## BROKERING LICENSE REQUIREMENTS - ITAR PART 129.6

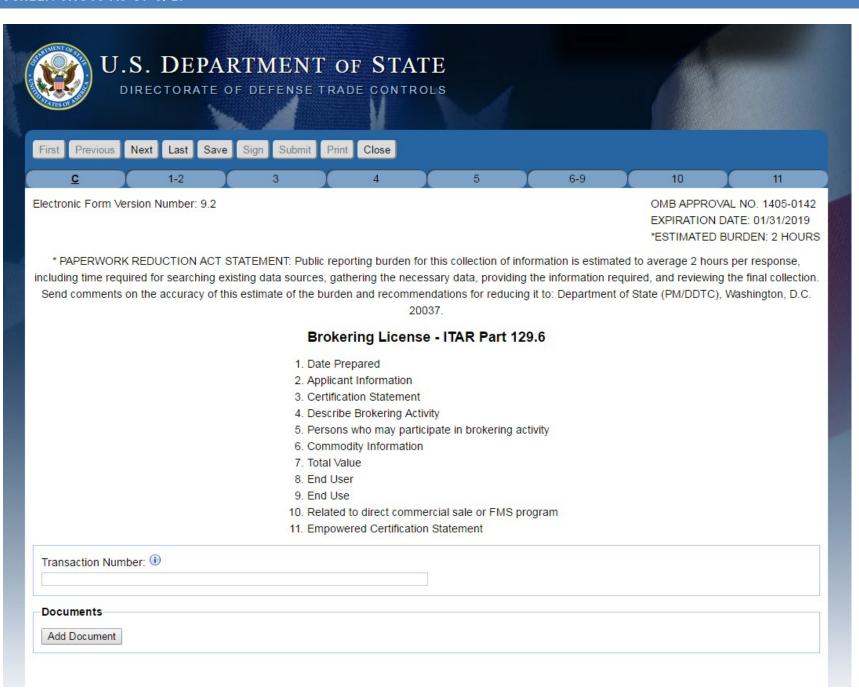
- Cover Page
  - O Transaction ID (optional)
  - o Documents
    - No drop-down list of options for documents. User can enter a description/title of the document and attach what they want.
- Block 1 2 Basic Information
  - o Date Prepared (auto populated and required)
  - 0 Applicant Information
    - 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
  - o Select appropriate statement(s) (required)
    - A
    - B
    - C
    - D
- Block 4 Describe Brokering Activity
  - O 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
  - o 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)
  - o 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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## 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.



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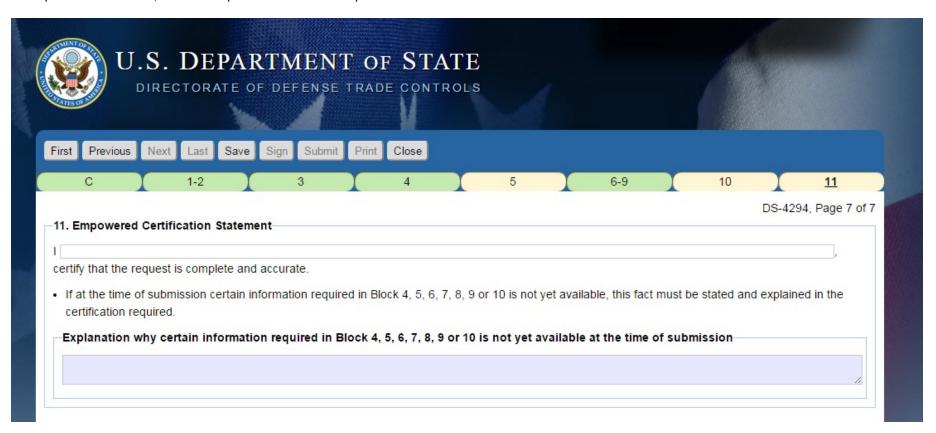
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Incomplete block 5 and 10, therefore explanation text box is required.



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

