

## Foreign Brokers Not Owned or Controlled by U.S. Persons

Foreign persons located outside of the United States that are not owned or controlled by U.S. Persons are no longer required to register with DDTTC effective October 25, 2013. However, such foreign brokers should submit a certification and final broker report for activity not already reported (e.g., from January 1, 2013 through October 24, 2013) by December 31, 2013:

1. Prepared on the Registrant's letterhead.
2. Copied verbatim as written below except for the sections in parentheses and italicized. In those sections, include specific information. (See sample letter below).
3. Signed by an authorized senior officer listed in block 7 of the DS-2032 form.
4. Prepared using the same business legal name as that is the U.S. or Foreign equivalent Government or State (endorsed or issued) documentation supporting legal name and organizational type of the registrant (e.g. articles of organization, articles of incorporation, State Incorporation Certificate).
5. Include a copy of company's annual brokering activity report enumerating and describing its brokering activities by quantity, type, U.S. dollar value, and purchaser(s) and recipient(s), license(s) numbers for approved activities and any exemptions utilized for other covered activities in accordance with ITAR section 129.9.
6. Addressed to the current Director of the Office of Defense Trade Controls Compliance, in hard copy at one of the following addresses:

### **Registered Mail or Express Mail (such as FEDEX, DHL, UPS, etc.) Delivery**

*(Express mail is recommended for tracking and faster delivery)*

U.S. Department of State  
Directorate of Defense Trade Controls  
Compliance and Registration Division  
2401 E Street NW, SA-1, Room H1200  
Washington, DC 20037

*Note:* Due to screening procedures at the Department of State, at this time only UPS and FEDEX are able to deliver directly to the courier service address 20037 zip code. While other service providers may be used, please allow up to an additional two weeks for actual delivery to the Office of Defense Trade Controls Compliance, Compliance and Registration Division.

### **Regular Mail Delivery (U.S. Postal Service)**

U.S. Department of State  
Directorate of Defense Trade Controls  
Compliance and Registration Division  
2401 E Street NW, SA-1, Room H1200  
Washington, DC 20522

Dear *(insert name of current Director of the Office of Defense Trade Controls Compliance)*:

Subject: *(Insert company name)* is No Longer Registering with DDTC under ITAR Part 129

**Broker Registration Code:**     K-            **Expiration Date:**        *(MM/DD/YYYY)*

“Based on the new U.S. broker regulations promulgated in ITAR Part 129, effective October 25, 2013, *(insert company name)* will no longer be registering with DDTC. *(insert company name)* is a foreign person in accordance with ITAR §120.16, and *(insert company name)* is not owned or controlled by U.S. persons pursuant to ITAR §120.15. Please see attached our final broker report.

**Under penalty according to Federal Law (22 C.F.R. 127.2, 22 U.S.C. 2778, 18 USC 1001), I *(insert name of person signing letter)*, as a senior officer, authorized by *(name of registered entity)*, warrant the truth of the statements herein and all appendices and attachments thereto.”**

Respectfully,

*(Signature, in ink, of Senior Officer as their name appears in block 7 of the DS-2032 form)*

*(Print Full Name)*

*(Insert Official Title)*