U.S. Department of State
DIRECTORATE OF DEFENSE TRADE CONTROLS

Guidelines for Completion of a Form DSP-6
Application for Amendment of a DSP-5 License,
Permanent Export of Unclassified Defense Articles and Related
Unclassified Technical Data

The Form DSP-6 is used to request an amendment to a DSP-5 license authorized by the Directorate of Defense Trade Controls (DDTC) for the permanent export of UNCLASSIFIED defense articles (i.e. unclassified hardware and/or unclassified technical data). In accordance with 22 CFR §123.25, DDTC will consider approval of an amendment to a DSP-5 license for the following reasons:

1. Addition of a U.S. freight forwarder or U.S. consignor.
2. An obvious typographical error, the correction of which is supported by the documentation submitted with the original license request.
3. A change in the U.S. source or manufacturer of the commodity or a change in part number of the equipment originally authorized for export. When changing part numbers the requester must certify that the change will not result in an enhancement, upgrade, or change to the capability of the commodity originally authorized for export (see Block 9).
4. A change of foreign intermediate freight forwarder when that entity is transporting the equipment and will not process the defense article in any manner or use it in any way (e.g., integrate, modify).
5. A change in location of the license applicant or its subsidiary(s).
6. A change to a license due to an acquisition or merger.

Requests for changes due to change in location or because of an acquisition or merger (i.e., numbers 5 and 6 above) cannot be made until the registered applicant(s) have, in accordance with 22 CFR 122, amended the information contained in their Statement of Registration (DS-2032).

General Instructions:

1. Prior to completing your request determine:
   - That the PM/DDTC registration is valid.
   - That the license you are amending is valid, and that there is a remaining balance to be shipped and that you have a copy to transmit with your request.

- Whether the documentation supporting your application is available for submission with your request (i.e., copy of the PM/DTCC acknowledgement letter).
- That the applicant and all parties are eligible to engage in licensing. If the eligibility requirements of 22 CFR §§120.1(c) and 126.13 are not met, you are not eligible to make this request without the submission of a transaction exception.

2. An asterisk preceding a Block number indicates required information. Failure to provide the required information will result in your electronic submission being rejected. For paper submissions, failure to provide the information may result in your request being Returned Without Action (RWA'd).

3. Identify the document(s) submitted with your request.

4. 22 CFR §123.25 identifies the amendments that can be requested. Section 123.25 also identifies in paragraph (e) specific types of changes that may not be requested.

5. The foreign intermediate consignee may only be amended to add a new freight forwarder and only when the export does not involve technical data. In all other instances, the addition of new foreign intermediate consignees should be the subject of a new application.

6. Brokering authorizations may not be amended using the DSP-6 form.

Specific Instructions/Guidelines:

*Block l. Date Prepared. For electronic submissions, the date the application is prepared is automatically entered (month/day/year). It is updated each time the application is opened until submission to DDTC, at which time the application must be digitally signed.

*Block 2. PM/DDTC Applicant/Registrant Code. Enter your PM/DDTC applicant/registrant code number, including the pre-fix letter "M" if applicant is a manufacturer and/or exporter (e.g., M12345, M-5678). Ensure that your registration is valid and that the number used is the same as the number on the approved license, unless the purpose stated for the amendment is in accordance with 22 CFR §122.4 (e.g., acquisition, merger). Brokering authorizations may not be amended using the DSP-6 but should be the subject of a new application.

Block 3. Applicant Name, Address, ZIP Code and Telephone Number, to include the name and address of the subsidiary, if applicable. The names entered in this block should be identical to what appeared on the license.

*Block 4. Amendment to License Number. Provide the PM/DDTC assigned DSP-5 license number. Do not provide in this block any other number (e.g., your company transaction ID). Also, you may amend only one license per request. Please check your

entry carefully. Typographical errors/transpositions might prevent identification of a license belonging to your company and result in your request being Returned Without Action.

*Block 5. Amendment in accordance with. Select whether the amendment is in accordance with 22 CFR § 123.25 or 22 CFR § 122.4. If necessary, consult the International Traffic in Arms Regulations (ITAR) to determine which selection is correct.

Block 6. Compliance Case Number. Complete Blocks 6(a) and 6(b).
Block 6(a). Provide compliance case number pursuant to 22 CFR § 122.4 (e.g., merger, acquisition, name change, or change in location).
Block 6(b). Provide the date of the PM/DTCC acknowledgment letter in accordance with 22 CFR § 122.4.
Note: You may wish to provide a copy of the PM/DTCC acknowledgment letter with your submission.

Block 7. Name and Telephone Number of applicant contact(s). List individual(s) familiar with this transaction who can respond to PM/DDTC staff or other U.S. Government agencies.   The individual(s) should be prepared to answer procedural and/or technical questions and be familiar with this request and the license being amended. Please do not list an individual who is not familiar with the transaction and thus unable to respond. DO NOT list U.S. Government personnel. You may provide as many contacts as you deem necessary.

*Block 8. Summary of Amendment(s) to DSP-5 license. Select the block and type of amendment being requested. Select all that apply. The blocks that may be amended are: DSP-5 license Blocks 2, 5, 9, 10, 12, 13, 14, 15, 16, 17, 18, 19, and 21. If **Correct Block 9, Quantity** and/or **Correct Block 12, $Value** is selected, **Correct Block 13, License Total Value Only** cannot be selected. If **Correct Block 13, License Total Value Only** is selected, neither **Correct Block 9, Quantity** nor **Correct Block 12, $Value** may be selected.

Block 9. Change Original PM/DDTC Applicant/Registrant Code (DSP-5 license, Block 2). Complete Blocks 9(a), 9(b), and 9(c).
Block 9(a). State the specific reason for the change.
Block 9(b). Enter PM/DDTC applicant/registrant code as stated on the DSP-5 license. Enter the same letter (e.g., B, F, G, or M) and number as stated on the DSP-5 license. The number has five characters. In the event of four numbers the first character is a hyphen "-.“
Block 9(c). Enter new PM/DDTC applicant/registrant code (e.g., the code of the U.S. person acquiring the license through an acquisition or merger). Enter the same letter (e.g., B, F, G, or M) as stated on the DSP-5 license. The number portion of the registration code will be different. The number has five characters. In the event of four numbers the first character is a hyphen "-." For electronic forms, this block will be automatically populated with the value provided in Block 2.

Block 10. Change Original Applicant/Subsidiary (DSP-5 license, Block 5). A change to this block can be to change the applicant, the subsidiary, or both. You may complete only two items, one for the applicant and one for the subsidiary. When changing both, complete Item #1 for the applicant and click on "add more items" to change the subsidiary.

Block 10(a). Type of Modification. Select one from the following:
- Change in name ONLY of original applicant;
- Change in ONLY address, city, state, and/or ZIP code of original applicant;
- Change in name, address, city, state, and /or ZIP code of original applicant;
- Add subsidiary (use only if the license currently does not identify a subsidiary);
- Delete subsidiary (use when applicant desires no subsidiary be identified on the license);
- Change in name ONLY of original subsidiary;
- Change in ONLY address, city, state, and/or ZIP code of original subsidiary; or
- Change in name, address, city, state, and /or ZIP code of original subsidiary.

Block 10(b). State the specific reason for the change.

Block 10(c). Enter applicant/subsidiary as stated on original DSP-5 license.

Block 10(d). Enter modified applicant/subsidiary information.

Block 11. Correction to Commodity Description (DSP-5 license, Block 10). You may correct as many line items as necessary. For each line item identified on the DSP-5 license requiring a change, complete Blocks 11(a), 11(b), 11(c), and 11(d).

Block 11(a). Type of correction. Select at least one.

1) Change the part number of the commodity identified on the license. A change in a part number, while not the subject of the original documentation, will be authorized to change a production/manufacturing part number. For changes in part numbers not supported by the original documentation (e.g., due to change in production numbers) the applicants should take care to ensure the validity of their certification since any error resulting in export of an enhanced/upgraded defense article will be considered a false statement and a violation of the Arms Export Control Act (AECA)/ITAR. A change in a part number that results in a change to the defense article (e.g., upgrade) must be the subject of a new DSP-5 license application, supported by new documentation.

Note: Please ensure that the certification has been read since the applicant in selecting "change part number" is also certifying that the change in part number will not enhance, upgrade, or change the capability of the commodity authorized for export on the DSP-5 license.

2) Correct a typographical error. Changes due to typographical errors must be supported by attaching documentation that was submitted with the original DSP-5 submission. In summary, a change in commodity description can only be due to a typographical error, which must be supported by original documentation that is submitted in support of this request.

Block 11(b). State the specific reason for the change.

Block 11(c). Change commodity description to include part number as stated on original DSP-5 license. Provide the commodity description/part number exactly as stated on the DSP-5 license (recorded in Block 4 of this application). For electronic transmissions, provide the line item of commodity described on the DSP-5 license.

Block 11(d). Corrected commodity description/part number. Provide the corrected commodity description/part number (i.e., this is the language of the original license with the new part number and/or typographical error correction) to what is necessary to make the correction. <u>No other changes to the description are permitted</u>. For electronic transmissions, provide the line item of commodity described on the DSP-5 license.

Block 12. Correction to Quantity (DSP-5 license, Block 9) and/or U.S. Dollar Value (DSP-5 license, Block 12). You may correct as many line items as necessary. For each line item identified on the DSP-5 license for which a change is being requested, complete Blocks 12(a), 12(b), 12(c), and 12(d). See 22 CFR § 123.25 regarding a change in value of a license prior to amending for that purpose.

Block 12(a). Type of correction. Select at least one: 1) correct quantity, 2) correct $ value, or 3) both. Corrections to the quantity and the unit value may only be requested when an error was made on the original submission and the error can be validated by the original DSP-5 license (as recorded in Block 4 of this application) supporting documentation on file in DDTC which must also be attached to support this request. Value may be amended.

Block 12(b). State the specific reason for the change.

Block 12(c). Change from quantity and/or unit price and line item total dollar value as stated on original DSP-5 license. Enter the quantity and using the pick list select the unit type, enter the unit price, and line item total dollar value as stated on the DSP-5 license.

Block 12 (d). Change to quantity and/or $ value as it should appear. Enter the corrected quantity, unit type, and/or unit value price. For electronic submissions, do not provide the line item total value. The software will calculate the new line item total value. For paper submissions, the applicant must perform the calculation for the new line item total value. The applicant will be required to provide the unit type from the following selections:

Bags; Barrels or Drums; Boxes; Bullet or Rounds; Bundles; Cases; Containers; Copies; Dozen; Dozen Pairs; Feet; Forgings; Gallon; Grams; Gross; Gross Containers; Gross Lines; Inches; Items; Kilos; Kits; Line; Liters; Lots; Magaz; Man Years; Meters; Number; Ounces; Packs; Packets; Pairs; Pallets; Pieces; Pounds; Quarts; Rolls; Sets; Sheets; ShipSet; Square Meters; Squares; Systems; Tins; Tons; Tubes; Units; Visits; Wafers; and Yards.

Block 13. Revised DSP-5 License Total (DSP-5 license, Block 13).

Block 13(a). Total $ value. Provide the total dollar value as currently stated in Block 13 of the original DSP-5 license (Block 4 of this application).

Block 13(b). Revised total $ value. For applications submitted electronically, the software will calculate the new total value. For paper submissions, the applicant must calculate the revised total of the original DSP-5 license by adding all line items on the license.

Block 14. Correction to Foreign End-User (DSP-5 license, Block 14). For each line item identified on the DSP-5 license requiring a change, complete Blocks 14(a), 14(b), and 14(c).

Block 14(a). Select "Correct typographical error."

Block 14(b). Enter Foreign End-User as stated on original DSP-5 license.
Block 14(c). Enter New Foreign End-User.

Block 15. Change in Manufacturer of Commodity (DSP-5 license, Block 15). For each item changed, complete Blocks 15(a), 15(b), 15(c), and 15(d) and provide applicable information.
Block 15(a). Types of modification are: 1) add new manufacturer; 2) delete manufacturer; 3) change in name ONLY of original manufacturer; 4) change in ONLY address, city, state, and/or ZIP code of original manufacturer; or 5) change name, address, city, state, and/or ZIP code of original manufacturer.
Note: Please read certification: When adding a new manufacturer, the applicant is certifying that the addition of the new manufacturer does not enhance, upgrade, or change the capability of the commodity(s) authorized for export on the DSP-5 license (Block 4 of this application).
Block 15(b). State the specific reason for the change.
Block 15(c). Enter Manufacturer of Commodity as stated on original DSP-5 license.
Block 15(d). Enter New/Modified Manufacturer of Commodity.

Block 16. Change in Source of Commodity (DSP-5 license, Block 17). For each item changed, complete Blocks 16(a), 16(b), 16(c), and 16(d) and provide applicable information.
Block 16(a). Types of modification are: 1) add new source; 2) delete source; 3) change in name ONLY of original source; 4) change in ONLY address, city, state, and/or ZIP code of original source; or 5) change in name, address, city, state, and/or ZIP code of original source.
Note: Please read certification: When adding a new source, the applicant is certifying that the addition of the new source does not enhance, upgrade, or change the capability of the commodity(s) authorized for export on the DSP-5 license (Block 4 of this application).
Block 16(b). State the specific reason for the change.
Block 16(c). Enter Source of Commodity as stated on original DSP-5 license.
Block 16(d). Enter New/Modified Source of Commodity.

Block 17. Change Name, Address and/or City of Original Foreign Consignee (DSP-5 license, Block 16). For each item changed complete Blocks 17(a), 17(b), 17(c), 17(d) and 17(e) and provide documentation from the foreign consignee validating the change.
Block 17(a). Types of modification are: 1) change in name of original foreign consignee and 2) change in address and/or city of original foreign consignee. A new foreign consignee(s) may NOT be added. New foreign consignee(s) must be the subject of a new license application. Change in name of original foreign consignee cannot be as a result of a merger or acquisition.
Block 17(b). State the specific reason for the change: Select one of the rationales for the change: 1) name change or 2) location change. A "Name Change" is not allowed to be used in the circumstance of an acquisition or merger.
Block 17(c). For any change where the license is "in furtherance of an agreement," the applicant must complete the amendment to the agreement required by 22 CFR 124. (See

"Agreement Guidelines" on www.pmddtc.state.gov for clarification regarding "in furtherance of an agreement".) Indicate compliance with 22 CFR 124 by selecting "yes," "no," or "not applicable." If the applicant is unable to state "yes" or "not applicable," do not submit this request. First submit and receive approval from PM/DDTC to amend the applicable agreement.

Block 17(d). Enter Foreign Consignee as stated on original DSP-5 license.

Block 17(e). Enter Modified Foreign Consignee.

Block 18. Change Name, Address, City, State and/or ZIP Code of Original U.S. Seller (DSP-5 license, Block 19). For each item changed, complete Blocks 18(a), 18(b), 18(c), and 18(d) and provide applicable information.

Block 18(a). Types of modification are: 1) change in name of original U.S. seller and 2) change in address, city, state, and/or ZIP code of original U.S. seller. A new seller(s) cannot be added to a license. A new seller must be the subject of a new license application.

Block 18(b). State the specific reason for the change.

Block 18(c). Enter U.S. Seller as stated on original DSP-5 license.

Block 18(d). Enter Modified U.S. Seller name/address.

Block 19. Change in Foreign Intermediate Consignee (DSP-5 license, Block 18). For each item changed, complete Blocks 19(a), 19(b), 19(c), and 19(d) and provide applicable information.

Block 19(a). Type of modifications are: 1) add new foreign freight forwarder; 2) change in name ONLY of original foreign intermediate consignee to include foreign freight forwarder; 3) change in ONLY address and/or city of original foreign intermediate consignee to include foreign freight forwarder; or 4) change in name, address, city and/or country of original foreign intermediate consignee to include foreign freight forwarder. The addition of an intermediate foreign consignee(s) is limited only to adding a new foreign freight forwarder(s) and only when the freight forwarder is engaged in the business of moving the defense articles. Any other foreign consignee or a freight forwarder who is acting in any capacity other than the movement of the defense articles must be the subject of a new license application that would clearly define the role of the new foreign intermediate consignee/freight forwarder.

Block 19(b). State the specific reason for the change.

Block 19(c). Enter Foreign Intermediate Consignee as stated on original DSP-5 license.

Block 19(d). Enter New Foreign Intermediate Consignee.

Block 20. Change in U.S. Consignor and/or U.S. Freight Forwarder (DSP-5 license, Block 21). For each item changed, complete Blocks 20(a), 20(b), 20(c), and 20(d) and provide applicable information.

Block 20(a). Types of modification are: 1) add new U.S. consignor/freight forwarder; 2) change in name ONLY of original U.S. consignor/freight forwarder; 3) change in ONLY address, city, state and/or ZIP code of original U.S. consignor/freight forwarder; or 4) change in name, address city, state and/or ZIP code of original U.S. consignor/freight forwarder.

Block 20(b). State the specific reason for the change.

Block 20(c). Enter U.S. Consignor and/or U.S. Freight Forwarder as stated on original DSP-5 license.

Block 20(d). Enter New/Modified U.S. Consignor or U.S. Freight Forwarder.

Block 21. Additional Details of Transaction. Provide any information that you believe would be useful in the review of the transaction. Do not duplicate the information in Blocks 1-20 and do not use this block to provide information that should be in Blocks 1-20. Use of this block to provide information that is required in Blocks 1-20 could result in a case being Returned Without Action. An example of additional information could be the name and telephone number and a brief description of any discussions held with DDTC personnel for amendments that are the result of an acquisition/merger.

*Block 22. Applicant's Statement. Electronic submissions: Type the name of the individual who will digitally sign the request and check the boxes that apply. Paper submissions: Type the name of the individual who will sign the license application, sign the application and check the boxes that apply.

Notes:
1. The individual whose name is in this field must be an ITAR-empowered official(see 22 CFR § 120.25) or an official of a foreign government entity in the United States. Signing of an application by anyone other than an ITAR-empowered official or "for" another company or person is a violation of the ITAR.
2. The individual whose name is in this field must be an ITAR-empowered official (see 22 CFR Per the ITAR, the individual signing the request must meet all the criteria stated in 22 CFR § 120.25 The criteria include:

   - that the individual is a U.S. citizen, or is lawfully admitted to the United States for permanent residence, or an official of a foreign government acting in their official capacity; and
   - has responsibility for ensuring compliance with all the facts stated in the request; and
   - is responsible for seeking all the required certifications of the form, as well as all other provisions of the ITAR; and
   - can certify the conditions of 22 CFR § 126.13 and 130; and that the applicant and other parties to the request are eligible.

Block 23. Response to be sent to. FOR PAPER SUBMISSIONS ONLY: Provide the complete name, address, and phone number. DO NOT PUT "SAME AS BLOCK 3."