

APPENDIX F

Automated Export System Trade Interface Requirements

Appendix F

License and License Exemption Type Codes and Reporting Guidelines

April 2017



U.S. Customs and
Border Protection



APPENDIX F

License and License Exemption Type Codes

Report a License or License Exemption Type Code in a commodity filing.

The License Code/License Exemption Code indicates the type of export license, export permit, license exemption, license exception or other export authorization. The code indicates the type of licensing requirements that apply to the export shipment as determined by various government agencies participating in AES. An Export License Number, CFR Citation Number or other authorization symbol is required. An Export Control Classification Number (ECCN) may conditionally be required.

Each Line Item Detail grouping reported must cite the license authority (License Number or other authorization symbol). An ECCN must be cited when required.

The ECCN, when reported in AES must be a valid 5 - position ECCN as listed on the Commerce Control List. See Supplement 1 to § 774 of the EAR for a complete list of valid ECCNs and their descriptions. www.access.gpo.gov/bis/ear/ear_data.html

An example would be if the Bureau of Industry and Security (BIS) license code 'C43', Gift Parcels and Humanitarian Donations (GFT), is reported then the only acceptable Export Information Code (EIC) would be 'UG' which identifies a single gift parcel as encompassed by BIS General License GFT. Certain Modes of Transportation may not be acceptable for a shipment based on the License Code reported. Using the example above, AES would not accept a License Code of 'C43' with a Mode of Transportation of '70' (Fixed Transport).

Table A: Department of Commerce/Bureau of Industry and Security (BIS) License Type Codes.

Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
C30	Licenses issued by BIS authorizing an export, re-export, or other regulated activity. The term 'license' does not include authority represented by a 'License Exception'. EAR99 may be reported as an ECCN.	Report the License Number.	Mandatory	IW, OS, OI, TL,CH	All	YES
C33	No License Required (NLR) Part 758 All other NLR items filed under the 'NLR' provisions of the EAR Part 758 that are not covered by C32. Use C33 and report the ECCN if the commodity is controlled ONLY for Anti-Terrorism (AT).	Report 'NLR'.	Allowed	All except UG, FS, FI	All	NO

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Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
	<p>For items under 600 series ECCNs with a .y paragraph, use C60 (DY6). EAR99 may be reported as an ECCN.</p> <p>For Census purposes, use C33 for shipments between the U.S. and Puerto Rico and from the U.S. to the U.S. Virgin Islands.</p>					

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Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
C35	<p>Limited Value Shipments (LVS) Part 740.3</p> <p>EAR99 may NOT be reported as an ECCN.</p> <p>Only allow Countries of Destination from the Country Group B list</p> <p>Reference: www.access.gpo.gov/bis/ear/pdf/740spir.pdf</p>	Report 'LVS'.	<p>Mandatory</p> <p>Must be one of the following: 0A018, 0A918, 1A001, 1A002, 1A003, 1A008, 1B001, 1B002, 1B003, 1B607, 1C002, 1C003, 1C004, 1C005, 1C007, 1C008, 1C009, 1C010, 2B003, 2B005, 2B007, 2B350, 3C001, 3C003, 3C004, 4A001, 4A004, 5A002, 6A002, 6A006, 6A007, 6B007, 6C002, 6C005, 8A001, 8A018, 8B001, 9A002, 9A003, 9A018, 9B008, 9B009, 8A918, 5B991, 1B018, 1C018, 2B018, 3B002, 4A003, 1C006, 2A001, 3A001, 3A002, 3B001, 3C002, 5A001, 5B001, 6A001, 6A003, 6A004, 6A005, 6A008, 6B004, 6B619, 6C004, 7A611, 7B611, 8A002, 9B001, 9B002, 9B003, 9B004, 9B006, 9A610, 9A619, 9B610, 9B619, 9C610, 9C619, 0A606, 0A617, 0B606, 0B617, 0C606, 0C617, 8A609, 8A620, 8B609, 8B620, 8C609, 0A614, 0B604, 0B614, 1A613, 1B608, 1B613, 1C608, 9A604, 9B604, 9A515, 3A611, 3B611, 9A620, 9B620</p>	CR, IS, TE, TL, CH, CI, MS, GS, IP, IR, OI, OS, DD, IW	All except '70' (Fixed Transport)	NO

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Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
C36	Shipments to B Countries (GBS) Part 740.4 EAR99 may NOT be reported as an ECCN. Only allow Countries of Destination from the Country Group B list Reference: www.access.gpo.gov/bis/ear/pdf/740spir.pdf	Report 'GBS'.	Mandatory Must be one of the following: 1A005, 2B018, 3B002, 4A003, 1C006, 2A001, 3A001, 3A002, 3B001, 3C002, 3C005, 3C006, 5A001, 5B001, 6A001, 6A003, 6A004, 6A005, 6A008, 6B004, 6C004, 8A002, 9B001, 9B002, 9B003, 9B004, 9B006	CR, GP, IS, TE, TL, MS, GS, IP, IR, TP, OI, OS, DD, IW	All except '70' (Fixed Transport)	NO
C37	Civil End Users (CIV) Part 740.5 EAR99 may NOT be reported as an ECCN. Only allow Countries of Destination from the Country Group D1 list Reference: www.access.gpo.gov/bis/ear/pdf/740spir.pdf	Report 'CIV'.	Mandatory Must be one of the following: 1D001, 1D002, 3E002, 5D001, 6D003, 9D003, 1C006, 2A001, 3A001, 3A002, 3B001, 3C002, 3C005, 3C006, 4A003, 5A001, 5B001, 6A001, 6A003, 6A004, 6A005, 6A008, 6B004, 6C004, 8A002, 9B001, 9B002, 9B003, 9B004, 9B006, 3B001, 3D001, 3E001	CR, IS, TE, TL, IP, IR, OI, OS, DD, IW	All except '70' (Fixed Transport)	NO
C38	Restrict Technology and Software (TSR) Part 740.6 (AES or EEI filing not required) EAR99 may NOT be reported as an ECCN. Only allow Countries of Destination from the Country Group B list Reference: www.access.gpo.gov/bis/ear/pdf/740spir.pdf	Report 'TSR'.	Mandatory Must be one of the following: 1D001, 1D002, 3E002, 5D001, 6D003, 9D003, 1E001, 1E002, 2D001, 2D002, 2D003, 2E001, 2E002, 2E003, 3D001, 3D002, 3D003, 3D004, 3E001, 3E003, 5E001, 6D001, 6D002, 6E001, 6E002, 6E003, 8D001, 8D002, 8E001, 8E002, 9D018, 9E018, 4D001, 4E001, 0E018, 2D018, 2E018, 4D001, 8E002	CR, GP, IS, TE, TL, MS, GS, IP, IR, OI, OS, IW	All except '70' (Fixed Transport)	NO

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Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
C40	<p>Temporary Imports, Exports, and Re-exports (TMP) Part 740.9</p> <p>Consolidates the following categories: Temporary exports and re-exports; Items temporarily in the U.S.; Beta Test Software. EAR99 may be reported as an ECCN.</p>	Report 'TMP'.	Allowed	CR, GP, IS, TE, TL, MS, GS, IP, IR, TP, OI, OS, DD, IW	All except '70' (Fixed Transport)	NO
C41	<p>Servicing and Replacement of Parts and Equipment (RPL) Part 740.10</p> <p>Consolidates the following categories: One-for-one replacement of parts; servicing and replacement of equipment.</p> <p>EAR99 may be reported as an ECCN.</p>	Report 'RPL'.	Mandatory	GP, IS, TE, TL, MS, GS, IP, IR, TP, OI, OS, IW	All except '70' (Fixed Transport)	NO
C42	<p>Government and International Organizations (GOV) Part 740.11 (AES or EEI not required)</p> <p>Consolidates the following categories: International safeguards; shipments to U.S. Agencies and personnel; shipments to Agencies of cooperating governments.</p> <p>EAR99 may be reported as an ECCN.</p>	Report 'GOV'.	Mandatory	GP, IS, TE, TL, CH, CI, MS, GS, IP, IR, TP, OI, OS, DD, IW	All except '70' (Fixed Transport)	NO
C43	<p>Gift Parcels and Humanitarian Donations (GFT) Part 740.12</p> <p>(AES or EEI not required)</p> <p>Items under 600 series ECCNs are not eligible under this license type.</p> <p>Consolidates the following categories: Gift parcels; Humanitarian donations.</p> <p>EAR99 may be reported as an ECCN.</p>	Report 'GFT'.	Mandatory	UG, IW	All except '70' (Fixed Transport)	NO

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C44	Technology and Software – Unrestricted (TSU) Part 740.13 Consolidates the following categories: Operating technology and software; Sales technology and software; Software updates; General software. EAR99 may be reported as an ECCN.	Report 'TSU'.	Mandatory	CR, GP, IS, TE, TL, MS, GS, IP, IR, TP, OI, OS, IW	All except '70' (Fixed Transport)	NO
C45	Baggage (BAG) Part 740.14 ECCN 1A613 is the only eligible 600 series ECCN for this license type. EAR99 may be reported as an ECCN.	Report 'BAG'.	Mandatory	OI, OS, IW	All except '70' (Fixed Transport)	NO
C46	Aircraft and Vessels (AVS) Part 740.15 (AES or EEI not required) Items under 600 series ECCNs are not eligible under this license type. EAR99 may be reported as an ECCN.	Report 'AVS'.	Mandatory	GP, IS, TE, TL, MS, GS, IP, IR, TP, OI, OS, IW	All except '70' (Fixed Transport)	NO

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Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
C50	Encryption Commodities and Software (ENC) Part 740.17 Permits the export and re-export of any key length encryption commodities and software after review; permits the export and re-export of any key length encryption to U.S. subsidiaries without review. EAR99 may NOT be reported as an ECCN.	Report 'ENC'.	Mandatory Must be one of the following: 5A002, 5B002, 5D002, 5E002	CR, GP, IS, TE, TL, MS, GS, IP, IR, TP, OI, OS, IW	All except '70' (Fixed Transport)	NO
C51	License Exception Agricultural Commodities (AGR) Part 740.18 Authorizes exports and certain re-exports of agricultural commodities to Cuba. Items under 600 series ECCNs are not eligible under this license type. EAR99 may be reported as an ECCN.	Report License Number.	Mandatory	CH, OI, OS, IW	All except '20', '21' (Rail), '30', '31' (Truck), '70' (Fixed Transport)	NO
C53	Computers (APP) Part 740.7 Adjusted Peak Performance (APP) replaces Composite Theoretical Performance (CTP) EAR99 may NOT be reported as an ECCN.	Report 'APP'.	Mandatory Must be one of the following: 4A003, 4D001, 4E001	CR, GP, IS, TE, TL, MS, GS, IP, IR, TP, OI, OS, IW	All except '70' (Fixed Transport)	NO
C54	Short Supply Western Red Cedar – (SS-WRC) Part 754.4 EAR99 may NOT be reported as an ECCN.	Report 'SS-WRC'	Mandatory Must be 1C988	All	All except '70' (Fixed Transport)	NO
C57	Authorization for Validated End-User (VEU) for Certain Authorized Exports and Re-exports of Commerce Control List items to the People's Republic of China and India. Items to China under 600	Report 'VEU'.	Mandatory	OI, OS, TL, IW	All except '70' (Fixed Transport)	NO

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Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
	series ECCNs are not eligible under this license type. EAR99 may NOT be reported as an ECCN.					
C58	License Exception CCD allows export and re-export of consumer products related to the free flow of information to, from and among the Cuban people and the Sudanese people, enabling communications among people within those countries and with the outside world. See 740.19 of the EAR. EAR99 may be reported as an ECCN.	Report 'CCD'	Must be one of the following: EAR99, 4A994, 4D994, 5A991, 5D991, 5D992, 5A992, 7A994	OI, OS, CH, CI	All except '70' (Fixed Transport)	NO
C59	Strategic Trade Authorization (STA) allows an exception to export specific controlled items to certain countries that would otherwise require a license because of CCL-based license requirements. EAR99 may NOT be reported as an ECCN.	Report 'STA'	600-series ECCNs and other ECCNs are eligible to the extent permitted under part 740.20 of the EAR	OI, OS, CH, CI	All	NO
C60	.y "600 series" items to identify the .y subparts to ECCNs that are in the "600 series" because they have less military significance than other subparts to the "600 series." EAR99 may NOT be reported as an ECCN.	Report 'DY6'	Allowed When reported, the ECCN must be one of the following: 0A606, 0A617, 0D606, 0D617, 0E606, 0E617, 1A613, 1D613, 1E613, 3A611, 3D611, 3E611, 8A609, 8A620, 8D609, 8D620, 8E609, 8E620, 9A610, 9A619, 9B619, 9D610, 9D619, 9E610, 9E619	OI, OS, CH, CI	All	NO

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Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
C62	Support for the Cuban People (SCP) Part 740.21 of the BIS Export Administration Regulations (EAR). EAR99 may be reported as an ECCN.	Report 'SCP'	Mandatory Must be one of the following: EAR99, 0A999, 1A995, 1A999, 1C990, 1C996, 1C998, 1D993, 1D999, 1E994, 1E998, 2A991, 2A994, 2A999, 2B991, 2B992, 2B993, 2B996, 2B997, 2B998, 2B999, 2D991, 2D992, 2D994, 2E991, 2E994, 3A991, 3A992, 3A999, 3B991, 3B992, 3C992, 3D991, 3E991, 4A994, 4B994, 4C994, 4D993, 4D994, 4E992, 4E993, 5A991, 5A992, 5B991, 5C991, 5D991, 5D992, 5E991, 5E992, 6A991, 6A993, 6A994, 6A995, 6A996, 6A997, 6A999, 6B995, 6C992, 6C994, 6D992, 6D993, 6E992, 6E993, 7B994, 7D994, 7E994, 8A992, 8D992, 8E992, 9A990, 9A991, 9A992, 9B990, 9B991, 9D990, 9D991, 9E990, 9E991, 9E993	All except UG, FS, FI	All	NO

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Table B: Nuclear Regulatory Commission (NRC) License Type Codes.

Lic. Code	Description	Export License Nbr / CFR Citation / Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
N01	NRC Form 250/250A 'Specific' export license for nuclear material and equipment.	Report the License Number.	Allowed	MS, GS, OI, OS	All except '60' (Passenger Hand Carried), '70' (Fixed Transport)	NO
N02	NRC 'General' Export License	Report the CFR Citation Number.	Allowed	MS, GS, OI, OS	All except '60' (Passenger Hand Carried), '70' (Fixed Transport)	NO

Table C: Department of State/ Directorate of Defense Trade Control (DDTC) License Type codes.

When the License Code S61, S73, S85 or S94 is reported and accepted in AES, the filer is required to present the original license and proof of filing to CBP prior to export.

See 'Appendix O – DDTC Exemption Codes' for a list of ITAR Exemption numbers.

Lic. Code	Description	DDTC ITAR Exemption	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC# / ACM#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
SAG	Agreements Agreements (i.e. AG, BA, MA, RR, TA and VD)	Report ITAR DDTC Exemption Citation.	Report spaces.	Allowed	MS, GS, OI, OS	All except '70' (Fixed Transport)	NO
SAU	Australia ITAR Exemptions	Report ITAR DDTC Exemption Citation	Report the Approved Community Member Number. #	Allowed	MS, GS, OI, OS	All except '70' (Fixed Transport)	NO
SCA	Canadian ITAR Exemption	Report ITAR DDTC Exemption Citation.	Report spaces.	Allowed	MS, GS, OI, OS	All except '70' (Fixed Transport)	NO

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Lic. Code	Description	DDTC ITAR Exemption	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC# / ACM#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
SGB	United Kingdom ITAR Exemptions	Report ITAR DDTC Exemption Citation	Report the Approved Community Member Number. #	Allowed	MS, GS, OI, OS	All except '70' (Fixed Transport)	NO
S00	License Exemption Citation	Report ITAR DDTC Exemption Citation.	Report spaces.	Allowed	MS, GS, OI, OS	All except '70' (Fixed Transport)	NO
S05	DSP-5 Permanent export of unclassified defense articles and services.	Report spaces.	Report the License Number.	Allowed	MS, GS, OI, OS	All except '70' (Fixed Transport)	YES
S61	DSP-61 Temporary import of unclassified articles.	Report spaces.	Report the License Number.	Allowed	MS, GS, OI, OS	All except '70' (Fixed Transport)	YES
S73	DSP-73 Temporary export of unclassified articles.	Report spaces.	Report the License Number.	Allowed	MS, GS, TP, OI, OS	All except '70' (Fixed Transport)	YES
S85	DSP-85 Temporary or permanent import or export of classified articles.	Report spaces.	Report the License Number.	Allowed	MS, GS, OI, OS	All except '70' (Fixed Transport)	YES
S94	DSP-94 Foreign Military Sales	Report spaces.	Report the case id Format: CC- two character country code, X- Implementing agency, XXX - Case Identifier Report: GB-B-ACD	Allowed	MS, GS, FS, FI	All except '60' (Passenger Hand Carried), '70' (Fixed Transport)	YES

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Table D: Department of Treasury/Office of Foreign Assets Control (OFAC) License Type Codes.

Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
T10	OFAC 'Specific' License Specific export license issued, on a case-by-case basis, by OFAC for certain export shipments that would otherwise be barred by sanctions.	Report the case id Format: CC-two character country code, YYYY-Year, CASENO – case number assigned by OFAC, AMEND-amendment number if the license was amended. Report: IA2015123456	Allowed	MS, GS, OI, OS	All except '70' (Fixed Transport)	NO
T11	OFAC 'General' Export License Export shipments permitted under 'General' license which conform to criteria set forth in an OFAC authorization published as a regulation (no individual clearance by OFAC) covers certain shipments that would otherwise be barred by sanctions.	Report the CFR citation or if there is no CFR citation, the Federal Register Citation if there is one, or the General License Number.	Allowed	MS, GS, OI, OS	All except '70' (Fixed Transport)	NO
T12	Kimberly Process Certificate Number The unique identifying number of the Kimberly Process Certificate (KPC) issued by the United States Kimberly Process Authority must accompany any export (reexport) of rough diamonds. See standards, practices, and procedures of the Kimberly Process set forth in the Rough Diamond Control Regulations, 31 CFR part 592, promulgated by OFAC (69 FR 56936 dated September 23, 2004).	Report the KPC Number.	EAR99 or blank only	OI, OS	All except '70' (Fixed Transport)	YES

Table E: Other Partnership Agency License Type Code.

Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KCP#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
OPA	Other Partnership Agency License	Report the License	Allowed	All except UG, FS, FI,	All	NO

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Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KCP#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
	AES filers are required to comply with current paper documentation requirements for agencies not accommodated in AES (i.e. DEA, ATF).	Number or 'OPA'.		IW		

Table F: Department of Energy/National Nuclear Security Administration (DOE/NNSA) License Type Code.

Lic. Code	Description	Exp Lic#/ CFR Citation/ Auth Symbol/KCP#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
E01	Authorization for Nuclear Security Enterprise of government-owned, contractor-operated (GOCO) Management and Operations entities that perform work under the directions and oversight of the National Nuclear Security Administration, to export items authorized by the Atomic Energy Act Authorization/Licensing and as acknowledged in the International Traffic in Arms Regulations section 123.20 and 125.1.	Report 'AEA'	Not Allowed	OS	All except '12', '20', '21', '70'	NO

Table G: Voluntary Disclosure (VD) License Type Codes.

Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KCP#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
VDC	Commerce Department Voluntary Self-Disclosure	Report spaces	Allowed	All	All	NO
VDS	State Department Voluntary Disclosure	Report spaces	Allowed	MS, GS, OI, OS, FS, FI, TP	All except '70' (Fixed Transport)	NO
VDO	Other Partner Government Agency Voluntary Disclosure	Report spaces	Allowed	All except UG, FS, FI, IW	All	NO