

# CBP and Trade Automated Interface Requirements

## ATF Supplemental Guidance for ACE

6 September 2016

**U.S. Department of Justice, Bureau of Alcohol, Tobacco, Firearms and Explosives, in conjunction with U.S. Customs and Border Protection**



U.S. Customs and  
Border Protection



**CHANGE LOG**

<b>Date of Change(s)</b>	<b>Version</b>	<b>Section(s) Affected</b>	<b>Brief Description of Change(s)</b>
4/13/2015	1.0	All	Original Document
4/22/2015	1.1	2.3, 2.3.x, 2.5	2.3 – Changed the PG14 status to Conditional; moved the PG50 grouping below PG02; 2.3.x – Added; 2.5 – Moved the PG50 grouping to below PG02
5/4/2015	1.2	2.5	2.5 – Corrected color coding of example CATAIR
5/6/2015	1.3	2.3, 2.5	2.3 – Added additional controls/fields; 2.5 – Added new controls.
5/15/2015	1.4	1.3, 2.5.x, 2.6, Appendix	1.3 – Updated External References; 2.5.x – Added new examples; 2.6 – Added section “Importer Responsibilities”; Appendix – PG10 – Corrected Category Code for “Sporting Ammo”
7/10/2015	1.5	2.3, 2.5.x	2.3 – PG26 Packaging qualifier changed to ‘1’; 2.5.x – Examples updated PG26 Packaging qualifier
7/17/2015	1.6	1.3	General formatting updates; 1.3 – Updated External References
8/11/2015	1.7	Cover Page	Cover Page – New CBP template
9/10/2015	1.8	2.3.2, Appendix B	2.3.2 – FFL/FEL/AECA Numbers must be submitted with hyphens; Appendix B – Added Test Data
10/21/2015	1.9	Appendix PGA	Appendix PGA – Updated PG10 “AT1” Category Codes: <ul style="list-style-type: none"> <li>• Added (AW, DD, NSG, SR, SREK, SS, SSA, SSAP, SSAX, SSBL, SSP)</li> <li>• Modified Requirements on (ARPP, BMB, EXP, FG, GRP, FT, MIN, MIS, MVP, NW, REC, SG, WHD)</li> <li>• Modified Notes on (AMM, AMP, AMX, BBL, FP, FWK, NW, REC, SG)</li> <li>• Modified Description on (SG)</li> <li>• Removed (ABB, ABL, AM, GM, GMP)</li> </ul>
1/27/2016	1.11	2.2, 2.3.1, 2.3.2, 2.3.3, 2.4, 2.5.x, Appendix PGA	ATF RULE CHANGE – Only a single <PG10> Commodity Code allowed per <PG01> Line Number: <ul style="list-style-type: none"> <li>• 2.2 – Updated: grouping rules;</li> <li>• 2.3 – Updated: CATAIR comments(s)</li> <li>• 2.3.1 – Added: The &lt;PG50/51&gt; records are mandatory;</li> <li>• 2.3.3 – Removed: The &lt;PG50/51&gt; records are optional;</li> <li>• 2.4 – Added: &lt;PG50/51&gt; requirements;</li> <li>• 2.5.x – Updated: Examples now reflect “Test Data”;</li> <li>• 2.5.x – Updated: Examples now reflect single commodity per &lt;PG01&gt; Line;</li> </ul> 2.3.2 – FFL/FEL/AECA Numbers hyphens are optional; 2.3.2 – Permit Numbers must be entered as the full number; Appendix PGA – Updated: <PG10> “AT1” Category Codes: modified Notes on (SR, SS); Appendix B – Added note about CERT data
5/19/2016	1.12	1.3, 2.3, 2.5.x, 2.7, Appendix C	1.3 – Update of “External References”; 2.3 – Clarifications of PG10 and PG26: <ul style="list-style-type: none"> <li>• Comment on PG26 record to include x.00 “whole number” requirement;</li> <li>• Clarification of the final note regarding PG10;</li> </ul> 2.5.x – Corrected Examples: <ul style="list-style-type: none"> <li>• 2.5 – Added general comment regarding LPCO example numbers;</li> <li>• 2.5.x – Update CATAIR “OI” to better describe the example;</li> <li>• 2.5.2 – Update “Notes” that the Exemption is for FEL not FFL;</li> </ul> 2.7 – New section on HTS codes (ATF does not use them); Appendix C – New section “CBP-ACE Error Codes” relevant to ATF;
6/8/2013	1.13	2.5.x	2.5.x – Minor typo correction in Example comments ( changed “to” → “two”);

Date of Change(s)	Version	Section(s) Affected	Brief Description of Change(s)
7/22/2016	1.14	1.3, 2.5.3, 3.x, Glossary, Appendix B.5, D	1.3 – Updated External References; 2.5.3 – Example 3 PG26 record (Packaging qualifier corrected: from 6 to 1); 3.x – New Section: “Industry Guidance (IG) - Exports”; Glossary – Added (AES, AESTIR); B.5 – Revised Test Data; added Exports Test Data; D – New Section: “CBP-ACE Error Codes – Exports”
9/6/2016	1.15	Appendix PGA, Appendix C	Appendix PGA – Updated PG10 “AT1” Category Codes: <ul style="list-style-type: none"> <li>• Added (ABL, AM, GM, GMP, IOW, MSC);</li> </ul> Appendix C – Updated “CBP-ACE Error Codes (Imports)”: <ul style="list-style-type: none"> <li>• Added (PDN, PDO, PDP, PDQ, PDR, PDS, PDT, PDU, PDV, PDW, PDX, PDY, PDZ, PEA, PEB, PEC, PED);</li> <li>• Removed (PR4, PR5, PU7, PV0);</li> <li>• Updated (PH8)</li> <li>• Increased Severity on (PDO, PDS, PDU, PDX, PED) due to Pilot completion; effective 10/15/2016;</li> </ul>

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## SECTION 1. INTRODUCTION

This document is intended as a supplemental guide to the Customs and Border Protection (CBP) Automated Commercial Environment (ACE) using the CBP and Trade Automated Interface Requirements (CATAIR), PGA Message Set chapter (also referred to as an implementation guide). The PGA CATAIR chapter outlines the overall data relationships and this document establishes the ATF specific requirements from Trade/Industry with regard to the CBP (ACE) system.

### 1.1. Purpose

The ATF will use this information to determine if a particular importation of a Firearm, Ammunition, Implement of War, or any combination thereof requires either a Federal Firearms License, Federal Explosives License, AECA Registration, and/or Permit (ATF Form 6/6A) at the point the Entry record is submitted and at the point the cargo is released.

The purpose of this process is to reduce violent crime and protect the public by verifying that commodities such as firearms, explosives, ammunition, and implements of war are importable under Federal laws and regulations.

### 1.2. Authority

The ATF is authorized to collect this information under authority of:

- Authority of AG/Director to promulgate rules, regulations, and forms: 18 U.S.C. §926; 27 C.F.R. §447.35; 27 C.F.R. §478.21; 27 C.F.R. §479.21
- Form 6: 18 U.S.C. §925(d); 27 C.F.R. §§447.41-46; 27 C.F.R. §§478.111-118; 27 C.F.R. §479.111
- Form 6A: 27 C.F.R. §447.45; 27 C.F.R. §§478.112-114
- Form 9: 26 U.S.C. §5812; 27 C.F.R. §§479.114-118

### 1.3. External References

This document relies on information presented in these external documents:

Document Title	Document Name / URL	Version / Access Date
ATF Supplemental Guidance for ACE (this document)	<a href="https://www.cbp.gov/document/guidance/atf-supplemental-guidance-ace">https://www.cbp.gov/document/guidance/atf-supplemental-guidance-ace</a>	1.15 (9/6/2016)
ACE Automated Broker Interface (ABI) and CBP and Trade Automated Interface Requirements (CATAIR)	<a href="http://www.cbp.gov/trade/ace/catair">http://www.cbp.gov/trade/ace/catair</a>	5/13/2016
PGA Message Set	<a href="http://www.cbp.gov/document/guidance/pga-message-set">http://www.cbp.gov/document/guidance/pga-message-set</a>	v13 (4/15/2016)
Appendix PGA	<a href="http://www.cbp.gov/document/guidance/appendix-pga">http://www.cbp.gov/document/guidance/appendix-pga</a>	v15 (4/15/2016)
Appendix C - Tariff Abbreviations	<a href="http://www.cbp.gov/document/guidance/appendix-c-tariff-abbreviations">http://www.cbp.gov/document/guidance/appendix-c-tariff-abbreviations</a>	August 2012
Entry Summary Create / Update	<a href="http://www.cbp.gov/document/guidance/ace-abi-catair-entry-summary-createupdate">http://www.cbp.gov/document/guidance/ace-abi-catair-entry-summary-createupdate</a>	v45 (4/18/2016)
CBP-ACE Error Codes	<a href="https://www.cbp.gov/document/guidance/pga-error-messages">https://www.cbp.gov/document/guidance/pga-error-messages</a>	1/27/2016
AESTIR - Draft Commodity Formats - PGA	<a href="https://www.cbp.gov/document/guidance/aestir-draft-commodity-formats-pga-0">https://www.cbp.gov/document/guidance/aestir-draft-commodity-formats-pga-0</a>	v2.0 4/1/2016
AESTIR - Draft Export Shipment Information 601 – PGA (X12)	<a href="https://www.cbp.gov/document/guidance/aestir-draft-export-shipment-information-601-pga">https://www.cbp.gov/document/guidance/aestir-draft-export-shipment-information-601-pga</a>	6/23/2016

### 1.4. Points of Contact

Please direct any ATF related questions and/or comments regarding this document to:

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<b>Name</b>	<b>Organization/Role</b>	<b>Email</b>
ATF Imports Helpdesk	ATF-CBP/ACE assistance (for Imports)	<a href="mailto:Imports-Helpdesk@atf.gov">Imports-Helpdesk@atf.gov</a>
ATF Exports Helpdesk	ATF-CBP/ACE assistance (for Exports)	<a href="mailto:Exports-Helpdesk@atf.gov">Exports-Helpdesk@atf.gov</a>

### **1.5. Distribution (General)**

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This document is released for “General Distribution”.

## SECTION 2. INDUSTRY GUIDANCE (IG) – IMPORTS

This section serves multiple purposes. First, it defines the fields Trade must submit to CBP/ACE. Second, it gives a visual depiction of ATF required data groupings.

### 2.1. Data Elements

All data elements are in fixed-length format. If all positions are not filled, the formatting rules are:

Code	Description	Fill rules
A	The data element is alphabetic only (uppercase ONLY).	Left justify and Space fill.
AN	The data element is alphanumeric only (uppercase ONLY, for characters A through Z).	Left justify and Space fill.
N	The data element is numeric only.	Right justify and zero-fill.
X	The data element is alphanumeric or special characters (uppercase ONLY for characters A through Z).	Left justify and Space fill.

Status codes are important to ensure that appropriate data is transmitted. Codes must be used where indicated or errors will occur.

Code	Description
M	Mandatory data element - must always be present.
O	Optional data element - generate data if available.
C	Conditional data element - data is provided if the conditions warrant.

General Rules for Data Submission:

- Unused fields, which are defined as numeric, should not be zero-filled. These fields should be space filled or data errors may result.
- Data should not be placed in fields defined as filler. If data is present in filler fields, an error message may be system generated.
- Transmit ONLY uppercase alphabetic characters A through Z. While some applications may not return specific error messages when detecting lower-case letters, CBP cannot guarantee the consistency of processing results for data transmitted in lower case.

### 2.2. PGA Grouping Rules

These are the relevant CATAIR rules regarding grouping as defined in the CATAIR:

- PG50 and PG51 are start and end grouping records which can be used to indicate that the data immediately following specific records should be associated together.
- Currently, the following records can be followed by a PG50/51: PG02, PG04, PG13, and PG14.
- The following records can appear in a group: 5, 6, 7, 10, 14, 19, 25, 26, 29.
- Only one level of grouping is allowed under a given record. There cannot be groupings within groupings.
- If the PG50 is used, a PG51 must also be transmitted.



### 2.3. PGA Controls used by ATF – Imports

REMINDERS: The PGA Message Set does not stand-alone and must be submitted with an entry filing such as an ACE Entry Summary certified for cargo release.

There are times when ATF and CBP reporting may require the same data. In those instances, ATF will not ask for the data to be provided again in the PGA Message Set, if it is already collected by CBP. That is, the PGA Message Set data requirements for ATF will not duplicate those common data elements. Instead, the PGA Message Set is used to provide the additional data elements required for ATF reporting. In some instances, however, ATF's reporting requirements may require more specificity than CBP filing requirements. In those cases, ATF standardized format, provided for by the CATAIR, must be used regardless of how the data was captured by Customs.

This is the suggested format to meet all of the requirements of the ATF:

Control	Length / Class	Position	Status	Field Name	Example	Note
OI	70X	11-80	M	Commercial_Description	XXXXXX	
PG01	3N	5-7	M	PGA_Line_Number	001	
	3AN	8-10	M	Agency_Code	ATF	Always [ATF]
	3X	11-13	M	Agency_Program	ATF	Always [ATF]
	1A	18	M	Confidential_Info	Y	Always [Y]
PG02	1A	5	M	Item_Type	P	Always [P]
PG50	<A grouping for the distinct "Category Code" imported>					
PG07	35X	5-39	O	Model	XXXX	(Form 6 'g')
	15X	40-54	O	Caliber_Gauge_Size	XXXX	(Form 6 'c')
PG10	6AN	5-10	M	Category_Type_Code	AT1	Always [AT1]
	5AN	11-15	M	Category_Code	SG, RI, PI, ...	(Form 6 'b') Appendix PGA (PG10 – Category Code)
	4X	16-19	O	Commodity_Qualifier	PC9	Always [PC9]
	57X	24-80	O	Commodity_Description	XXXX	
PG19	3AN	5-7	O	Entity_Role	MF	Always [MF]
	32X	26-57	O	Manufacturer_Name	XXXX	(Form 6 'a')
PG20	2A	66-67	O	Manufacturer_Country	US	(Form 6 'a') Appendix B (ISO)
PG26	1N	5	M	Packaging_Qualifier	1	Always [1]
	12N	6-17	M	Quantity	123456789.00	(Form 6 'd'); beware the last two digits are decimals and must be [00]
PG29	3AN	35-37	C	Unit_Of_Measure_Net	IN	Always [IN]
	12N	38-49	O	Barrel_Length	123	(Form 6 'h')
	3AN	50-52	C	Unit_Of_Measure_Gross	IN	Always [IN]
	12N	53-64	O	Overall_Length	123	(Form 6 'i')
PG51						
PG14	3AN	6-8	M	LPCO_Type	AT2	Always [AT2]
	33X	9-41	C	FFL_Number	1-23-456-78-9A-01234	Full License number is required (hyphens are optional)
	9X	72-80	O	FFL_Exemption_Code	1, 2, <empty>	Appendix PGA (PG14 – Exemption Codes)
PG14	3AN	6-8	M	LPCO_Type	AT3	Always [AT3]
	33X	9-41	C	FEL_Number	1-23-456-78-9A-01234	Full License number is required (hyphens are optional)
	9X	72-80	O	FEL_Exemption_Code	1, 2, <empty>	Appendix PGA (PG14 – Exemption Codes)
PG14	3AN	6-8	M	LPCO_Type	AT4	Always [AT4]
	33X	9-41	C	Permit_Number	123456789	

Control	Length / Class	Position	Status	Field Name	Example	Note
	9X	72-80	O	Permit_Exemption_Code	1, 2, <empty>	Appendix PGA (PG14 – Exemption Codes)
PG14	3AN	6-8	M	LPCO_Type	AT5	Always [AT5]
	33X	9-41	C	AECA_Number	A-12-345-6789	Full AECA number is required (hyphens are optional)
	9X	72-80	O	AECA_Exemption_Code	1, 2, <empty>	Appendix PGA (PG14 – Exemption Codes)
PG30	1A	5	M	Date_Type	A	Always [A]
	8N	6-13	M	Anticipated_Arrival_Date	12312015	(MMDDCCYY)
	50X	22-71	O	Arrival_Location	Brunswick, GA	
PG32	2AN	5-7	M	Commodity_Routing	198	Always [198]
	2A	8-9	M	Export_Country	XX	Appendix B (ISO)

NOTE: Each Entry Line must have only one Category Codes (PG10) grouping.

### 2.3.1. Mandatory Controls – Imports

All fields marked with a Status of “M” are MANDATORY. Here are the special cases:

- The <PG01> record is mandatory.
- The <PG02> record is mandatory.
- The <PG50> record is mandatory.
- The <PG10> record is mandatory; however there can only be one per <PG50/51> “grouping”.
- The <PG26> record is mandatory; however there can only be one per <PG50/51> “grouping”.
- The <PG51> record is mandatory.
- The <PG30> record is mandatory.
  - <PG30 (22-71)> “Arrival Location” is optional.
- The <PG32> record is mandatory.

### 2.3.2. Conditional Controls – Imports

All fields marked with a Status of “C” are CONDITIONAL. Here are the special cases:

- The <PG14> record(s) are conditional depending if they are required based on Appendix PGA (PG10 – Category Code).
  - If submitted, the <PG14 (6-8)> “LPCO Type” is mandatory.
  - If submitted, the <PG14 (9-41)> FFL/FEL/AECA/Permit Number is conditional depending if there is an Exemption declared in <PG14 (72-80)>.
    - If there is no exemption, then it is mandatory.
    - If there is an exemption, then it is optional; however, if it is entered, it must be a valid.
    - If submitted, the <PG14 (9-41)> FFL/FEL/AECA Number must be the full number (hyphens are optional).
  - If submitted, the <PG14 (72-80)> “Exemption Code” is optional.
  - NOTE: some Permit Numbers (AT4) appear on the form as “15-12345”; however, they must be entered as: “2015-12345” or “201512345”

### 2.3.3. Optional Controls – Imports

All fields marked with a Status of “O” are OPTIONAL.

- The <PG07> record is optional; however there can only be one per <PG50/51> “grouping”.
- The <PG19> record is optional; however there can only be one per <PG50/51> “grouping”.
  - If submitted, the <PG19 (5-7)> “Entity Role” field is mandatory.
  - If submitted, the <PG19 (26-57)> “Manufacturer Name” field is mandatory.
- The <PG20> record is optional; however there can only be one per <PG50/51> “grouping”.
  - If submitted, the <PG20 (66-67)> “Manufacturer Country” field is mandatory.

- The <PG29> record is optional; however there can only be one per <PG50/51> “grouping”.
  - If submitted, the “unit of measure” and applicable “length” field(s) are mandatory.

## **2.4. ATF Guidance – Imports**

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These are the relevant ATF rules regarding submission of an Entry:

- It is OPTIONAL to complete a <PG01> Line number for each line item on an ATF issued permit (Form 6/6A).
  - However, there MUST be a <PG01> Line number for each distinct <PG10> “Category Code” imported.
- Only the fields marked as mandatory (status = “M”) must be submitted; all others are conditional/optional.
  - Only the <PG14> line(s) required per “Category Code” instructions must be included.
  - <PG14> lines (FFL/FEL/AECA) which are NOT required by the “Category Code” MAY be submitted; however, if they are submitted, they must match the submitted Permit.
- For each PG01 Line Number:
  - There must be exactly one <PG50/51> grouping.
    - The <PG50/51> grouping must contain the PG10 Commodity Code.
    - The <PG50/51> grouping must contain the PG26 Quantity.
  - There can only be a single FFL (AT2) entered.
  - There can only be a single FEL (AT3) entered.
  - There can only be a single Permit (AT4) entered.
  - There can only be a single AECA (AT5) entered.
  - If a Permit (AT4) is entered, only the FFL, FEL, or AECA number(s) associated with that permit may be entered.
- **PG30 is used for the “Anticipated Arrival” ONLY; the ATF is not using this field for inspections.**

**2.5. ATF Examples – Imports**

This section provides examples which should visually demonstrate various situations.

Key:

- Black text on white background is **mandatory** (exactly as demonstrated).
- Red text on yellow background is **mandatory/conditional** (permit and/or commodity information).
- Black text on green background is **optional**.

**NOTE: The below example license and permit numbers contain “FFL”, “FEL” and “PRMT” as part of the license number; this is for CERT purposes only and is NOT how actual licenses are formatted in Production.**

**2.5.1. Example 1 (Single Commodity type Imported)**

In this example, one weapon type “Category Code” is imported from Canada (CA):

- Category Code (REC) “RECEIVERS/FRAMES” requires an FFL and a Permit.
  - Quantity = 100; beware the last two digits are for decimals.
- There are no Exemption Codes.
- Anticipated Arrival Date of (31 December 2015).

NOTES:

- Since (REC) requires a Permit AND it also requires an FFL, the FFL number must be associated with that Permit.
- If a FFL/FEL/AECA is not required for the commodity, it can still be submitted on the <PG01> Line number; however, if they are submitted, they must match the Permit.

1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0
OI										EXAMPLE	IMPORT	WITH	A	SINGLE	COMMODITY																																																						
PG01	001	ATF	ATF																																																																		
PG02	P																																																																				
PG50																																																																					
PG10	AT1									REC	PC9								MODEL	AND/OR	DESCRIPTION																																																
PG26	1	00000	0010000																																																																		
PG51																																																																					
PG14	AT2	F-FL-111-11-11-11111																																																																			
PG14	AT4	PRMT22222																																																																			
PG30	A	12312015																	ARRIVAL	LOCATION																																																	
PG32	198	CA																																																																			

**2.5.2. Example 2 (Single Commodity type Imported with an Exemption)**

In this example, one weapon type “Category Code” is imported from Canada (CA):

- Category Code (API) “ARMOR PIERCING INCENDIARY” requires an FFL, FEL, Permit, and AECA.
  - Quantity = 100; beware the last two digits are for decimals.
- There is an Exemption for the FEL.
- Anticipated Arrival Date of (31 December 2015).

NOTES:

- Since (API) requires a Permit AND it also requires an FFL/FEL/AECA, the FFL, FEL and the AECA numbers must be associated with that Permit (unless an Exemption code is provided).
- Since there is an Exemption reported for the FEL, there will be no FEL associated with the Permit.
- If a FFL/FEL/AECA is not required for the commodity, it can still be submitted on the <PG01> Line number; however, if they are submitted, they must match the Permit.

1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0
OI										EXAMPLE IMPORT WITH A SINGLE COMMODITY AND AN FEL EXEMPTION																																																																					
PG01		001	ATF	ATF																																																																											
PG02	P																																																																														
PG50																																																																															
PG07	MODEL																																																																														
PG10	AT1		API		PC9																																																																										
PG19	MF																																																																														
PG20																																																																															
PG26	1	000000	001	0000																																																																											
PG51																																																																															
PG14	AT2	F	FL	-	111	-	11	-	11	-	11	-	11	-	11	-	11	-	11																																																												
PG14	AT3																																																																														
PG14	AT4	PRMT	1	1	1	1	1	1	1																																																																						
PG14	AT5	A	-	11	-	111	-	111	1																																																																						
PG30	A	12312	015																																																																												
PG32	198	CA								ARRIVAL LOCATION																																																																					

### 2.5.3. Example 3 (Multiple Commodity types Imported Under the Same Permit)

In this example, two distinctly different weapon types “Category Code” are imported from Canada (CA):

- Category Code (API) “ARMOR PIERCING INCENDIARY” requires an FFL, FEL, Permit, and AECA.
  - Quantity = 100; beware the last to digits are for decimals.
  - Length does not apply, but it was used to provide an example of 18 inches.
- Category Code (FG) “FLARE GUN” requires a Permit and an AECA.
  - Quantity = 100; beware the last two digits are for decimals.
- There are no Exemption Codes.
- Anticipated Arrival Date of (31 December 2015).

NOTES:

- Each PG10 Commodity Code submitted must be on a separate PG01 Line number.
- Since (API) requires a Permit AND it also requires an FFL/FEL/AECA, each of those numbers must be associated with that Permit (unless an exemption code is provided).
- Since (FG) requires a Permit and an AECA, then it must be authorized under the Permit.
- If a FFL/FEL/AECA is not required for the commodity, it can still be submitted on the <PG01> Line number; however, if they are submitted, they must match the Permit.

1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0
PG01	001	ATF	ATF						Y	EXAMPLE IMPORT WITH TWO DISTINCT WEAPON TYPES																																																											
PG02	P																																																																				
PG07	MODEL									CALIBER																																																											
PG10	AT1	API		PC9						DESCRIPTION																																																											
PG19	MF									MANUFACTURER NAME																																																											
PG20										CA																																																											
PG26	1	00000	0010000																																																																		
PG29										IN 00000001800IN 000000001800																																																											
PG51																																																																					
PG14	AT2	F-FL-111-11-11-11111																																																																			
PG14	AT3	F-EL-111-11-11-11111																																																																			
PG14	AT4	PRMT11111																																																																			
PG14	AT5	A-11-111-1111																																																																			
PG30	A	12312015								ARRIVAL LOCATION																																																											
PG32	198	CA																																																																			
PG01	002	ATF	ATF						Y																																																												
PG02	P																																																																				
PG07	MODEL									MODEL AND/OR DESCRIPTION																																																											
PG26	1	00000	0010000																																																																		
PG51																																																																					
PG14	AT4	PRMT11111																																																																			
PG14	AT5	A-11-111-1111																																																																			
PG30	A	12312015								ARRIVAL LOCATION																																																											
PG32	198	CA																																																																			

2.5.4. Example 4 (Multiple Commodity types Imported Under Separate Permits)

In this example, two distinctly different weapon types “Category Code” are imported from Canada (CA); however, one of them is being imported under two separate permits:

- Category Code (API) “ARMOR PIERCING INCENDIARY” requires an FFL, FEL, Permit, and AECA.
o Quantity = 100; (length does not apply, but it was used to provide an example of 18 inches).
• Category Code (REC) “RECEIVERS/FRAMES” requires an FFL and Permit.
o Quantity = 100 (on permit PRMT11111); beware the last two digits are for decimals.
o Quantity = 500 (on permit PRMT22222); beware the last two digits are for decimals.
• There are no Exemption Codes.
• Anticipated Arrival Date of (31 December 2015).

NOTES:

- Each PG10 Commodity Code submitted must be on a separate PG01 Line number.
• Each PG14 Permit number submitted must be on a separate PG01 Line number.
• Since (API) requires a Permit AND it also requires an FFL/FEL/AECA, each of those numbers must be associated with that Permit.
• Since (REC) requires a Permit AND it also requires an FFL, the FFL number must be associated with that Permit.
• If a FFL/FEL/AECA is not required for the commodity, it can still be submitted on the <PG01> Line number; however, if they are submitted, they must match the Permit.

Table with 8 columns (1-8) and rows for PG01, PG02P, PG50, PG07MODEL, PG10AT1, PG19MF, PG20, PG261, PG29, PG51, PG14, PG30A, PG32198, and their corresponding data for API and REC categories.

## **2.6. Importer Responsibilities**

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Importers are required to follow all existing rules, regulations, and reporting requirements. The CBP (ACE) system will facilitate some reporting requirements but not all of them.

### **2.6.1. ATF Reporting Requirements satisfied by ACE – Imports**

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By using the CBP (ACE) system within the context of this Supplemental Guidance, the following ATF reporting requirements will be satisfied:

- ATF Form 6A (5330.3C revised August 2011):
  - Section II – “Certification of Release From U.S. Customs and Border Protection” in its entirety.

### **2.6.2. ATF Reporting Requirements NOT satisfied by ACE**

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All other reporting requirements not specifically enumerated in this section are still required to be satisfied by other ATF approved methods.

## **2.7. HTS Codes (Not Used by ATF)**

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At this time, the ATF does not use Harmonized Tariff Schedule (HTS) codes and the ATF does not ‘Flag’ any HTS codes.



## SECTION 3. INDUSTRY GUIDANCE (IG) – EXPORTS

This section serves multiple purposes. First, it defines the fields Trade must submit to CBP/ACE. Second, it gives a visual depiction of ATF required data groupings.

### 3.1. Data Elements

All data elements are in fixed-length format. If all positions are not filled, the formatting rules are:

Code	Description	Fill rules
A	The data element is alphabetic only (uppercase ONLY).	Left justify and Space fill.
AN	The data element is alphanumeric only (uppercase ONLY, for characters A through Z).	Left justify and Space fill.
N	The data element is numeric only.	Right justify and zero-fill.
X	The data element is alphanumeric or special characters (uppercase ONLY for characters A through Z).	Left justify and Space fill.

Status codes are important to ensure that appropriate data is transmitted. Codes must be used where indicated or errors will occur.

Code	Description
M	Mandatory data element - must always be present.
O	Optional data element - generate data if available.
C	Conditional data element - data is provided if the conditions warrant.

General Rules for Data Submission:

- Unused fields, which are defined as numeric, should not be zero-filled. These fields should be space filled or data errors may result.
- Data should not be placed in fields defined as filler. If data is present in filler fields, an error message may be system generated.
- Transmit ONLY uppercase alphabetic characters A through Z. While some applications may not return specific error messages when detecting lower-case letters, CBP cannot guarantee the consistency of processing results for data transmitted in lower case.

### 3.2. PGA Controls used by ATF – Exports

REMINDERS: The PGA Message Set does not stand-alone and must be submitted with the commodity shipment input transaction proprietary records used by the exporting trade to establish and maintain an electronic export information (EEL) in the Automated Export System (AES).

ATF suggests the following data elements below to be submitted along with the commodity filing in the PGA record. For more details regarding AES commodity filing refer to CBP guidance for AESTIR and X12 filings.

Field Name	Length / Class	Position (AESTIR)	Position (X12)	Desig	Description	Note
FFL Number	20X	7-26	1-20	C	Space fill if not used	1
FFL Exemption Code	1N	27	21	C	Valid values are (1,2); space fill if not used	1
Permit Number	11N	28-38	22-32	C	Space fill if not used	2
Permit Exemption Code	1N	39	33	C	Valid values are (1,2); space fill if not used	2
Quantity	9N	40-48	34-42	M	Whole number greater than zero; right justified and zero fill	
Category Code	4AN	49-52	43-46	O	Space fill if not used; valid Export codes are: <ul style="list-style-type: none"> <li>• AW – ANY OTHER WEAPON</li> <li>• DD – DESTRUCTIVE DEVICE</li> <li>• MG – MACHINEGUN</li> <li>• SI – SILENCER</li> <li>• SR – SHORT BARRELED RIFLE</li> <li>• SS – SHORT BARRELED SHOTGUN</li> </ul>	
Description	28X	53-80	47-74	O	Space fill if not used	
NOTE (1): Either FFL Number or FFL Exemption Code can be specified, but not both.						
NOTE (2): Either Permit Number or Permit Exemption Code can be specified, but not both.						

#### 3.2.1. Mandatory Controls – Exports

Control Identifier / MAN Segments:

- (AESTIR) – Positions 1-6 must be: PGAAT6
- (X12) – MAN01 and MAN02 segments must be: MAN\*ZZ\*AT6\*

All fields marked with a Designation of “M” are MANDATORY. Here are the special cases:

- The Quantity must be entered.

#### 3.2.2. Conditional Controls – Exports

All fields marked with a Designation of “C” are CONDITIONAL. Here are the special cases:

- The FFL Number |OR| an FFL Exemption Code must be entered; never both.
- The Permit Number |OR| a Permit Exemption Code must be entered; never both.

#### 3.2.3. Optional Controls – Exports

All fields marked with a Designation of “O” are OPTIONAL.

- The Category Code is optional; however, if it is supplied it must be valid for Exports.
- The Description is optional.

### 3.3. ATF Guidance – Exports

These are the relevant ATF rules regarding submission of an Entry:

- If the FFL Number is provided, it must be a valid and it must not have expired by the date of export.
- If the Permit Number is provided, it must be a valid and it must not have expired by the date of export.

- If the Permit and FFL numbers are provided, they must match the ATF Form 9.
- The [cumulative] quantity provided on a single Export Filing must exactly match the ATF Form 9.
  - All items may be submitted on a single line.
  - Items can be submitted across multiple lines (example: grouped by Category Code).
  - Every individual commodity may be listed separately (example: exactly as listed on the Form 9).
- Any changes to quantity require a new approved ATF Form 9.
- Multiple Permits can be listed on a single Export Filing; however:
  - Each Permit listed must consume the entire quantity from the Form 9.
- Export Permit numbers may only be filed in CBP-ACE on one Export Filing.

### 3.4. ATF Examples – Exports

This section provides examples which should visually demonstrate various situations.

Key:

- Black text on white background is **mandatory** (exactly as demonstrated).
- Red text on yellow background is **mandatory/conditional** (permit and/or commodity information).
- Black text on green background is **optional**.

**NOTE: The below example license and permit numbers contain “FFL” and “PRMT” as part of the license number; this is for CERT purposes only and is NOT how actual licenses are formatted in Production.**

#### 3.4.1. Example 1 (Single Commodity type Exported)

In this example, one weapon type “Category Code” is exported:

- Permit: XPRT11111
  - FFL: F-FL-111-11-11-11111
  - Category Code: DD “DESTRUCTIVE DEVICE”
    - Quantity: 100
  - Permit total quantity: 100
- There are no Exemption Codes.

NOTES:

- Since (DD) requires a Permit AND it also requires an FFL, the FFL number must be associated with that Permit (unless an Exemption code is provided).

##### 3.4.1.1. Example 1 (AESTIR)

1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5
CL	1																																																																														
CL	2																																																																														
PG	AA	T	6	F	-	FL	-	111	-	11	-	11	-	11111	X	P	R	T	11111	0	0	0	0	0	0	1	0	0	DD	D	E	S	C	R	I	P	T	I	O	N																																							
Y																																																																															

##### 3.4.1.2. Example 1 (X12)

X12 -	MAN	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5	1	2	3	4	5	6	7	8	9	5
ST...	L13...	X1																																																																																									
MAN*	ZZ*	AT	6*	F	-	FL	-	111	-	11	-	11	-	11111	X	P	R	T	11111	0	0	0	0	0	0	1	0	0	DD	D	E	S	C	R	I	P	T	I	O	N																																																			
SE																																																																																											

**3.4.2. Example 2 (Single Commodity type Exported with an Exemption)**

In this example, one weapon type “Category Code” is exported:

- Permit: <Exemption code: 1>
  - FFL: F-FL-111-11-11-11111
  - Category Code: MG “MACHINEGUN”
    - Quantity: 100
  - Permit total quantity: NA

NOTES:

- (MG) requires a Permit AND it also requires an FFL; however, since there is an Exemption reported for the Permit, there will be no FFL-Permit association

**3.4.2.1. Example 2 (AESTIR)**

1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0
CL1																																																																															
CL2																																																																															
PGAAT6	F	-	F	L	-	1	1	1	-	1	1	-	1	1	1	1	1	1	1											1	0	0	0	0	0	0	1	0	0	M	G																																						
Y																																																																															

**3.4.2.2. Example 2 (X12)**

X12 - MAN	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9	0
ST...L13...X1																																																																																
MAN*ZZ*AT6*	F	-	F	L	-	1	1	1	-	1	1	-	1	1	1	1	1	1	1											1	0	0	0	0	0	0	1	0	0	M	G																																							
SE																																																																																





### **3.5. Exporter Responsibilities**

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Exporters are required to follow all existing rules, regulations, and reporting requirements. The CBP (ACE) system will facilitate some reporting requirements but not all of them.

#### **3.5.1. ATF Reporting Requirements satisfied by ACE – Exports**

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By using the CBP (ACE) system within the context of this Supplemental Guidance, the following ATF reporting requirements will be satisfied:

- ATF Form 9 (5320.9 revised June 2005):
  - Part 3 – “Certification by Customs” in its entirety.

#### **3.5.2. ATF Reporting Requirements NOT satisfied by ACE**

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All other reporting requirements not specifically enumerated in this section are still required to be satisfied by other ATF approved methods.

### **3.6. HTS Codes (Not Used by ATF)**

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At this time, the ATF does not use Harmonized Tariff Schedule (HTS) codes and the ATF does not ‘Flag’ any HTS codes.



## GLOSSARY / ACRONYMS

This document uses the following acronyms and terms.

<b>Term / Acronym</b>	<b>Description</b>
ABI	ACE Automated Broker Interface
ACE	Automated Commercial Environment
AECA	Arms Export Control Act
AES	Automated Export System
AESTIR	Automated Export System Trade Interface Requirements (Exports)
ATF	Bureau of Alcohol, Tobacco, Firearms and Explosives
CATAIR	Customs and Trade Automated Interface Requirements (Imports)
CBP	U.S. Customs and Border Protection
FEL	Federal Explosives License
FFL	Federal Firearms License
FLS	Federal Licensing System
HTS	Harmonized Tariff Schedule
ITDS	International Trade Data System (ATF)
LCS	Licensing Consolidated Schema
NFA	National Firearms Act
PGA	Partner Government Agencies
RFC	Request For Change
URL	Uniform Resource Locator (hyper-link)

**APPENDIX A. CBP-ACE APPENDIX PGA (ATF)**

ATF requires these codes in the CBP/ACE “Appendix PGA”.

**A.1. PG01 – Agency Program Codes (ATF)**

Code	Definition
ATF	Applicable to All ATF Programs

**A.2. PG10 – Category Type Codes**

Code	Name	Definition
AT1	ATF non-USML Category Code	ATF Codes not related to defense

**A.3. PG10 – ATF – Category Code – AT1**

Weapon Category Code	Weapon Type Description	FFL (AT2) Required	FEL (AT3) Required	Permit (AT4) Required	AECA (AT5) Required	Note
ABL	AMMO BLTG AND LNKG MAC					1
ADD	AMMO DD	Y		Y	Y	
AM	AMMO MFG MACHINES					1
AMM	SPORTING AMMO	Y		Y	Y	3
AMP	AMMO COMPONENTS	Y		Y	Y	3
AMX	AMMO ACCESSORIES			Y	Y	3
AOW	ANY OTHER WEAPON	Y		Y	Y	
AP	ARMOR PIERCING AMMO	Y		Y	Y	
API	ARMOR PIERCING INCENDIARY	Y	Y	Y	Y	
AR	AIRCRAFT			Y	Y	
ARP	ARTILLERY PROJECTORS	Y		Y	Y	
ARPP	ARTILLERY PROJ PARTS			Y	Y	
AV	AMPHIBIOUS VEHICLES			Y	Y	
AW	ANY OTHER WEAPON	Y		Y		6
BAC	BARRELED ACTIONS	Y		Y	Y	
BBL	BARRELS			Y	Y	3
BMB	BOMB	Y		Y	Y	
BMP	BOMB PARTS			Y	Y	
C	COMBINATION GUN	Y		Y	Y	
CH	CHEMICALS			Y	Y	
DD	DESTRUCTIVE DEVICE	Y		Y		6
DDE	DEST DEVICE EXPLOS	Y	Y	Y	Y	
DDF	DEST DEVICE FIREARM	Y		Y	Y	
DET	DETECTION DEVICES			Y	Y	
DETP	DETECTION DEVICE PARTS			Y	Y	
ESP	SMOKELESS POWDER	Y	Y	Y	Y	
EXP	EXPLOSIVES		Y			
EXX	DEMO BLCKS BLST CAPS		Y	Y	Y	
FG	FLARE GUN			Y	Y	
FP	FIREARM PARTS			Y	Y	3
FT	FLAMETHROWER			Y	Y	
FWK	FIREWORKS		Y			5

<b>Weapon Category Code</b>	<b>Weapon Type Description</b>	<b>FFL (AT2) Required</b>	<b>FEL (AT3) Required</b>	<b>Permit (AT4) Required</b>	<b>AECA (AT5) Required</b>	<b>Note</b>
GM	GAS MASKS					1
GMP	GAS MASK PARTS					1
GRN	GRENADE	Y		Y	Y	
GRP	GRENADE PARTS			Y	Y	
HTZ	HOWITZER	Y		Y	Y	
IN	INERT AMMO	Y		Y	Y	
INC	INCENDIARY AMMO	Y	Y	Y	Y	
IOW	IMPLEMENTS OF WAR					1
LAU	LAUNCHER	Y		Y	Y	
LAUP	LAUNCHER PARTS			Y	Y	
MAG	MAGAZINE			Y	Y	
MG	MACHINEGUN	Y		Y	Y	
MIN	MINE	Y		Y	Y	
MINP	MINE PARTS			Y	Y	
MIS	MISSILE	Y		Y	Y	
MISP	MISSILE PARTS			Y	Y	
MSC	MISCELLANEOUS			Y	Y	
MTR	MORTAR	Y		Y	Y	
MTRP	MORTAR PARTS			Y	Y	
MV	MILITARY VEHICLES			Y	Y	
MVP	MILITARY VEH PARTS			Y	Y	
NSA	NON-SPORTING AMMO	Y		Y	Y	
NSG	NONSPORTING SHOTGUNS	Y		Y	Y	4
NSP	NONSPORTING AMMO COMPONENTS	Y		Y	Y	
NV	NAVAL VESSELS			Y	Y	
NVP	NAVAL VESSEL PARTS			Y	Y	
NW	NUCLEAR WEAPONS					1
NWD	NUC WPN DESIGN EQUIP			Y	Y	
OCEP	OCEANOGRAPHIC EQ PTS			Y	Y	
PI	PISTOLS	Y		Y	Y	
RE	REVOLVERS	Y		Y	Y	
REC	RECEIVERS/FRAMES	Y		Y		3
RI	RIFLES	Y		Y	Y	
ROC	ROCKET	Y		Y	Y	
ROCP	ROCKET PARTS			Y	Y	
SBR	SHORT BARREL RIFLE	Y		Y	Y	
SBS	SHORT BARREL SHOTGUN	Y		Y	Y	
SG	SPORTING SHOTGUNS	Y		Y		3
SI	SILENCER	Y		Y	Y	
SR	SHORT BARRELED RIFLE	Y		Y		6
SREK	SPORTING SHOTGUN RECEIVERS	Y		Y		4
SS	SHORT BARRELED SHOTGUN	Y		Y		6
SSA	SPORTING SHOTGUN AMMO	Y		Y		4
SSAP	SPORTING SHOTGUN AMMO COMPONENTS	Y		Y		4

<b>Weapon Category Code</b>	<b>Weapon Type Description</b>	<b>FFL (AT2) Required</b>	<b>FEL (AT3) Required</b>	<b>Permit (AT4) Required</b>	<b>AECA (AT5) Required</b>	<b>Note</b>
SSAX	SPORTING SHOTGUN AMMO ACCESSORIES					1, 4
SSBL	SPORTING SHOTGUN BARRELS			Y		4
SSP	SPORTING SHOTGUN PARTS					1, 4
SUB	SUBMERSIBLE VESSELS			Y	Y	
SUBP	SUB VESSEL PARTS			Y	Y	
TG	TEAR GAS LAUNCHER			Y	Y	
TOX	TOXICOLOGY AGENTS			Y	Y	
TRA	TRACER AMMO	Y	Y	Y	Y	
TRP	TORPEDO	Y		Y	Y	
TRPP	TORPEDO PARTS			Y	Y	
UNK	UNKNOWN	Y		Y	Y	
WHD	WARHEAD	Y		Y	Y	
WHP	WARHEAD COMPONENTS			Y		
NOTE (1): These items are no longer regulated by the ATF.						
NOTE (3): Some commodities previously contained in this category have been moved to a different category.						
NOTE (4): This is a new category to differentiate between previous categories.						
NOTE (5): These items are further restricted to specific licensees.						
NOTE (6): Exports only						

#### **A.4. PG14 – Type Codes**

<b>Code</b>	<b>Name</b>	<b>Definition</b>
AT2	ATF Federal Firearms License Number	A license issued under the provisions of the Gun Control Act (GCA) to manufacture, import or deal in firearms and/or ammunition.
AT3	Federal Explosive License Number	A license or permit issued to anyone who wishes to transport, ship, and cause to be transported, or receive explosives materials under 27 CFR 555.41.
AT4	ATF Import Permit Number	A permit that authorizes the importation of firearms, ammunitions, and implements of war into the United states or any possession thereof, except for certain exempt importations prescribed in 27 CF& parts 447, 478 and 479.
AT5	ATF Importer's Registration Number	Registered importers of firearms, ammunition firearms parts or implements of war other, than sporting shotguns, shotguns shell, or shotgun parts, must also register under the Arms Export Control Act of 1976.

#### **A.5. PG14 – Exemption Codes**

<b>Code</b>	<b>Name</b>	<b>Definition</b>
1	Government Contract	A U.S. Government contract which requires the use of the indicated Weapon Type Category Code
2	ATF Exemption Letter	ATF Issued Special Exemption Letter

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## APPENDIX B. TEST DATA (CERT)

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The ATF is providing various License and Permit numbers to facilitate code validation with the CBP-ACE system.

**NOTE: The below example license and permit numbers contain “FFL”, “FEL” and “PRMT” as part of the license number; this is for CERT purposes only and is NOT how actual licenses are formatted in Production.**

### B.1. <PG14 – AT2> (FFL Licenses) – Test Records

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- FFL License Number (expires):
  - F-FL-111-11-11-11111 (12/31/2020)
  - F-FL-222-22-22-22222 (12/31/2020)
  - F-FL-333-33-33-33333 (12/31/2020)
  - F-FL-111-11-11-EXP11 (01/01/2014) ... Expired

### B.2. <PG14 – AT3> (FEL Licenses) – Test Records

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- FEL License Number (expires):
  - F-EL-111-11-11-11111 (12/31/2020)
  - F-EL-222-22-22-22222 (12/31/2020)
  - F-EL-333-33-33-33333 (12/31/2020)
  - F-EL-111-11-11-EXP11 (01/01/2014) ... Expired

### B.3. <PG14 – AT4> (ATF Form 6/6A Permits) – Test Records

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- Permit Number (expires):
  - “PRMT11111” (12/31/2020)
    - <PG14 – AT2> (FFL): F-FL-111-11-11-11111
    - <PG14 – AT3> (FEL): F-EL-111-11-11-11111
    - <PG14 – AT5> (AECA): A-11-111-1111
    - <PG10 – AT1> (Weapon Category Codes):
      - WHP
      - REC
      - EXP
      - FG
      - API
  - “PRMT22222” (12/31/2020)
    - <PG14 – AT2> (FFL): F-FL-111-11-11-11111
    - <PG14 – AT3> (FEL): None.
    - <PG14 – AT5> (AECA): None.
    - <PG10 – AT1> (Weapon Category Codes):
      - WHP
      - REC
  - “PRMT33333” (12/31/2020)
    - <PG14 – AT2> (FFL): None.
    - <PG14 – AT3> (FEL): F-EL-111-11-11-11111
    - <PG14 – AT5> (AECA): None.
    - <PG10 – AT1> (Weapon Category Codes):
      - WHP
      - EXP
  - “PRMT44444” (12/31/2020)
    - <PG14 – AT2> (FFL): None.
    - <PG14 – AT3> (FEL): None.
    - <PG14 – AT5> (AECA): A-11-111-1111
    - <PG10 – AT1> (Weapon Category Codes):
      - WHP

- FG
- “PRMT55555” (12/31/2020)
  - <PG14 – AT2> (FFL): None.
  - <PG14 – AT3> (FEL): None.
  - <PG14 – AT5> (AECA): None.
  - <PG10 – AT1> (Weapon Category Codes):
    - WHP
- “PRMTEXP11” (01/01/2014) ... Expired
  - <PG14 – AT2> (FFL): None.
  - <PG14 – AT3> (FEL): None.
  - <PG14 – AT5> (AECA): None.
  - <PG10 – AT1> (Weapon Category Codes):
    - WHP
- “PRMTEXP22” (01/01/2014) ... Expired
  - <PG14 – AT2> (FFL): F-FL-111-11-11-11111
  - <PG14 – AT3> (FEL): F-EL-111-11-11-11111
  - <PG14 – AT5> (AECA): A-11-111-1111
  - <PG10 – AT1> (Weapon Category Codes):
    - WHP
- “PRMTEXP33” (01/01/2014) ... Expired
  - <PG14 – AT2> (FFL): F-FL-111-11-11-EXP11 ... Expired
  - <PG14 – AT3> (FEL): F-EL-111-11-11-EXP11 ... Expired
  - <PG14 – AT5> (AECA): A-11-EXP-1111 ... Expired
  - <PG10 – AT1> (Weapon Category Codes):
    - WHP

#### **B.4. <PG14 – AT5> (AECA Numbers) – Test Records**

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- AECA Number (expires):
  - A-11-111-1111 (12/31/2020)
  - A-22-222-2222 (12/31/2020)
  - A-33-333-3333 (12/31/2020)
  - A-11-EXP-1111 (01/01/2014) ... Expired

#### **B.5. <AT6> Export Permit (ATF Form 9) – Test Records**

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- Permit Number (expires):
  - “XPRT11111” (12/31/2020)
    - (FFL): F-FL-111-11-11-11111
    - (Quantity): 100
  - “XPRT22222” (12/31/2020)
    - (FFL): F-FL-111-11-11-11111
    - (Quantity): 200
  - “XPRT33333” (12/31/2020)
    - (FFL): F-FL-222-22-22-22222
    - (Quantity): 300
  - “XPRT44444” (12/31/2020)
    - (FFL): F-FL-222-22-22-22222
    - (Quantity): 400
  - “XPRT55555” (12/31/2020)
    - (FFL): F-FL-333-33-33-33333
    - (Quantity): 500
  - “XPRTEXP11” (01/01/2014) ... Expired
    - (FFL): F-FL-333-33-33-33333
    - (Quantity): 100
  - “XPRTEXP22” (01/01/2014) ... Expired

- (FFL): F-FL-111-11-11-11111
- (Quantity): 200
- “XPRTEXP33” (01/01/2014) ... Expired
  - (FFL): F-FL-111-11-11-EXP11
  - (Quantity): 300

**APPENDIX C. CBP-ACE ERROR CODES (IMPORTS)**

The CBP-ACE system returns failure codes to Trade for Entries which fail one or more ATF Business Rules.

**C.1. Error Conventions (Imports)**

The CBP-ACE convention on error codes are as follows:

- The error response is returned immediately after the offending line.
- The error code is preceded by a code to indicate severity; depending on the transaction type, the response will be different
  - SE Transaction:
    - 13 = Warning
      - SE90**13**PR5...LICENSE·NBR·MUST·MATCH·IMP·PRMT·PER·PGA
    - 11 = Rejection
      - SE90**11**PR5...LICENSE·NBR·MUST·MATCH·IMP·PRMT·PER·PGA
  - AE Transaction:
    - P = Warning
      - E1·**P**PR5...LICENSE·NBR·MUST·MATCH·IMP·PRMT·PER·PGA
    - F = Rejection
      - E1·**F**PR5...LICENSE·NBR·MUST·MATCH·IMP·PRMT·PER·PGA
- The error response only includes the PGxx records that are in the respective error ‘tree’.
- The error response does not generally return anything inside a PG50/51 block.
  - **[PDP, PDQ, PDN, PDO]** “MISSING <PG14> PER PGA” **will not** include the PG10 Category Code because the PG14 is the offending record and the PG10 is inside a PG50/51 block.
  - **[PDY]** “INVALID CATEGORY CODE FOR PERMIT PER PGA” **will not** include the PG10 Category Code because the PG14 is the offending record and the PG10 is inside a PG50/51 block.
  - **[PS8]** “MISSING OR INVALID CATEGORY CODE PER PGA” **will** include the PG10 record even though it is inside a PG50/51 block because it is the offending record.

**C.2. ATF Specific Error Codes (Most Common for Imports)**

The most common errors for ATF Entries are:

- **[PDY]** “INVALID CATEGORY CODE FOR PERMIT PER PGA”
  - Most common: the CAT code is not the same code that was approved on the Permit.
- **[PDP, PDQ, PDN, PDO]** “MISSING <PG14 / LPCO> PER PGA”
  - Most common: an FFL/FEL/Permit/AECA is left off the Entry.
  - NOTE: this is Category Code specific; independent of any Permit.
- **[PDZ, PEA, PEB]** “<PG14 / LPCO> MUST MATCH IMP PRMT PER PGA”
  - Most common: the AECA was renewed; the original one from the Permit must be submitted.
  - NOTE (1): FFL/FEL renewals should not trigger this error as only the RDS is matched.
  - NOTE (2): **This is only a ‘Warning’, however, it will become a ‘Rejection’ in the near future.**
- **[PDR, PDT, PDW, PEC]** “INVALID <PG14 / LPCO> NUMBER PER PGA”
  - Most common: Miss-entered FFL/FEL/Permit/AECA number.
  - Less common: The License/Permit was just approved and not uploaded to CBP-ACE yet.

**C.3. ATF Specific Error Codes (All for Imports)**

There are many CBP-ACE error codes; however, these are the codes specific to the ATF:

Error Code	Text Returned	ATF Business Rules	Severity (Pilot)	PG Record(s)	Troubleshooting
<b>P06</b>	MISSING OR INVALID GOVT AGENCY PROG CODE	ATF_002	Reject	1	The Government Agency Program Code must be 'ATF'.
<b>P17</b>	INVALID PACKING QUALIFIER CODE	ATF_025	Reject	26	The packaging qualifier must be '1'.
<b>P49</b>	MISSING PG30 PER PGA	ATF_015	Reject	30	PG30 Record must be present.
<b>P50</b>	MISSING PG10 PER PGA	ATF_006	Reject	10	PG10 Record must be present.



Error Code	Text Returned	ATF Business Rules	Severity (Pilot)	PG Record(s)	Troubleshooting
P52	MISSING PG26 PER PGA	ATF_023	Reject	26	PG26 Record must be present.
P54	MISSING PG02 RECORD	ATF_004	Reject	2	PG02 Record must be present.
PB6	INVALID QUANTITY FORMAT OR NOT > 0	ATF_026	Reject	26	The quantity must be a whole number greater than 0. NOTE: In CATAIR formatting, the last two digits are decimals.
PBA	ONLY ONE GROUPING PER PGA LINE # PER PGA	ATF_030	Reject	50, 51	There can ONLY be ONE PG50/51 grouping per PGA line.
PE0	INVALID COMMODITY ROUTING COUNTRY CODE	ATF_020	Reject	32	A valid [ISO] country code must be provided.
PG8	INVALID COMMODITY QUALIFIER CODE PER PGA	ATF_009	Reject	10	If a PG10 Commodity Qualifier Code is provided, it must be 'PC9'.
PH7	MISSING OR INVALID LPCO TYPE PER PGA	ATF_011	Reject	14	LPCO Type Code must be equal to one of the following: AT2, AT3, AT4 or AT5.
PDR	INVALID FFL NUMBER PER PGA	ATF_201	Reject	14	A valid LPCO number must be provided (AT2 / FFL).
PDT	INVALID FEL NUMBER PER PGA	ATF_301	Reject	14	A valid LPCO number must be provided (AT3 / FEL).
PDV	INVALID FEL TYPE PER PGA	ATF_303	Reject	14	Only certain Types of FEL's can import Category Code 'FWK'.
PDW	INVALID PERMIT NUMBER PER PGA	ATF_401	Reject	14	A valid LPCO number must be provided (AT4 / Permit).
PEC	INVALID AECA NUMBER PER PGA	ATF_501	Reject	14	A valid LPCO number must be provided (AT5 / AECA).
PH8	INVALID LPCO NUMBER PER PGA	ATF_014	Reject	14	If an LPCO Exemption code is not provided, an LPCO number must be provided.
PK5	MSNG OR INVLD CONFIDENT INFO IND PER PGA	ATF_003	Reject	1	Confidential Information Indicator must be 'Y'.
PN0	MISSING OR INVALID CAT TYPE CODE PER PGA	ATF_007	Reject	10	Category Type Code must be 'AT1'.
PN6	MISSING REQUESTED DATE OR TIME PER PGA	ATF_017	Reject	30	Date must be provided.
PQ4	MSNG/INVLD UOM-INDIV UNIT NET- PER PGA	ATF_029	Reject	29	Unit of measure must be of type 'IN'.
PR3	MULTIPLE LPCO TYP CD NOT ALLOWED PER PGA	ATF_012	Reject	14	There CANNOT be more than one PG14 with the same LPCO type code; within one PGA line.
PDP	MISSING AT3 FEL PER PGA	ATF_031	Reject	10, 14	Each PG10 Category Code must have the REQUIRED PG14 LPCO Type Code (AT2 / FFL).
PDQ	MISSING AT4 PERMIT PER PGA	ATF_032	Reject	10, 14	Each PG10 Category Code must have the REQUIRED PG14 LPCO Type Code (AT3 / FEL).
PDN	MISSING AT2 FFL PER PGA	ATF_021	Reject	10, 14	Each PG10 Category Code must have the REQUIRED PG14 LPCO Type Code (AT4 / Permit).
PDO	MISSING AT5 AECA PER PGA	ATF_022	Reject	10, 14	Each PG10 Category Code must have the REQUIRED PG14 LPCO Type Code (AT5 / AECA).
PDZ	FFL NBR MUST MATCH IMP PRMT PER PGA	ATF_404	Reject (Warning)	14	If a Permit and FFL are provided, they must match the Permit on record. NOTE: This is only a 'Warning', however, it will become a "Rejection" in the near future.
PEA	FEL NBR MUST MATCH IMP PRMT PER PGA	ATF_405	Reject (Warning)	14	If a Permit and FEL are provided, they must match the Permit on record. NOTE: This is only a 'Warning', however, it will become a "Rejection" in the near future.
PEB	AECA NBR MUST MATCH IMP PRMT PER PGA	ATF_406	Reject (Warning)	14	If a Permit and AECA are provided, they must match the Permit on record. NOTE: This is only a 'Warning', however, it will become a "Rejection" in the near future.
PR6	INVALID INSP OR LAB TEST STUS CD PER PGA	ATF_016	Reject	30	Date Qualifier Code at Position 5 must be 'A'.
PS8	MISSING OR INVALID CATEGORY CODE PER PGA	ATF_008	Reject	10	The Category Code must be present and must be a valid code.
PU3	MISSING PG32 PER PGA	ATF_018	Reject	32	PG 32 Record must be present
PDY	INVALID CATEGORY CODE FOR PERMIT PER PGA	ATF_403	Reject	10, 14	If the PG10 Category Code requires a Permit, then the PG14 Permit Number must authorize that code.

Error Code	Text Returned	ATF Business Rules	Severity (Pilot)	PG Record(s)	Troubleshooting
<b>PDS</b>	FFL EXPIRED BEFORE ARRIVAL DT PER PGA	ATF_202	Reject	14, 30	The PG14 LPCO (AT2 / FFL) Expiration Date must be on or after the Arrival Date.
<b>PDU</b>	FEL EXPIRED BEFORE ARRIVAL DT PER PGA	ATF_302	Reject	14, 30	The PG14 LPCO (AT2 / FFL) Expiration Date must be on or after the Arrival Date.
<b>PDX</b>	PERMIT EXPIRED BEFORE ARRIVAL DT PER PGA	ATF_402	Reject	14, 30	The PG14 LPCO (AT2 / FFL) Expiration Date must be on or after the Arrival Date.
<b>PED</b>	AECA EXPIRED BEFORE ARRIVAL DT PER PGA	ATF_502	Reject	14, 30	The PG14 LPCO (AT2 / FFL) Expiration Date must be on or after the Arrival Date.
<b>PV1</b>	MISSING OR INVALID ITEM TYPE PER PGA	ATF_005	Reject	2	The Item Type must be 'P'.
<b>PV2</b>	MSNG OR INVLD EXEMPTION CODE PER PGA	ATF_013	Reject	14	If a PG14 Exemption Code is entered, it must be a valid code (1 or 2).
<b>PV3</b>	MSNG OR INVLD CMDTY ROUT TYP CD PER PGA	ATF_019	Reject	32	The commodity routing type code must be '198'.
<b>PV5</b>	RECORD COUNT EXCEEDING LIMIT PER PGA	ATF_027	Reject	07, 10, 19, 20, 26, 29, 50, 51	Within a PG50/51 grouping there may only be a single PG07, PG10, PG19, PG20, PG26, and/or PG29.
<b>PV6</b>	MANDATORY GROUP RECORD MISSING PER PGA	ATF_028	Reject	10, 26, 50, 51	Within a PG50/51 grouping there must be a PG10 and a PG26

## APPENDIX D. CBP-ACE ERROR CODES (EXPORTS)

The CBP-ACE system returns failure codes to Trade for Entries which fail one or more ATF Business Rules.

### D.1. Error Conventions (Exports) <Draft>

The CBP-ACE convention on error codes are as follows:

### D.2. ATF Specific Error Codes (Most Common for Exports) <Draft>

The most common errors for ATF Exports are:

### D.3. ATF Specific Error Codes (All for Exports)

There are many CBP-ACE error codes; however, these are the codes specific to the ATF:

Error Code	Text Returned	Business Rule(s)	Sensitivity (Pilot)	Field(s)	Reason	Resolution
66A	EITHER FFL # OR EXEMPTION CODE ALLOWED	ATF_601	Fatal	FFL Number, FFL Exemption	Either FFL number or FFL Exemption Code can be specified, but not both.	Either FFL number or FFL Exemption Code can be specified, but not both. Verify the FFL # or Exemption code, correct and retransmit.
66B	EITHER PERMIT # OR EXEMPTN CD ALLOWED	ATF_603	Fatal	Permit Number, Permit Exemption	Either Permit number or Permit Exemption Code can be specified, but not both.	Either Permit number or Permit Exemption Code can be specified, but not both. Verify the Permit # or Permit Exemption Code, correct and retransmit.
66C	FFL NUMBER UNKNOWN OR INVALID	ATF_621	Fatal	FFL Number	The FFL Number declared on the PGA record is not a known valid value in AES.	The FFL Number reported must be one that is valid in AES. Verify the Permit number, correct and retransmit.
66E	FFL EXEMPTION CODE INVALID	ATF_602	Fatal	FFL Exemption	The FFL Exemption code declared on the PGA record is not an acceptable value in AES.	The FFL Exemption code must be 1 or 2. Select the appropriate FFL Exemption code, correct and retransmit.
66F	FFL NUMBER EXPIRED	ATF_622	Fatal	FFL Number	The FFL Number declared on the PGA record is expired in AES.	The FFL Number must be a known value in AES and cannot be expired at the time of export. Verify the FFL number, correct and retransmit.
66G	FFL # NOT A MATCH WITH PERMIT NUMBER	ATF_643	Fatal	FFL Number, Permit Number	The FFL Number does not match the Permit Number declared on the PGA record.	The FFL Number and Permit number has to match up in AES. Verify the FFL number and Permit number, correct and retransmit.
66H	PERMIT NUMBER UNKNOWN OR INVALID	ATF_641	Fatal	Permit Number	The Permit number declared on the PGA record is not a known valid value in AES.	The Permit number reported must be one that is valid in AES. Verify the Permit number, correct and retransmit.
66I	PERMIT NUMBER EXPIRED	ATF_642	Fatal	Permit Number	The Permit number declared on the PGA record is expired in AES.	The Permit number must be a known value in AES and cannot be expired at the time of export. Verify the Permit number, correct and retransmit.
66J	PERMIT NUMBER ALREADY USED	ATF_661	Fatal	Permit Number	The Permit number declared on the PGA record can only be used once in AES.	The Permit number can only be used once in AES. Verify the Permit number, correct and retransmit.

<b>Error Code</b>	<b>Text Returned</b>	<b>Business Rule(s)</b>	<b>Sensitivity (Pilot)</b>	<b>Field(s)</b>	<b>Reason</b>	<b>Resolution</b>
66K	PERMIT EXEMPTION CODE INVALID	ATF_604	Fatal	Permit Exemption	The Permit Exemption Code declared on the PGA record is not an acceptable value in AES.	The Permit Exemption code must be 1 or 2. Select the appropriate Permit Exemption code, correct and retransmit.
66L	CATEGORY CODE INVALID	ATF_610	Fatal	Category Code	The Category Code declared on the PGA record is not a known value in AES.	The Category code must be a valid code for exports. Verify, correct and retransmit.
66M	QUANTITY MUST BE SPECIFIED	ATF_605	Fatal	Quantity	The quantity is missing on the PGA record.	Verify the quantity is reported and it matches the value on the permit. Quantity cannot contain non-numeric characters. The quantity must be whole numbers, right justified and zero fill. Verify, correct and retransmit.
66N	QUANTITY MUST NOT EXCEED PERMIT	ATF_644	Fatal	Permit Number, Quantity	The quantity declared exceeds the Permit.	The quantity must not exceed the Permit. Verify, correct and retransmit.
66O	ATF QUANTITY MUST MATCH THE PERMIT	ATF_660	Fatal	Permit Number, Quantity	For each Permit declared, the cumulative quantity (across this single Filing) must exactly match the Permit.	The cumulative quantity (across this single Filing) must exactly match the Permit. Verify, correct and retransmit.
66P	QUANTITY CONTAINS NON-NUMERICS	ATF_606	Fatal	Quantity	The quantity declared contains non-numeric characters or spaces.	Verify the quantity does not contain non-numeric characters. The quantity must be whole numbers, right justified and zero fill. Verify, correct and retransmit.