

U.S. Department of State  
**Instructions/Guidelines for**  
**PRIOR NOTIFICATION (22 CFR §126.8)**  
**Form DS-6002**

The Form DS-6002 is for the submission of a notification to the Directorate of Defense Trade Controls (DDTC) by a registered person of a proposal or presentation meeting the conditions of 22 CFR §126.8 (a)(1)(i) through (iii). DDTC must be notified at least 30 days in advance of any proposal or presentation. DDTC will provide a written acknowledgement of such prior notification to confirm compliance with the requirement and the commencement of the 30-day notification period.

Prior to submitting this notification, you should determine that:

- Your DDTC registration is valid. If your registration has expired, your submission will not be processed;
- All optional supporting documentation is available for submission with your request;
- The eligibility requirement of 22 CFR §§120.1(c) and 126.13 can be satisfied. If they cannot be satisfied, you are not eligible to make this request without a transaction exception; and
- No 22 CFR §126.1 countries or parties may be involved in a notification. Such transactions would require prior written approval.

General Instructions:

1. All blocks with an asterisk must be completed. The remaining blocks, while not mandatory, provide information that will assist in reviewing your request. In addition, failure to provide information that is essential to the review may be a regulatory violation.
2. You will be asked to identify the document that you submit with your request (e.g., the 22 CFR §126.13 statement). Optional documentation includes:
  - a) Other amplifying documentation (e.g. Letter of Intent, Purchase Order, Basic Ordering Agreement, Contract, and Technical Data)
  - b) Transaction Exception request (Documentation should include why the need for the transaction exception request and should include all the specific parties.)

Specific Instructions/Guidelines:

**\*Block 1.** Date Prepared. The date the application is prepared is automatically entered (month/day/year). It is updated each time the application is opened until submission to DDTC, at which time the application must be digitally signed.

**\*Block 2.** PM/DDTC Applicant/Registrant Code. Enter your DDTC applicant/registrant code number, including the pre-fix letter “M” if applicant is a manufacturer and/or exporter. The last four/five digits of this number are unique to your company. Ensure that your registration is valid and that the number used is the same as the number on the approved license.

**\*Block 3.** Applicant Name, Address, ZIP Code and Telephone number. When submitting by paper, the first line must reflect name under which company is registered. Subsequent lines may identify a specific subsidiary of the applicant company. When submitting electronically, if a subsidiary is involved select subsidiary box and provide information. Use the address at which the applicant is located; do not use Post Office Box numbers.

**Block 4.** Name, agency and telephone number of U.S. Government personnel familiar with this request. Do not provide names of any DDTC personnel.

**Block 5.** Name and telephone number of applicant contact(s). List individual(s) familiar with this transaction who can respond to DDTC staff or other government agencies. The individual(s) should be prepared to answer procedure and/or technical questions. Please do not list an individual who is not familiar with the transaction and thus unable to respond. Do not list U.S. Government personnel. The point of contact may only be a foreign person when the request is submitted by a foreign embassy located in the United States.

**\*Block 6.** Country(s) of Ultimate Destination. Provide the country(s) of ultimate destination. You may choose as many countries as applicable to the transaction.

**\* Block 7.** Specific purpose for which the defense articles will be used. Provide a brief description of the end use of the article. For example, will it be integrated into another end item, used for test, repair, or production of other defense articles.

**\*Block 8.** Name and Address of Foreign end-user(s). Do not use Post Office Box numbers.

**\*Block 9.** Commodity. Identify all the defense articles involved in the transaction. The commodity(s) must be described in detail, to include the model/part number and descriptions.

Note. If there is any deviation from the products described on the precedent approval, there must be information provided in Block 13 to justify the difference since prior notifications will be accepted only when the proposal/presentation is for the IDENTICAL previously approved equipment.

**\*Block 10.** USML Category Number. Using 22 CFR 121, determine the U.S. Munitions List (USML) Category and subcategory. When submitting electronically, select the category, subcategory and commodity code from the list provided.

**\*Block 11.** Previous Case Number. You must provide the Foreign Military Sales (FMS) Letter of Offer (LOA) and/or DDTC approval number. You must provide at least one case number.

**\*Block 12.** Value. Provide the estimated total value of the proposed transaction. State in U.S. dollars, rounded off to the nearest dollar.

**\*Block 13.** Is the purpose of the proposal/presentation for the manufacture abroad of Significant Military Equipment (SME). Yes/No. For any proposal or presentation that will result in manufacture abroad of SME, you are required to submit a prior approval request.

**Block 14.** Additional Details of Transaction. Provide any additional information that you believe will assist in better describing the proposed transaction, to include explanation of attached documentation, licensing history of the product, parties to the transaction, identification and information of Government-to-Government Memorandums and U.S./foreign government programs.

**\*Block 15.** Applicant Statement. For electronic submissions type the name of the individual who will digitally sign the request and check the boxes that apply.

Note. The individual whose name is in this field must be an “ITAR” empowered official (see 22 CFR §120.25; “ITAR” is the International Traffic in Arms Regulations, 22 CFR 120-130). Signing of an application by other than an empowered official or “for” another company or person is a violation of the ITAR.

Per the ITAR, the individual signing the request must meet all the criteria stated in 22 CFR §120.25. The criteria include that the individual:

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

**Block 16.** Response to be sent to. FOR PAPER SUBMISSIONS ONLY. Provide the complete name, address, and phone number.