Code	The registration code issued by DDTC to the applicant filing this report. (129.3, 129.9(a)). Registration required if exemption used.
Reporting Period	Due by January 31 of each year reporting prior calendar year activities. (129.9(a)). Report must be filed even if no Activity occurred (129.9(a)(3)
Signature	Senior officer as described in 126.13(e) and 129.4(a) and includes certification statement (129.4(e)

PART B

DDTC No	The DDTC issued authorization describing all aspects of the brokering activities. (129.9(b) and 129.8).
Additional Info	Provide information required by 129.8(b) that was not available at the time of the request for prior approval was submitted and approved. Identify specifically by ITAR entry, e.g. 129.8(b)(iii).
SME	Yes/No response (120.7. And what about the 129.7(c)(3)?)
Consideration Rec	The money or other benefits received for either a successful transaction or benefits received during the year to facilitate activities that may not have resulted in concluding a brokering transaction, e.g., retainers, fees or other benefits.
Consideration Payor/ Source	The payor or source of the benefits.
Activity	Yes or No answer for each entry. If no activity undertaken during the year under a prior written approval, complete the information in Part and mark "NO". A report must be filed each year regardless of whether or not activity occurred. (129.9(a)(3)

PART C

Exemption Citation	Enter the exemption used, e.g. 129.7(c), 129.7(d) or 129.8(b).
Prior Written Approval	If using 129.8(b), the broker should enter the prior written approval authorizing received by the Part 122 manufacturer/exporter under which the broker was listed as a party to the transaction.
Other Written Approval	If using 129.8(b), the broker should enter the license or other written authorizations received by the Part 122 manufacture/exporter under which the broker was listed as a party to the transition.

Describe Activity
Role of Persons
Nationality of Persons
Consideration Rec
Consideration Payor/
   Source
Territory
USML Cat/sub cat
SME
Military Designation/
   Model Number
Source
Quantity
Value
Security Classification
End Use
End User
Third Party
DCS or FMS