

## BROKERING LICENSE REQUIREMENTS - ITAR PART 129.6

- **Cover Page**
  - Transaction ID (optional)
  - Documents
    - No drop-down list of options for documents. User can enter a description/title of the document and attach what they want.
- **Block 1 - 2 - Basic Information**
  - Date Prepared (auto populated and required)
  - Applicant Information
    - Registration Code (required)  
*Business Rule - Registration Code must be a K Code.*
    - Name (required)
    - Attention (required)
    - Address (required)
    - City (required)
    - State
    - Zip/Postal Code
    - Country (required)
- **Block 3 - Certification Statement**
  - Select appropriate statement(s) (required)
    - A
    - B
    - C
    - D
- **Block 4 - Describe Brokering Activity**
  - Action to be taken by the applicant to facilitate the manufacture, export, import, or transfer of a defense article or defense service (which may be referred to as a “defense article or defense service transaction”)
- **Block 5 - Persons who may participate in brokering activity**
  - **Brokering Participants:** (at least 1 required)
    - Name (required)
    - Address (required)
    - City (required)
    - State
    - Zip/Postal Code
    - Country (required)
    - Nationality (required)
    - **Place of Business Information:**
      - Name (required)
      - Address (required)
      - City (required)
      - State
      - Zip/Postal Code
      - Country (required)
  - Add
- **Block 6 - 9 - Description of Defense Article or Defense Services that may be involved**
  - 6. Commodity Information (at least 1 required)
    - USML Category (required)
    - USML Sub Category (required)
    - Is defense article significant military equipment (SME)?

- Name or Military Nomenclature (required)
  - Estimated Quantity (required)
  - Estimated U.S. dollar value (required)
  - Line Item total (auto calculated)
  - Security Classification (required)
  - Add (ability to add multiple commodities)
- o 7. Total Value (auto calculated)
- o 8. End User (at least 1 required)
  - Name (required)
  - Address (required)
  - City (required)
  - Country (required)
  - Add (ability to add multiple end users)
- o 9. End Use (required)
- **Block 10** – Related to direct commercial sale or FMS program (required)
  - o Statement whether brokering activities are related to a sale through direct commercial sale or under the U.S. Foreign Military Sales program or other activity in support of the U.S. Government
- **Block 11** - Empowered Certification Statement (required)
  - o Certification that the request is complete and accurate
    - If at the time of submission certain information required in Block 4, 5, 6, 7, 8, 9 or 10 is not yet available, this fact must be stated and explained in the certification required.
  - o Signature (Empowered official)

On successful submission, assign case number. Numbering convention is BA-L###-YY. Number resets yearly back to 001.

Follow same rules for internal business rule validation...

- Verify registration code is valid (exists, name and code match and not expired)
- Run names through watchlist
- Flag any licensing warnings (countries)
- Assign case based on USML category



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First Previous Next Last Save Sign Submit Print Close

C

1-2

3

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6-9

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11

Electronic Form Version Number: 9.2

OMB APPROVAL NO. 1405-0142

EXPIRATION DATE: 01/31/2019

\*ESTIMATED BURDEN: 2 HOURS

\* PAPERWORK REDUCTION ACT STATEMENT: Public reporting burden for this collection of information is estimated to average 2 hours 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 (PM/DDTC), Washington, D.C. 20037.

### Brokering License - ITAR Part 129.6

1. Date Prepared
2. Applicant Information
3. Certification Statement
4. Describe Brokering Activity
5. Persons who may participate in brokering activity
6. Commodity Information
7. Total Value
8. End User
9. End Use
10. Related to direct commercial sale or FMS program
11. Empowered Certification Statement

Transaction Number: [?](#)

#### Documents

Add Document



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First Previous Next Last Save Sign Submit Print Close

C 1-2 3 4 5 6-9 10 11

DS-4294, Page 1 of 7

**\* 1. Date Prepared:**

**2. Applicant Information**

\* Registration Code ⓘ

\* Name

\* Attention

\* Address

\* City

State  ZIP Code

\* Country



First Previous Next Last Save Sign Submit Print Close

C

1-2

3

4

5

6-9

10

11

DS-4294, Page 2 of 7

**3. Certification Statement**

- a.  The applicant or the chief executive officer, president, vice presidents, secretary, partner, member, other senior officers or officials (e.g., comptroller, treasurer, general counsel), or any member of the board of directors, or any other person involved in the brokering activities enumerated in the request for approval as defined in §129.2 is **NOT** the subject of an indictment or has been otherwise charged (e.g., charged by criminal information in lieu of indictment) for or has **NOT** been convicted of violating any of the U.S. criminal statutes enumerated in §120.27 of this subchapter, and is **NOT** 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 from, any agency of the U.S. Government.
- b.  The applicant or the chief executive officer, president, vice presidents, secretary, partner, member, other senior officers or officials (e.g., comptroller, treasurer, general counsel), or any member of the board of directors is the subject of an indictment or has been otherwise charged (e.g., by criminal information in lieu of indictment) for, or has been convicted of, violating any of the U.S. criminal statutes enumerated in §120.27 of this subchapter;
- c.  The applicant or the chief executive officer, president, vice presidents, secretary, partner, member, other senior officers or officials (e.g., comptroller, treasurer, general counsel), or any member of the board of directors is 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 from, any agency of the U.S. Government;
- d.  To the best of the applicant's knowledge, any other person involved in the brokering activities enumerated in the request for approval as defined in §129.2 is the subject of an indictment or has been otherwise charged (e.g., charged by criminal information in lieu of indictment) for or has been convicted of violating any of the U.S. criminal statutes enumerated in §120.27 of this subchapter, or is 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 from, any agency of the U.S. Government.





# U.S. DEPARTMENT OF STATE

DIRECTORATE OF DEFENSE TRADE CONTROLS

First Previous Next Last Save Sign Submit Print Close

C

1-2

3

**4**

5

6-9

10

11

DS-4294, Page 3 of 7

#### 4. Describe Brokering Activity

*Action to be taken by the applicant to facilitate the manufacture, export, import, or transfer of a defense article or defense service (which may be referred to as a "defense article or defense service transaction")*



First Previous Next Last Save Sign Submit Print Close

C

1-2

3

4

5

6-9

10

11

DS-4294, Page 4 of 7

5. Persons who may participate in brokering activity ⓘ

Brokering Participant #1:

\* Name

\* Address

\* City

State

ZIP Code

\* Country

\* Nationality

Place of Business Information:

\* Name

\* Address

\* City

State

ZIP Code

\* Country

Remove

Add



First Previous Next Last Save Sign Submit Print Close

C 1-2 3 4 5 6-9 10 11

Description of Defense Article or Defense Services that may be involved ⓘ

6. Commodity Information

Commodity Information #1

\* USML Category

Category ▼

\* USML Sub Category

▼

Defense article is significant military equipment (SME)

\* Name or Military Nomenclature

\* Estimated Quantity

\* Estimated U.S. dollar value

Line Item Total

0

\* Security Classification

Remove

Add

7. Total Value

\$0



**8. End User**

**End User #1**

\* Name

\* Address

\* City

\* Country

Remove

Add

**9. End Use**



# U.S. DEPARTMENT OF STATE

DIRECTORATE OF DEFENSE TRADE CONTROLS

First Previous Next Last Save Sign Submit Print Close

C

1-2

3

4

5

6-9

10

11

DS-4294, Page 6 of 7

**\* 10. Related to direct commercial sale or FMS program**

*Statement whether brokering activities are related to a sale through direct commercial sale or under the U.S. Foreign Military Sales program or other activity in support of the U.S. Government*

Incomplete block 5 and 10, therefore explanation text box is required.



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First Previous Next Last Save Sign Submit Print Close

C 1-2 3 4 5 6-9 10 11

DS-4294, Page 7 of 7

**11. Empowered Certification Statement**

I ,  
certify that the request is complete and accurate.

- If at the time of submission certain information required in Block 4, 5, 6, 7, 8, 9 or 10 is not yet available, this fact must be stated and explained in the certification required.

**Explanation why certain information required in Block 4, 5, 6, 7, 8, 9 or 10 is not yet available at the time of submission**

Complete and valid Blocks 4 -10 information, therefore explanation block disabled.



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First Previous Next Last Save Sign Submit Print Close

C 1-2 3 4 5 6-9 10 11

DS-4294, Page 7 of 7

**11. Empowered Certification Statement**

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