



California Institute of Technology

Export Compliance Office

I-129 Export Compliance Questionnaire

The U.S. Citizenship and Immigration Services requires Caltech to indicate whether a license is required from the U.S. Department of State, Commerce or the Treasury to release Technology or Technical Data to a Foreign Person employed by Caltech. The information requested in this form will assist the Caltech Export Compliance Office to determine whether an export license is required for the Beneficiary named below.

For any questions, please reach out to exporti129@caltech.edu

PART A: PETITIONER AND PI INFORMATION

Caltech PI Information

PI's Name:

Division:

Project Title:

Funding Source(s): NASA DOD DOE DARPA NSF NIH Caltech Internal Funds

Endowment/Other:

PTA Number(s):

Grants Manager and Administrator Information

GM's Name:

Admin's Name:

PART B: BENEFICIARY'S INFORMATION

Beneficiary's Name (as stated on Passport)

First:

Middle:

Last:

Country of Citizenship:

Country of Birth:

Country of Passport issuance:

Visa Type:

Sex:

Does the Beneficiary have dual citizenship?

Yes No

If yes:

Beneficiary's Title:

Is the Beneficiary a full time Caltech employee?

Yes No

PART C: BENEFICIARY'S EXPERTISE AND RESEARCH

1. What is the Beneficiary's area of expertise? Please provide a copy of the Beneficiary's CV or Resume.
2. Please describe the work and/or activities to be performed by the Beneficiary. Please provide sufficient information to assist us with our review. A brief Statement of Work may be entered.

3. Please describe the type of Technology or areas of research that the Beneficiary will work on. Provide publications, website(s), or other material that provides supporting information about the area of research.

4. Will the Beneficiary fabricate or develop an instrument or hardware?
Yes No
5. Will the area of the research be for a military application?
Yes No
6. Will the area of research be for space flight application?
Yes No
7. Will the area of research involve energy, nuclear reactors, nuclear equipment, or related materials?
Yes No
8. Will there be joint collaboration between Caltech and JPL in the course of this work?
Yes No
9. Will the Beneficiary require JPL access (buildings, laboratories, test facilities, repositories, supercomputers, or data)?
Yes No
10. In order to to perform the work described above, will the Beneficiary require access to export controlled information, hardware, software, or data? Please indicate all that apply:

Technical Data:	Yes	No	Technical Assistance:	Yes	No
Hardware:	Yes	No	Proprietary or Confidential Info:	Yes	No
Software:	Yes	No	Other:	Yes	No

PART D: ADDITIONAL INFORMATION

1. Is the Beneficiary from Iran and/or coming to the U.S. to work as an agent, employee, or contractor of the Government of Iran or a business entity or other organization in Iran?
Yes No
2. Is the Beneficiary a citizen or permanent resident of the People's Republic of China?
Yes No
If yes, is the citizen of China employed by or affiliated with any organization in China (including an educational institution, research institution, or commercial entity)? If so provide name and address of employer/entity:
3. Will any other countries (other than China and the U.S.) participate in the performance of this Project?
Yes No *If yes, please identify the countries and describe their role:*
4. Will any organization in China have any kind of role in the performance of this project?
Yes No *If yes, please describe:*
5. Does the Beneficiary belong to a Malign Foreign Talent Recruitment Program (MFTRP)?
Yes No

PART E: CALTECH PI'S CERTIFICATION

I declare that I have examined Parts A through D of this form, and to the best of my knowledge they are true and correct.

PI's electronic signature:

Mini Glossary: (For complete glossary, please see <http://export.caltech.edu/glossary>)

Development - "Development" is related to all stages prior to serial production, such as: design, design research, design analyses, design concepts, assembly and testing of prototypes, pilot production schemes, design data, process of transforming design data into a product, configuration design, integration design, layouts.

Export - The transfer of export controlled commodities, information or software either inside the U.S. or outside the U.S. to a Foreign Person.

Export Controls - Export controls are U.S. government regulations that govern the export of strategic technologies, equipment, hardware, software or providing technical assistance to Foreign Persons. See the ITAR and EAR for the list of export-controlled items.

Foreign Person - Is defined in the export regulations as:

- An individual who is not a U.S. citizen;
- Is not a U.S. Permanent legal resident (green card holder);
- Has not been granted political asylum in the United States; or
- In some cases a U.S. Person who is acting on behalf of a foreign entity.

Production - Means all production stages, such as: product engineering, manufacture, integration, assembly (mounting), inspection, testing, and quality assurance.

Technical Assistance - The furnishing of assistance (including training) to Foreign Persons, in the United States or abroad in the design, development, engineering, manufacture, production, assembly, testing, repair, maintenance, modification, operation, demilitarization, destruction, processing or use of defense articles.

Technical Data - Information other than software which is required for the design, development, production, manufacture, assembly, operation, repair, testing, maintenance or modification of defense articles. This includes information in the form of blueprints, drawings, photographs, plans, documentation, instructions, models, formulae, tables, engineering designs and specifications, manuals and instructions written or recorded on other media or devices such as disk, tape, or read-only memories.

Technology - Specific information necessary for the "development", "production", or "use" of a product. The information takes the form of "technical data" or "technical assistance". Controlled "technology" is defined in the General Technology Note and in the Commerce Control List.

General Technology Note. The export of "technology" that is "required" for the "development", "production", or "use" of items on the Commerce Control List is controlled according to the provisions in each Category. "Technology" "required" for the "development", "production", or "use" of a controlled product remains controlled even when applicable to a product controlled at a lower level.

Use - Operation, installation (including on-site installation), maintenance (checking), repair, overhaul and refurbishing.

ITAR United States Munitions List (USML) Controlled Items:

Category I - Firearms, Close Assault Weapons and Combat Shotguns

Category II - Guns and Armament

Category III - Ammunition/Ordnance

Category IV - Launch Vehicles, Guided Missiles, Ballistic Missiles, Rockets, Torpedoes, Bombs and Mines

Category V - Explosives and Energetic Materials, Propellants, Incendiary Agents and Their Constituents

Category VI - Vessels of War and Special Naval Equipment

Category VII - Tanks and Military Vehicles

Category VIII - Aircraft and Associated Equipment

Category IX - Military Training Equipment and Training

Category X - Protective Personnel Equipment and Shelters

Category XI - Military Electronics

Category XII - Fire Control, Range Finder, Optical and Guidance and Control Equipment

Category XIII - Auxiliary Military Equipment

Category XIV - Toxicological Agents, Including Chemical Agents, Biological Agents, and Associated Equipment

Category XV - Spacecraft Systems and Associated Equipment

Category XVI - Nuclear Weapons, Design and Testing Related Items

Category XVII - Classified Articles, Technical Data and Defense Services Not Otherwise Enumerated

Category XVIII - Directed Energy Weapons

Category XX - Submersible Vessels, Oceanographic and Associated Equipment

Category XXI - Miscellaneous Articles

Website: [http://www.ecfr.gov/cgi-bin/retrieveECFR?](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=c382e2fdef9df7190f44391ed3850883&r=PART&n=22y1.0.1.13)

[gp=&SID=c382e2fdef9df7190f44391ed3850883&r=PART&n=22y1.0.1.13](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=c382e2fdef9df7190f44391ed3850883&r=PART&n=22y1.0.1.13) 58#22:1.0.1.13.58.0.31.1

EAR Commerce Controlled List (CCL) Controlled Items:

(Dual-Use - civil and potential military applications)

Category 0 - Nuclear Materials, Facilities and Equipment (and Misc. Items)

Category 1 - Materials, Chemicals, Microorganisms, and Toxins

Category 2 - Materials Processing

Category 3 - Electronics

Category 4 - Computers

Category 5 Part 1 - Telecommunications

Category 5 Part 2 - Information Security

Category 6 - Sensors and Lasers

Category 7 - Navigation and Avionics

Category 8 - Marine

Category 9 - Aerospace and Propulsion

Website: [http://www.ecfr.gov/cgi-bin/text-idx?](http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&sid=-5cd99b138120d37cf6575172a86f8070&rgn=div5&view=-text&node=15:2.1.3.4.45&idno=15)

[c=ecfr&sid=-5cd99b138120d37cf6575172a86f8070&rgn=div5&view=-text&node=15:2.1.3.4.45&idno=15](http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&sid=-5cd99b138120d37cf6575172a86f8070&rgn=div5&view=-text&node=15:2.1.3.4.45&idno=15)