



# Stockist undertaking form

## Guidance for UK licensees

An undertaking is required when applying for a standard individual export licence (SIEL) or standard individual trade control licence (SITCL) issued by the UK's Export Control Organisation (ECO) part of the Department for International Trade. This undertaking forms part of the required supporting documentation for end-use control purposes that is provided when making a licence application to the ECO.

**Please note that we will only normally accept undertakings as valid within six months of the date of the application.**

There are two types of undertaking forms available. Which one you – the licensee – obtain in support of your licence application depends on how the items will be used.

If goods are being exported (whether via a consignee or not):

- for their **end-use** or if an end-user is **incorporating** the goods (ie installing them into another product or higher level system) – then you should obtain an end-user undertaking (EUV) form.
- to be **held in stock** for future delivery or re-sale – then you should obtain a **stockist undertaking (SU) form**.

If the overseas company chooses not to use the relevant template, then you should advise them that the UK authorities (ie ECO) require an original (not 'digital') signed and dated undertaking in English on their headed paper providing the same information and assurances.

### IT IS THE UK LICENSEE'S RESPONSIBILITY TO ENSURE THAT:

- The **correct** undertaking type – EUV or SU – is supplied with your licence application to cover the relevant scenario. An **incorrect** undertaking type will not be accepted by ECO and will therefore need to be resubmitted, which is likely to result in your application being delayed or withdrawn.
- All sections of the undertaking are completed **legibly and in English** (or accompanied by an authorised translation if written in a foreign language) by the end user or stockist end user on their **original official headed paper** (where the end user is a company or a legal entity). The English translation should be verified by the licensee – that is the owner of the business applying for a licence, or a partner, director or company secretary of the firm, or anyone authorised to sign the licence application on behalf of the company. Alternatively, if you prefer, translations may be verified by a member of the [Institute of Translation & Interpreting](#) or a Notary Public.

- The undertaking form needs to be **signed and dated by a person properly authorised by the end user organisation or stockist end user** organisation to sign on their behalf (the responsible official). ‘Digital’ signatures are not acceptable.
- The same responsible official of the end user organisation or stockist end user organisation should also complete, sign, date and attach a covering letter (see annex A to either EEU or SU Form). This letter must be on their original official headed paper. It should also be accompanied by an authorised translation if written in a foreign language (please see above regarding verification of authorised translations). If the end user or stockist end user is an individual then the documents do not have to be on letter-headed paper.
- Copies of the relevant form and covering letter should be attached to the completed licence application on ECO’s [SPIRE](#) database.
- The **original** EEU or SU together with the covering letter must be obtained and kept by you at your premises. These **original** documents may be requested by ECO at any time.
- To help reduce further ‘requests for information’ from ECO during licence processing you should establish as part of your standard procedures whether the goods are being shipped to an end user or stockist and forward relevant guidance to them about which form to complete and how to complete it correctly.
- If we request a revised SU during processing of your application, it should include all of the SU pages and be newly dated.
- Be mindful of references to any unfamiliar abbreviations or acronyms particularly those referring to consignees or end-users. To avoid requests for information (RFIs) from ECO which might delay your application, acronyms and abbreviations should be spelt out in full.

## Guidance for stockists to complete template and covering letter

This stockist undertaking (SU) form and annex A must be provided when you order goods which you intend to **hold in stock** (whether via a consignee or not). Both documents must be completed on your company's letter-headed paper. If you are an individual these documents do not have to be on letter-headed paper

### Please read the following explanation of terminology carefully for guidance on completing the SU form.

1. The UK licensee is the person or body who is either exporting the goods abroad, or brokering the movement of the goods concerned, each of which may be direct to you or via a separate consignee.
2. If not known, the licensee's reference can be left blank for completion by the licensee.
3. The consignee is the person or body who is the first recipient of the goods. This can be yourselves or another person or body within your country or in another country. If you are both the consignee and the stockist end user, then you must enter your own details in boxes (c) and (d).
4. As a stockist end user you will be receiving the goods to be **held in stock** (for onward shipment within or outside your country in the future) so boxes (e) and (f) must be completed.
5. This section refers to those occasions where the goods are supplied in the future rather than at the time of shipment.
6. The goods in this section refer to those at the time of shipment.
7. The UK Authorities need to understand what the goods are and so a detailed description of the main item or items is required. If, for example, the main item or items are accompanied by a long list of spares, components or accessories, you should also indicate this in section 2.
8. Section 3 must be signed and dated by you as the stockist end user since you are holding in stock the goods mentioned in Section 2. Either section (i) or section (ii) in Section 3 must also be completed as applicable. This section should be signed and dated by a person within your organisation with authority to sign on behalf of the company/organisation. 'Digital' signatures are **not** acceptable.
9. For an up-to-date list of applicable destinations subject to arms embargoes, see: Get a licence to export military or dual use goods, services or technology.

### **NB: When you should use the Stockist Undertaking (SU) Form**

This form should only be completed if the goods are going into your stock for delivery elsewhere **in the future**. Even if, at the time of placing your order, you know your customer but are still holding the goods in stock against future orders placed on you by them, then you should still complete the Stockist Undertaking and complete section 3ii accordingly.

However, if you know, at the time of placing your order with the UK Licensee, that, on receipt of the goods, you will be supplying them **straightaway** to a named entity elsewhere then you should not complete this stockist undertaking. You should instead ask your customer to complete the end user undertaking form, a copy of which should be available from your UK licensee or from [GOV.UK](https://www.gov.uk).

# STOCKIST UNDERTAKING FORM

## SECTION 1 – PARTIES

|   |   |
|---|---|
| (a) Name of UK Licensee <sup>1</sup>  | (b) Licensee's reference <sup>2</sup>   |
| (c) Name of consignee <sup>3</sup>  | (d) Consignee's address   |
| (e) Name of stockist end user <sup>4</sup>  | (f) Stockist end user's address   |
| (g) Are the goods ultimately intended for the armed forces or internal security forces of the country? <sup>5</sup><br><br>Please DELETE an option:<br>Yes/No | (h) Specific location where goods will be held in stock (if known) and if different from (f) <sup>6</sup> |

## SECTION 2 – GOODS

|                       |  |
|-----------------------|--|
| (a) Quantity of Goods | (b) Description of the Goods <sup>7</sup> (for consumable goods, include length of time supplies are expected to last) |
|-----------------------|--|

(If you need to use continuation sheets, each must carry the licensee's reference, and must be signed and dated by the same person who signs this form.)

**SECTION 3 – STOCKIST UNDERTAKING 8 (to be completed by the person or body named in 1(e) and 1(f))**

We – the person or body named at 1(e) and 1(f) – certify that we are the importer of the goods described in Section 2 and we further certify that the goods are intended for stock to be held against future orders and EITHER (delete one of (i) or (ii) below)

i will not be re-exported, sold for export or otherwise transferred from the country where we are based, namely:

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OR

ii are likely to be transferred to the following countries and/or customers:

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We further certify that we will not supply the goods to an entity in the future if we know or suspect that they are intended or likely to be used for any purpose connected with chemical, biological or nuclear weapons, or missiles capable of delivering such weapons; that we will not supply the goods to an entity in the future in a destination subject to UN, EU or OSCE embargo where that act would be in breach of the terms of that embargo<sup>9</sup>; and that we will not supply the goods, or any replica of them, in the future if we know or suspect that they are intended or likely to be used in any nuclear explosive activity<sup>i</sup> or unsafeguarded nuclear fuel cycle<sup>ii</sup>.

Sign Here \_\_\_\_\_ Date \_\_\_\_\_  
(Signature of Official of Stockist)

Print Name \_\_\_\_\_  
(Add Name of Signatory in Capitals)

Role \_\_\_\_\_  
(Add Job Title of Signatory in Capitals)

**Note**

<sup>i</sup> includes research on or development, design, manufacture, construction, testing or maintenance of any nuclear explosive device or components of subsystems of such a device.

<sup>ii</sup> includes research on or development, design, manufacture, construction, operation or maintenance of any reactor, critical facility, conversion plant, fabrication plant, reprocessing plant, plant for the separation of isotopes of source or special fissionable material, or separate storage installation, where there is no obligation to accept IAEA safeguards at the relevant facility or installation, existing or future, when it contains any source or special fissionable material; or of any heavy water production plant where there is no obligation to accept IAEA safeguards on any nuclear material produced by or used in connection with any heavy water produced therefrom; or where any such obligation is not met.

## **ANNEX A TO STOCKIST UNDERTAKING FORM**

Model covering letter for Stockist Undertaking  
*[to be amended where indicated]*

[NAME AND ADDRESS OF STOCKIST END USER ON THEIR ORIGINAL HEADED PAPER]

[DATE]

Stockist Undertaking relating to the UK licence application made by [*STATE NAME OF LICENSEE*]

I attach a completed stockist undertaking made on the SU Form.

Yours sincerely

*[TO BE SIGNED BY THE SAME SIGNATORY WHO COMPLETED AND SIGNED THE STOCKIST UNDERTAKING (SU) FORM TOGETHER WITH THEIR ROLE]*

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