



# U.S. DEPARTMENT OF STATE

DIRECTORATE OF DEFENSE TRADE CONTROLS

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Electronic Form Version Number: 1.0

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

1.    [?](#)



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**\* 1. Date Prepared:**

05/01/2018

**2. Applicant Information**

\* Registration Code

\* Name

\* Attention

\* Address

\* City

State/Province

Zip/Postal Code

\* Country



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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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**\*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")*



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5. Persons who may participate in brokering activity ⓘ

Brokering Participant #1:

\* Name

\* Address

\* City

State/Province

Zip/Postal Code

\* Country

\* Nationality

Place of Business Information:

\* Name

\* Address

\* City

State/Province

Zip/Postal Code

\* Country

Remove

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

6. Commodity Information

Commodity Information #1

\* USML Category  \* USML Sub Category

Is defense article significant military equipment (SME)?

\* Name or Military Nomenclature

\* Estimated Quantity  \* Estimated U.S. dollar value

Line Item Total

\* Security Classification

Remove

Add

7. Total Value

\$0

8. End User

End User #1

\* Name

\* Address

\* City

\* Country

Remove

Add

9. End Use



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**\* 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



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**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.

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