

Bureau of Industry and Security

ACE Exports Compliance Seminar

Export Administration Regulations (EAR)
and
Electronic Export Information (EEI) Filings



Agenda Topics

- Introduction to BIS
- Determining BIS Export Control Requirements
 - Identifying a License Requirement:
What, Where, Who, and How?
 - Using the Correct Designation:
BIS Licenses, License Exceptions, and NLR
- Properly Reporting Commerce License Types in AES
- Additional Resources and Questions

Mission of the Bureau of Industry and Security

Advance the national security, economic interests,
and foreign policy of the United States

➤ **Export Administration**

- Develops export control policies (EAR)
- Issues export licenses
- Performs compliance education outreach services
- Participates in multi-lateral export control regimes

➤ **Export Enforcement**

- Works with Department of Justice to prosecute those not in compliance with Export Regulations

Office of Technology Evaluation Mission

Maintain and Enhance National and Economic Security by:

- Analyzing **export license and trade data**;
 - Measures the effectiveness of Export Controls
 - What's being shipped, Parties involved in the transaction
- Conducting primary research & analysis on **critical technologies**;
- Monitoring the **effect of the dual-use export control system** on U.S. interests;
- Investigating the **effects of imports** on national security;
- Analyzing **foreign availability** of critical products and technologies;
- Administering **Technical Advisory Committees**;
- Maintaining **Export Filing System Reference Management Tables** Relevant to EAR.
- Maintaining **ECCNs and License Types** as regulations change
- Analyzing **Exporters Compliance** with the EAR and other government regulations

Why?

Reasons for Controls:

Multi-lateral- Regime /
International Convention-Based

CW = Chemical Weapons Convention

CB = Chemical & Biological Weapons

NP = Nuclear Nonproliferation

NS = National Security

MT = Missile Technology

FC = Firearms Control

UN = United Nations Embargo

EI = Encryption Item

Unilateral- United States
Government determination

CC = Crime Control

AT = Anti-Terrorism

RS = Regional Stability

SI = Significant Item

SL = Surreptitious Listening

Note: ECCNs may have multiple reasons for control

Short Supply, a unilateral reason for control, was removed by the Export Control Reform Act of 2018 (ECRA).

Types of Commerce Export Authorizations

1) Licensed Exports

-AES License Type Codes C30

2) License Exceptions

- AES License Type Codes C35-C59, C62

*Transactions
Subject to a License
Requirement*

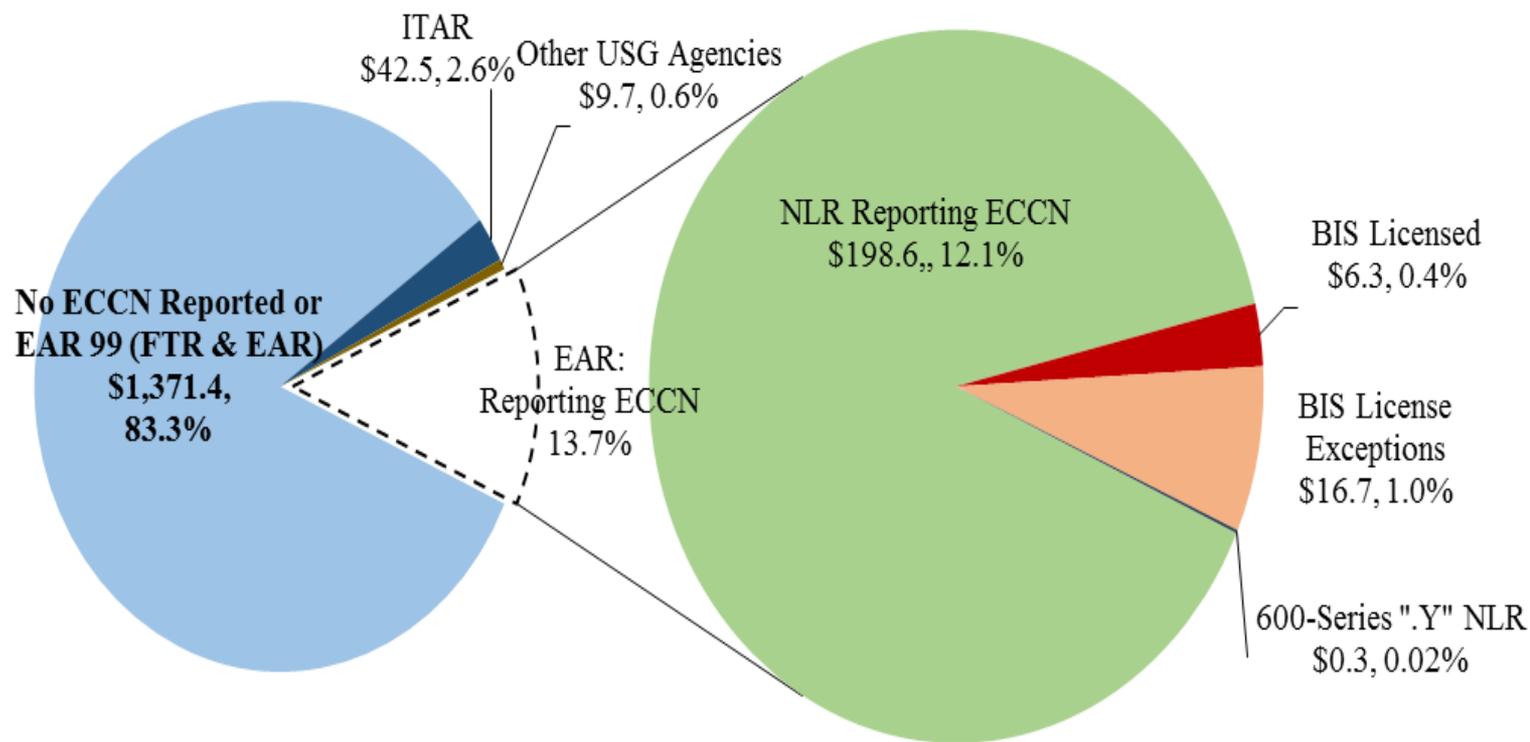
3) No License Required (NLR) & DY6

— AES License Type Codes C33 and C60

*Transactions **NOT**
Subject to a License
Requirement*

2019 U.S. Exports to World by Regulatory Authority

2019 U.S. Exports to the World: Export Authorizations by Regulatory Authorities
\$billion



Source: Automated Export System, retrieved on February 18, 2020

How to Identify a License Requirement:

What is it?

DESCRIPTION, HS, ECCN,
VALUE, QTY

Where is it going?

ULTIMATE CONSIGNEE
COUNTRY and COUNTRY
OF ULTIMATE
DESTINATION.

Who will receive it?

EXPORTER,
FORWARDER,
INTERMEDIATE
CONSIGNEE and
ULTIMATE
CONSIGNEE

What is the end use?

CIVILIAN/MILITARY
DUAL-USE ITEM?

A Filer should be able to answer all of these questions for an export transaction

What is the Item?

On the Commerce Control List

- Items listed on the CCL have an Export Control Classification Number (ECCN) and are described in terms of technical parameters and characteristics.
 - **There are 3 way to classify your item (manufacture, self-classify or submit CCAT) • COMMODITY CLASSIFICATION IS AVAILABLE FOR FREE!!**
 - **Freight Forwarders filing on behalf of someone else need to verify the classification through the manufacture or BIS**

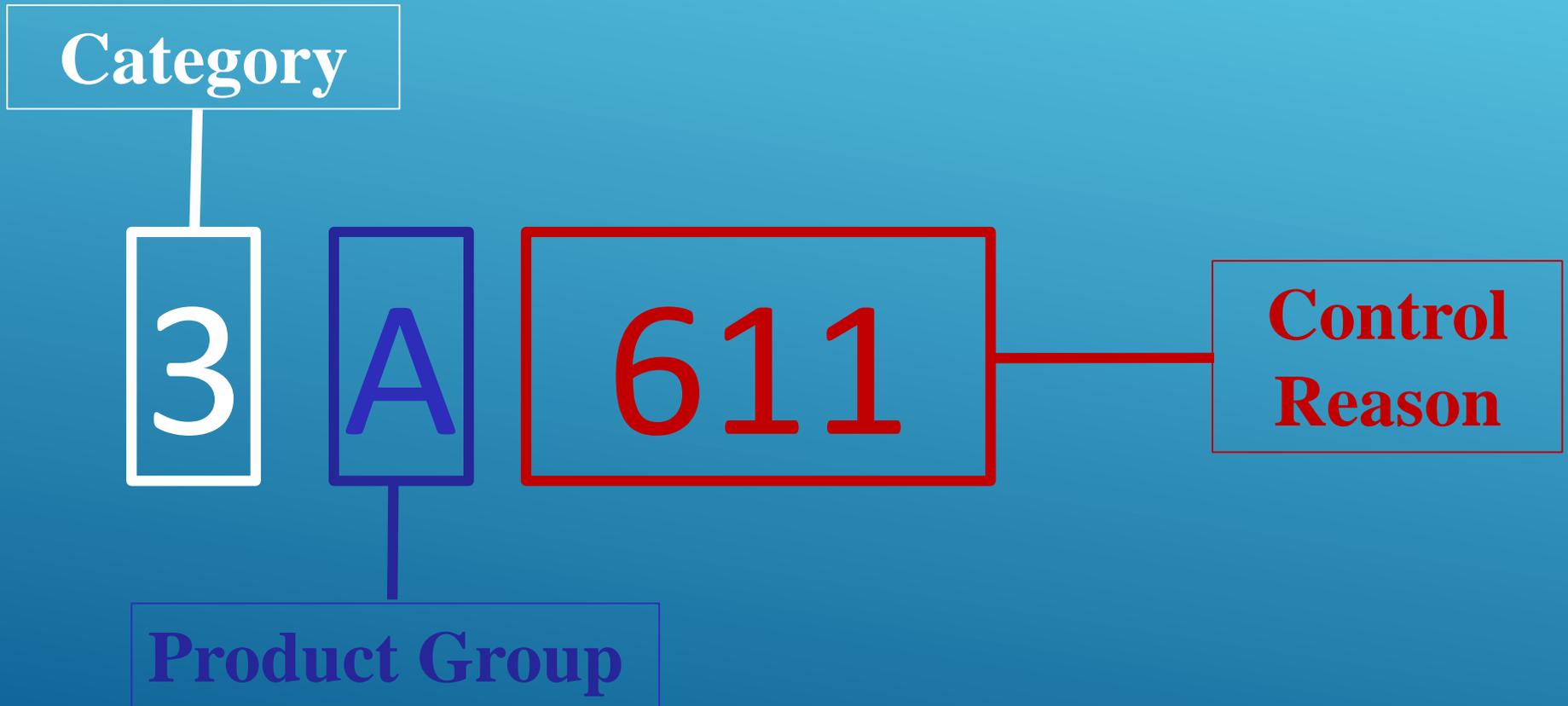
Other Partner Agency's List

- Items may be subject to jurisdiction of the
 - Departments of State, (**Commodity Jurisdiction – no charge**)
 - Department of Energy,
 - Department of Treasury (OFAC),
 - Others.

Not Listed

- If not on CCL or another agency's list, report EAR99.
 - By Using EAR99 you are informing BIS that you have gone through the classification process and you have determined that your item is not listed on our list

Export Control Classification Number (ECCN) Components



Structure of the ECCN

Categories

0	Nuclear & Miscellaneous
1	Materials, Chemicals, Microorganisms, & Toxins
2	Materials Processing
3	Electronics
4	Computers
5	Telecommunications & Information Security
6	Sensors & Lasers
7	Navigation & Avionics
8	Marine
9	Aerospace & Propulsion

Product

A	Systems, Equipment, & Components
B	Test, Inspection, & Production Equipment
C	Materials
D	Software
E	Technology

A - finished product

B - used to make the item

C - raw materials

D - computer software/code

E - Idea

Control Reasons

000-099	National Security
100-199	Missile Technology
200-299	Nuclear Nonproliferation
300-399	Chemical & Biological
500-599	National Security
600-699	Wassenaar / former USML
900-999	Anti-terrorism, Crime Control, Regional Stability, Short Supply, UN

What is the ECCN Category and Product Group?

- 0 Nuclear & Miscellaneous
- 1 Materials, Chemicals, Microorganisms, & Toxins
- 2 Materials Processing
- 3 Electronics
- 4 Computers
- 5 Telecommunications & Information Security
- 6 Sensors & Lasers
- 7 Navigation & Avionics
- 8 Marine
- 9 Aerospace & Propulsion

- A Systems, Equip., & Components
- B Test, Inspection, & Prod. Equip.
- C Materials
- D Software
- E Technology



Encryption Software



Entry in Commerce Control List: What does an ECCN look like in the EAR?

ECCN ←

9A012 Non-military “Unmanned Aerial Vehicles,” (“UAVs”), unmanned “airships”, related equipment and “components”, as follows (see List of Items Controlled).

Description →

Reason(s) for
Control ←

License Requirements	
<i>Reason for Control:</i> NS, MT, AT	
<i>Control(s)</i>	<i>Country Chart (see sup No. 1 to part 738)</i>
NS applies to entire entry	NS Column 1
MT applies to non-military Unmanned Air Vehicle (UAVs) and Remotely Piloted Vehicles (RPVs) that are capable of a maximum range of at least 300 kilometers (km), regardless of payload, and 9A012.b.5.	MT Column 1
AT applies to entire entry	AT Column 1
List Based License Exceptions (See Part 740 for a description of all license exceptions)	
LVS: N/A	
GBS: N/A	
CIV: N/A	

Sub-paragraph
specific
control ←

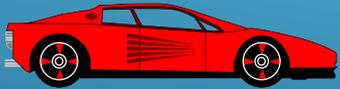
List-Based
License
Exceptions →

Item not Listed as an ECCN? EAR99

EAR99 items usually consist of low-technology products, such as commodities that can travel to most destinations without an export license.



- Items not specified on the CCL or another agency's list
- Most commercial items



Remember: Even EAR99 items can be restricted to certain countries, end-users, or end uses. Check all parties to the transaction, the end-use of the item and restricted destinations! See Part 736 of the EAR.



EAR99 Items subject to the EAR that are *not* elsewhere specified in this CCL Category *or* in any other category in the CCL are designated by the number *EAR99*.

Commerce Control List

Home About BIS Regulations Licensing Enforcement Compliance & Training Policy Guidance Add'l Programs Reform Data

Regulations

Regulations

Export Administration Regulations (EAR)

Commerce Control List (CCL)

Commerce Control List Index

Commerce Country Chart

Search the EAR

Federal Register Notices

GPO's EAR: e-CFR

Order a hard copy of the EAR

Proposed Rule Public Comments

Commerce Control List (CCL)

When determining whether an export license is needed from the Department of Commerce, you must first determine whether the item you intend to export has a specific Export Control Classification Number (ECCN). The ECCN is an alpha-numeric code, e.g., 3A001, which identifies the item and indicates licensing requirements. All ECCNs are listed in the Commerce Control List (CCL) (Supplement No. 1 to Part 774 of the EAR) which is available on the Department's Export Administration Regulations Office website. The CCL is divided into ten broad categories, and each category is subdivided into five product groups.

Print

Commerce Control List Categories

Miscellaneous
1 Materials, Chemicals, Microorganisms and Toxins
2 Materials Processing
3 Electronics
4 Computers
5 Part 1 Telecommunications
5 Part 2 Information Security
6 Sensors and Lasers
7 Navigation and Avionics
8 Marine
9 Aerospace and Propulsion

Five Product Groups

A Systems, Equipment and Components
B Test, Inspection and Production Equipment
C Material
D Software
E Technology

Commerce Control List (CCL) Resources

3 = Electronics
A = Systems, Equipment & Components
3A001

Commerce Control List Index

Supplement No. 4 to Part 744

Description	ECCN Citation
Ablative liners, thrust or combustion chambers	9A106.a, 9A619.c, .e
Abrin	1C351.d.1
Absolute reflectance measurement equipment	6B004.a
Absorbers of electromagnetic waves	1C001
Absorbers, hair type	1C001.a Note 1.a
Absorbers, non-planar & planar.....	1C001.a Note 1, b or c
Absorption columns	2B350.e
Accelerators (electro-magnetic radiation).....	3A101.b
Accelerometer axis align stations	7B003 or 7B101
Accelerometer test station.....	7B003 or 7B101
Accelerometers & components therefor.....	7A101
Accelerometers & accelerometer components.....	7A001
Acoustic beacons	6A001.a.1.b
Acoustic beam forming software	6D003.a.1
Acoustic hydrophone arrays, towed	6A001.a.2.b
Acoustic location & object detection systems or transmitting and receiving arrays	6A001.a.1.b
Acoustic, marine, terrestrial equipment	6A991
Acoustic mounts, noise reduction equipment for vessels	8A002.o.3.a
Acoustic-optic signal processing devices	3A001.c.3

Where is the Item Going?

- Reasons for Control vary on a country-by-country basis.
- The Commerce Country Chart shows the Reasons for Control that are applicable to a given country of destination (*Supplement No. 1 to Part 738*).
- If your item's ECCN has a reason for control that applies to your country of destination, then a License Requirement applies!

Commerce Country Chart

Supplement No. 1 to Part 738 of the EAR

Countries	Chemical & Biological Weapons			Nuclear Nonproliferation		National Security		Missile Tech	Regional Stability		Firearms Convention	Crime Control			Anti-Terrorism	
	CB 1	CB 2	CB 3	NP 1	NP 2	NS 1	NS 2	MT 1	RS 1	RS 2	FC 1	CC 1	CC 2	CC 3	AT 1	AT 2
	Afghanistan	X	X	X	X		X	X	X	X	X		X		X	
Albania ^{2,3}	X	X		X		X	X	X	X	X						
Algeria	X	X		X		X	X	X	X	X		X		X		
Andorra	X	X		X		X	X	X	X	X		X		X		
Angola	X	X		X		X	X	X	X	X		X		X		
Antigua & Barbuda	X	X		X		X	X	X	X	X	X	X		X		
Argentina	X					X		X	X		X	X		X		
Armenia	X	X	X	X		X	X	X	X	X		X	X			
Aruba	X	X		X		X	X	X	X	X		X		X		
Australia ³	X					X		X	X							
Austria ^{3,4}	X					X		X	X			X		X		
Azerbaijan	X	X	X	X		X	X	X	X	X		X	X			
Bahamas, The	X	X		X		X	X	X	X	X	X	X		X		

Updated February 24, 2020

Commerce Control List: ECCN and Reasons for Control

ECCN ←

9A012 Non-military “Unmanned Aerial Vehicles,” (“UAVs”), unmanned “airships”, related equipment and “components”, as follows (see List of Items Controlled).

Reason(s)
for Control ←

License Requirements

Reason for Control: NS, MT, AT

<i>Control(s)</i>	<i>Country Chart (see sup No. 1 to part 738)</i>
NS applies to entire entry	NS Column 1
MT applies to non-military Unmanned Air Vehicle (UAVs) and Remotely Piloted Vehicles (RPVs) that are capable of a maximum range of at least 300 kilometers (km), regardless of payload, and 9A012.b.5.	MT Column 1
AT applies to entire entry	AT Column 1

Description →

List Based License Exceptions (See Part 740 for a description of all license exceptions)

LVS: N/A
GBS: N/A
CIV: N/A

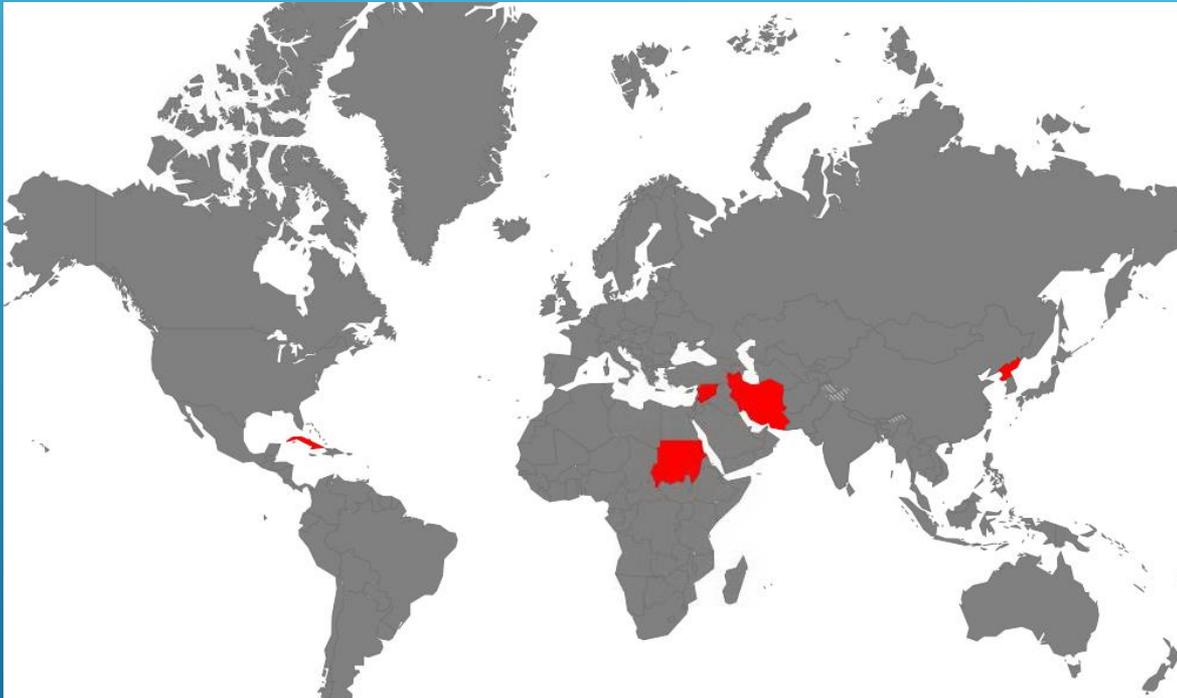
Cross Referencing the Country Chart with Reason for Control

		Chemical & Biological Weapons			Nuclear Nonproliferation		National Security		Missile Tech	Regional Stability		Firearms Convention	Crime Control			Anti-Terrorism	
ISO	Country	CB1	CB2	CB3	NP1	NP2	NS1	NS2	MT1	RS1	RS2	FC1	CC1	CC2	CC3	AT1	AT2
CN	China	X	X	X	X		X	X	X	X	X		X		X		
FI	Finland	X					X		X	X			X		X		
FR	France	X					X		X	X							
DE	Germany	X					X		X	X							
HK	Hong Kong	X	X		X		X	X	X	X	X		X		X		
IN	India	X	X		X		X		X	X							
JP	Japan	X					X		X	X							
SA	Saudi Arabia	X	X	X	X		X	X	X	X	X		X		X		
SG	Singapore	X	X		X		X	X	X	X	X		X		X		
GB	United Kingdom	X					X		X	X							

Updated February 24, 2020

Special Destinations & Embargoes

Part 742 and Part 746 of the *EAR*



- Iran
- Sudan
- Syria
- North Korea
- Cuba

Country-Specific FAQs

- Home
- About BIS
- Regulations
- Licensing
- Enforcement
- Compliance & Training
- Policy Guidance
- Add'l Programs
- Reform
- Data

- ECR FAQs
- Encryption FAQs
- Cuba FAQs
- Hong Kong FAQs

- Deemed Exports
- FAQs
- Foreign Import/Export License Requirements
- Encryption
- Product Guidance
- Multilateral Export Control Regimes
- India High Technology Trade
- China High Technology Trade
- Advisory Opinions
- Lists of Parties of Concern
- Country Guidance
- Russia Due Diligence Guidance
- Hong Kong Due Diligence Guidance
- Crude Oil Export Licensing Policy

Cuba

UNITED STATES DEPARTMENT OF COMMERCE
Bureau of Industry and Security
Washington, D.C. 20230

Cuba Frequently Asked Questions
Effective January 27, 2016

I. General	1
II. Embargo	4
III. Private Sector Economic Activity	5
IV. State-Owned Enterprises	8
V. Physical Presence	10
VI. Communications	10

Russia

Russia Sanctions

- Q1: What activities do the Treasury and Commerce sanctions cover?
- Q2: What license requirements do the industry sector sanctions implemented in §746.5 of the Export Administration Regulations (EAR) in the Commerce August 6, 2014 rule, "Russian Oil Industry Sanctions and Addition of Person to the Entry List" (79 FR 45675), impose?
- Q3: What additional requirements in the energy sector did the September 17, 2014 Commerce rule impose?
- Q4: Do my items, which are not going to be used in an oil or gas project, require a license under the new sanctions implemented in the August 6 rule, 79 FR 45675, "Russian Oil Industry Sanctions and Addition of Person to the Entry List"?
- Q5: How did the August 6 rule affect other items on the Commerce Control List (CCL), (i.e., ECCNs not specifically mentioned in §746.5 of the EAR) that are used for oil and gas exploration applications in Russia?
- Q6: What if the Schedule B number of the item I want to ship to Russia is similar to one included in Supplement No. 2 to part 746 of the EAR?
- Q7: If a part, component, accessory, or attachment for a commodity identified in one of the Schedule B numbers included in Supplement No. 2 to part 746 of the EAR is to be exported, reexported or transferred (in-country) as a stand-alone commodity, is it also considered to be identified in the supplement?
- Q8: Are valves that are not included in Schedule B subheading 8413 captured by the sector sanctions?
- Q9: What areas are considered Russia for purposes of these sanctions?
- Q10: Would an intra-company transfer of any of the items listed by ECCN in §746.5 or by Schedule B

FAQs

- Exports of Shotguns to Canada
- Embassy FAQs
- Deemed Export FAQs
- Intrusion and Surveillance Items
- Russia Sanctions
- Regulations FAQs
- Frequently Asked Questions on BIS's New Boilerplate License Language
- Missile Technology FAQs
- Exports of Firearms and Related Items FAQs
- Sudan: Change of Licensing Policy for Exports of Civil Telecommunications-related Infrastructure Items to Sudan and Ad an Eligible Destination for Exports of Consumer Communications Devices under License Exception CCD
- Sudan: Amendment to allow temporary export and reexport of items described in license exception Consumer Communic (CCD) as "tools of the trade" under license exception Temporary Import, Exports, Reexports, and Transfers (in-country) (TIP)
- Technology and Software FAQs
- Entity List FAQs
- Validated End User Program FAQs

The Consolidated Screening List (CSL)

Who is Involved?

The primary list of parties for which the U.S. Government maintains restrictions on certain exports, re-exports or transfers of items which includes:

Commerce - BIS

- Denied Persons List
- Entity List
- Unverified List

State Department

- Nonproliferation Sanctions List
- Debarred Parties List

Treasury - Office of Foreign Assets Control

- Specially Designated Nationals List
- Foreign Sanctions Evaders
- Sectoral Sanctions Identification (SSI) List
- Palestinian Legislative Council (PLC)
- Part 561 List
- Non SDN Iranian Sanctions Act (NS-ISA) List

<https://www.export.gov/csl-search>

Search the Consolidated Screening List

Search [eleven screening lists](#) at one time by filling in the search boxes below. If you get too many results, try including more information to the additional fields. If you get too few results, try searching one field at a time.

Keyword

Search for words in the name, alternative names (aliases), title of the entity, and additional remarks regarding the entity.

Name

Search for an entity's name or one of its alternative names.

Fuzzy Name

When set to off, the spelling of the Name you search for must be correct to get results. When set to on, the spelling for the Name you search for may be slightly off. Check the score for each result to determine how close a match it is to the entity's name or its alternative names. A score of 100 is an exact match. Results are returned with the highest scores first.

Address

Search for the street address, city, province, and postal code of an entity.

Sources

Choose which of the eleven screening lists that you want to search.

Countries

Choose which countries that you want to search. Note, the Nonproliferation Sanctions and ITAR Debarred lists do not include the country with an entity. If you choose to search for entities by country then you will not be searching these two lists.

SEARCH

export.gov

Helping U.S. Companies Export

How is the Item Being Used?

- End Use/User Controls

Part 744 of the EAR

- May apply to all items subject to the EAR, **including EAR99**
- If any parties “know” or are “informed” of prohibited end-uses
- Proliferation end-users/uses – nuclear, missile technology, chemical and biological
- Restrictions on certain military end-uses

Licensed Transactions



SNAP- R

Bureau of Industry and Security
U.S. Department of Commerce

ABOUT SNAP-R
BIS HOME
SNAP-R FAQ
NEWLY RELEASED!
STELA

WARNING WARNING WARNING WARNING WARNING WARNING WARNING WARNING

USE OF THIS SYSTEM IS RESTRICTED AND MONITORED !!!

You are accessing a U.S. Government information system, which includes: 1) this computer, 2) this computer network, 3) all computers connected to this network, and 4) all devices and storage media attached to this network or to a computer on this network. You understand and consent to the following: you may access this information system for authorized use only; you have no reasonable expectation of privacy regarding any communication of data transiting or stored on this information system; at any time and for any lawful Government purpose, the Government may monitor, intercept, and search and seize any communication or data transiting or stored on this information system; and any communications or data transiting or stored on this information system may be disclosed or used for any lawful Government purpose.

WARNING WARNING WARNING WARNING WARNING WARNING WARNING WARNING

Login to SNAP-R

Login ID [?](#)

Password [?](#)

CIN (Applicant ID) [?](#)

[Register online for a SNAP-R account](#)

Privacy Act Statement

The Export Administration Act of 1979, as amended (50 U.S.C. app Sec 2401 et seq.), authorizes collection of this information. The primary use of this information is for the submission of:

- Export and Reexport License Applications,
- Commodity Classification Requests, and
- Agricultural License Exception Notifications

Licensed Transactions

SNAP-R Company Registration

Company Information

Country: *

Company Name: *

Address Line 1: *

*PO Boxes are not allowed

Address Line 2:

City: *

State (U.S. only): *

Zip/Postal Code: *

Administrator Information

First Name: *

Last Name: *

Phone: *

Fax:

Email Address: *

Confirm Email Address: *

What information is on a Commerce License in the filing system?

- **“D” number** – *this is a unique, alphanumeric identifier for a Commerce Export / Re-Export License. The majority of Commerce licenses start with the letter “D.”*
- **“F”, “R”, “V”, “N” number** – *these are unique, alphanumeric identifiers for Commerce **Special Licenses** or License Exceptions.*
 - *Please direct calls regarding these to BIS.*
- **Approval Validation Date** – *this is the date from which an exporter is eligible to file a licensed transaction.*
 - *Up to three business days for a license to be available within the filing system*
- **Initial License Value** – *Total dollar amount for which a license may be used to export controlled items. This value excludes INCO terms like freight and insurance.*
- **Decrementing License Value** – *Dollar amount remaining on a license after it has been used.*
- **Expiration Date** – *End of license validity (midnight of date).*

Licensing Troubles?

- **License Value Reported**— *This is the value of the item being exported and should always be a lesser value than the shipment value. This is because the shipment value will include International Commercial Terms (INCO Terms) such as Insurance, Freight/Shipping charges.*
- **License Decrementation**— *Each time an exporter uses a license the value the total value of the license will be reduced by the licensed good value reported in the filing system. **AES - 593 error***
 - *If an exporter reports a license value exceeding the shipment value, AES will deliver a fatal error.*
 - *If an exporter reports a license value in excess of the total initial value of the license received from Commerce, AES will deliver a fatal error.*
 - *If an exporter reports a license value that will zero out the balance of the total initial license value, AES will deliver an informational message.*
- **Approval Validation Date** — *this is the date from which an exporter is eligible to file a licensed transaction. **AES – 545 error or 546 error***
 - *Up to three business days for a license to be available within the filing system.*
 - *Start and End times are Midnight.*

License Exceptions and Authorizations

- An exception or authorization takes the place of a license, fulfilling a license requirement without the need to obtain a license.
 - In most instances exporter does not require anything in writing from BIS.
- Identified by acronym (e.g. LVS, TSR, STA)
 - In AES they are identified as License types C35-C59
 - License Exceptions contained in part 740.

Important Commerce License Exceptions Concepts

1) List-Based Exceptions

Availability is based on the ECCN

- Limited Value Shipments (LVS) C35
- Shipments to Group B Countries (GBS) C36
- Civil End Users (CIV) C37
- Technology Software and Restricted (TSR) C38
- Strategic Trade Authorization (STA) C59

2) Transaction-Based Exceptions

Availability is based on the terms of the transactions

- Temporary Imports, Exports, and Reexports (TMP) C40
- Service & Replacement of Parts & Equip. (RPL) C41
- Governments, International Organizations (GOV) C42
- Baggage (BAG) C45
- Technology & Software Unrestricted (TSU) C44

* When using a License Exception, the exporter is **certifying** that the terms, provisions and conditions for use of the License Exception have been met.

Country Groups for License Exceptions

- Country Groups are shown in Supplement No. 1 to Part 740 of the EAR
- Only certain Country Groups are Eligible for “List-Based” License Exceptions
 - **LVS** (C35), **GBS** (C36), and **TSR** (C38) are limited to Country Group B
 - **CIV** (C37) is limited to Country Group D:1

If an export transaction is determined to be eligible for a CCL-based license exception, you need to know:

- What country group your country of destination belongs in
- Which license exceptions are eligible for the country group.

List-Based License Exceptions

3A001 Electronic components and specially designed components therefor, as follows (see List of Items Controlled).

Description

ECCN

License Exceptions

LVS: N/A for MT or NP

Yes for:

\$1500: 3A001.c

\$3000: 3A001.b.1, b.2, b.3, b.9, .d, .e, .f, and .g

\$5000: 3A001.a (except a.1.a and a.5.a when controlled for MT), and b.4 to b.7

GBS: Yes for 3A001.a.1.b, a.2 to a.12 (except .a.5.a when controlled for MT), b.2, b.8 (except for TWTAs exceeding 18 GHz), b.9., and .g.

CIV: Yes for 3A001.a.3, a.4, a.7, and a.11.

List-Based License Exceptions

What resources are most relevant for Commerce License Exceptions?

- CFR Title 15 Subtitle B Chapter VII Subchapter C Part 740

AES Code	EAR	AES Code	EAR
C35	Shipments of Limited Value (LVS)	C44	Technology and software - unrestricted (TSU)
C36	Shipments to Country Group B Countries (GBS)	C45	Baggage (BAG)
<i>C37</i>	<i>Civil end-users (CIV)</i>	C46	Aircraft, vessels and spacecraft (AVS)
C38	Technology and Software under restriction	<i>C47</i>	<i>Additional permissive reexports (APR)</i>
C53	Computers (APP)	C50	Encryption commodities, software, and technology (ENC)
C40	Temporary imports, exports, reexports, and transfers (in-country) (TMP)	C51	Agricultural commodities (AGR)
C41	License Exception Servicing and replacement of parts and equipment (RPL)	C58	Consumer Communications Devices (CCD)
C42	Governments, international organizations, international inspections under the Chemical Weapons Convention, and the International Space Station (GOV)	C59	License Exception Strategic Trade Authorization (STA)
C43	Gift parcels and humanitarian donations (GFT)	C62	Support for the Cuban People (SCP)

- Country Groups

- AESTIR Appendices

- AESTIR Appendix A – System Error Codes

- AESTIR Appendix F – License and License Exemption Type Codes

No License Required (NLR)

Valid Use of C33 “NLR”

- ECCN with Anti-Terrorism (AT) control only, EAR99 items, or destined to Puerto Rico or the U.S. Virgin Islands (ECCN Recommended)
- ECCN with control **other than** *or in addition to* Anti-Terrorism (ECCN required)
- 600 Series or 9x515 to Canada (ECCN required)

Valid Use of C60 “DY6”

- Required for .y subparagraph of “600 series” items
- AES filing exempt for shipments under \$2,500 or to Canada
- ECCN allowed but not required to be reported
- See AESTIR Appendix F for more info

Proper Reporting of NLR: Example 1

0A979 Police helmets and shields; and parts, n.e.s.

License Requirements

Reason for Control: CC

Control(s)

Country Chart

CC applies to entire entry

CC Column 1

License Exceptions

LVS: N/A

GBS: N/A

CIV: N/A

List of Items Controlled

Unit: \$ value

Related Controls: N/A

Related Definitions: N/A

Items:

The list of items controlled is contained in the ECCN heading.

Proper Reporting of NLR: Example 1

Country	Chemical & Biological Weapons			Nuclear Nonproliferation		National Security		Missile Tech	Regional Stability		Firearms Convention	Crime Control			Anti-Terrorism	
	CB1	CB2	CB3	NP1	NP2	NS1	NS2	MT1	RS1	RS2	FC1	CC1	CC2	CC3	AT1	AT2
Afghanistan	X	X	X	X		X	X	X	X	X		X		X		
Albania	X	X		X		X	X	X	X	X		X	X			
Algeria	X	X		X		X	X	X	X	X		X		X		
Andorra	X	X		X		X	X	X	X	X		X		X		
Angola	X	X		X		X	X	X	X	X		X		X		
Antigua	X	X		X		X	X	X	X	X	X	X		X		
Argentina	X					X	X	X	X	X	X	X		X		
Armenia	X	X	X	X		X	X	X	X	X		X	X			
Aruba	X	X		X		X	X	X	X	X		X		X		
Australia	X					X		X	X							
Austria	X					X		X	X	X		X		X		
Azerbaijan	X	X	X	X		X	X	X	X	X		X	X			
Bahamas	X	X		X		X	X	X	X	X	X	X		X		
Bahrain	X	X	X	X		X	X	X	X	X		X		X		
Bangladesh	X	X		X		X	X	X	X	X		X		X		
Barbados	X	X		X		X	X	X	X	X	X	X		X		
Belarus	X	X	X			X	X	X	X	X		X	X			
Belgium	X					X		X	X							

Q: For ECCN 0A979, which countries would you use the C33 NLR code in AES?

What resources are most relevant for items with No License Requirement?

- [CFR Title 15 Subtitle B Chapter VII Subchapter C](#)
- [Part 758](#)
- [Commerce Control List](#)
- [Commerce Country Chart](#)

View in presentation mode to enable hyperlinks

Tools for Exporters to Self-Classify Items



Bureau of Industry and Security
U.S. Department of Commerce
Where Industry and Security Intersect

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BIS publishes advanced notice of proposed rulemaking "Review of Controls for Certain Emerging Technologies."



Procedures for Participating in User Testing of the New Commerce 232 Exclusion Process Portal published on November 26, 2018



BIS publishes advanced notice of proposed rulemaking "Review of Controls for Certain Emerging Technologies."



Frequently Asked Questions Product Exclusions for Section 232 Steel and Aluminum Tariffs

Would you like to...

Select from the list below:

Speak to an Export Counselor

ENTER

New to Exporting?



Information for small and new-to-export companies

Consolidated Screening List



The following list may be relevant to your export or reexport transaction

Exporter Portal



Everything you need to know about exporting

In The News



BIS Newsroom

Report Violations



Reporting Possible Violations

Tools for Exporters to Self-Classify Items

Export Control Basics

Introduction to Commerce
Department Export Controls

[Learn More >>](#)



Lists to Check

Monitor any parties of concern

[Learn More >>](#)



Decision Tree Tools

Find out more specifics
on exporting

[Learn More >>](#)



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straight to your email

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Explore multimedia online training

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status

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Discover which countries have
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EAR

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Ensure your exports fully comply
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Familiarize yourself with red flags
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FAQs

Licensing FAQs

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Classification Information

Classification information table
List 1 provided by companies

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Tools for Exporters to Self-Classify Items



Bureau of Industry and Security
U.S. Department of Commerce
Where Industry and Security Intersect

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- Data

Reform

- > Reform
- > Export.Gov
- > ECR Teleconference
- > Decision Tree Tools
- > ECR FAQs

Decision Tree Tools

- > Decision Tree Tools
- > CCL Order of Review
- > Specially Designed
- > STA
- > De minimis & Direct Product
- Rules Decision Tool
- > Technical FAQs

Export Control Classification Interactive Tool

Reset

[Key Terms List](#)



Is the item [subject to the EAR](#)?



- Yes
- No

<< Previous Next >>

Additional Information

If you don't know if the item is subject to the EAR, review § 734.3.

Key Terms

+ [Subject to the EAR](#)

Other Key Export Clearance Regulations

758.1 When AES Filing is Required

758.2 Grounds for Denial for
AES Post-Departure Filing

758.3 Responsibilities of Parties/Routed

758.6 Destination Control Statement

Potential Outcomes of Failing to Identify an Export License Requirement

Failing to address a License Requirement can cause:

- Delays in exporting
- Fatal errors on your compliance record
- Violations of the EAR and FTR, incurring administrative or criminal penalties

The more egregious violations are penalized:

- **Administrative** penalties are up to **\$284,582** maximum (for each violation)
- **Criminal** penalties are up to **\$1,000,000 and/or imprisonment.**
- Administrative Penalties are more common for inadvertent or accidental errors.
- Publication: “Don’t Let This Happen to You”

Regulatory Updates

Item	Type of Rule	Publication Date	Effective Date	End of Comment Period	Federal Register Citation
Foreign-Produced Direct Product Rule	Interim Final	05/19/2020	05/15 2020	07/14 2020	85 FR 29849
Modification of License Exception Additional Permissive Reexports (APR)	Proposed	04/28/2020		06/29 2020	85 FR 23496
Elimination of License Exception Civil End Users (CIV)	Final	04/28/2020	06/29 2020		85 FR 23470
Expansion of Export, Reexport, and Transfer (in-Country) Controls for Military End Use or Military End Users in the People's Republic of China, Russia, or Venezuela	Final	04/28/2020	06/29 2020		85 FR 23459

BIS Contact Information

Website: www.bis.doc.gov

Exporter Services Offices:

Washington, D.C. (202) 482-4811

Southern California (949) 660-0144

Northern California (408) 998-8806

Export Enforcement Offices

Nationwide (800) 424-2980

Office of Technology Evaluation

1401 Constitution Ave., NW

Room 1093

Washington, DC 20230

202-482-4933 (office)

202-482-5361 (fax)

Department of State, Directorate of Defense Trade Controls (DDTC): Licenses defense services and defense (munitions) articles.
Tel. (202) 663-1282

Department of the Treasury, Office of Foreign Assets Control (OFAC): Administers and enforces economic and trade sanctions
Toll Free Hotline: 1 (800) 540-6322 Local Hotline: (202) 622-2490 Cuba Sanctions Violation Hotline (Miami): (786) 845-2829
Fax: (202) 622-1657 OFAC Licensing Division (Direct): (202) 622-2480

Nuclear Regulatory Commission (NRC), Office of International Programs: Licenses nuclear material and equipment.
Tel. (301) 287-9057 Fax: (301) 415-2395

Department of Energy, Office of Nonproliferation and Arms Control: Licenses nuclear technology and technical data for nuclear power and special materials.
Tel. (202) 586-8623

Department of Energy, Office of Fuels Programs: Licenses natural gas.
Tel. (202) 586-0521 Fax: (202) 586-6050

Defense Technology Security Administration (DTSA): Administers Department of Defense (DoD) technology security policies on international transfers of defense-related goods, services and technologies.
Tel. (571) 372-2564

Department of the Interior, U.S. Fish and Wildlife Service: Import and Export of wildlife and endangered and threatened species.
Tel. (703) 358-2093

Drug Enforcement Administration, Office of Diversion Control: Oversees the export of controlled substances and the import and export of listed chemicals used in the production of control substances
Tel. (202) 307-7181

Environmental Protection Agency, Office of Resource Conservation and Recovery: Hazardous waste transportation
Tel. (703) 308-0005

Food and Drug Administration: Exporting Medical Devices, Export Certificates
<https://www.fda.gov/RegulatoryInformation/Guidances/ucm125789.htm>

Patent and Trademark Office: Oversees patent filing data sent abroad.
Tel. 1 (800) 786-9199