

EXAMPLE DS-4076 DATA COLLECTION

This form has been made available for *informational purposes only*.

This example form shows the expanded view, displaying all available questions for the data collection. Questions will display and hide based on answers provided.

To complete and submit the DS-4076 go to the [DECCS CJ application](https://cj.pmdrtc.state.gov).
(<https://cj.pmdrtc.state.gov>)

Read and review all of the new guidelines and instructions located on the [commodity jurisdiction page](https://www.pmdrtc.state.gov/commodity_jurisdiction/index.html).
(https://www.pmdrtc.state.gov/commodity_jurisdiction/index.html)

Read and review all of the DECCS CJ guidelines located on the [DECCS Information page](https://www.pmdrtc.state.gov/DTAS-Online/deccs_info.html).
(https://www.pmdrtc.state.gov/DTAS-Online/deccs_info.html)

U.S. Department of State
DS-4076 Commodity Jurisdiction (CJ) Determination Form
(SEE INSTRUCTIONS PAGE)

* PAPER WORK REDUCTION ACT STATEMENT: Public reporting burden for this collection of information is estimated to average 4 hours 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 (PM/DDTC) Washington, D.C. 20037.

Classified Information must not be included, or referred to, in the form. For Issues that may pertain to classified information, contact the DDTC Response Team.

Block 1. Filer Information

Registration Code: _____ Not registered with PM/DDTC

Filer Type:

Manufacturer Exporter U.S. Government Foreign Government Manufacturer's Representative

Other Explain: _____

Company or Organization: _____

"Doing Business As" Name: _____

Address Line 1: _____

Address Line 2: _____

City: _____ Country: _____

State/Province: _____ Zip/Postal Code: _____

Please provide documentation authorizing you to file on the manufacturer's behalf and to publicly release the information provided in Block 4. Additionally, this documentation must include the manufacturer's name and contact information.

Point of Contact:

Point of Contact: _____

POC Telephone: _____ POC E-Mail: _____

Technical Point of Contact:

Point of Contact: _____

POC Telephone: _____ POC E-Mail: _____

Original Equipment Manufacturer (OEM) Information:

Company or Organization: _____

"Doing Business As" Name: _____

Address Line 1: _____

Address Line 2: _____

City: _____ Country: _____

State/Province: _____ Zip/Postal Code: _____

Third Party Information:

Company or Organization: _____

"Doing Business As" Name: _____

Address Line 1: _____

Address Line 2: _____

City: _____ Country: _____

State/Province: _____ Zip/Postal Code: _____

Block 2. CJ Determination Type

New Submission Resubmission Related to a U.S. Government request

If resubmission:

Prior CJ Case Number: _____

Select a reason for resubmission:

- Returned Without Action (RWA)
- Reconsideration - additional information provided
- Redesignation of article or service currently covered by the USML

Summarize reason for resubmission:

If related to a U.S. Government request:

Disclosure/Case #: _____ USG Agency Requested: _____

U.S. Government Point of Contact:

Point of Contact: _____

POC Telephone: _____ POC E-Mail: _____

Block 3. Commodity/Service Type

- End Item Component/Major Component/Minor Part Accessory/Attachment
- Firmware Software System Service Information

If software provide the following:

Programming Language: _____

Operating System: _____

Percentage of High Level Code and Machine Code: _____

Intended purpose of the software and possible/likely product use:

Firmware involved:

Hardware: Provide a detailed description of the associated hardware and equipment necessary to execute the software as well as technical characteristics of any special purpose, developmental, or non-off-the-shelf hardware.

Software Structure: Describe the software structure in terms of partitioning or modularity. Are the algorithms contained in one distinguishable portion while data is contained in another? If not, can the two be separated?

- Provide a top-level flowchart of the software architecture.

Associated Software: To what extent does the software rely on other systems' software to exchange data? Does this reliance provide a window into the other programs? If so, what programs?

Is the software based on or does it contain open-source software or software code?

Is the software or associated documentation related directly or indirectly to a defense system?

Are identical or comparable products available through foreign or domestic, commercial or government sources?

Does the product or any of its components perform information security functions?

Block 4. Commodity/Service Basic Information

Product Name: _____

Generic Description: _____

Model and Version Number: _____ Part Number: _____

National Stock Number: _____ Other Identifier: _____

Military/Intelligence Specification: _____

Patent Information: _____

Cost Per Unit: _____

Manufacturer's Website: _____

Commodity/Service Website: _____

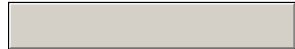
Explain if restricted for public release by the U.S. Government:

**Block 5. Commodity/Service Detailed Description**

Provide a detailed description of the item, software, information, or service. At a minimum, describe what it does, how it operates, the components and/or systems that are used in or with it, and identify the end use platform in which the item is to be integrated, incorporated, etc. if it is a minor component.

Describe supporting documentation attached:

Select type: _____ Explain: _____

**Block 6. Special/Unique Characteristics and Capabilities** Ballistic Protection
Explain: _____ Chemical, Biological Weapon
Explain: _____ Civil Applications
Explain: _____ Hard Points
Explain: _____ Intelligence Applications
Explain: _____ Low Observable/Counter-Low Observable
Explain: _____ Military Applications
Explain: _____ Radiation Hardened
Explain: _____ Surveillance or Intelligence Gathering Capability
Explain: _____ Space Applications
Explain: _____ Specially Designed

Explain: _____

TEMPEST Capability

Explain: _____

Thermal or Infrared Signature Reduction Capability

Explain: _____

Other

Explain: _____

Block 7. Commodity Origin

Was or is this commodity being developed with knowledge for use in or with a particular commodity (e.g., F/A-18 or HMMWV)?

Yes No Explain:

Was or is this commodity being developed with knowledge for use in or with a type of commodity (e.g., aircraft or machine tool)?

Yes No Explain:

Was or is this commodity being developed with knowledge that it would be used in or with defense articles enumerated on the U.S. Munitions List?

Yes No Explain:

Was or is this commodity being developed with knowledge that it would be used in or with commodities not on the U.S. Munitions List?

Yes No Explain:

Regardless of form or fit, is this commodity a fastener, washer, spacer, insulator, grommet, bushing, spring, wire, or solder?

Yes No Explain:

Does this commodity have the same function and performance capabilities as another commodity used in or with an item that is both (a) currently or formerly in production and (b) not enumerated on the U.S. Munitions List?

Yes No Unknown

Do these commodities have the same or "equivalent" form and fit?

Yes No Not Applicable

Provide information on the "like" commodity:

Manufacturer: _____

Commodity: _____

Model Number: _____ Part Number: _____

Status: _____ Manufacturer's Website: _____

Explanation/Description: _____

Supporting Documentation Attached

Are identical or comparable products available through foreign means?

Yes No Unknown

Provide information on the "like" commodity:

Manufacturer: _____

Commodity: _____
Model Number: _____ Part Number: _____
Status: _____ Manufacturer's Website: _____
Explanation/Description: _____
 Supporting Documentation Attached

Block 8. Product Development Stage

What is the current stage of product development for this item?

- Blueprint/Design Stage Design complete/No sales yet Design complete/Prototype/No sales yet
 Design complete/Sales Other Explain: _____

Block 9. Funding History

U.S. Government (USG) Agency

Identify which agency funded your item and any USG contract numbers and Points of Contact as applicable.

Attach a copy of the Contract Statement of Work

Identify what percentage of the total funding was by a USG agency. _____

Provide the date(s) of contracts or funding authorizations.

Foreign Government Agency

Identify which country and specific foreign government agency, and describe what type of funding was provided.

U.S. or Foreign Contractor

Provide the name of the contractor and contact number as applicable.

University Funded

Provide the name of the university and contact number as applicable.

Self-funded

Block 10. Sales Information

Have there been any sales in the past 5 years?

- Yes No

If yes, there have been sales:

Purchaser: _____

Country: _____ Nomenclature/Model #: _____

End Use: _____

End User: _____

Sales Date(s): _____ Units Sold: _____

Additional Information: _____

If no, there have been no sales:

If fully developed, please explain why there have not been any sales:

Block 11. Export/Classification Information

Has this commodity been previously exported?

Yes No Unknown

If yes, provide export history:

Provide export history:

License #: _____

Was this exported as part of an Foreign Military Sale (FMS) case?

FMS Case #: _____

Has this commodity been subject to a Department of Commerce Classification Request?

Yes No Unknown

If yes, provide commerce classification:

Attach a copy of the classification request.

Block 12. Reason for Submitting CJ Request

Explanation:

Order of Review analysis:

Suggested U.S. Munitions List (USML) category and/or subcategory: *(if applicable)*

Suggested Export Administration Regulations, Export Control Classification Number (ECCN): *(if applicable)*

Rationale for recommended classifications, to include specially designed analysis: *(if applicable)*

Block 13. Publication

The Directorate of Defense Trade Controls reserves the right to post a description of the commodity and final DDTC action on its website to provide the public access to the information in Block 4 and any other descriptive information provided below. If you believe that any information contained in Block 4 is proprietary, please specifically identify the information below and provide a summarized rationale for DDTC to consider withholding the information from public notice.

Block 14. Other

Please provide any other information that should be considered and is not otherwise included in this form.

Block 15. Applicant/Submitter's Certification

Under Penalty According to Federal Law (See 22 CFR 127, 22 U.S.C. 2778, and 18 U.S.C. 1001).

I am the authorized employee of the company cited in Block 1, or a third party as described in Block 1 authorized to submit on behalf of the company in Block 1, and certify as to the accuracy and completeness of the information provided and have not knowingly omitted information that could have an impact on the final determination issued by the U.S. Department of State. Furthermore, I have specific authority to release for publication the text contained in Block 4.

Signature Title Date

Unless requested otherwise, DDTC will e-mail the Commodity Jurisdiction determination as well as any other information associated with this case.

Privacy Act Statement

AUTHORITIES: The information is sought pursuant to Exec. Order No. 13637, 22 U.S.C. 2778, 22 CFR § 120.3, 22 CFR § 120.4, and 22 CFR Part 121.

PURPOSE: The purpose of a commodity jurisdiction determination request is to provide the U.S. Government with information concerning the design, manufacture, export, brokering, and sale of certain defense articles which may or may not be controlled under the United States Munitions List (USML, 22 CFR Part 121) and are therefore subject to the export licensing jurisdiction of the Department of State. This information will be used to determine the correct classification of items under the USML.

ROUTINE USES: The information supplied on this form is made available to appropriate agencies for law enforcement or pursuant to a court order. It may also be used to send required reports to Congress about certain defense transactions. More information on the Routine Uses for the system can be found in the System of Records Notice State-42, Munitions Records.

DISCLOSURE: Providing this information is voluntary and designed to assist individuals and companies to properly determine the classification of certain defense articles. Failure to provide the information requested on this form may result in adverse determinations by the U.S. Government as regards the proper classification of defense articles manufactured, sold, or brokered by the respondent.