

PROTECT WHEN COMPLETED

ANNEX A

APPLICATION FOR A NON-GOVERNMENTAL UNITED KINGDOM ENTITY TO JOIN THE DTCT APPROVED COMMUNITY

FULL NAME & ADDRESS OF FACILITY TO BE CONSIDERED (include "Trading As" name if different)	FULL NAME & ADDRESS OF HEAD OFFICE (IF DIFFERENT) (include "Trading As" name if different)
Post Code:	Post Code:

Tel N ^o :
Fax N ^o :

Tel N ^o :
Fax N ^o :
VAT Reg N ^o :
Company Reg N ^{os} :

DETAILS OF INDIVIDUAL TO BE FACILITY SECURITY CONTROLLER

DETAILS OF BOARD MEMBER TO BE COMPANY BOARD LEVEL CONTACT

Surname:	Surname:
Full Forenames:	Full Forenames:
DoB:	DoB:
Place of Birth:	Place of Birth:
Country of Birth:	Country of Birth:
Nationality/ties:	Nationality/ties:
Full Work Address (including Post Code):	Full Work Address: (including Post Code):
Tel N ^o :	Tel N ^o :
Fax N ^o :	Fax N ^o :
e-Mail:	e-Mail:

In accordance with the Data Protection Act 1998, the Ministry of Defence will collect, use, protect and retain the information on this form in connection with all matters relating to our personnel administration and policies.

PROTECT WHEN COMPLETED

PROTECT WHEN COMPLETED

IF INCORPORATED, PLEASE GIVE DETAILS OF ALL ASSOCIATED COMPANIES, SUBSIDIARIES, PARENT OR HOLDING COMPANIES, INCLUDING FULL NAME AND ADDRESS AND COUNTRY IN WHICH REGISTERED.

Details:	Details:

Details:	Details:

Details:	Details:

Please provide the date of formation of the company, or the incorporation and a brief history

PROTECT WHEN COMPLETED

PROTECT WHEN COMPLETED

DIRECTORS' INFORMATION

PLEASE PROVIDE DETAILS OF CHAIRMAN, DEPUTY CHAIRMAN, ALL DIRECTORS (INDICATING SPECIFICALLY THOSE WHO HOLD EXECUTIVE APPOINTMENTS) AND COMPANY SECRETARY. SIMILAR INFORMATION SHOULD BE PROVIDED FOR INDIVIDUALS HOLDING MORE THAN ONE FIFTH OF PAID UP SHARES, PREFERENCE SHARES, OR LOAN CAPITAL

	Chairman	Deputy Chairman	Director
Surname Now			
Surname at Birth if different			
All other surnames used			
Full Forenames			
Place of Birth			
County/State			
Country			
Date of Birth			
Current Nationality			
Previous Nationalities			
Dual National Y/N			
State Dual Nationality			
If Naturalised, Number & Date of Certificate			
Full Permanent Address (incl Post Code)			
Since (Date)			
Position in Company (Title)			
Signature*			

* SIGNATURE BY COMPANY DIRECTOR'S INDICATES THEIR AGREEMENT TO THE CONSENT STATEMENT ON PAGE A5 BELOW.

PLEASE CONTINUE OVERLEAF AND ON CONTINUATION SHEETS AS NECESSARY

PROTECT WHEN COMPLETED

PROTECT WHEN COMPLETED

DIRECTORS' CONTINUATION SHEET

	Director	Director	Director
Surname Now			
Surname at Birth if different			
All other surnames used			
Full Forenames			
Place of Birth			
County/State			
Country			
Date of Birth			
Current Nationality			
Previous Nationalities			
Dual National Y/N			
State Dual Nationality			
If Naturalised, Number & Date of Certificate			
Full Permanent Address (incl Post Code)			
Since (Date)			
Position in Company (Title)			
Signature*			

* SIGNATURE BY COMPANY DIRECTOR'S INDICATES THEIR AGREEMENT TO THE CONSENT STATEMENT ON PAGE A5 BELOW.

PLEASE CONTINUE ON CONTINUATION SHEETS AS NECESSARY

PROTECT WHEN COMPLETED

PROTECT WHEN COMPLETED

DIRECTORS' CONTINUATION SHEET

	Director	Director	Director
Surname Now			
Surname at Birth if different			
All other surnames used			
Full Forenames			
Place of Birth			
County/State			
Country			
Date of Birth			
Current Nationality			
Previous Nationalities			
Dual National Y/N			
State Dual Nationality			
If Naturalised, Number & Date of Certificate			
Full Permanent Address (incl Post Code)			
Since (Date)			
Position in Company (Title)			
Signature*			

*** A SIGNATURE INDICATES CONSENT TO BACKGROUND CHECKS BEING MADE WITH OTHER UK GOVERNMENT AGENCIES. IT ALSO INDICATES CONSENT TO THE NAME AND TITLE OF THE INDIVIDUAL BEING RELEASED TO THE UNITED STATES GOVERNMENT FOR IT TO CONDUCT BACKGROUND CHECKS INTO:**

- 1). ANY INDICTMENTS OR CONVICTIONS OF US EXPORT CONTROL LAWS; AND
- 2). ANY CLOSE TIES THROUGH BIRTH OR OTHER ASSOCIATIONS TO:
 - A. COUNTRIES SUBJECT TO NATIONAL OR INTERNATIONAL ARMS EMBARGOES OR;
 - B. COUNTRIES, ORGANISATIONS OR ENTITIES THAT SUPPORT TERRORISM.

PLEASE CONTINUE ON CONTINUATION SHEETS AS NECESSARY.

PROTECT WHEN COMPLETED

PROTECT WHEN COMPLETED

IN ACCORDANCE WITH THE CRITERIA SET OUT IN THE CABINET OFFICE SECURITY POLICY FRAMEWORK AND TO INFORM THE ASSESSMENT OF THE SUITABILITY OF THE ABOVE NAMED FACILITY TO BECOME A MEMBER OF THE DEFENCE TRADE CO-OPERATION TREATY UNITED KINGDOM APPROVED COMMUNITY. PREVIOUS CONVICTIONS OR CURRENT INDICTMENTS FOR VIOLATIONS OF UNITED KINGDOM OR UNITED STATES EXPORT CONTROL LAWS OR REGULATIONS AS CONSIDERED BY HER MAJESTY’S GOVERNMENT OR THE UNITED STATES GOVERNMENT ARE TO BE LISTED BELOW.

PLEASE PROVIDE INFORMATION ON ANY VIOLATIONS OF UNITED KINGDOM EXPORT CONTROL LAWS OR REGULATIONS AS CONSIDERED BY HER MAJESTY’S GOVERNMENT.

Law/Regulation	Date of Indictment	Details of Violation	Date of Conviction	Penalty

If necessary please continue on a separate sheet.

PROTECT WHEN COMPLETED

PROTECT WHEN COMPLETED

PLEASE PROVIDE INFORMATION ON ANY VIOLATIONS OF UNITED KINGDOM EXPORT CONTROL LAWS OR REGULATIONS AS CONSIDERED BY HER MAJESTY'S GOVERNMENT BY DIRECTORS OF THE COMPANY OR ANY OTHER INDIVIDUALS HOLDING MORE THAN ONE FIFTH OF PAID UP SHARES, PREFERENCE SHARES, OR LOAN CAPITAL.

Name	Law/Regulation	Date of Indictment	Details of Violation	Date of Conviction	Penalty

If necessary please continue on a separate sheet.

PROTECT WHEN COMPLETED

PROTECT WHEN COMPLETED

Do you have any current contracts with the US Government or a US Company? If yes please give details below, including details of the Contracting Authority

[Empty yellow response area]

Do you have facilities cleared to List X standards, if yes, list them below

[Empty yellow response area]

Please provide full reasons for applying to join the Approved Community including the details of any UK or US Defence contracts currently being undertaken or pursued by the company

[Empty yellow response area]

PROTECT WHEN COMPLETED

PROTECT WHEN COMPLETED

DECLARATIONS

DECLARATION - To be signed by the Company Secretary, Legal Director or other senior company official **not** the Security Controller nominated on page A1.

I confirm that the information provided on this form is, to the best of my knowledge, complete and accurate.

I confirm that, as a duly authorised officer of the company, I agree on behalf of the company to background checks being completed on the company and the identified Directors.

I confirm that, as a duly authorised officer of the company, I acknowledge on behalf of the company that it will comply with the provisions of the Security Policy Framework, as amended, in accordance with Section 10 of the Implementing Agreement (IA), and I acknowledge the conditions identified in Section 11(4)(b) of the Implementing Agreement (IA) as set out below.

(i) Information and statements provided to one Participant regarding Defense Articles exported, Transferred, Re-transferred, or Re-exported may be provided to the other Participant;

(ii) Defense Articles may not be Re-transferred or Re-exported without the prior approval of the Participants;

(iii) The United States Government considers any Re-transfer or Re-export of Defense Articles, without prior permission of the Participants, to be a violation of the United States International Traffic in Arms Regulations, Arms Export Control Act, and related laws;

(iv) United Kingdom Approved Community members must maintain records with respect to all Defense Articles Exported, Transferred, Re-transferred, or Reexported for a period of at least 5 years, including records regarding intangible items or technical data;

(v) United Kingdom Approved Community members must, within five days of the event, provide written notification to Her Majesty's Government of a material change in a United Kingdom Approved Community member, including a change in the senior officers; the establishment, acquisition or divestment of a subsidiary or foreign affiliate; a merger; a take-over; or a change of location. A United Kingdom Approved Community member must provide Her Majesty's Government with written notification at least 60 days, or as soon as reasonably practicable, in advance of any intended sale or transfer to a foreign person of ownership or control of the United Kingdom Approved Community member;

(vi) Any material violations of the procedures established pursuant to the terms of the Treaty must be reported immediately, and all other violations must be reported as soon as reasonably practicable, to Her Majesty's Government which will notify the United States Government as appropriate;

PROTECT WHEN COMPLETED

PROTECT WHEN COMPLETED

(vii) Any additional information, records, or documents relating to compliance with the procedures established pursuant to the terms of the Treaty, and this Implementing Arrangement, will be provided to Her Majesty's Government upon request of either Participant. United Kingdom Approved Community members will also endeavour to obtain any additional information, records, or documents relating to compliance with the procedures established pursuant to the terms of the Treaty, and this Implementing Arrangement, held by a foreign subsidiary, parent or affiliated company upon request by either Participant;

(viii) No objection will be made by the United Kingdom Approved Community member to any reasonable request by either Participant to undertake an investigation, review records, or inspect any premises in accordance with the established mechanisms of cooperation;

(ix) United Kingdom Approved Community members will inform their employees and personnel who may be handling Defense Articles of these requirements; and

(x) In the case of removal from the United Kingdom Approved Community, the nongovernmental United Kingdom entity or facility will continue to abide by the undertakings it assumed as part of the United Kingdom Approved Community until such time as other appropriate United States Government licenses or arrangements are in place.

By signing and submitting this application to join the United Kingdom Approved Community, I confirm that the Company is aware of the terms and conditions attached to United Kingdom Approved Community status and fully accepts them.

Print Name:

Signature:

Position in Company:

Date:

PROTECT WHEN COMPLETED

PROTECT WHEN COMPLETED

The Ministry of Defence is committed to ensuring that all your personal data including that of a sensitive nature is used with your consent, respect for your privacy and only for the limited, clearly stated purposes within the form/or as stated below. This also accords with our legal obligations under the Data Protection Act 1998.

The information contained in this form will be used by the Ministry of Defence, Defence Equipment & Support – Deputy Head Security & Principal Security Adviser Organisation (MOD DE&S DHSY/PSYA) to consider the suitability of the company to be included in the “Approved Community” as a non-governmental United Kingdom entity under the provisions of the United Kingdom/United States Defence Trade Cooperation Treaty (DTCT).

The information contained in this form may also, if required, be passed to the United States Government Authorities involved in the DTCT Approved Community approval process.

By signing this form you are thereby confirming that you understand the above and that you give your explicit consent to the processing of any sensitive personal data of which you are the data subject contained in this form in the manner stated.

PROTECT WHEN COMPLETED