

D-Trade Industry User's Manual

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Version 4.0**

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REVISION LOG

| Revision Number | Date | Section | Description |
|------------------|------------------|---|--|
| DOS EUM-001 V1.0 | 24 February 2003 | All | Original Draft |
| DOS EUM-001 V1.1 | 24 March 2003 | All | Second Draft |
| DOS EUM-001 V1.2 | 14 April 2003 | All | Final Draft |
| DOS EUM-001 V1.3 | 16 June 2003 | All | Initial Delivery for Pilot System |
| DOS EUM-001 V1.4 | 23 January 2004 | All Section 8 | Draft for D-Trade Removed the word "Pilot" Added Section 8, Retrieving Licenses |
| DOS EUM-001 V1.5 | 21 April 2004 | Section 1.1 Figure 1-1 Section 1.2 Section 2 Section 3.1 Section 3.2 Section 3.3 Section 3.4.2 | 3 rd paragraph changed "ability to incorporate and associate supporting documentation" to "ability to incorporate supporting documentation". Changed "Digital Signature Trust" to digital signature authority". Changed "electronic forms program" to "electronic forms viewer program" Added Operational Research Consultants (ORC), or AT&T/Verisign (AT&T) as certificate issuers. Deleted the sentences "The certificate is valid for two years, after which it must be renewed." Removed reference <i>DST, Certificate Application, Approval, and Retrieval Process Overview</i> , November 2002 Added procedures on gaining access to D-Trade System. Modified to incorporate the three certificate issuers and remove help desk reference. Added section to discuss D-Trade System requirements. Removed text about Super User contacting the help desk. Added instructions on how the company is suppose to forward Super User information to DDTC. |

| Revision Number | Date | Section | Description |
|------------------|---------------|--------------------------------|---|
| | | Section 3.9 | Added section to discuss downloading DS-2032 form. |
| | | Section 5.2.3 | Added section on opening application up within a web browser. |
| | | Section 5.3 | Added section to consolidate common concepts to all electronic forms. |
| | | Section 5.6 | Added section to provide an overview the DS-2032 electronic form. |
| | | Section 5.8.1 | Step 6. Changed “cursor of the transaction” to “cursor over the transaction”. |
| | | Section 5.10 Table 5.3 | Added Form Upgrader and DS-2032. |
| | | Section 6.1 | Step 2. Changed “cannot sent” to “cannot be sent”. Added that must first save application prior to submitting it. Clarified step 4. |
| | | Section 6.2 | Added new section on alternative way of submitting application. |
| | | Section 6.3 | Added new section to discuss submitting the Registration statement. |
| | | Section 7 | Added new section to introduce Batch Submissions. |
| | | Section 8 | Added section for using the Form Upgrader. |
| | | Section 9.1.1 Table 9-1 | Changed ODTC to DDTC |
| | | Section 9.1.1 | Noted that for cases with the status of “In Review”, no additional information is available. |
| | | All | Added text to discuss Form Upgrader. |
| | | All | Removed text dealing with Translator because functionality is no longer available. |
| DOS EUM-001 V1.6 | 24 March 2005 | Figure 1.1 and All Sections | Removed discussion of DS-2032 |
| | | All Sections | Correct grammatical errors. |

| Revision Number | Date | Section | Description |
|-----------------|------|--------------------------------|--|
| | | All Sections | Removed references to TAA form as appropriate because submission of TAA to D-Trade is temporarily suspended as of August 14, 2004. A new electronic form for MLA/TAA is under development. |
| | | All sections where applicable. | Added note that regrettably with this DSP-5 version change, the Form Upgrader tool cannot be used to upgrade any prior versions (1.x) of the DSP-5 forms to this version 2.0. This is due to the file formatting and technology changes with PureEdge™. Hence the Form Upgrader tool is temporarily unavailable. |
| | | All Sections where applicable. | Updated figures showing D-Trade Homepage. |
| | | Section 1.2 and Figure 1.1 | Updated to include submitting additional documentation and retrieving status on batch submissions. |
| | | Section 3.1 | Updated to address new capability of retrieving cases with final decisions electronically. Also updated to include submitting additional documentation and retrieving status on batch submissions. |
| | | Section 3.2 | Added item to address need for person downloading cases with final decisions will need an ACES digital certificate. Also updated to include submitting additional documentation and retrieving status on batch submissions. |
| | | Section 3.3 | Added new section requirement to have Acrobat Reader 5.1 to view cases with final decisions. |
| | | Section 3.5 | Updated to include submitting additional documentation and retrieving status on batch submissions. Also include capability of electronically retrieving cases with final decisions. |

| Revision Number | Date | Section | Description |
|-----------------|------|-----------------|--|
| | | Section 3.6 | Added note that user must not delete version 5.1 of the Forms Viewer. This version is needed to open version 1.08 and earlier of the electronic DSP-5 form. Also updated figures. |
| | | Section 3.7 | Incorporated changes to the DSP-5. Replaced Figures and updated text as needed. |
| | | Section 3.9 | Added text to describe all 5 links displayed on screen. |
| | | Section 4.1.1 | Updated to clarify privileges when a user has not been granted additional roles. |
| | | Table 4-1 | Updated roles to include submitting additional documentation and retrieving status on batch submissions. |
| | | Figure 4-1 | Updated figure because there is no specific role for Industry Upgrader. This capability is part of the standard roles a user receives. |
| | | Section 5.0 | Incorporated changes to the DSP-5. Replaced Figures and updated text as needed. |
| | | Section 5.2.4 | Added section for potential errors when opening a DSP-5 form. |
| | | Section 5.3.2 | Added text to clarify what happens when documents are opened. |
| | | Section 5.4.1.1 | Updated to state that only whole dollar values can be entered in the Unit Price field. Also update that State user can only select a unit type from the pick list and can no longer enter a type. Removed discussion on the round feature of the Total field. Updated discussion for limits on the Quantity, \$ Value, and Total value. Also updated figures to show recent version of form. |

| Revision Number | Date | Section | Description |
|-----------------|------|---|--|
| | | Section 5.5 | Added new section to address the deletion of empty continuation pages in an electronic form. |
| | | Table 5-2 | Updated list of supporting documents for the DSP-5. |
| | | Section 6 | Incorporated changes to the DSP-5. Replaced Figures and updated text as needed. |
| | | Figure 6-8 | Updated figure due to changes in receipt response. |
| | | Figure 6-15 | Updated figure due to changes in receipt response. |
| | | Section 9, Section 9.3, Appendix A & Appendix B | Added a subsection and appendices to address retrieving submission status via an offline web service. Also updated figures to show new column order. |
| | | Table 9-1 | Updated table describing each column in Track Status to reflect new column order. |
| | | Table 9-2 | Removed the label Restaff. |
| | | Section 9.1.3 | Updated to address additional documentation submitted after a case has been submitted and to describe the staffing status information. |
| | | Figure 9-3 | Updated figure to reflect case with additional documentation and staffing information. |
| | | Figure 9-4 | Updated figure to reflect changes in XML schema. |
| | | Table 9-5 | Added table to define each tag in XML. |
| | | Section 10 | Added new section to address submitting additional documentation to a pending case that was submitted via D-Trade. |
| | | Section 11 | Added new section to address new capability of retrieving cases with final decisions electronically. Updated figures to reflect new DoS seal. |
| | | Section 12.2 | Included contact information ORC and AT&T customer support. |

| Revision Number | Date | Section | Description |
|------------------|-------------------|--------------------------------|--|
| DOS EUM-001 V1.7 | September 14 2005 | All sections where applicable. | Updated figures to reflect current version of the DSP-5 application. |
| | | Section 1 | Added text to incorporate availability of DS-2032. |
| | | Figure 3-23 | Updated figure to reflect current Form Upgrader version. |
| | | Figure 3-12 | Updated figure to reflect new homepage. |
| | | Section 3.8 | Added section to incorporate information on downloading a DS-2032 form. |
| | | Section 3.9 | Removed footnotes and text stating upgrader was not available. |
| | | Figure 3-30 | Updated figure to reflect current Form Upgrader version. |
| | | Section 4 | Updated figures, where applicable, to reflect Form Upgrader link on left navigation bar. |
| | | Section 5 | Added text to incorporate DS-2032. |
| | | Table 5-2 | Updated table to incorporate DS-2032; Modified attachment categories for the DSP-5. |
| | | Figure 5-5 | Updated figure to reflect new homepage. |
| | | Section 5.4.1 | Added text regarding optional documents on cover page. |
| | | Figure 5-16 | Added new figure to demonstrate optional documents. |
| | | Figure 5-17 | Added new figure to demonstrate optional documents. |
| | | Table 5-1 | Add "Not Applicable" option for Block 8. |
| | | Section 5.4.1.1 | Added text for new functionality regarding DSP-83 in commodity blocks. |
| | | Section 5.5 | Added new section to address DS-2032 electronic form. |
| | | Section 5.6 | Modified text to incorporate DS-2032. |

| Revision Number | Date | Section | Description |
|------------------|---|--------------|---|
| DOS EUM-001 V1.8 | 12 October 2005 | Section 5.7 | Modified text to incorporate DS-2032. |
| | | Table 5-2 | Added DS-2032 supporting documentation. |
| | | Table 5-3 | Added documents printed for DS-2032. |
| | | Section 6 | Added text to incorporate invalid field notification and error page. |
| | | Section 8 | Removed text stating upgrader was not available. |
| | | Section 8.1 | Modified notes about transferred data from old version of form to new version using upgrader. |
| | | Figure 10.3 | Updated figure to reflect current additional documentation screen. |
| | | Figure 10.5 | Updated figure to reflect current additional documentation screen. |
| | | Figure 10.7 | Updated figure to reflect current additional documentation screen. |
| | | Figure 11.2 | Updated figure to reflect current screen when pdf is available for download. |
| | | Figure 12.2 | Updated figure to reflect new version of DSP-5 and new help text that was added. |
| | | Attachment A | Replaced SubmissionStatus.wsdl that had been modified to reflect the Batch ID that is now returned in the response. |
| | | Attachment B | Added new examples of status request and response. |
| | | Section 3.9 | Updated Form Upgrader text. |
| Section 5.3.3.2 | Added this section which explains form error reporting with the "Validate Form" button. | | |
| Section 5.5 | Added information about the Signature button on the DS-2032 form | | |

| Revision Number | Date | Section | Description |
|------------------|---|--|--|
| DOS EUM-001 V3.0 | 18 January 2006 | Section 6.1 | Removed information about error reporting happening when the Submit button is pressed on the DSP-5 form. |
| | | Section 6.3 | Removed information about error reporting happening when the Submit button is pressed on the DS-2032 form. |
| | | Section 8 | Changed form version of DSP-5 from 2.01 to 2.2 |
| | | Section 8.1 | Modified 'Important Note' text; Added a note about the Upgrader sending an error message to the user if they submit anything other than a PureEdge form. Also added more specific notes about elements left out during upgrading specific version of the DSP-5 form. |
| | | Section 9.1.4 | Added extra error messages that can now occur if a submission is rejected. |
| | | Header | Changed the header of every page to be DOS EUM-001 V3.0 |
| | | Cover sheet and all tables of contents | Cover sheet and all tables of contents have been updated |
| | | Section 1.1 | Added references to the DSP-61 and DSP-73 |
| | | Section 1.2 | Added references to the the DSP-61 and DSP-73 |
| | | Section 1.3 | Added references to the the DSP-61 and DSP-73 |
| | | Section 3.2 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | Section 3.5 | Added references to the the DSP-61 and DSP-73 |
| | | Section 3.6 | Removed word "export" because licenses are now for export and import |
| Section 3.7 | Added references to the the DSP-61 and DSP-73 | | |

| Revision Number | Date | Section | Description |
|-----------------|------|-----------------|---|
| | | Section 3.9 | Added a note about how DSP-61 and DSP-73 are not available for upgrading |
| | | Section 4.1.1 | Added references to the the DSP-61 and DSP-73 |
| | | Section 5 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | Section 5.1 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | Section 5.2 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | Section 5.2.2 | Modified text to be more generic due to the new forms and removed DSP-5 specific references and added references to DSP-61 and DSP-73 forms |
| | | Section 5.3.1 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | Section 5.3.3 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | Section 5.5 | New section on DSP-61 form |
| | | Section 5.5.1 | New section on DSP-61 form |
| | | Section 5.5.1.1 | New section on DSP-61 form |
| | | Section 5.6 | New section on DSP-73 form |
| | | Section 5.6.1 | New section on DSP-73 form |
| | | Section 5.6.1.1 | New section on DSP-73 form |
| | | Section 5.8 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |

| Revision Number | Date | Section | Description |
|------------------|---------------|----------------|---|
| DOS EUM-001 V3.0 | 17 March 2006 | Section 5.9 | Modified text to be more generic due to the new forms and removed DSP-5 specific references and added references to DSP-61 and DSP-73 forms |
| | | Section 5.9.1 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | Section 5.9.2 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | Section 5.9.3 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | Section 5.10 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | Section 5.10.1 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | Section 5.12 | Added references to new DSP-61 and DSP-73 forms for printing |
| | | Section 8 | Added a note about the upgrader not being available for the DSP-61 and DSP-73 form at this present time |
| | | Section 9.1.1 | Added references to new DSP-61 and DSP-73 forms |
| | | Section 9.1.2 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | Section 12.1 | Modified text to be more generic due to the new forms and removed DSP-5 specific references. |
| | | | |

| Revision Number | Date | Section | Description |
|------------------|--------------|------------------------------|---|
| DOS EUM-001 V4.0 | June 1, 2006 | Section 3 | Updated links. |
| | | Section 5.4.1.1 | Removed 'whole dollar' text for \$ Value paragraph. |
| | | Section 5.7.1 | Removed Signature Block paragraph since DS-2032 now requires digital signature. |
| | | Section 5.10.1 | Removed note since error message will not display if signature is only business rule left to complete. |
| | | Section 8.1 | Added Block 16 and Block 18 fields to note for upgrader since country lists have changed. |
| | | Section 9.1.1 | Added a Note about the UNDF form type. |
| | | Table 9-6 Entire Document | Updated links. <ul style="list-style-type: none"> • Removed References to the DS-2032 • Updated outdated figures • Repaired tables • Re-numbered figures, tables, and all associated Tables of Contents, Figures, and tables |

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OVERVIEW

This *Industry Users Manual* provides an introduction and guidance on the use of the Defense Trade Controls Applications System (D-Trade) from an industry user's (i.e., export license application submitter) perspective.

Background / Project Objectives

The purpose of D-Trade is to develop and deploy a web-based electronic form system capability in an operational environment (1) to acquire, validate and process digitally signed electronic export license applications and attachments and (2) to acquire and validate electronic registration statements and attachments.

The D-Trade System provides the means to compose an export/import license application or Directorate of Defense Trade Controls (DDTC) Registration Statement and required supporting documentation. The System incorporates the following electronic applications:

- Application for Permanent Export of Unclassified Defense Articles and Related Technical Data (DSP-5)
- Application for Temporary Import of Unclassified Defense Articles (DSP-61)
- Application for Temporary Export of Unclassified Defense Articles (DSP-73)

The submission of electronic Technical Assistance Agreements (TAA) to D-Trade was temporarily suspended as of August 16, 2004.

The System includes the use of digital certificates for purposes of user identification, authentication and digital signature. The System includes the ability to incorporate supporting documentation in various formats (e.g., Adobe® .pdf files, Microsoft® Word documents, etc.), along with standard forms. The System incorporates automated workflow capabilities for the execution of application review (e.g., automated case assignment, work list generation, automated workflow progression, electronic coversheet, etc.).

D-Trade Operation Overview

Figure 1 provides an overview of the D-Trade's operation from the point of view of an industry user (i.e., export license application submitter). This overview describes how the various parts of the System interoperate and how users utilize provided software components.

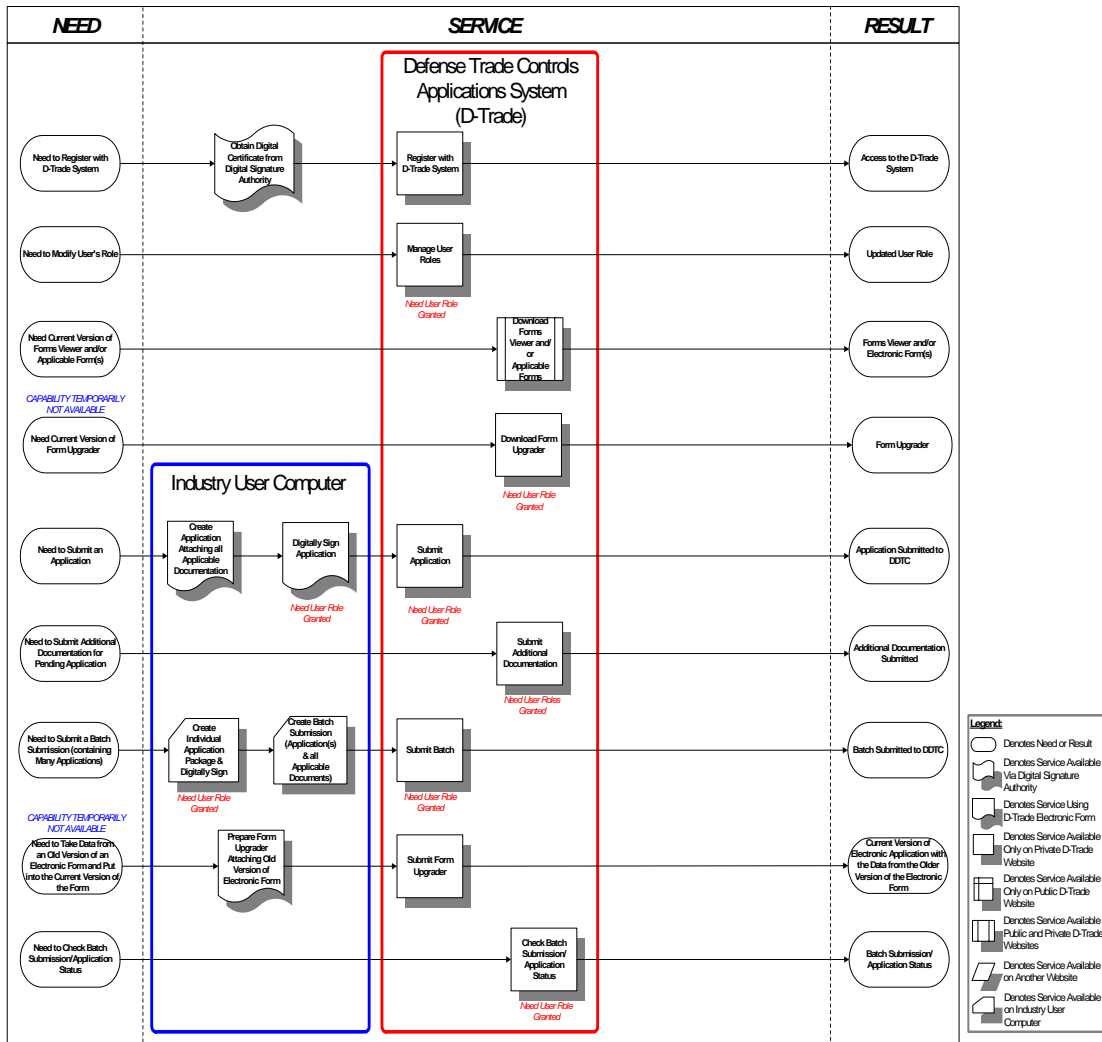


Figure 1. D-Trade Operation Overview

The System uses electronic versions of the DSP-5, DSP-61, and DSP-73 license application. Unlike previous export license systems, the electronic forms used in D-Trade will allow users to build a completely electronic application. This includes not only the data found in the core form but also all other supporting documentation. This documentation may be provided in a number of popular formats (e.g., Microsoft® Word document, Adobe® .pdf document). The entire application is electronically signed using digital certificate technology and submitted securely to the System's website.

When needed, additional documentation can be submitted on applications that have been sent in electronically via D-Trade. Additional material can be sent in on applications that are in review with license officers (i.e., in review).

An electronic forms viewer program provided by the Department of State is used to create a license application and Registration Statement. The program is provided at no cost and is downloaded from the System's website. The electronic DSP-5, DSP-61, and

DSP-73 forms are also downloaded from the website. A license application or registration statement is worked on off-line (i.e., while not connected to the System's website).

Not until the license application is completed and electronically signed is it uploaded (e.g., submitted) to the D-Trade website. Consistent with current procedures, only certain users may sign a license application on behalf of a company, and only certain company users may actually submit the application to the Department of State. User roles defined within the System enforce these recognized privileges. Designated users are provided the ability to assign roles to other users within their company.

D-Trade supports a batch submission interface so that industry users can submit one or more license packages at one time utilizing data extracted from company "home-grown" or third party licensing software.

A user can also have the data from an older version of an electronic application automatically put into the current version of the electronic application. This process is needed if the electronic application has been modified and hence the new version is now current. The Form Upgrader tool is downloaded from the website. The older version of the electronic application is attached to the Form Upgrader tool and submitted to the website. A license application is returned, with the applicable data from the older version populated into the current version of the electronic application. At this point, the application is just like an application created by someone entering the data manually. The application can be saved. When the application is completed off-line and electronically signed, it can be uploaded to the website. Only certain users with the appropriate user role may download and submit using the Form Upgrader.

A key component of the D-Trade System is the digital certificate. A digital certificate is required to legally sign an export license application, access the private D-Trade System website, and submit the license application. This is applicable to both individual electronic license applications and batched license applications. It is also required to retrieve status information. The certificates are obtained from a GSA certificate issuer (Digital Signature Trust (IdenTrust), or Operational Research Consultants (ORC)). Once individual license applications and batch submissions are submitted, the System provides the ability for users to find out the current status of applications. Users (granted the appropriate role) can access the System's website to view, sort, or download status data. Users can also use an offline web service to retrieve status data.

Document Overview

The *Industry Users Manual* provides an introduction and guidance on the use of the System.

The sections of the document are defined as follows:

- **Overview** provides the document scope, project background and system operational summary;
- **Referenced Documents** lists the documents that are referenced by this document;

- **Getting Started** describes the process to establish an account with the System, how to obtain and who should obtain a digital certificate, how to log on the System, and how to download the necessary Forms Viewer and electronic forms;
- **Managing Users** describes the functionality to control system privileges of individual users within the System;
- **Completing Applications Using the Electronic Forms** describes how to use the electronic export license application forms;
- **Submitting Applications** describes how to submit completed electronic DSP-5, DSP-61, DSP-73 forms to the System;
- **Batch Submission** provides an overview of the batch submission functionality;
- **Using the Form Upgrader Tool** describes how to use the D-Trade Form Upgrade tool to port data from an old version of an electronic form to the current version of the electronic form;
- **Tracking an Application** describes how to track and retrieve the status of applications submitted via an electronic form and batched submissions;
- **Submitting Additional Documentation** describes how to submit additional documentation on pending applications that were submitted via D-Trade;
- **Retrieving Cases with Final Decisions** describes how to electronically retrieve a case in which DDTC has rendered a decision; and
- **Getting Help** describes how to use the on-line help feature and who to contact if additional help is needed.

REFERENCED DOCUMENTS

The *Industry User's Manual* references the following documents:

- *Society for International Affairs (SIA), Guidelines for Completing Department of State License and Amendment Applications.* June 2001.
- D-Trade's *Specification for Creating and Submitting Batched Forms Electronically.*
- *Simple Object Access Protocol (SOAP) 1.1*, W3C Note 8 May 2000, World Wide Web Consortium, <http://www.w3.org/TR/2000/NOTE-SOAP-20000508/>
- SOAP Version 1.2 Part 1: Messaging Framework, W3C Recommendation 24 June 2003, World Wide Web Consortium, <http://www.w3.org/TR/SOAP/>

- *Web Services Description Language (WSDL) 1.1*, W3C Note 15 March 2001, World Wide Web Consortium, <http://www.w3.org/TR/wsdl>

GETTING STARTED

Gaining Access to the D-Trade System

The D-Trade System is composed of a public and private website. If you will be completing and submitting a Registration Statement, then you will access the public portion of the D-Trade System. These users will not need to obtain a digital certificate. Signing into the public portion of the System, will be submitting license applications, submitting batch applications, checking the status of license applications, retrieving cases with DDTC decisions rendered, submitting additional documentation on a case in review, or managing your company users' roles, then you will access the private portion of the System. These users will need to perform the following steps to gain access to the private portion of the D-Trade System.

Step 1.

Obtain a digital certificate from an authorized ACES Contractor. Authorized ACES contractors are Digital Signature Trust (IdenTrust) Company, and Operational Research Consultants (ORC), Inc.

Step 2.

After installing your digital certificate, log into D-Trade at <http://dtrade.pmdtcc.state.gov> and click the Login link. This step will enroll/register new users. You will not be able to log into D-Trade without a digital certificate.

Step 3.

Fax a letter to Directorate of Defense Trade Controls (DDTC), on company stationary, signed by an empowered official (as defined in ITAR Section 120.25) with his/her contact information, listing authorized Super User(s). Super User(s) grant individual users within their organization D-Trade System privileges. The fax number is (202) 663-2756. The following information must be included in the letter:

- Company name;
- DDTC Registration Code;
- List of Super User(s) name including their telephone number and email address';
- Company telephone Number; and
- Company Fax Number.

Step 4.

DDTC System Administrators will record the submitted data and grant the individual(s) listed with Super User privileges. In order for a user to be granted the "Super User" role, they must first register with the D-Trade System. A member of the D-Trade Help Desk will contact the Super User(s), by phone or e-mail indicating that their Super User role has been activated.

How to Obtain a Digital Certificate and Who Should Get One?

The D-Trade System uses digital certificates issued by a General Services Administration (GSA) Access Certificates for Electronic Services (ACES) contractor (known as a Certificate Authority (CA)) to provide user identification, authorization, and digital signature capabilities. Digital certificates for use in the D-Trade System can be obtained from Digital Signature Trust (IdenTrust), and Operational Research Consultants (ORC). Contact information for each GSA certificate issuer can be found at http://dtrade.pmdtc.state.gov/getting_started_with_dtrade.htm. D-Trade users should follow the ACES contractor's individual instructions to obtain and store the ACES digital certificate issued to them. It is each user's responsibility to securely store (i.e., password protect) their ACES digital certificate.

Individuals who perform any of the following functions are **required to obtain** an ACES digital certificate:

1. Anyone who needs to sign-in or log-on to the System. You must sign into the System to perform any combination of the following:
 - a. Review status of submitted license applications for your company;
 - b. Retrieve status of batch submissions and included license applications;
 - c. Download the latest version of the electronic DSP-5 license application. Applications can be downloaded directly from the system;
 - d. Download the latest version of the Form Upgrader tool used to automatically populate data from an old version of an electronic application into the current version of the electronic application;
 - e. Manage the roles and responsibilities (e.g., system privileges) of other users (for your company);
2. Anyone who needs to digitally sign electronic license applications.
3. Anyone who submits electronic license applications directly to the D-Trade System.
4. Anyone who submits additional documentation on pending license applications sent directly to the D-Trade System.
5. Anyone who submits a batch submission directly to the D-Trade System.
6. Anyone who needs to submit an older version of an electronic license application directly to the D-Trade System to have data automatically populated into the current version of the electronic license application.
7. Anyone who will download the electronic version of cases with final decision.

Individuals who perform the following functions are **not required to obtain** an ACES digital certificate:

1. Download the latest version of each electronic license application. (These individuals may obtain the electronic license applications and required Forms Viewer from the D-Trade Information Center web page.)

2. Download the Viewer required to use and digitally sign electronic forms. (These individuals may obtain the electronic license applications and required Forms Viewer from the D-Trade Information Center web page.)
3. Anyone who works on electronic license applications off line and is not responsible for digitally signing or submitting the application to the System. (These individuals may obtain the electronic license applications and required Forms Viewer from the D-Trade Information Center web page.)

D-Trade System Requirements

The following are the D-Trade System Requirements:

- Microsoft Windows 98 Second Edition and above or Windows NT 4.0 with Service Pack 6;
- 128 MB of RAM;
- 40 MB of Disk Space (for the installation of the PureEdge Forms Viewer)
- Either Internet Explorer 6.0 and above or Netscape Navigator 6.1 and above;
- Acrobat Reader 5.1 and above.

After logging into the D-Trade System, you will need to download the PureEdge Forms Viewer and all necessary electronic forms.

User Enrollment with the D-Trade System

Enrollment Process

Users who perform any of the following tasks will need to enroll with the D-Trade System:

- Digitally sign license applications;
- Submit license applications;
- Submit batch submissions;
- Check the status of license applications;
- Submit additional documentation on a case in review;
- Retrieve electronically cases with final decisions; and/or
- Manage their company's users roles.

Each user must enroll themselves with the D-Trade System prior to using the private portion of the System. A user must first obtain an ACES digital certificate. Without the digital certificate, access to the private portion of the System will be denied.

Step 1.

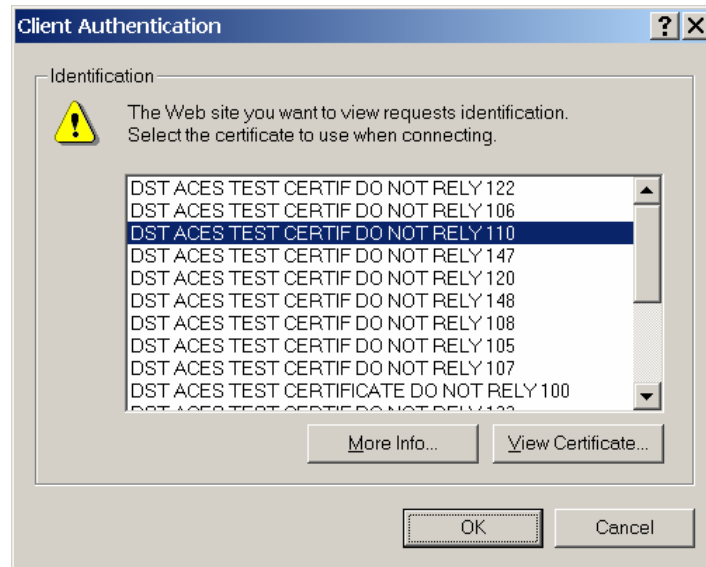


Figure 2. Select ACES Client Certificate

Access the private portion of the System at: <http://dtrade.pmddtc.state.gov>, and then select the 'Login' link; or access the private portion of the System directly via the following address: <https://dtrade.pmddtc.state.gov/DTC/CertificateLogin>.

Step 2.

The System will prompt the user for their ACES digital certificate (Figure 2). Select the appropriate certificate from the list and select 'OK'.

NOTE: The request to select the appropriate certificate is only performed if multiple certificates are stored within the user's browser. If only one certificate is stored within the browser the user is immediately prompted for the password that protects the certificate (see Figure 2).

The System will prompt the user for the password that protects the ACES digital certificate (Figure 3).



Figure 3. Enter Certificate Password

NOTE: It is the individual user’s responsibility to properly protect his/her ACES digital certificate. It should be installed to require a Password to access it.

Step 3.

The System detects that a user is accessing the System for the first time. The System will pre-fill the user enrollment/registration screen with certain information obtained from the digital certificate (Figure 4). The user is required to complete **all** fields. The user may modify information in all fields except the User ID field. The User ID is a unique identifier found in the digital certificate and may not be altered. The user selects the company for which they are employed.

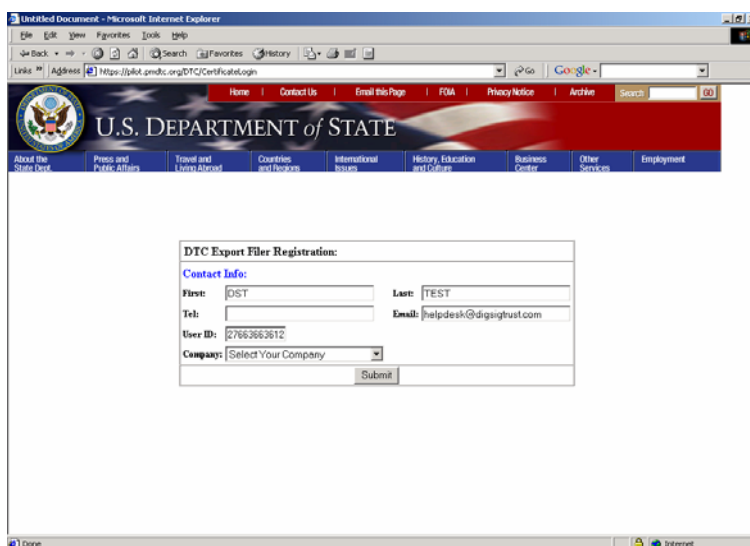


Figure 4. D-Trade User Enrollment/Registration Screen

Step 4.

The System confirms a successful enrollment/registration (Figure 5). At this point the user is known to the System; however, the user has only minimal privileges. This new user may sign into the System but can only download the electronic license applications and Viewer. The new user must be granted additional privileges by a designated user (Super User) of the new user’s company.

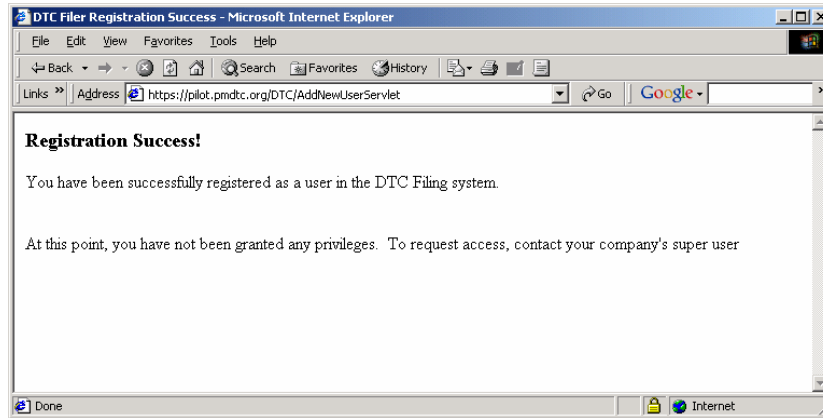


Figure 5. D-Trade Enrollment/Registration Confirmation

Super User Enrollment/Registration

The company's Super User is the person who will manage roles or privileges for all of the company's users on the private portion of the D-Trade System. Managing user roles is further discussed in the MANAGING USERS section. The designated Super User must first enroll with the System as described in GETTING STARTED. Then the Super User's individual user privilege is set as "Super User" after receipt of a letter on company stationary and signed by an empowered official (as defined in ITAR Section) designating the company's Super User(s). The letter must be faxed to DDTC at (202) 663-2756 and must include the following information:

- Company name;
- PM/DDTC Registration Code;
- List of Super User(s) name including their telephone number and email address;
- Company telephone number; and
- Company fax number.

A member of the D-Trade Help Desk will contact the Super User(s), indicating that their Super User role has been granted.

Super User enrollment/registration is an important step because it is the Super User who will grant privileges to other registered users of their company. The Super User must designate other users to have the proper privileges before these users may submit any license applications to the System.

Potential Errors

The following are potential errors and the corresponding system notifications a user may encounter during user enrollment.

Incorrect Digital Certificate Password

When prompted for a digital certificate password (see Figure 3), if an incorrect password is entered the following error screen is displayed (Figure 6).

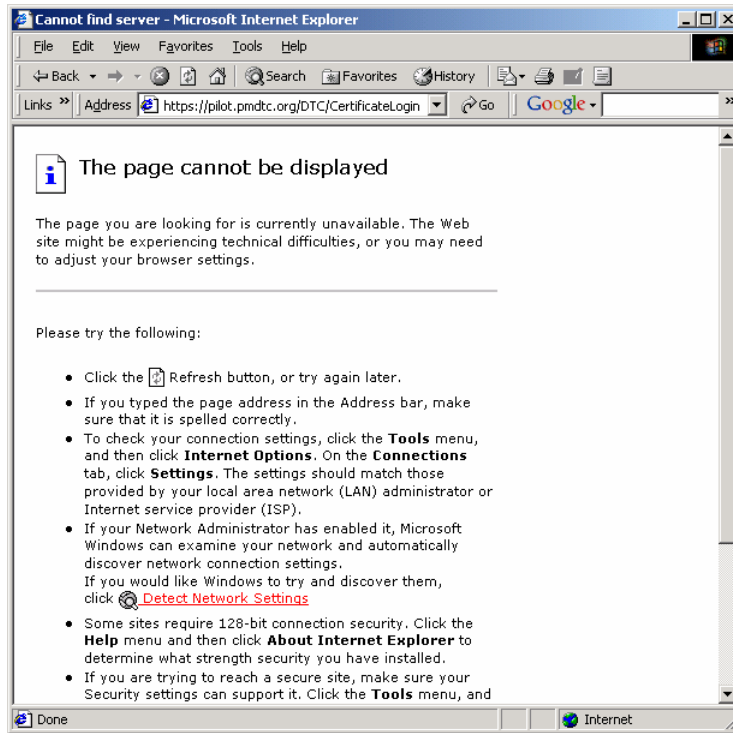


Figure 6. Incorrect Password Error During D-Trade User Enrollment/Registration

Resolution: The current browser window must be closed. Open a new browser window. Re-access the System and correctly enter certificate password when prompted.

Digital Certificate Not Accessible

When attempting to access the System should an appropriate ACES digital certificate not be available (e.g., user has not obtained a certificate, certificate not stored or properly stored within the user's browser) the following screen is displayed (Figure 7).

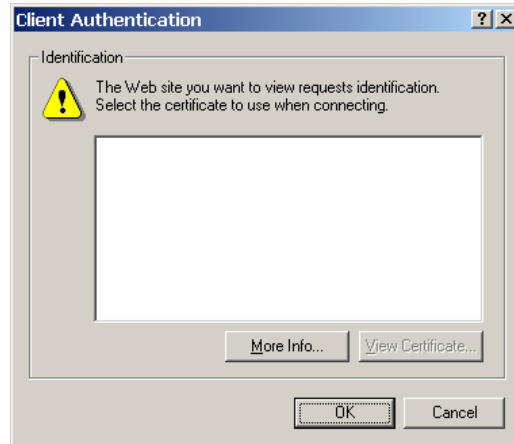


Figure 7. Access Denied

Resolution: Obtain and/or properly install a valid ACES digital certificate.

Accessing the D-Trade System

The functionality that an Industry user needs will affect if he needs to access the D-Trade System. You will log into the private portion of D-Trade to perform any of the following:

- Enroll/Register with the D-Trade System;
- Manage user roles for your company;
- Submit a completed and digitally signed electronic DSP-5, DSP-61, or DSP-73 form;
- Check the status of a previously submitted electronic application;
- Submit additional documentation on the application license that is in review;

Retrieve the electronic version of the case in which DDTC has rendered a decision;

Access to the Public Portion of the D-Trade System

Step 1.

Access the public portion of the D-Trade System at:

<http://dtrade.pmdtc.state.gov/DTC/Registration>.

Step 2.

The user is then presented with an initial welcome screen (see Figure 8).

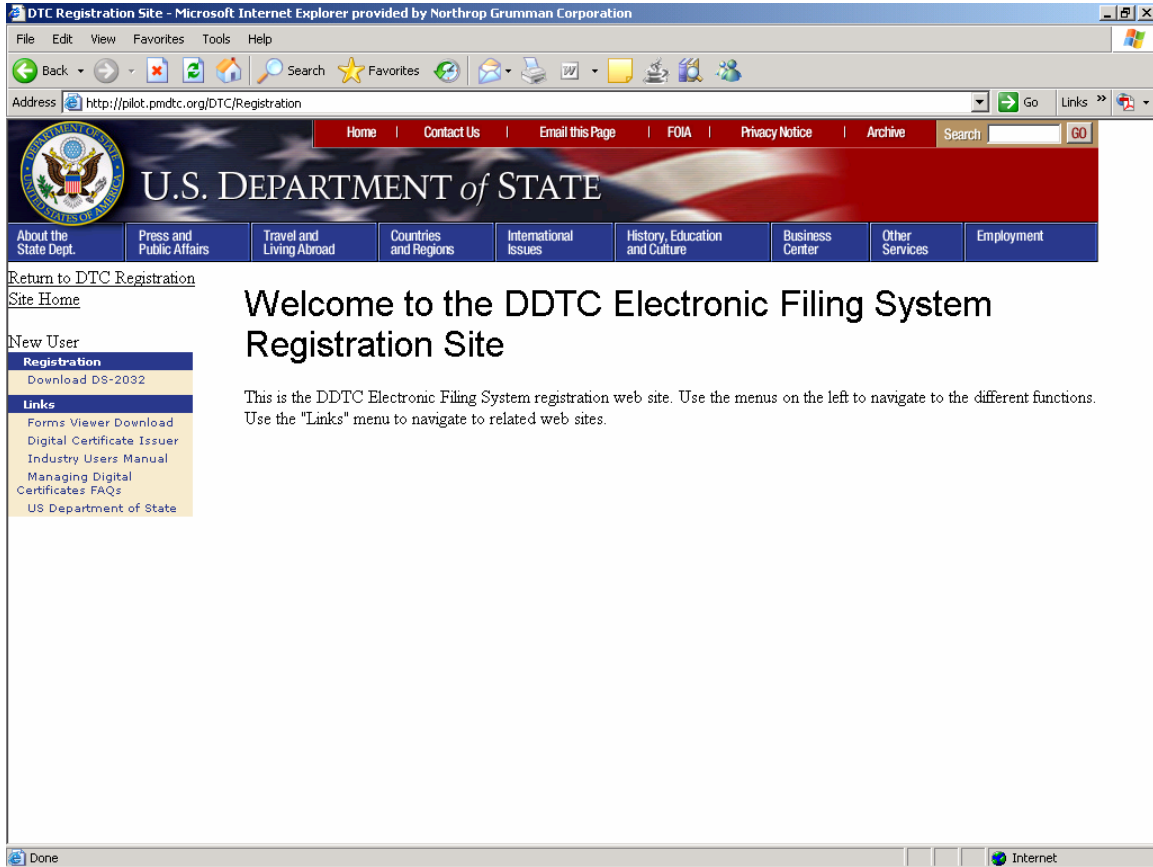


Figure 8. Welcome Screen to D-Trade Without Logging In

The left navigation bar (menu in left/central portion of Figure 8) presents the functions that a user is allowed to perform without logging into the D-Trade.

Access to the Private Portion of the D-Trade System

To log into the private portion of the D-Trade System, a user must have first registered themselves with the D-Trade System (see GETTING STARTED). A user must possess an ACES digital certificate. Without the digital certificate, access to the System will be denied. See GETTING STARTED for information on obtaining an ACES digital certificate.

Step 1.

Access the private portion of the System at: <http://dtrade.pmdtc.state.gov>, and then select the 'Login' link; or access the private portion of the System directly via the following address: <https://dtrade.pmdtc.state.gov/DTC/CertificateLogin>

Step 2.

The System will prompt the user for his/her ACES digital certificate and password as described in GETTING STARTED.

Step 3.

Upon successful sign-in the user is notified he/she is accessing a US Government computer system (**Figure 9**). After reading this notice the user selects the ‘Continue’ button to acknowledge the notice and to proceed.

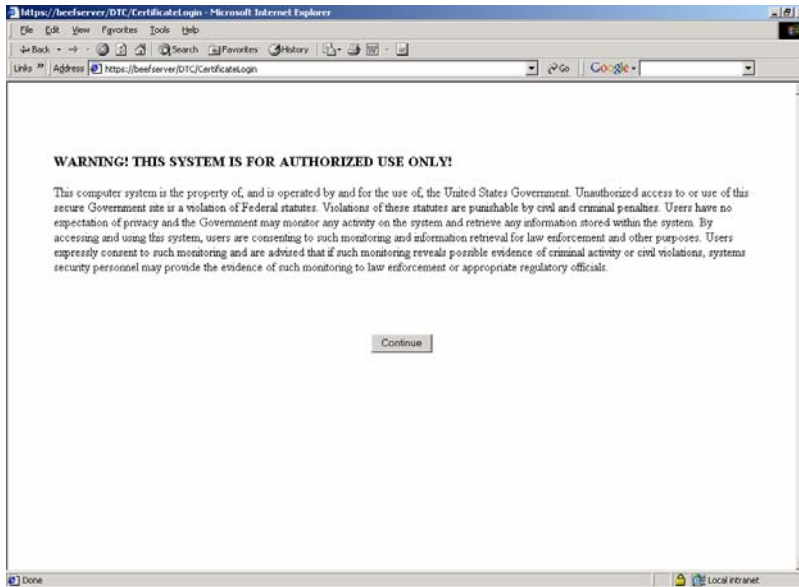


Figure 9. US Government Computer System Notification

The user is then presented with an initial welcome screen (see Figure 10).

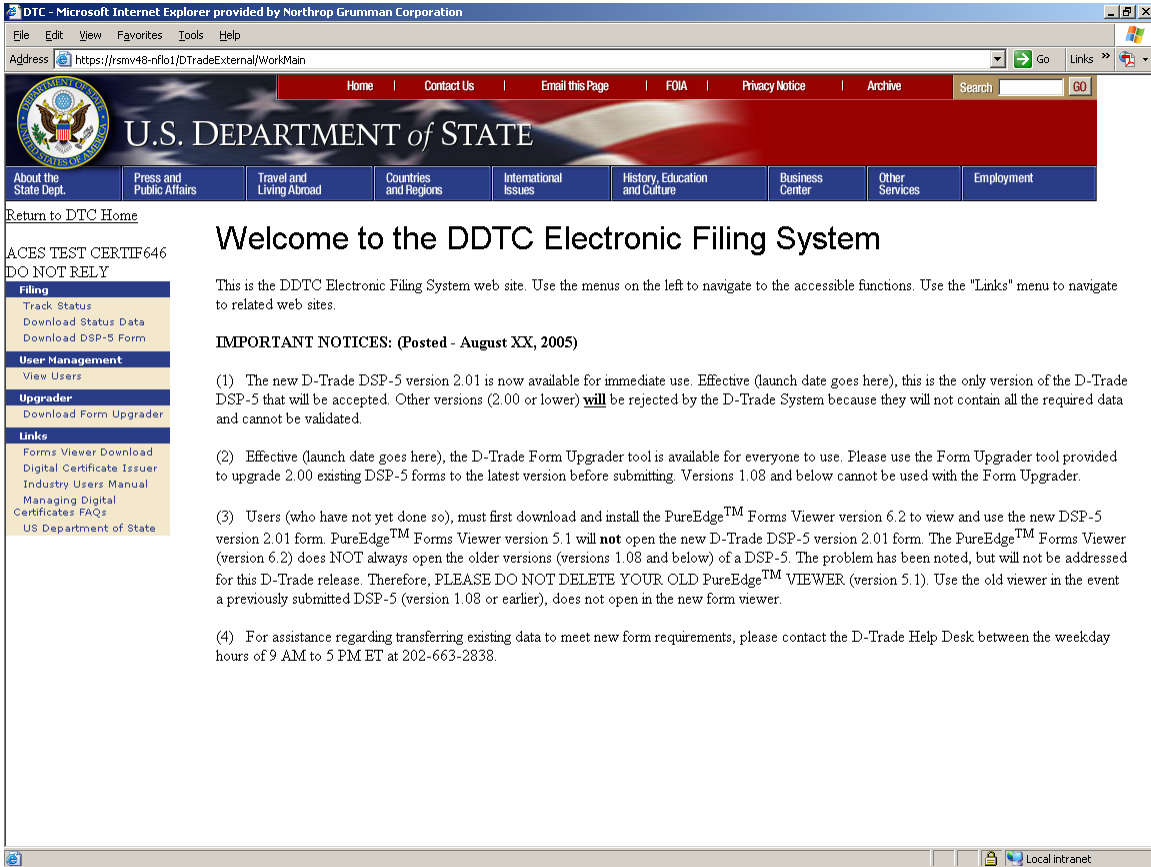


Figure 10. Welcome Screen Presented When User Logs Into D-Trade

The left navigation bar (menu in left/central portion of Figure 10) presents the functions that a user is allowed to perform. This set of functions reflects the current privileges this user has within the System. A company’s Super User is responsible for assigning individual users’ privileges (for that company). The navigation bar depicted in Figure 10 reflects a user with the fullest set of privileges permitted within the System.

Potential Errors

The following are potential errors and the corresponding system notifications a user may encounter when logging into the private portion of the D-Trade System.

Incorrect Digital Certificate Password

Same as described in the **Incorrect Digital Certificate Password** section.

| Error Message | Resolution |
|--|--|
| Your request failed because your certificate has been revoked. | Obtain a new ACES certificate and re-register. |
| Your request failed because your certificate has expired. | Obtain a new ACES certificate and re-register. |
| Your request failed because your certificate has been | Obtain a new ACES certificate |

| Error Message | Resolution |
|--|--|
| suspended. | and re-register. |
| Your request failed because your certificate failed verification. | Obtain a new ACES certificate and re-register. |
| Your request failed because your certificate issuer is unknown. | Obtain a new ACES certificate and re-register. |
| Your request failed because the certificate you submitted is not valid for this system. (Unparsable) | Obtain a new ACES certificate and re-register. |
| Your request failed because there is an internal system error. Please try again later. (Busy) | Try again later. |
| Your request failed because there is an internal system error. Please try again later. (Timeout) | Try again later. |
| Your request failed because the certificate you submitted is not valid for this system. (Cert Unknown) | Obtain a new ACES certificate and re-register. |
| Your request failed because the certificate you submitted is not valid for this system. (Communications) | Obtain a new ACES certificate and re-register. |

Table 1. Aces Digital Certificate Errors

Download Forms Viewer

The electronic license application forms require a Forms Viewer to be installed on each workstation where a user wishes to view or manipulate the forms. The following instructions describe how to download and install the Forms Viewer from the System. (Please note that The Forms Viewer can also be downloaded from the D-Trade Information Center.)

In this section, Forms Viewer and PureEdge Viewer are synonymous and will be used interchangeably.

IMPORTANT NOTE: If you have saved version 1.08 or earlier of completed electronic DSP-5 forms, DO NOT remove/delete the Forms Viewer version 5.1 from your computer. You will need the Forms Viewer version 5.1 to open up these DSP-5 files. You will not be able to open up version 1.08 or earlier of the DSP-5 using the newer version of the Forms Viewer, version 6.2.

Step 1.

Selecting the 'Forms Viewer Download' option under the 'Links' portion of the left menu bar presents the screen depicted in Figure 11. Select the 'Download PureEdge Viewer' link at the bottom of the screen.

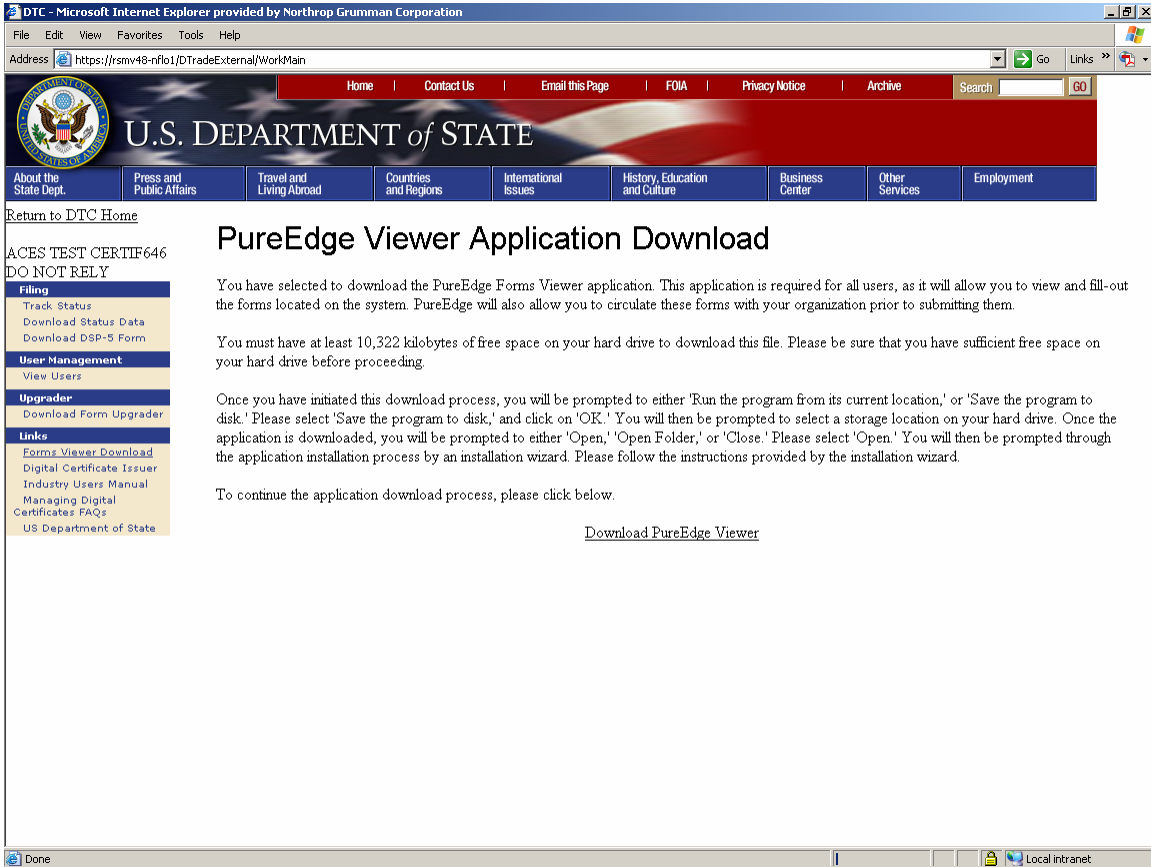


Figure 11. Forms Viewer Download Option

Step 2.

The user will be prompted with a File Download window as shown in Figure 12. Click on 'Save'.

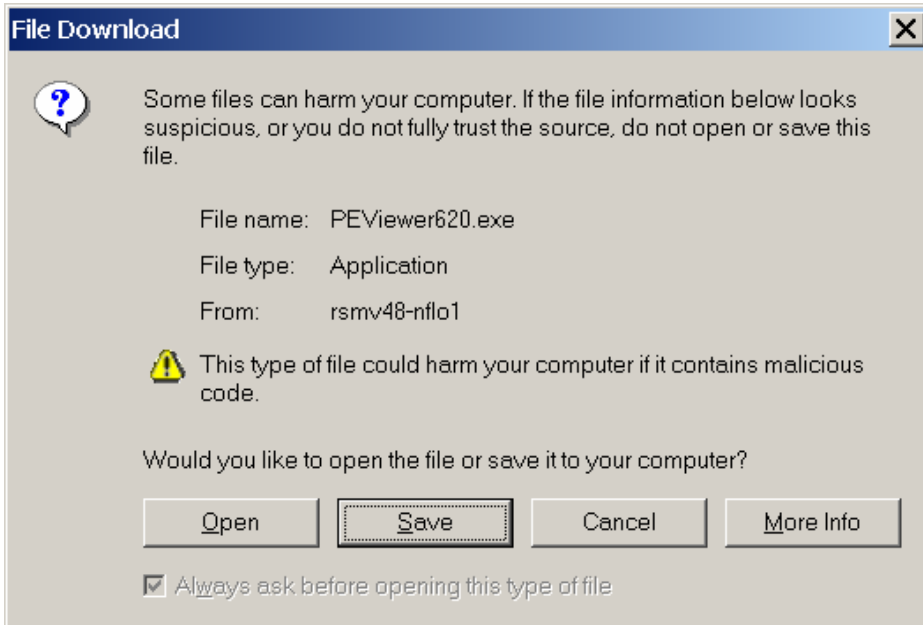


Figure 12. File Download Prompt

Step 3.

The user will be prompted to save an Install application as depicted in Figure 13. The Install application is a program that will install the Forms Viewer on the workstation; it is not the Forms Viewer itself. Browse to where you want to save the Install application and select 'Save'.

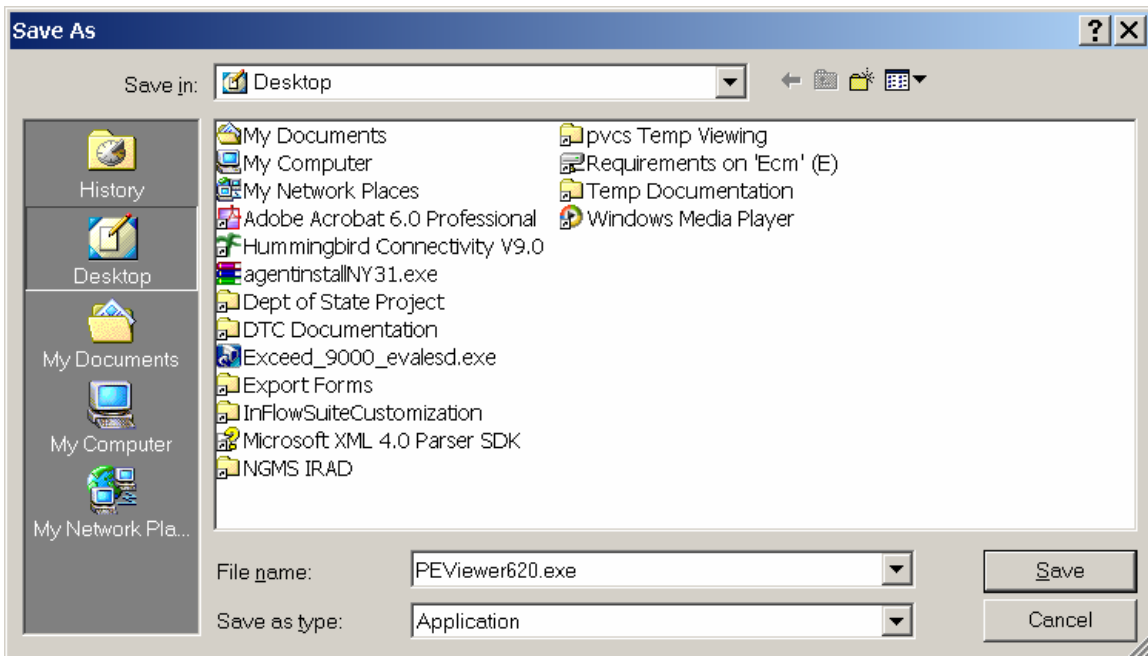


Figure 13. Save Install Application

Step 4.

The download process begins and proceeds as depicted in **Error! Reference source not found.** Depending on the user's Internet connection bandwidth the download may take several minutes. When the download is complete select 'Open' to continue the installation process, or 'Close' to halt the process at this point (see Note below).

NOTE: At this point the Install Application has been downloaded but not executed to actually install the form viewer application. The user may complete the installation process at any time by browsing to the saved Install Application using the Windows Explorer program and double clicking the file named 'PEViewer620.exe'. This will initiate the installation process at Step 5.

Step 5.

Select 'Yes' as depicted in Figure 14.

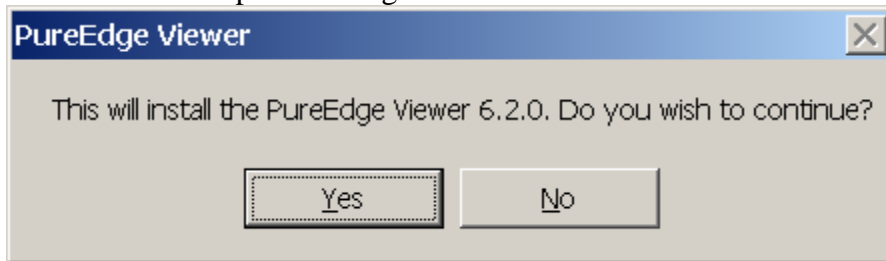


Figure 14. PureEdge Viewer 6.2.0 Install Prompt

NOTE: To install the Forms Viewer under Windows NT 4.0/2000/XP, you must be logged onto Windows and have the necessary privileges to install software on your computer (i.e., have administrator rights on your computer). If do not have the necessary privileges, an administrator will need to log onto Windows to install the software. To install the Forms Viewer under Windows 98/ME, no special privileges are needed.

Step 6.

Select 'Next >' to continue as depicted in Figure 15.

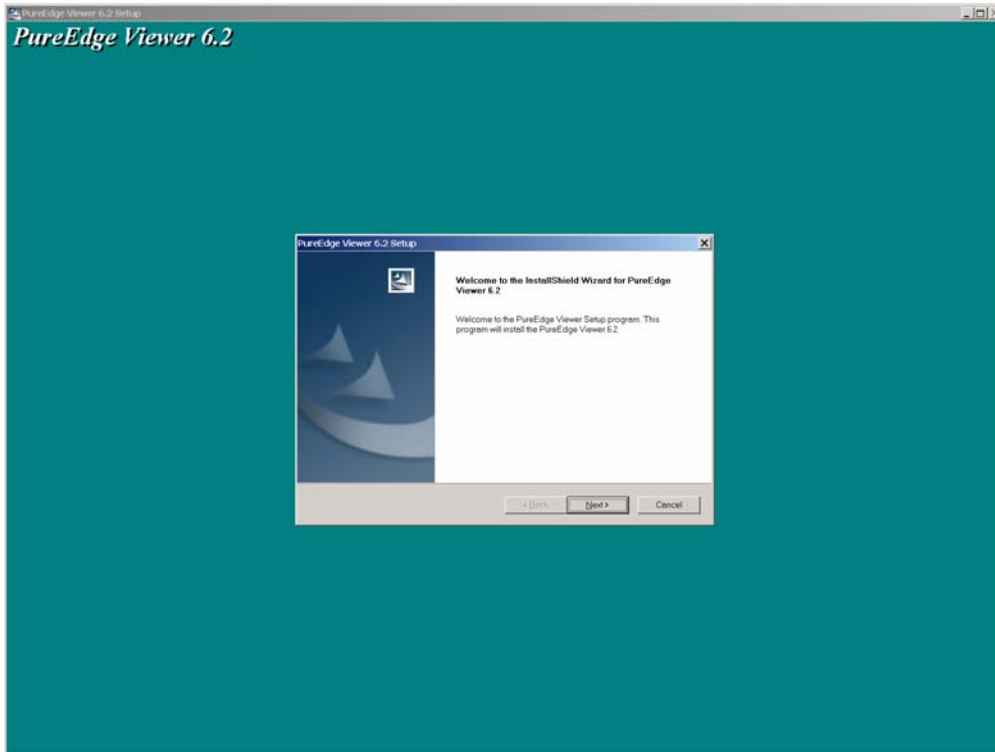


Figure 15. PureEdge Viewer 6.2 Welcome Screen

Step 7.

Read PureEdge Viewer 6.2 License Agreement. Select 'Yes' to continue as depicted in Figure 16.

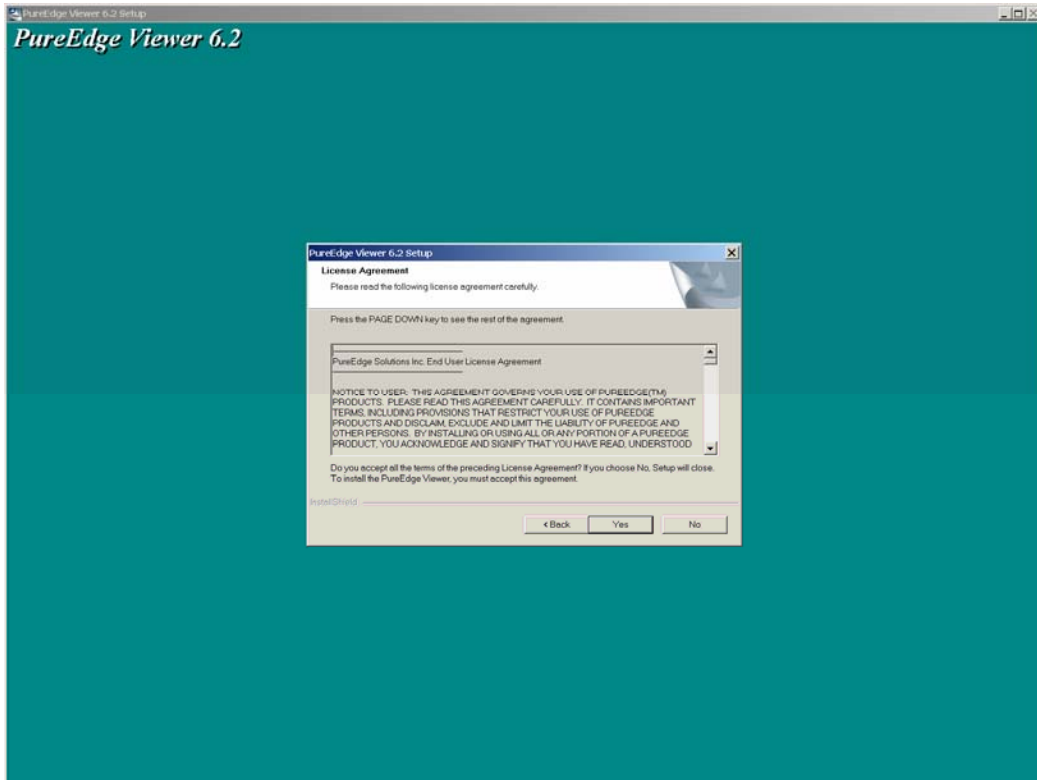


Figure 16. End-User License Agreement Screen

Step 8.

Enter values for 'User Name' and 'Company Name'. Select 'Next >' to continue as depicted in Figure 17.

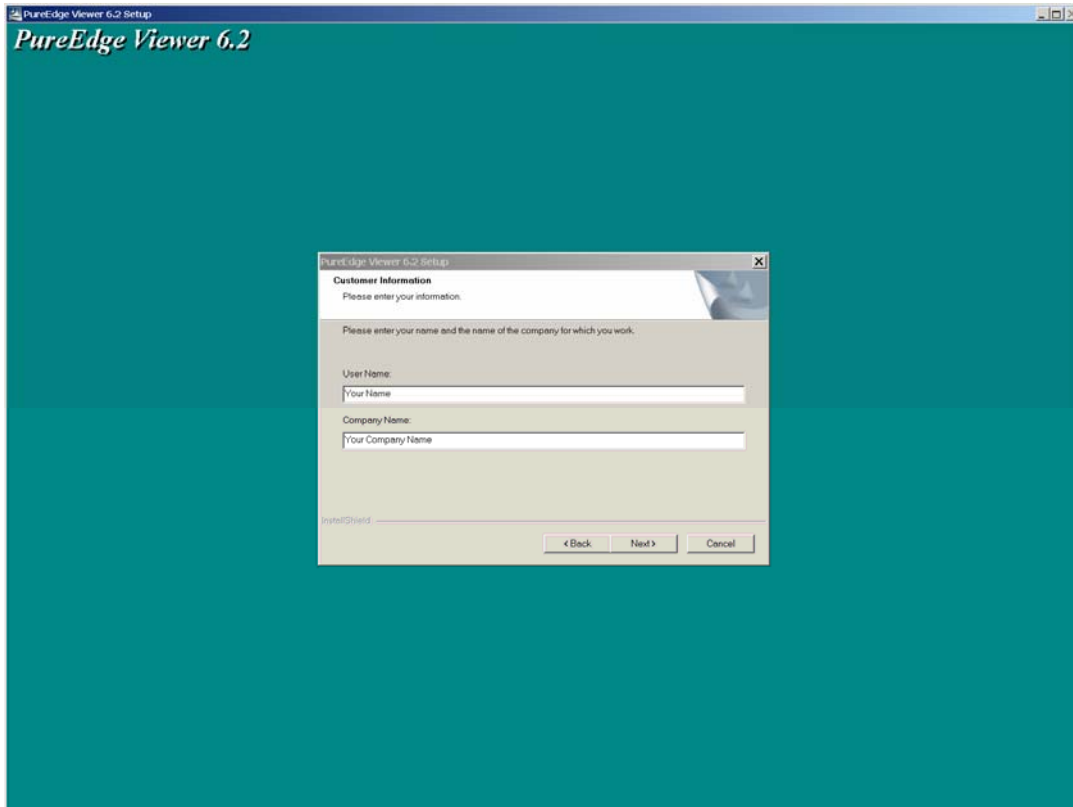


Figure 17. Customer Information Screen

Step 9.

Browse to a location where to install the PureEdge Viewer application. (Recommendation is to accept default location.) Select 'Next >' to continue as depicted in Figure 18.

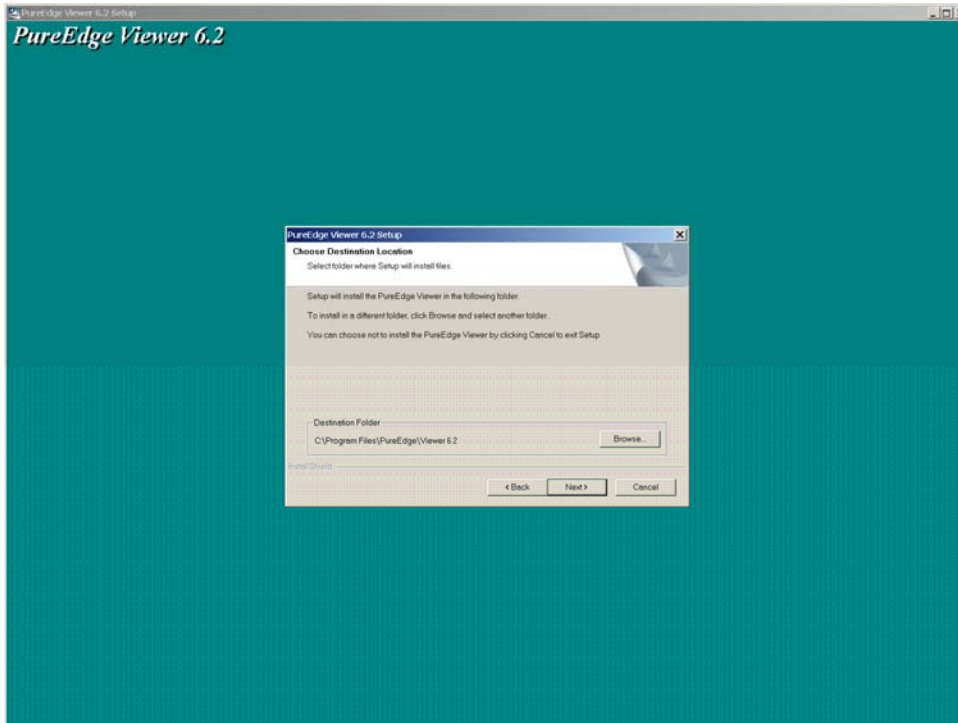


Figure 18. Destination Location Screen

Step 10.

Enter the name you wish to give the program folder. (Recommendation is to accept default name.) Select 'Next >' to continue as depicted in Figure 19. The actual installation will proceed as depicted in Figure 20.

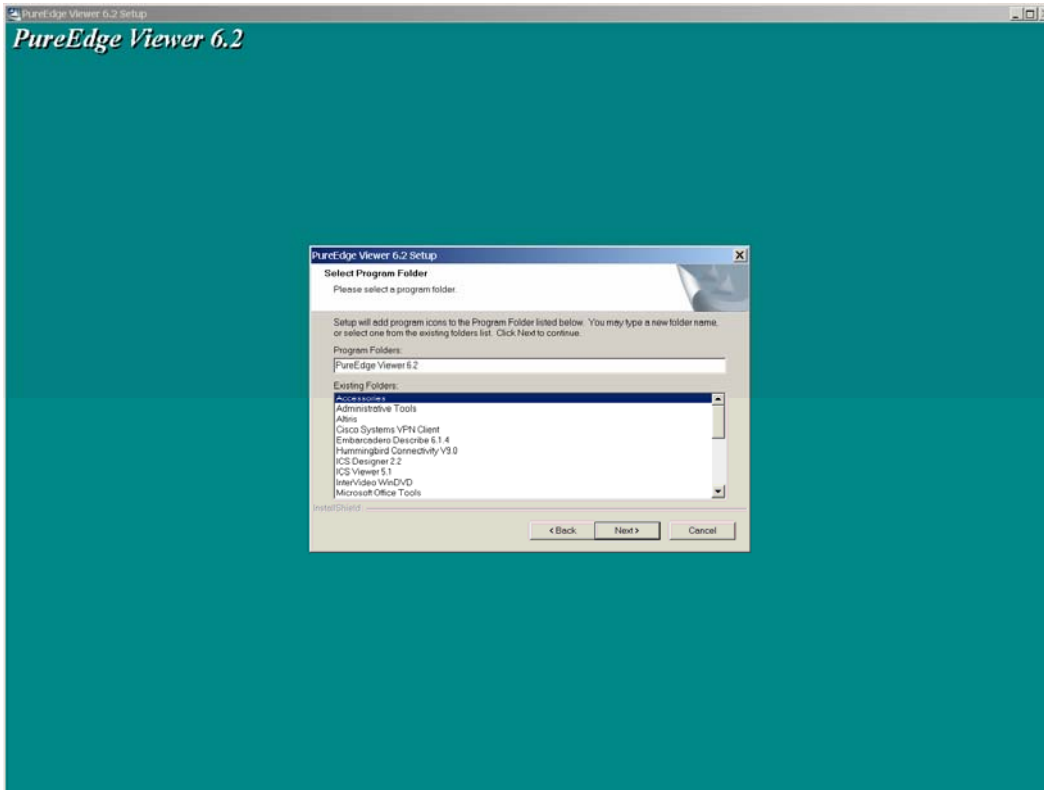


Figure 19. Program Folder Screen

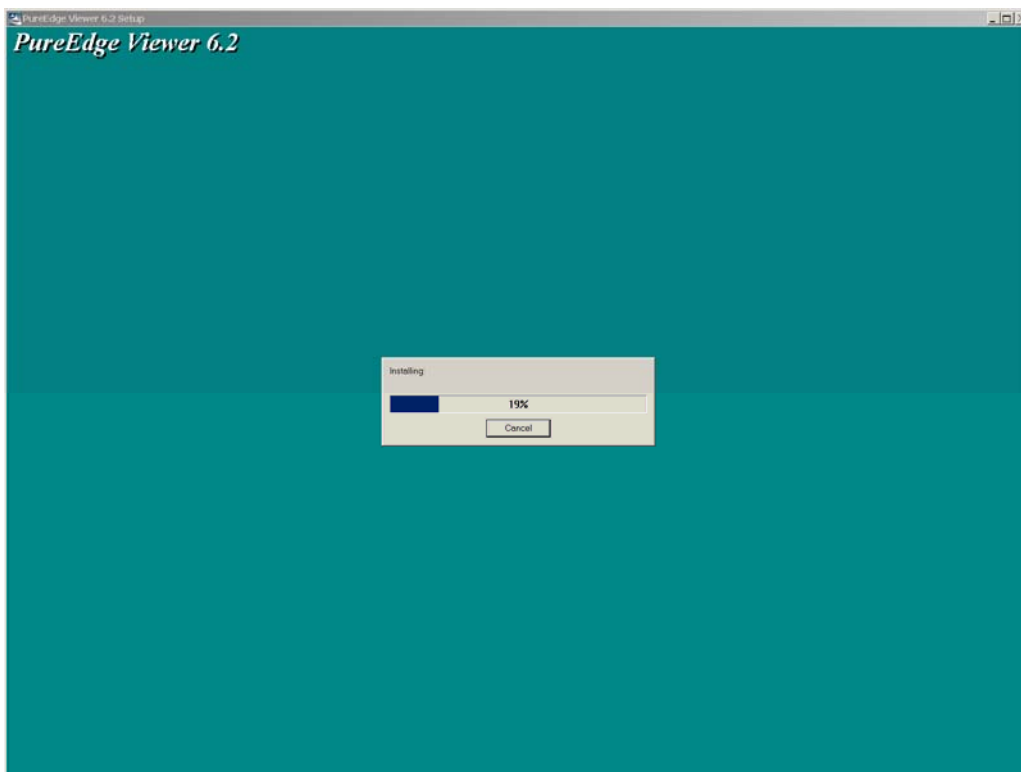


Figure 20. Actual Installation Screen

Step 11.

Select 'Finish' to complete the installation process as depicted in Figure 21. The PureEdge Viewer 6.2 is launched and the PureEdge Viewer Help Information window is presented as depicted in Figure 22.

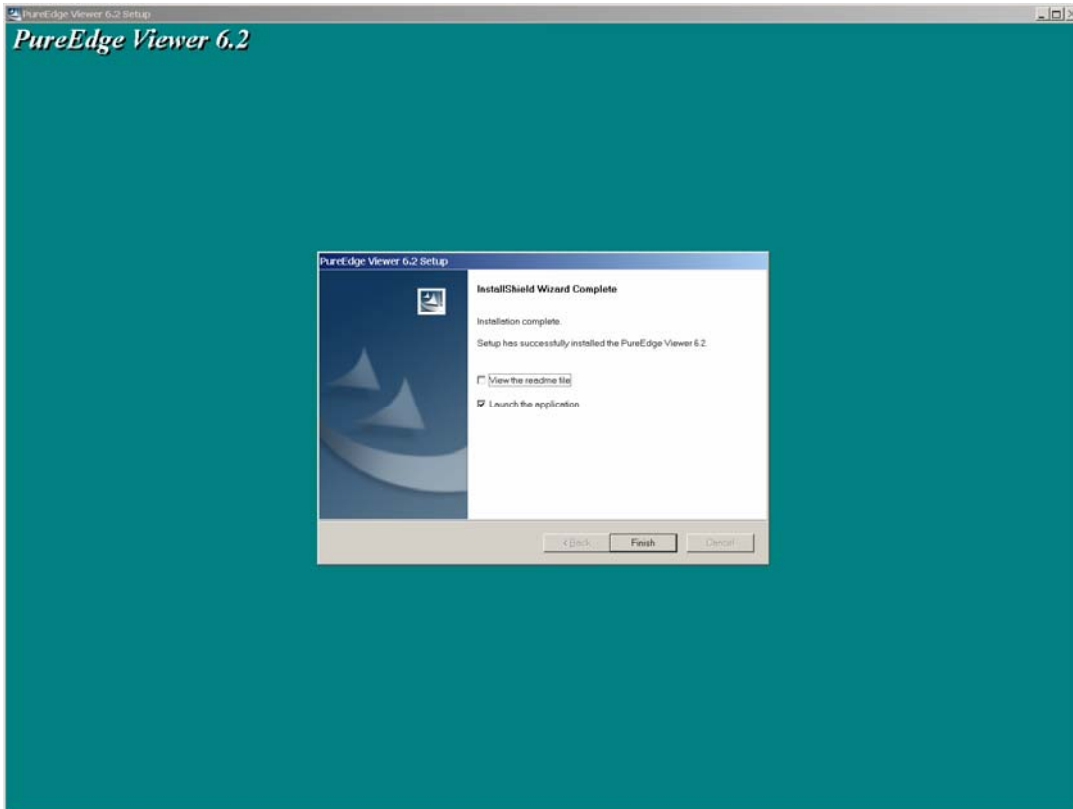


Figure 21. Installation Complete Screen

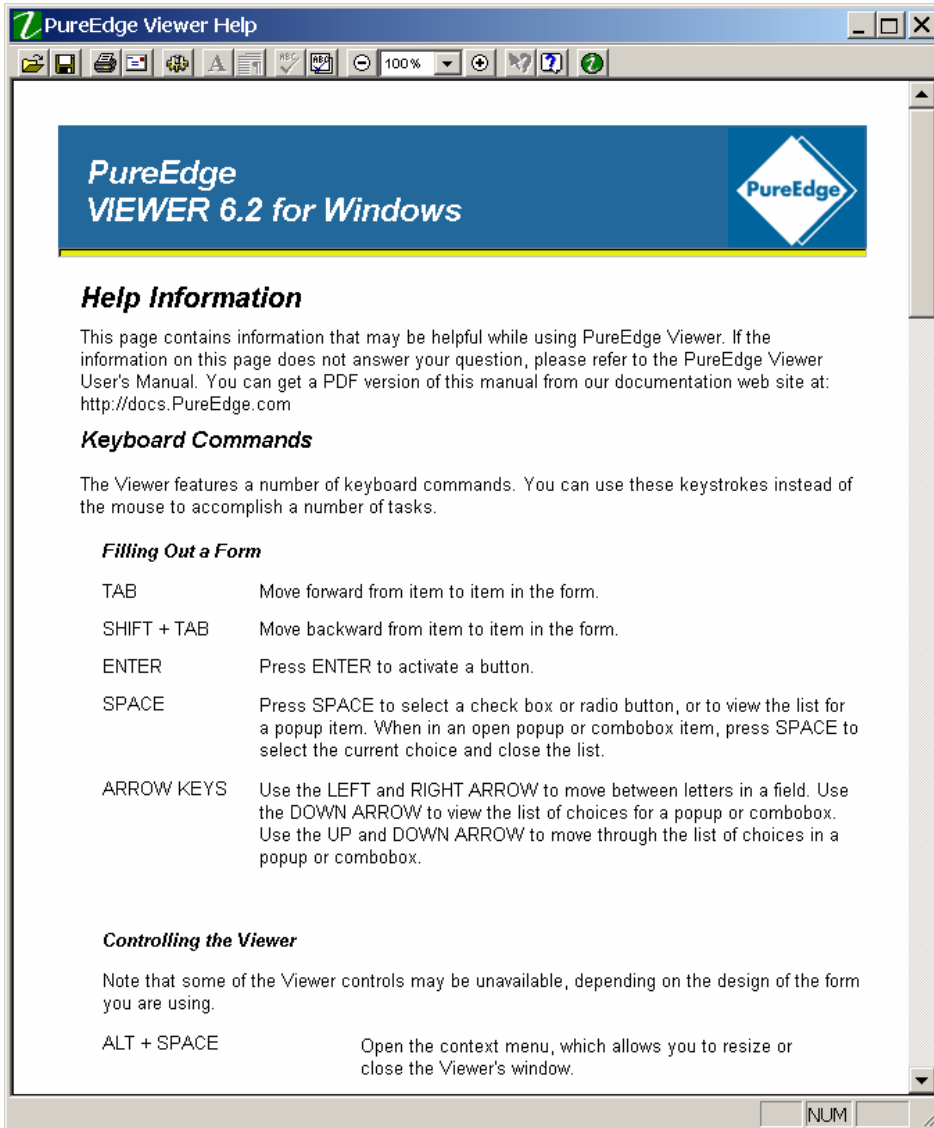


Figure 22. Help Information Screen

Download Electronic Form

NOTE: Prior to selecting this option, the user must download and install the required Forms Viewer.

Step 1.

After signing into the private portion of the D-Trade System, the following forms are available for download:

- Download DSP-5 Form
- Download DSP-61 Form
- Download DSP-73 Form

These options provide access to the most current version of each electronic form. Select an option to download an electronic form. (Please note that DSP-5 form can also be downloaded from the D-Trade Information Center.)

Step 2.

Figure 23 illustrates the results of a successful download for a DSP-5, DSP-61, DSP-73 form. The user should save this form for future use by clicking on the 'Save' button within the form.

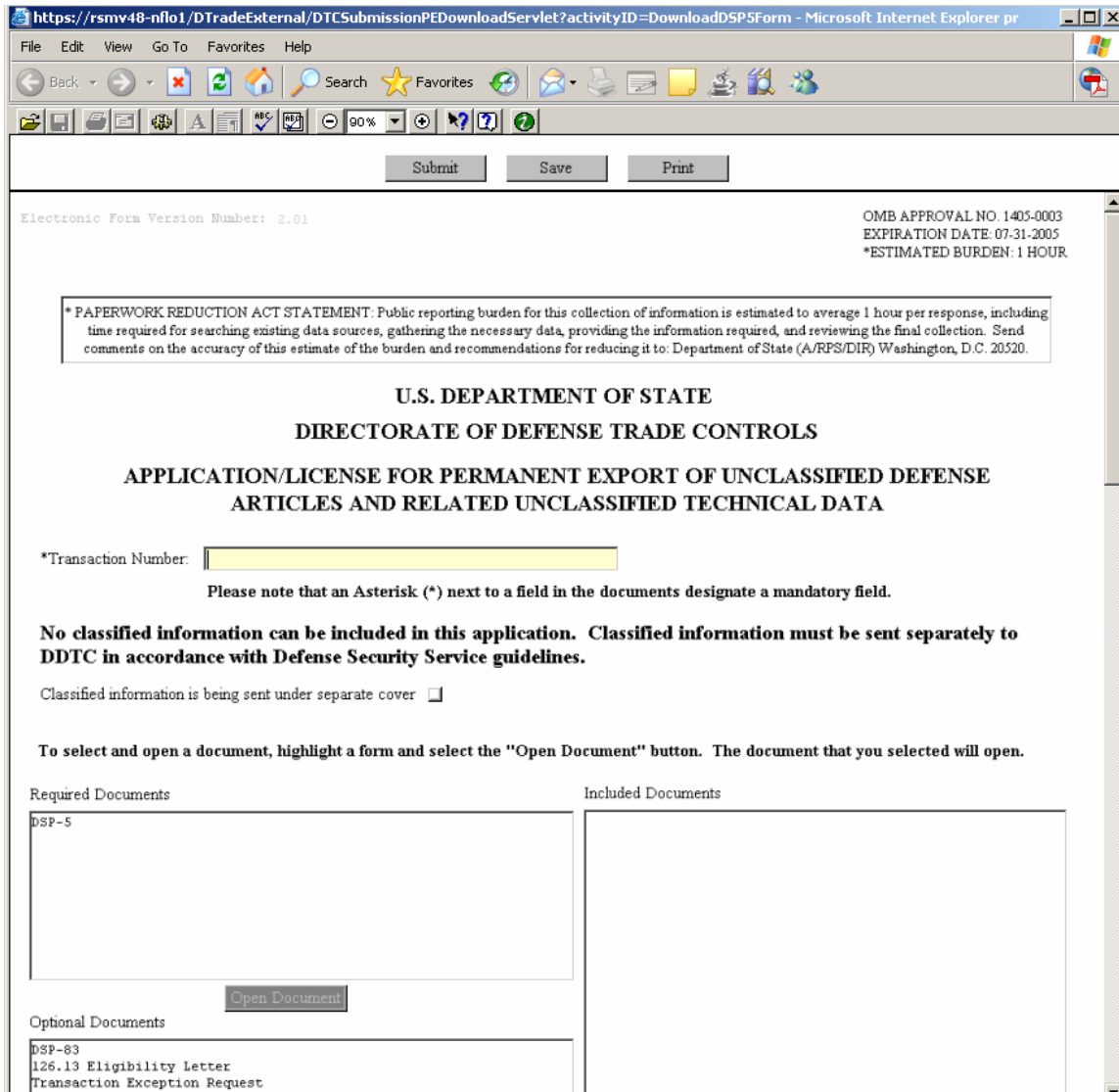


Figure 23. DSP-5 Form Download

NOTE: The electronic form is versioned. The version number can be found in the upper-left-hand portion of the form (e.g., Electronic Form Version Number 2.2). The System supports the acceptance of only specific form versions or form versions above a specific value. If the user receives an invalid form version number error message, this version number is the subject of that message. (See Section Error! Reference source not found. For the specific error message.)

Step 3.

The user is prompted with the warning shown in Figure 24. The warning can be ignored since a blank form is being saved. Click on 'Yes' to continue. If the warning appears again, click on 'Yes' again.

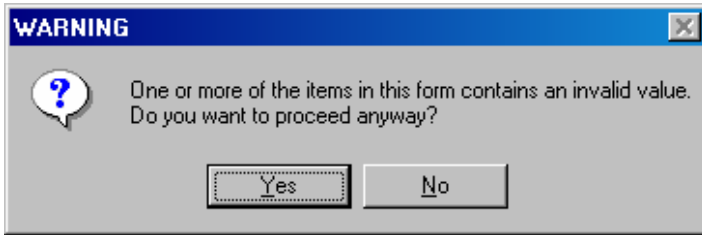


Figure 24. Saving Downloaded Form Warning

Step 4.

The user is prompted to save the form as displayed in Figure 25. Browse to where you want to save the form, provide a file name with the extension “.xfd” (<filename.xfd>) and select ‘Save’.

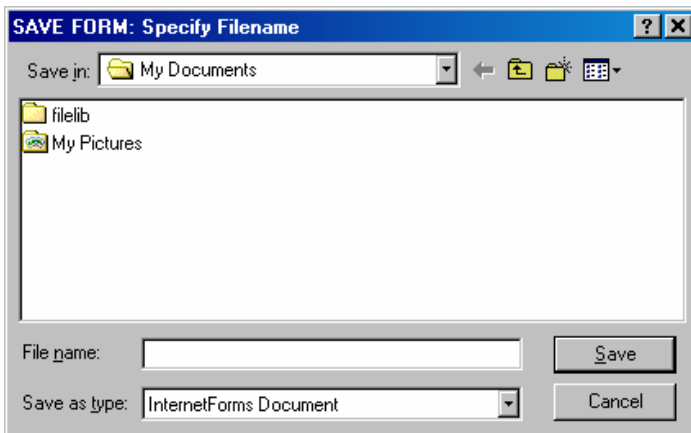


Figure 25. Save Form Prompt

The form is saved.

Download DS-61 Form

NOTE: Prior to selecting this option, the user must download and install the required Forms Viewer.

Step 1.

After accessing the public portion of the D-Trade System, the user is able to select ‘Download DSP-61’. This provides access to the most current version of the electronic DSP-61 form.

Step 2.

Figure 26 illustrates the results of a successful download. The user should save this form for future use by clicking on the ‘Save’ button within the form.

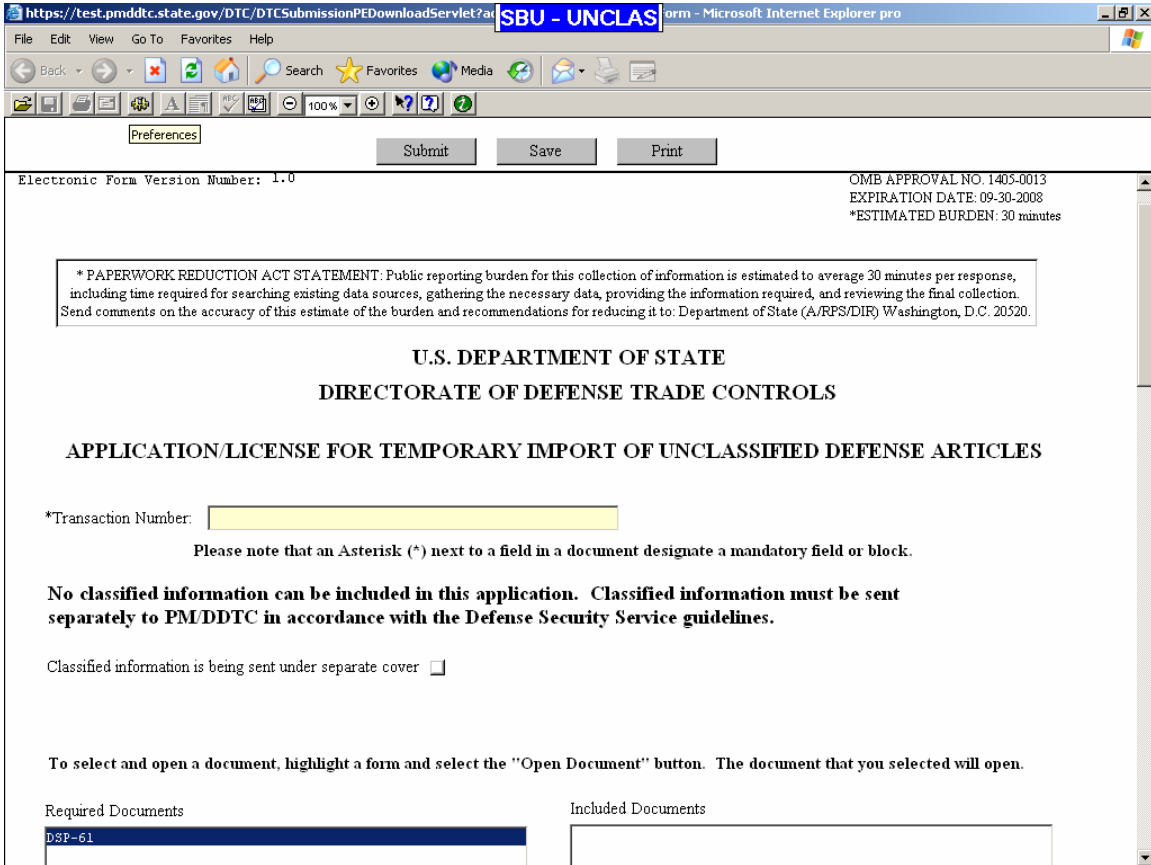


Figure 26. DSP-61 Form Download

NOTE: The electronic form is versioned. The version number can be found in the upper-left-hand portion of the form (e.g., Electronic Form Version Number 1.0). The System supports the acceptance of only specific form versions or form versions above a specific value. If the user receives an invalid form version number error message, this version number is the subject of that message. (See Section Error! Reference source not found. for the specific error message.)

Step 3.

The user is prompted with the warning shown in Figure 27. The warning can be ignored since a blank form is being saved. Click on 'Yes' to continue. If the warning appears again, click on 'Yes' again.

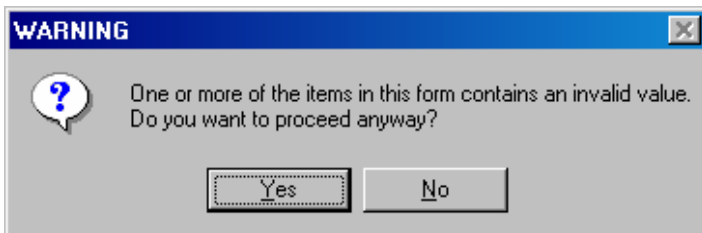


Figure 27. Saving Downloaded Form Warning

Step 4.

The user is prompted to save the form as displayed in Figure 28. Browse to where you want to save the form, provide a file name with the extension “.xfd” (<filename.xfd>) and select ‘Save’.

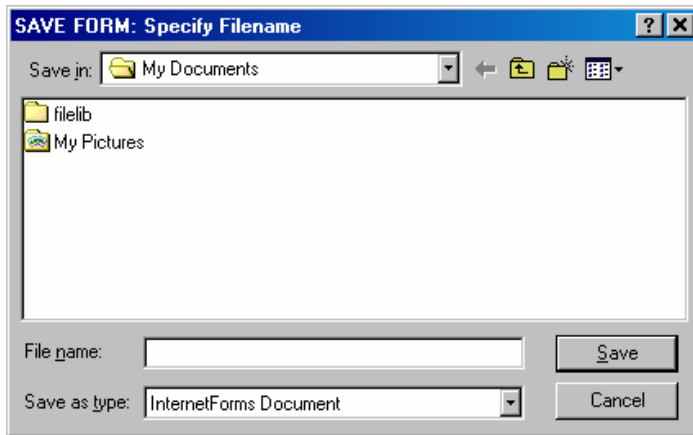


Figure 28. Save Form Prompt

The form is saved.

Download DS-73 Form

NOTE: Prior to selecting this option, the user must download and install the required Forms Viewer.

Step 1.

After accessing the public portion of the D-Trade System, the user is able to select ‘Download DSP-73’. This provides access to the most current version of the electronic DSP-73 form.

Step 2.

Figure 3-29 illustrates the results of a successful download. The user should save this form for future use by clicking on the ‘Save’ button within the form.

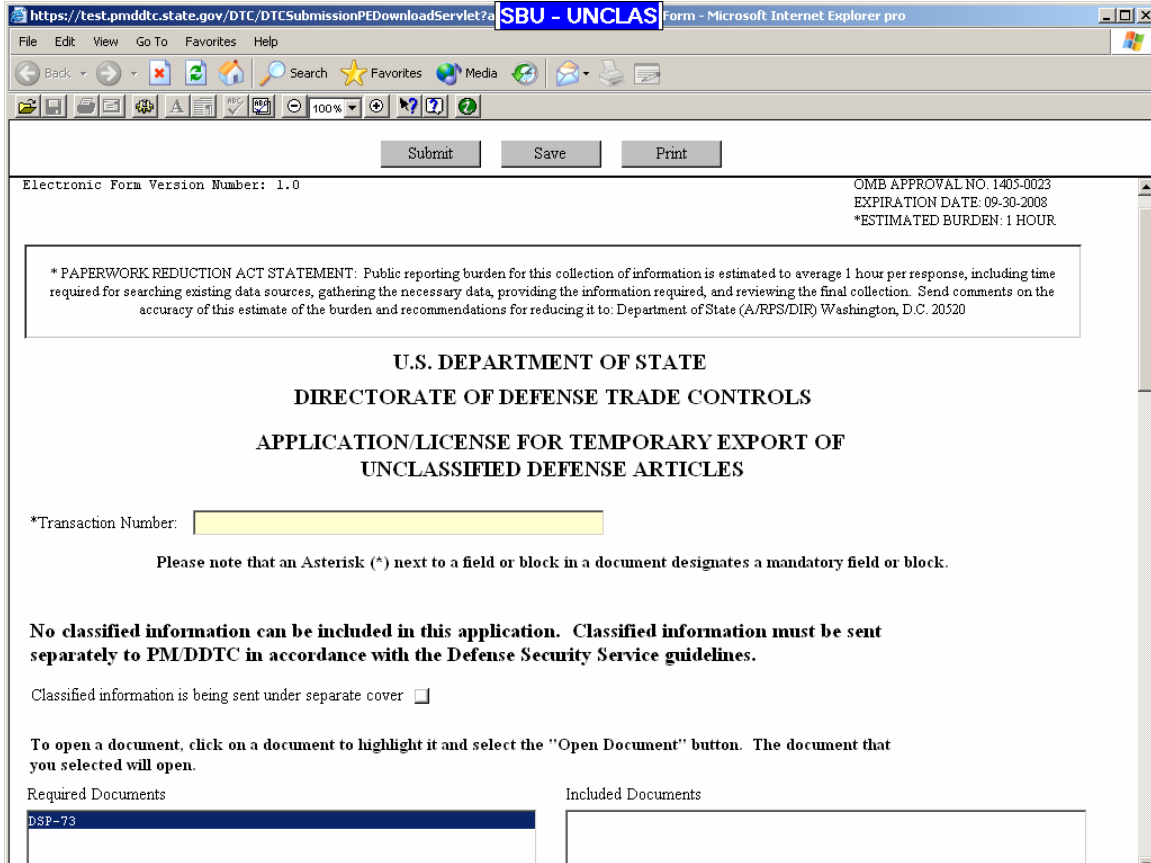


Figure 0-29. DSP-71 Form Download

NOTE: The electronic form is versioned. The version number can be found in the upper-left-hand portion of the form (e.g., Electronic Form Version Number 1.0). The System supports the acceptance of only specific form versions or form versions above a specific value. If the user receives an invalid form version number error message, this version number is the subject of that message. (See Section Error! Reference source not found. for the specific error message.)

Step 3.

The user is prompted with the warning shown in Figure 3-30. The warning can be ignored since a blank form is being saved. Click on 'Yes' to continue. If the warning appears again, click on 'Yes' again.

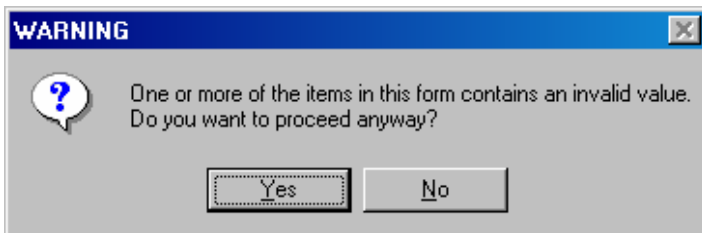


Figure 0-30. Saving Downloaded Form Warning

Step 4.

The user is prompted to save the form as displayed in Figure 3-31. Browse to where you want to save the form, provide a file name with the extension “.xfd” (<filename.xfd>) and select ‘Save’.

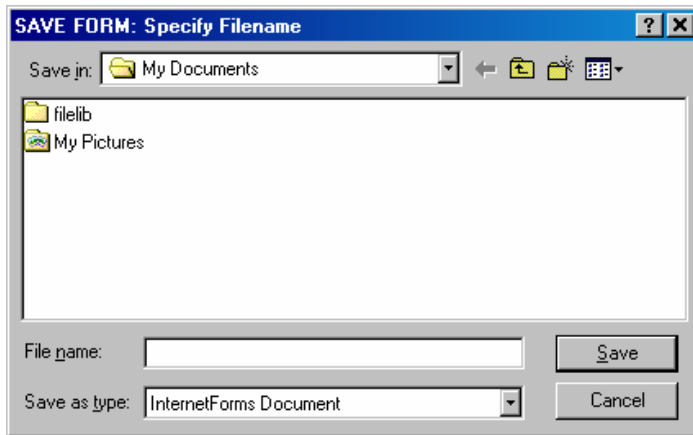


Figure 0-31. Save Form Prompt

The form is saved.

Potential Errors

The following are potential errors and the corresponding system notifications a user may encounter when downloading a form.

Forms Viewer Not Installed

Figure 23 illustrates the expected results if the Forms Viewer had been previously installed on the workstation. If the Forms Viewer is not present the browser does not know how to process the form. The default action is to present the user the option to download and save the file in question. **Error! Reference source not found.**Depicts the resulting prompt for a filename and location to save the form. It is suggested the user enter a meaningful file name such as ‘DSP-61 form’. Following this, the form will be downloaded and saved to the designated location. The user must obtain and install the Forms Viewer before the electronic form is usable.

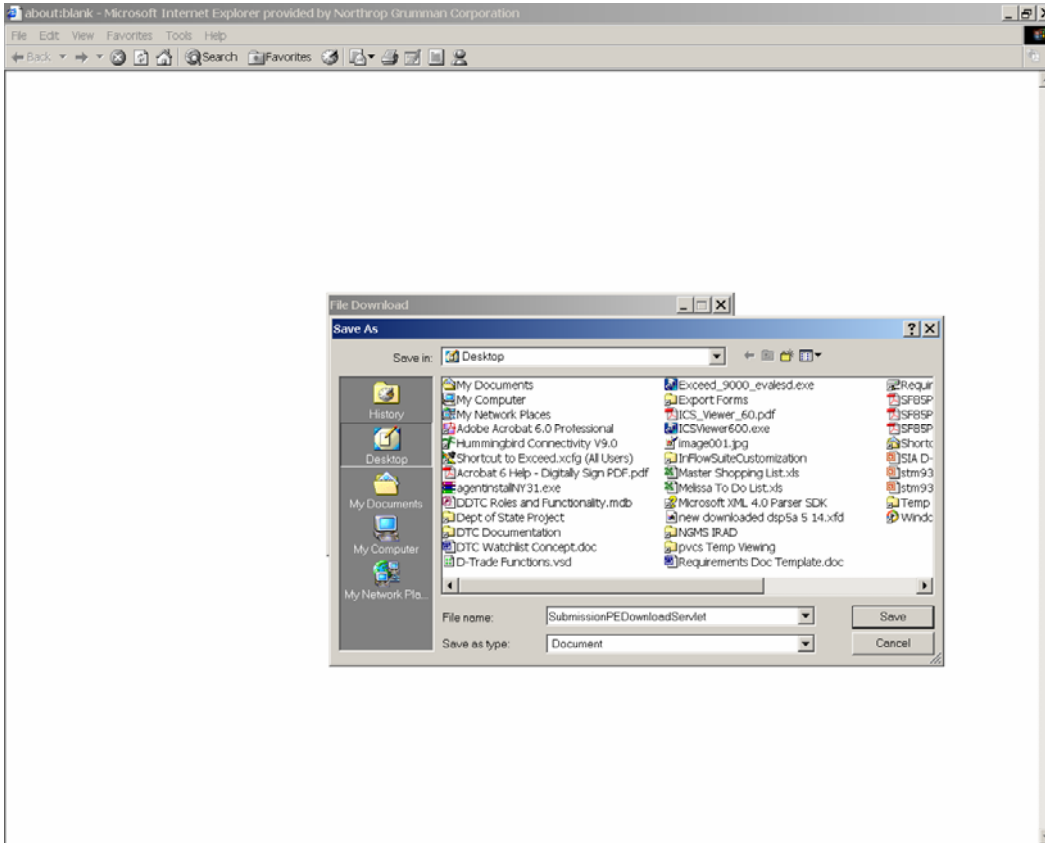


Figure 0-32. DSP-5 Form Save Option

Links

The following links provided on the left menu bar that is presented to the user after logging into the D-Trade System offer useful information and/or access to other required resources.

Digital Certificate Issuer

This link takes the user to the web page that lists the Department of State designated ACES digital certificate issuers.

US Department of State

This link takes the user to the main Department of State web site. The user is informed that he/she is accessing a web site outside of the Directorate of Defense Trade Controls.

Forms Viewer Download

This link provides information on downloading the PureEdge Forms Viewer, such as disk space needed to download the application and downloading instructions.

Industry Users Manual

This link opens the electronic version of the Industry Users Manual.

Managing Digital Certificates FAQs

This link opens the Managing Digital Certificates FAQs, which contains frequently asked questions relating to your ACES digital certificates.

MANAGING USERS

The User Management option provides the ability to control the D-Trade System privileges of individual users within the private portion of the D-Trade System.

View Users

The set of functions presented to a user via the left navigation bar (see **Figure 29**) reflects the current privileges of that user. A company's Super User is responsible for assigning and revoking individual users' privileges (for that company). Only a company's Super User is granted the function that allows a user's privileges to be altered. The company Super User is granted his privileges by a Department of State system administrator. A Super User cannot grant other users the Super User privilege. Upon selecting the 'View Users' option the Super User is presented the screen depicted in **Figure 29**. From this screen the Super User may manage a user's roles (i.e., system privileges) or delete the user entirely from the System. Newly registered users only have limited privileges. The company's Super User must grant them privileges before they can effectively function within the System.

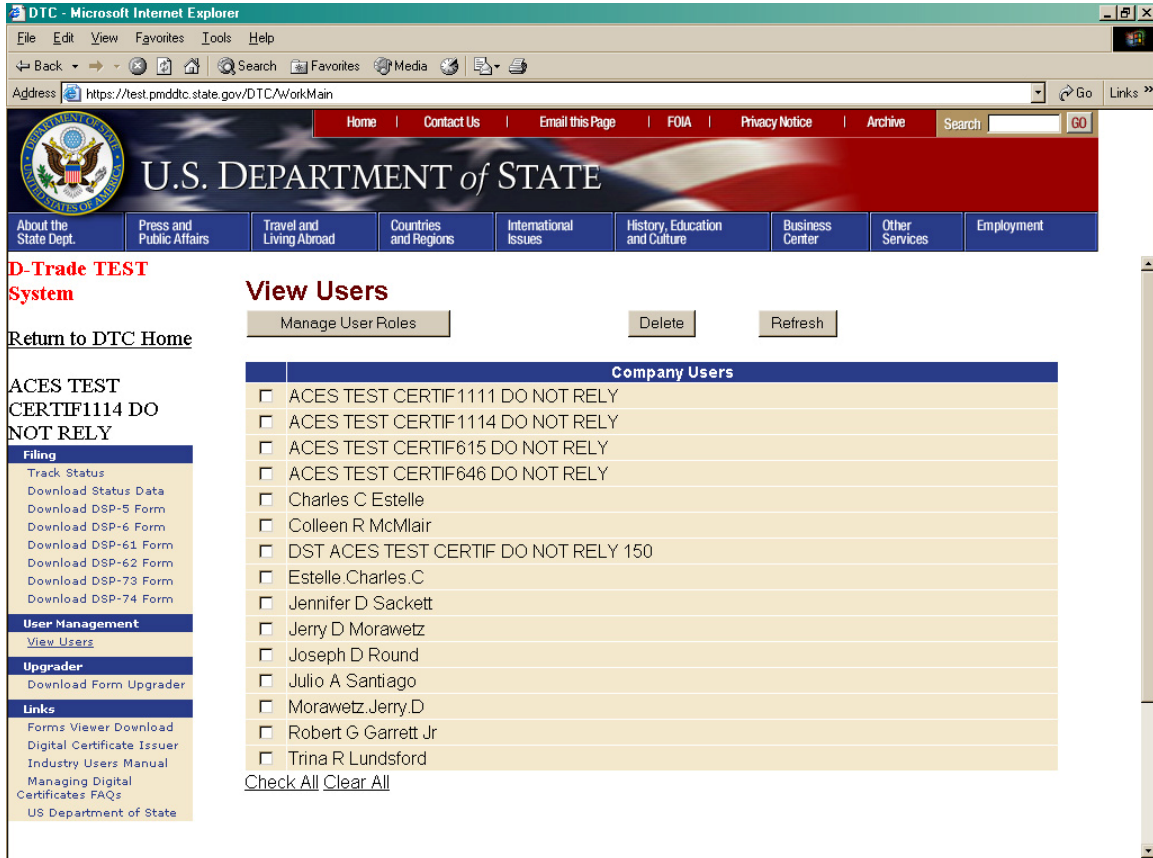


Figure 29. View Users Screen

Manage User Roles

The following are the user’s privileges on the private portion of the System, when a user has not been granted any additional roles:

- Download the Forms Viewer;
- Download the DSP-5 form;
- Download the DSP-61 form;
- Download the DSP-73 form;

To manage the privileges of an individual user, the Super User selects the desired user by checking the small box in-line with the user’s name and selecting the ‘Manage User Roles’ button. The list of users represent all users currently registered for the Super User’s company. Selecting an individual user presents the screen depicted in **Figure 30**.

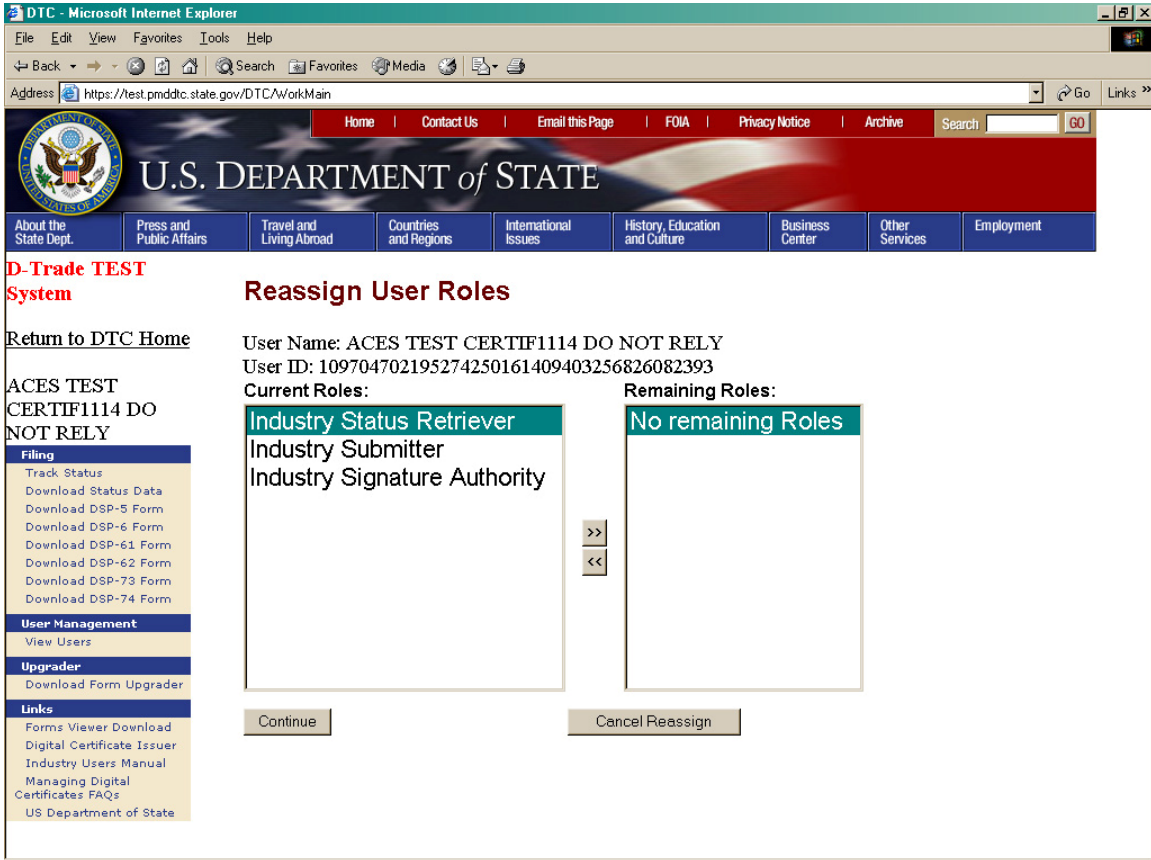


Figure 30. Reassign User Roles Screen

NOTE: If multiple users are selected, the Super User is notified that only one user may be selected at a time.

Specific roles are assigned to or removed from the user by highlighting the role(s) of interest and then using the directed arrows ('<<' or '>>') to move the highlighted role(s) into or out of the user's 'Current Roles' window. The Super User selects the 'Continue' button to accept the changes (i.e., user will receive the roles displayed in the 'Current Roles' window). At any point the 'Cancel Reassign' button may be selected to disregard any reassignments made but not yet accepted. The following table (Table 2**Error! Reference source not found.**) presents a description of each role recognized by the System that the Super User has assignment authority over.

| User Role | Description |
|------------------------------|---|
| Industry Signature Authority | Role grants user the privilege of signing export license applications on behalf of the company. |

| User Role | Description |
|---------------------------|---|
| Industry Status Retriever | Role grants user the privilege of retrieving current status information about all export license applications and batch submissions submitted by the company. User also is able to electronically retrieve cases with final decisions. This will grant the user with the Track Status and Download Status Data on the website's menu. When assigned along with the Industry Submitter role, users will be granted the Upload Additional Document(s) function. |
| Industry Submitter | Role grants user the privilege of submitting (i.e., transferring an electronic export license application) to the Department of State. When assigned along with the Industry Status Retriever role, users are granted the privilege to submit additional documentation on cases that are in review. |

Table 2. User Roles

NOTE: A Super User cannot grant the “Super User” role to other company users.

Delete User

The Super User may use the ‘View Users’ interface (**Figure 29**) to delete users from the System. To delete an individual user the Super User selects the desired user by checking the small box in-line with the user’s name and selecting the ‘Delete’ button. The Super User is presented a confirmation page to approve the action (see Figure 31). The Super User confirms the action by selecting the ‘Delete’ button or may disregard the action by selecting ‘Cancel’.

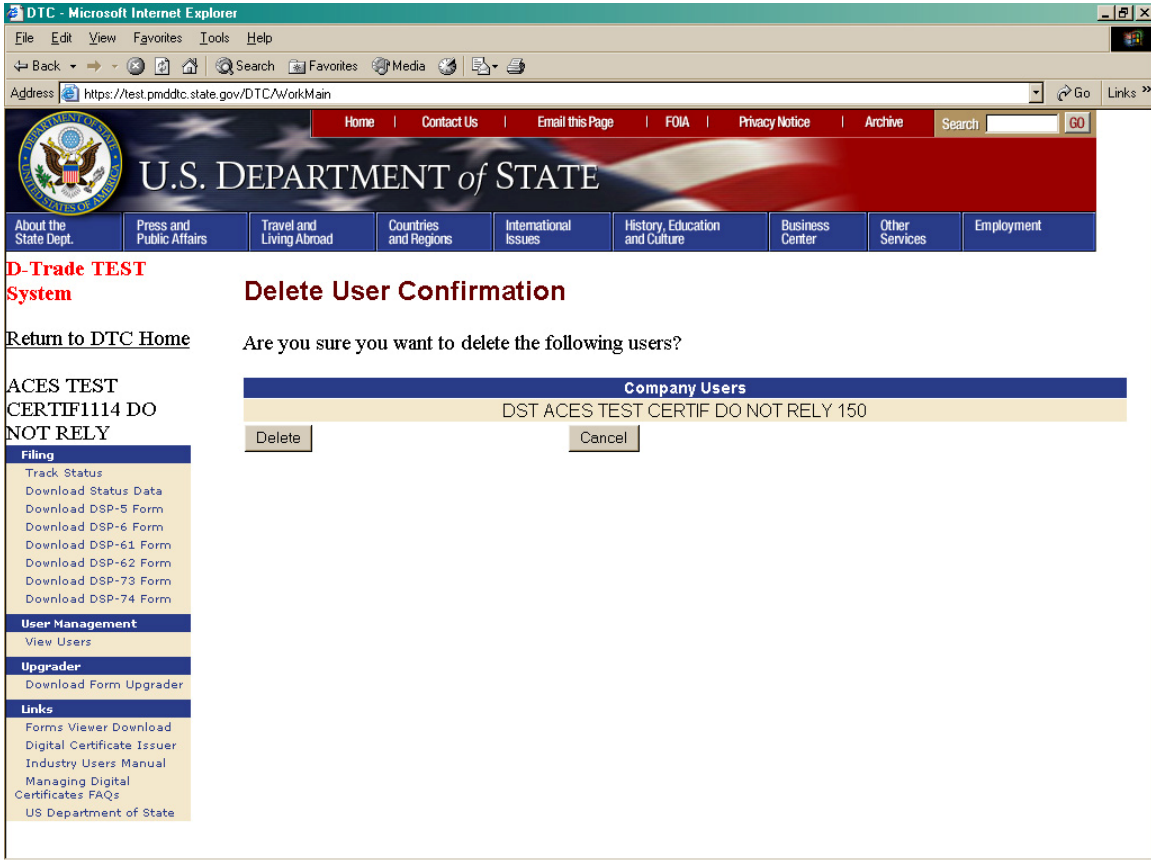


Figure 31. Delete User Confirmation Screen

Similar to the assignment of the company Super User role only a Department of State system administrator may delete such a user. Should a company Super User attempt to delete a user who is currently designated a Super User the screen depicted in Figure 32 is presented. In this event the Super User is instructed to contract the Department of State system administrator to delete the user.

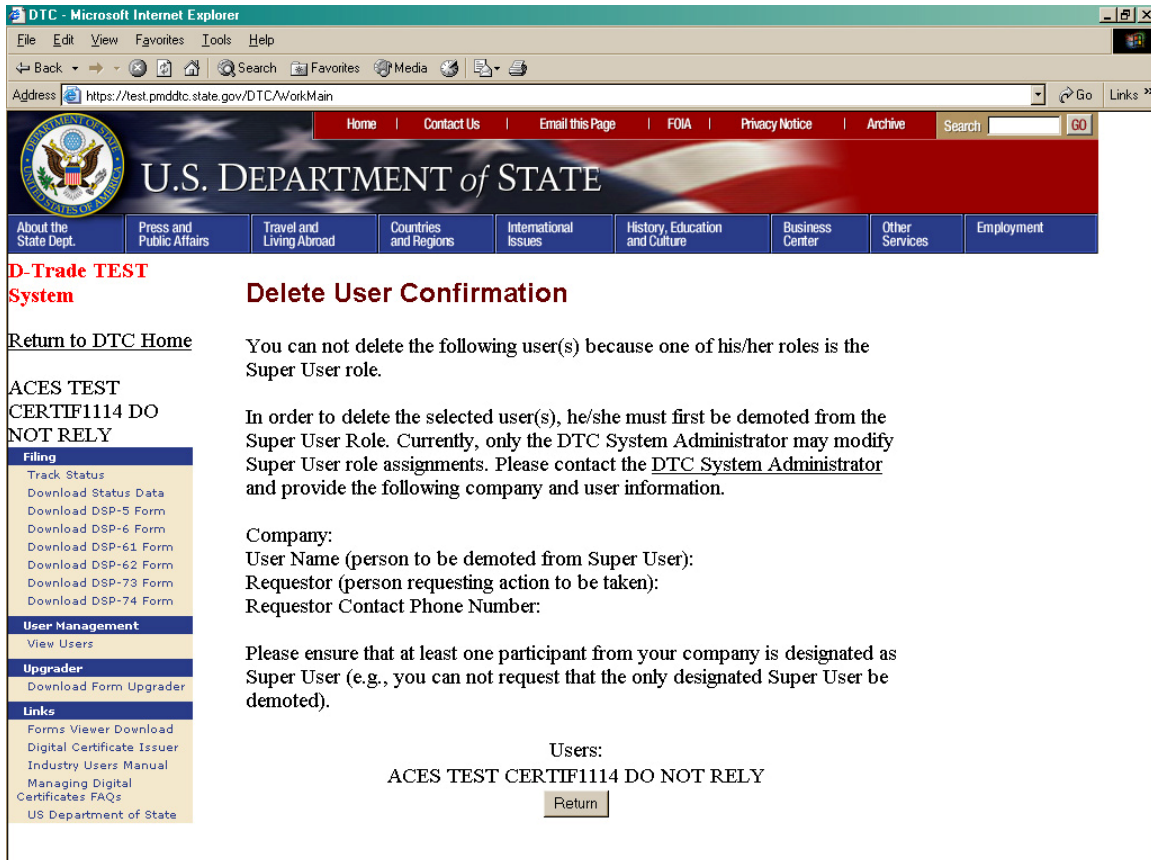


Figure 32. Super User Delete Confirmation Screen

COMPLETING APPLICATIONS USING THE ELECTRONIC FORMS

The System uses an electronic forms capability to allow industry users to build and submit export and import license applications. There are four types of applications currently addressed within the System – the DSP-5 (Application for Permanent Export of Unclassified Defense Articles and Related Technical Data), the DSP-61 (Application for Temporary Import of Unclassified Defense Articles), the DSP-73 (Application for Temporary Export of Unclassified Defense Articles), and the DS-2032 (Registration Statement). Each application type has an electronic form specifically designed for it.

1. Obtain the Forms Viewer required to open and save the forms.
2. Obtain the electronic forms.

Microsoft® Word Analogy

One way of explaining the use of the Forms Viewer and electronic forms is to compare them to the popular Microsoft® Word program. To open a Word document you must have the Microsoft® Word program installed on your workstation. The Forms Viewer is like the main Microsoft® Word program. The electronic forms are like pre-existing Word documents. They can be opened, edited, printed, or saved provided you have the main Forms Viewer program installed on your workstation.

Just like a Microsoft® Word document, an electronic form, such as the DSP-5, is a computer file. The file is given a 'file name' to identify it. It is stored on your computer, accessible storage device or file system. Just like using Microsoft Word, the user is responsible for maintaining a logical directory structure and naming convention to effectively store and then later locate the electronic forms.

The electronic forms can be shared just like Microsoft® Word documents. Multiple persons (one at a time) can edit an electronic form by providing common access to it (e.g., it is stored on a local area network or shared file system) or by emailing the form to another person. If necessary, the form may be copied onto a physical media (e.g., floppy disk or CD) and then sent to another person. However the form is shared, each person who wishes to open the form must have the Forms Viewer program.

There is one notable difference between the Forms Viewer and Microsoft® Word. With the Forms Viewer you cannot create an entirely new/different electronic form (e.g., 1040 tax form) like you can create an entirely new Word document (e.g., business letter) using the Microsoft® Word program. A Forms Viewer user must always start with a pre-defined electronic form.

Open an Electronic Form

The electronic forms may be opened three ways.

IMPORTANT NOTES:

It is assumed that the electronic form has been downloaded and saved to your computer system prior to opening the file.

To open an electronic form, you can use any of the three methods discussed in the following subsections.

Double-Clicking the File Icon

Step 1.

Using the Windows Explorer program, browse to the location of the electronic form as shown in Figure 33.

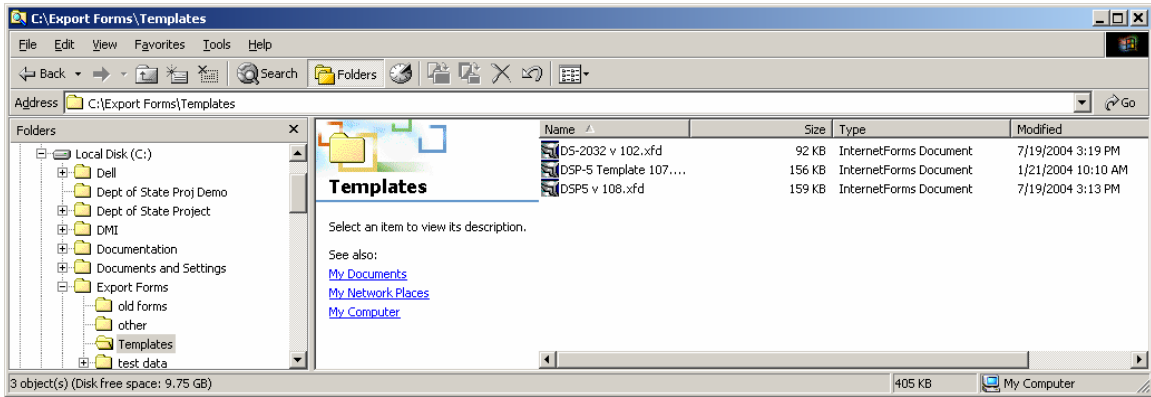


Figure 33. Locate DSP-5 Electronic Form

Step 2.

Double-click the file icon to open the electronic form. The form will be presented as in Figure 34.

Submit Save Print

Electronic Form Version Number: 2.01

OMB APPROVAL NO. 1405-0003
EXPIRATION DATE: 07-31-2005
*ESTIMATED BURDEN: 1 HOUR

* PAPERWORK REDUCTION ACT STATEMENT: Public reporting burden for this collection of information is estimated to average 1 hour 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 (A/RPS/DIR) Washington, D.C. 20520.

U.S. DEPARTMENT OF STATE
DIRECTORATE OF DEFENSE TRADE CONTROLS
APPLICATION/LICENSE FOR PERMANENT EXPORT OF UNCLASSIFIED DEFENSE ARTICLES AND RELATED UNCLASSIFIED TECHNICAL DATA

*Transaction Number:

Please note that an Asterisk (*) next to a field in the documents designate a mandatory field.

No classified information can be included in this application. Classified information must be sent separately to DDTC in accordance with Defense Security Service guidelines.

Classified information is being sent under separate cover

To select and open a document, highlight a form and select the "Open Document" button. The document that you selected will open.

| Required Documents | Included Documents |
|--|--------------------|
| DSP-5 | |
| <input type="button" value="Open Document"/> | |
| Optional Documents | |
| DSP-63 126.13 Eligibility Letter Transaction Exception Request | |

Figure 34. DSP-5 Electronic Form

Open the File from within the Forms Viewer

Step 1.

If the Forms Viewer program is not currently running. Start the Forms Viewer program by selecting it from the 'Start' menu:

Start -> Programs -> PureEdge Viewer 6.2 -> PureEdge Viewer for DSP-5 (version 2.01 and above), DSP-61, and DSP-73.

Note: The 'Start' menu is found in the lower-left corner of the Windows desktop. (Go to Step 2.)

With the Forms Viewer already running. Select the 'Open Form' icon in the top-left corner of the Forms Viewer as illustrated in Figure 35.

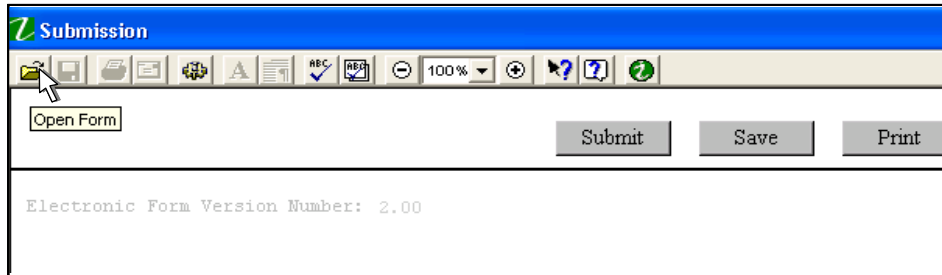


Figure 35. Select Open Form Icon within the PureEdge Viewer Version 6.2

Step 2.

Browse to the location of the electronic form using the 'OPEN FORM' browse window as shown in Figure 36. Highlight the DSP-5 file and select 'Open' or double-click the file icon. The form will be presented as in Figure 34.

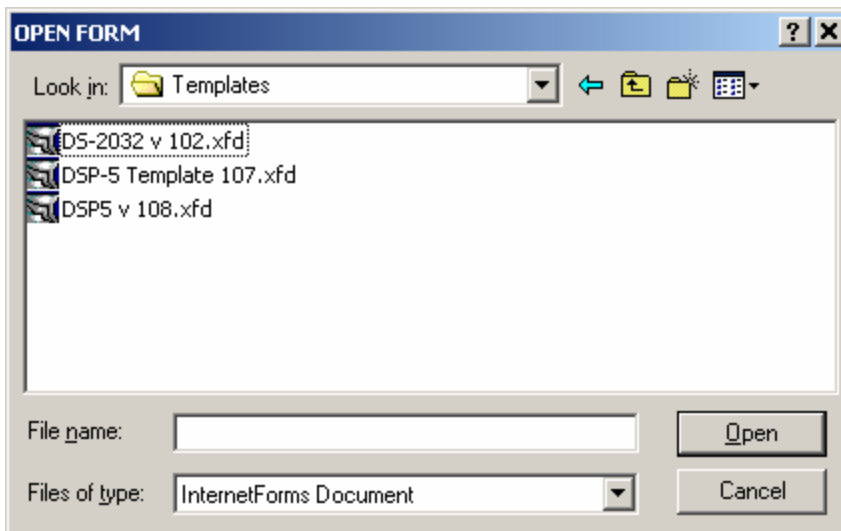


Figure 36. Locate DSP-5 Electronic Form

Open the File from within a Web Browser

Step 1.

Open up a web browser, if one is not already open.

Step 2.

Open the desired export license application from within the browser window. Select 'File -> Open ...' as shown in Figure 37.

With the Forms Viewer already running. Select the 'Open Form' icon in the top-left corner of the Forms Viewer as illustrated in Figure 35.

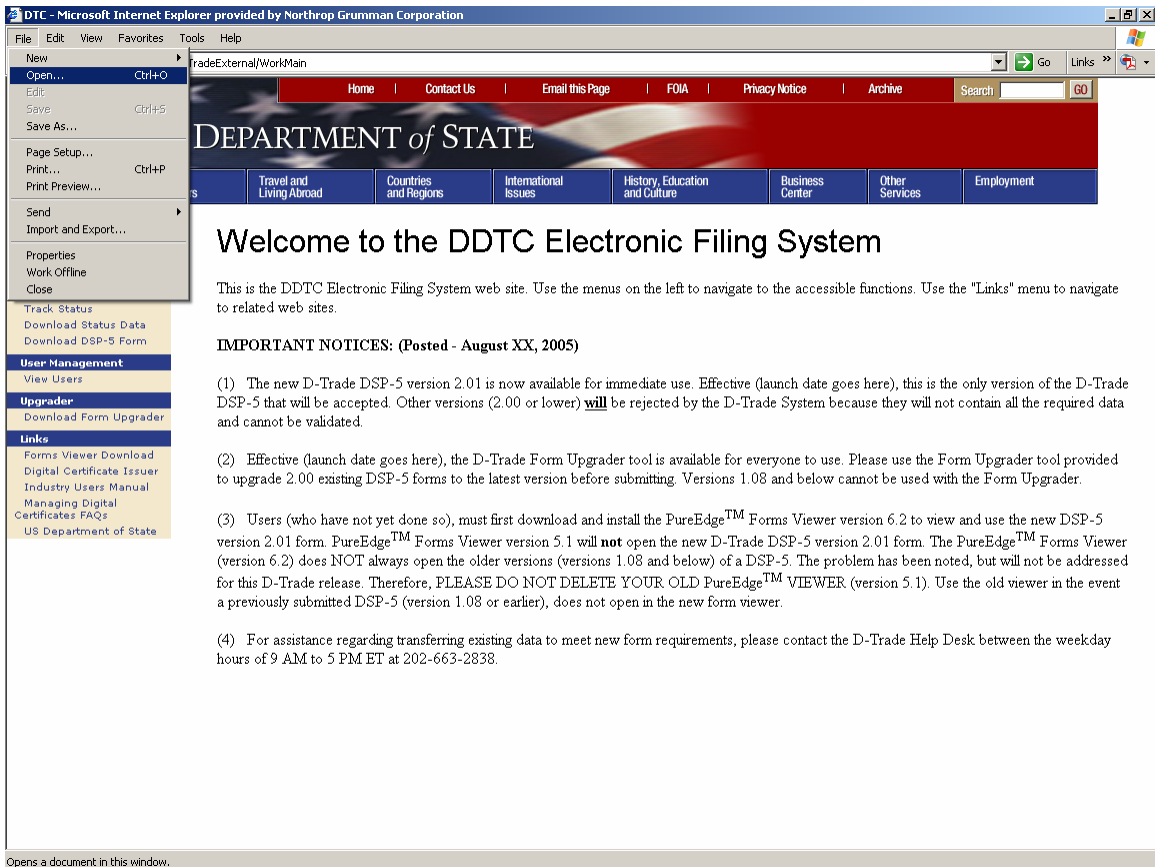


Figure 37. Open License Application

Step 3.

The resulting 'Open' screen is shown in Figure 38. Select the 'Browse ...' button.

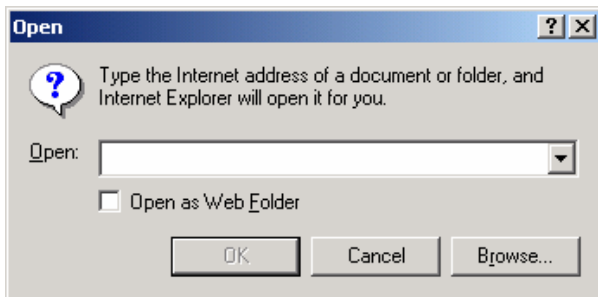


Figure 38. Open File Screen

Step 4.

The default 'Files of type:' is 'HTML Files'. Click on the down arrow and select 'All Files' as shown in Figure 39.

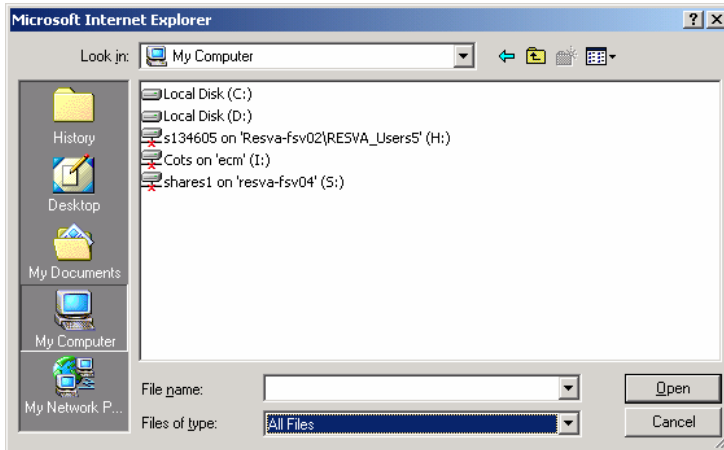


Figure 39. Select Proper 'Files of type:'

Step 5.

Browse to the desired export license application file and either double-click it or highlight the desired file and select the 'Open' button as shown in Figure 40.

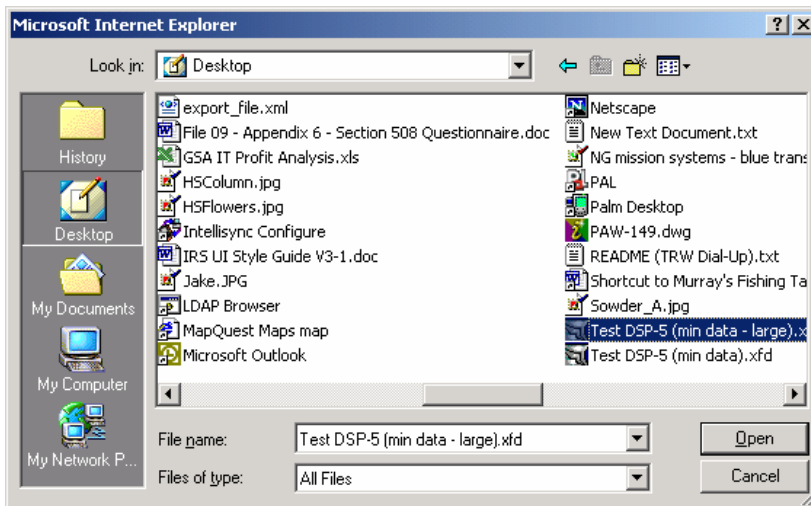


Figure 40. Select File Screen

Step 6.

This places the desired export license application file name into the 'Open' window as shown in Figure 41. Select 'OK'.

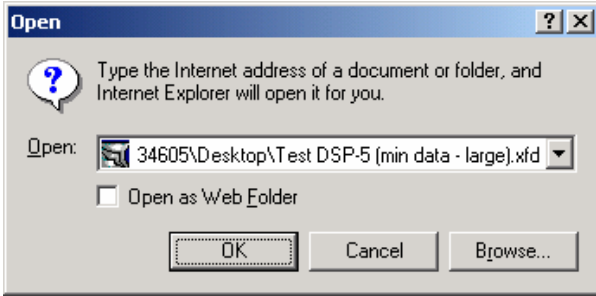


Figure 41. Open File Screen (Filled-In)

Step 7.

The export license application opens within the browser window as shown in Figure 42.

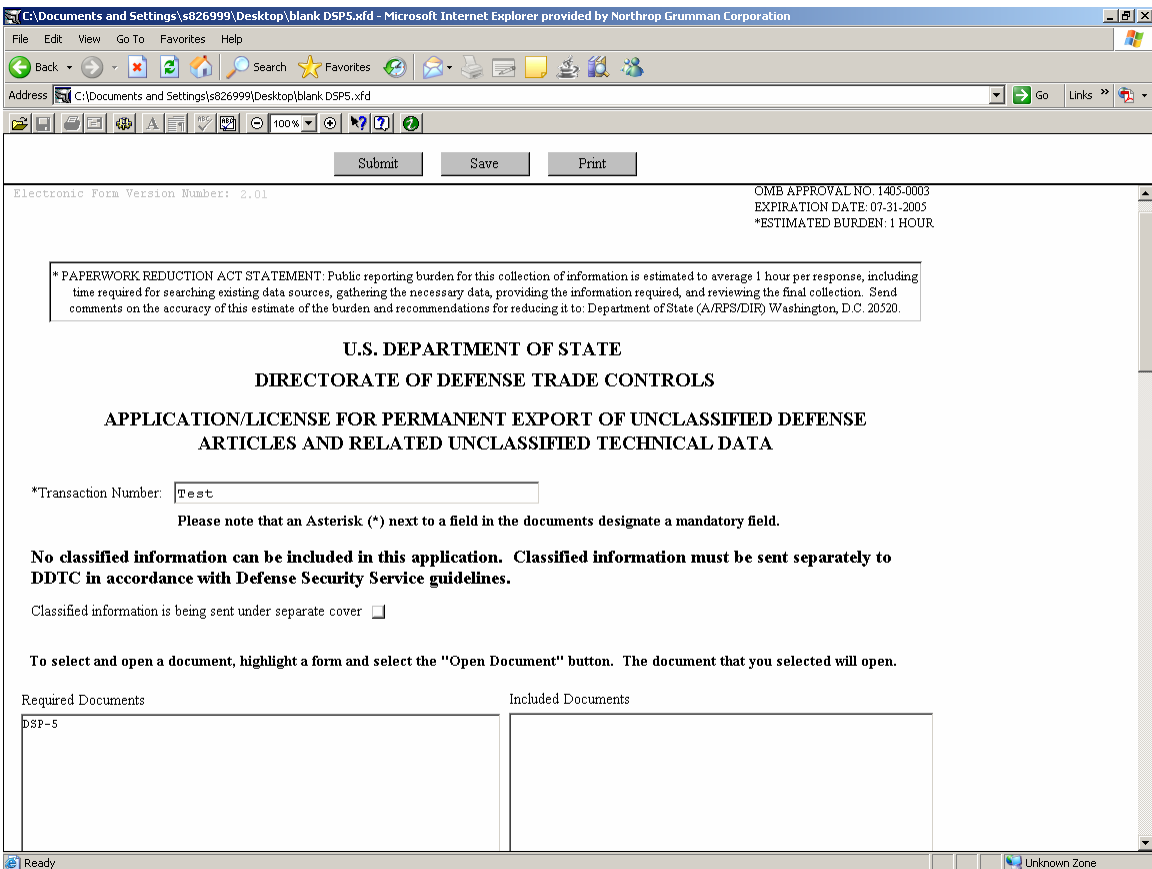


Figure 42. Export License Application within Browser Window

Common Concepts to Each Electronic Form

Cover Page to Electronic Form

An important concept has been incorporated into the electronic version of all forms. It is not just an electronic representation of the paper US Government form. It represents and

captures all information/documents required to complete an entire export license application. This concept is illustrated in Figure 43. Three windows are found within this screen: *Required Documents*, *Optional Documents*, and *Included Documents*. The content of the *Required Documents* and *Optional Documents* window is dependent on the particular license application. Each window is dynamic with its contents adjusted as the license application is completed. As documents are selected for inclusion they are automatically moved into the *Included Documents* window. This window provides the user with a quick summary of documents currently included in the application.

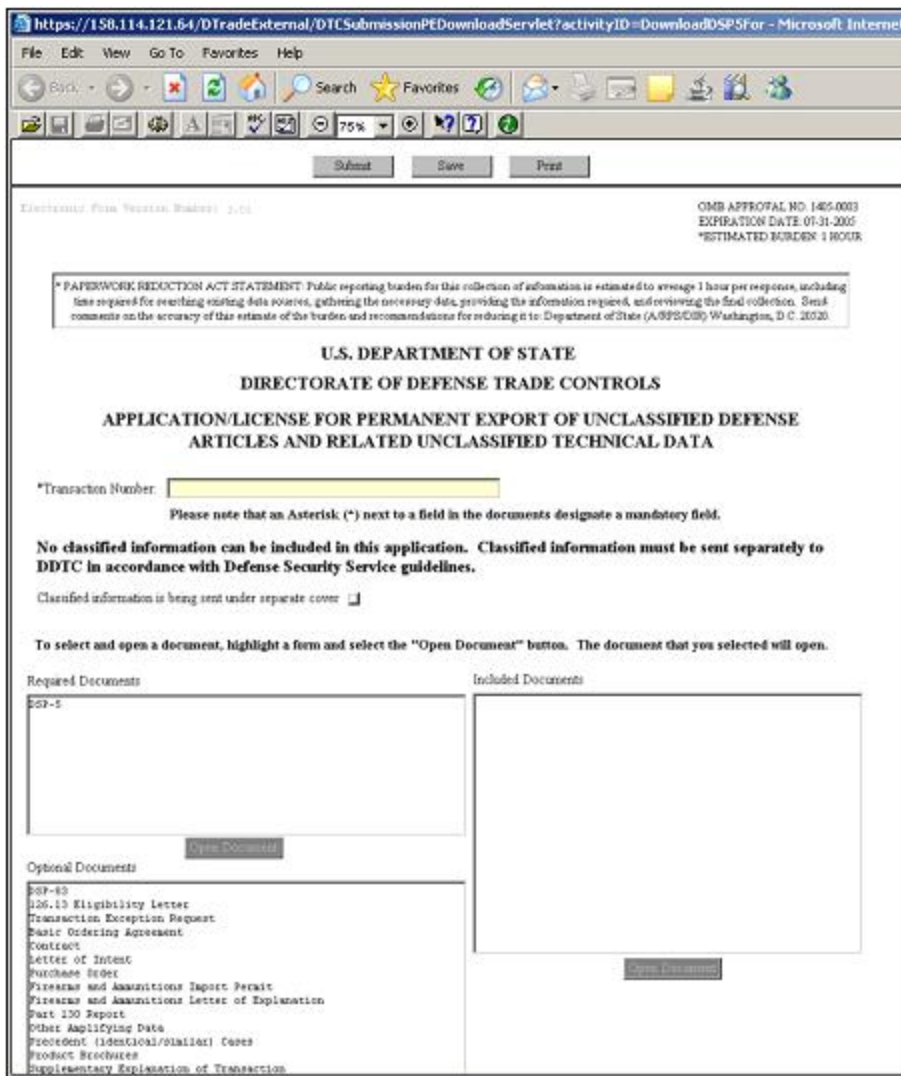


Figure 43. Cover Page Example

The Cover Page includes one other field. The 'Transaction Number' field is intended to hold a user defined title or description for this application. This data may be used to identify and track the application and is included in the Track Status screen (see Section **Error! Reference source not found.**).

NOTE: The ‘Submit’, ‘Save’, and ‘Print’ buttons that appear at the top of the Cover Page.

Open the Form or Other Document

To open the form or other document, highlight the desired document and select the corresponding ‘Open Document’ button as illustrated in Figure 44. A PureEdge form will open when the DSP-5 document is selected to be open. An attachment page will be opened when all other documents are selected to be open.

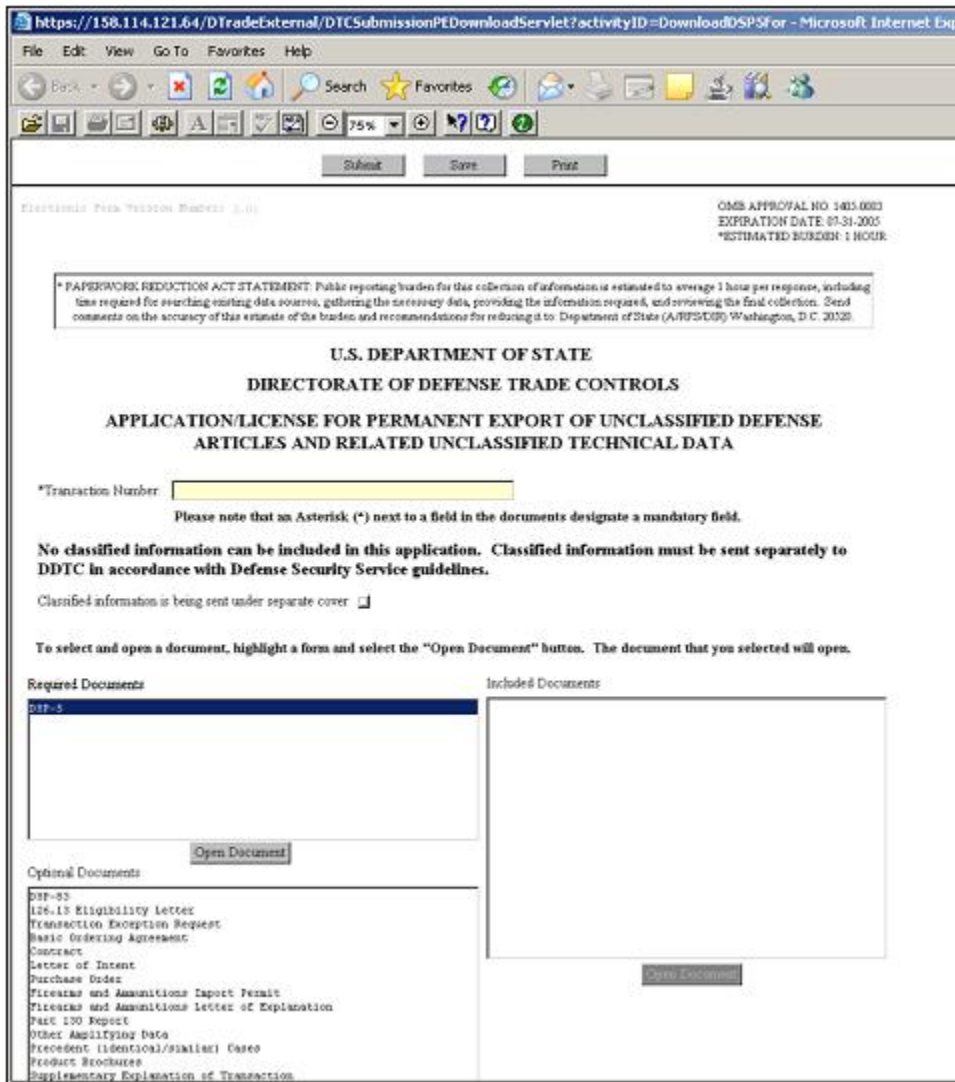


Figure 44. Open Document Example

Features of the Electronic Forms

Each electronic form opens as illustrated in Figure 45. Its overall appearance is similar to the paper version of this U.S. Government form. The following list highlights features found in the electronic version:

- On-line field validations
- Format checks
- Date, Numeric, Alpha-numeric, Currency, Time
- Length, Case, Range
- Pick lists (e.g., State or Country abbreviation, USML Category)
- Required vs. optional fields
- Mandatory selection from multiple options
- Calculate function to total dollar amounts
- Continuation function for specific fields
- On-line Help
- Deletion of empty continuation pages
- Error Reporting

https://158.114.121.64/DTradeExternal/DTCSubmissionPEDownloadServlet?activityID=DownloadDSP5For - Microsoft ...

File Edit View Go To Favorites Help

Back Forward Stop Home Search Favorites

75%

Previous Next Save Close

DSP-5, Page 1 of 4

SEAL

Signature

DATE ISSUED / /

LICENSE NO. LICENSE VALID FOR MONTHS FROM ABOVE DATE

License is hereby granted to the applicant for the described commodity to be permanently exported from the United States. This license may be revoked, suspended or amended by the Secretary of State without prior notice whenever the Secretary deems such action advisable.

UNITED STATES OF AMERICA DEPARTMENT OF STATE

APPLICATION/LICENSE FOR PERMANENT EXPORT OF UNCLASSIFIED DEFENSE ARTICLES AND RELATED UNCLASSIFIED TECHNICAL DATA

* 1. Date Prepared 08/09/2005

* 2. DDTC Applicant/Registrant Code

* 3. Country of Ultimate Destination: Country

* 4. Probable Port of Exit from U.S.:

NOTE: You may only select 1 country as the ultimate destination if the commodity(ies) being shipped include Hardware type.

5. Applicant's Name, Address, ZIP Code, Tel. No.

*Applicant is: Government Manufacturer Exporter

Subsidiary

*Name

*Attention

*Address

*City

*State * ZIP Code

*Telephone # Ext.

6. Name, agency and telephone number of U.S. Government personnel (not DDTC) familiar with the commodity.

Name

Telephone # Ext.

Agency

Add

* 7. Name and telephone numbers of applicant contact if U.S. Government needs additional information.

*Name

*Telephone # Ext.

Add

8. Description of Transaction:

*a. This application represents: ONLY completely new shipment ONLY the unshipped balance under license numbers

b. This application has related license numbers:

c. This application is in reference to an agreement:

*d. Commodity is being financed under: Foreign Military Sale Foreign Military Financing Grant Aid Program Not Applicable

| Line Item # | *9. Quantity | *10. Commodity | * 11. USML Cat. Number |
|-------------|--------------|----------------|---|
| | | | Category Sub Commodity Code |
| | | | Item is SME and DSP-83 is required <input type="checkbox"/> |

Figure 45. License Application Document Example

Required Fields and Blocks

Required fields and blocks are those blocks and fields of the document that absolutely must contain data in order to submit the form. A field or block may dynamically become required based upon information entered into another field or block. The

required documents capability and this required field/block capability are provided to specifically reduce the occurrences where a submitted export license.

application does not contain all of the required information. Previously this condition required the user to send in supplementary information, US Government reviewer contact the user to attempt to clarify the issue, or an immediate rejection (i.e., Return Without Action (RWA)).

IMPORTANT NOTE: Required fields and blocks are indicated by a Yellow background and/or an ‘*’ character preceding the label describing the field. In Figure 45, Block 2 or ‘DDTC Applicant/Registrant Code’ is an example of a required field.

Error Reporting

If there are errors in the form, the user can use the “Validate Form” button to compile a list of errors that exist in the form and would prevent the form from being submitted. The “Validate Form” button is located at the top of the page that allows the signature to be applied.

Once the user clicks on the “Validate Form” button, a page of errors will be displayed as shown in Figure 46. The error information shown consists of the block number, block name, form completion rules, and business rules. The user can click ‘Return’ to be taken back to the previous page. He/she will then have to correct the errors before they can successfully submit the form.

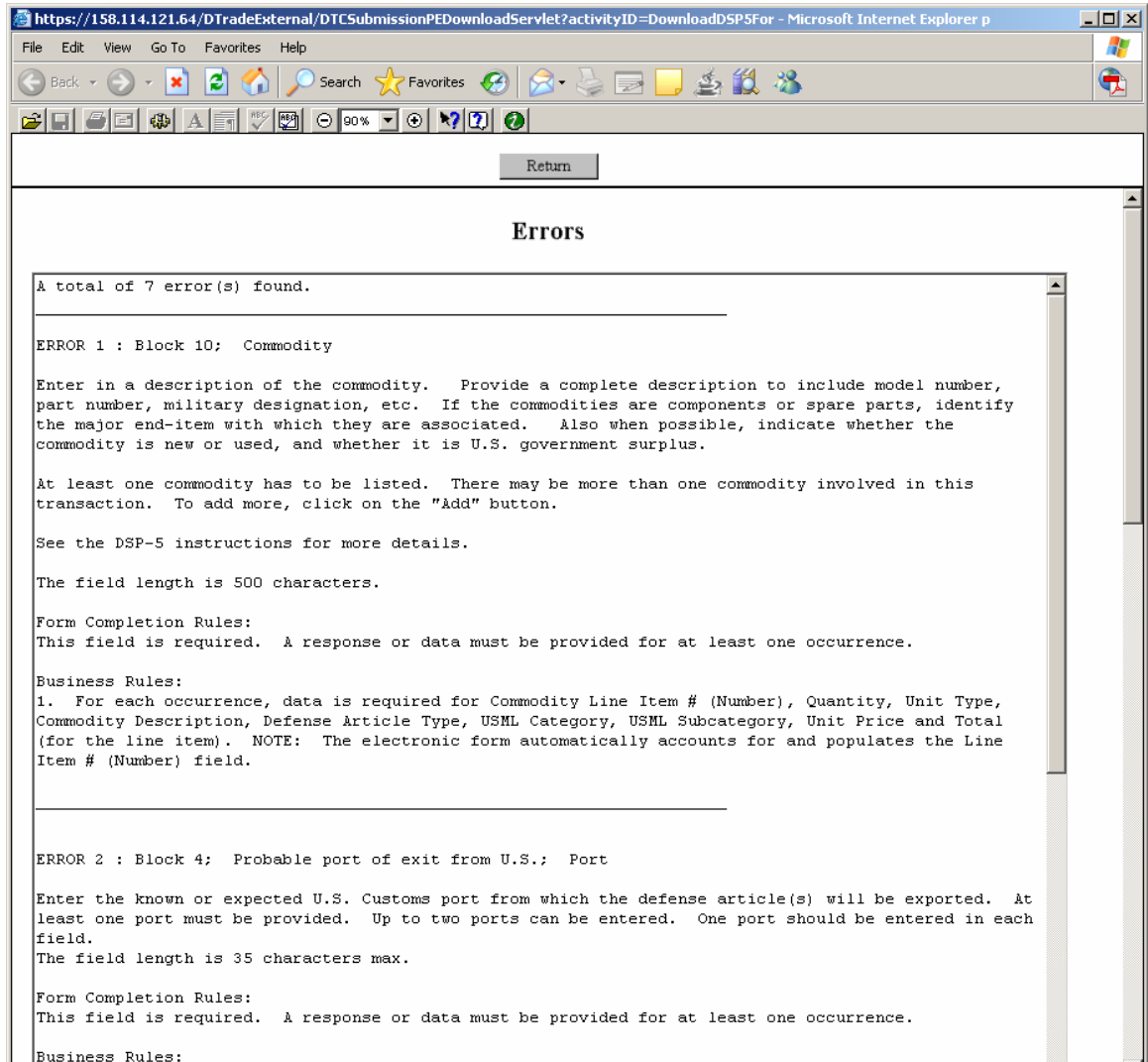


Figure 46. Confirmation Page Where There is Missing Application Data

DSP-5 Electronic Form

This section will discuss the use of the electronic DSP-5 form.

NOTE: The following sections discuss unique aspects of the electronic DSP-5 form and its use within the System. This document is not intended to duplicate or replace other instructive documents such as the *Society for International Affairs (SIA) Guidelines for Completing Department of State License and Amendment Applications*.

DSP-5 Document

The DSP-5 Cover Page lists the DSP-5 document in the *Required Documents* window (see Figure 47).

Submission

Submit Save Print

Electronic Form Version Number: 2.00 OMB APPROVAL NO. 1405-0003
EXPIRATION DATE: 07-31-2005
*ESTIMATED BURDEN: 1 HOUR

* PAPERWORK REDUCTION ACT STATEMENT: Public reporting burden for this collection of information is estimated to average 1 hour 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 (A/RPS/DIR) Washington, D.C. 20520.

**U.S. DEPARTMENT OF STATE
DIRECTORATE OF DEFENSE TRADE CONTROLS**

**APPLICATION/LICENSE FOR PERMANENT EXPORT OF UNCLASSIFIED DEFENSE
ARTICLES AND RELATED UNCLASSIFIED TECHNICAL DATA**

*Transaction Number:

Please note that an Asterisk (*) next to a field in the documents designate a mandatory field.

No classified information can be included in this application. Classified information must be sent separately to DDTC in accordance with Defense Security Service guidelines.

To select and open a document, highlight a form and select the "Open Document" button. The document that you selected will open.

| Required Documents | Included Documents |
|---|--------------------|
| DSP-5 | |
| Optional Documents DSP-83 126.13 Eligibility Letter Transaction Exception Request Basic Ordering Agreement Contract Letter of Intent Purchase Order Firearms and Ammunitions Import Permit Firearms and Ammunitions Letter of Explanation Part 130 Report Other Amplifying Data (e.g. Briefings, Proposals) Precedent (Identical/similar) Cases Product Brochures Supplementary Explanation of Transaction Technical Data to Support Hardware License | |

Open Document

Open Document

NUM

Figure 47. Cover Page of DSP-5 Electronic Form

When the item is selected and the "Open Document" button is pressed, the DSP-5 document opens as illustrated in Figure 48.

PAGE1

Next Save Close

Page 1 of 4

SEAL _____
Signature _____

License is hereby granted to the applicant for the described commodity to be permanently exported from the United States. This license may be revoked, suspended or amended by the Secretary of State without prior notice whenever the Secretary deems such action advisable.

DATE ISSUED / /
LICENSE NO. LICENSE VALID FOR MONTHS FROM ABOVE DATE

UNITED STATES OF AMERICA DEPARTMENT OF STATE
APPLICATION/LICENSE FOR PERMANENT EXPORT OF UNCLASSIFIED DEFENSE ARTICLES AND RELATED UNCLASSIFIED TECHNICAL DATA

*1. Date Prepared 02/16/2005
*2. DDTC Applicant/Registrant Code
*3. Country of Ultimate Destination: Country <=>
*4. Probable Port of Exit from U.S.:

NOTE: You may only select 1 country as the ultimate destination if the commodity(ies) being shipped include Hardware type.

5. Applicant's Name, Address, ZIP Code, Tel. No.
*Applicant is: Government Manufacturer
 Exporter
 Subsidiary
*Name
*Address
*City
*State * ZIP Code
*Telephone # () -

6. Name, agency and telephone number of U.S. Government personnel (not DDTC) familiar with the commodity.
 Army Air Force Navy Other

*7. Name and telephone numbers of applicant contact if U.S. Government needs additional information.

8. Description of Transaction:
*a. This application represents: ONLY completely new shipment ONLY the unshipped balance under license no(s)
b. This application has related license no(s):
c. This application is in reference to an agreement:
d. If commodity is being financed under: Foreign Military Sale Foreign Military Financing Grant Aid Program

| *9. Quantity | *10. Commodity | *Select at least one: <input type="checkbox"/> Hardware <input type="checkbox"/> Technical Data | *11. USML Cat. Number | *12. \$ Value Unit Price Total |
|--------------|----------------|--|-----------------------|-----------------------------------|
| | | | | |

Figure 48. DSP-5 Document (Page 1)

Several documents listed under 'Optional Documents' may become required depending on information provided in the form. The optional documents 'Basic Ordering Agreement', 'Contract', 'Letter of Intent', and 'Purchase Order' are grouped together when listed under 'Required Documents'. An example of this can be seen in Figure 49. After the user has completed one of the four documents, the remaining three will no longer be required and will be listed under 'Option Documents'. See Figure 50.

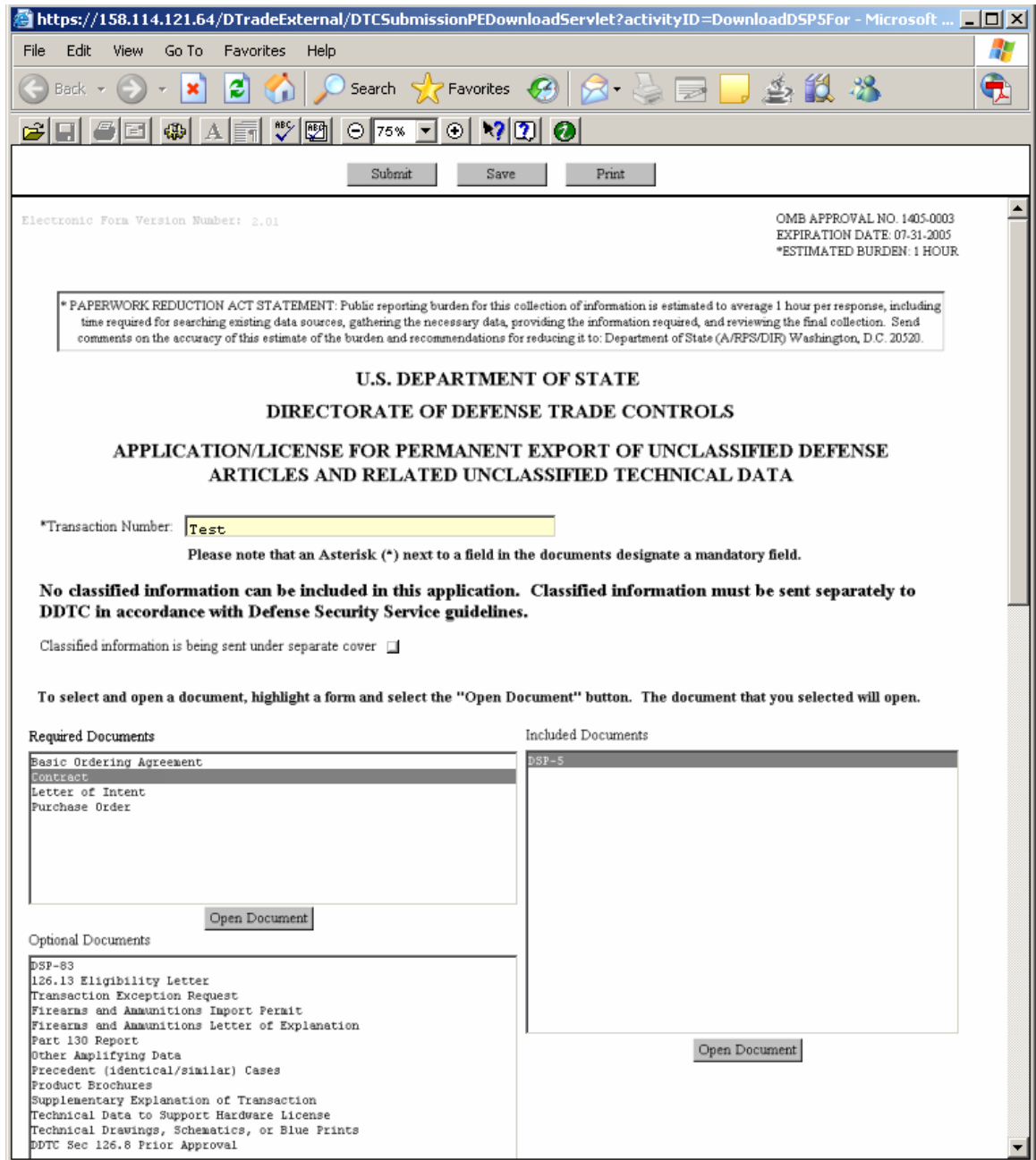


Figure 49. Required Documents 1 of 2

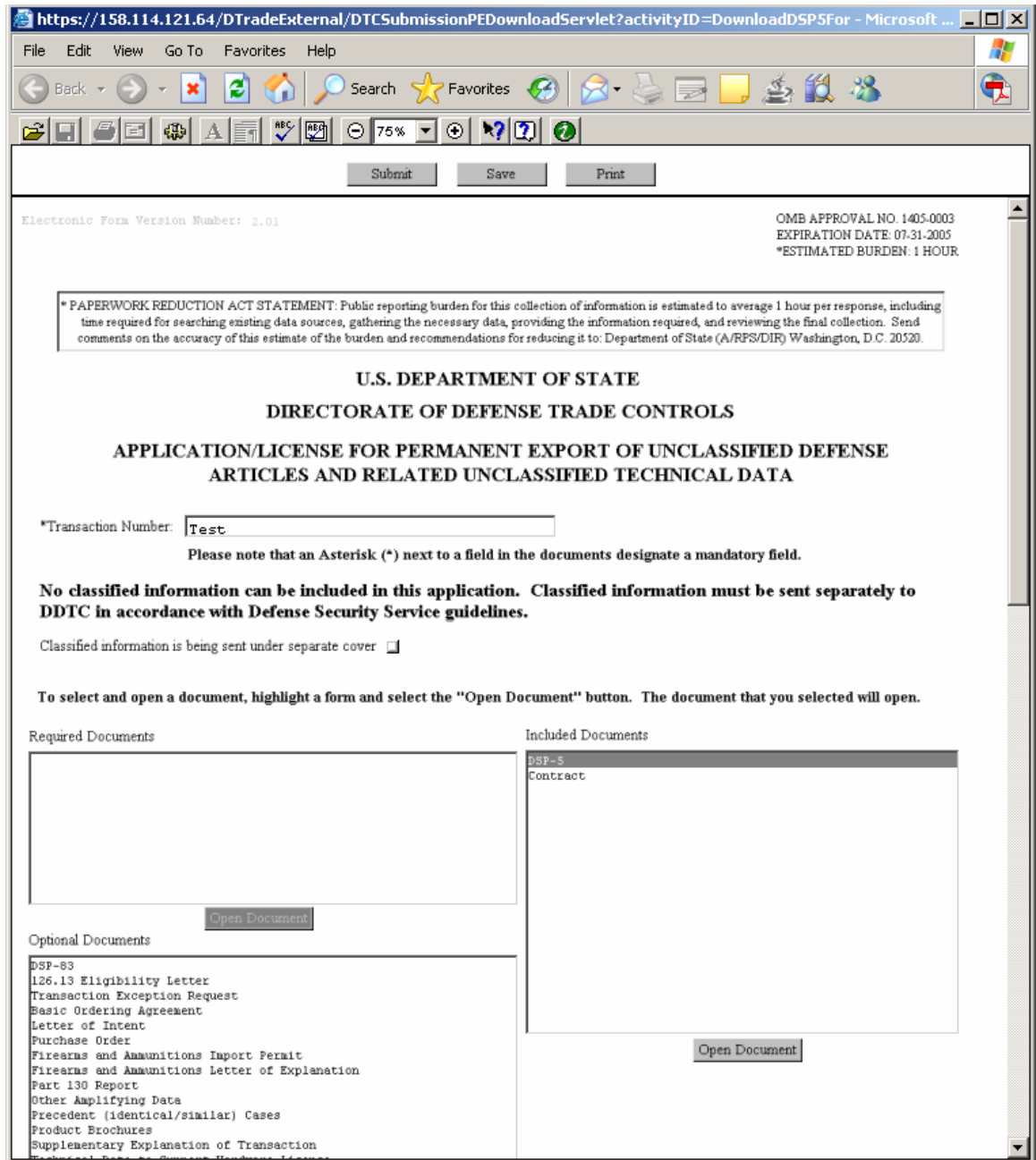


Figure 50. Required Documents 2 of 2

Specific DSP-5 Fields

The following provides specific instructions for selected fields.

Country of Ultimate Destination. A pull-down list of all recognized countries is provided as illustrated in Figure 51. A country is chosen by first clicking on the small red arrow (beside 'Country') and then selecting the desired country. This automatically places the country in the window immediately to the right. Multiple countries may be chosen by repeating this procedure.

Helpful Hint: In any pull-down list, you may more rapidly advance to a desired entry in the list by typing the first character in its name. For example, in the country list typing the letter ‘T’ will advance you to the first country that starts with this letter (i.e., Taiwan).

Figure 51. Select Country of Ultimate Destination

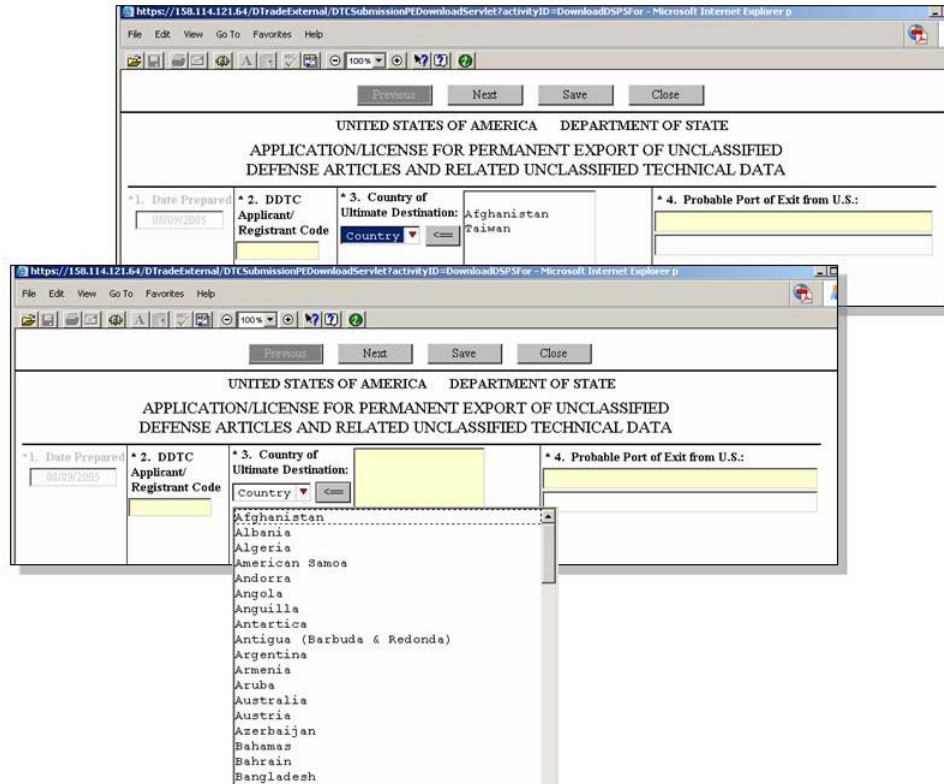


Figure 52. Select Country of Ultimate Destination

To remove a selected country from the list, highlight the desired country and then use the directed arrow (‘<==’) to remove it from the list as shown in Figure 53.

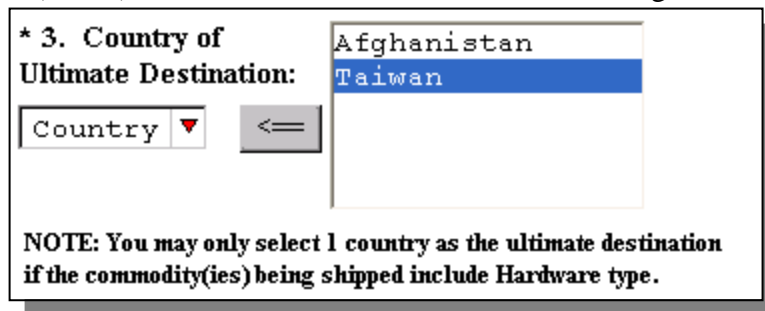


Figure 53. Remove Country

In cases where more countries have been chosen such that the list exceeds the box's size, there are two ways to view the entire list of countries. The list may be scrolled to see all countries or the 'View Page # - Dest. Countries' button may be selected as shown in Figure 54. Select the 'Return' button to return to the DSP-5 form.

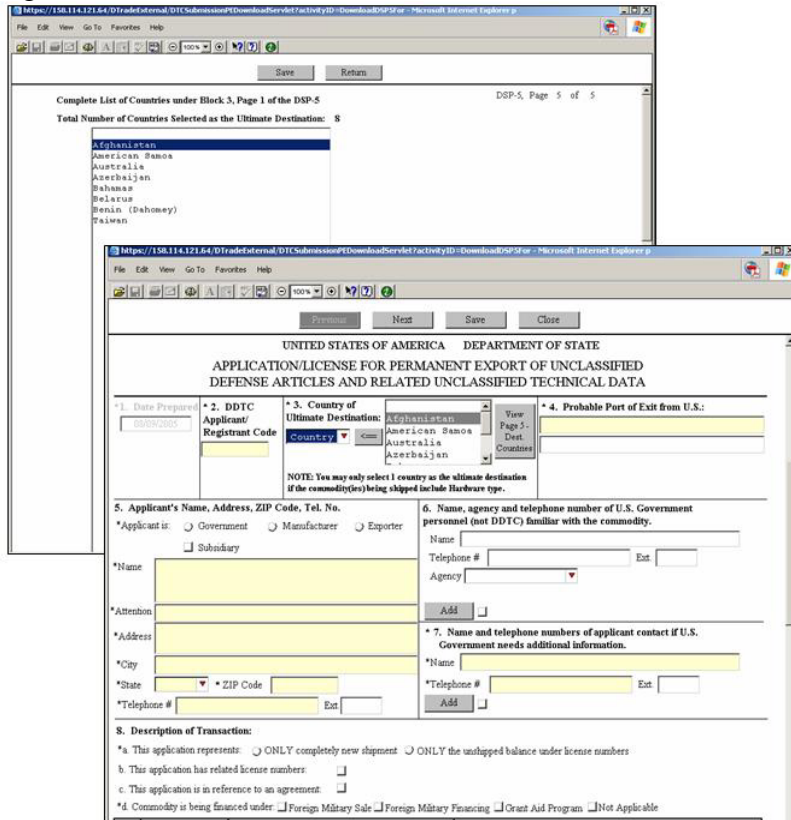


Figure 54. View Full List of Selected Countries

Applicant's Name, Address, ZIP Code, and Tel. No. If subsidiary information is applicable, select the 'Subsidiary' check box. This will cause the 'Add Subsidiary Information' button to be displayed. Selecting this button will present the subsidiary information page as shown in Figure 55. Select the 'Return' button to return to the DSP-5 form.

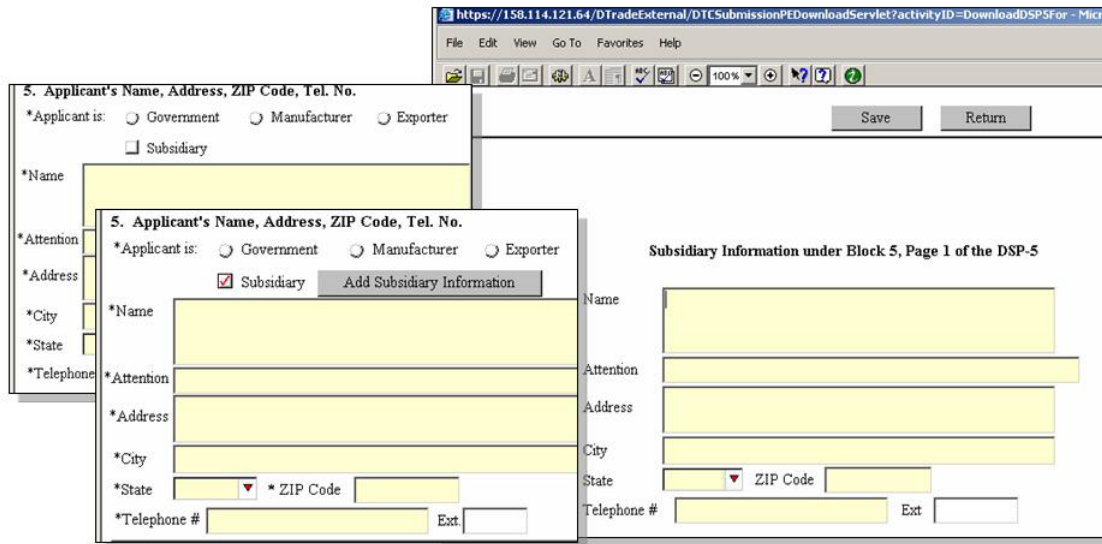


Figure 55. Add Subsidiary Information to DSP-5

Description of Transaction. Depending on the response selected for each statement listed in **Figure 56**, a button may be displayed allowing for the entry of additional information. The lower half of **Figure 56** shows the buttons that can be displayed. Table 3 describes the buttons that are displayed depending on the response to each statement.

| | |
|---|--|
| <p>8. Description of Transaction:</p> <p>*a. This application represents: <input type="radio"/> ONLY completely new shipment <input type="radio"/> ONLY the unshipped balance under license numbers</p> <p>b. This application has related license numbers: <input type="checkbox"/></p> <p>c. This application is in reference to an agreement: <input type="checkbox"/></p> <p>*d. Commodity is being financed under: <input type="checkbox"/> Foreign Military Sale <input type="checkbox"/> Foreign Military Financing <input type="checkbox"/> Grant Aid Program <input type="checkbox"/> Not Applicable</p> | |
| <p>8. Description of Transaction:</p> <p>*a. This application represents: <input type="radio"/> ONLY completely new shipment <input checked="" type="radio"/> ONLY the unshipped balance under license numbers Enter License Numbers</p> <p>b. This application has related license numbers: <input checked="" type="checkbox"/> Enter Related License Numbers</p> <p>c. This application is in reference to an agreement: <input checked="" type="checkbox"/> Enter Agreement Numbers</p> <p>*d. Commodity is being financed under: <input type="checkbox"/> Foreign Military Sale <input checked="" type="checkbox"/> Foreign Military Financing <input type="checkbox"/> Grant Aid Program <input type="checkbox"/> Not Applicable Add Case Numbers</p> | |

Figure 56. Select Description of Transaction

| Statement | Response | Then |
|---|--|---|
| This application represents: | "ONLY completely new shipment" is selected | No button is displayed |
| | "ONLY the unshipped balance under license numbers" is selected | 'Enter License Numbers' button is displayed |
| This application has related license numbers: | Check box not checked denoting not applicable | No button is displayed |
| | Check box checked denoting statement is true | 'Enter Related License Numbers' button is displayed |

| | | |
|---|--|---|
| This application is in reference to an agreement: | Check box not checked denoting not applicable | No button is displayed |
| | Check box checked denoting statement is true | 'Enter Agreement Numbers' button is displayed |
| If commodity is being financed under: | "Not Applicable" is selected | No button is displayed |
| | Any combination of "Foreign Military Sale", "Foreign Military Financing" and/or "Grant Aid Program" is checked | 'Add Case Numbers' button is displayed |

Table 3. Description of Transaction Options for DSP-5 Form

Selecting any one of these buttons will present 'Continuation to Block 8, Description of Transaction' window as shown in **Figure 57**. This window provides space for reference licenses number(s), agreement number(s) and/or case number(s). Select the 'Return' button to return to the DSP-5 form.

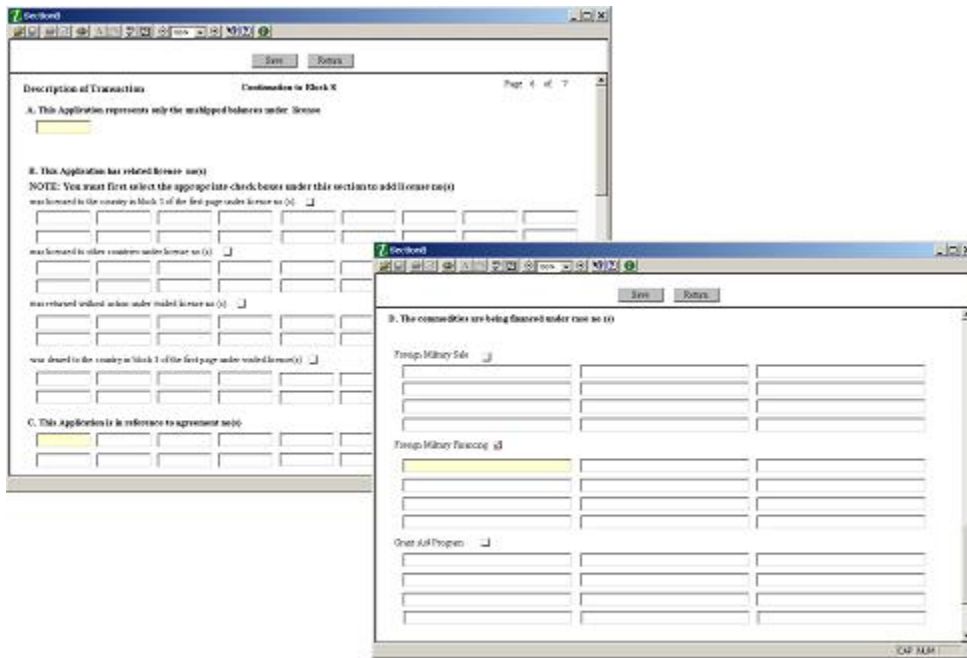


Figure 57. Continuation to Block 8, Description of Transaction

Quantity. A pulldown list of all recognized Unit Types for the Quantity field is illustrated in Figure 58. A unit type is chosen by first clicking on the small red arrow (beside the 'Unit Type' field) and then selecting the desired unit. The user can only select a unit type from the pick-list. This automatically places a unit type in the 'Unit Type' field. To remove a unit type from the field, select the blank at the beginning of the list. The quantity of that particular unit type should be entered into the 'Quantity' field. The maximum value that can be entered into this field is 9,999,999,999.

| | | | | |
|-------------|--------------|----------------|---|-----------------|
| Line Item # | *9. Quantity | *10. Commodity | * 11. USML Cat. Number | |
| | Unit Type | | Category | Sub |
| 1 | | | Commodity Code | |
| | | | Item is SME and DSP-83 is required <input type="checkbox"/> | |
| | | | Will a DSP-83 be attached? <input type="checkbox"/> | |
| | | | If SME, and DSP-83 is not attached, state why. | |
| | | | | |
| | | | *12. \$ Value | |
| | | | Unit Price | Line Item Total |
| | | | | |
| | | | *13. TOTAL VALUE (Sum of All Pages) \$ | |

Figure 58. Select Quantity Type

USML Cat Number. When you click on the small red arrow beside the ‘Category’ field, a pull-down list of all recognized categories is displayed as shown in Figure 59.

| | | | | |
|-------------|--------------|----------------|---|-----------------|
| Line Item # | *9. Quantity | *10. Commodity | * 11. USML Cat. Number | |
| | Unit Type | | Category | Sub |
| 1 | | | Commodity Code | |
| | | | Item is SME and DSP-83 is required <input type="checkbox"/> | |
| | | | I - Firearms, Close Assault Weapons and Combat Shotguns II - Guns and Armament III - Ammunition/Ordnance IV - Launch Vehicles, Guided Missiles, Ballistic Missiles, Rockets, Torpedoes, Bombs and Mines V - Explosives and Energetic Materials, Propellants, Incendiary Agents, and Their Constituents VI - Vessels of War and Special Naval Equipment VII - Tanks and Military Vehicles VIII - Aircraft and Associated Equipment IX - Military Training Equipment and Training | |
| | | | Defense Article Type | Unit Price |
| | | | | Line Item Total |
| | | | | |
| | | | *13. TOTAL VALUE (Sum of All Pages) \$ | |

Figure 59. Select USML Category in the DSP-5

The ‘Sub’ field is activated, once a category is selected. This field also has a pull down list that contains a list of all recognized subcategories (see Figure 60). The choices available in the list are relevant to the selected USML category.

| | | | | |
|------------------------------|---------------------------|--|---|--|
| Line Item # 1 | *9. Quantity Unit Type | *10. Commodity | * 11. USML Cat. Number | |
| | | | Category: III Sub: a Commodity Code | |
| | | | Item is SME and Will a DSP-83 be attached? <input type="checkbox"/> If SME, and DSP-83 is required, state why. | |
| | | Defense Article Type | *12. \$ Value | |
| | | | Unit Price | |
| Add <input type="checkbox"/> | | *13. TOTAL VALUE (Sum of All Pages) \$ | | |

Figure 60. Select USML Subcategory in the DSP-5

The 'Commodity Code' field may now become active contingent on the USML category and subcategory selected. A list of recognized commodity codes relevant to the selected USML subcategory is displayed when you click on the small red arrow next to the 'Commodity Code' field (see Figure 61).

| | | | | |
|------------------------------|---------------------------|--|---|---|
| Line Item # 1 | *9. Quantity Unit Type | *10. Commodity | * 11. USML Cat. Number | |
| | | | III a Commodity Code | |
| | | | Item is SME and Will a DSP-83 be attached? <input type="checkbox"/> If SME, and DSP-83 is required, state why. | F0015 TASER GUN AMMUNITION (ALL TYPES) G0001 CARTRIDGES, EXPLOSIVE G0002 CARTRIDGES IMPULSE G0003 CARTRIDGES INITIATION G0004 CARTRIDGES TRACER G0005 CARTRIDGES ARTILLERY 5 INCHES AND OVER G0010 CARTRIDGES .22 CAL THRU .50 CAL G0015 CARTRIDGES 20MM THRU 40MM G0020 CARTRIDGES 40MM THRU 75MM G0025 CARTRIDGES 75MM THRU 90MM G0030 CARTRIDGES 105MM THRU 155MM G0060 MORTAR AMMUNITION (ALL SIZES) |
| | | Defense Article Type | *12. \$ Value | |
| | | | Unit Price | Line Item Total |
| Add <input type="checkbox"/> | | *13. TOTAL VALUE (Sum of All Pages) \$ | | |

Figure 61. Select USML Commodity Code in the DSP-5

Also dependent on the USML category and subcategory selected is the 'Requires DSP-83' check box. This box is checked automatically if the selected subcategory is Significant Military Equipment (SME), requiring the submittal of a DSP-83 (see Figure 62). The user then must select 'Yes' or 'No' for 'Will a DSP-83 be attached?'. If the user selects 'Yes', then the list of 'Required Documents' on the DSP-5 Cover Page will automatically be updated to include the DSP-83 (see Figure 63). The DSP-83 is no longer on the list of 'Optional Documents'. However, if the user selects 'No' for 'Will a DSP-83 be attached?' then the DSP-83 will remain in 'Optional Documents'. If the selected subcategory does not require the DSP-83 i.e., is not SME, the Requires DSP-83 field is not checked and DSP-83 remains in the 'Optional Documents' on the Cover Page. The user cannot modify this box.

| Line Item # | *9. Quantity | *10. Commodity | *11. USML Cat. Number |
|------------------------------|--------------|----------------------|--|
| 1 | Unit Type | | III a Commodity Code Item is SME and DSP-83 is required <input checked="" type="checkbox"/> Will a DSP-83 be attached? Yes If SME, and DSP-83 is not attached, state why. |
| | | Defense Article Type | *12. \$ Value |
| | | | Unit Price Line Item Total |
| Add <input type="checkbox"/> | | | *13. TOTAL VALUE (Sum of All Pages) \$ |

Figure 62. Automatic Selection of Requires DSP-83 Check Box

Figure 63. Updated Cover Page

\$ Value. As shown in Figure 5-30, a field to enter a unit price is provided. The unit price does not require formatting when entered. Once the cursor is moved to another field after a value is entered, the field is formatted in that commas are automatically inserted in the value. The maximum dollar amount that can be entered is \$9,999,999,999. After values are entered in the 'Quantity' and the 'Unit Price' fields, the total is automatically calculated and populated in the 'Total' field (see Figure 64). The 'Total'

field is automatically updated each time a value in the 'Quantity' or 'Unit Price' field is changed. The 'Total' can only be in whole dollars (i.e., will not contain cents). The user cannot directly enter or modify the 'Total' field. Once data is entered into the 'Quantity' and 'Unit Price' fields, the 'Total' field is formatted in that commas are automatically inserted in the value.

| | | | | |
|-------------|--------------------|---|--|-------------------------|
| Line Item # | *9. Quantity | *10. Commodity | * 11. USML Cat. Number | |
| | 40 | Commodity description #1. | I | a F0100 SUBMACHINE GUNS |
| 1 | Unit Type Boxes | | Item is SME and DSP-83 is required <input checked="" type="checkbox"/> Will a DSP-83 be attached? Yes If SME, and DSP-83 is not attached, state why. | |
| | | Defense Article Type | *12. \$ Value | |
| | | Technical Data | Unit Price | Line Item Total |
| | | | 875 | 35,000 |
| Add | | *13. TOTAL VALUE (Sum of All Pages) \$ 35,000 | | |

Figure 64. Entry of \$ Value

Adding More Space for Commodities. Clicking on the 'Add' button below the first commodity line will open a window with additional lines to add more commodities as displayed in Figure 65.

Figure 65. Additional Commodities Page

If even more space is needed, click on the ‘Add Page’ button at the top of the ‘Additional Commodities’ window. This will result in an additional page being added. There is no limit to the number of additional commodities pages that can be added. To return to the first or previous page of additions, click on the ‘Previous’ button (see Figure 66). To go to the second or a subsequent page of additions, click on the ‘Next’ button. Click on the ‘Return’ button to return to the DSP-5.

NOTE: The ‘Delete’ button that appears at the top of the Additional page.

At the bottom of each ‘Additional Commodities’, there is a ‘Total’ field (see Figure 66). This field automatically sums up the total dollar value for the page. The user cannot enter data into the field.

https://158.114.121.64/DTradeExternal/DTCSubmissionPEDownloadServlet?activityID=DownloadDSP5For - Microsoft I...

File Edit View Go To Favorites Help

Previous New Add Page Delete Page Save Return

| | | | |
|------------------|--|--|--|
| Line Item # 3 | *9. Quantity 25 Unit Type Cases | *10. Commodity Commodity description #3. Defense Article Type Technical Data | *11. USML Cat. Number XI a(3)(iii) H1040 RADAR SYSTEMS Item is SME and DSP-83 is required <input checked="" type="checkbox"/> Will a DSP-83 be attached? Yes If SME, and DSP-83 is not attached, state why. *12. \$Value Unit Price Line Item Total 100 2,500 |
| Line Item # 4 | *9. Quantity 50 Unit Type Tons | *10. Commodity Commodity description #4. Defense Article Type Technical Data | *11. USML Cat. Number IV c 0325 BOMB DETECTION Item is SME and DSP-83 is required <input type="checkbox"/> Will a DSP-83 be attached? If SME, and DSP-83 is not attached, state why. *12. \$Value Unit Price Line Item Total 250 12,500 |
| TOTAL VALUE | | | \$ 15,000 |

Figure 66. Navigating Between Additional Commodities Pages

Once additional pages are added, the 'Add' button in the commodities section on the DSP-5 changes to 'View' and the check box next to it is checked to denote that there are additional commodities pages. This is shown in Figure 67.

| | | | |
|--|--|--|---|
| Line Item # 1 | *9. Quantity 40 Unit Type Boxes | *10. Commodity Commodity description #1. Defense Article Type Technical Data | *11. USML Cat. Number I a F0100 SUBMACHINE GUNS Item is SME and DSP-83 is required <input checked="" type="checkbox"/> Will a DSP-83 be attached? Yes If SME, and DSP-83 is not attached, state why. *12. \$ Value Unit Price Line Item Total 875 35,000 |
| View <input checked="" type="checkbox"/> | | | *13. TOTAL VALUE (Sum of All Pages) \$ 50,000 |

Figure 67. Additional Commodities Pages Denoted on DSP-5

Total Value (Sum of All Pages). As illustrated in Figure 68, a ‘TOTAL VALUE (Sum of All Pages)’ is provided in which the total dollar value of all commodities is calculated. The total is calculated automatically and is the sum of commodities listed on the DSP-5 and all additional commodities pages. The user cannot directly modify this field. The maximum dollar amount cannot exceed \$9,999,999,999.

The screenshot shows a web browser window displaying a table of commodities. The table has columns for Line Item #, Quantity, Commodity description, USML Cat. Number, and \$ Value. The total value is shown as \$50,000.

| Line Item # | *9. Quantity | *10. Commodity | *11. USML Cat. Number | *12. \$ Value |
|-------------------------------------|--------------|---------------------------|------------------------------------|--|
| 1 | 40 | Commodity description #1. | I a P0100 SUBMACHINE GUNS | Unit Price: 875, Line Item Total: 35,000 |
| 3 | 25 | Commodity description #3. | XI a (3) (111) P1040 RADAR SYSTEMS | Unit Price: 100, Line Item Total: 2,500 |
| 4 | 50 | Commodity description #4. | IV c P0325 BOMB DETECTION | Unit Price: 250, Line Item Total: 12,500 |
| *13. TOTAL VALUE (Sum of All Pages) | | | | \$ 50,000 |

Figure 68. Total Value (Sum of All Pages)

Name and address of foreign end-user. The drop-down list for the country field for Block 14 consists of only those countries the user selected in Block 3. There must be one foreign end-user for each country selected in Block 3. See Figure 69.

| 14. Name and address of foreign end-user | |
|--|--|
| * Name | Foreign end-user 1 |
| * Address | 1234 Address Court |
| * City | City Name |
| * Country | <input type="text"/> |
| <input type="button" value="Add"/> | <ul style="list-style-type: none"> Afghanistan American Samoa Australia Azerbaijan Bahamas Belarus Benin (Dahomey) Taiwan |

Figure 69. Name and Address of Foreign End-User

Name and address of foreign consignee. This and several other name and address blocks provide the option to re-use the name and address of another block (see Figure 70). Simply check the ‘Same as Block 14’ if the name and the address for the foreign consignee is the same as that of the foreign end-user. If there are foreign end-users listed on the continuation pages for Block 14, they will also be picked up as foreign consignees.

Helpful Hint: If the block provides an option of ‘Same as Block #’, use this option when applicable. Do not place “Same as Block #” in the ‘Name’ field.

NOTE: If after entering data in Block 16 and on the continuation page(s), you select the ‘Same as Block 14’ check box, any data entered in Block 16 and on the continuation page(s) is deleted and the continuation page(s) is deleted.

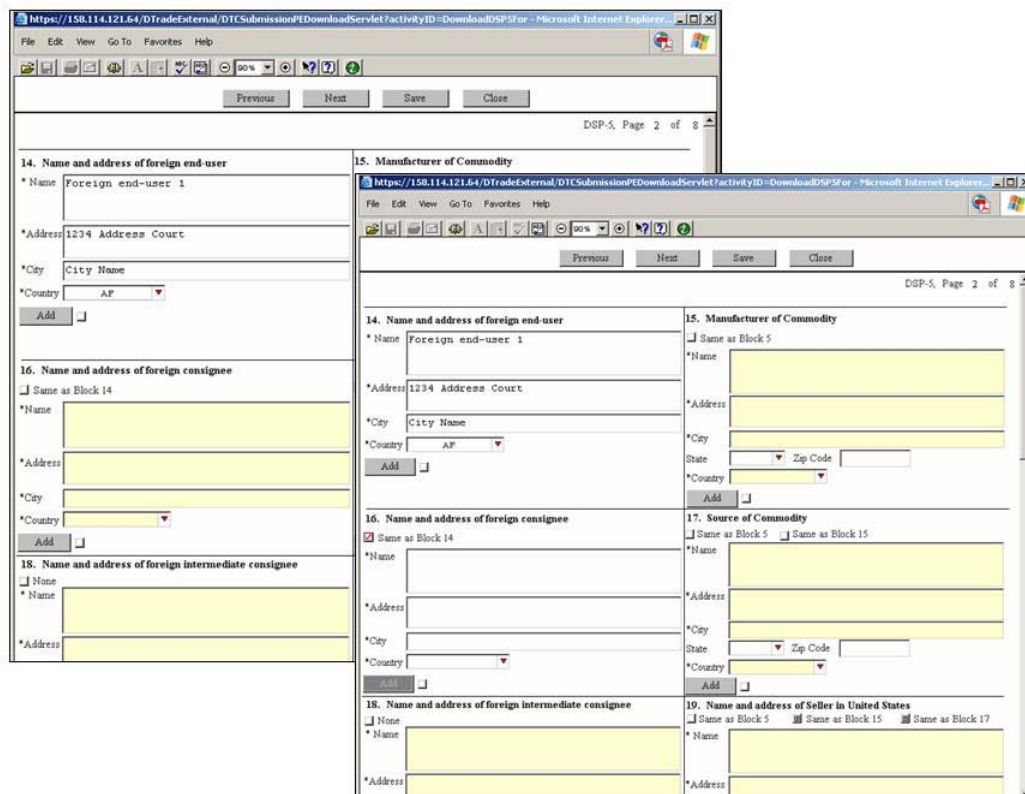


Figure 70. Name and Address of Foreign Consignee

If additional space is needed to add more foreign consignees, complete the information in Block 16 by entering the data and then click on the ‘Add’ button. (Note, if the ‘Same as Block 14’ is selected the ‘Add’ button is disabled.) A new window will open with additional space as displayed in Figure 71. Click on the ‘Add Page’ button on the top of the ‘Additional Foreign Consignee’ window to add more space if needed. There is no limit to the number of additional foreign consignee pages that can be added. To return to a previous page of additions, click on the ‘Previous’ button (see Figure 71). To get back to a subsequent page of additions, click on the ‘Next’ button. Click on the ‘Return’ button to return to the DSP-5.

Helpful Hint: If the name and address block provides an option to add more space, use this option to add a list of names and addresses when applicable. Do not place “See Attachment # to DSP-5” in the ‘Name’ field.

Additional Foreign Consignee Page # 1 of 1 DSP-5, Page 5 of 5

Additional Foreign Consignees

| | |
|---|---|
| <p>Name <input style="width: 95%;" type="text"/></p> <p>Address <input style="width: 95%;" type="text"/></p> <p>City <input style="width: 95%;" type="text"/></p> <p>Country <input style="width: 95%;" type="text"/></p> | <p>Name <input style="width: 95%;" type="text"/></p> <p>Address <input style="width: 95%;" type="text"/></p> <p>City <input style="width: 95%;" type="text"/></p> <p>Country <input style="width: 95%;" type="text"/></p> |
| <p>Name <input style="width: 95%;" type="text"/></p> <p>Address <input style="width: 95%;" type="text"/></p> <p>City <input style="width: 95%;" type="text"/></p> <p>Country <input style="width: 95%;" type="text"/></p> | <p>Name <input style="width: 95%;" type="text"/></p> <p>Address <input style="width: 95%;" type="text"/></p> <p>City <input style="width: 95%;" type="text"/></p> <p>Country <input style="width: 95%;" type="text"/></p> |
| <p>Name <input style="width: 95%;" type="text"/></p> <p>Address <input style="width: 95%;" type="text"/></p> <p>City <input style="width: 95%;" type="text"/></p> <p>Country <input style="width: 95%;" type="text"/></p> | <p>Name <input style="width: 95%;" type="text"/></p> <p>Address <input style="width: 95%;" type="text"/></p> <p>City <input style="width: 95%;" type="text"/></p> <p>Country <input style="width: 95%;" type="text"/></p> |
| <p>Name <input style="width: 95%;" type="text"/></p> <p>Address <input style="width: 95%;" type="text"/></p> <p>City <input style="width: 95%;" type="text"/></p> | <p>Name <input style="width: 95%;" type="text"/></p> <p>Address <input style="width: 95%;" type="text"/></p> <p>City <input style="width: 95%;" type="text"/></p> |

Figure 71. Additional Foreign Consignee Page

Once additional pages are added for the name and address block, the ‘Add’ button in the block on the DSP-5 changes to ‘View’ and the check box next to it is checked to denote that there are additional pages for the corresponding block. This is shown in Figure 72.

https://158.114.121.64/DTradeExternal/DTCSubmissionPEDownloadServlet?activityID=DownloadDSP5For - Microsoft Internet Explorer...

File Edit View Go To Favorites Help

Previous Next Save Close

DSP-5, Page 2 of 9

| | |
|--|--|
| <p>14. Name and address of foreign end-user</p> <p>* Name Foreign end-user 1</p> <p>*Address 1234 Address Court</p> <p>*City City Name</p> <p>*Country AF</p> <p>Add <input type="checkbox"/></p> | <p>15. Manufacturer of Commodity</p> <p><input checked="" type="checkbox"/> Same as Block 5</p> <p>*Name</p> <p>*Address</p> <p>*City</p> <p>State Zip Code</p> <p>*Country</p> <p>Add <input type="checkbox"/></p> |
| <p>16. Name and address of foreign consignee</p> <p><input type="checkbox"/> Same as Block 14</p> <p>*Name Foreign consignee #1</p> <p>*Address 1234 Address Lane</p> <p>*City City Name</p> <p>*Country AL</p> <p>View <input checked="" type="checkbox"/></p> | <p>17. Source of Commodity</p> <p><input type="checkbox"/> Same as Block 5 <input checked="" type="checkbox"/> Same as Block 15</p> <p>*Name</p> <p>*Address</p> <p>*City</p> <p>State Zip Code</p> <p>*Country</p> <p>Add <input type="checkbox"/></p> |
| <p>18. Name and address of foreign intermediate consignee</p> <p><input type="checkbox"/> None</p> <p>* Name</p> <p>*Address</p> | <p>19. Name and address of Seller in United States</p> <p><input type="checkbox"/> Same as Block 5 <input checked="" type="checkbox"/> Same as Block 15 <input checked="" type="checkbox"/> Same as Block 17</p> <p>* Name</p> <p>*Address</p> |

Figure 72. Name and Address of Foreign Consignee with Additional Pages

Name and address of foreign intermediate consignee. The optional ‘None’ check box is selected, if there are no foreign intermediate consignees (see Figure 73).

Helpful Hint: If in a block an option for ‘None’ is provided, use this option when applicable. Do not place “None” in the ‘Name’ field.

NOTE: If after entering data in Block 18 and on the continuation page(s), you select the ‘None’ check box, any data entered in Block 18 and on the continuation page(s) is deleted and the continuation page(s) is deleted.

Figure 73. Name and Address of Foreign Intermediate Consignee

Specific purpose for which the material is required, including specific Program/End Item. As shown in

Figure 74, four options are available to be selected to provide additional information about the specific purpose. At least one must be selected.

Figure 74. Specific Purpose

A text box is provided for entering and reviewing the specific purpose (see Figure 74). In cases where the text is entered such that it exceeds the box's height, there are two ways to view the entire description. The text box may be scrolled to view the complete description or the 'View Page # - Specific Purpose' button may be selected as shown in Figure 75. Clicking on the 'View Page # - Specific Purpose' button provides an

alternative way of entering and reviewing the purpose. A window is opened providing a larger work area as shown in Figure 75. Any text that was previously entered in the text box in Block 20 of the DSP-5 will appear in the 'Full View of Description Item #20 of the DSP-5' window.

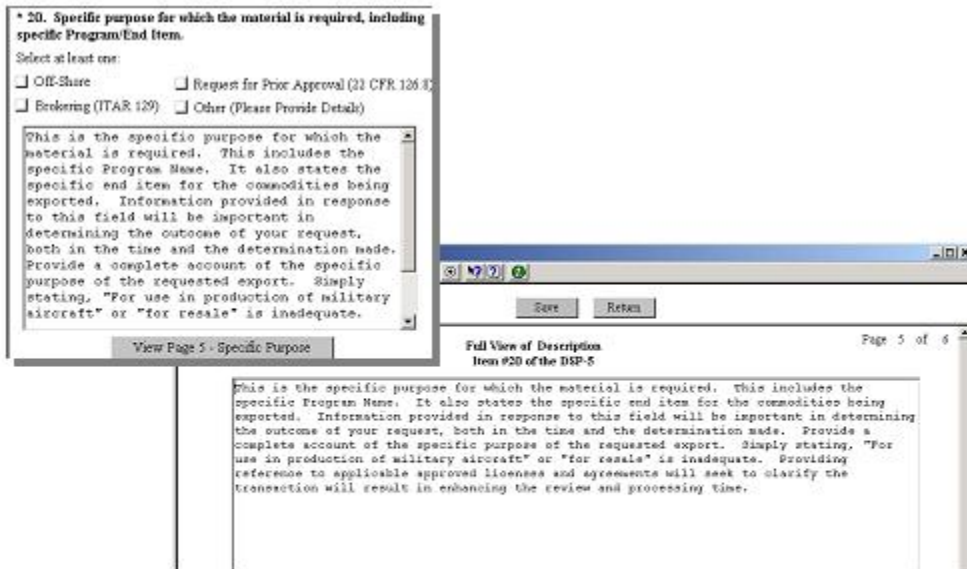


Figure 75. Specific Purpose and Full View of Description

NOTES:

- **The Applicant’s Statement is located on page 3 of the electronic DSP-5 form and must be completed.**
- **How to delete empty continuation pages.**
- **How to add, remove or view supporting documents.**
- **How to digitally sign the application.**

DSP-61 Electronic Form

This section will discuss the use of the electronic DSP-61 form.

NOTE: The following sections discuss unique aspects of the electronic DSP-61 form and its use within the System. This document is not intended to duplicate or replace other instructive documents such as the *Society for International Affairs (SIA) Guidelines for Completing Department of State License and Amendment Applications.*

DSP-61 Document

The DSP-61 Cover Page lists the DSP-61 document in the *Required Documents* window (see Figure 47).

The screenshot shows a web browser window with the URL <https://rsmv48-nflo1/DTradeExternal/DTCSubmissionPEDownloadServlet?activityID=DownloadDSP61Form>. The browser's address bar and menu bar are visible. Below the browser window, the form content includes:

- Buttons for **Submit**, **Save**, and **Print**.
- Text: **Electronic Form Version Number: 1.0**
- Text: **OMB APPROVAL NO. 1405-0013**
EXPIRATION DATE: 07-31-2005
***ESTIMATED BURDEN: 30 minutes**
- A box containing the *** PAPERWORK REDUCTION ACT STATEMENT**.
- Section header: **U.S. DEPARTMENT OF STATE**
DIRECTORATE OF DEFENSE TRADE CONTROLS
APPLICATION/LICENSE FOR TEMPORARY IMPORT OF UNCLASSIFIED DEFENSE ARTICLES
- Text: ***Transaction Number:** followed by a yellow input field.
- Text: **Please note that an Asterisk (*) next to a field in a document designate a mandatory field or block.**
- Text: **No classified information can be included in this application. Classified information must be sent separately to PM/DDTC in accordance with the Defense Security Service guidelines.**
- Text: **Classified information is being sent under separate cover** with an unchecked checkbox.
- Text: **To select and open a document, highlight a form and select the "Open Document" button. The document that you selected will open.**
- Two columns of document lists:
 - Required Documents:** An empty text box.
 - Included Documents:** A list containing **DSP-61**.
 - Optional Documents:** A list containing **Contract**, **Purchase Order**, **Letter of Intent**, **Manufacturer Unknown Letter of Explanation**, **Other Amplifying Data (e.g. Briefing, Proposals)**, **Precedent (identical/similar) Cases**, and **Product Brochures**.
- An **Open Document** button located below the Required Documents list.

Figure 76. Cover Page of DSP-61 Electronic Form

When the item is selected and the “Open Document” button is pressed, the DSP-61 document opens as illustrated in Figure 48.

https://rsmv48-nflo1/DTradeExternal/DTCSubmissionPEDownloadServlet?activityID=DownloadDSP61Form - Microsoft Internet Explorer p

File Edit View Go To Favorites Help

Previous Next Save Close

DSP-61, Page 1 of 4

SEAL _____
Signature _____

License is hereby granted to the applicant for the described commodity to be shipped to the United States in transit to indicated destination. This license may be revoked, suspended or amended by the Secretary of State without prior notice whenever the Secretary deems such action advisable.

DATE ISSUED // /

LICENSE NO. _____ LICENSE VALID FOR _____ MONTHS FROM ABOVE DATE

UNITED STATES OF AMERICA DEPARTMENT OF STATE
APPLICATION/LICENSE FOR TEMPORARY IMPORT OF UNCLASSIFIED DEFENSE ARTICLES

| | | | |
|----------------------------------|---|---|-----------------------------------|
| * 1. Date prepared 01/12/2006 | * 2. PM/DDTC Applicant/Registrant Code _____ | * 3. Foreign country from which shipped: Country: _____ | * 4. U.S. port of import _____ |
| | | * 5. Foreign Country of Ultimate Destination: Country: _____ | * 6. U.S. port of export _____ |

7. Name, agency and telephone number of U.S. Government personnel (not PM/DDTC) familiar with the commodity

Name _____
Agency _____
Telephone # _____ Ext. _____

8. Applicant's Name, Address, ZIP Code, and Telephone Number

*Applicant is: Manufacturer Exporter Government
 Subsidiary

*Name _____
*Attention _____
*Address _____
*City _____
*State _____ *ZIP Code _____
*Telephone # _____ Ext. _____

9. Name and telephone numbers of applicant contact if U.S. Government needs additional information

*Name _____
*Telephone # _____ Ext. _____
Add

10. Description of Transaction

A. The identical commodity was licensed to the country in Block 3 under license number(s).

B. The identical commodity was licensed to other countries under license number(s).

C. The identical commodity was denied to the country in Block 5 under voided license number(s).

Figure 77. DSP-61 Document (Page 1)

Several documents listed under 'Optional Documents' may become required depending on information provided in the form. For example, if the "Unknown" checkbox is selected in Block 17, then the optional document "Manufacturer Unknown Letter of Explanation" becomes required. Refer to Figure 50.

https://rsmv48-nfl01/DTradeExternal/DTCSubmissionPEDownloadServlet?activityID=DownloadDSP61Form - Microsoft Internet Explorer p

File Edit View Go To Favorites Help

Submit Save Print

Electronic Form Version Number: 1.0

OMB APPROVAL NO. 1405-0013
EXPIRATION DATE 07-31-2005
*ESTIMATED BURDEN: 30 minutes

* PAPERWORK REDUCTION ACT STATEMENT: Public reporting burden for this collection of information is estimated to average 30 minutes 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 (A/RP3/DIR) Washington, D.C. 20520.

U.S. DEPARTMENT OF STATE
DIRECTORATE OF DEFENSE TRADE CONTROLS

APPLICATION/LICENSE FOR TEMPORARY IMPORT OF UNCLASSIFIED DEFENSE ARTICLES

*Transaction Number:

Please note that an Asterisk (*) next to a field in a document designate a mandatory field or block.

No classified information can be included in this application. Classified information must be sent separately to PM/DDTC in accordance with the Defense Security Service guidelines.

Classified information is being sent under separate cover

To select and open a document, highlight a form and select the "Open Document" button. The document that you selected will open.

Required Documents

Manufacturer Unknown Letter of Explanation

Optional Documents

Contract
Purchase Order
Letter of Intent
Other Amplifying Data (e.g. Briefing, Proposals)
Precedent (identical/similar) Cases
Product Brochures
Supplementary Explanation of Transaction (e.g. White Paper)

Included Documents

dsp-61

Figure 78. DSP-61 Required Documents

Specific DSP-61 Fields

The following provides specific instructions for selected fields.

Foreign Country from Which Shipped and Foreign Country of Ultimate Destination. A pull-down list of all recognized countries is provided as illustrated in Figure 51. A country is chosen by first clicking on the small red arrow (beside 'Country') and then selecting the desired country. This automatically places the country in the window immediately to the right.

Helpful Hint: For Block 3 and Block 5, only one country can be selected. Once the user has selected the country and it is moved to the list box, the country drop-down list becomes inactive. If the user has selected the incorrect country, they can remove the country from the list box and the country drop-down list will be come active.

Helpful Hint: In any pull-down list, you may more rapidly advance to a desired entry in the list by typing the first character in its name. For example, in the country list typing the letter 'T' will advance you to the first country that starts with this letter (i.e., Taiwan).

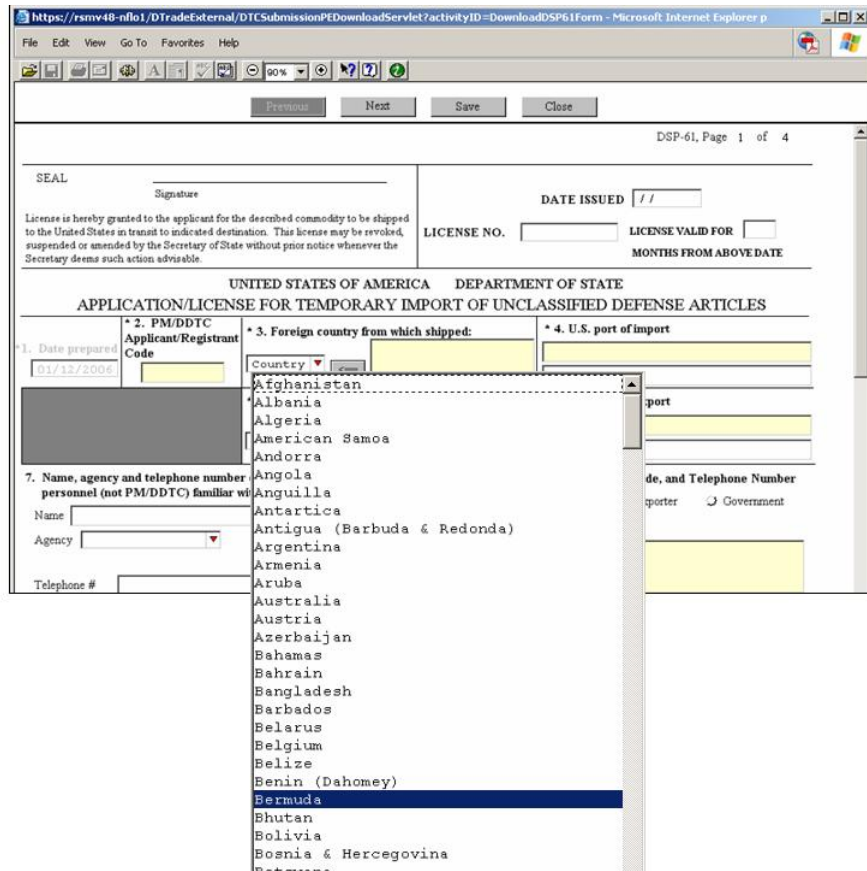


Figure 79. Foreign country from which shipped

To remove the selected country from the list, highlight the country and then use the directed arrow ('<==') to remove it from the list as shown in Figure 80.

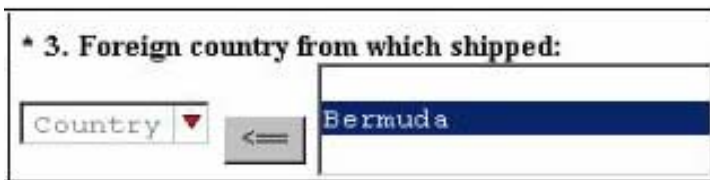


Figure 80. Remove Country

Applicant's Name, Address, ZIP Code, and Telephone Number. If subsidiary information is applicable, select the 'Subsidiary' check box. This will cause the 'Add Subsidiary Information' button to be displayed. Selecting this button will present the subsidiary information page as shown in Figure 81. Select the 'Return' button to return to the DSP-61 form.

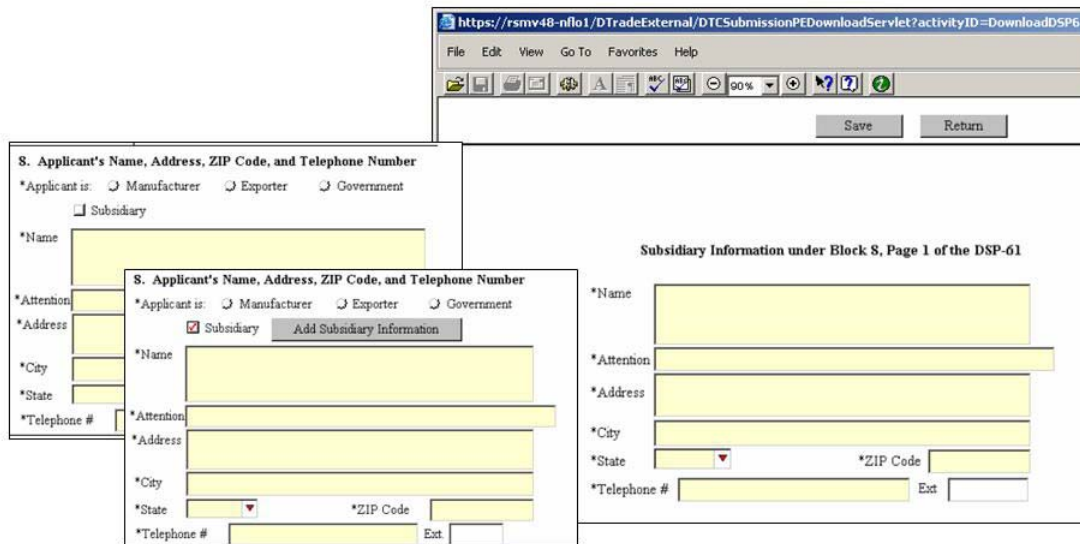


Figure 81. Add Subsidiary Information to DSP-61

Description of Transaction. Depending on the response selected for each statement listed in Figure 82, a button may be displayed allowing for the entry of additional information. The lower half of Figure 82 shows the buttons that can be displayed.

| | |
|--|--|
| <p>10. Description of Transaction</p> <p>A. <input type="checkbox"/> The identical commodity was licensed to the country in Block 3 under license number(s).</p> <p>B. <input type="checkbox"/> The identical commodity was licensed to other countries under license number(s).</p> <p>C. <input type="checkbox"/> The identical commodity was denied to the country in Block 5 under voided license number(s).</p> <p>D. <input type="checkbox"/> The identical commodity was never licensed for this applicant.</p> <p>E. <input type="checkbox"/> This transaction is in furtherance of agreement number(s).</p> <p>F. <input type="checkbox"/> The transaction is in support of agreement number(s).</p> | |
| <p>10. Description of Transaction</p> <p>A. <input checked="" type="checkbox"/> The identical commodity was licensed to the country in Block 3 under license number(s). <input type="text" value="Enter Related License Number(s)"/></p> <p>B. <input checked="" type="checkbox"/> The identical commodity was licensed to other countries under license number(s). <input type="text" value="Enter Related License Number(s)"/></p> <p>C. <input checked="" type="checkbox"/> The identical commodity was denied to the country in Block 5 under voided license number(s). <input type="text" value="Enter Voided License Number(s)"/></p> <p>D. <input checked="" type="checkbox"/> The identical commodity was never licensed for this applicant.</p> <p>E. <input checked="" type="checkbox"/> This transaction is in furtherance of agreement number(s). <input type="text" value="Enter Agreement Number(s)"/></p> <p>F. <input checked="" type="checkbox"/> The transaction is in support of agreement number(s). <input type="text" value="Enter Agreement Number(s)"/></p> | |

Figure 82. Select Description of Transaction

Selecting any one of these buttons will present 'Continuation to Block 10, Description of Transaction' window as shown in Figure 83. This window provides space for reference licenses number(s), agreement number(s) and/or case number(s). Select the 'Return' button to return to the DSP-61 form.

<https://rsmv48-nflo1/DTradeExternal/DTCSubmissionPEDownloadServlet?activityID=DownloadDSP61Form> - Microsoft Internet Explorer p

File Edit View Go To Favorites Help

Save Return

Description of Transaction Continuation to Block 10 DSP-61, Page 6 of 6

The identical commodity was licensed to the country in Block 3 of the first page under license no(s).

The identical commodity was licensed to other countries under license no(s).

The identical commodity was denied to the country in Block 5 of the first page under voided license(s).

The transaction is in furtherance of agreement no(s).

The transaction is in support of agreement no(s).

Figure 83. Continuation Page for Description of Transaction

Name and address of owner/end-user of commodity in foreign country from which shipped. The drop-down list for the country field for Block 16 consists of only the country the user selected in Block 3. See Figure 84.

| 16. Name and address of owner/end-user of commodity in foreign country from which shipped | |
|---|---|
| *Name | <input type="text"/> |
| *Address | <input type="text"/> |
| *City | <input type="text"/> |
| *Country | <input type="text"/> <div style="border: 1px solid black; padding: 2px;"> Bermuda </div> |

Figure 84. Name and address of owner/end-user of commodity in foreign country from which shipped

Name and address of end user in foreign country of ultimate destination. The drop-down list for the country field for Block 24 consists of only the country the user selected in Block 5. See Figure 85.

| 24. Name and address of end user in foreign country of ultimate destination | |
|---|---|
| <input type="checkbox"/> Same as Block 16 | |
| *Name | <input type="text"/> |
| *Address | <input type="text"/> |
| *City | <input type="text"/> |
| *Country | <input type="text"/> <div style="border: 1px solid black; padding: 2px;"> Nigeria </div> |

Figure 85. Name and Address of Foreign End-User

Name and address of foreign intermediate consignee. The optional ‘None’ check box is selected, if there are no foreign intermediate consignees (see Figure 86).

Helpful Hint: If in a block an option for ‘None’ is provided, use this option when applicable. Do not place “None” in the ‘Name’ field.

NOTE: If after entering data in Block 20 and on the continuation page(s), you select the ‘None’ check box, any data entered in Block 20 and on the continuation page(s) is deleted and the continuation page(s) is deleted.

| | |
|--|---|
| <p>20. Name and address of foreign intermediate consignee</p> <p><input type="checkbox"/> None</p> <p>*Name <input type="text"/></p> <p>*Address <input type="text"/></p> <p>*City <input type="text"/></p> <p>*Country <input type="text"/></p> <p>Add <input type="checkbox"/></p> | <p>20. Name and address of foreign intermediate consignee</p> <p><input checked="" type="checkbox"/> None</p> <p>*Name <input type="text"/></p> <p>*Address <input type="text"/></p> <p>*City <input type="text"/></p> <p>*Country <input type="text"/></p> <p>Add <input type="checkbox"/></p> |
|--|---|

Figure 86. Name and Address of Foreign Intermediate Consignee

NOTES:

- **The Applicant’s Statement is located on page 3 of the electronic DSP-61 form and must be completed.**
- **How to delete empty continuation pages.**
- **How to add, remove or view supporting documents.**
- **How to digitally sign the application.**

DSP-73 Electronic Form

This section will discuss the use of the electronic DSP-73 form.

NOTE: The following sections discuss unique aspects of the electronic DSP-73 form and its use within the System. This document is not intended to duplicate or replace other instructive documents such as the *Society for International Affairs (SIA) Guidelines for Completing Department of State License and Amendment Applications.*

DSP-73 Document

The DSP-73 Cover Page lists the DSP-73 document in the *Required Documents* window (see Figure 87).

https://158114.121.144/D/TradeExternal/D/CSubmission?DownloadService?activityID=DownloadDSP73fo - Microsoft Internet...

File Edit View Go To Favorites Help

Back Forward Stop Home Search Favorites

75%

Submit Save Print

Electronic Form Version Number: 1.0

OMB APPROVAL NO. 1405-0023
EXPIRATION DATE: 07-31-2005
*ESTIMATED BURDEN: 1 HOUR

* PAPERWORK REDUCTION ACT STATEMENT: Public reporting burden for this collection of information is estimated to average 1 hour 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 (A/RPD/DIR) Washington, D.C. 20520

**U.S. DEPARTMENT OF STATE
DIRECTORATE OF DEFENSE TRADE CONTROLS
APPLICATION/LICENSE FOR TEMPORARY EXPORT OF
UNCLASSIFIED DEFENSE ARTICLES**

*Transaction Number:

Please note that an Asterisk (*) next to a field or block in a document designates a mandatory field or block.

No classified information can be included in this application. Classified information must be sent separately to PM/DDTC in accordance with the Defense Security Service guidelines.

Classified information is being sent under separate cover

To open a document, click on a document to highlight it and select the "Open Document" button. The document that you selected will open.

| Required Documents | Included Documents |
|---|---|
| <p>DSP-73</p> <p><input type="button" value="Open Document"/></p> | <p><input type="button" value="Open Document"/></p> |

Optional Documents

- Firearms and Ammunitions Import Permit
- Firearms and Ammunitions letter of Explanation
- Other Amplifying Data (e.g. Briefing, Proposals)
- Precedent (identical/similar) Cases
- Product Brochures
- Supplementary Explanation of Transaction (e.g. White Paper)
- Technical Drawings, Schematics, or Blue Prints
- Transaction Exception Request
- 22 CFR § 126.13 Eligibility Letter
- Manufacturer Unknown Letter of Explanation

Figure 87. Cover Page of DSP-73 Electronic Form

When the item is selected and the "Open Document" button is pressed, the DSP-73 document opens as illustrated in Figure 88.

https://158.114.121.64/D/TradeExternal/D/CSubmissionPE/DownloadServlet/activityID=downloadDSP73fo - Microsoft Internet Explorer p

File Edit View Go To Favorites Help

Back Forward Stop Home Search Favorites

Previous Next Save Close

DSP-73, Page 1 of 4

SEAL _____
Signature _____

License is hereby granted to the applicant for the described commodity to depart from the United States for temporary export and return to the United States. This license may be revoked, suspended or amended by the Secretary of State without prior notice whenever the Secretary deems such action advisable.

DATE ISSUED // / /

LICENSE NO. _____ LICENSE VALID FOR _____ MONTHS FROM ABOVE DATE

UNITED STATES OF AMERICA DEPARTMENT OF STATE
APPLICATION/LICENSE FOR TEMPORARY EXPORT OF UNCLASSIFIED DEFENSE ARTICLES

*1. Date Prepared 01/12/2006

*2. PM/DDTC Applicant/Registrant Code _____

*3. Select One:
 Single departure and return
 Series of departures and returns

*4. Specific countries of sojourn
Country [v] []

5. Applicant's Name, Address, ZIP Code and Telephone Number

*Applicant is: Government Manufacturer Exporter

Subsidiary

*Name _____

*Attention: _____

*Address _____

*City _____

*State [v] *ZIP Code _____

*Telephone # _____ Ext _____

*6. Probable port of exit from U.S. _____

*7. Probable port of entry into U.S. _____

*8. Probable date of first exit from U.S. // / / mm/dd/yyyy

*9. Probable date of final entry into U.S. // / / mm/dd/yyyy

10a. Name and telephone numbers of individual(s) to contact if U.S. Government needs additional information.

Name _____

Telephone # _____ Ext _____

Add []

10b. Name, agency and telephone numbers of U.S. Government personnel (not PM/DDTC) familiar with the commodity.

Name _____

Telephone # _____ Ext _____

Figure 88. DSP-73 Document (Page 1)

Several documents listed under 'Optional Documents' may become required depending on information provided in the form. For example, if the "Unknown" checkbox is selected in Block 17, then the optional document "Manufacturer Unknown Letter of Explanation" becomes required. Refer to Figure 89.

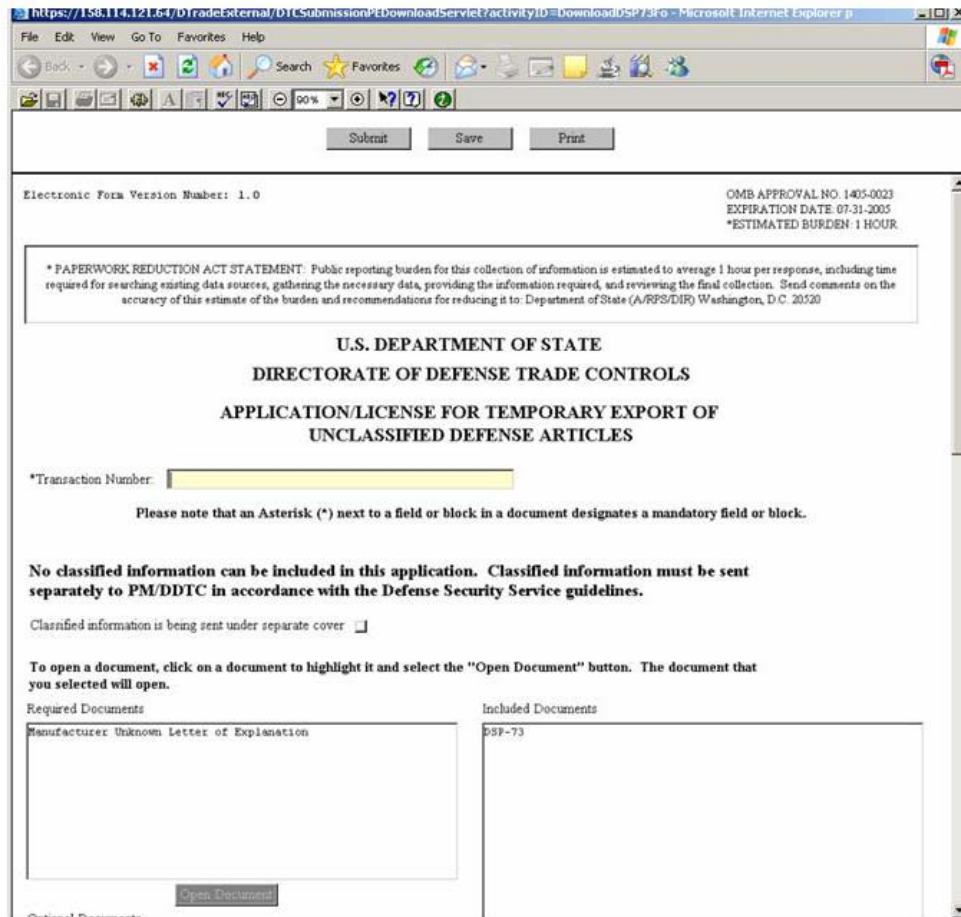


Figure 89. DSP-73 Required Documents

Specific DSP-73 Fields

The following provides specific instructions for selected fields.

Specific countries of sojourn. A pull-down list of all recognized countries is provided as illustrated in Figure 90. A country is chosen by first clicking on the small red arrow (beside 'Country') and then selecting the desired country. This automatically places the country in the window immediately to the right. Multiple countries may be chosen by repeating this procedure.

Helpful Hint: In any pull-down list, you may more rapidly advance to a desired entry in the list by typing the first character in its name. For example, in the country list typing the letter 'T' will advance you to the first country that starts with this letter (i.e., Taiwan).

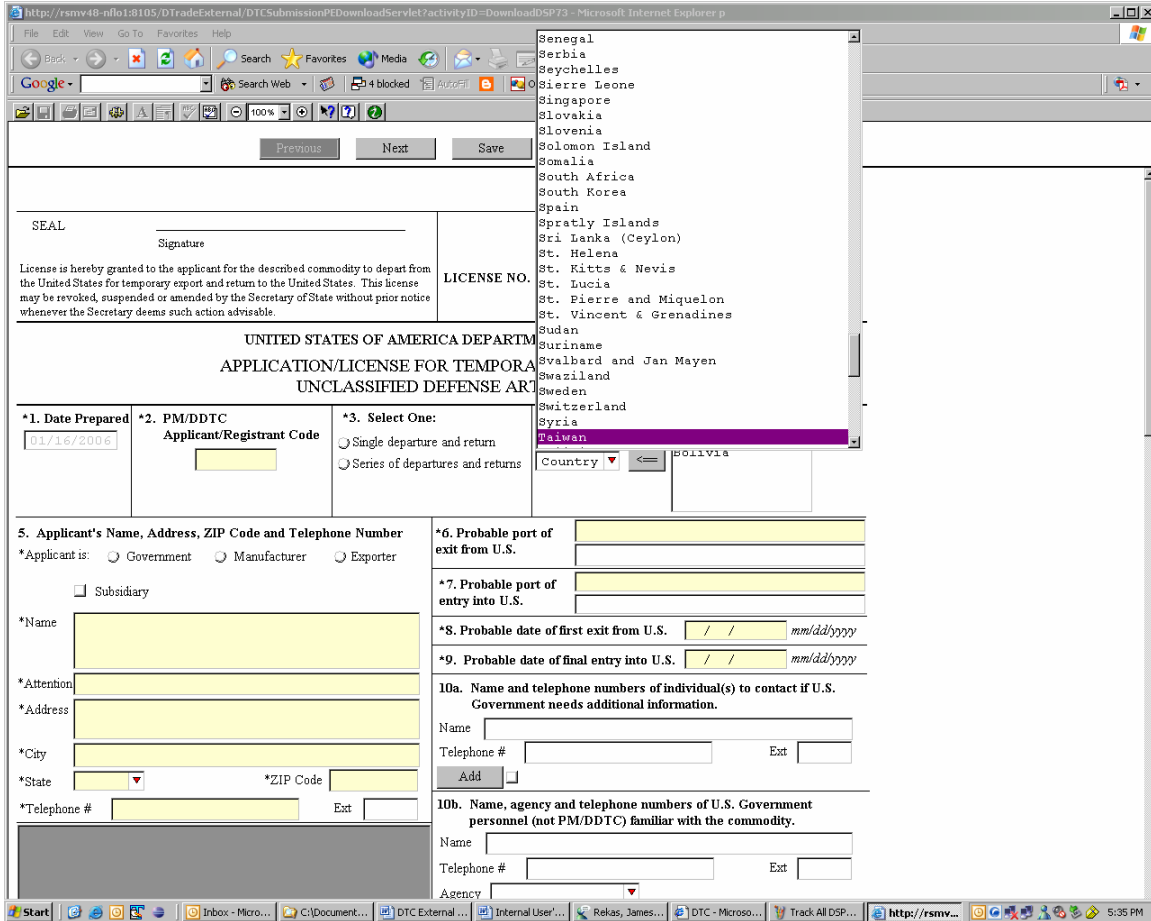


Figure 90. Select Specific Countries of Sojourn

To remove a selected country from the list, highlight the desired country and then use the directed arrow ('<==') to remove it from the list as shown in Figure 91.



Figure 91. Remove Country

In cases where more countries have been chosen such that the list exceeds the box's size, there are two ways to view the entire list of countries. The list may be scrolled to see all countries or the 'View Page # - Dest. Countries' button may be selected as shown in Figure 92. View Full List of Selected Countries. Select the 'Return' button to return to the DSP-73 form.

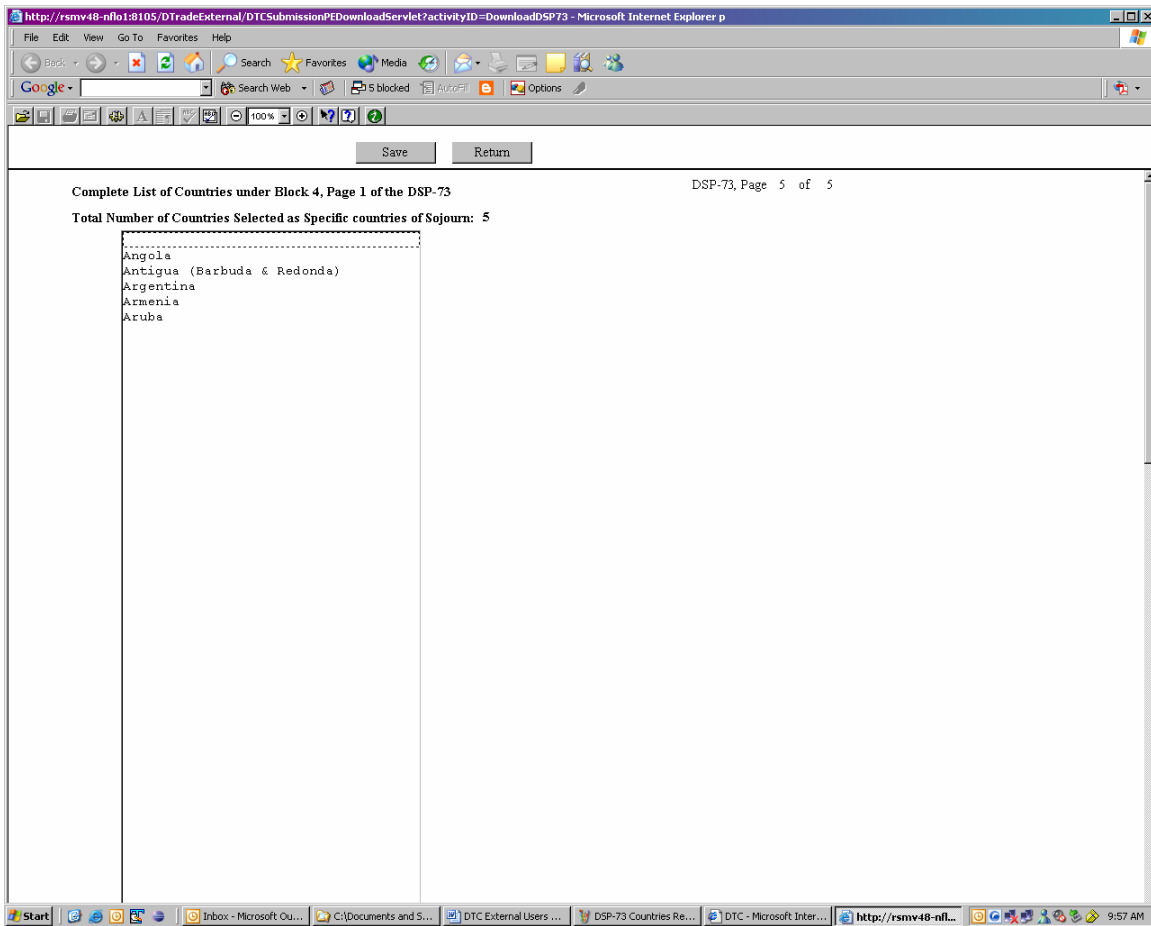


Figure 92. View Full List of Selected Countries

Applicant's Name, Address, ZIP Code, and Telephone Number. If subsidiary information is applicable, select the 'Subsidiary' check box. This will cause the 'Add Subsidiary Information' button to be displayed. Selecting this button will present the subsidiary information page as shown in Figure 93. Add Subsidiary Information to DSP-73. Select the 'Return' button to return to the DSP-73 form.

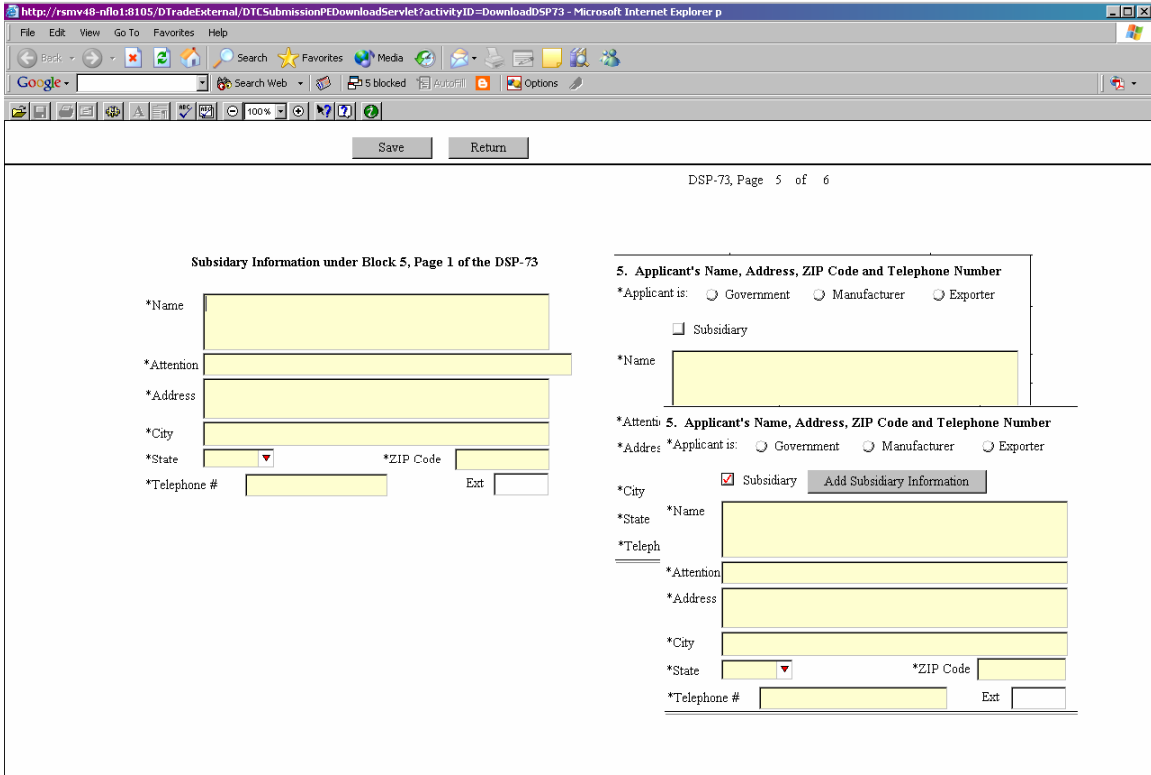


Figure 93. Add Subsidiary Information to DSP-73

Description of Transaction. Depending on the response selected for each statement listed in Figure 82, a button may be displayed allowing for the entry of additional information. The lower half of Figure 94 shows the buttons that can be displayed.

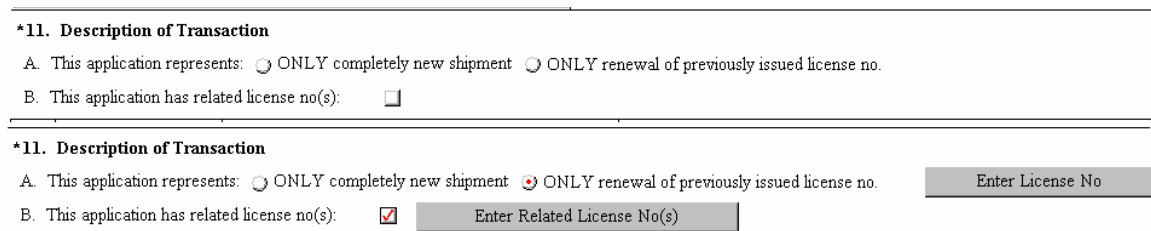


Figure 94. Select Description of Transaction

Selecting any one of these buttons will present 'Continuation to Block 10, Description of Transaction' window as shown in Figure 95. This window provides space for reference

licenses number(s), agreement number(s) and/or case number(s). Select the ‘Return’ button to return to the DSP-73 form.

Figure 95. Continuation Page for Description of Transaction

Name and address of foreign intermediate consignee. The optional ‘None’ check box is selected, if there are no foreign intermediate consignees (see Figure 96). The drop-down list for the country field for Block 18 consists of only the country the user selected in Block 4.

Helpful Hint: If in a block an option for ‘None’ is provided, use this option when applicable. Do not place “None” in the ‘Name’ field.

NOTE: If after entering data in Block 18 and on the continuation page(s), you select the ‘None’ check box, any data entered in Block 18 and on the continuation page(s) is deleted and the continuation page(s) is deleted.

| | |
|---|--|
| <p>18. Name and address of foreign intermediate consignee</p> <p><input type="checkbox"/> None</p> <p>*Name <input type="text"/></p> <p>*Address <input type="text"/></p> <p>*City <input type="text"/></p> <p>*Country <input type="text"/></p> <p>*Role <input type="text"/></p> <p>Add <input type="checkbox"/></p> | <p>18. Name and address of foreign intermediate consignee</p> <p><input checked="" type="checkbox"/> None</p> <p>*Name <input type="text"/></p> <p>*Address <input type="text"/></p> <p>*City <input type="text"/></p> <p>*Country <input type="text"/></p> <p>*Role <input type="text"/></p> <p>Add <input type="checkbox"/></p> |
|---|--|

Figure 96. Name and address of foreign intermediate consignee

Name and address of temporary foreign consignee. The optional ‘None’ check box is selected, if there are no foreign intermediate consignees (see Figure 97). The drop-down list for the country field for Block 20 consists of only the country the user selected in Block 4.

Helpful Hint: If in a block an option for ‘None’ is provided, use this option when applicable. Do not place “None” in the ‘Name’ field.

NOTE: If after entering data in Block 20 and on the continuation page(s), you select the ‘None’ check box, any data entered in Block 20 and on the continuation page(s) is deleted and the continuation page(s) is deleted.

| | |
|--|---|
| <p>20. Name and address of temporary foreign consignee</p> <p><input type="checkbox"/> None</p> <p>*Name <input type="text"/></p> <p>*Address <input type="text"/></p> <p>*City <input type="text"/></p> <p>*Country <input type="text"/></p> <p>Add <input type="checkbox"/></p> | <p>20. Name and address of temporary foreign consignee</p> <p><input checked="" type="checkbox"/> None</p> <p>*Name <input type="text"/></p> <p>*Address <input type="text"/></p> <p>*City <input type="text"/></p> <p>*Country <input type="text"/></p> <p>Add <input type="checkbox"/></p> |
|--|---|

Figure 97. Name and address of temporary foreign consignee.

Name and address of temporary foreign end-user. The optional ‘None’ check box is selected, if there are no foreign intermediate consignees (see Figure 86). The drop-down list for the country field for Block 22 consists of only the country the user selected in Block 4.

Helpful Hint: If in a block an option for ‘None’ is provided, use this option when applicable. Do not place “None” in the ‘Name’ field.

NOTE: If after entering data in Block 22 and on the continuation page(s), you select the ‘None’ check box, any data entered in Block 22 and on the continuation page(s) is deleted and the continuation page(s) is deleted.

| | |
|---|--|
| <p>22. Name and address of temporary foreign end-user</p> <p><input type="checkbox"/> Same as Block 20</p> <p>*Name <input type="text"/></p> <p>*Address <input type="text"/></p> <p>*City <input type="text"/></p> <p>*Country <input type="text"/></p> <p>Add <input type="checkbox"/></p> | <p>22. Name and address of temporary foreign end-user</p> <p><input checked="" type="checkbox"/> Same as Block 20</p> <p>*Name <input type="text"/></p> <p>*Address <input type="text"/></p> <p>*City <input type="text"/></p> <p>*Country <input type="text"/></p> <p>Add <input type="checkbox"/></p> |
|---|--|

Figure 98. Name and Address of Temporary Foreign End-User

Is the article being exported an Aircraft or Vessel? If the user selects “Yes” as shown in Figure 99, the “Add Aircraft or Vessel Information” button will display. The user can select this button to enter information regarding the article.

| | |
|--|---|
| <p>*24. Is the article being exported an Aircraft or Vessel?</p> <p><input type="radio"/> Yes <input type="radio"/> No</p> <p><i>Note: Blocks 25 - 29 are only displayed if there is a "Yes" response to Block 24.</i></p> | <p>*24. Is the article being exported an Aircraft or Vessel?</p> <p><input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Add Aircraft or Vessel Information</p> <p><i>Note: Blocks 25 - 29 are on another page and are only displayed if there is a "Yes" response to Block 24.</i></p> |
|--|---|

Figure 99. Is the article being exported an Aircraft or Vessel Button

Figure 100 displays the continuation page for the aircraft or vessel information. The user can add several additional Commander pages as well as several aircrafts or vessels.

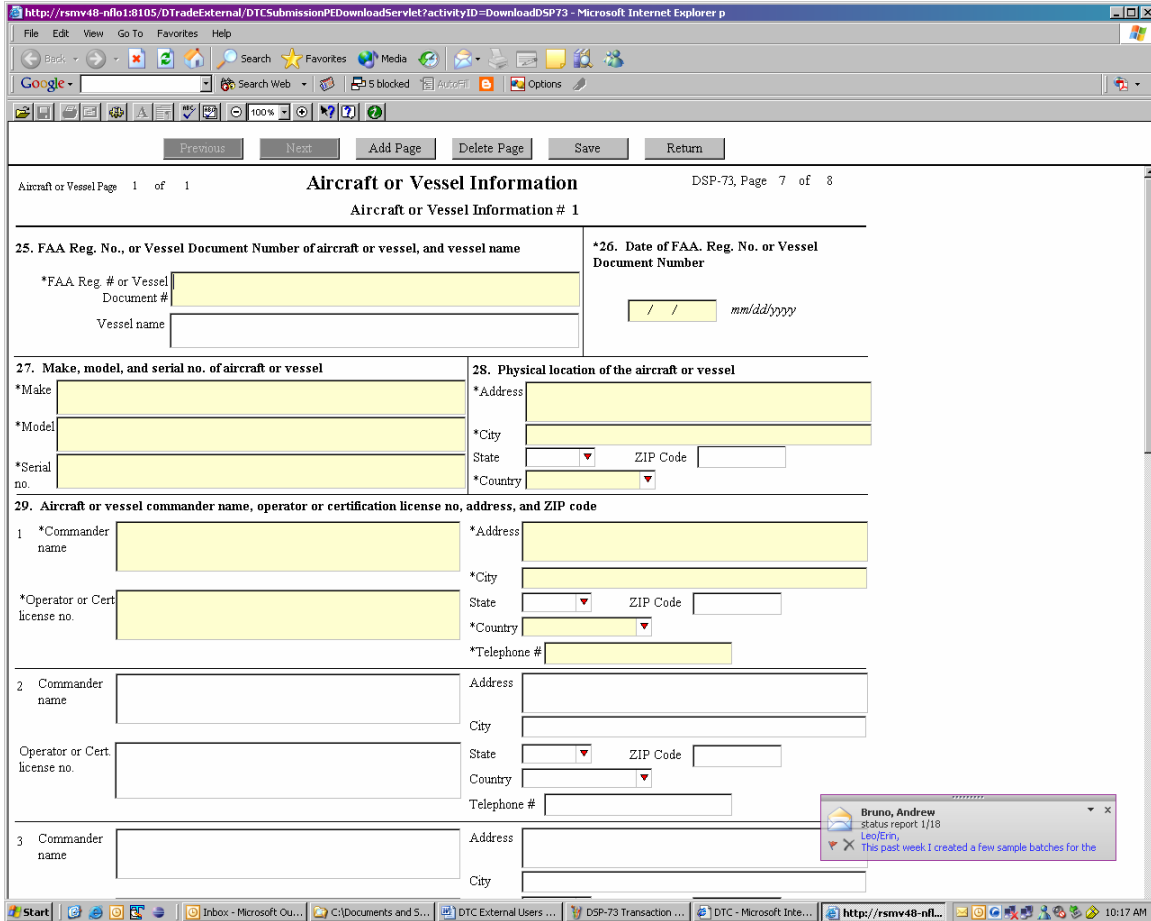


Figure 100. Aircraft or Vessel Information Continuation Page

NOTES:

- **The Applicant’s Statement is located on page 3 of the electronic DSP-73 form and must be completed.**
- **How to delete empty continuation pages.**
- **How to add, remove or view supporting documents.**
- **How to digitally sign the application.**

Deleting Empty Continuation Pages

The standard electronic forms for all applications each contain a feature to add “Additional” or continuation pages. This feature provides more space to enter additional items. The additional space is added by clicking on the ‘Add Page’ button. The electronic form does not automatically clean up (i.e. delete) empty “Additional” pages, therefore, the user must delete empty continuation pages from the electronic form. Empty “Additional” pages must be deleted in order to prevent the printing of

“Additional” pages that contain no information. The ‘Delete’ button is presented at the top of all “Additional” pages within an electronic form (see Figure 101).

https://158.114.121.64/DTradeExternal/DTCSubmissionPEDownloadServlet?activityID=DownloadDSP5For - Microsoft Internet Explorer p

File Edit View Go To Favorites Help

Previous Next Add Page Delete Page Save Return

Additional Sellers Page # 1 of 1 DSP-5, Page 9 of 10

Additional Sellers in United States

| | | | |
|----------|--|----------|--|
| Name | | Name | |
| Address | | Address | |
| City | | City | |
| State | | State | |
| ZIP Code | | ZIP Code | |
| Name | | Name | |
| Address | | Address | |
| City | | City | |
| State | | State | |
| ZIP Code | | ZIP Code | |
| Name | | Name | |
| Address | | Address | |
| City | | City | |
| State | | State | |
| ZIP Code | | ZIP Code | |
| Name | | Name | |
| Address | | Address | |
| City | | City | |
| State | | State | |
| ZIP Code | | ZIP Code | |

Figure 101. Deleting an Additional Page

The ‘Delete’ button is only active on the last “Additional” page. For example, if you added three additional pages, the ‘Delete’ button will be grayed out (inactive) on pages 1 and 2. Page 3 will have an active ‘Delete’ button. This is illustrated in Figure 102.

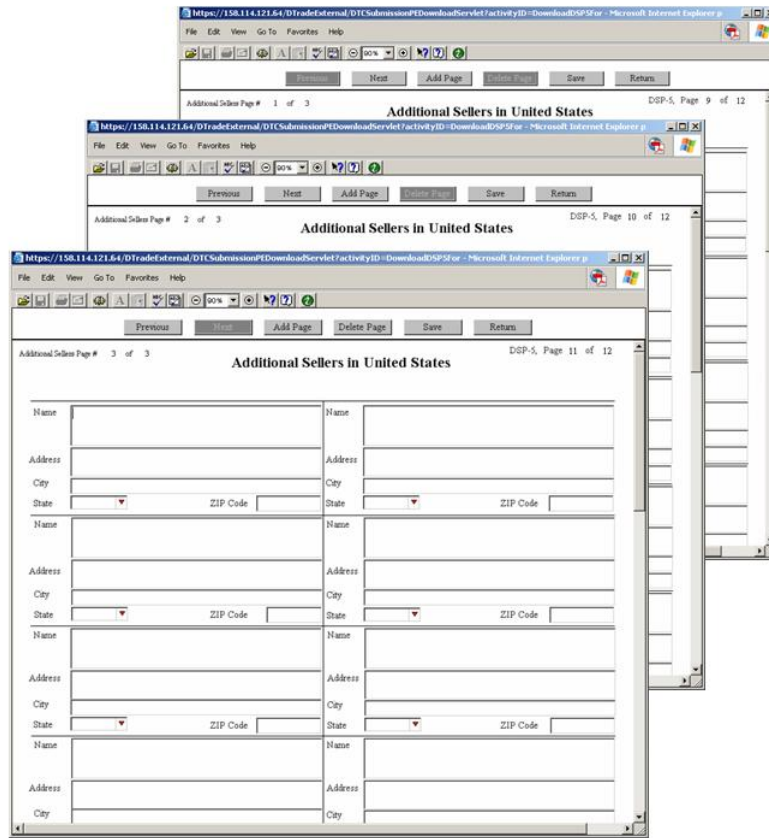


Figure 102. Delete Button Active on Last Additional Page

Upon clicking on the 'Delete' button, a screen is displayed to confirm whether or not you want to delete the page (see Figure 103). If you do not want to delete the page, click on the 'No' button and you are returned to the last "Additional" page. If you want to delete the page, click on the 'Yes' button, the page is deleted and you are returned to either (1) the previous continuation page if there are two or more continuation pages or (2) the main page for the block for which the additional page was added (if there is only one continuation page).

Helpful Hint: The user is required to delete all blank additional pages for the DS-2032 prior to submitting the application. If a blank additional page is present once the form has been completed, the user will be prompted through an error page to delete the additional page.

CAUTIONARY NOTE: If data is entered on the additional page, once the page is deleted, the data is lost.

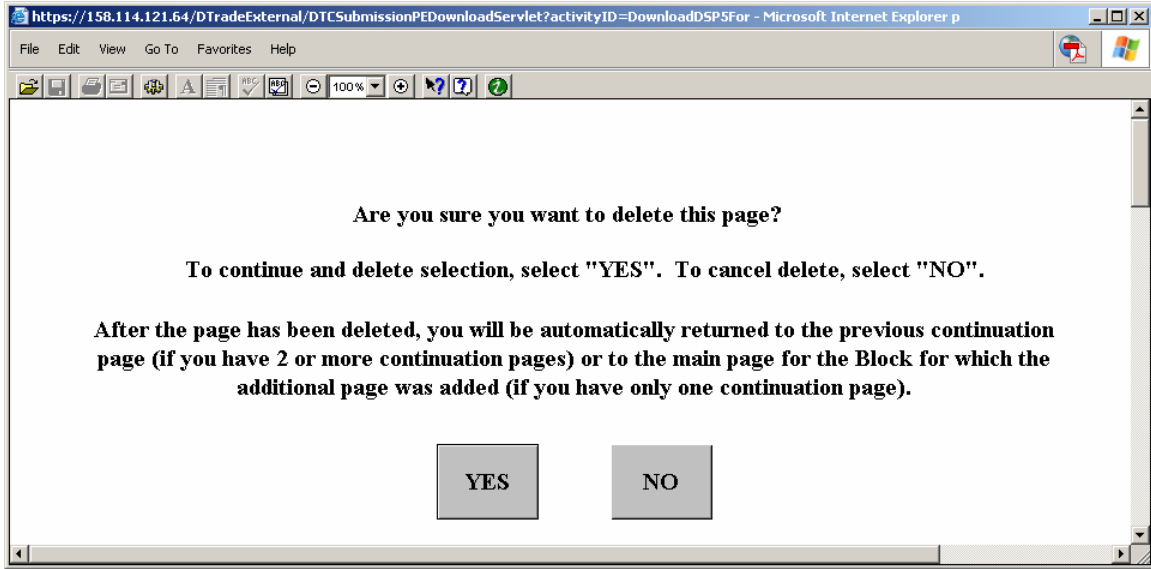


Figure 103. Delete Additional Page Confirmation

Adding, Removing and Viewing Supporting Documentation

The System provides a standard electronic form for all applications. In addition, the new System provides the capability to attach and submit supporting documentation to the electronic application. Table 4 lists the document groupings associated with each electronic form and the Forms Upgrader.

| | | |
|------------------------|--|------------------------------------|
| Electronic Form | Supporting Documentation Grouping | Acceptable Document Formats |
|------------------------|--|------------------------------------|

| | | |
|--------|--|----------------------------------|
| DSP-5 | <ul style="list-style-type: none"> • DSP-83 • 126.13 Eligibility Letter • Transaction Exception Request • Basic Ordering Agreement • Contract • Letter of Intent • Purchase Order • Firearms and Ammunitions Import Permit • Firearms and Ammunitions Letter of Explanation • Part 130 Report • Other Amplifying Data • Precedent (identical/similar) Cases • Product Brochures • Supplementary Explanation of Transaction • Technical Data to Support Hardware License • Technical Drawings, Schematics, or Blue Prints • PM/DDTC Sec 126.8 Prior Approval | Any document format is accepted. |
| DSP-61 | <ul style="list-style-type: none"> • Contract • Purchase Order • Letter of Intent • Manufacturer Unknown Letter of Explanation • Other Amplifying Data (e.g. Briefing, Proposals) • Precedent (identical/similar) Cases • Product Brochures • Supplementary Explanation of Transaction (e.g. White Paper) • 22 CFR 126.13 Eligibility Letter • Firearms and Ammunitions Import Permit • Firearms and Ammunitions Letter of Explanation • Transaction Exception Request | Any document format is accepted. |

| | | |
|--------------------|--|---------------------------------|
| DSP-73 | <ul style="list-style-type: none"> • Firearms and Ammunitions Import Permit • Firearms and Ammunitions Letter of Explanation • Other Amplifying Data (e.g. Briefing, Proposals) • Precedent (identical/similar) Cases • Product Brochures • Supplementary Explanation of Transaction (e.g. White Paper) • Technical Drawings, Schematics, or Blue Prints • Transaction Exception Request • 22 CFR 126.13 Eligibility Letter • Manufacturer Unknown Letter of Explanation | Any document format is accepted |
| Form Upgrader Tool | <ul style="list-style-type: none"> • PureEdge file (one of the electronic licenses) | PureEdge form (.xfd) |

Table 4. Supporting Documentation Groupings

NOTE: The preferred attachment type for all electronic forms is searchable PDF.

Adding Attachments

For each document grouping, multiple documents can be attached when applicable. One exception to this is the Form Upgrader. Only one file can be attached and submitted at a time.

Step 1.

Open a document other than the electronic form name (see Figure 104). If working with the Form Upgrader tool, this step can be skipped and proceed to Step 2.

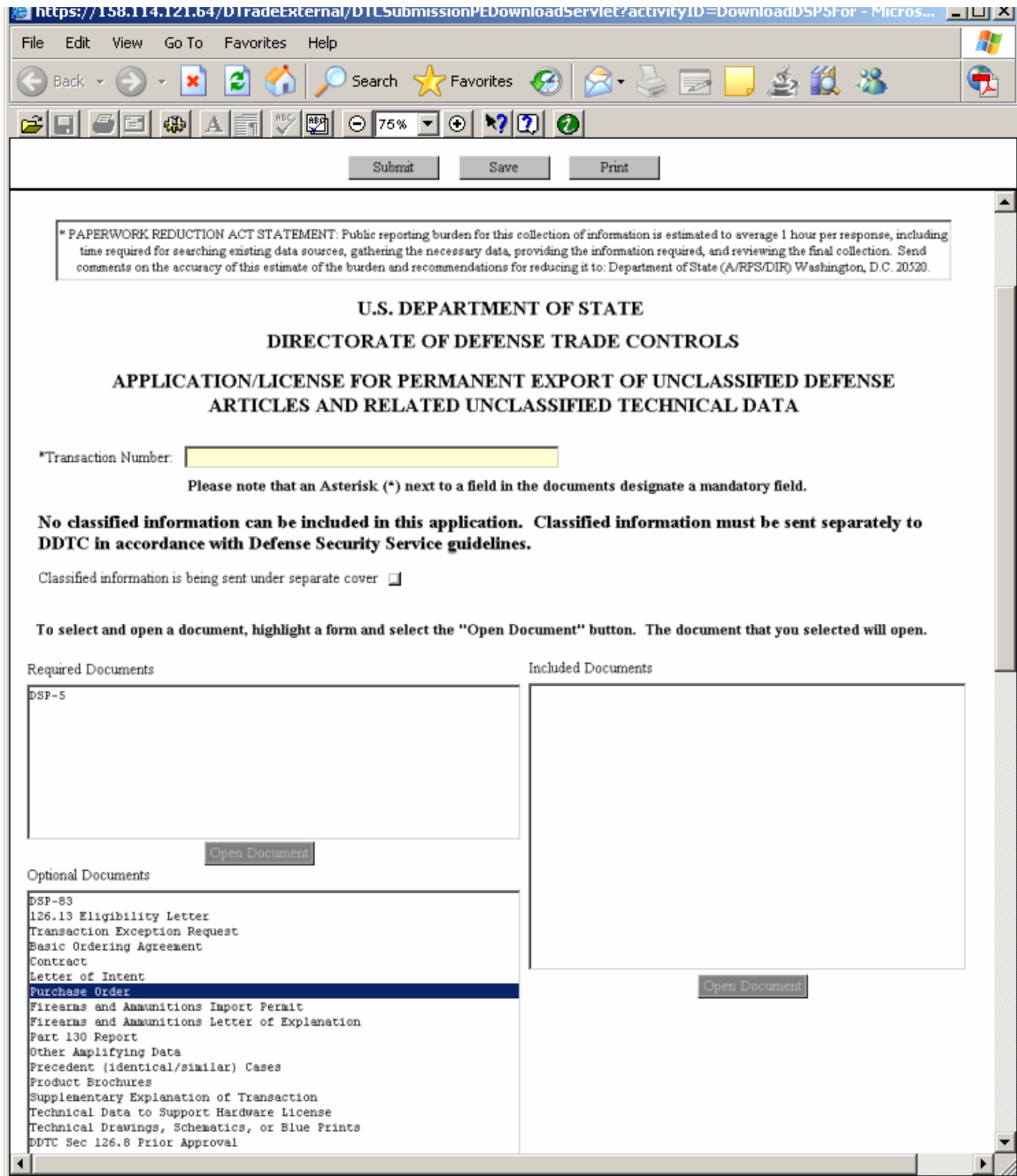


Figure 104. Open a Supporting Document to Add Attachments

Step 2.

An 'Attachments Pertaining to...' window for the selected document opens as illustrated in Figure 105. Notice that the check box next to 'Attachment ?:' is unchecked denoting that there are no attached documents. Click on the 'Add Attachments' button.

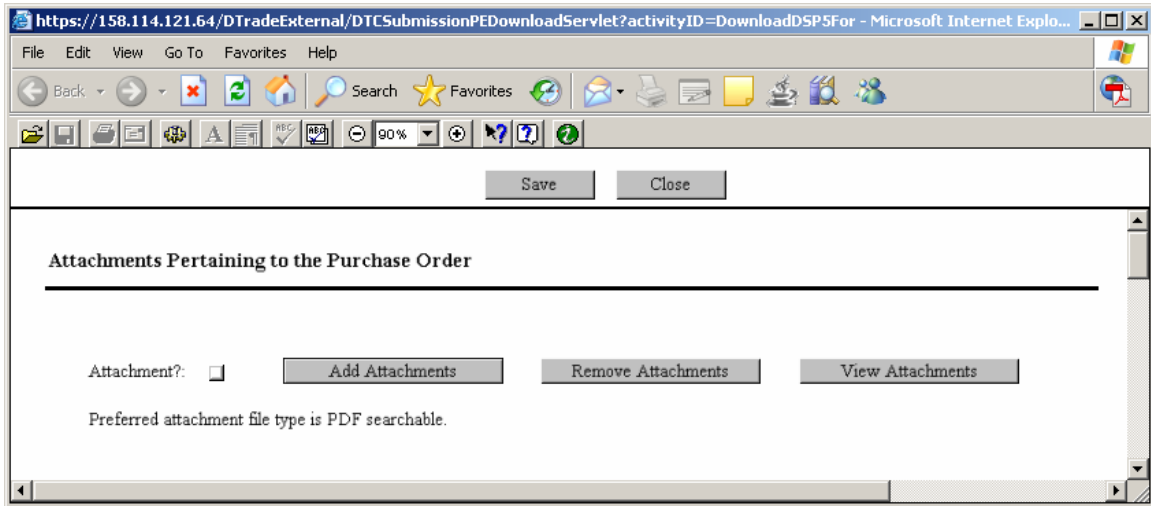


Figure 105. Attachments Pertaining to ... Window with No Documents Attached

Step 3.

The 'Forms Attachments' window opens as shown in Figure 106. Click on the 'Attach' button.

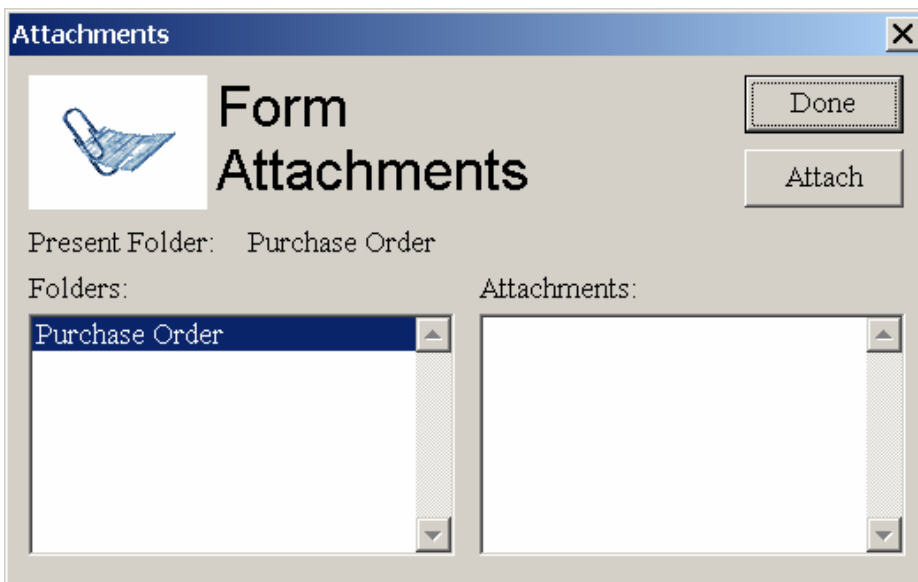


Figure 106. Form Attachments Window for Attaching Documents

Step 4.

The user will be presented with a window to browse for the document (see **Error! Reference source not found.**). Find the file and enter the file name into the 'File name' field. Select 'Open'

Step 5.

As illustrated in Figure 107, the 'Form Attachments' window will reappear and will contain the selected document in the 'Attachments:' section. Another document can be

added at this point by clicking on 'Attach' and repeating Step 4. Otherwise, click on 'Done'.

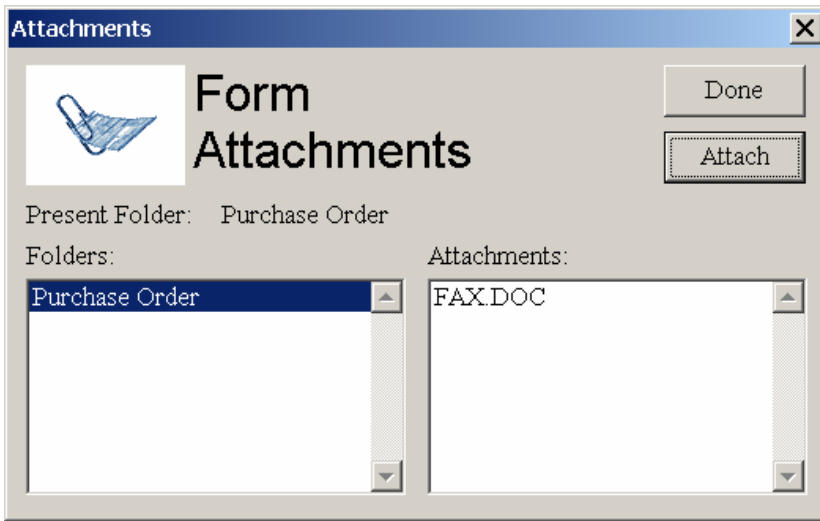


Figure 107. Form Attachments Window with a Document Attached

Step 6.

The 'Form Attachments' window closes, leaving in full view the 'Attachments Pertaining to ...' window (see Figure 108). The check box next to 'Attachment?:' is now checked denoting that there is at least one attached file. At this point, the document(s) have been attached to the electronic form. Click on 'Save'.

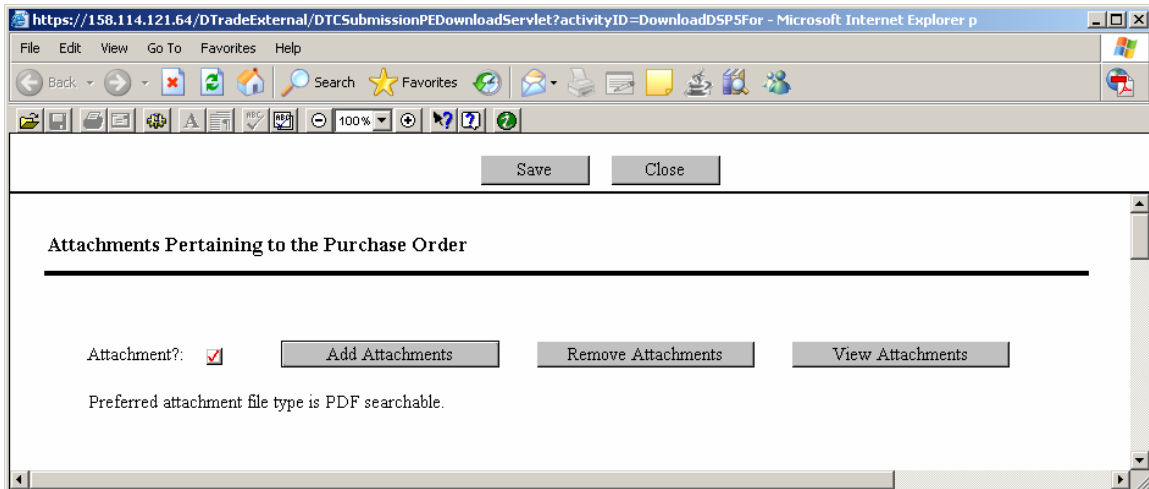


Figure 108. Attachments Pertaining to ... Window with Documents Attached

Step 7.

You are returned to the Cover Page (see Figure 109). Once a document is attached, the document grouping is moved to the *Included Documents* window. If the document grouping is already in the *Included Documents* window, it will remain in that window. In

this example, the Purchase Order document was moved from the *Optional Documents* window (see Figure 109) to the *Included Documents* window.

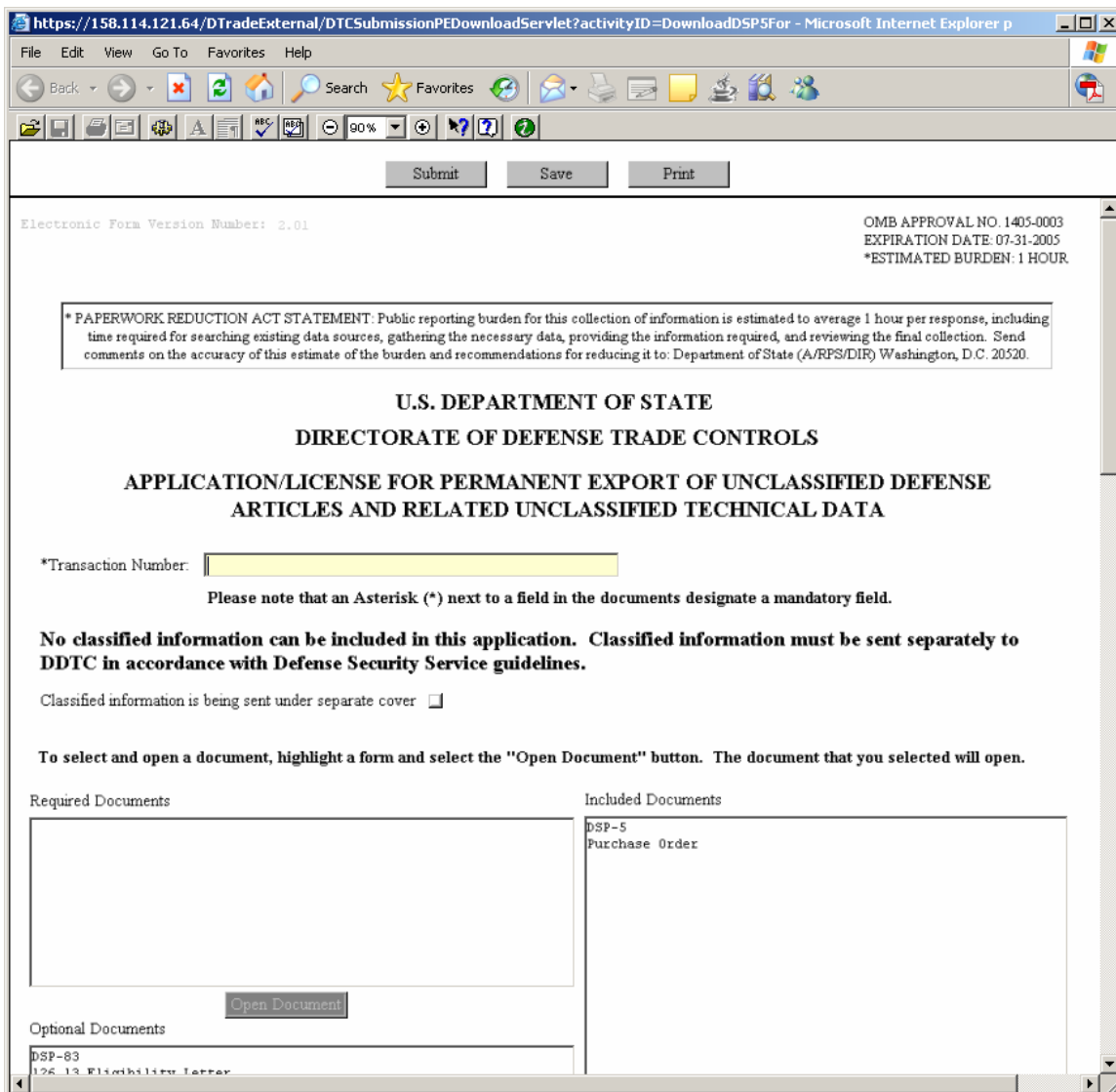


Figure 109. DSP-5 Cover Page with Purchase Order Included

Removing Attachments

Step 1.

Within the *Included Documents* window, open a document other than the electronic form name (see Figure 109). If working with the Form Upgrader, this step can be skipped and proceed to Step 2.

Step 2.

The user is presented the 'Attachments Pertaining to ...' window (see Figure 110). The check box next to 'Attachment?:' is checked denoting that there is at least one attached file. Click on 'Remove Attachments' button.

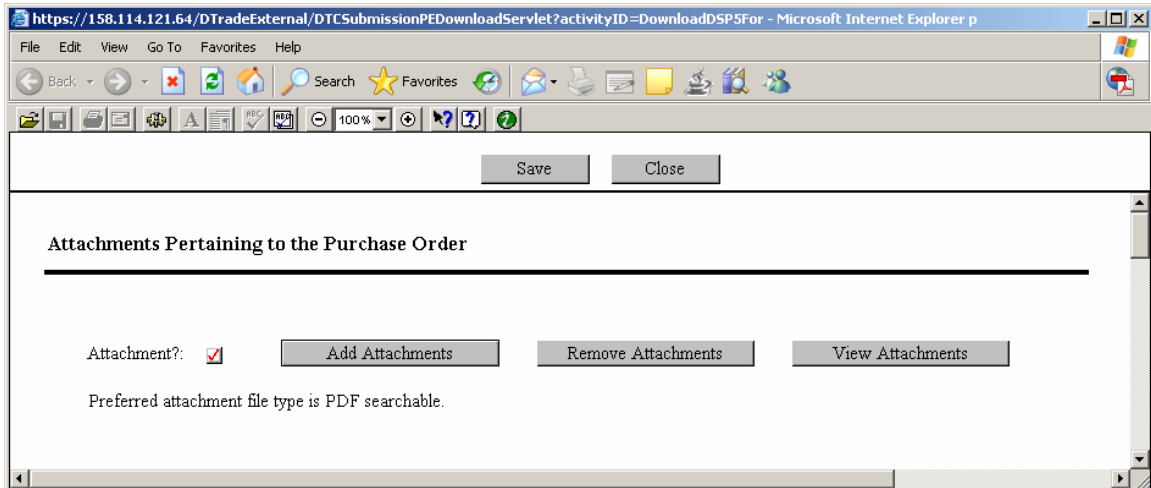


Figure 110. Attachments Pertaining to ... Window with Documents Attached

Step 3.

If there is more than one attached document for the document grouping, then the user is displayed the 'Form Attachments' window as illustrated in **Error! Reference source not found.** Select the document to remove. Only one document can be selected. Click on 'Remove'.

If there is only one document attached, go to Step 4.

Step 4.

As illustrated in Figure 111, the user is prompted with a confirmation for removing the attachment. Click on 'Yes'

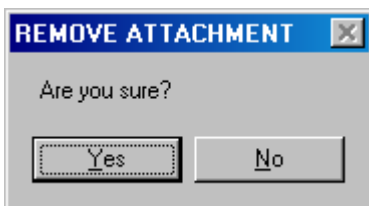


Figure 111. Remove Attachment Prompt

If one or more documents are still attached, go to Step 5a. If there are no document attachments remaining, proceed to Step 5b.

Step 5a.

The 'Remove Attachment' prompt will close. If there is more than one attached document remaining for the document grouping, then the document will be removed from the 'Form Attachments' window (see Figure 112). Another document can be deleted at this point by repeating Step 3. Otherwise, if finished click on 'Done'. Go to Step 6.

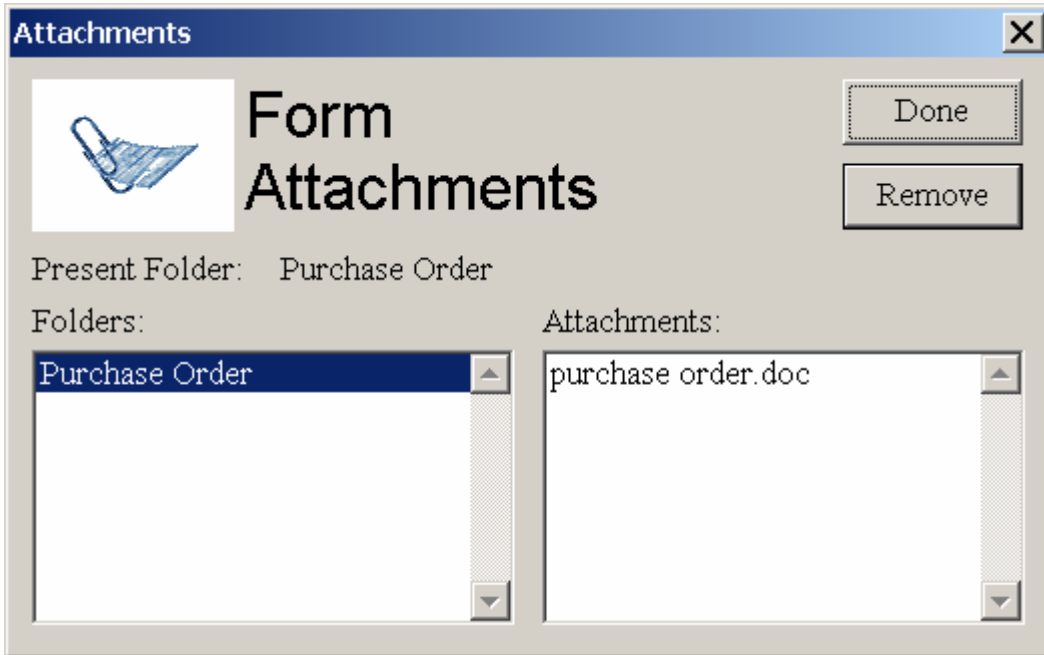


Figure 112. Form Attachments Window with Document Removed

Step 5b.

The ‘Remove Attachment’ prompt will close. The one document will be unattached from the application and the user’s screen will appear as the one displayed in Figure 113. The check box next to the ‘Attachment?:’ field is now unchecked. Click on the ‘Save’ button. Go to Step 7b.

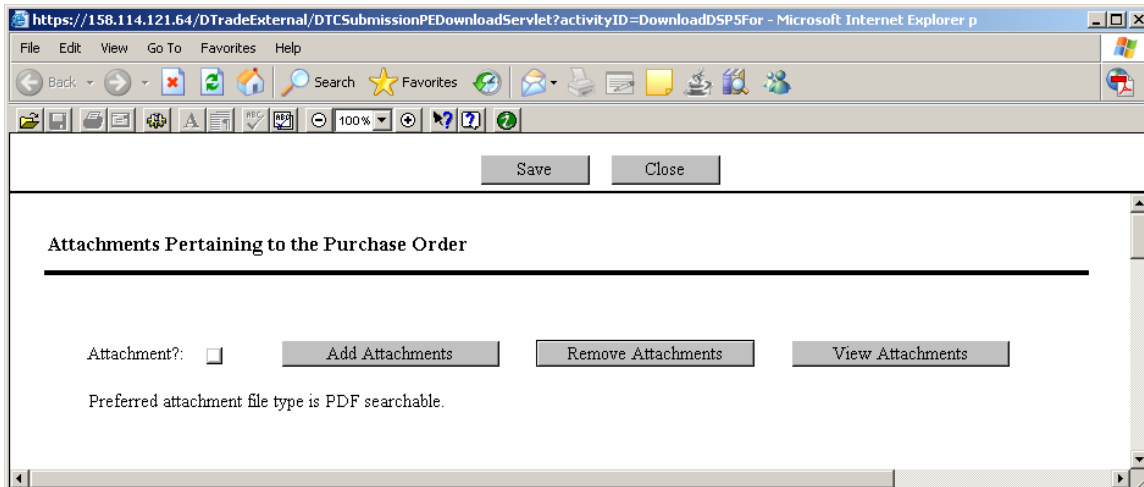


Figure 113. Attachments Pertaining to ... Window with No Documents Attached

Step 6.

The ‘Form Attachments’ window closes, leaving in full view the ‘Attachments Pertaining to ...’ window (see Figure 114). The check box next to ‘Attachment?:’ is checked denoting that there is still at least one attached file. Click on ‘Save’. Go to Step 7a.

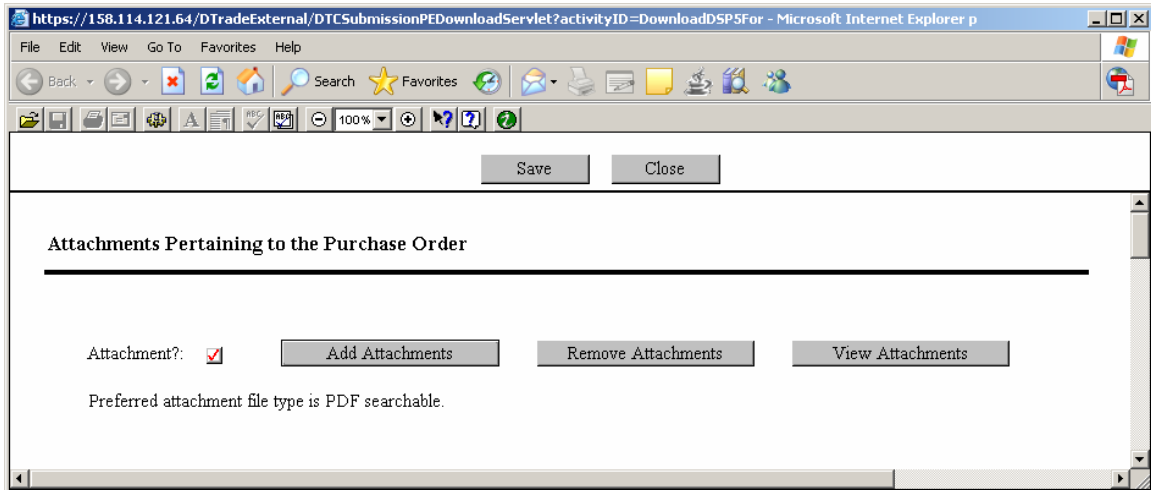


Figure 114. Attachments Pertaining to ... Window With Documents Attached

Step 7a.

You are returned to the Cover Page (see Figure 115). Because there are still documents attached for the Purchase Order, it remains in the *Included Documents* window.

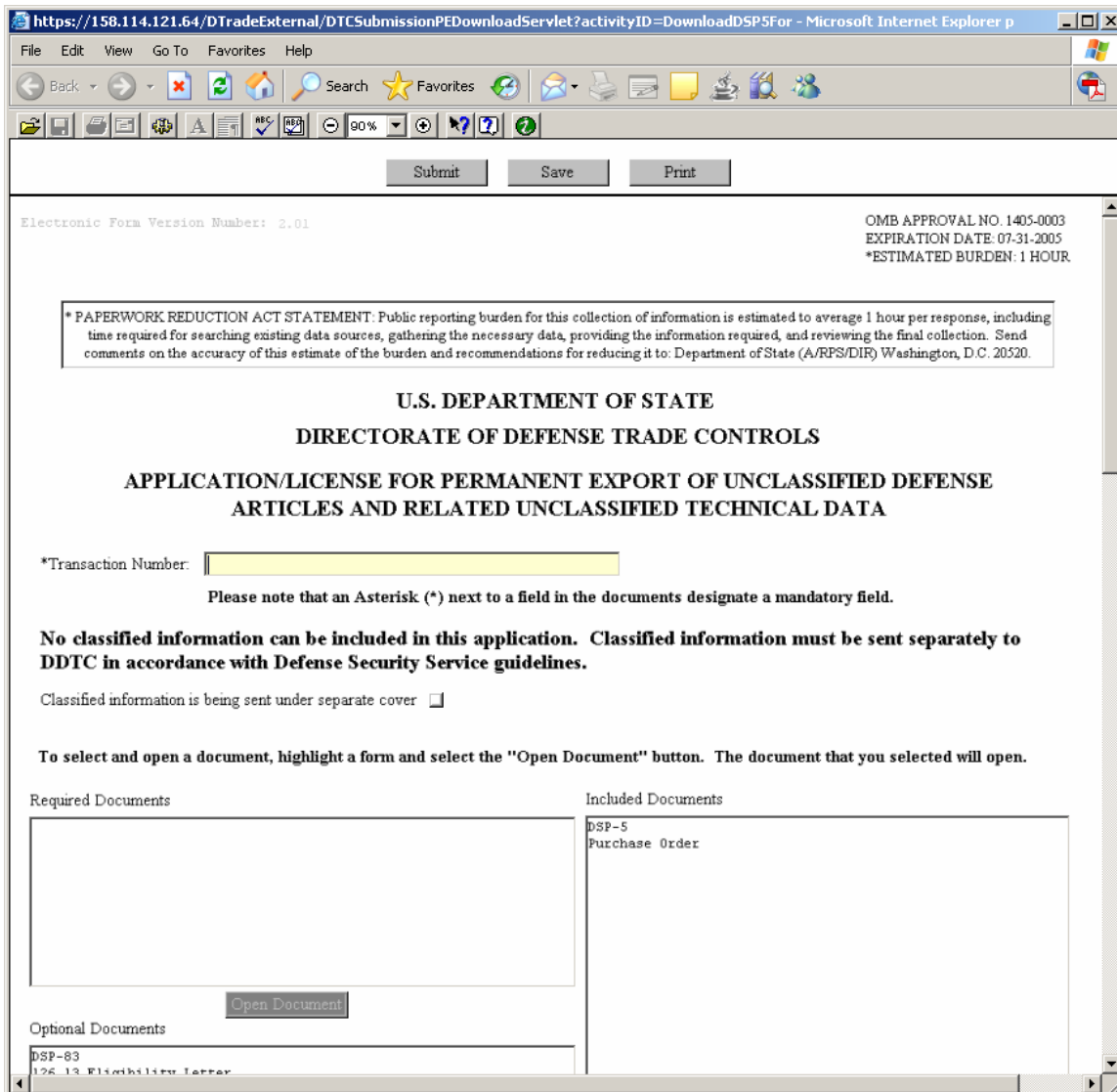


Figure 115. Cover Page with Purchase Order Included

Step 7b.

You are returned to the Cover Page (see Figure 116). The Purchase Order document is moved from the *Included Documents* window back to the *Optional Documents* window because there are no more documents attached to this grouping.

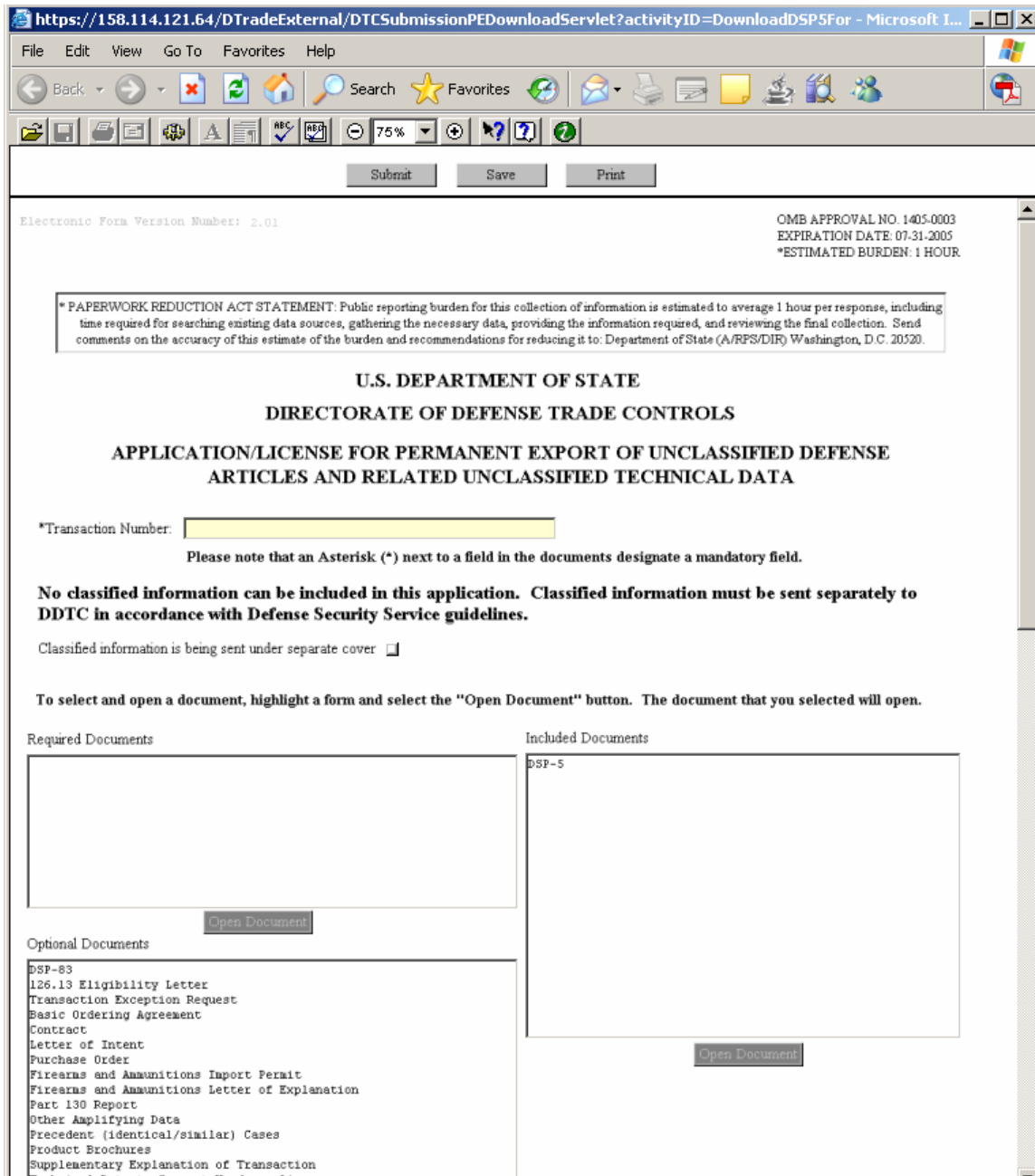


Figure 116. Cover Page with No Supporting Document Included

Viewing Attachments

Step 1.

Within the *Included Documents* window, open a document other than the electronic form name (see Figure 109). If working with the Form Upgrader, this step can be skipped and proceed to Step 2

Step 2.

An 'Attachments Pertaining to ...' window for the selected document opens as illustrated in Figure 117. Click on the 'View Attachments' button.

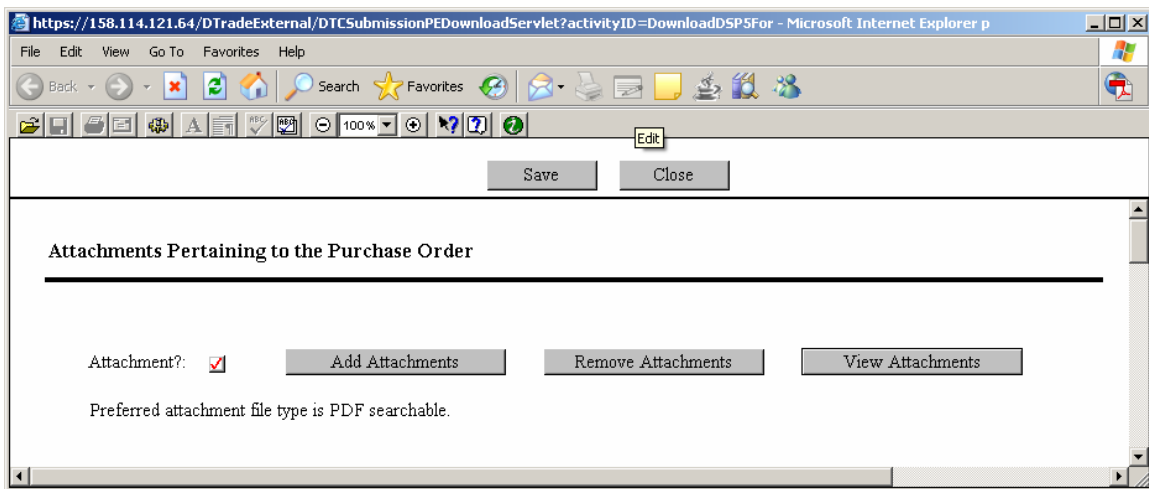


Figure 117. Attachments Pertaining to ... Window with Documents Attached

Step 3.

If there is more than one attached document for the document grouping, then the user is displayed the 'Form Attachments' window as illustrated in Figure 118. Select the document to view. Only one document can be selected. Click on 'Display'.

If there is only one document attached, the 'Form Attachments' window will not be displayed. Go to Step 4.

Figure 118. Form Attachments Window to Display Attachments

Step 4.

The selected document opens in your default web browser (see Figure 120).

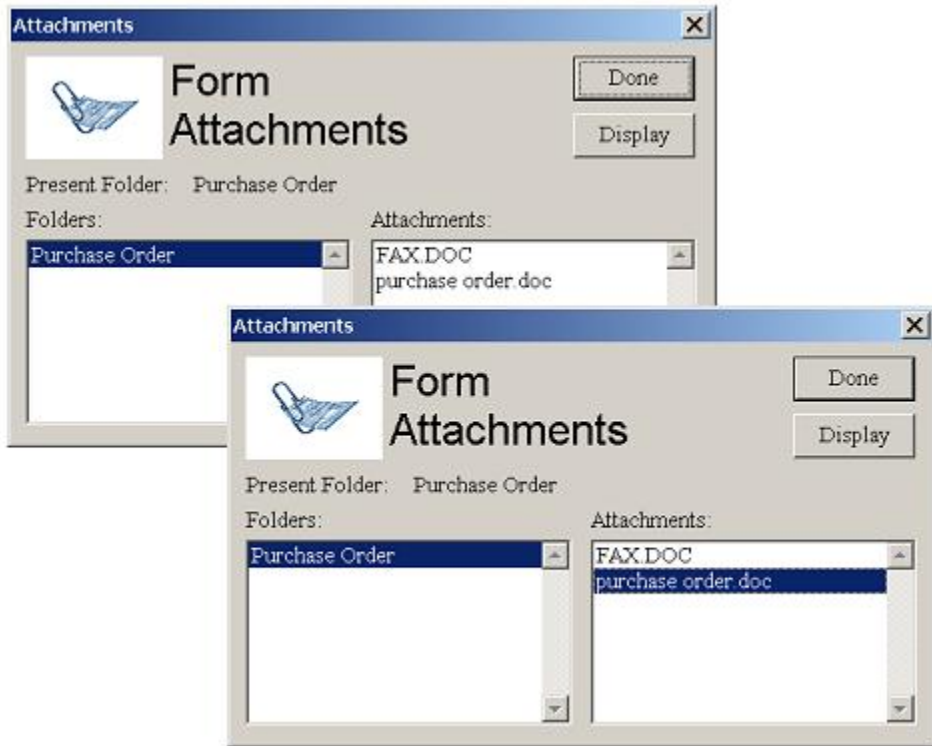


Figure 119. Form Attachments Window to Display Attachments

Step 5.

The selected document opens in your default web browser (see Figure 120).

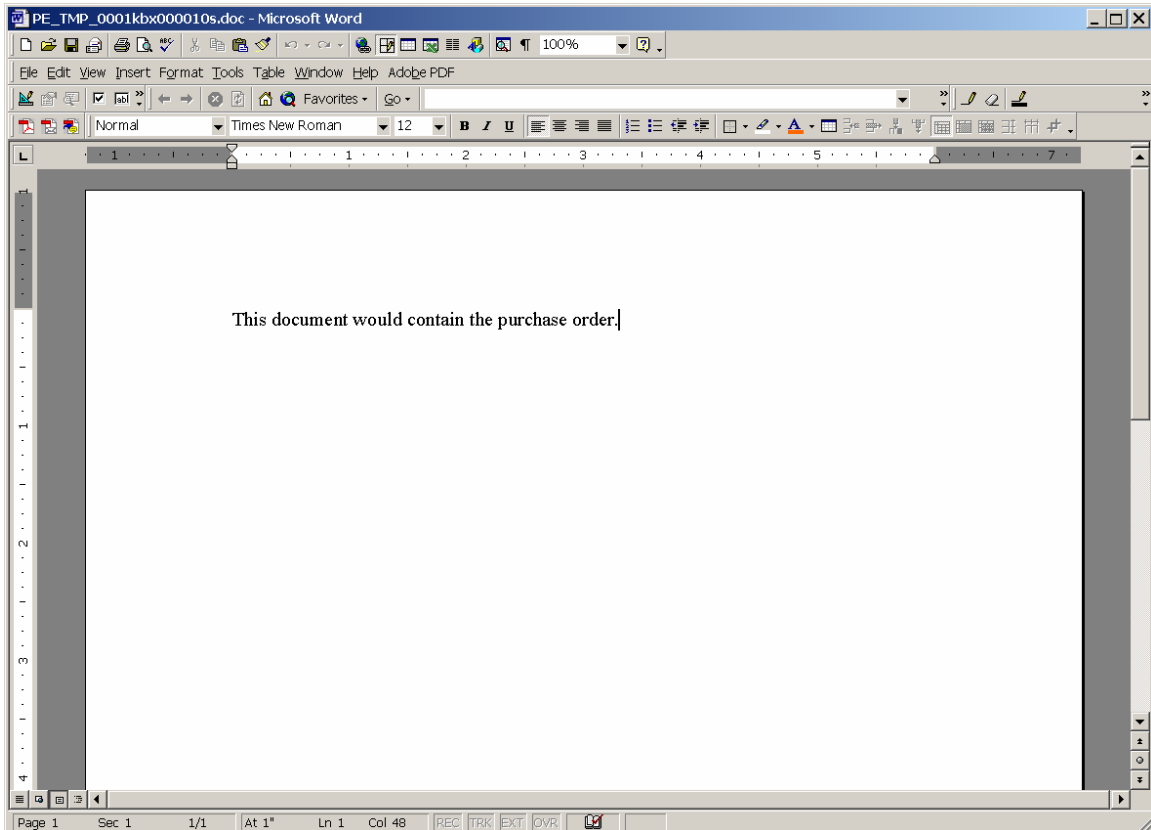


Figure 120. Viewing of Attached Document

Digital Signature

The following sections will discuss signing and unsigning an electronic license application.

Signing an Application

Step 1.

Click on the 'Signature' button as shown in Figure 121.

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DSP-5

21. Applicant's statement

I

an empowered official (ITAR 120.25) 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 Title 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 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 120.27 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 Section 126.7 (e) has been convicted of violating any of the U.S. criminal statutes enumerated in 22 CFR 120.27 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.

***22 CFR 126.13 Certification (Select one)**

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.

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 is attached.

I am not authorized by the applicant to certify the conditions of 22 CFR 126.13 as listed above. The applicant and all the parties to the transaction can meet in full the conditions of 22 CFR 126.13 as listed above. Please see the attached letter for such certification.

I am not authorized by the applicant to certify the conditions of 22 CFR 126.13 as listed above. 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 letter of such certification and request for an exception to policy is attached.

***Compliance with 22 CFR 130 (Select one)**

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 for such certification.

*Signature

NUM

Figure 121. Digital Signature

Step 2a.

The warning that is illustrated in Figure 122 will appear because the form has not yet been signed and the electronic form may have some required information missing. Select the 'No' button and check the Cover Page to make sure all required documents and fields have been included. Also, check to make sure all required fields in the electronic form are complete. Add the missing required data, if any, and then start the signing process again.

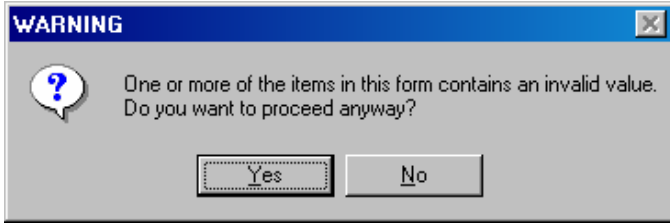


Figure 122. Warning of Missing Required Data During Signing

Step 2b.

If all of the required data is present, then the window in Figure 123 will appear. To stop the signature process, click on either the 'OK' button or on the 'X' to close the window. To continue the signature process, select the 'Sign' button.



Figure 123. Digital Signature Viewer with No Signature

Step 3.

The 'Select Your Signature Identity' prompt is displayed (see Figure 124). Select the ACES digital signature by highlighting the entry and click 'OK'.

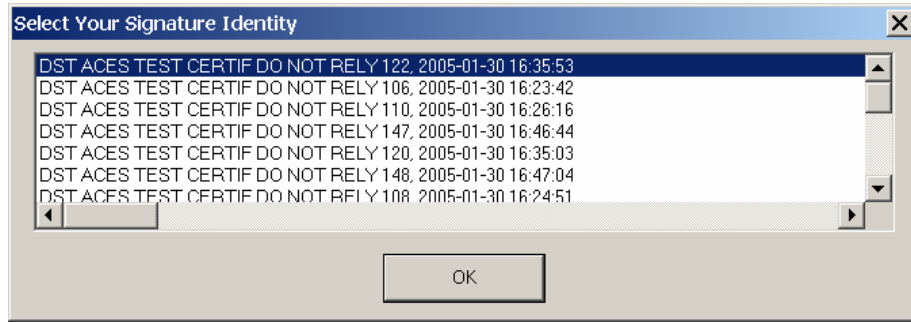


Figure 124. Select Your Signature Identity

Step 4.

The user will be prompted for the password that protects the ACES digital certificate as illustrated in Figure 125. Enter your password and click on the 'OK' button.

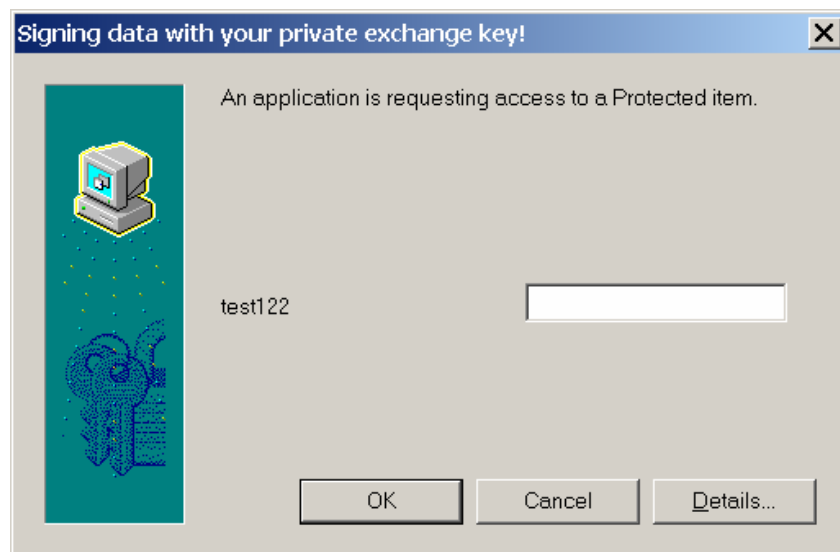


Figure 125. Password Prompt for Digital Signature

Step 5.

As shown in Figure 126, the "Digital Signature Viewer" will be displayed stating the signature is valid. Click on the 'OK' button to continue.

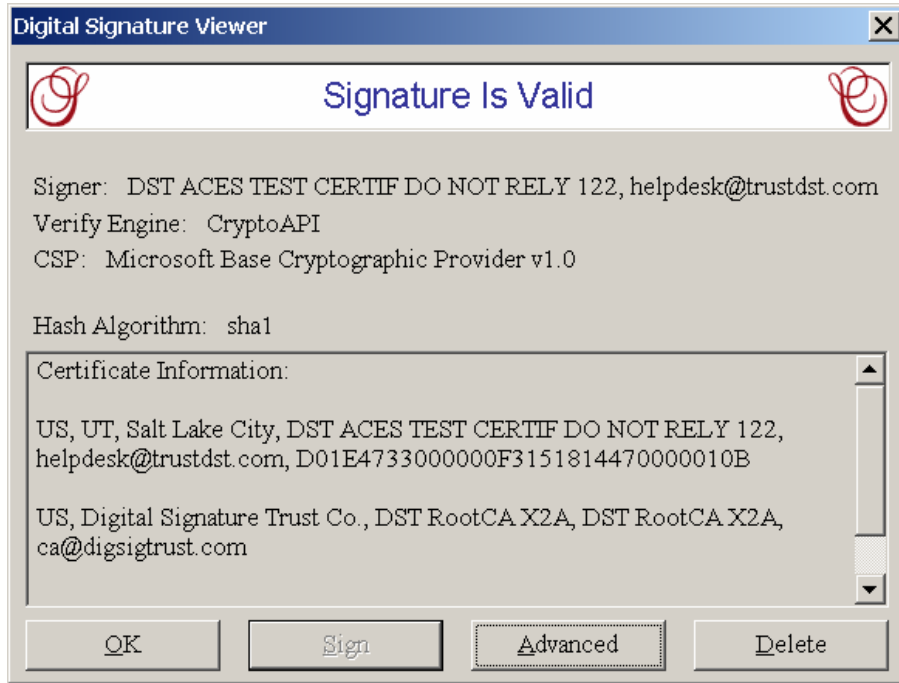


Figure 126. Digital Signature Viewer with Valid Signature

Step 6.

The signor's name is populated into the text box at the beginning of Block 21 and the form is signed. The signed electronic form is displayed (see Figure 127)

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21. Applicant's statement

I

an empowered official (ITAR 120.25) 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 Title 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 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 120.27 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 Section 126.7 (e) has been convicted of violating any of the U.S. criminal statutes enumerated in 22 CFR 120.27 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.

***22 CFR 126.13 Certification (Select one)**

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.

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 is attached.

I am not authorized by the applicant to certify the conditions of 22 CFR 126.13 as listed above. The applicant and all the parties to the transaction can meet in full the conditions of 22 CFR 126.13 as listed above. Please see the attached letter for such certification.

I am not authorized by the applicant to certify the conditions of 22 CFR 126.13 as listed above. 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 letter of such certification and request for an exception to policy is attached.

***Compliance with 22 CFR 130 (Select one)**

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 for such certification.

*Signature

NUM

Figure 127. Signed Electronic Form

NOTE: The person signing the application must have an ACES digital certificate and have signature authority for the company (i.e., have a signature authority role in the System). If the person signing the application does not use their ACES digital certificate and/or does not have signature authority for the company, the application will be rejected when submitted.

Once the application is signed, no data can be added or modified nor can attachments be added or deleted. When you move the cursor over the transaction number, *Required Documents* or the *Optional Documents* fields on the Cover Page, a

message stating that the application is signed and data cannot be altered is displayed (see

Figure 128. Signed Electronic Application License

). The same message is displayed when you move the cursor over any field within the DSP-5 form.

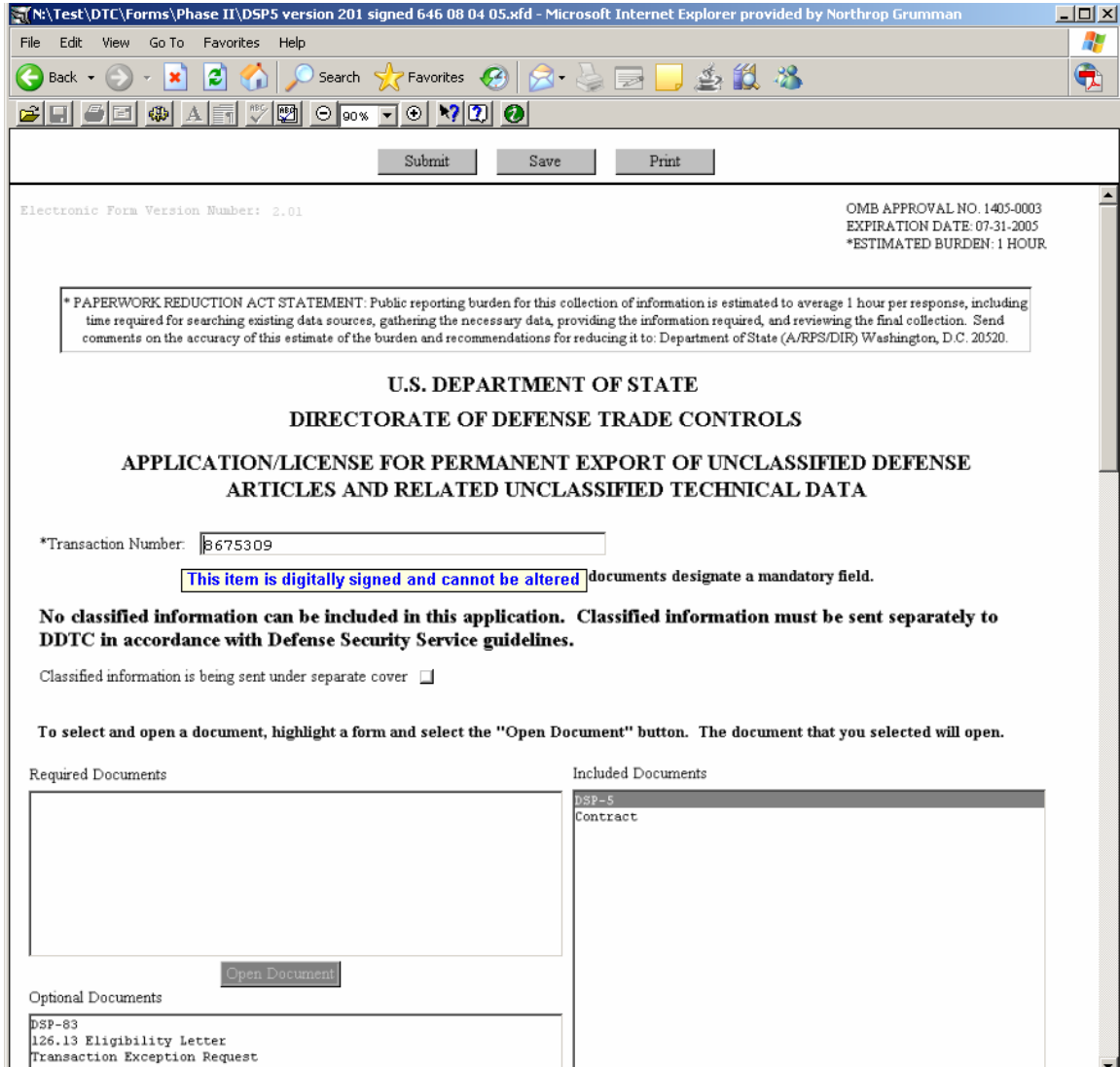


Figure 128. Signed Electronic Application License

Potential Errors

Incorrect Digital Certificate Password

Figure 129 depicts the prompt that is displayed when an incorrect password is entered when attempting to sign the application. Click on 'OK'. This closes the 'Unable to Access Private Key' prompt. The 'Digital Signature Viewer' window stating no signature remains open. Select the 'Sign' button to attempt to sign the document again.



Figure 129. Unable to Access Private Key

Unsigning an Application

Once the application is signed, no changes (i.e., addition and/or modification of data and the addition or removal of documents) can be made to the electronic form or the cover sheet. In order to modify the form and/or the cover sheet, the signature must be removed.

Step 1.

Click on button containing the digital signature (see Figure 130).

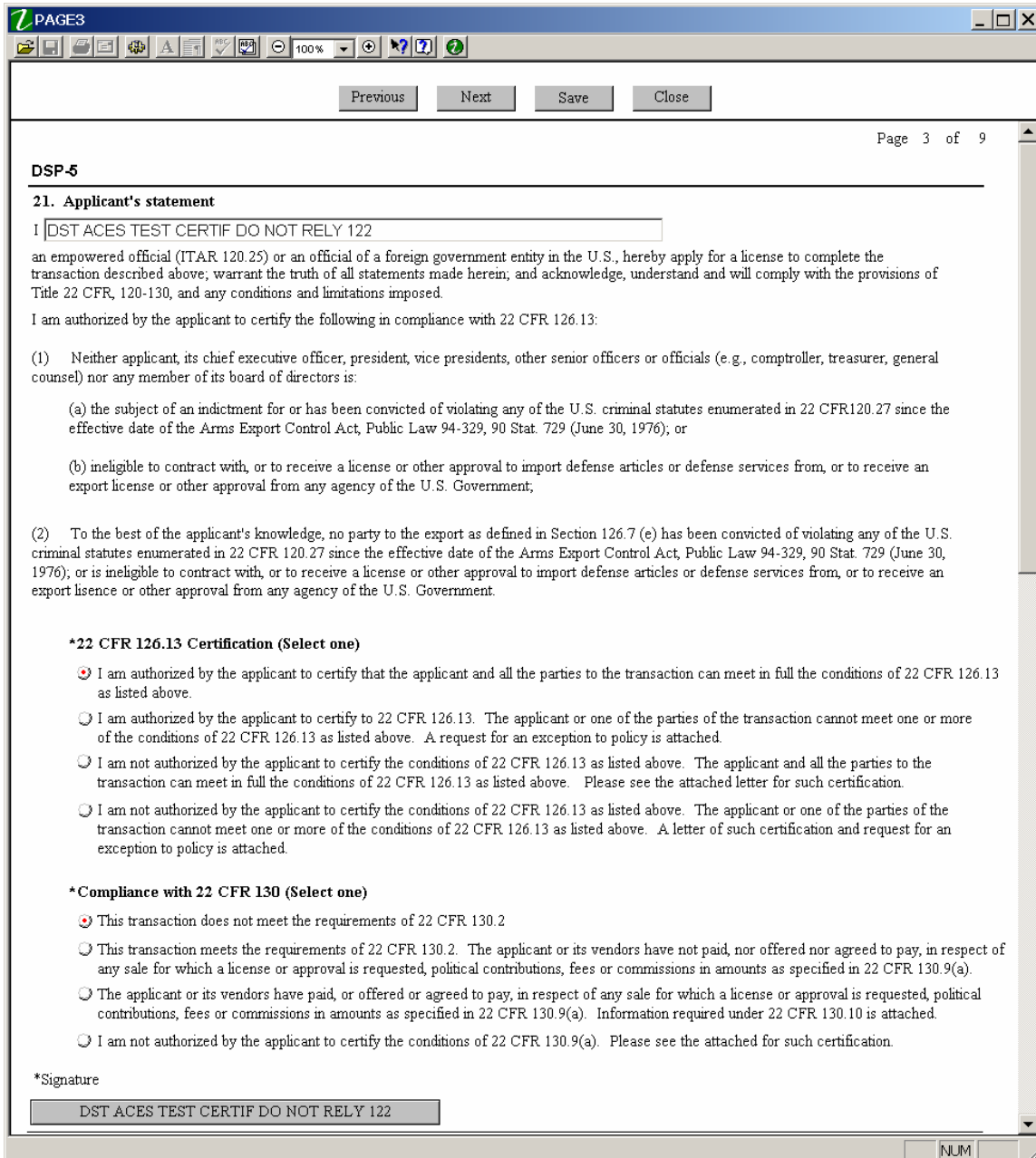


Figure 130. Removing a Digital Signature

Step 2.

The 'Digital Signature Viewer' will be displayed as illustrated in Figure 131. Then click on the 'Delete' button.

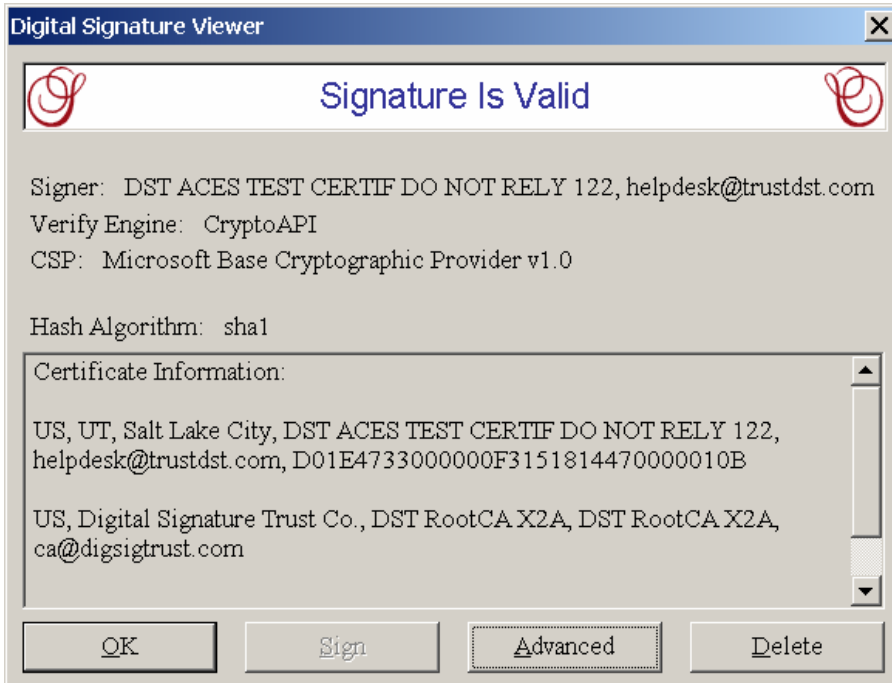


Figure 131. Digital Signature Viewer with Valid Signature

Step 3.

If the existing signature is that of the user who is deleting the signature, go to Step 4.

If the existing signature is not that of the user who is deleting the signature, the prompt as shown in Figure 132 will be displayed. Click on 'Yes' to continue.

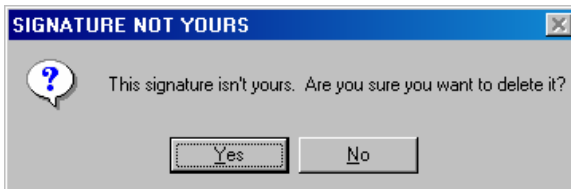


Figure 132. Signature is Not Yours Prompt

Step 4.

The 'Digital Signature Viewer' window is displayed stating that there is no signature (see Figure 133). Click on 'OK' to continue.

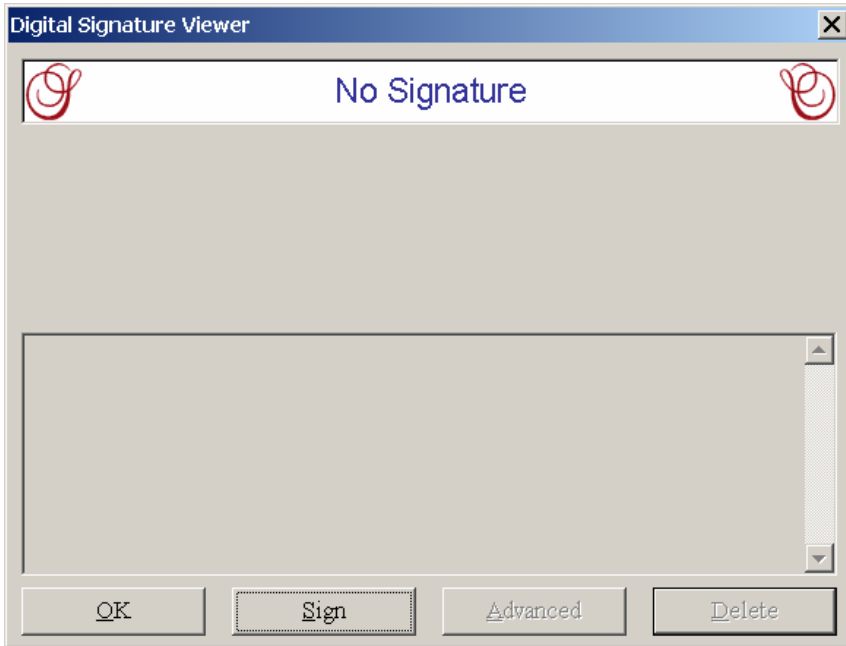


Figure 133. Digital Signature Viewer with No Signature

Step 5.

The application is displayed with the digital signature and the signor's name removed (see Figure 134). Changes can now be made to the application and/or Cover Page.

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DSP-5

21. Applicant's statement

I

an empowered official (ITAR 120.25) 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 Title 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 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 120.27 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 Section 126.7 (e) has been convicted of violating any of the U.S. criminal statutes enumerated in 22 CFR 120.27 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.

***22 CFR 126.13 Certification (Select one)**

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.

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 is attached.

I am not authorized by the applicant to certify the conditions of 22 CFR 126.13 as listed above. The applicant and all the parties to the transaction can meet in full the conditions of 22 CFR 126.13 as listed above. Please see the attached letter for such certification.

I am not authorized by the applicant to certify the conditions of 22 CFR 126.13 as listed above. 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 letter of such certification and request for an exception to policy is attached.

***Compliance with 22 CFR 130 (Select one)**

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 for such certification.

*Signature

NUM

Figure 134. Digital Signature Removed

Save an Electronic Form

NOTE: An electronic form can be saved with or without data in it.

Step 1.

Click on the 'Save' button found at the top of the Cover Page, attachment, form, continuation page or full view page (see Figure 135).

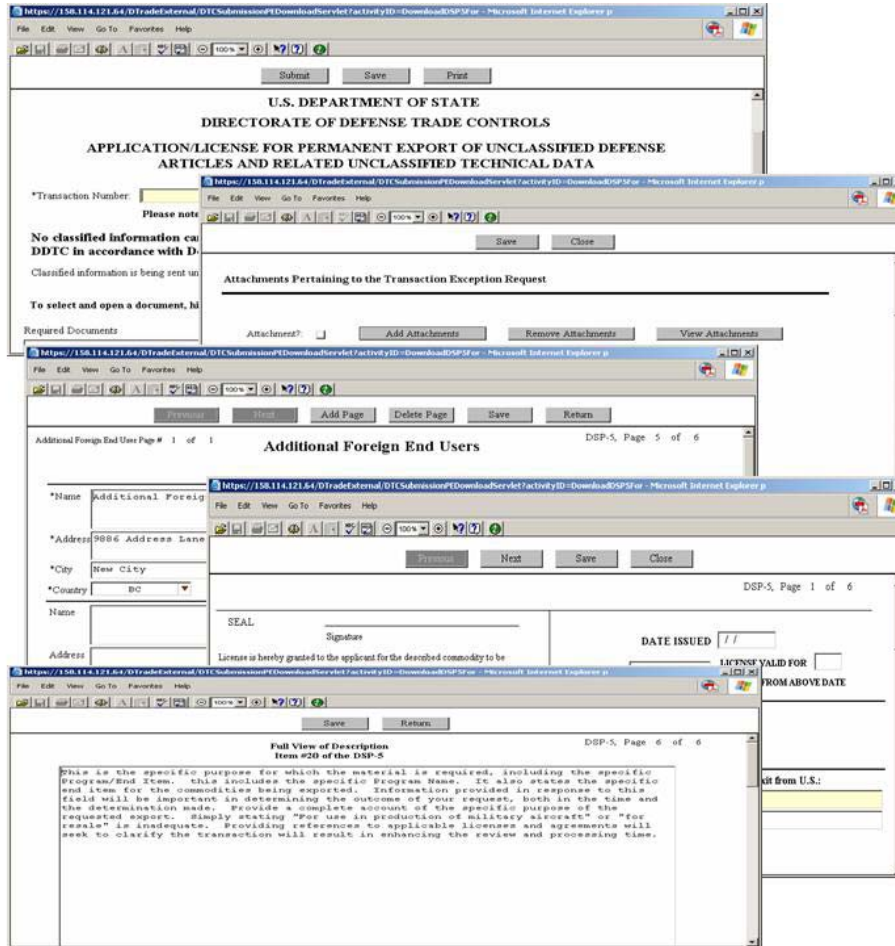


Figure 135. Save an Electronic Form

Step 2.

You may be prompted with the warning shown in Figure 136. This is just notifying you that there is missing required data in the application. Click 'Yes' to continue.

If you do not get this warning, go to Step 3.

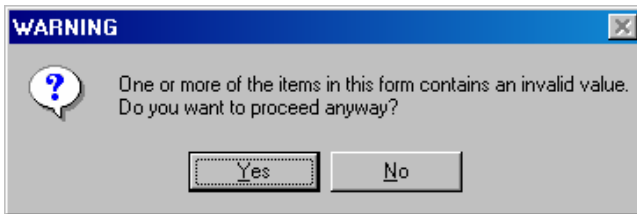


Figure 136. Saving an Electronic Form Warning

Step 3.

As illustrated in Figure 137, you will be prompted to save the form. You can either overwrite the existing file hence update the existing file with recent changes or save the electronic form to a new file.

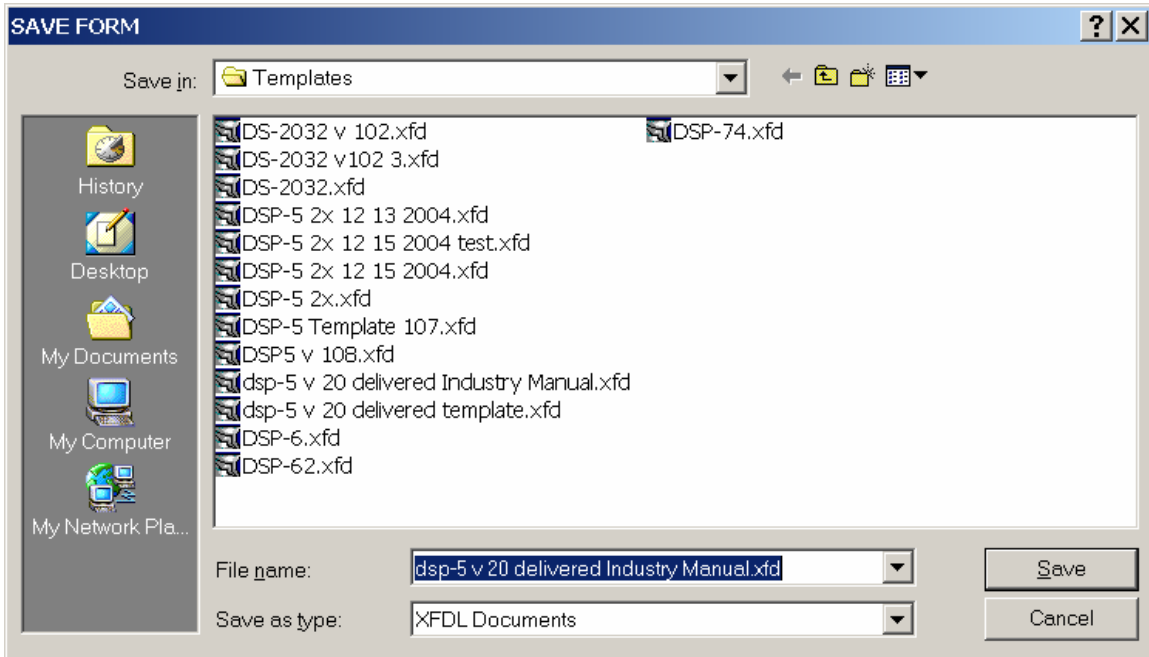


Figure 137. Save Form: Specify Filename Prompt

To overwrite the existing file, click on the ‘Save’ button. As shown in Figure 138, a prompt asking you if you want to overwrite the existing file will appear. Click on ‘Yes’. The overwrite prompt closes and the file is saved.

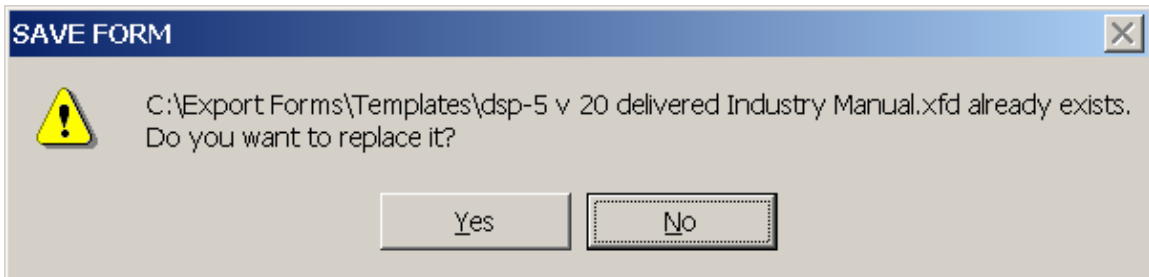


Figure 138. Save Form Overwrite Prompt

To save the electronic form to a new file, delete the file name in the ‘File name:’ field, type in a new file name and then click on the ‘Save’ button (see Figure 139). The ‘SAVE FORM: Specify Filename’ prompt closes and the new file is saved.

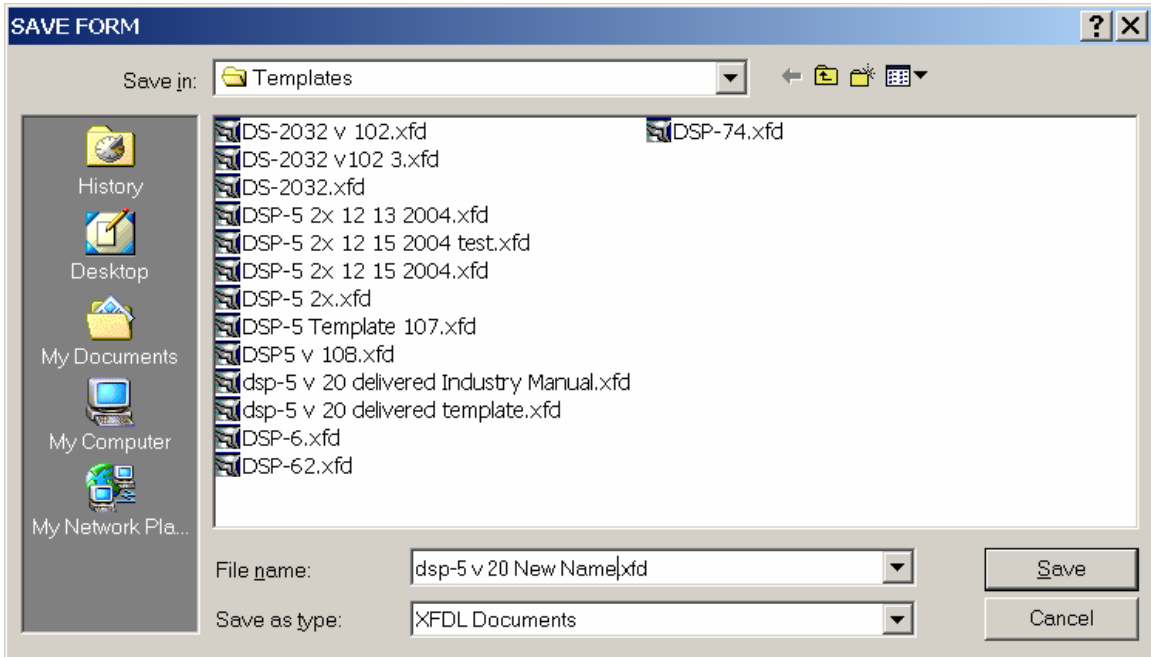


Figure 139. Enter New File Name

Printing an Electronic Form

Step 1.

Within the Cover Page of an open electronic form, click on 'Print' (see Figure 140). Note that the 'Print' button is only available on the Cover Page. Also, there is no need to select a specific document prior to clicking on the 'Print' button.

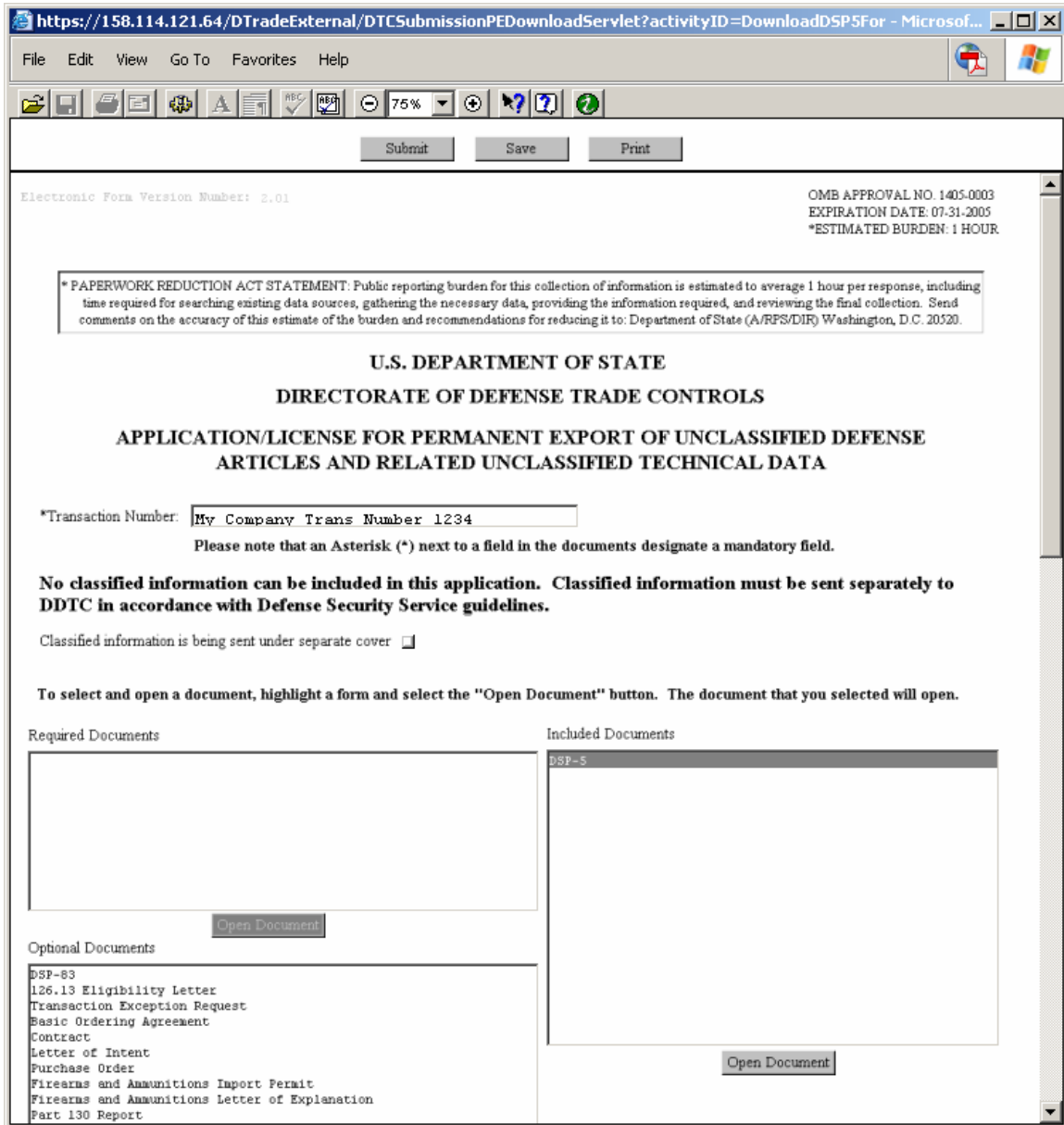


Figure 140. Printing an Electronic Form

Step 2.

You may be prompted with the warning shown in Figure 141. This is just notifying you that the form is missing required data. Click on 'Yes' to continue.

If you do not get this warning, go to Step 3.

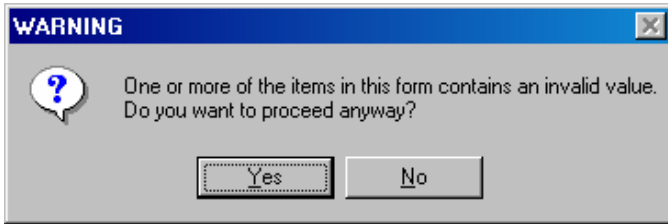


Figure 141. Print Warning

Step 3.

The 'Print' window will be displayed as shown in Figure 142. You can change the print destination by clicking on the small arrow and selecting one of the listed printers. You are unable to change the print range. Click on the 'OK' button.

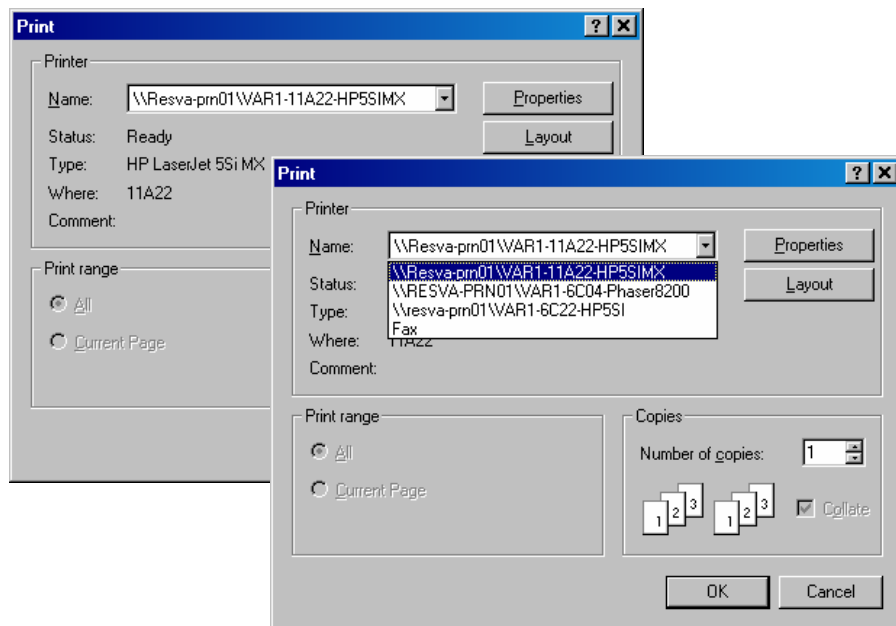


Figure 142. Print Window

Step 4.

A 'Print Request' prompt will appear, notifying you that the items are being printed (see Figure 143).



Figure 143. Print Request Prompt

Depending on the electronic form, the documents that are printed out differ. Table 5 lists the documents and associated pages that are printed out for each electronic form.

| Electronic Form | Documents Printed |
|--------------------|---|
| DSP-5 | <ul style="list-style-type: none"> • Cover Page • All pages of the DSP-5 document including the subsidiary page and all continuation pages if applicable. • None of the other attached documents are printed. |
| DSP-61 | <ul style="list-style-type: none"> • Cover Page • All pages of the DSP-61 document including the subsidiary page and all continuation pages if applicable. • None of the other attached documents are printed. |
| DSP-73 | <ul style="list-style-type: none"> • Cover Page • All pages of the DSP-73 document including the subsidiary page and all continuation pages if applicable. • None of the other attached documents are printed. |
| DS-2032 | <ul style="list-style-type: none"> • Cover Page • All pages of the Registration Statement (DS-2032) document including all continuation pages if applicable. • None of the other attached documents are printed. |
| Form Upgrader Tool | <ul style="list-style-type: none"> • Nothing is printed. |

Table 5. Documents Printed Out for Each Electronic Form

NOTE: To print attachments, you must individually view them and print them out.

SUBMITTING APPLICATIONS

Submitting License Applications Using the Forms Viewer

Once the application has been completed, digitally signed, saved and has no errors, it is ready to submit. This section will address submitting electronic forms via the Forms Viewer.

Step 1.

If not already opened, open the desired electronic form to be sent. The Cover Page will be presented as in Figure 144.

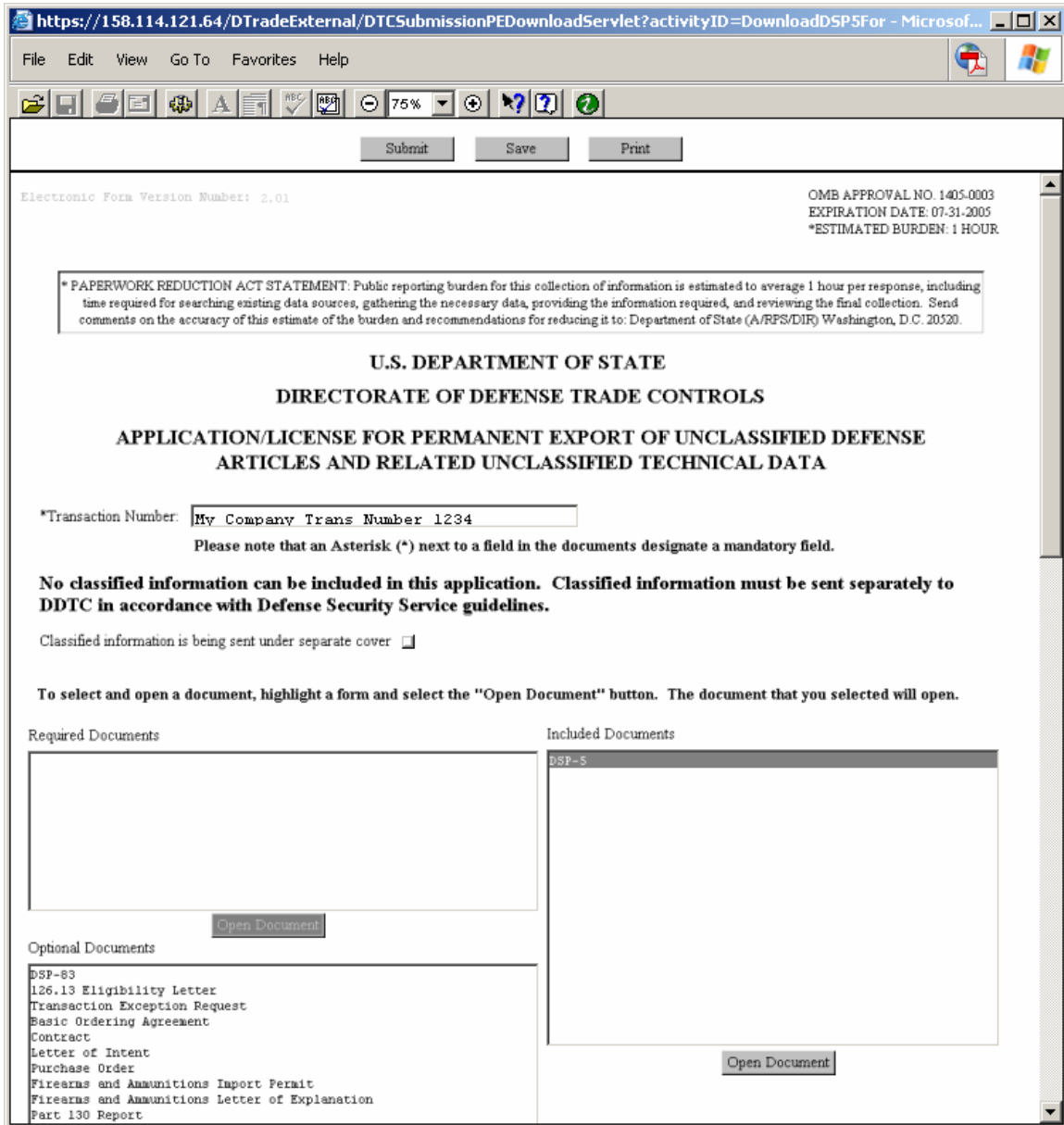


Figure 144. Cover Page

IMPORTANT NOTE: If you just completed i.e., digitally signed an application and are ready to submit the application, you must save the application prior to submitting it. If you do not save the application first, you will not be able to submit the application.

Step 2.

Click on the "Submit" button on the Cover Page. A Confirmation Page as illustrated in Figure 145. Continue to Step 4.

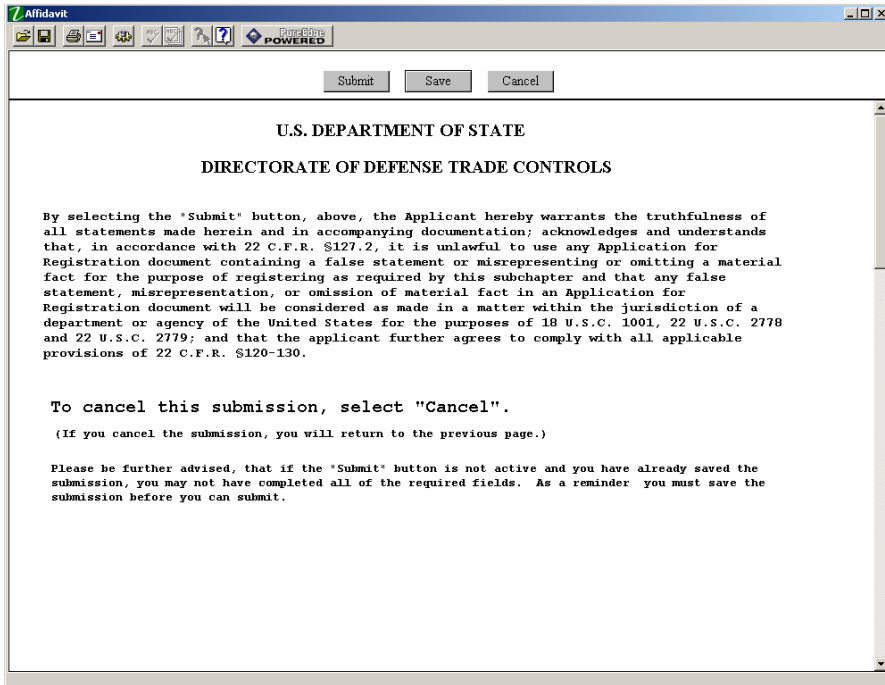


Figure 145. Confirmation Page

Step 3.

After reading and agreeing with the legal statement, click on the 'Submit' button, if it is active. If the user has multiple digital certificates, the System will prompt the user for his/her ACES digital certificate as illustrated in Figure 146 and Figure 147. He/she will then be prompted to enter his/her ACES digital certificate password.

If the user has multiple digital certificates, then you must select an ACES digital certificate and click on "OK". Go to Step 4.

If the user is not prompted to select a digital certificate, go to Step 4.

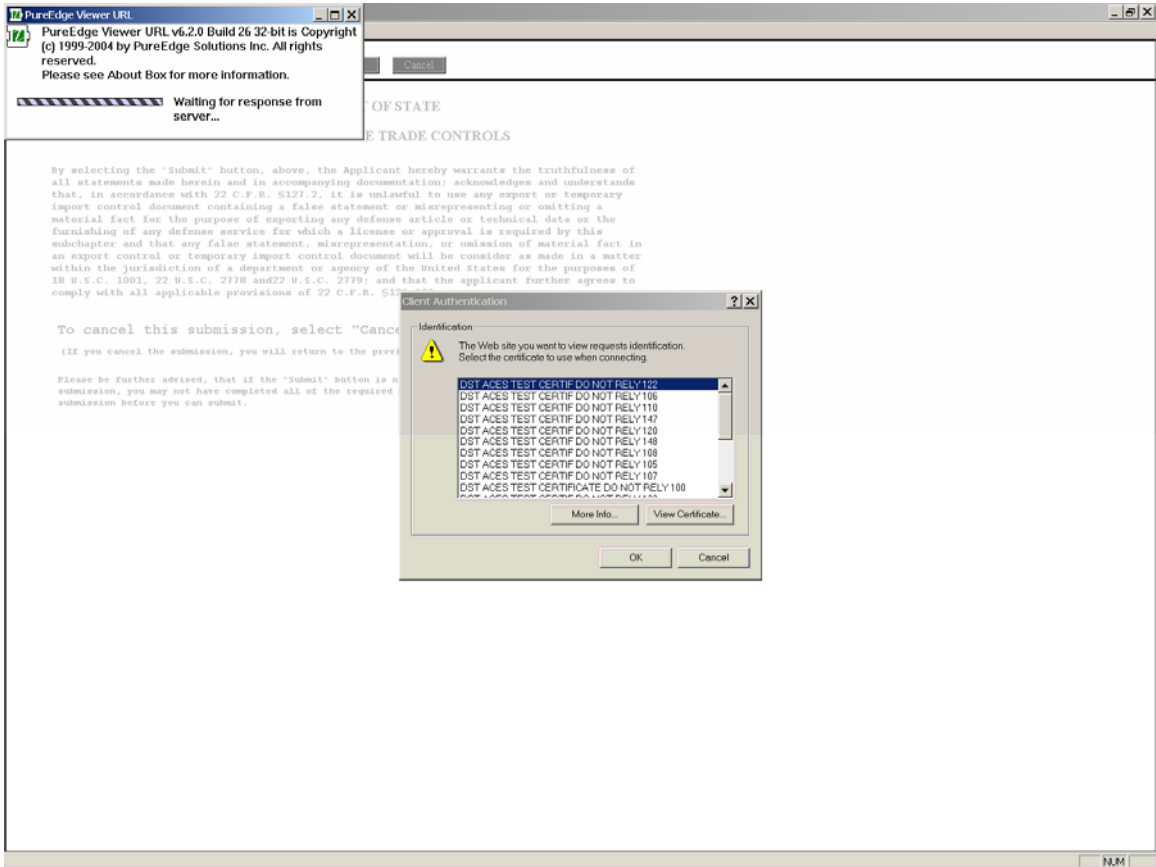


Figure 146. Select Certificate For Submittal – Case 1

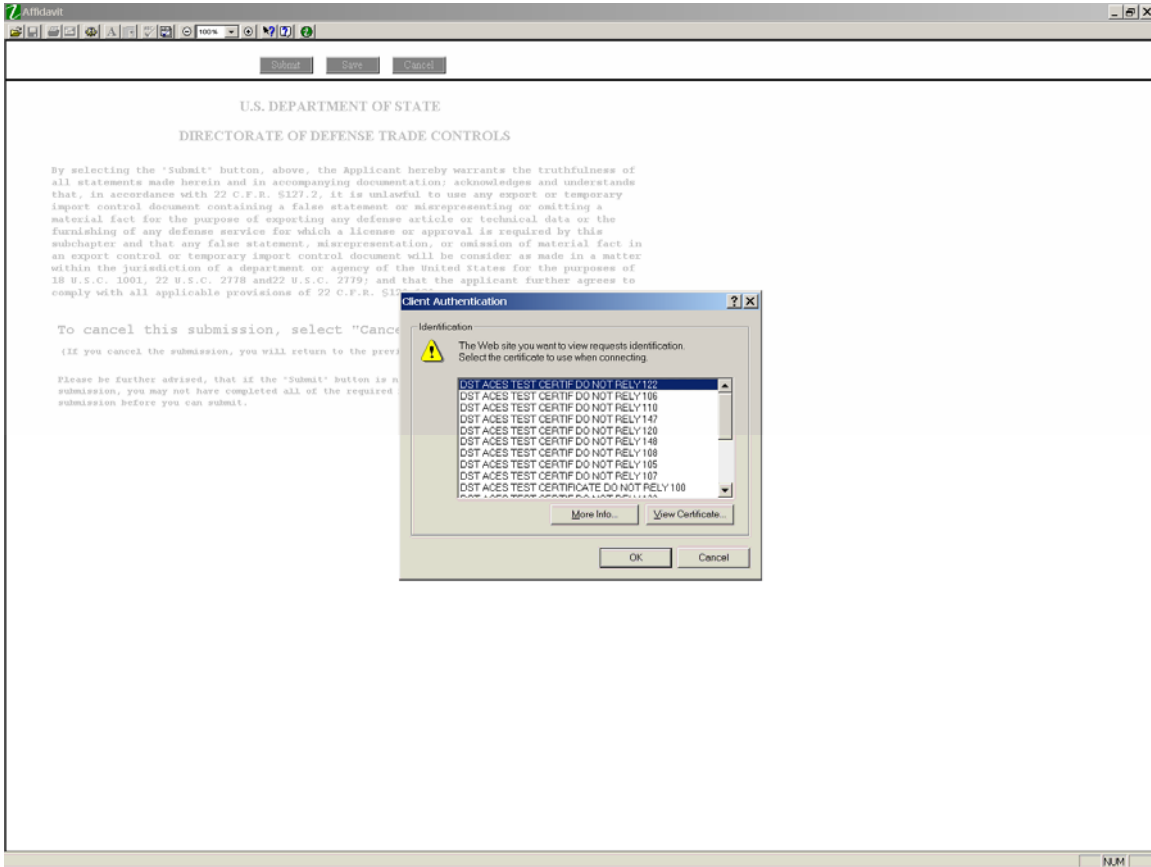


Figure 147. Select Certificate Password For Submittal – Case 2

Step 4.

Enter the password for the digital certificate and click on 'OK' as shown in Figure 148 and Figure 149, depending on whether the user has multiple or a single certificate.

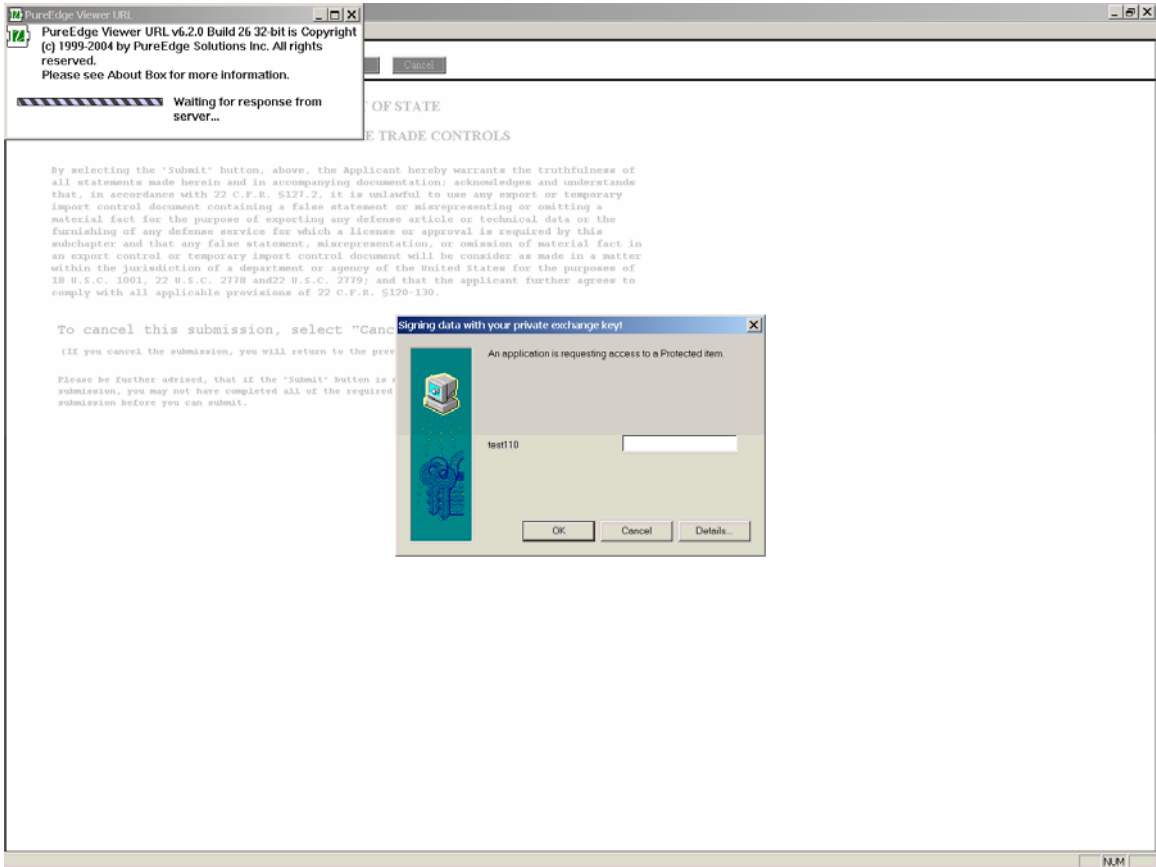


Figure 148. Enter Certificate Password For Submittal – Case 1

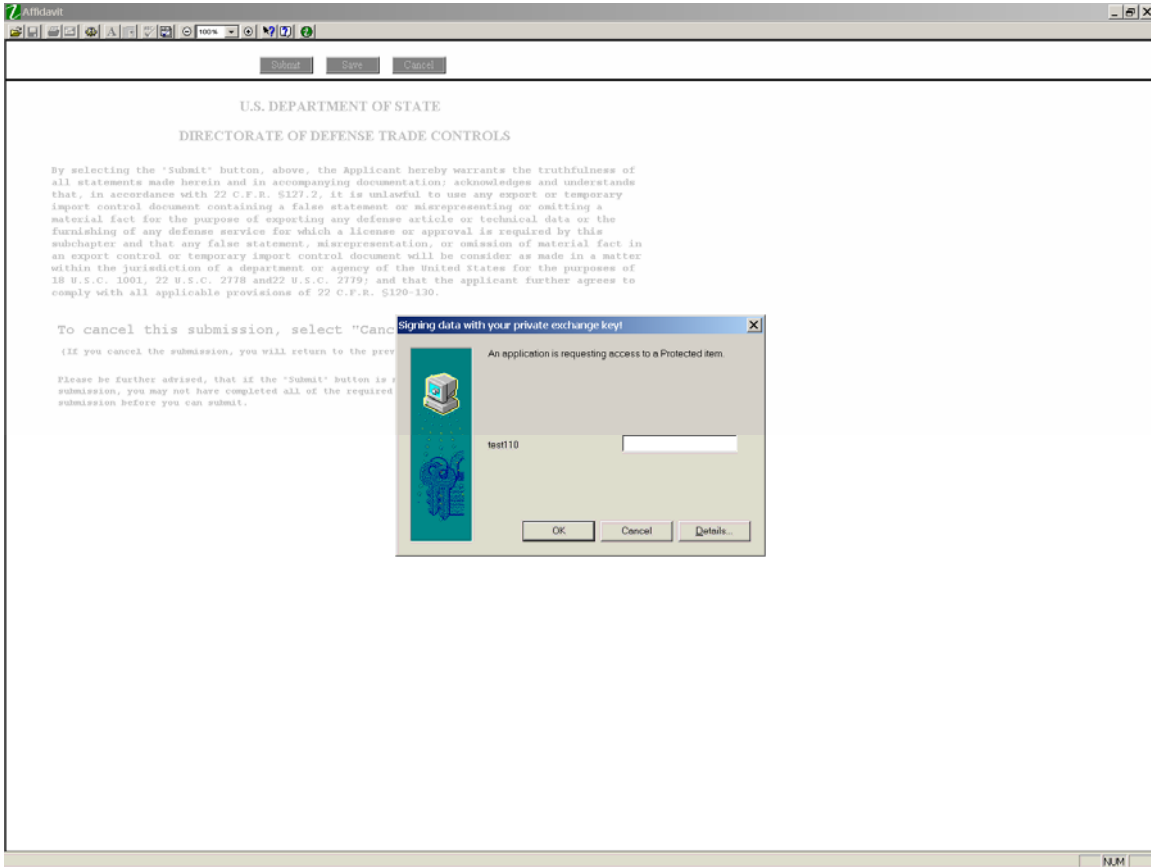


Figure 149. Enter Certificate Password For Submittal – Case 2

Step 5.

The certificate prompt goes away. After some time, the electronic form will close and you will receive a notification from the System stating “Your submission has been received” like the one in Figure 150. Retain this page. The status of the application just submitted can be tracked by using the Track Status option available on the System. This feature is discussed in detail in Section **Error! Reference source not found.**

IMPORTANT NOTE: Do not click on the back button within the browser containing the receipt notification. You may receive an error.

Figure 150. Submission Received Notification

Potential Errors

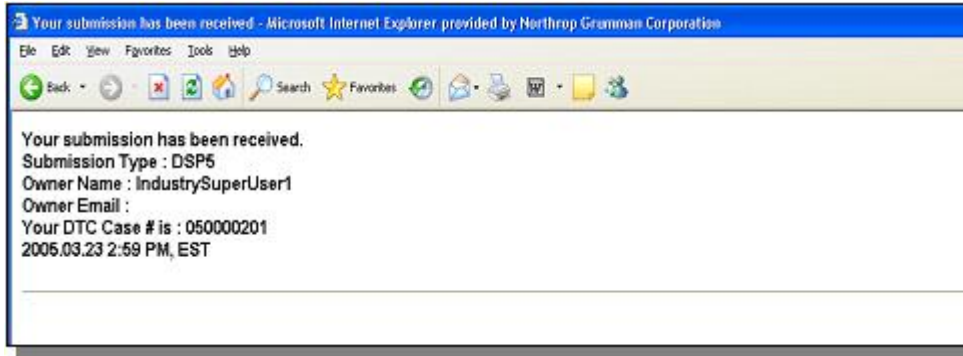


Figure 151. Submission Received Notification

Potential Errors

The following are potential errors and the corresponding system notifications a user may encounter when submitting an application.

Incorrect Digital Certificate Password

When prompted for an ACES digital certificate password (see Figure 146 or Figure 147), if an incorrect password is entered the following error screen is displayed (Figure 152).

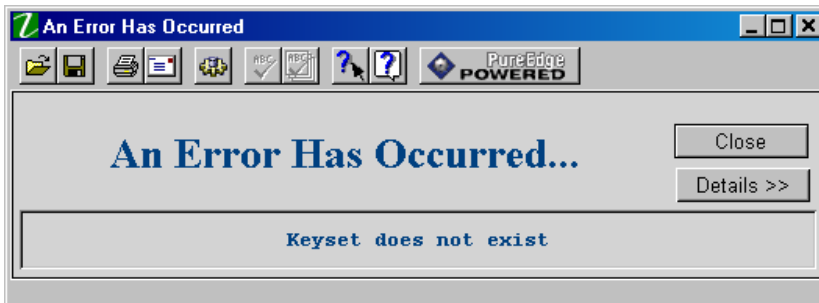


Figure 152. Enter Certificate Password For Submittal

Problem Submitting 'Large' Export License Applications

Users have reported an error when submitting export license applications above a certain size. The exact threshold appears to be hardware dependent but licenses approximately 2 megabytes (2MB) in size and above have been shown to repeatedly cause an error.

Submitting license applications above this threshold causes a '*masq_url.exe*' error. This error has been traced back to the commercial electronic forms vendor (PureEdge). The following two sections describe the occurrence of the error and a 'work-around' until a complete solution can be obtained from the product vendor.

Error Submitting License Applications

The user attempts to submit a properly completed and digitally signed license application. Upon selecting the 'Submit' button the upload process begins as shown in Figure 153. In this example the license application is approximately 5MB.

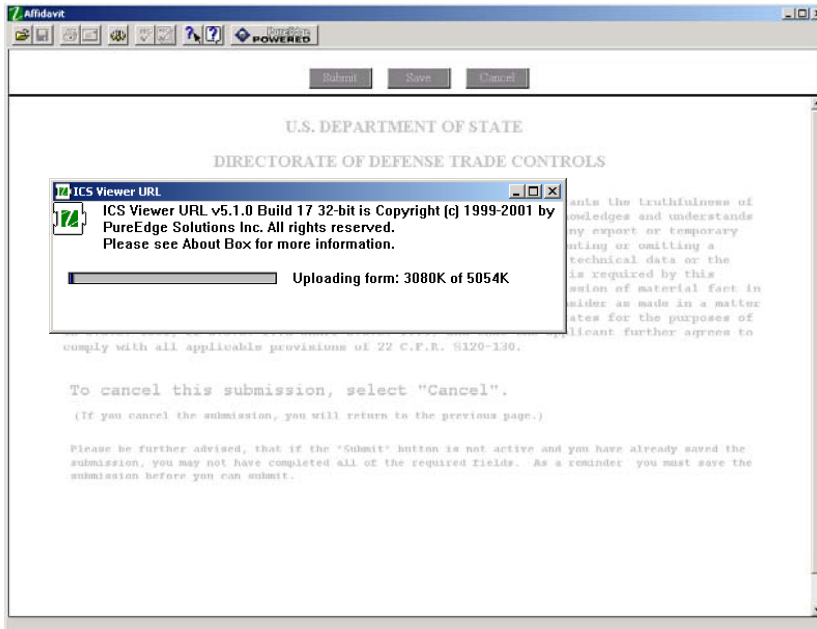


Figure 153. Submit Screen

The user is prompted for his/her digital certificate to authenticate himself/herself to the System as shown in Figure 154.

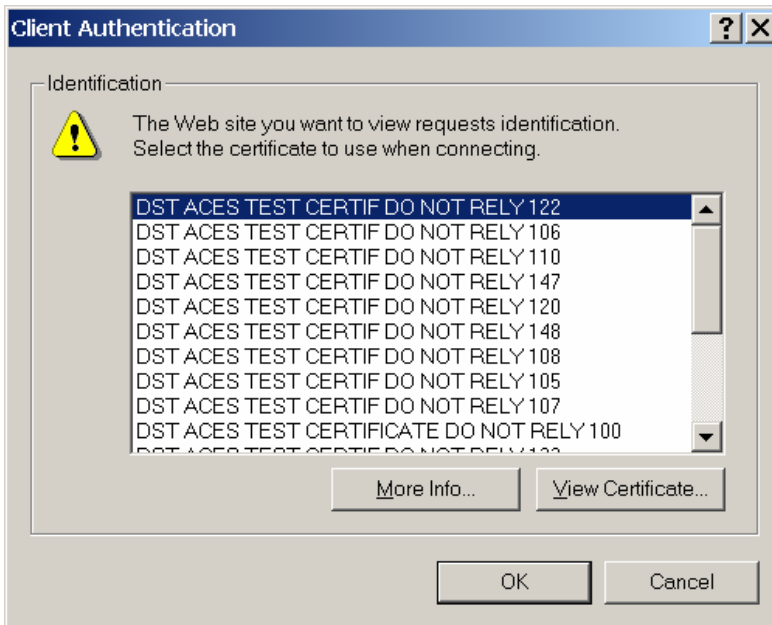


Figure 154. Client Authentication Screen

At this point the upload process continues until an error message screen is presented as shown in Figure 155.

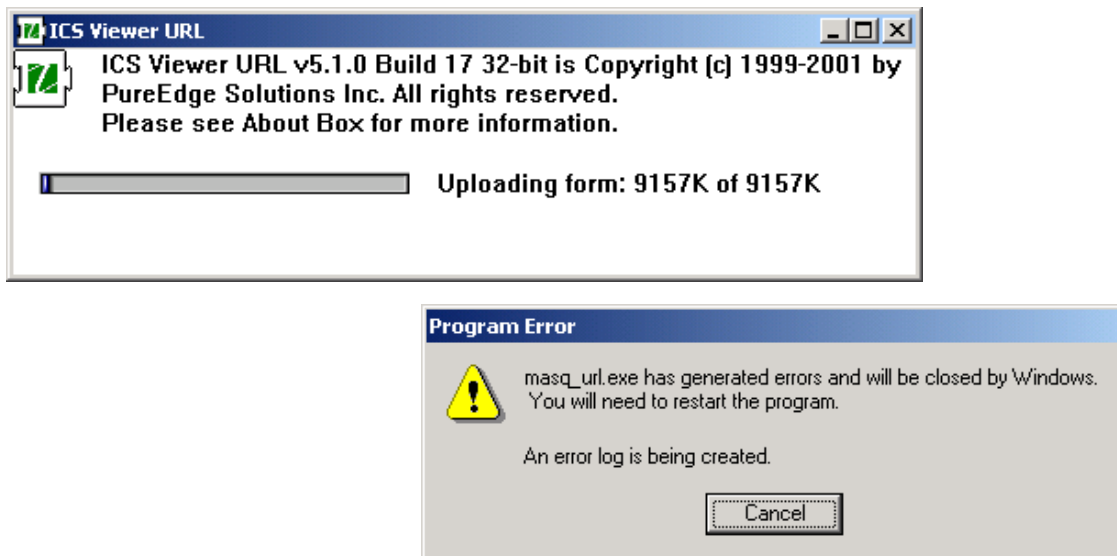


Figure 155. Resulting Error

Work Around

By submitting the license application after first logging into the System the problem is avoided.

Submitting License Applications When Logged Into the D-Trade System

The following is an alternative way of submitting license applications.

Step 1.

Log into the D-Trade System.

Step 2.

From within the same browser used to log into the System, open up the export license application from within the browser window by following the steps 2 – 7.

Step 3.

Click on the “Submit” button on the Cover Page. A Confirmation Page is presented.

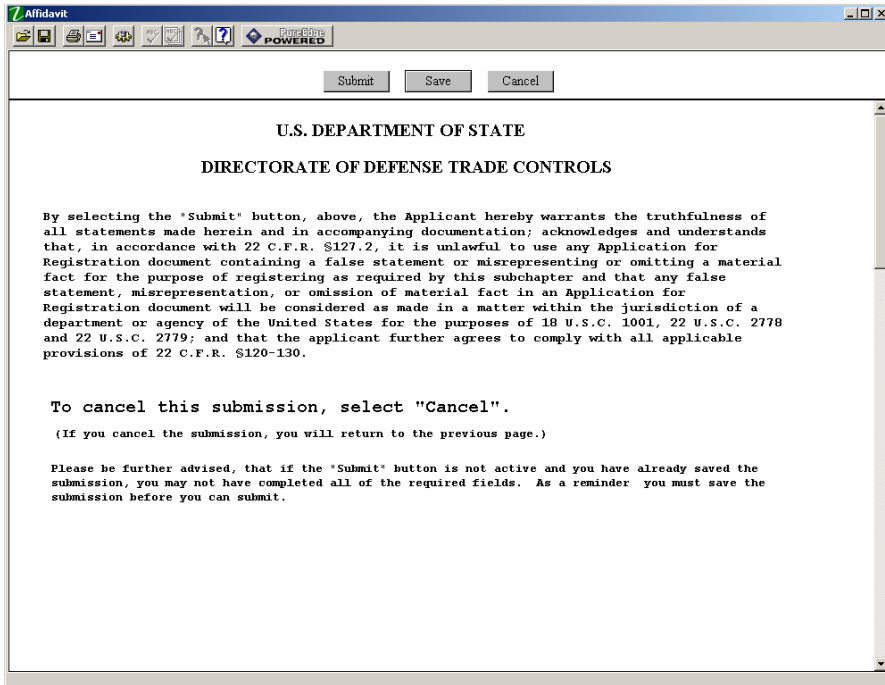


Figure 156. Confirmation Page With No Missing Application Data

Step 4.

After reading and agreeing with the legal statement, click on the 'Submit' button. The System will not prompt the user for the ACES digital certificate password because you are still within the instance in which you have already used your ACES digital certificate to log into D-Trade. If too much time has passed, you will be prompted to re-log into D-Trade.

After some time, you will receive within the browser window a notification from the System stating "Your submission has been received" (as shown in Figure 157). Retain this page. The status of the application just submitted can be tracked by using the Track Status option available on the System. This feature is discussed in detail in Section **Error! Reference source not found.**

IMPORTANT NOTE: Do not click on the back button within the browser containing the receipt notification. You may receive an error.

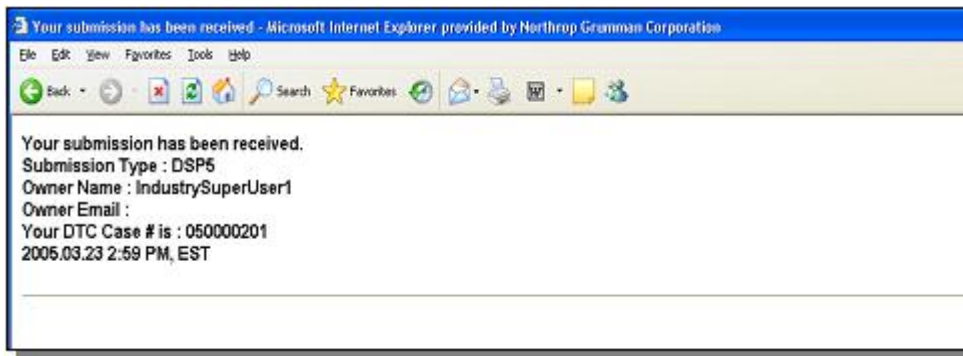


Figure 157. Submission Received Notification

Potential Errors

The following are potential errors and the corresponding system notifications a user may encounter when submitting an application.

Problem with ACES Digital Certificate

Same as described in Section **Error! Reference source not found.**

BATCH SUBMISSIONS

The D-Trade System supports the receipt of batch submissions. A batch submission is a submission that contains one or more individual license applications. The electronic PureEdge forms are not used with the batch functionality. The data comprising each license application has been extracted from a company's "home-grown" or third party licensing software.

Batch submissions are discussed in further detail in D-Trades' *Specification for Creating and Submitting Batched Forms Electronically*. This specification is available on the D-Trade Information Center for downloading.

Creating Batch Submissions

Reference D-Trades' *Specification for Creating and Submitting Batched Forms Electronically* for a discussion on the structure and requirements for creating the batch submission.

Submitting Batch Submissions

Information on the transport mechanisms which are used to submit batch submissions and how to submit a batch submission is discussed in detail in the D-Trades' *Specification for Creating and Submitting Batched Forms Electronically*.

TRACKING AN APPLICATION AND BATCH SUBMISSION

For a license application can be retrieved either by the Track Status and Download Status Data functions available via the D-Trade System graphical user interface or an offline web service. These license applications on which status can be retrieved were submitted to the System either by individual submissions (using the electronic forms) or by batched submissions.

Track Status via the D-Trade Application User Interface

The Track Status option provides information about previously submitted license applications. This functionality is available to enabled users on the left navigation bar in the Filing section.

Retrieve Status Information

This option provides current status information for all license applications submitted by a company (i.e., company of the user).

Figure 158. Track Status Screen

illustrates the result of a status inquiry to enabled users.

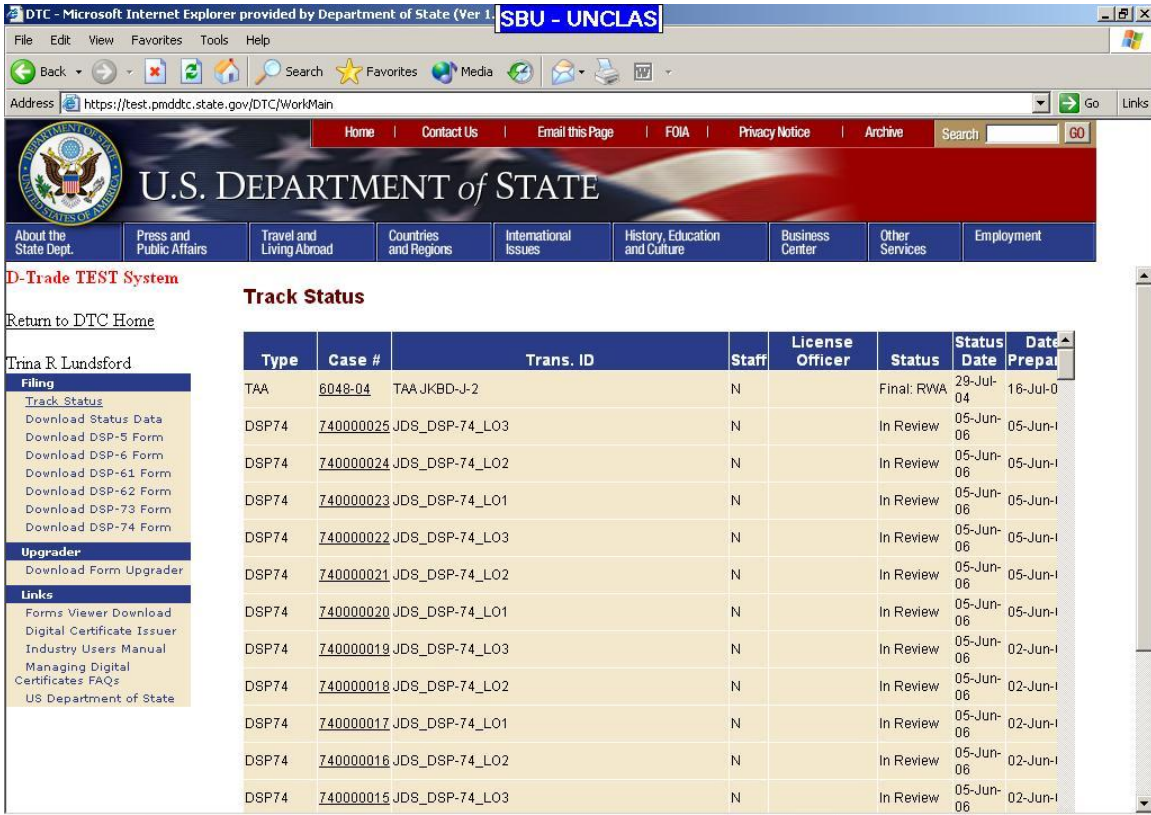


Figure 158. Track Status Screen

Table 6 describes each column in the Track Status response.

| Entry | Description |
|-----------------|---|
| Type | Type of application (either DSP-5, DSP-61, DSP-73, TAA or UNDF). |
| Case # | PM/DDTC assigned case number. |
| Trans. ID | User-specified title given to license application. |
| Staff | Indication as whether the license application has been 'staffed out' (e.g., distributed to organization outside of DDTC). Possible values: N – No, Y – Yes. |
| License Officer | DDTC license officer assigned to handle license application. |

| Entry | Description |
|---------------|---|
| Status | Current license application status. Possible values: Received, Rejected, Review Pending, In-Review, Final:Approved, Final:Deny, Final:Appr. w Provisos, Final: RWA |
| Status Date | Date of latest status update. |
| Date Prepared | Date received by System. |
| License Value | Dollar value of export. |
| Country | DSP-5: Countries of ultimate destination DSP-61: Foreign country of ultimate destination DSP-73: Specific countries of sojourn |

Table 6. Track Status Screen Entries Track Status Screen Entries

NOTE:

- **For the System the scope of this status information are only those applications submitted via the System (e.g., this excludes applications submitted by any other means). For the System the scope of this status information are all applications submitted by all users associated with the user’s company.**
- **The UNDF form type defined in the above Table 6, is received when a PureEdge form or a batch submission is malformed and cannot be recognized by the system.**

Sort Track Status Information

The Track Status interface supports the ability to sort the status information based upon the values in any column. By passing the cursor over and selecting a column heading the entire table of status data is resorted (see Figure 159) based upon the data found in that column. Selecting the heading once sorts the information (rows of license data) by license application type in ascending order. Selecting the heading a second time sorts the information by license application type in descending order.

| Track Status | | | | |
|---------------------|---------------------------|-----------------------------|---------------|--|
| Type | Case # | Trans. ID | Date Prepared | |
| TAA | D00000007 | Test TAA 1 (11-16-02) | 16-Nov-02 | |
| DSP5 | D00000067 | Application | 17-Nov-02 | |
| DSP5 | D00000085 | Application 5 (11-23-02) | 23-Nov-02 | |
| DSP5 | D00000084 | Application 5 (11-23-02) | 23-Nov-02 | |

Figure 159. Sort Track Status Data

Detailed Status Information

The Track Status interface supports the ability to retrieve detailed status information about an individual license application. The case numbers in the 'Case #' column are hyperlinks that when selected will query for additional information. Additional information is available for cases that are in review, rejected or have a final disposition. If the license application has a status of "Review Pending", no additional information will be available yet. Figure 160 illustrates the information available for cases that are in review. In this particular example, the case has been staffed out (as denoted by the 'Staffing Status') and has had documents submitted after the case was initially submitted to D-Trade (as denoted by the 'Additional Documentation'. Table 7 describes the Staffing Status data in this table. Table 8 describes the Additional Documentation data in this table.

Application Detail
Case Number: 050000645
License Type: DSP5
Transaction ID: 1234
Status: In Review
Country Code: BD
Country Name: BERMUDA
Date Prepared: 12-Aug-05
License Officer: DTCL0DSP51
Status Date: 16-Aug-05
Staffed: Y

Staffing Status

| Agency | Date Staffed | Agency Action |
|----------|--------------|---------------|
| COMMERCE | 16-Aug-05 | 16-Aug-05 |
| ENERGY | 16-Aug-05 | 16-Aug-05 |

Additional Documentation

| File Name | Category | Comments | Date |
|------------------|--------------------|--------------------|-----------|
| AddDoc000603.xls | Eligibility Letter | | 06-Oct-05 |
| AddDoc000604.xls | DSP-83 Attachments | Enter Comment Here | 06-Oct-05 |

You may click on the button below to upload any additional documentation for this case.

Figure 160. Additional Staffing and Documentation Information

| Entry | Description |
|---------------|--|
| Agency | The agency to which the case was staffed. |
| Date Staffed | The date in which the case was staffed to the agency. Possible values are a date or 'Not Opened'. 'Not Opened' denotes that the license officer has staffed out the case to the agency and the agency has not yet received the case. |
| Agency Action | The date in which a response from the reviewing agency is received. Possible values are a date or 'Not Closed'. 'Not Closed' denotes that a response has not been received from the reviewing agency. |

Table 7. Staffing Status Entries

| Entry | Description |
|-----------|--|
| File Name | Name of the uploaded file. |
| Comments | Comments about the document entered by the submitter. |
| Category | The document category from the application/request to which the submitter is associating the document. |
| Date | Date the file was submitted. |

Table 8. Additional Documentation Entries

Rejected License Applications

License applications may be automatically rejected by the System. Such license applications are assigned a status of 'Rejected'. These rejections are not related to the subject matter of the license applications but rather concern the System privileges of the user involved in the electronic license application submission or problems with the physical electronic license application. Table 9 lists the potential Error Descriptions presented to the user when detailed status information is requested. The error description is found in the additional information for the rejected application by clicking on the 'Case #' in the track status results.

| Error Description | Explanation |
|--|---|
| The user's Role or Roles do not permit a submission of this type | The user that submitted the license application is not a member of the 'Industry Submitter' role. |
| The signer on the form is not recognized by the System | The user that digitally signed the license application is not a member of the 'Industry Signature Authority' role. |
| The forms version number is not recognized by the System | The version of electronic license application submitted is out of date. (Note: current electronic license application is available for download from the System). |
| Could not extract attachments. This was most likely caused by an attachment containing a virus | One of the attached documents contains a virus. |
| Form was illegal XFD format | The application format is not valid XFD (PureEdge). |
| An error occurred while saving form data into the system. Please resubmit the form. | The user submitted a form that encountered an error while trying to save the data from it into the system. |
| An error occurred in the processing of this form. Please resubmit the form. | The user submitted a form that encountered an error in the processing of the form |

Table 9. Rejected Status Reasons

Download Status Data

This option provides current status information for all license applications submitted by a company (i.e., company of the user) as an eXtensible Markup Language (XML) data set. Figure 161 illustrates the result of this type of status inquiry. This data set is useful for

those companies that wish to ingest this status data into internal company databases. The data set may be saved by selecting the ‘Save as ...’ option under the ‘File’ command. Table 10 provides definitions and occurrences of possible XML tags found in the Status Information file.

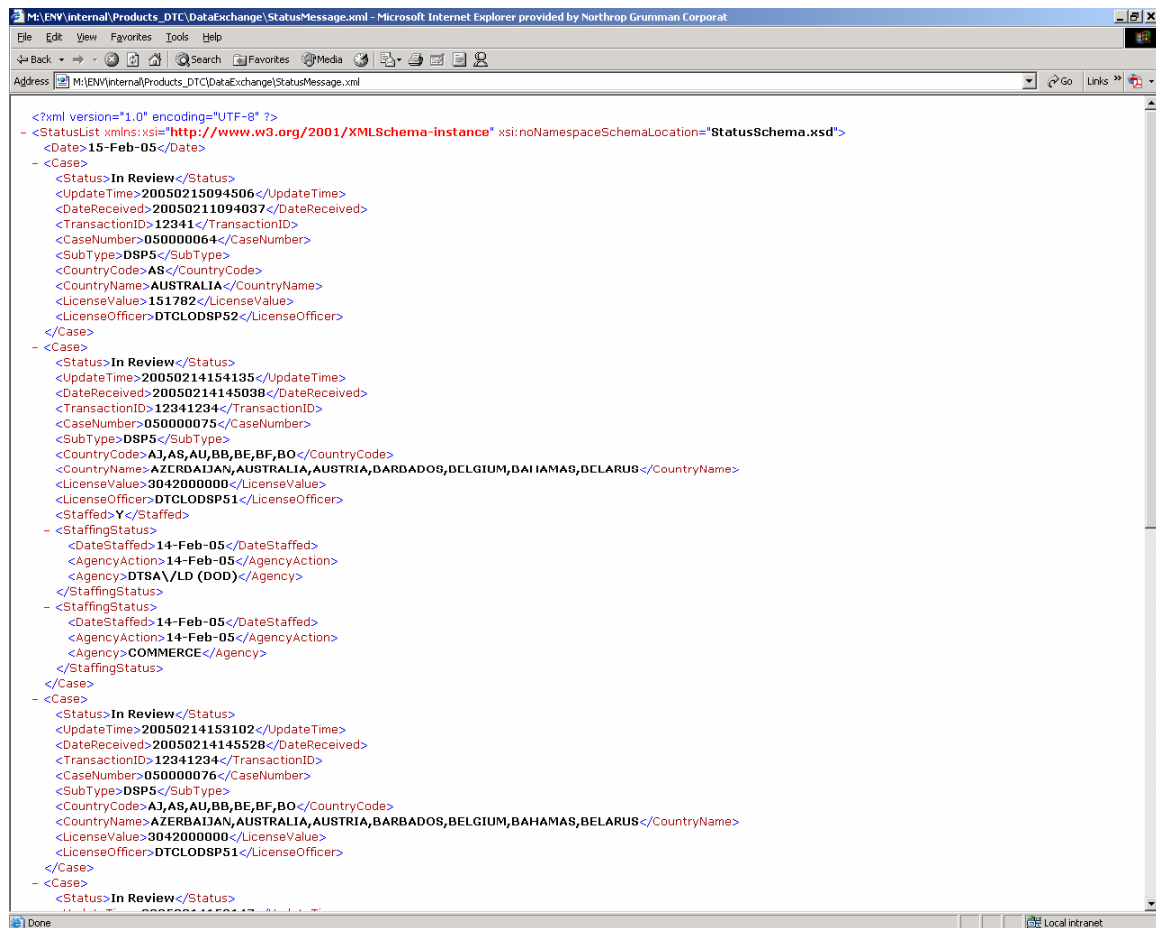


Figure 161. XML Status Information

| XML Tag | Definition |
|-------------------------------|--|
| <Case> | Start of case information. |
| <Staffed></Staffed> | This will only appear if the case has been staffed out whether or not the case has been staffed out to an agency outside DDTC. |
| <CaseNumber></CaseNumber> | Case number. |
| <LicenseValue></LicenseValue> | Case dollar value. |
| <SubType></SubType> | Application type. |
| <UpdateTime></UpdateTime> | Last time case status was updated. |
| <StaffingStatus> | This will only appear if the case has been staffed out. |

| XML Tag | Definition |
|-----------------------------------|---|
| <DateStaffed></DateStaffed> | The date the case was staffed out to an agency outside of DDTC. This will only appear if the case has been staffed out. |
| <AgencyAction></AgencyAction> | The date in which the agency response was received by DDTC. This will only appear if the case has been staffed out. |
| <Agency></Agency> | The names of agencies outside DDTC to which the case was staffed. This will only appear if the case has been staffed out. |
| </StaffingStatus> | This will only appear if the case has been staffed out. |
| <DateReceived></DateReceived> | Date case was submitted to DDTC. |
| <LicenseOfficer></LicenseOfficer> | License or Agreement officer assigned to the case. |
| <Status></Status> | Current status of the case. |
| <CountryName></CountryName> | All the country names of export for DSP-5. |
| <CountryCode></CountryCode> | All the country codes of export for DSP-5. |
| <TransactionID></TransactionID> | Application transaction ID. |
| </Case> | End of case information. |

Table 10. XML Tag Definition

Potential Errors

The following are potential errors and the corresponding system notifications a user may encounter when downloading status data.

Netscape Communicator Version

Older versions of Netscape Communicator (e.g., Version 4.77) are not 'XML-aware'. If using one of these versions, when the user selects the 'Download Status Data' option an empty Netscape Communicator window is presented. The XML data set is actually present but the Netscape browser does not know how to render the data. If the user views the source of the window (Figure 162) the XML data set is shown (Figure 163).

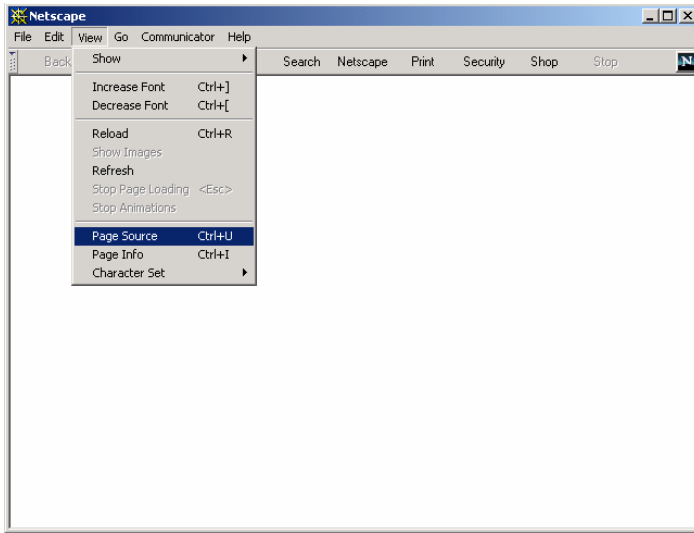


Figure 162. Netscape Communicator View Source

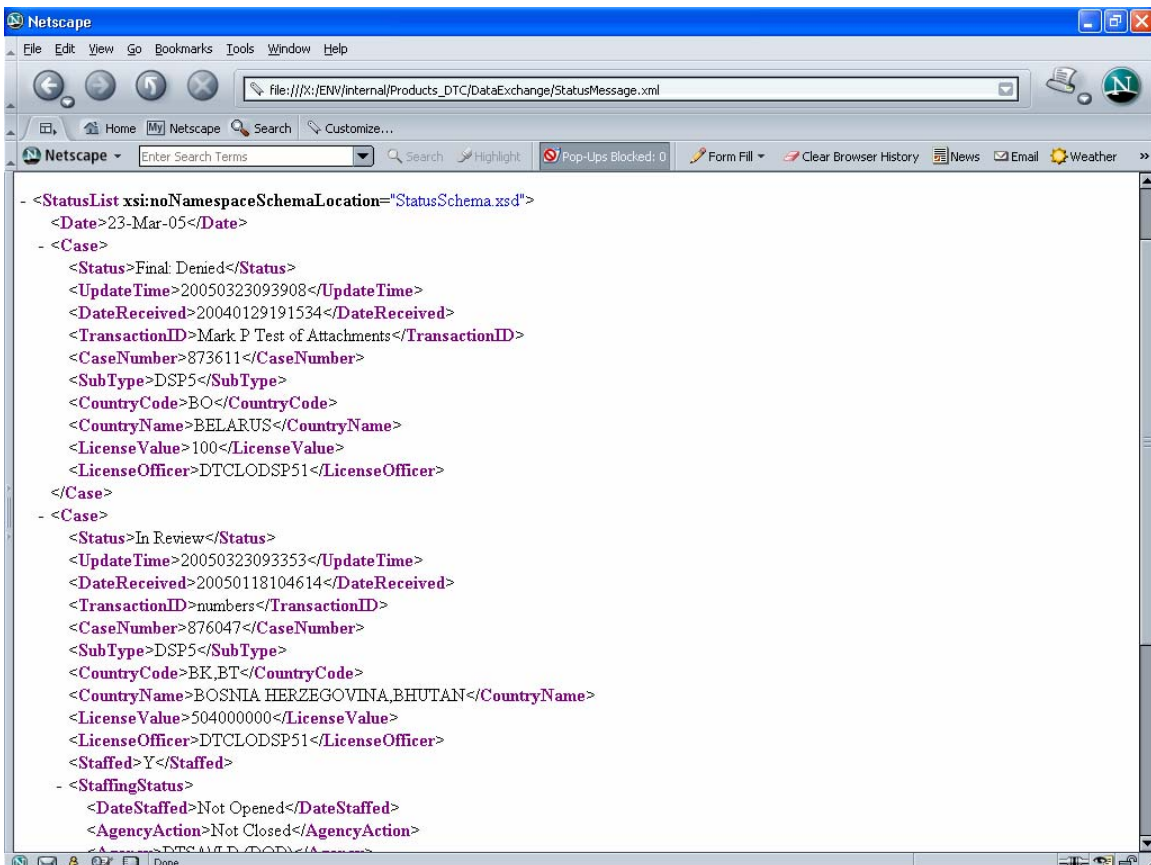


Figure 163. XML Status Information (Netscape)

Track Submission Status Web Service

The Track Submission Status web service is an offline web service that provides an interface to obtain the status of batch submissions and applications submitted via a batched submission and electronic forms. The submission status information is equivalent to the existing status information, discussed in Sections **Error! Reference source not found.**, 0 and **Error! Reference source not found.**.

This functionality is implemented as a standard SOAP 1.1 request/response message pair that is initiated by the submitter. The submitter uses the *GetSubmissionStatusRequest* message to request the status of a set of submissions by the user-defined *customerID* (the Transaction ID in the electronic form), the System assigned *caseNumber*, or by date range (i.e. those submissions that were submitted within the date range). The system will synchronously respond with a *GetSubmissionStatusResponse* that contains the detailed status information for each requested case. The schema that will define these two messages (request and response) is contained in *submissionstatus.wsdl* (see Appendix A). An example of the request/response message is contained in Appendix B of this document.

Creating Submission Status Request Message

A submission status request message should be created per the *submissionstatus.wsdl* schema presented in Appendix A. Status for individual license applications submitted to the D-Trade System either by an electronic form or batched submission can be retrieved by any combination of the following criteria:

- Transaction ID used within the license application (*customerID*);
- System assigned case number (*caseNumber*);
- Batch submission (*receiptID*);
- Transaction ID used for the batch submission (*customerID*);
- From Submitted Date (*fromDateType*); and/or
- To Submitted Date (*toDateType*).

Transport

Only the *https* transport is supported for submission status request/response message. The HTTPS transport makes use of SSL v.3, which includes public key-based authentication of both the client and the server. The client side of the communication must obtain and install an X.509 certificate i.e., an ACES digital certificate according to the current DTC procedures.

The URL to be used for submitting the submission status request message is provided in Table 11 and is based on whether the target is the production system or the test system.

| Destination Site | URL |
|------------------|---|
| Production Site | https://dtrade.pmdtc.state.gov/DTC/SubmissionStatusLogin |
| SSL Test Site | https://test.pmdtc.state.gov/DTC/SubmissionStatusLogin |

Table 11. URLs for Submitting Track Submission Status Request Message

Submitting Test Submission Status Request Message

This section will address submitting track submission status request messages to the test D-Trade System. Submitting submission status request messages will enable you to determine if the submission status request message has been constructed correctly.

IMPORTANT NOTES:

- 1. To enter the secure test D-Trade System (i.e., the SSL test site), a user must have first registered themselves with the system. A user must possess an ACES digital certificate. Without the digital certificate, access to the System will be denied.**
- 2. The user must also have been granted by your company’s D-Trade System Super User the privilege to retrieve status.**

A status reply will be returned regarding those applications submitted to the test site only.

Step 1.

Prepare a submission status request message according to the *submissionstatus.wsdl* schema presented in Appendix A.

Step 2.

Send the contents of the request message to the D-Trade secure test system using the https transport via a POST command. The respective URLs are present in Table 11. This connection is a machine-to-machine web interface and no user interaction occurs during the transmission.

A SOAP reply message will be sent back over the transport indicating a successful or unsuccessful transfer. If a successful transfer occurs, the submission status response message that contains the submissions status information is returned.

Please contact the D-Trade help desk to determine the results of acceptance processing on the test server.

Potential Errors

The following are potential errors and the corresponding system notifications a user may encounter during submitting a submission status request message to the secure test site.

Problem with ACES Digital Certificate

Same as described in Section **Error! Reference source not found.**

Submitting Live Submission Status Request Message

This section will address submitting submission status request messages to the live D-Trade System.

This section will address submitting submission status request messages to the live D-Trade System.

IMPORTANT NOTES:

- 1. To enter the secure D-Trade System (i.e., the SSL site), a user must have first registered themselves with the system. A user must possess an ACES digital certificate. Without the digital certificate, access to the System will be denied.**
- 2. The user must also have been granted by your company's D-Trade System Super User the privilege to retrieve status.**

Step 1.

Prepare a submission status request message according to the *submissionstatus.wsdl* schema presented in Appendix A.

Step 2.

Send the contents of the submission status request message to the D-Trade system using the https transport via a POST command. This is a machine-to-machine web interface and no user interaction occurs during the transmission.

A SOAP reply message will be sent back over the transport indicating a successful or unsuccessful transfer. If a successful transfer occurs, the submission status response message that contains the submissions status information is returned.

Potential Errors

The following are potential errors and the corresponding system notifications a user may encounter during submitting a submission status request message to the production site.

Problem with ACES Digital Certificate

Same as described in Section **Error! Reference source not found.**

SUBMITTING ADDITIONAL DOCUMENTATION

Users have the ability to submit additional documents after a case has already been submitted to D-Trade. These cases are submitted via individual submissions using electronic forms or batched submissions. Additional documentation can only be submitted to pending applications i.e., applications with the “In Review” status.

IMPORTANT NOTE: Additional documentation can only be submitted to applications with that status of ‘In Review’.

Submitting Additional Documents to Pending Applications

Step 1.

To submit additional documentation to a pending case, click on the ‘Track Status’ link on the left navigation menu. This results in the status inquiry as illustrated in Figure 164.

D-Trade TEST System

Return to DTC Home

Trina R Lundsford

Track Status

| Type | Case # | Trans. ID | Staff | License Officer | Status | Status Date | Date |
|-------|---------------------------|----------------|-------|-----------------|------------|-------------|----------|
| TAA | 8048-04 | TAA JKBD-J-2 | N | | Final: RWA | 29-Jul-04 | 16-Jul-0 |
| DSP74 | 740000025 | JDS_DSP-74_L03 | N | | In Review | 05-Jun-06 | 05-Jun-1 |
| DSP74 | 740000024 | JDS_DSP-74_L02 | N | | In Review | 05-Jun-06 | 05-Jun-1 |
| DSP74 | 740000023 | JDS_DSP-74_L01 | N | | In Review | 05-Jun-06 | 05-Jun-1 |
| DSP74 | 740000022 | JDS_DSP-74_L03 | N | | In Review | 05-Jun-06 | 05-Jun-1 |
| DSP74 | 740000021 | JDS_DSP-74_L02 | N | | In Review | 05-Jun-06 | 05-Jun-1 |
| DSP74 | 740000020 | JDS_DSP-74_L01 | N | | In Review | 05-Jun-06 | 05-Jun-1 |
| DSP74 | 740000019 | JDS_DSP-74_L03 | N | | In Review | 05-Jun-06 | 02-Jun-1 |
| DSP74 | 740000018 | JDS_DSP-74_L02 | N | | In Review | 05-Jun-06 | 02-Jun-1 |
| DSP74 | 740000017 | JDS_DSP-74_L01 | N | | In Review | 05-Jun-06 | 02-Jun-1 |
| DSP74 | 740000016 | JDS_DSP-74_L02 | N | | In Review | 05-Jun-06 | 02-Jun-1 |
| DSP74 | 740000015 | JDS_DSP-74_L03 | N | | In Review | 05-Jun-06 | 02-Jun-1 |

Figure 164. Track Status Screen

Step 2.

Find the case in which additional documentation needs to be submitted and click on the case number hyperlink in the “Case #” column. The case detail screen will be displayed as shown below in Figure 165.

NOTE: You will not be able to submit additional documentation if the case you selected has a status of Review Pending, Rejected, Final: Approved, Final: Approved with Provisos, Final: Denied, or Final: RWA.



Figure 165. Detailed Status Screen

Step 3.

Notice that there are two sections dealing with additional documentation. The first is a table showing the additional documents that have already been submitted for this case. The second section is a button that will allow uploading of additional documentation. When you click the 'Upload Additional Documentation' button, a screen to attach a file and provide comments is displayed (see Figure 166).

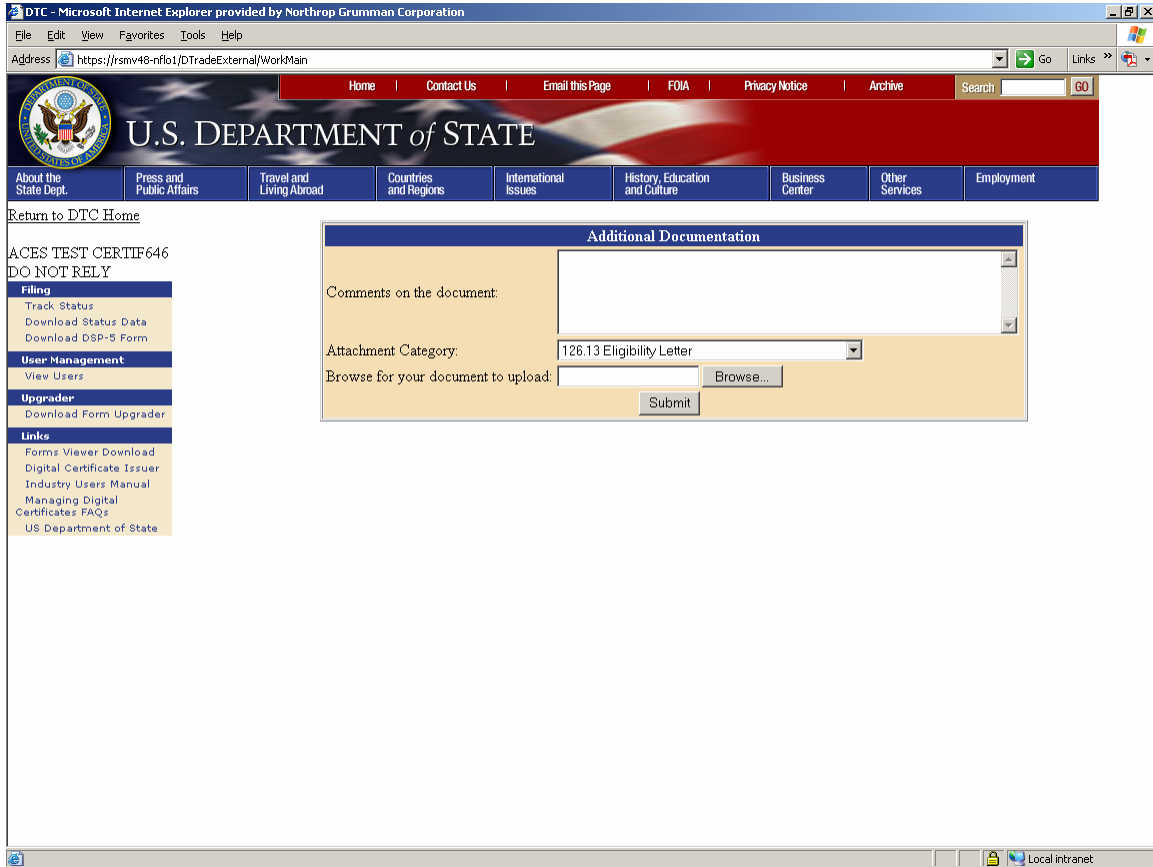


Figure 166. Submitting Additional Documentation Screen

Step 4.

Enter Comments about the document that will be submitted. Identify the attachment category for the document to be submitted. The attachment category are the same ones available for the specific form type as listed in the optional documents section of the electronic form (see Table 4 for a listing).

You can type in the file name and path in which the file is located into the 'Browse for your documents to upload' field. Or click on the 'Browse' button to locate the file you wish to upload. The 'Choose File' screen will be displayed (see Figure 167). Find the file and enter the file name into the 'File name' field. Select 'Open'. The file name and path is automatically filled into the 'Browse for your documents to upload' field as seen in Figure 168 in Step 5.

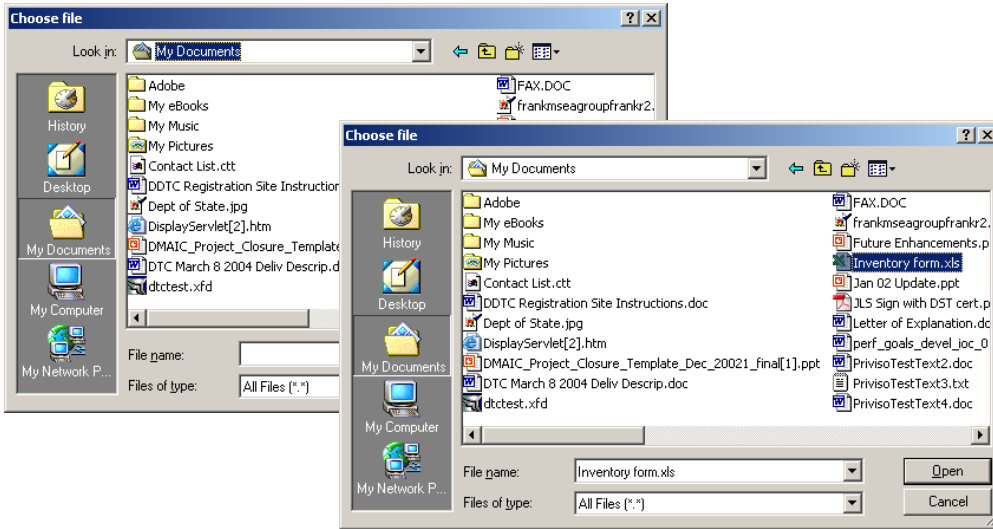


Figure 167. Browse for File

Step 5.

After the file has been identified and attached, click on the 'Submit' button to submit the additional documentation and associated comment (see Figure 168).

NOTE: There is no limit to the number of documents that may be uploaded for a case. However, only one document can be submitted at a time.

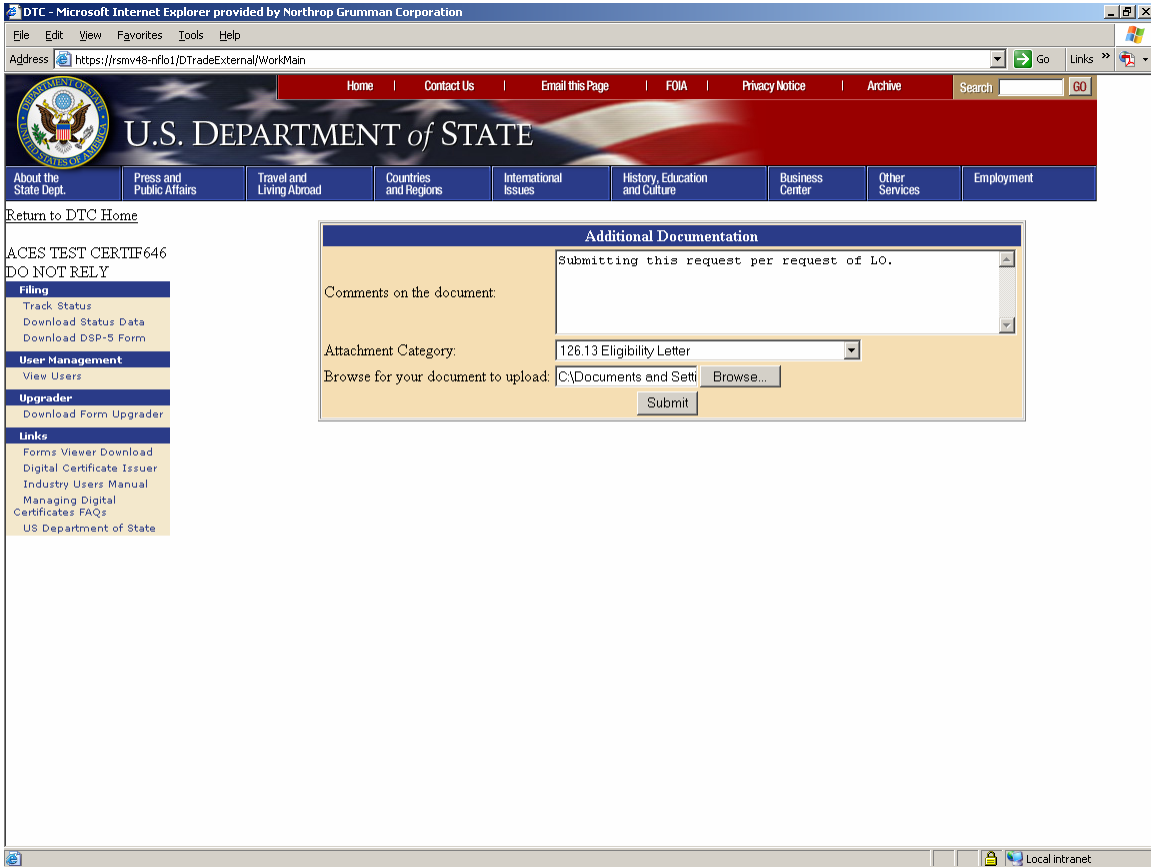


Figure 168. Submitting Additional Documentation Screen With Attached File

Step 6a.

If no file is attached, you will receive the error as shown in Figure 169. Click on OK, and return to Step 4 to identify the file to upload.



Figure 169. Error Received if No Additional Document File is Attached

Step 6b.

If a file has been attached, the case review screen will then be displayed, with the document that was just submitted listed (see Figure 170).

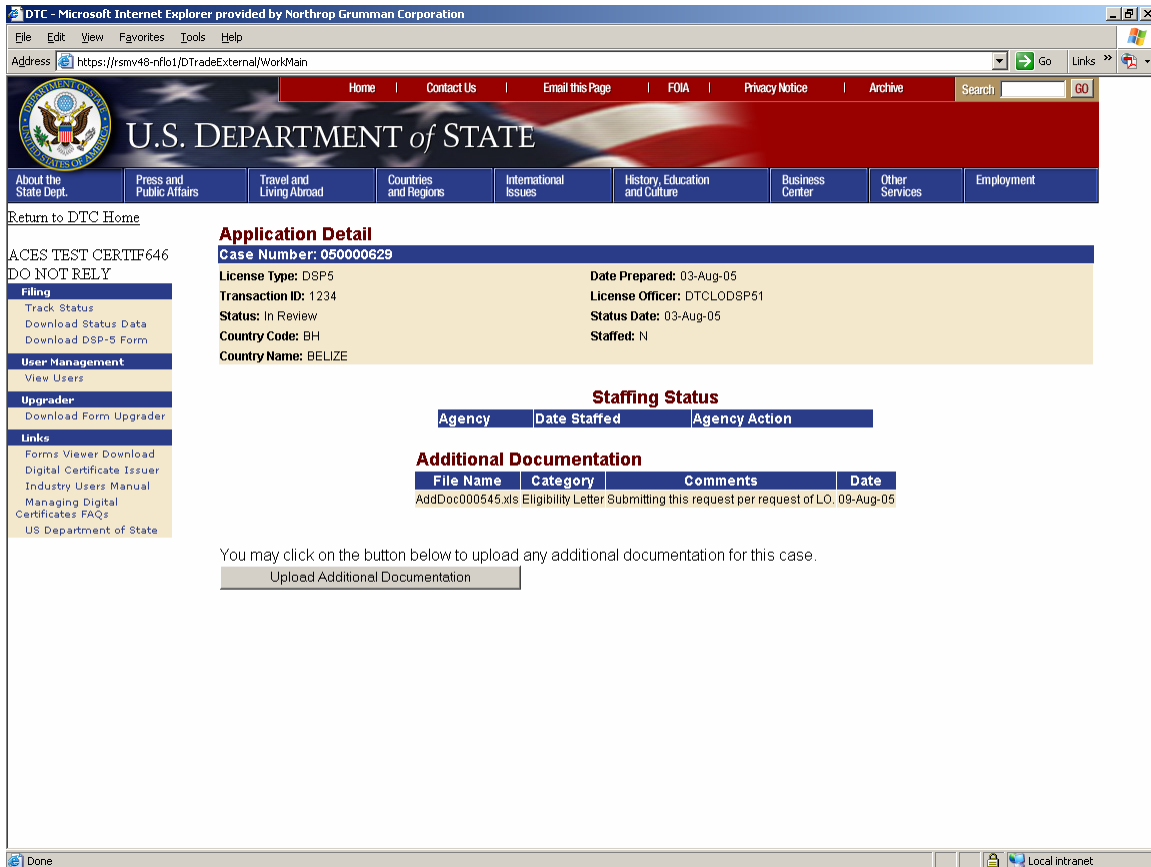


Figure 170. Additional Documentation Uploaded

RETRIEVING CASES WITH FINAL DECISIONS

Once the Department of State has completed application review and made a final decision on the case, the case and final decision letter can be retrieved electronically. An electronic version of the case with a final decision of approved, approved with provisos, denied or returned without action (RWA) will be made available on D-Trade for downloading. Also contained in the downloadable file is the associated decision letter and applicable provisos.

Electronic cases with final decisions can be retrieved electronically for up to 10 business days after the final decision was rendered (the status date that is shown via the Track Status function). Once the final decision is available for download, it can be retrieved as often as you wish within that 10 business day period. If after 10 business days, you have not retrieved your case with final decision, please submit an email to dtradehelpdesk@state.gov, and request that your case be put back on the server for retrieval. You must provide:

- Your Company Name,
- Point of Contact Name,

- Point of Contact Phone Number, and Case Number(s).

The electronically issued case(s) will be available for retrieval within 2 business days. Once made available again, you have another 10 business days to retrieve it electronically.

Case with Final Decision Retrieval Process

NOTE: The person who retrieves the electronically issued case must have

- **An ACES digital certificate and;**
- **The track status role.**
- **Adobe® Acrobat Reader installed on their computer.**

Step 1.

Click on the ‘Track Status’ option in the D-Trade application. A listing of cases submitted to D-Trade is displayed as shown in Figure 171.

| Type | Case # | Trans. ID | Staff | License Officer | Status | Status Date | Date Prepared | License Value | |
|-----------|--------------|------------------|-------|-----------------|----------------------|-------------|---------------|---------------|-------|
| Undefined | UNDF00000043 | | N | | | | 29-Sep-05 | | |
| Undefined | UNDF00000041 | | N | | | | 25-Aug-05 | | |
| Undefined | UNDF00000040 | | N | | | | 03-Aug-05 | | |
| Undefined | UNDF00000039 | | N | | | | 28-Jul-05 | | |
| Undefined | UNDF00000038 | | N | | | | 28-Jul-05 | | |
| DSP5 | 050001382 | GOOOOOD MORNING | Y | DTCLDSP53 | Final: Suspended | 30-Sep-05 | 30-Sep-05 | 60198138 | BT,DM |
| DSP5 | 050001381 | DSP5SubmissionID | N | | Rejected | 30-Sep-05 | 30-Sep-05 | | |
| DSP5 | 050001380 | DSP5SubmissionID | N | | Rejected | 29-Sep-05 | 29-Sep-05 | | |
| DSP5 | 050001379 | DSP5SubmissionID | N | DTCLDSP51 | Final: Approved | 29-Sep-05 | 29-Sep-05 | 10100 | BH |
| DSP5 | 050001378 | DSP5SubmissionID | N | DTCLDSP51 | Final: Denied | 29-Sep-05 | 29-Sep-05 | 10100 | BH |
| DSP5 | 050001377 | DSP5SubmissionID | N | | Rejected | 29-Sep-05 | 29-Sep-05 | | |
| DSP5 | 050001376 | DSP5SubmissionID | N | | Rejected | 29-Sep-05 | 29-Sep-05 | | |
| DSP5 | 050001375 | DSP5SubmissionID | N | | Rejected | 29-Sep-05 | 29-Sep-05 | | |
| DSP5 | 050001374 | DSP5SubmissionID | N | | Rejected | 29-Sep-05 | 29-Sep-05 | | |
| DSP5 | 050001372 | DSP5SubmissionID | N | | Rejected | 29-Sep-05 | 29-Sep-05 | | |
| DSP5 | 050001371 | DSP5SubmissionID | N | | Rejected | 29-Sep-05 | 29-Sep-05 | | |
| DSP5 | 050001370 | DSP5SubmissionID | N | DTCLDSP51 | Final: RWA | 29-Sep-05 | 29-Sep-05 | 10100 | BH |
| DSP5 | 050001369 | DSP5SubmissionID | N | DTCLDSP51 | Final: Appr. w/Prov. | 29-Sep-05 | 29-Sep-05 | 10100 | BH |
| DSP5 | 050001368 | DSP5SubmissionID | N | | In Review | 29-Sep-05 | 29-Sep-05 | 10100 | BH |

Figure 171. Track Status

Step 2.

Locate the case with a final decision of either Final:Approved, Final:Deny, Final:Appr. w Provisos or Final:RWA. Click on the case number. The detailed status information is displayed as in Figure 172.

The screenshot shows a web browser window displaying the U.S. Department of State's DTC (Digital Certificate Tool) interface. The page title is "DTC - Microsoft Internet Explorer provided by Northrop Grumman Corporation". The address bar shows the URL: https://rsmv48-nflo1/DTradeExternal/WorkMain. The page features a navigation menu with links like Home, Contact Us, Email this Page, FOIA, Privacy Notice, Archive, and Search. Below the navigation is a header for the U.S. Department of State with various menu items like About the State Dept., Press and Public Affairs, Travel and Living Abroad, etc.

The main content area is titled "Application Detail" and displays the following information:

- Case Number:** 050000628
- License Type:** DSP5
- Transaction ID:** 25280
- Status:** Final: Approved
- Country Code:** AM,DM
- Country Name:** ARMENIA,BENIN
- Date Prepared:** 03-Aug-05
- License Officer:** DTCLDSP51
- Status Date:** 03-Aug-05
- Staffed:** Y

Below the application details, there is a section titled "Electronic Case with Final Decision" with the instruction: "Click on the case number to the right to download the electronic case with final decision and letter: [050000628.pdf](#)".

There is also a "Staffing Status" table:

| Agency | Date Staffed | Agency Action |
|---------------|--------------|---------------|
| DTSAVLD (DOD) | 03-Aug-05 | 03-Aug-05 |
| COMMERCE | 03-Aug-05 | 03-Aug-05 |

At the bottom, there is an "Additional Documentation" section with a table:

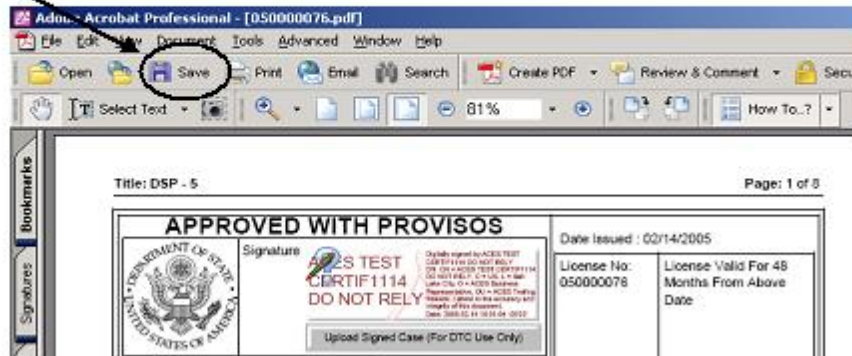
| File Name | Category | Comments | Date |
|-----------|----------|----------|------|
|-----------|----------|----------|------|

Figure 172. Case Electronically Issued and Available for Download

Step 3.

Go to the section entitled "Electronic Case with Final Decision". If the case is available for download, the message "Click on the case number to the right to download the electronic case with final decision and letter: <casenumber>.pdf" will be displayed. Click on <casenumber>.pdf link to display the electronically issued case with the final decision and associated letter, if applicable as shown in Figure 173.

Click to Save



Electronically Issued Case

If the case is no longer available, the message will be displayed as shown in **Error! Reference source not found.** Follow the instructions in the message to have the electronic version of the case and decision letter made available for downloading again.

Application Detail

Case Number: 050000645

License Type: DSP5 **Date Prepared:** 12-Aug-05

Transaction ID: 1234 **License Officer:** DTCL0DSP51

Status: In Review **Status Date:** 16-Aug-05

Country Code: BD **Staffed:** Y

Country Name: BERMUDA

Staffing Status

| Agency | Date Staffed | Agency Action |
|----------|--------------|---------------|
| COMMERCE | 16-Aug-05 | 16-Aug-05 |
| ENERGY | 16-Aug-05 | 16-Aug-05 |

Additional Documentation

| File Name | Category | Comments | Date |
|------------------|--------------------|--------------------|-----------|
| AddDoc000603.xls | Eligibility Letter | | 06-Oct-05 |
| AddDoc000604.xls | DSP-83 Attachments | Enter Comment Here | 06-Oct-05 |

You may click on the button below to upload any additional documentation for this case.

Figure 173. Case Electronically Issued and No Longer Available for Download

Step 4.

If the case and decision letter is available for downloading, you **MUST SAVE** the case with the final decision and decision letter **TO YOUR LOCAL FILE SYSTEM** by clicking on the Adobe® Acrobat Reader Save icon (see **Error! Reference source not found.**).

Click to Save

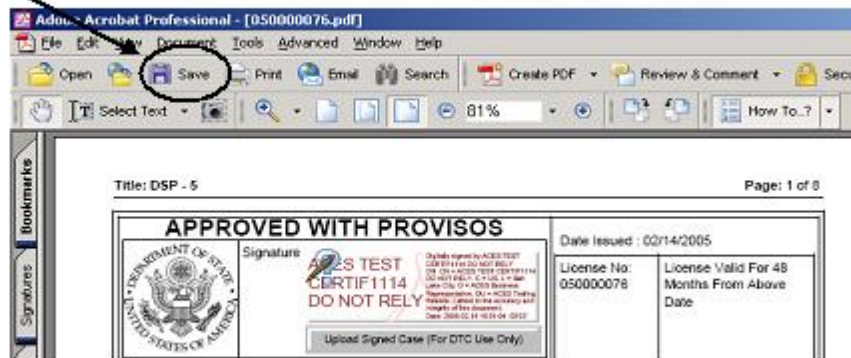


Figure 11-5 Saving Electronically Issued Case

You can print out the case with the final decision and associated letter by clicking on the Adobe® Acrobat Reader Print icon (see Figure 174).

Click to Print

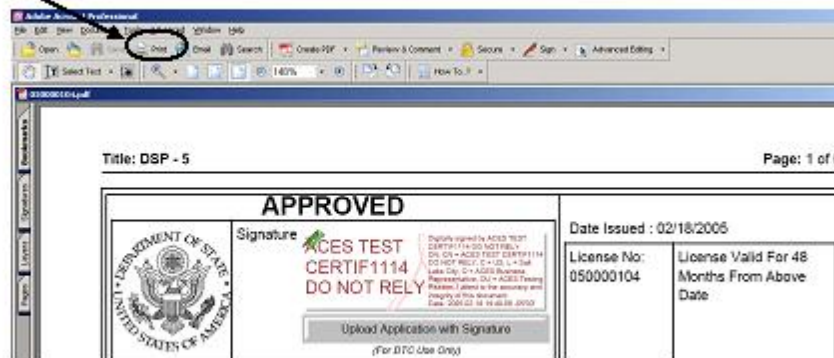


Figure 174. Printing Electronically Issued Case

GETTING HELP

On-line Help

The electronic forms provide on-line help to assist the user in completing the document. To invoke the Help function, select the Help icon as illustrated in Figure 175. This puts the program in 'Help mode'. Field specific help is viewed by moving the cursor over any specific field as shown in Figure 176. The 'Help mode' is exited by selecting the Help icon again.

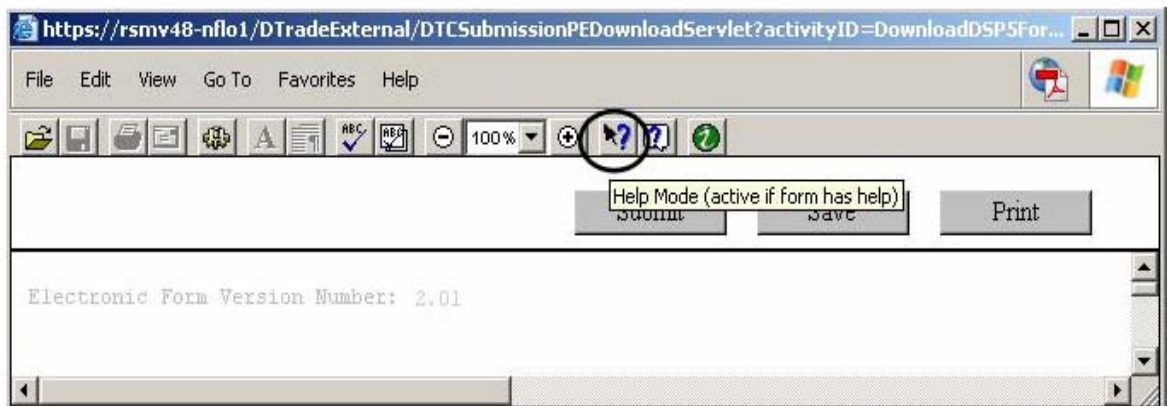


Figure 175. Turning On On-Line Help

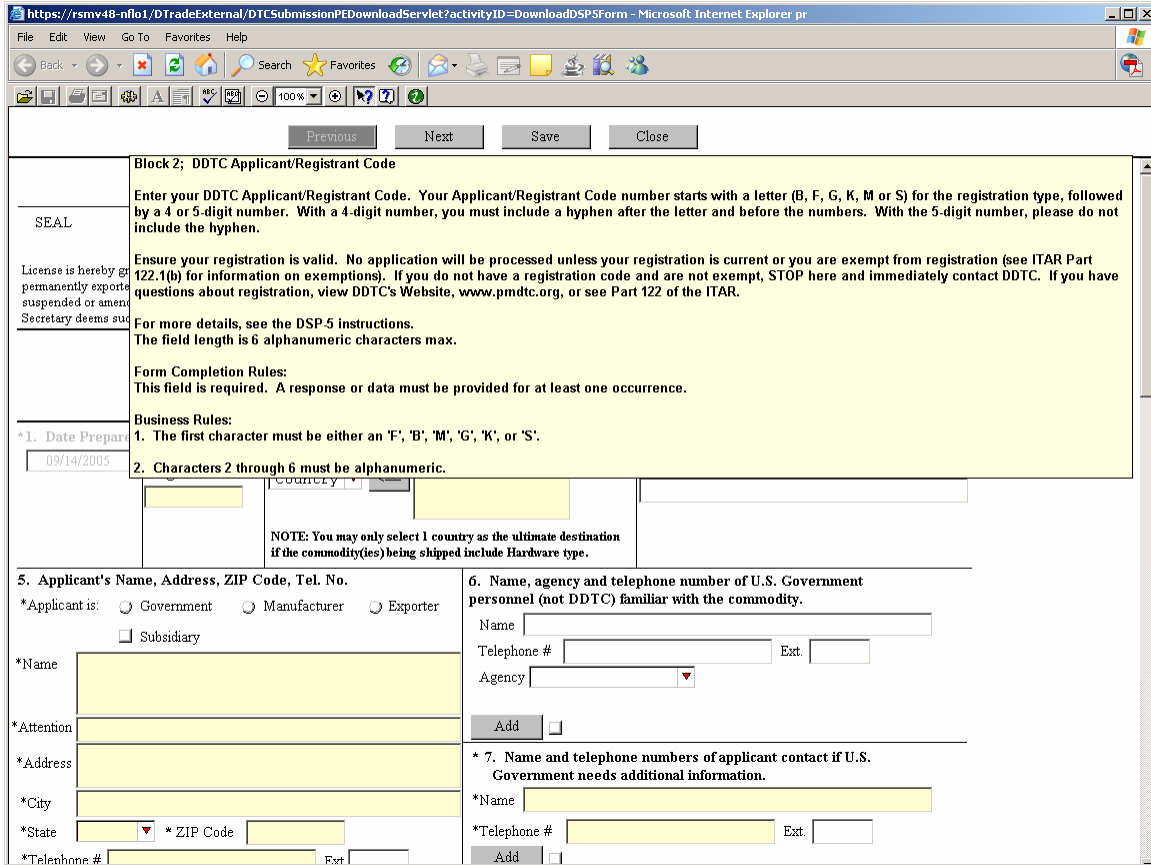


Figure 176. Field Specific On-Line Help
Digital Certificate Issuers Customer Support

Questions regarding how to obtain or store your ACES Digital Certificate should be directed to your certificate provider.

Digital Signature Trust (IdenTrust) Customer Support

Questions regarding how to obtain your ACES Digital Certificate from IdenTrust or store your ACES Digital Certificate obtained from IdenTrust should be directed to IdenTrust Customer Support at 888-339-8904 or HelpDesk@identrust.com.

D-Trade System Help Desk

If you have questions regarding the D-Trade System not addressed in this manual or on-line help, you can contact the D-Trade System Help Desk at (202) 663-2838 Monday – Friday from 9:00 am – 5:00 pm Eastern Time.

ATTACHMENT A

D-TRADE SUBMISSION STATUS

WEB SERVICE SCHEMA


```

<!-- submissionstatus.wsdl -->
<?xml version="1.0"?>

<!-- root element wsdl:definitions defines set of related services -->
<wsdl:definitions name="SubmissionStatusService"
targetNamespace="http://www.state.gov/export/submissionstatus.wsdl"
xmlns:exp="http://www.state.gov/export/submissionstatus.wsdl"
xmlns:soap="http://schemas.xmlsoap.org/wsdl/soap/" xmlns:wsdl="http://schemas.xmlsoap.org/wsdl/">

    <types>

        <element name="SubmissionStatus" type="exp:SubmissionStatusType"/>
        <element name="BatchCriteria" type="exp:BatchCriteriaType"/>
        <element name="FormCriteria" type="exp:FormCriteriaType"/>
        <element name="SubmissionDate" type="exp:SubmissionDateType"/>
        <element name="Error" type="exp:ErrorType"/>

        <!-- complex types -->

        <complexType name = "SubmissionStatusType">
            <sequence>
                <element name="customerID" type="exp:customerIDType" minOccurs="0"/>
                <element name="caseNumber" type="exp:receiptIDType" minOccurs="0"/>
                <element name="formType" type="exp:formType" minOccurs="0"/>
                <element name="status" type="exp:statusType" minOccurs="0"/>
                <element name="staffed" type="exp:staffedType" minOccurs="0"/>
                <element name="submittedOn" type="exp:submittedOnType" minOccurs="0"/>
                <element name="submittedBy" type="exp:submittedByType" minOccurs="0"/>
                <element name="batchSubmission" type="exp:batchSubmissionType" minOccurs="0"/>
                <element name="batchReceiptID" type="exp:receiptIDType" minOccurs="0"/>
                <element name="lastModified" type="exp:lastModifiedType" minOccurs="0"/>
            </sequence>
        </complexType>

        <complexType name = "BatchCriteriaType">
            <sequence>
                <element name="customerID" type="exp:customerIDType" minOccurs="0" maxOccurs="1"/>
                <element name="receiptID" type="exp:receiptIDType" minOccurs="0" maxOccurs="1"/>
            </sequence>
        </complexType>
    </types>

```

```

        </sequence>
    </complexType>

    <complexType name = "FormCriteriaType">
        <sequence>
            <element name="customerID" type="exp:customerIDType" minOccurs="0" maxOccurs="1"/>
            <element name="caseNumber" type="exp:caseNumberType" minOccurs="0" maxOccurs="1"/>
        </sequence>
    </complexType>

    <complexType name = "SubmissionDateType">
        <sequence>
            <element name="fromDate" type="exp:fromDateType" minOccurs="0" maxOccurs="1"/>
            <element name="toDate" type="exp:toDateType" minOccurs="0" maxOccurs="1"/>
        </sequence>
    </complexType>

    <complexType name = "ErrorType">
        <sequence>
            <element name="Description" type="exp:descriptionType" minOccurs="1"/>
        </sequence>
    </complexType>

    <!-- primitive types -->

    <simpleType name="customerIDType">
        <restriction base="string"/>
    </simpleType>
    <simpleType name="receiptIDType">
        <restriction base="string"/>
    </simpleType>
    <simpleType name="caseNumberType">
        <restriction base="string"/>
    </simpleType>
    <simpleType name="formType">
        <restriction base="string"/>
    </simpleType>
    <simpleType name="statusType">

```

```

        <restriction base="string"/>
    </simpleType>
    <simpleType name="staffedType">
        <restriction base="boolean"/>
    </simpleType>
    <simpleType name="submittedOnType">
        <restriction base="string"/>
    </simpleType>
    <simpleType name="submittedByType">
        <restriction base="string"/>
    </simpleType>
    <simpleType name="batchSubmissionType">
        <restriction base="boolean"/>
    </simpleType>
    <simpleType name="lastModifiedType">
        <restriction base="date"/>
    </simpleType>
    <simpleType name="fromDateType">
        <restriction base="date">
            <pattern value="([0-1][0-9]\-[0-3][0-9]\-[0-9][0-9][0-9][0-9])"/>
        </restriction>
    </simpleType>
    <simpleType name="toDateType">
        <restriction base="date">
            <pattern value="([0-1][0-9]\-[0-3][0-9]\-[0-9][0-9][0-9][0-9])"/>
        </restriction>
    </simpleType>
    <simpleType name="descriptionType">
        <restriction base="string"/>
    </simpleType>
</types>

<message name="GetSubmissionStatusRequest">
    <part name="BatchCriteria" type="exp:BatchCriteria" minOccurs="0"/>
    <part name="FormCriteria" type="exp:FormCriteria" minOccurs="0"/>
    <part name="SubmissionDate" type="exp:SubmissionDate" minOccurs="0"/>
</message>

```

```

<message name="GetSubmissionStatusResponse">
  <part name="SubmissionStatus" type="exp:SubmissionStatus" minOccurs="0"/>
  <part name="Error" type="exp:Error" minOccurs="0"/>
</message>

<portType name="SubmissionStatusPortType">
  <operation name="GetSubmissionStatus">
    <input message="exp:GetSubmissionStatusRequest"/>
    <output message="exp:GetSubmissionStatusResponse"/>
  </operation>
</portType>

<binding name="SubmissionStatusTestBinding" type="exp:SubmissionStatusPortType" >
  <soap:binding style="document" transport="http://schemas.xmlsoap.org/soap/http" />
  <operation>
    <soap:operation soapAction="https://test.pmddtc.state.gov/DTC/SubmissionStatus"/>
    <input>
      <soap:body use="literal"/>
    </input>
    <output>
      <soap:body use="literal"/>
    </output>
  </operation>
</binding>

<binding name="SubmissionStatusProductionBinding" type="exp:SubmissionStatusPortType" >
  <soap:binding style="document" transport="http://schemas.xmlsoap.org/soap/http" />
  <operation>
    <soap:operation soapAction="https://dtrade.pmddtc.state.gov/DTC/SubmissionStatus"/>
    <input>
      <soap:body use="literal"/>
    </input>
    <output>
      <soap:body use="literal"/>
    </output>
  </operation>

```

```
</binding>
```

```
<service name="SubmissionStatusService">
```

```
  <documentation>Submission Status Web Service</documentation>
```

```
  <port name="SubmissionStatusTestPort" binding="exp:SubmissionStatusTestBinding">
```

```
    <soap:address location="https://test.pmdtct.state.gov/DTC/SubmissionStatusLogin"/>
```

```
  </port>
```

```
  <port name="SubmissionStatusProductionPort" binding="exp:SubmissionStatusProductionBinding">
```

```
    <soap:address location="https://dtrade.pmdtct.state.gov/DTC/SubmissionStatusLogin"/>
```

```
  </port>
```

```
</service>
```

```
</wsdl:definitions>
```

ATTACHMENT B

**D-TRADE SUBMISSION STATUS
WEB SERVICE REQUEST AND
RESPONSE SAMPLE**

Sample Submission Status Request:

POST /SubmissionStatus HTTP/1.1

Host: www.test.pmdtc.org/DTC

Content-Type: application/soap+xml; charset=utf-8

Content-Length: nnn

<?xml version="1.0"?>

<SOAP-ENV:Envelope xmlns:SOAP-ENV="http://schemas.xmlsoap.org/soap/envelope/">

<SOAP-ENV:Body>

<exp:GetSubmissionStatusRequest
xmlns:exp="http://www.state.gov/export/submissionstatus.wsdl">

<exp:BatchCriteria>

<exp:receiptID>Batch00001238</exp:receiptID>

</exp:BatchCriteria>

<exp:FormCriteria>

<exp:caseNumber>050000627</exp:caseNumber>

<exp:customerID>DSP5SubmissionID</exp:customerID>

</exp:FormCriteria>

<exp:SubmissionDate>

<exp:fromDate>08-01-2005</exp:fromDate>

<exp:toDate>08-02-2005</exp:toDate>

</exp:SubmissionDate>

</exp:GetSubmissionStatusRequest>

</SOAP-ENV:Body>

</SOAP-ENV:Envelope>

Sample Submission Status Response:

HTTP/1.1 200 OK

Content-Type: application/soap; charset=utf-8

Content-Length: nnn

<?xml version="1.0"?>

<SOAP-ENV:Envelope xmlns:SOAP-ENV="http://schemas.xmlsoap.org/soap/envelope/">

<SOAP-ENV:Body>

<exp:GetSubmissionStatusResponse

xmlns:exp="http://www.state.gov/export/submissionstatus.wsdl">

<SubmissionStatus>

<exp:customerID/>

<exp:caseNumber>050000616</exp:caseNumber>

<exp:formType>DSP5</exp:formType>

<exp:status>Rejected</exp:status>

<exp:staffed>False</exp:staffed>

<exp:submittedOn>08-02-2005</exp:submittedOn>

RELY</exp:submittedBy>

<exp:batchSubmission>True</exp:batchSubmission>

<exp:batchReceiptID>Batch00001238</exp:batchReceiptID>

<exp:lastModified>08-02-2005</exp:lastModified>

</SubmissionStatus>

<SubmissionStatus>

<exp:customerID>234</exp:customerID>

<exp:caseNumber>050000610</exp:caseNumber>

<exp:formType>DSP5</exp:formType>

<exp:status>In Review</exp:status>

<exp:staffed>False</exp:staffed>

<exp:submittedOn>08-01-2005</exp:submittedOn>

RELY</exp:submittedBy>

<exp:batchSubmission>False</exp:batchSubmission>

<exp:batchReceiptID/>

<exp:lastModified>08-01-2005</exp:lastModified>

</SubmissionStatus>

<SubmissionStatus>

<exp:customerID>12802</exp:customerID>

<exp:caseNumber>050000611</exp:caseNumber>

<exp:formType>DSP5</exp:formType>

<exp:status>In Review</exp:status>

<exp:staffed>True</exp:staffed>


```

    <exp:submittedOn>08-01-2005</exp:submittedOn>
    <exp:submittedBy>ACES      TEST      CERTIF646      DO      NOT
RELY</exp:submittedBy>

    <exp:batchSubmission>False</exp:batchSubmission>
    <exp:batchReceiptID/>
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