

Census Voluntary Self-Disclosure

For further instructions on how to submit and complete this form, please see Instructions document provided.

Step 1: Point of Contact/Submitter Information

Name:

First Name

Last Name

Company Name:

Type of Business:

Position Title:

Company Mailing Address:

Mailing Address Line 1

Mailing Address Line 2

City

State

Zip Code

Email:

Phone Number:

Who should the response letter be addressed to? *(Please select one.)*

Same as Point of Contact

Other *(complete below)*

Name:

First Name

Last Name

Company Name:

Type of Business:

Position Title:

Company Mailing Address:

Mailing Address 1

Mailing Address 2

City

State

Zip Code

Email:

Phone Number:

Step 2: Company in Violation

Is the Company of the Point of Contact of the VSD the same as the Company in Violation? *(Please select one.)*

Yes *(move on to "Step 3: VSD Information")*

No *(complete below)*

Company Name:

Company Physical Address:

Physical Address 1

Physical Address 2

City

State

Zip Code

Type of Business:

Step 3: VSD Information

Has an Initial Notification been submitted for this disclosure? *(Please select one.)*

Yes, please provide Case #: _____ No

1. The kind of violation(s) involved. *(Check all that apply.)*

Failure to File Electronic Export Information (EEI)

Filing Incorrect EEI

Failure to Make Timely Cancellations

2. The number of shipments involved. *(Please enter the number, where applicable. This number is calculated per Internal Transaction Number or ITN.)*

Failure(s) to file:

Incorrectly Filed:

Cancellation(s):

3. Do(es) the violation(s) involve controlled or licensed shipments?

None. The shipment(s) in violation is/are not controlled or do/did not require an export license from any government agency (i.e., NLR). *(If this is selected, move on to Question 4.)*

Controlled. The shipment or all or some of the shipments in violation is/are controlled, but not licensed (i.e., ITAR-controlled; EAR-controlled; any other government agency). *(If this is selected, complete the below.)*

a. Which government agency controls this/these shipments?

Department of State

Bureau of Industry and Security

Other:

Licensed. The shipment or all or some of the shipments in violation required an export license or permit from a government agency. *(If this is selected, complete the below.)*

a. Which government agency requires a license or permit for this/these shipments?

Department of State

Bureau of Industry and Security

Other:

b. Was/were the license(s) or permit(s) obtained prior to export?

Yes, for the shipment or all shipments

Some, but not all of the shipments

No

4. Did the company submit a voluntary self-disclosure to another government agency?

Yes. *(If yes, please answer the below.)*

a. Please provide the name of the agency or agencies the company submitted a disclosure to and whether the agency or agencies closed the case(s):

No. *(If no, move on to Question 5.)*

5. Was/were the violation(s) discovered by a government agency prior to the company submitting this disclosure?

Yes. *(If yes, please answer the below.)*

a. The violation(s) was/were discovered by: *(Check all that apply)*

Department of State

U.S. Customs and Border Protection

Bureau of Industry and Security

Homeland Security Investigations

Other:

b. Provide the ITN(s) for the discovered shipment(s):. *(Please enter the ITN(s) below.)*

c. Were additional shipments discovered by the company after being notified of the violations?

Yes

No

No, the violation(s) was/were not discovered by a federal agency. The company discovered the violation(s). *(If no, move on to Question 6.)*

6. Does the company have any correspondence from another government agency?

Yes, I have correspondence from a federal agency. (i.e., penalties; disclosures; warning/closeout letters; acknowledgment letters; etc.) *(Please describe the correspondence below.)*

No, I do not have any correspondence from a federal agency. *(If no, move on to Question 7.)*

7. When did the violation(s) occur? *(The shipments must be within a 5-year timeframe from the date of this submission.)*

Start Date:

End Date:

8. How or why did the violation(s) occur? *(Check all that apply.)*

Personnel oversight

System error

Lack of employee training and/or knowledge

Lack of knowledge regarding filing requirements

Lack of knowledge regarding licensing requirements

Misunderstanding regarding the responsibilities of parties in export transactions

Misclassification of goods

Internal miscommunication

External miscommunication

Inaccurate documentation or information provided by:

Other:

9. Names and addresses of companies involved in the activities giving rise to the violations, if applicable.

10. What are the corrective measures the company has taken to ensure these violations do not occur in the future?

11. Are there any mitigating circumstances, if any?

12. **Internal Transaction Number(s) of the missed and/or corrected shipment(s) that have been filed and/or corrected in the Automated Export System (AES) per Section 30.74(c)(4) of the Foreign Trade Regulations. The VSD cannot be processed until all corrections/filings and/or cancellations have been made to the ITN(s) in the AES and have been submitted in the correct format.**

The audit spreadsheet template is available online here and/or been provided to you by your assigned analyst. Please password-protect the spreadsheet and submit along with this completed form.

Please provide the password: *(10-character max)*

If the ITNs are received in a format other than the required spreadsheet, there will be a delay in the processing time of the VSD due to the need for additional follow up.

- Only include data elements/fields that are relevant to the VSD on TAB 1 "Corrections to EEI". For example, if the only field in the AES that required correcting was the Schedule B field, then only include "original" and "corrected" columns for that data element.
- If the VSD is being submitted because the company failed to file the transactions, only include the ITN(s) on TAB 2 "Failures to File".
- If the VSD is being submitted because the company needed to cancel shipments, only include the ITN on TAB 3 "Cancelled EEI."

Please complete the following certification by initialing next to each statement:

I certify that I am authorized by the company in violation to make this voluntary disclosure and certification.

I certify that all representations made on behalf of the company in connection with the voluntary disclosure, are true and correct to the best of my knowledge and belief.

I certify that I have submitted the ITN data in the correct format the TRB requires.

I certify that all corrections, filings and/or cancellations have been made in the AES prior to submitting.

I certify that the company in violation and/or the company submitting the VSD are a United States company physically located in the United States.

Signature of Point of Contact/Submitter:

(Use the "Fill & Sign" feature to sign the PDF)

For Census Use Only

Analyst Assigned:

Case #:

Does the company have any additional VSD cases (open or closed) with the Census Bureau?

Additional Documentation/Information Provided: