

DSP-5 - Application for Permanent Export of Unclassified Defense Articles, Related Technical Data, and Defense Services

## **BLOCK 1**

### **Application for Permanent Export of Unclassified Defense Articles, Related Technical Data, and Defense Services**

#### **\*Transaction Number**

Enter your internal submission company identifier for this application.

**Classified Information must NOT be included, or referred to, in the form.**

Classified information must be sent separately to PM/DDTC in accordance with Defense Counterintelligence and Security Agency (DCSA) guidelines. For issues that may pertain to classified information, contact the DDTC Response Team.

- Classified information is being sent under separate cover  
Select this field if you are going to send classified information that is pertinent to the application under separate cover to the DDTC in accordance with the DCSA guidelines.

#### **Upload Document**

##### **Document Type**

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## **BLOCK 2**

### **DDTC Registration Code**

Select your registration code. If no codes are displayed, confirm you have an active registration code prior to submitting a license application.

#### **\*Registration Code**

Select your registration code for this application.

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## **BLOCK 3**

### **Country of Ultimate Destination**

Select at least one Country of Ultimate Destination. This is the country where the commodities will ultimately be used or reside. For each Country of Ultimate Destination identified in Block 3, there must be at least one Foreign End-User identified in Block 14. If the commodity(ies) to be shipped include hardware, only one Country of Ultimate Destination may be selected.

**\*Destination Country** (drop down menu)

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## **BLOCK 4**

### **Probable Port of Exit from U.S.**

Enter the known or expected U.S. Customs port from which the defense article(s) will be exported. Up to two ports can be entered, each in a separate field.

#### **Probable Port of Exit from U.S. 1**

Enter your exit port 1 for this application.

#### **Probable Port of Exit from U.S. 2**

Enter your exit port 2 for this application.

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## **BLOCK 5**

### **Applicant**

Provide all Applicant information. If you are a subsidiary provide your parent company's information in the Applicant information and check the Subsidiary checkbox to provide your information.

#### **Applicant Is**

Select the applicant's business type. Select either Government, Manufacturer, Exporter, or Freight Forwarder.

**Subsidiary**

Select if the applicant/requester is a subsidiary of the PM/DDTC registered company to which the PM/DDTC registration code belongs. Note that the subsidiary must be listed on the registered company's DDTC registration in order to apply for the license.

#### **Name (read-only)**

*\*\*\*The registrant's name is auto-populated based on the registration\*\*\**

#### **\*Attention**

Enter the first and last name of the person who is responsible for this application for the applicant.

#### **Address**

Incomplete/imprecise addresses or use of P.O. boxes will result in your request being RWAed.

#### **City**

#### **State**

#### **Zip Code**

#### **\*Telephone**

## **Extension**

*\*\*\*If Subsidiary is checked, then the following options show up\*\*\**

## **Subsidiary Information**

The Subsidiary Information fields (Name, Attention, Address, City, State, Zip Code, Telephone Number and Extension) become required when the user selects the Subsidiary checkbox. When field becomes required, a response must be identified.

### **\*Select a Subsidiary**

Select a Subsidiary to populate the form below

### **Name**

*\*\*\*Subsidiary's name is auto-populated based on the registration\*\*\**

### **\*Attention**

Enter the first and last name of the person who is responsible for this application for the applicant.

### **Address**

Incomplete/imprecise addresses or use of P.O. boxes will result in your request being RWAed.

### **City**

### **State**

### **Zip Code**

### **\*Telephone**

### **Extension**

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## **BLOCK 6**

### **U.S. Government Point of Contact (Optional)**

Enter an U.S. Government contact if applicable. To enter one or more U.S. Government contacts, click the "Add Entry" button.

### **\*Name**

The individual identified in this block must be an employee of the U.S. Government. Do not list an employee of the Directorate of Defense Trade Controls.

### **\*Telephone**

## **Extension**

### **\*Agency**

Select the Agency which the U.S. Government contact belongs to. If the appropriate agency is not available, select "Other." The "Please specify" field will appear for you to enter in the agency name.

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## **BLOCK 7**

### **Applicant Point of Contact**

Provide all information for individuals who are familiar with the transaction and who can respond to questions from PM/DDTC or other government agencies. The individual(s) should be prepared to answer procedural and/or technical questions. To enter one or more applicant contacts, click the "Add Entry" button.

### **\*Name**

### **\*Telephone**

### **Extension**

### **\*Email**

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## **BLOCK 8**

### **Description of Transaction**

Provide any related license numbers that apply to the sections below. When a previous license or agreement (Approved, Disapproved or RWAed) is identified, please provide a copy of the license/application/relevant pages of agreement including any proviso letters issued with your application. An electronic copy of the previous license, agreement or case can be attached to the "Precedent (identical/similar) Cases" document type.

### **\*A. This application represents**

Select whether this transaction is a completely new shipment or the unshipped balance under a previously issued license that has expired or is about to expire, or a replacement license.

- ONLY a completely new shipment
- ONLY the unshipped balance under license number  
**\*Enter applicable previous license number**
- ONLY a replacement license for license number  
**\*Enter applicable previous license number**

**\* B. The IDENTICAL commodity**

*NOTE: You must first select the appropriate check boxes under this section to add license number(s)*

- Was licensed to the country in block 3 of the first page under license numbers.**  
Select if there were previous licenses for the defense article(s) to the country in Block 3.  
**\*Related license #**
- Was licensed to other countries under license numbers.**  
Select if there were previous licenses for the defense article(s) to country(ies) not listed in Block 3.  
**\*Related license #**
- Was returned without action under voided license numbers.**  
Select if a license was denied due to a voided license.  
**\*Related license #**
- Was denied to the country in block 3 of the first page under voided license(s).**  
Select if there were previous licenses denied due to a voided license for the defense article(s) to the country in Block 3  
**\*Related license #**
- Was never licensed for this applicant**  
Select if a license for this applicant has never been approved, approved with proviso(s) or denied for the defense article(s).

**\* C. This application is related to an agreement**

- Not Applicable
- In furtherance of agreement number  
**\*Related agreement #**
- In support of agreement numbers  
**\*Related agreement #**

**\*D. The commodity is being financed under**

- Foreign Military Sale**  
Enter the applicable Foreign Military Sale case number(s). To enter additional case numbers, click the 'Add Case Number(s)' button.  
**\*Case Number**
- Foreign Military Financing**  
Enter the applicable Foreign Military Financing case number(s). To enter additional case numbers, click the 'Add Case Number(s)' button.  
**\*Case Number**
- Grant Aid Program**  
Enter the applicable Grant Aid Program case number. To enter additional case numbers,

click the 'Add Case Number(s)' button.

**\*Case Number**

**International Military Education and Training**

Enter the applicable International Military Education and Training case number. To enter additional case numbers, click the 'Add Case Number(s)' button.

**\*Case Number**

**U.S. Government Loan**

Enter the applicable U.S. Government Loan case number. To enter additional case numbers, click the 'Add Case Number(s)' button.

**\*Case Number**

**U.S. Government Guarantee**

Enter the applicable U.S. Government Guarantee case number. To enter additional case numbers, click the 'Add Case Number(s)' button.

**\*Case Number**

**Not Applicable**

Select if a license for this applicant has never been approved, approved with proviso(s) or denied for the defense article(s).

**E. This application is related to a disclosure filed with Defense Trade Controls Compliance?**

**Yes/No**

**\*Enter Compliance Disclosure Number**

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**BLOCKS 9-13**

**Commodities**

Provide all required commodity information. At least one commodity must be identified. To enter one or more commodities, click the "Add Commodity" button.

**Quantity Information**

**\*Quantity**

Enter the exact number for each particular item or major component. If this application is for an unshipped balanced (as indicated in Block 8a), the quantity, commodity, and values listed must reflect only the unshipped balance from the previous license.

**\*Unit Type**

Select the appropriate unit of measure for the quantity of the commodity. Do not use terms like "lots" unless deemed appropriately and fully explained in the commodity Block 10. "Lot" is generally only acceptable when used as a quantity for minor components or parts.

## **Commodity Description**

### **\*Commodity**

Provide a complete description to include model number, part number, military designation, etc. If the commodities are components or spare parts, identify the major end-item with which they are associated. When possible, indicate whether the commodity is new or used, and whether it is U.S. government surplus. If the commodity is technical data or defense services, include/list the USML hardware categories and subcategories that are related to the technical data and/or defense services.

### **\*Defense Article Type**

Select defense article type of the commodity. If hardware is being exported, a separate application is required for each country of ultimate destination.

### **USML Category**

Select the USML category and sub-category for the commodity. The USML, Part 121.1 in the ITAR, will assist you in identification of the category and sub-category for the commodity(ies) stated on your application.

**\*USML Category** (drop down menu)

**\*USML Sub-Category** (drop down menu)

*\*\*\*The following SME and DSP-83 questions only appear if the selected USML Category/subcategory is SME\*\*\**

### **Item is SME and DSP-83 is required**

**\*Is a DSP-83 attached?**

**Yes/No**

**\*If SME, and DSP-83 is not attached, state why.**

Provide a statement explaining why a DSP-83 will not be attached to the application.

**Item is MDE**

Check the box if the commodity is Major Defense Equipment (MDE).

### **\$ Value**

Provide all required dollar value information in U.S. dollars only. Line item total is auto calculated based on the quantity multiplied by the unit price. The total value cannot exceed \$999,999,999,999,999.

**\*Unit Price**

Enter the unit price in U.S. dollars. Only enter the numeric value. Do not include currency symbols or commas.

**Line Item Total**

This field is auto calculated based on Quantity and Unit Price.

**Total Value**

This field is auto calculated based on the sum of all Line Item Totals.

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**BLOCK 14  
Foreign End-User**

At least one foreign end-user must be provided. If there are multiple countries of ultimate destinations (Block 3) there must be at least one foreign end-user for each country listed. However, if this request includes the export of hardware, only one end-user may be entered. To enter one or more foreign end-users, click the 'Add Entry' button.

**\*Name**

Enter the full legal name of the foreign end-user. Do not include “subsidiary of” statements, partial address or location clarifiers, or go-by names in the Name field, unless those are part of the legal name. The end-user is the entity that will take final possession of the commodity, regardless of foreign purchaser(s) and foreign intermediate consignee(s). Note that foreign government entities must be identified, at a minimum, to the ministry-level equivalent (e.g., “Ministry of Defense of Lilliput”). Applications that only state “Government of (Country)” may be returned without action.

**\*Address**

Incomplete/imprecise addresses or use of P.O. boxes will result in your request being RWAed.

**\*City**

**\*Country**

**\*End-User Type:**

Select one of the following for entity type.

- Foreign Government Entity (e.g., a foreign armed force)
  - U.S. Government Entity (e.g., a U.S. Embassy overseas)
  - Non-Government Entity (e.g., a commercial entity or private individual)
  - Other (if the entity does not fall under one of the other categories)
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**BLOCK 15  
Manufacturer of Commodity**



At least one manufacturer of the commodity(ies) must be identified. More than one manufacturer of the commodity(ies) can be listed. To enter one or more manufacturers of the commodity(ies), click the "Add Entry" button.

**Same as Block 5**

Select 'Same as Block 5' if the Manufacturer is the same as the Applicant. When the 'same as block' checkbox is selected, any data entered will be removed and updated with the information provided from the same as block.

**\*Name**

Enter the full legal name of the manufacturer of commodity. Do not include "subsidiary of" statements, partial address or location clarifiers, or go-by names in the Name field, unless those are part of the legal name.

**\*Address**

Incomplete/imprecise addresses or use of P.O. boxes will result in your request being RWAed.

**\*City**

**\*Country**

*\*\*\* State and Zip only appear when country is United States \*\*\**

**\*State**

**\*Zip Code**

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## **BLOCK 16**

### **Foreign Consignee**

At least one foreign consignee must be provided. More than one foreign consignee can be listed. To enter one or more foreign consignees, click the "Add Entry" button.

**Same as Block 14**

Select 'Same as Block 14' if the Foreign Consignee is the same as the Foreign End-User. When the 'same as block' checkbox is selected, any data entered will be removed and updated with the information provided from the same as block.

**\*Name**

Enter the full legal name of the foreign purchaser who will receive the shipment for storage, modification or for incorporation into another end-item, and for subsequent forwarding to the foreign end-user. Do not include "subsidiary of" statements, partial address or location clarifiers, or go-by names in the Name field, unless those are part of the legal name. The foreign consignee may be in a country other than the foreign end-user. Note that foreign government entities must be identified, at a minimum, to the ministry-level equivalent (e.g., "Ministry of Defense of

Lilliput”). Applications that only state “Government of (Country)” may be returned without action.

**\*Address**

Incomplete/imprecise addresses or use of P.O. boxes will result in your request being RWAed.

**\*City**

**\*Country**

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**BLOCK 17**

**Source of Commodity**

At least one source of the commodity(ies) must be provided. More than one source of the commodity(ies) can be listed. To enter one or more sources of the commodity(ies), click the "Add Entry" button.

**Same as Block 5**

Select 'Same as Block 5' if the Source is the same as the Applicant. When the 'same as block' checkbox is selected, any data entered will be removed and updated with the information provided from the same as block.

**Same as Block 15**

Select 'Same as Block 15' if the Source is the same as the Manufacturer. When the 'same as block' checkbox is selected, any data entered will be removed and updated with the information provided from the same as block.

**\*Name**

Enter the full legal name of the source of commodity. Do not include “subsidiary of” statements, partial address or location clarifiers, or go-by names in the Name field, unless those are part of the legal name.

**\*Address**

Incomplete/imprecise addresses or use of P.O. boxes will result in your request being RWAed.

**\*City**

**\*Country**

*\*\*\* State and Zip only appear when country is United States \*\*\**

**\*State**

**\*Zip Code**

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**BLOCK 18**

## Foreign Intermediate Consignee

If applicable, list all foreign intermediate consignees that may receive the goods for onward movement to the foreign consignee or foreign end-user. Otherwise select the "None" checkbox. To enter one or more foreign intermediate consignees, click the "Add Entry" button.

**None**

If there are no foreign intermediate consignees, select the 'None' check box. If the 'None' check box is selected, the 'Add Entry' button becomes inactive.

### Name

Enter the full legal name of the foreign intermediate consignee. Do not include “subsidiary of” statements, partial address or location clarifiers, or go-by names in the Name field, unless those are part of the legal name. A foreign intermediate consignee is an entity who will receive the goods for onward movement to the foreign consignee or foreign end-user without actually taking title to the goods. This includes foreign freight forwarders, customs brokers, agents or representatives, and brokers as defined in 22 CFR 129(a). A foreign intermediate consignee may be an agency or entity in a country other than the country of ultimate destination. Note that foreign government entities must be identified, at a minimum, to the ministry-level equivalent (e.g., “Ministry of Defense of Lilliput”). Applications that only state “Government of (Country)” may be returned without action.

### Address

Incomplete/imprecise addresses or use of P.O. boxes will result in your request being RWAed.

**\*City**

**\*Country**

### Role

Enter a description of the role the foreign intermediate consignee has in this transaction.

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## BLOCK 19

### U.S. Seller

Enter the U.S. seller. Note that in most cases the applicant will be the U.S. seller and only one U.S. seller may be provided. To enter a U.S. seller other than the applicant, click the "Add Entry" button.

**Same as Block 5**

Select 'Same as Block 5' if the U.S. Seller is the same as the Applicant. When the 'same as block' checkbox is selected, any data entered will be removed and updated with the information provided from the same as block.

**\*Name**

Enter the full legal name of the U.S. seller. Do not include “subsidiary of” statements, partial address or location clarifiers, or go-by names in the Name field, unless those are part of the legal name.

**\*Address**

Incomplete/imprecise addresses or use of P.O. boxes will result in your request being RWAed.

**\*City**

**\*State**

**\*Zip Code**

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**BLOCK 20**  
**Specific Purpose**

**\*Select One**

- Off-Shore Procurement
- Licensing of Foreign Persons Employed by a U.S. Person
- Furnishing of Limited Defense Services
- Other

**\*Details**

Provide a complete account of the specific purpose of the requested export. Simply stating, "For use in production of military aircraft" or "for resale" is inadequate. In order to provide rationale for the review and final U.S. Government determination, the specific details in this block should describe the intended uses, end-users, and end-use platforms of the commodities involved in the transaction. If applicable, list the RWA license number.

**\*End-Use System/Platform**

List the systems and/or platforms for which the commodity will be used on, in, or with (as described in the Details section of this block). All intended end-use systems and/or platforms must be identified. If the commodity is a system, identify the end-use platforms. If the commodity is a component or part, then identify both the end-use system and platform. For example, if the commodity is a component/part going into a remote weapons system (RWS) which will in turn be installed on an armored vehicle, then both the RWS and the vehicle must be listed. If a commodity itself is the end-use platform (e.g., a night vision goggle), then list the commodity.

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**BLOCK 21**  
**U.S. Consignor/Freight Forwarder**

At least one U.S. consignor/U.S. freight forwarder must be provided. More than one U.S. consignor/U.S. freight forwarder can be listed. To enter one or more U.S. consignor/U.S. freight forwarders, click the "Add Entry" button.

**Same as Block 5**

Select 'Same as Block 5' if the U.S. Consignor/Freight Forwarder is the same as the Applicant. When the 'same as block' checkbox is selected, any data entered will be removed and updated with the information provided from the same as block.

**\*Name**

Enter the full legal name of the U.S. consignor/freight forwarder. Do not include "subsidiary of" statements, partial address or location clarifiers, or go-by names in the Name field, unless those are part of the legal name.

**\*Address**

Incomplete/imprecise addresses or use of P.O. boxes will result in your request being RWAed.

**\*City**

**\*State**

**\*Zip Code**

## **BLOCK 22**

### **Applicant's Statement**

I, , an empowered official (22 CFR 120.67) or an official of a foreign government entity in the U.S., hereby apply for a license to complete the transaction described above; warrant the truth of all statements made herein; and acknowledge, understand and will comply with the provisions of 22 CFR 120-130, and any conditions and limitations imposed.

I am authorized by the applicant to certify the following in compliance with 22 CFR 126.13:

1. Neither the applicant, its chief executive officer, president, vice presidents, other senior officers or officials (e.g., comptroller, treasurer, general counsel) nor any member of its board of directors is:
  - a. the subject of an indictment for or has been convicted of violating any of the U.S. criminal statutes enumerated in 22 CFR 120.6 since the effective date of the Arms Export Control Act, Public Law 94-329, 90 Stat. 729 (June 30, 1976); or
  - b. 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;

2. To the best of the applicant's knowledge, no party to the export as defined in 22 CFR 120.68(a) has been convicted of violating any of the U.S. criminal statutes enumerated in 22 CFR 120.6 since the effective date of the Arms Export Control Act, Public Law 94-329, 90 Stat. 729 (June 30, 1976); 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; and

**\*22 CFR 126.13 Certification**

- a.  I am authorized by the applicant to certify that the applicant and all the parties to the transaction can meet in full the conditions of 22 CFR 126.13 as listed above.
- b.  I am authorized by the applicant to certify to 22 CFR 126.13. The applicant or one of the parties of the transaction cannot meet one or more of the conditions of 22 CFR 126.13 as listed above. A request for an exception to policy, as described in 22 CFR 127.11 of the ITAR, is attached.
- c.  I am authorized by the applicant to certify to 22 CFR 126.13. The applicant or one of the parties of the transaction cannot meet one or more of the conditions of 22 CFR 126.13 as listed above. However that party has met the conditions imposed by the Directorate of Defense Trade Controls in order to resume standard submission of applications, not requiring an exception to policy as described in Section 127.11 of the ITAR.
- d.  I am not authorized by the applicant to certify the conditions of 22 CFR 126.13. The applicant and all of the parties to the transaction can meet in full the conditions of 22 CFR 126.13 as listed above. Please see the attached letter from an official that is authorized by the applicant to certify to the conditions of 22 CFR 126.13.
- e.  I am not authorized by the applicant to certify the conditions of 22 CFR 126.13. The applicant or one of the parties of the transaction cannot meet one or more of the conditions of 22 CFR 126.13 as listed above. A request for an exception to policy, as described in 22 CFR 127.11 of the ITAR, and a letter from an official that is authorized by the applicant to certify to the conditions of 22 CFR 126.13 are attached.
- f.  I am not authorized by the applicant to certify to 22 CFR 126.13. The applicant or one of the parties of the transaction cannot meet one or more of the conditions of 22 CFR 126.13 as listed above. However that party has met the conditions imposed by the Directorate of Defense Trade Controls in order to resume standard submission of applications, not requiring an exception to policy as described in 22 CFR 127.11 of the ITAR. Please see the attached letter from an official that is authorized by the applicant to certify to the conditions of 22 CFR 126.13.

**\*Compliance with 22 CFR 130**

- This transaction does not meet the requirements of 22 CFR 130.2.
- This transaction meets the requirements of 22 CFR 130.2. The applicant or its vendors **have not** paid, nor offered, nor agreed to pay, in respect of any sale for which a license or approval is requested, political contributions, fees or commissions in amounts as specified in 22 CFR 130.9(a).

- The applicant or its vendors **have** paid, or offered, or agreed to pay, in respect of any sale for which a license or approval is requested, political contributions, fees or commissions in amounts as specified in 22 CFR 130.9(a). Information required under 22 CFR 130.10 is attached.
- I am not authorized by the applicant to certify the conditions of 22 CFR 130.9(a). Please see the attached letter for such certification.