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Completing the DS-2032 Statement of Registration Form

Information must be typed into the DS-2032 Statement of Registration Form (PDF, 111KB) and attachments must be completed, scanned, and **signed** prior to submitting the electronic form to DDTC via the Electronic Form Submission (EFS) system.

DS-2032 STATEMENT OF REGISTRATION INSTRUCTIONS

OMB APPROVAL NO. 1405-0002
Expiration Date: XX/XX/XXXX

General Notes:
A. "ITAR" refers to the International Traffic in Arms Regulations (22 CFR Parts 120-130).
B. A signed copy of this form (the DS-2032) must be included at the time of submission.
C. Entities with shared ownership or control (e.g., subsidiaries and affiliates) generally may not register separately.
D. Only electronic payment of registration fees will be accepted.
E. All supporting documentation should be uploaded in block 11.
F. An organizational chart that shows all layers of the organization, through the ultimate parent (U.S. or foreign) identified in block 9, must be attached. In addition, the organizational chart should include the subsidiaries and affiliates identified in block 8. If the application does not include any subsidiaries, affiliates, or parents then an organizational chart is not required.
G. For purposes of completing the DS-2032, "foreign person" is defined in ITAR § 120.16.
H. For purposes of completing the DS-2032, "U.S. person" is defined in ITAR § 120.15.
I. Changes in certain information contained in this application must be reported promptly in accordance with ITAR § 122.4 and ITAR § 129.6.
J. All relevant documentation must be provided with the DS-2032 form at the time of submission.
K. For assistance in completing this form, contact the DDTC Response Team at 202-663-1282 or by e-mail at DDTCResponseTeam@state.gov.

Block 1: Registration action

- Select "New," "Renew," "Amend," or "Cancel" as appropriate.
- If this is a new registration, select "New," and proceed to Registration Type.
- If adding a new registration type to an existing registration (e.g. adding Broker to an existing Manufacturer registration) at renewal, select the "Renew" option.
- If adding a new registration type to an existing registration not due for renewal, select "Amend."
- If this is a renewal, enter the applicant's DDTC registration code(s) (e.g., M11111 and/or K-11111) as applicable. Select "Add" to enter a second registration code, if applicable.
- If this is an amendment, make all applicable changes to the registration information provided in the form. Required supporting documentation, provided in block 11, must be updated if affected by the changes.
- If selecting "Cancel," the applicant is notifying DDTC that it is ending its ITAR-controlled manufacturing, exporting, brokering, and/or FMS freight forwarding activities. The applicant must indicate which activities are ending.
- If removing an authorized country, FMS Freight Forwarder registrants should select "Amend" and remove the country or countries they are no longer authorized to service.

Registration type:

- Select each relevant registration type.
- U.S. persons, as defined by ITAR § 120.15, may select the following:
  - *Manufacturer/Exporter:* Person who engages in the United States in the business of either manufacturing or exporting or temporarily importing defense articles or furnishing defense services is required to register with DDTC. Manufacturers who do not engage in exporting must nevertheless register (see ITAR § 122.1).
  - *Broker:* Person who engages in ITAR § 129.2(b) who engages in brokering activities identified under ITAR § 129.2(b) is required to register with DDTC unless exempt under ITAR § 129.3(b). Registration is generally a precondition for the issuance of approval for brokering activities requested under ITAR Part 129 or the use of exemptions.
    - Brokers may not obtain export licenses. U.S. brokers that need to obtain export licenses must also be registered as an exporter (see ITAR § 129.3).
  - *FMS Freight Forwarder (Exporter):* U.S. freight forwarder under Foreign Military Sales (FMS) program must register with DDTC as an exporter. Each applicable embassy must designate a registered U.S. freight forwarder for their FMS transactions by providing a letter, issued on embassy letterhead and signed by a senior embassy official, to the Directorate of Defense Trade Controls Response Team at DDTCResponseTeam@state.gov. FMS Freight Forwarder registrations will be held pending receipt of a designation from each identified country. Likewise, designations received prior to registration will be held pending receipt of a related application.
    - The embassy designation letter should specify the contract duration, if known. If the designated U.S. freight forwarder is not the U.S. registrant, but rather a subsidiary or affiliate listed in the registration, then the embassy must specify both the designated U.S. freight forwarder and the U.S. registrant's legal name (see ITAR § 126.6(c)(6)(ii)).
  - *One-Time Exemption:* A one-time exemption from the requirement to pay registration fees is available to persons not in the business of manufacturing, exporting, brokering and/or furnishing defense articles and defense services, for the purpose of carrying out a single transaction requiring registration under the ITAR. An explanation must be attached in block 11 to describe the transaction and justification for the exemption (see ITAR § 126.3).
  - *U.S. Government:* A senior official acting in official government agency capacity may select "U.S. Government," in order to allow a U.S. government agency the ability to register and apply for export licenses or use established license exemptions (see ITAR §126.4).
- Foreign persons, as defined by ITAR§ 120.16, may select the following:
  - *Broker:* A foreign person in ITAR § 129.2(b) who engages in brokering activities identified under ITAR § 129.2(b) is required to register with the DDTC unless exempt under ITAR § 129.3(b). Registration is generally a precondition for the issuance of approval for brokering activities required under ITAR Part 129, or the use of exemptions (see ITAR § 129.3).
    - Note that foreign brokers under the ITAR may not obtain export licenses.
  - *Foreign Government:* A senior official (acting in an official foreign embassy capacity) may select "Foreign Government," in order to allow a foreign government the ability to register and to apply for export licenses or use established license exemptions (see ITAR § 126.6(c)(6)(i)).

If registering as an FMS Freight Forwarder identify authorized countries

- An FMS Freight Forwarder must list all countries it has been authorized to support as U.S. registrant, listed subsidiary, and/or listed affiliate. If an authorization is canceled or otherwise lapses, FMS Freight Forwarders must update the registration to reflect the change.

If renewing a lapsed registration

- Select "Yes" or "No" to indicate whether ITAR-controlled business was conducted during the lapse. If "Yes," provide the number of months during the lapse, and within the previous five years, during which ITAR-controlled business occurred. Back registration fees must be paid by the applicant for those months.
- Indicate whether a voluntary disclosure has been submitted regarding the conduct of ITAR business during the lapse (see ITAR § 127.12 for guidance regarding submission of voluntary disclosures).

If broker renewal:

- Indicate whether brokering activity, both successful and unsuccessful, occurred during the concluding registration period. If "Yes," complete the DS-2032 brokering report supplement with the information specified by ITAR § 129.10. If extra space is required, a supplement may be uploaded in block 11. The brokering report should cover all brokers identified on the DS-2032. A "No" response satisfies the requirement in ITAR § 129.10(c).

If amending a registration:

- If amending the registration, all relevant blocks must be updated and any relevant supporting documentation submitted in block 11 (e.g. an organizational chart) must be updated to reflect the amendment.

If canceling a registration, certify cessation of ITAR-controlled activities.

- Leave this box empty if not cancelling a registration.
- Select the applicable registration type (e.g. "Manufacturer") to notify DDTC that applicant intends to let its registration lapse at the end of the current period. If cancelling multiple registrations, select all registration types that apply. By completing this section the applicant certifies that it will no longer engage in the ITAR-controlled business activities indicated.

Block 2: Applicant is a "U.S. Person"

- Indicate whether the applicant meets the definition of "U.S. Person" under ITAR § 120.15. If "Yes," attach in block 11 documentation of U.S. Person status. Acceptable forms of documentation of U.S. person status include, but are not limited to, a copy of: (1) a current U.S. passport, (2) a Green Card or other lawful permanent residence document, and (3) U.S. incorporation materials.

Block 3: Foreign ownership/control of applicant

- Select "Yes," if the applicant is foreign owned or controlled under ITAR § 120.37. Select "No" if not.
- Indicate whether a foreign person owns, or foreign people own, 25% or more of the outstanding voting securities of the applicant. If selecting "Yes," the applicant may address resulting presumption of foreign control by uploading an explanation in block 11.

Foreign persons (including foreign governments) from countries specified in ITAR § 126.1:

- Select "Yes" if at least one person from a country specified in ITAR § 126.1 has the authority or ability to establish, or direct, the general policies and/or day-to-day operations of the applicant. Select "No" if not.
- Select "Yes" if at least one person from a country specified in ITAR § 126.1 holds 5% or more of the applicant's voting securities. Select "No" if not.

Block 4: Applicant's organizational type:

- Select organization type as appropriate.
- "Educational Institution" should be selected if the applicant is a university, college, vocational school or other post-secondary educational institution.
- "Individual" should only be selected if the applicant is a natural person acting in his or her personal capacity. If the applicant is an individual applying on behalf of a sole proprietorship, or other legal entity, "Individual" should not be selected.
- Nonprofit fee:
  - Registrants who are wholly exempt from income taxation pursuant to 26 U.S.C. 501(c)(3) must attach proof of such status (i.e., IRS certification form) in block 11 to qualify for a fee reduction.
  - The IRS certification must apply to all entities/subsidiaries/affiliates listed in the registration submission.
- If "Other" is selected, attach an explanation of the organizational structure in block 11.
- New and renewing applicants must attach documentation issued or endorsed by the relevant government authority authorizing the applicant to engage in business in block 11. For U.S. applicants, this can include articles of incorporation, articles of organization, a partnership agreement, or a State government-issued certificate of good standing. Applicants selecting "Individual" do not need to upload this documentation.
- Documents that are not in English should be accompanied by a complete translation.
- By attaching government issued or endorsed documentation, you are making the representation that the applicant is in good standing with the subject government authority. If the applicant is not in good standing, you must include an explanation with the attached documentation.
- The legal name provided in the documentation must match the name provided in block 5 of this form.
- The applicant should check the box if it has only a foreign parent (or only foreign parents) and intends to list any affiliates.
- Applicants with affiliates, but without a U.S. parent (e.g. foreign ownership of several affiliated U.S. entities), must attach a written designation, provided by the foreign parent, indicating that the applicant will be the primary affiliate for the purposes of registration with DDTC and will therefore exercise control over the consolidated registration of affiliates. The designation should be attached in block 11.

Block 5:

- Complete all applicable fields.
- Enter the company, organization, or individual's legal name.
- Provide required primary physical address.
- Provide a mailing address, if different from the applicant's primary physical address.
- A foreign applicant must include the full international dialing code (including country and city code, if applicable) when providing its telephone number.
- Note that the highest U.S. parent (ultimate or intermediate) engaged in ITAR-controlled activities in a corporate family must be the applicant. If the applicant (block 5) indicates that a U.S. parent (block 9) is engaged in ITAR activities, the registration may be rejected.
- The point of contact (POC) designated by the applicant is the individual to whom all registration related correspondence will be sent (e.g. the empowered official, or other individual, responsible for registration and compliance).
- The applicant should provide the designated POC's title, primary telephone number, and e-mail address.
- The applicant may choose to provide a secondary e-mail address that it also wishes to receive DDTC correspondence (e.g. a distribution list associated with the applicant's export compliance department). This address should be provided in the "Second POC E-Mail Address" field. Please note the primary contact will still receive DDTC correspondence.

Third Party Point of Contact

- By completing this optional section, the applicant: (1) represents that the designated representative is empowered to represent the applicant with regard to registration-related issues, and (2) authorizes DDTC to contact the designated representative regarding registration issues and, as necessary, provide and discuss registration and other related information.

Block 6: Members of the board of directors, senior officers, partners and owners:

- Complete this section for each identified natural person or entity. Add additional names using the "Add" button.
- Applicants who have selected organizational type "Individual" should complete this section. Documentation of U.S. person status uploaded in response to block 2 does not need to be provided more than once.
- All owners of 5% or more of the applicant's voting securities must be listed.
- Do not provide the requested information in an attachment.
- Complete all required fields.
- An owner may be a natural person or entity. If an entity, be sure to select the "Entity" option.
- The "Position/Title" field should be used to capture the person or entity's relationship with the applicant (e.g. "Board Member").
- Acceptable forms of documentation of U.S. person status include, but are not limited to copies of: (1) a current U.S. passport, (2) a Green Card or other lawful permanent residence document, and (3) U.S. incorporation materials.

Indicted or Otherwise Charged

- Indicate whether the named person or entity has ever been charged as described. If so, provide relevant documentation in block 11.

Block 7: U.S Munitions List categories relevant to the applicant's manufacturing, exporting, and/or brokering activities:

- The full U.S. Munitions List (USML) is available at ITAR § 121.1.
- Select all USML categories that apply.
- Only select Category XXI, Articles, Technical Data, and Defense Services Not Otherwise Enumerated, if you have a Commodity Jurisdiction (CJ) determination issued by DDTC indicating the item is covered under Category XXI. If selected, enter the supporting CJ number or numbers.

Block 8: U.S. or Foreign Subsidiaries and Affiliates

- Select "No" if the applicant has no U.S. or foreign subsidiaries or affiliates in the business of manufacturing, exporting, or brokering defense articles or defense services.
- Block 8 must be completed for any relevant U.S. or foreign subsidiary or affiliate. Do not provide the requested information in an attachment.
- If the applicant is only applying for registration as a broker, only those subsidiaries or affiliates that are brokers should be listed.
- Indicate whether the subsidiary or affiliate is a U.S. Person pursuant to ITAR § 120.15.
- Check blocks indicating applicable defense activities (e.g., "Exporter").
- A subsidiary or affiliate controlled by the applicant should only be listed if it is engaged in the manufacture, export, and/or brokering of defense articles or defense services.

For affiliate: Controlled by applicant?

- Indicate "Yes" or "No," as appropriate if the applicant has (1) the authority and/or ability to establish or direct the general policies or day-to-day operations of the affiliate, and/or (2) 25% or more of the affiliate's outstanding voting securities or equity and no other person controls an equal or larger percentage.

For affiliate: Countries specified by ITAR § 126.1:

- Indicate whether a foreign person from a country specified in ITAR § 126.1 has, or foreign persons from ITAR 126.1 countries have, the authority or ability to establish and/or direct the general policies and/or day-to-day operations of the affiliate.
- Indicate whether a foreign person from a country specified in ITAR § 126.1 controls, or foreign persons from ITAR 126.1 countries control, 5% or more of the applicant's voting securities.

Remove subsidiary or affiliate

- Select the subsidiary or affiliate being removed and the relevant explanation from the drop down list (e.g., "Divestiture").
- If selecting "Other" as the reason for a subsidiary or affiliate's removal, upload a concise description of the reason in block 11.

Block 9: List all Parents

- If the applicant has no U.S. or foreign parents (intermediate or ultimate), indicate "No" and move to block 10.
- The ultimate parent should be listed first, with any intermediate parents following. The order of parents listed should match the order reflected in the applicant's organizational chart.
- Do not provide the requested information in an attachment.
- Indicate whether each entry is an intermediate or ultimate parent. Only one ultimate parent should be listed.
- Indicate whether each parent (intermediate or ultimate) is a U.S. person as defined by ITAR § 120.15. The highest U.S. parent (intermediate or ultimate) involved in ITAR-controlled activities must be the applicant in block 5.
- Indicate whether each parent entity is government owned or controlled.
- If removing a parent entity (intermediate or ultimate), select the parent being removed and provide a concise, but complete, explanation for the removal in the accompanying text box. For example: "Parent [X] completed the spin-off of Applicant [Y] on [date]. Parent [X] no longer has any business relationship with Applicant [Y], and maintains no ownership interest or control. Updated documentation is attached where relevant."

Block 10: Does the applicant have written policies and procedures for compliance with the ITAR (including, but not limited to, § 122.5)?

- The applicant should indicate whether it has written polices and procedures for ITAR compliance. Note that guidelines for preparing a compliance program can be found at DDTC's website at https://www.pmddtc.state.gov/compliance/index.html

Block 11: Statement of Registration

- The senior officer completing the application on behalf of the applicant is required to warrant the truth of all statements made on the DS-2032. The applicant should answer all questions within this block and upload any requested documentation.
- The senior officer must affirm the status of the applicant, certain corporate family members, and officers with respect to certain criminal indictments and/or convictions (see ITAR § 120.27) and contract and/or license eligibility.
- The General Services Administration's System for Award Management database (available at www.sam.gov) and the Consolidated Screening List (available at www.export.gov) are valuable resources regarding the indictment and/or conviction status and contract and/or license eligibility status of named parties. These sites, while helpful, are not all-inclusive and additional screening and/or research may be required.
- For each person or entity that has been indicted or otherwise charged, or is ineligible to contract with and/or to receive a license from the U.S. Government, the applicant must include an explanation in block 11 along with any relevant documentation. Documents uploaded per block 6 do not need to be uploaded more than once. Examples of documents that should be uploaded include (but are not limited to): indictments, reinstatement letters, and government ineligibility notices.

Supporting Documentation

- Check the applicable blocks to indicate you are submitting the associated supporting document(s) with your registration submission.
- Supporting documents that are not in English should be accompanied by a complete translation.
- Documents should be scanned and uploaded electronically, absent guidance to the contrary.
- Each supporting document must be scanned as a separate file.
  - Organizational chart – an organizational chart is required if parents, subsidiaries, or affiliates are entered in block 8 and/or block 9.
  - Foreign parent designation – a designation is required if the applicant has no U.S. parent but has foreign parent (block 9) and one or more affiliates (block 8).
  - Explanation of control without ownership – the applicant may upload an explanation, based on its response to the questions in block 3.
  - IRS nonprofit authorization – IRS documentation is required if selecting "Nonprofit" in block 4.
  - Documentation of U.S. Person status – as required by block 2.
  - SSN Alternate or Equivalent – documentation should be uploaded if required by block 6 and not previously uploaded.
  - Broker activity report – a broker activity report is required if brokering activity (successful or unsuccessful) is reported in block 1 and/or block 8.
  - Explanation for Other entity type – if "Other" is selected, provide an explanation if the applicant's organizational type does not fit within one of the options provided.
  - Indicted/Charged/Convicted status documentation – if applicable, this information is required under block 6 and block 11. Documents only need to be uploaded once. Note that the block 11 requirement is more expansive than the block 6 requirement.
  - Contract and license eligibility status documentation – documentation required in block 11 regarding ineligibility to contract with, or to receive a license or other approval to import/export defense articles or defense services should be uploaded here. Documentation may include a copy of the System for Awards Management database entry (available at www.sam.gov) and/or documentation regarding the period of ineligibility.
  - Proof applicant is currently authorized to do business – all applicants must upload documentation issued or endorsed by the government authority enabling applicant to do business in the U.S. or in a foreign country. in block 4, except those selecting organization type "Individual." Include English translation for documents in foreign language.
  - Subsidiary/affiliate removal type "other" explanation – documentation should be uploaded if the reason for removing a subsidiary/affiliate from a registration is not one of the options listed in block 8.
  - Other supporting documentation (all blocks) – the applicant may upload any other materials it believes are relevant to its application.

Senior Officer Details and Signature

- Enter an active e-mail address for the signing officer.
- A senior officer empowered by the applicant (e.g., chief executive officer, president, comptroller, treasure, general counsel) listed in block 6 must sign the form. The senior officer must be a U.S. person (under ITAR § 120.15), unless the applicant is registering as a foreign broker or foreign government.
- Only electronic payment will be accepted for registration fees. See registration fee structure at https://www.pmddtc.state.gov/registration.
- Electronic payment must be made through Pay.gov.

Privacy Act Statement

AUTHORITIES: U.S. Department of State's authorities to register persons engaged in the business of manufacturing, exporting or importing any defense article or defense service are 22 U.S.C. 2778(b)(1)(A)(i), 22 CFR Part 122, and Executive Order 13637. The authorities to register brokers are 22 U.S.C. 2778(b)(1)(A)(ii), 22 CFR 129.3, and Executive Order 13637. The authority to solicit Social Security numbers is Executive Order 9397.
PURPOSE: The purpose of registration is to provide the U.S. Government with necessary information on individuals and entities engaged in certain manufacturing, exporting and brokering activities.
ROUTINE USES: The information solicited on this form is made available to appropriate agencies for law enforcement or pursuant to a court order. It may also be used to send required reports to Congress about certain defense transactions.
SOCIAL SECURITY NUMBER: Disclosure of the Social Security number(s) is voluntary and for the purpose of facilitating coordination with the Department of Homeland Security to review the registration statement for law enforcement concerns in accordance with 22 U.S.C. 2778(b)(1)(B). Refusal to provide requested Social Security number, by itself, will not result in registration being denied, but may result in delays in U.S. Government action on the registration request.

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