DTrade Frequently Asked Questions (FAQs)

BASIC USE

Q: I'm new to DTrade. Where can I find information on how to start using DTrade?

A: The DTrade Information Center page. The DTrade Information Center page is a great reference tool for all things DTrade such as system access and availability, maintenance related information, IT deployments, forms, and these FAQs.

Q: Do I need to mail copies of my DSP application that I electronically submit via DTrade?

A: No, DTrade is a fully electronic licensing system.

Q: Does DTrade work with Firefox, Safari or Chrome web browsers?

A: No. DTrade only supports Internet Explorer (IE) browser versions 6, 7, 8, and 9. Mozilla Firefox, Apple Safari, and Google Chrome are not supported.

Q: Do I need to register with DTrade when I'm already registered with DDTC?

A: Yes. Registering with DTrade allows users to submit, sign, and track the status of license applications; as well as retrieve adjudicated licenses.

Q: I'm trying to register with DTrade and see multiple entries of my company's name. Which one do I select?

A: If duplicate or multiple variations exist for your parent organization, **STOP** and contact the DTrade Help Desk at 202-663-2838 or via email at DTradeHelpDesk@state.gov. Provide the Help Desk personnel with the organization registration code for assistance in determining the correct selection. This step of the registration process is essential because it connects users to the correct organization to ensure access to the correct license applications and authorizations.

Q: What are the user types and their functions within DTrade?

A: There are two types of users in DTrade:

> Super User - An individual assigned to administer user roles for all company users. At least one Super User must be designated by an organization. Super Users must be a **direct employee** of the organization.

> User – An individual assigned one or more user roles by the company super user(s) to perform their assigned tasks.

Q: Please define the user roles within DTrade.

A: There are three user roles within DTrade:

> Industry Submitter - Allows a user to electronically submit DTrade license applications and upload additional documentation.

> Industry Status Retriever - Allows a user to track the status of electronically submitted applications and download signed licenses. (This does not automatically include ability to upload additional documentation.)

Industry Signature Authority - Allows a user to electronically sign a license application.

Q: I'm responsible for submitting and tracking applications for my company. What do I need to do?

A: You must be assigned the DTrade Industry Submitter and Industry Status Retriever roles by your company's super user.

Q: Why was my application rejected due to a signature error?

A: Cases rejected due to signature errors indicates the individual that signed the application does not have the Industry Signature Authority role assigned to their digital certificate. Once the company super user assigns the Industry Signature Authority role, the application must be resigned and resubmitted.

Q: How do I log out of DTrade? I don't see a log out option.

A: There isn't a log out option for DTrade. To end your session in DTrade, close the browser by pressing the "X" in the upper right hand corner of the window or by selecting File from the browser menu bar and then select Close.

FORM COMPLETION, SUBMISSION, AND FOLLOW UP

Q: I've tried to download the DSP forms but cannot view the forms. Why?

A: You must first download and install the IBM Forms Viewer. The IBM Forms Viewer (v8.0.1) is the only forms viewer compatible with DTrade DSP forms. The IBM Viewer is required to access, view, and use the DTrade DSP forms. Other form viewers (e.g., PureEdge and Lotus) must be uninstalled before beginning the installation process of the new forms viewer. The new IBM Forms Viewer (v8.0.1) can be downloaded from the DTrade Application page or the DTrade Information Center page.

Q: What are the acceptable file formats for attachments?

A: While DTrade will accept most file formats, searchable .PDF files are recommended. Searchable .PDF documents assist in expedite processing when staffed to outside agencies. Note: DDTC does not accept executable (.exe) files, zip files, or hyperlinks.

Q: How do I attach supporting documentation?

A: In order to electronically attach supporting documentation, the documentation must be scanned or available electronically in an acceptable file format (see above).

To attach supporting documentation to the DSP form you will submit:
   a. Click once on the document category in either Required Documents or Optional Documents
   b. Click on Open Document
   c. Select Add Attachments
   d. Click Attach
   e. Locate the desired document(s)
   f. Click Open
   g. Repeat steps d, e, and f for each document you wish to attach
   h. Click Done

     i.   Click the Close button

     j.   Be sure to perform a Save function after attaching each document.

Q: Can I submit requested information as an attachment and enter "See Attachment" or "See Continuation Sheet" in the DSP form field?

A: No. Information specifically requested on the form must be directly entered on the form. The form has the capability to accept additional information by selecting the Add button in the qualifying blocks.

Q: Why am I not able to insert the requested information in the Applicant Statement box in the DTrade DSP forms?

A: Whereas the cursor will be active in the applicant statement section, users will not be able to insert the name of the empowered official. Once the application is digitally signed, the empowered official's name will automatically be inserted.

Q: How do I electronically sign an application?

A: A user must have a valid ACES digital certificate and the Industry Signature Authority role in order to electronically sign a D-Trade application. The Industry Signature Authority role is assigned by the company Super User.

To electronically sign an application:

On the signature page:
    a.   Select the Signature button (press only once, it may take a moment for the next dialogue box to appear);
    b.   Within the Signature box, press Sign;
    c.   If you have a password on your digital certificate, enter the password when prompted;
    d.   Within the Signature is Valid window, press OK;
    e.   You have digitally signed your application.

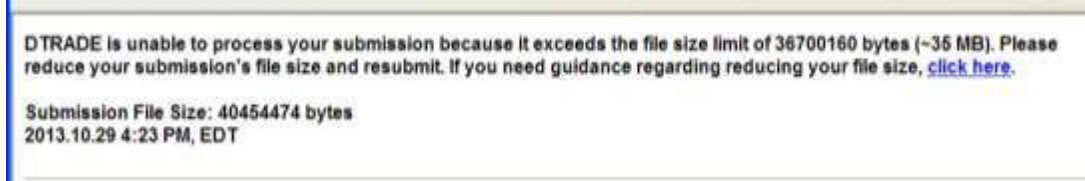**Q: Why is the Submit button inactive on the form?**

A: All applications must be signed and saved locally on your system prior to submission. The SUBMIT button will be inactive if you have invalid or incomplete items on your form.   To determine if there are invalid or incomplete entries on your form, select the "Validate Form" button at the top of the signature page. The Validate Form feature display a list of errors (if any) preventing you from submitting the application. This feature may be used as often as necessary to ensure all of the form requirements have been met.

Q: Why do I get an error message "404 – File or directory not found" when I try to submit my request?

A: The size of a submission, including attachments, is limited to 35MB. Submissions that are larger than 35MB will be rejected. One of the follow error messages will be displayed:

1)   "DTrade is unable to process your submission because it exceeds the file size limit of 36700160 (~35MB). Please reduce your submission's file size and resubmit. If you need guidance

regarding reducing your file size, click here."

DTRADE is unable to process your submission because it exceeds the file size limit of 36700160 bytes (~35 MB). Please reduce your submission's file size and resubmit. If you need guidance regarding reducing your file size, click here.

Submission File Size: 40454474 bytes
2013.10.29 4:23 PM, EDT

Or

2) 404 - File or directory not found.

Server Error

404 - File or directory not found.
The resource you are looking for might have been removed, had its name changed, or is temporarily unavailable.

Regardless of the message, reduce the size of the files attached and ensure the attachments do not exceed the 35MB limit. For more information on how to avoid large submissions, click here.

Q: How do I track the status of cases submitted?

A: A user must be assigned the Industry Status Retriever role in order to track the status of license applications. To track the status, log in to D-Trade and select Track Status on the left side of your screen. If you do not have a Track Status link, check to ensure you have been assigned the Industry Status Retriever role by your company Super User. Once the Super User has assigned you the Industry Status Retriever role, the Track Status link will appear on your next log in to DTrade.

Q: Why does my case show a status of "Rejected", even though DTrade accepted my submission and I received a transaction number?

A: This occurs with users who have installed their digital certificate with "strong key protection" enabled. This is a known bug with the IBM Forms version 8.0.1 software. The form must be resubmitted following the below steps:

1. Locate and open the saved copy of the form;
2. Digitally sign the form;
3. Minimize all active windows, including the form you are working on until you see the *Request for Permission to Use a Key* window (see below).

4. Select the *Grant permission* option and enter your password (if required).
5. Click *OK*
6. Follow the normal procedures for saving and submitting your application.

Q: How do I resubmit an application that was returned without action?

A: Applications returned without action may be resubmitted without having to retype the original information. Open the saved file, click on the digital signature to remove it, and modify the data as necessary. Once the revisions are made, resign the application; save a new file and press submit. You will be issued a new DDTC case number for tracking. Note: If you are resubmitting a returned or rejected application within seven (7) days, you must change the Transaction Id Number on the cover page to avoid it being flagged as a duplicate submission.

Q: How do I add documents to an existing application under review in DTrade?

A: To upload additional documents to a case, log on to DTrade and select the applicable case via Track Status. When you click on the case number it will take you to the Application Detail page where you will see Additional Documentation and a button to upload additional documents as shown in the example below:
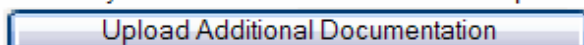
The below window will appear which will allow you to select the appropriate Attachment Category and browse your system for the desired documentation:

After you select the Attachment Category and attach the necessary document, click the Submit button to complete the document upload.

DIGITAL CERTIFICATES

Q: What is a digital certificate?

A: A digital certificate is an electronic means of establishing your credentials when doing business or other transactions on the web. It is issued by a certification authority (CA). The certificate contains your name, a serial number, expiration dates, a copy of the certificate holder's public key (used for encrypting and decrypting messages and digital signatures), and the digital signature of the certificate-issuing authority so that a recipient can verify that the certificate is real. For DTrade purposes, this allows you to access DTrade as well as sign, submit, retrieve, and track the status of DTrade licenses and applications.

Q: Who needs a digital certificate?

A: A digital certificate is required for anyone who will require access to DTrade. This includes individuals who will sign, submit, retrieve, and track the status of DTrade licenses and applications. Note: A digital certificate is not required to download and complete a DTrade application.

Q: Can a single digital certificate be shared amongst several company employees?

A: No. Digital certificates are for individual use only. A digital certificate electronically identifies the individual interacting with the application. Certificates may be revoked by the issuing authority if found to be used by anyone other than the individual to whom the certificate was issued.

Q: I'm being asked for a CryptoAPI Private Key. Please explain.

A: A Crypto Private Key is the password assigned to your digital certificate during installation. If your digital certificate is not password protected, you may simply press OK.

Q: How long does it take to receive the digital certificate once ordered?

A: Issuance of digital certificates is handled entirely by the issuing authority. Please contact your certificate vendor for processing and issuance guidelines.

Q: My digital certificate is corrupt. Can DDTC send me a copy of the certificate?

A: No. To receive a replacement certificate the user must contact the vendor who issued the certificate.

Q: My digital certificate is about to expire. What should I do?

A: Each digital certificate contains a unique identifier. When your certificate expires so does any roles/permissions assigned to you under that certificate. To prevent an interruption in DTrade access, prior to the expiration of your digital certificate, you must purchase a new certificate. Once you have received and installed your new digital certificate follow the online instructions for registering your certificate.

Then:

a. Super Users Only: Follow the online instructions for designating a Super User to have your Super User status reassigned to your new digital certificate. The DTrade Help Desk will then delete your expired certificate and reassign super user status to your new certificate.

b. Regular Users: Contact your company super user and request the deletion of your old certificate and the reassignment of your DTrade roles to your new digital certificate.

Q: Why am I receiving an *Access Denied* error (see below) when registering my SHA-256 certificate?
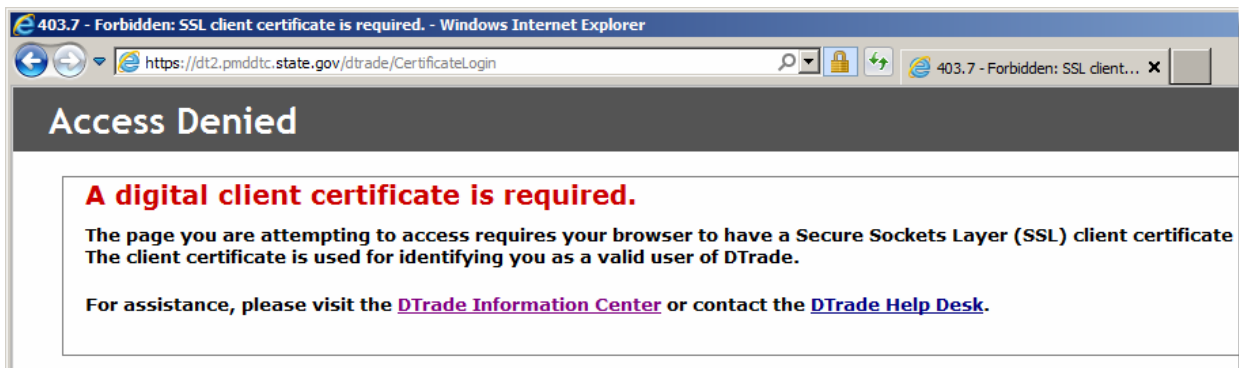
A: This error typically affects Windows 7 or XP users with an outdated service pack (SP). For Windows XP users SP3 is required and Windows 7 users must have SP1 installed. If a supported version of Windows is installed and the *Access Denied* error is given, contact the DTrade Help Desk for further assistance.

To download Windows XP SP3 click on the following link: http://www.microsoft.com/en-us/download/details.aspx?id=24.

SUPER USERS

Q: What is a Super User?

A: A Super User is an individual assigned to administer user roles for all company users. At least one Super User must be designated by an organization. If there is only one user, then that person must become the Super User. Super Users must be a **direct employee** of the organization.

Q: I'm not an empowered official, but I am a Super User. Can I assign myself the Industry Signature Authority role?

A: According to 22 CFR 126.13, all licenses or other requests must include a letter signed by a responsible official empowered by the applicant. With the implementation of electronic licensing via the DSP-5, -6, -61, -62, -73, and -74 forms, this requirement is fulfilled via an actual empowered official in the Industry Signature Authority role completing the Applicant Statement portion of the application and within the 22 CFR 126.13 Certification section selecting option a, b, or c as appropriate. If you are a Super User or User assigned the role of Industry Signature Authority and ARE NOT an empowered official, then you MUST select option d, e, or f as appropriate and attach to the application a letter meeting the requirements of 22 CFR 126.13 signed by an empowered official.

Q: How many Super Users may a company designate?

A: As many as necessary. It is recommended to have at least two, if possible.

Q: I registered my digital certificate with my company's listing in DTrade and my Super User letter was emailed. How are Super Users notified once they have been assigned Super User status?

A: Allow two (2) business days for the DTrade Help Desk to process the request. The super user(s) listed will receive a confirmation email along with instructions on assigning DTrade roles. If the request cannot be processed, the designated super user(s) listed in the letter will be contacted to obtain any additional information needed.

Q: After I submitted my Super User request, I received an e-mail from the DTrade Helpdesk stating my request was not signed by an empowered official. Please explain.

A: Super User designations must be signed by a senior company official or empowered official of the parent organization. Please ensure this information is clearly noted in the request or in the signature block of the letter.

Q: After I submitted my Super User request, I received an e-mail from the DTrade Helpdesk stating my request was not submitted on company stationery. Please explain.

A: Super User requests must be submitted on the parent company stationery of the DTrade registered entity. Requests submitted on fax cover sheets and/or stationary of a subsidiary will not be processed.

Q: After submitting my Super User request, I received an e-mail from the DTrade Helpdesk stating I did not provide a valid registration code. Please explain.

A: A valid DDTC registration is required to use the D-Trade Electronic System. Refer to Section 122 of the International Traffic in Arms Regulations (ITAR) for information on registration. Additionally, if a registration code was provided with your request, verify with the registered entity that it is correct.

Q: How do I delete a Super User?

A: Only the DTrade Help Desk can add or delete Super Users. Requests must be submitted in writing (email to the DTrade Helpdesk at dtradehelpdesk@state.gov or fax to 202-663-2756), requesting the deletion of Super Users. Requests must be submitted on the parent company stationary, signed by an empowered official or senior company official.

REFERENCES

DTrade Help Desk

Phone: 202-663-2838
Fax: 202-663-2756
Email: **dtradehelpdesk@state.gov**

DDTC Response Team (for ITAR rules/policy/regulations questions)
Phone: 202-663-1282
Fax: 202-261-8199
Email: **pmddtcresponseteam@state.gov**