EXPORT COMPLIANCE® TRAINING INSTITUTE

LearnExportCompliance.com

QUICK REFERENCE FLIP CHART

Updated: ***November 2022***

Acronyms • Order of Review • ITAR Exemptions • AES Filing • Reexports Analysis Steps • EAR Flowchart

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EXPORT COMPLIANCE Acronyms (A-ECRA)

ACRONYM	REGS	DESCRIPTION
ACE		Automated Commercial Environment
ACE		Authorized Cybersecurity Exports
AES		Automated Export System
AG	ITAR	Agreements Guidelines
AG		Australia Group
AGR	EAR	Agricultural Commodities (License Exception)
APO		Air Force Post Office
APP	EAR	Computers (License Exception) and Adjusted Peak Performance (Computer Performance Formula)
APR	EAR	Additional Permissive Reexports (License Exception)
AT	EAR	Anti-Terrorism (Reason for Control)
AVS	EAR	Aircraft, Vessels and Spacecraft (License Exception)
BAG	EAR	Baggage (License Exception)
BIS	EAR	Bureau of Industry and Security
CACR	OFAC	Cuban Assets Control Regulations
CAS		Chemical Abstract Service
CB	EAR	Chemical and Biological Weapons (Reason for Control)
CBP		U.S. Customs and Border Protection
CC	EAR	Crime Control (Reason for Control)
CCATS		Commodity Classification Automated Tracking System
CCD	EAR	Consumer Communications Devices (License Exception)
CCL	EAR	Commerce Control List
CFR		Code of Federal Regulations

ACRONYM	REGS	DESCRIPTION
CJ		Commodity Jurisdiction
DCS	EAR	Destination Control Statement
DCS	ITAR	Direct Commercial Sales
DDTC	ITAR	Directorate of Defense Trade Controls
DECCS	ITAR	Defense Export Control and Compliance System
DOD		U.S. Department of Defense
DOJ		U.S. Department of Justice
DOPSR	ITAR	Defense Office of Prepublication and Security Review
DPL	EAR	Denied Persons List
DSP	ITAR	Department of State Pro Forma
DTAG	ITAR	Defense Trade Advisory Group
DTC	ITAR	Defense Trade Controls
DTCC	ITAR	Office of Defense Trade Controls Compliance
DTCL	ITAR	Office of Defense Trade Controls Licensing
DTCP	ITAR	Office of Defense Trade Controls Policy
DTSA		Defense Technology Security Administration
EAR	EAR	Export Administration Regulations
ECCN	EAR	Export Classification Control Number
ECMP		Export Compliance Management Program
ECO		Export Compliance Officer
ECR		Export Control Reform
ECRA	EAR	Export Control Reform Act

Acronyms are coded as EAR (Export Administration Regulation), ITAR (International Traffic in Arms Regulations), FTR (Foreign Trade Regulations) or OFAC (Office of Foreign Assets Control) sanctions related. Acronyms that apply more generally are not coded.

EAR License Exceptions Coded Green

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EXPORT COMPLIANCE Acronyms (EEI-NSG)

ACRONYM	REGS	DESCRIPTION
EEI		Electronic Export Information
ELISA		Export License Status Advisor
EMCP	EAR	Export Management & Compliance Program
ENC	EAR	Encryption (License Exception)
EO	ITAR	Empowered Official
EPCI	EAR	Enhanced Proliferation Control Initiative
FC	EAR	Firearms Convention (Reason for Control)
FCPA		Foreign Corrupt Practices Act
FMS	ITAR	Foreign Military Sales
FPO		Fleet Post Office
FPPI	FTR	Foreign Principal Party in Interest
FSC		Facility Security Clearance
FTR		Foreign Trade Regulations
FY		Fiscal Year
GBS	EAR	Group B Shipments (License Exception)
GC	ITAR	General Correspondence
GFT	EAR	Gift Parcels (License Exception)
GOV	EAR	Governments (License Exception)
HPC	EAR	High Performance Computers
HSI		Homeland Security Investigations
HTS	FTR	Harmonized Tariff Schedule
ICP	ITAR	Internal Control Program

ACRONYM	REGS	DESCRIPTION
IEEPA	OFAC	International Emergency Economic Powers Act
ISO		International Standards Organization
ITAR	ITAR	International Traffic in Arms Regulations
ITN	FTR	Internal Transaction Number
ITSR	OFAC	Iranian Transactions and Sanctions Regulations
IVL	EAR	Individual Validated License
LO	EAR/ITAR/OFAC	Licensing Officer
LVS	EAR	Shipments of Limited Value (License Exception)
M&A		Merger and Acquisition
MDE	ITAR	Major Defense Equipment
MLA	ITAR	Manufacturing License Agreement
MOD		Ministry of Defense
MT	EAR/ITAR	Missile Technology (Reason for Control)
MTCR		Missile Technology Control Regime
NB	EAR	Nota bene
NDA		Non-Disclosure Agreement
NES	EAR	Not Elsewhere Specified
NISPOM	ITAR	National Industrial Security Program Operating Manual
NLR	EAR	No License Required
NP	EAR	Nuclear Nonproliferation (Reason for Control)
NS	EAR	National Security (Reason for Control)
NSG	EAR	Nuclear Suppliers Group

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EXPORT COMPLIANCE Acronyms (O-Z)

ACRONYM	REGS	DESCRIPTION
OEE		Office of Export Enforcement
OEM		Original Equipment Manufacturer
OFAC	OFAC	Office of Foreign Assets Control
PCFC	ITAR	Political Contributions, Fees and Commissions
PM	ITAR	Bureau of Political-Military Affairs
POA		Power of Attorney
PPI	FTR	Principal Party in Interest
RFQ		Request for Quote
RPL	EAR	Servicing and Replacement of Parts & Equipment (License Exception)
RS	EAR	Regional Stability (Reason for Control)
RWA	EAR/ITAR/OFAC	Return Without Action
SCO	ITAR	Special Compliance Official
SCP	EAR	Support for the Cuban People (License Exception)
SDN	OFAC	Specially Designated National
SI	EAR	Significant Items (Reason for Control)
SL	EAR	Surreptitious Listening (Reason for Control)
SLI		Shipper's Letter of Instruction
SME	ITAR	Significant Military Equipment
SNAP-R	EAR	Simplified Network Application Process - Revised
SS	EAR	Short Supply (Reason for Control)
SSI	OFAC	Sectoral Sanctions Identification List
STA	EAR	Strategic Trade Authorization (License Exception)
STELA	EAR	System for Tracking Export License Applications

ACRONYM	REGS	DESCRIPTION
SW		Software
TAA	ITAR	Technical Assistance Agreement
TCP	ITAR	Technology Control Plan
TD		Technical Data
TLA		Three Letter Acronym (of which there are too many in export controls)
TMP	EAR	Temporary (License Exception)
TSPA		Technology and Software Publicly Available
TSR	EAR	Technology and Software Restricted (License Exception)
TSU	EAR	Technology and Software Unrestricted (License Exception)
TTCP	ITAR	Technology Transfer Control Plan
TWEA	OFAC	Trading With the Enemy Act
UN	EAR	United Nations Embargo (Reason for Control)
USG		United States Government
USML	ITAR	United States Munitions List
USPPI	FTR	United States Principal Party in Interest
UVL	EAR	Unverified List
VD	ITAR	Voluntary Disclosure
VEU	EAR	Validated End-User
VSD	EAR/OFAC	Voluntary Self-Disclosure
WDA	ITAR	Warehouse and Distribution Agreement
WT	EAR	Weighted TeraFLOPS (Measure of Computer Performance)
XTN	FTR	External Transaction Number
YOU		Reached the end of this list - nice job

Acronyms are coded as EAR (Export Administration Regulation), ITAR (International Traffic in Arms Regulations), FTR (Foreign Trade Regulations) or OFAC (Office of Foreign Assets Control) sanctions related. Acronyms that apply more generally are not coded.

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ORDER OF REVIEW: U.S. Export Controls Jurisdiction and Classification

ITAR

STEP 1

Is the item enumerated (explicitly identified) in a USML category?

EXAMPLES:

- Category VIII(a)(4) Attack helicopters
- Category XII(b)(1) Laser target designators or coded target markers that mediate the delivery of ordnance to a target
- Category XIX(d) GE38, AGT1500, CTS800, MT7, T55, HPW3000, GE3000, T408 and T700 engines

if YES → STOP — The item is subject to the ITAR within the USML category that describes it.

if NO

STEP 2

Is the item described by a *catch-all* paragraph (i.e., which incorporates "specially designed") in a USML category?

EXAMPLES:

- Category VII(e) Armored support vehicles capable of off-road or amphibious use specially designed to transport or deploy personnel or materiel, or to move with other vehicles over land in close support of combat vehicles or troops
- Category VIII(h)(1) Parts, components, accessories and attachments specially designed for the...B-1B, B-2, B-21, F-15SE, F/A-18 E/F, EA-18G, F-22, F-35 and future variants thereof; or the F-117 or U.S. government technology demonstrators
- Category XII(b)(6) Light detection and ranging (LIDAR), laser detection and ranging (LADAR) or range gated systems specially designed for a military end-user

if YES → STOP — The item is subject to the ITAR within the USML category that describes it.

Reference ITAR 121.1(b) for complete USML order of review

if NO

EAR

STEP 3

Continue to the Export Administration Regulations (EAR) and determine the appropriate Commerce Control List (CCL) category:

0 - Nuclear Materials, Facilities and Equipment (and Miscellaneous Items)
1 - Special Materials and Related Equipment, Chemicals, Microorganisms and Toxins
2 - Materials Processing
3 - Electronics
4 - Computers
5 - Part I - Telecommunications
5 - Part II - Information Security
6 - Sensors and Lasers
7 - Navigation and Avionics
8 - Marine
9 - Aerospace and Propulsion

EXAMPLES: 2B350 5D002 9A991

STEP 4

Identify CCL Product Group (A-E).

FIVE CCL PRODUCT GROUPS:

A - End-Items, Equipment, Accessories, Attachments, Parts, Components and Systems
B - Test, Inspection and Production Equipment
C - Materials
D - Software
E - Technology

EXAMPLES:

- 1A001 Parts and components made from fluorinated compounds
- 1D001 Software specially designed or modified for the development, production or use of equipment controlled by 1B001 to 1B003
- 1E001 Technology for the development or production of items controlled by 1A002, 1A003, 1A004, etc.

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EAR

STEP 5

Is the item *enumerated* (explicitly identified) in a 600 series or 9x515 ECCN?

EXAMPLES:

- ECCN 8A620.b Submarine nets and torpedo nets
- ECCN 9A515.a.4 "Spacecraft," including satellites, and space vehicles and "sub-orbital craft," whether designated developmental, experimental, research or scientific...that...provide space-based logistics, assembly or servicing of another "spacecraft"
- ECCN 9A610.b. L-100 aircraft manufactured prior to 2013

if YES → STOP — The item is subject to the EAR within the ECCN that describes it.

if NO ↓

STEP 6

Is the item described by a catch-all paragraph of a 600 series or 9x515 ECCN (i.e., the controlling paragraph contains the term "specially designed")?

EXAMPLES:

- 0A606.x "Parts," "components," "accessories" and "attachments" that are "specially designed" for a commodity enumerated or otherwise described in ECCN 0A606 (other than 0A606.b or 0A606.y) or a defense article enumerated in USML Category VII and not elsewhere specified on the USML or in 0A606.y
- 3D611.y "Software" "specially designed" for the "production," "development," operation or maintenance of commodities enumerated in ECCN 3A611.y
- 7A611.a. Guidance or navigation systems, not elsewhere specified on the USML, that are "specially designed" for a defense article on the USML or for a 600 series item

if YES → STOP — The item is subject to the EAR within the ECCN that describes it.

if NO ↓

STEP 7

Is the item enumerated (explicitly identified) in any other ECCN?

EXAMPLES:

- 1A985 Fingerprinting powders, dyes and inks
- 1C351.a.31. Monkeypox virus
- 3A001.a.9 Neural network integrated circuits

if YES → STOP — The item is subject to the EAR within the ECCN that describes it.

if NO ↓

STEP 8

Is the item described by a catch-all paragraph of any other ECCN (i.e., the controlling paragraph contains the term "specially designed")?

EXAMPLES:

- 2D001.a "Software" "specially designed" or modified for the "development" or "production" of equipment controlled by 2A001 or 2B001 to 2B009
- 7B001 Test, calibration or alignment equipment, "specially designed" for equipment controlled by 7A (except 7A994)
- 9A991.d "Parts" and "components," "specially designed" for "aircraft," n.e.s.

if YES → STOP — The item is subject to the EAR within the ECCN that describes it.

if NO ↓

STEP 9

Item is subject to the EAR and is classified as "EAR99".

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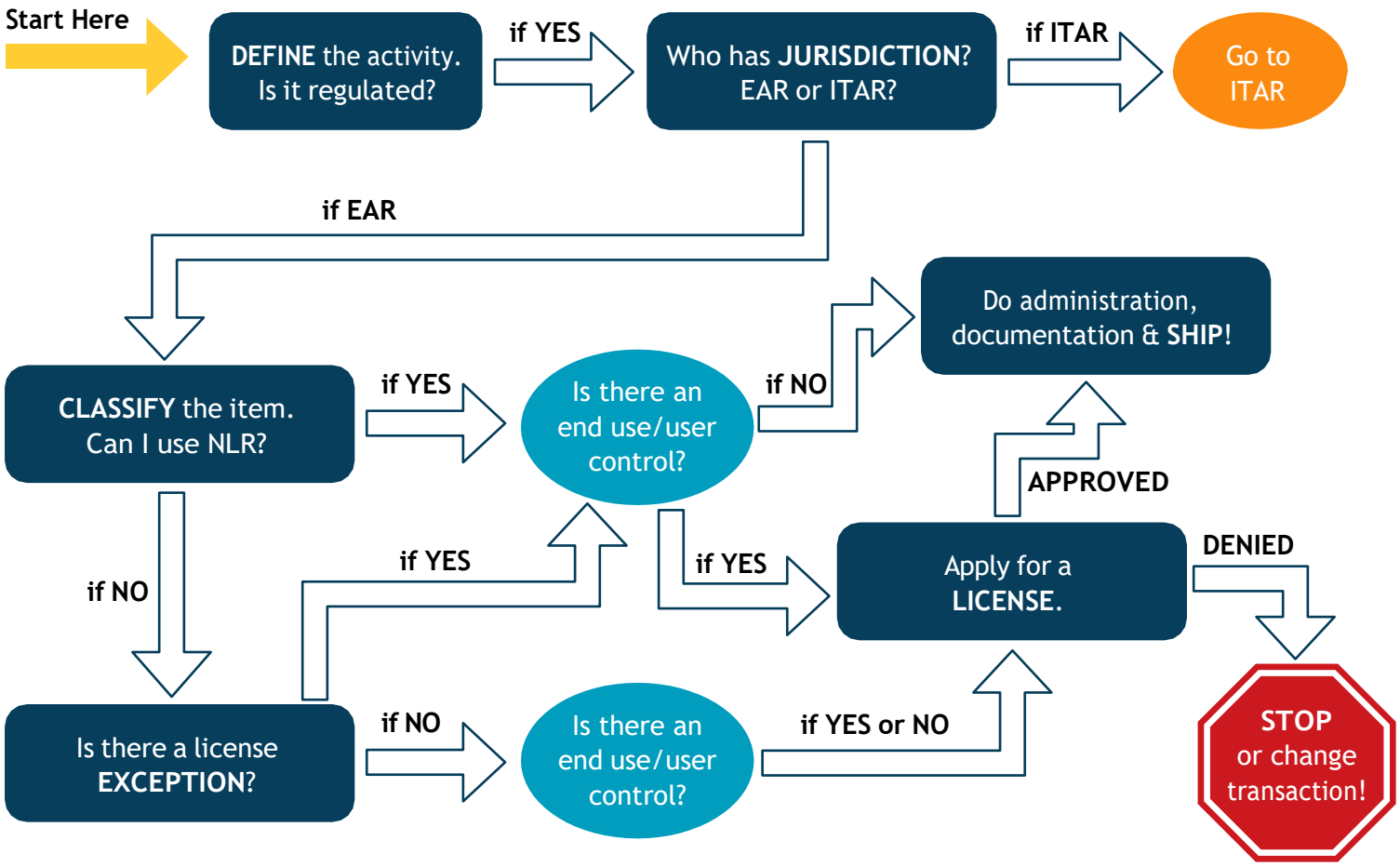
EAR EXPORT FLOW CHART



EXPORT CONTROLS TOOLS AND RESOURCES	
Resource	**Link**
Searchable CCL (free and updated regularly)	LearnExportCompliance.com/ccl
Searchable EAR (free and updated regularly)	LearnExportCompliance.com/ear
Searchable ITAR (free and updated regularly)	LearnExportCompliance.com/itar
ECTI Seminar Training Schedule	LearnExportCompliance.com/schedule
ECTI Live and On-Demand Webinars	LearnExportCompliance.com/webinars
ECTI e-Seminars (comprehensive training on YOUR schedule)	LearnExportCompliance.com/e-seminars
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ECoP® Certification

Export Compliance Professional (EAR or ITAR)

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"The ECoP® certification training program is a good, fair evaluation of how to apply export knowledge to everyday tasks."

"The tests were difficult, but real-life situations are also extremely difficult. You need to take your time and think through the situation and ensure that you have done the research necessary to make the appropriate decision. I do not feel that the tests were too difficult for preparing someone, or even refreshing someone, for working within the ITAR and EAR realms. I have been numerous times to the seminars and learn something new each time that I am there. This company has proven to be the best in the business. They take a topic that could be very dry and make it come to life."

"I found the tests to be challenging, and a true indicator of whether one understands how to maneuver the EAR and ITAR. Both tests required one to perform research on basically every answer to be certain the correct answer was chosen. Because I work at an academic institution, there are many sections that don't apply to us on a daily basis. It still helps that I had to answer questions on these otherwise inapplicable sections for future reference."

"The program was very thorough and insightful. A must have for any compliance program."

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ITAR Exemptions Quick Reference Pad

HARDWARE	ITAR Citation
Temporary imports	123.4
Export value less than $500	123.16(b)(2)
Unclassified models/mock-ups that reveal no controlled tech data	123.16(b)(4)
Temp export to public shows per outstanding DSP-73	123.16(b)(5)
Temp export of unclassified items to owned/controlled subsidiary	123.16(b)(9)
TECHNICAL DATA and DEFENSE SERVICES	**ITAR Citation**
Tech data pursuant an agreement	125.4(b)(2)
Tech data pursuant official written request from DOD	125.4(b)(1)
Tech data pursuant a contract between exporter and agency of U.S. Gov.	125.4(b)(3)
Copies of previously authorized tech data to same recipient	125.4(b)(4)
Basic operation and maintenance data to lawful recipient of defense article	125.4(b)(5)
Training on basic operation and maintenance to lawful recipient of defense articles	124.2(a)
Tech data return to original source of import	125.4(b)(7)
Tech data by or to a U.S. person, or foreign person employee of a U.S. person	125.4(b)(9)
Disclosures of unclassified tech data by U.S. universities to foreign employees	125.4(b)(10)
Tech data with U.S. Government approval for unlimited distribution	125.4(b)(13)
Allies maintenance exemption	124.2(c)
Allies offshore procurement	125.4(c)
Disclosure of unclassified tech data during approved plant visit	125.5(c)
CANADA, UNITED KINGDOM AND AUSTRALIA	**ITAR Citation**
Canadian exemption - Temp import into the U.S.	126.5(a)
Canadian exemption - Exports of defense articles and services	126.5(b)
Canadian exemption - Retransfers inside Canada	126.5(d)
UK exemption	126.17
Australia exemption	126.16
REEXPORTS/RETRANSFERS	**ITAR Citation**
Transfers to dual nationals and third country nationals	126.18
Reexports and retransfers to NATO+	123.9(e)
U.S. GOVERNMENT AND FOREIGN MILITARY SALES	**ITAR Citation**
Shipments by or for U.S. Government	126.4
FMS hardware, tech data and defense services	126.6(c)

KEY ITAR DEFINITIONS	ITAR Citation
Broker	129.2(a)
Brokering Activities	129.2(b)
Defense Article	120.31
Defense service	120.32
Distribution Agreement	120.57(f)
Eligibility (Ineligible Parties)	120.16
Empowered Official	120.67
Export	120.50
Fee or Commission	130.5
Foreign Person	120.63
Manufacturing License Agreement	120.57(d)
Offshore Procurement Agreement	124.13
Political Contribution	130.6
Public Domain	120.34
Reexport	120.51
Release	120.56
Retransfer	120.52
Specially Designed	120.41
Technical Assistance Agreement	120.57(e)
Technical Data	120.33
Temporary Import	120.53
U.S. Person	120.62

EXPORT CONTROLS TOOLS AND RESOURCES	
Resource	**Link**
Searchable CCL (free and updated regularly)	LearnExportCompliance.com/ccl
Searchable EAR (free and updated regularly)	LearnExportCompliance.com/ear
Searchable ITAR (free and updated regularly)	LearnExportCompliance.com/itar
ECTI Seminar Training Schedule	LearnExportCompliance.com/schedule
ECTI Live and On-Demand Webinars	LearnExportCompliance.com/webinars
ECTI e-Seminars (comprehensive training on YOUR schedule)	LearnExportCompliance.com/e-seminars
"Export Control Navigator" Free Newsletter	LearnExportCompliance.com/tools/monthly-newsletter

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REEXPORTS KEY ANALYSIS STEPS

TO DETERMINE CONTROLS ON ACTIVITIES OUTSIDE THE UNITED STATES

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STEP 1
U.S. PERSONS?

- U.S. Ownership or Control → Prohibitions on activities involving Cuba, Iran; restricted nuclear activities; certain restricted parties; antiboycott; ITAR brokering issues → STEP 2
- U.S. Person → Restrictions above plus prohibitions on activities involving: North Korea, Syria, and covered regions of Ukraine; support for proliferation, military - intelligence end use/user; other OFAC sanctions programs and SDN's → STEP 2
- Not a U.S. person and no U.S. ownership or control → STEP 2

STEP 2
SENSITIVE U.S. CONTENT
What are you exporting?

- USML content → Approval needed for reexport or retransfer under the ITAR
- EAR content
  - A: EAR 734.4(a), (b) sensitive content (examples: semiconductors, encryption, gas turbine engine technology, 9x515, 600 series) → Special rules apply if EAR jurisdiction → STEP 4
  - B: U.S. item or U.S. content is "publicly available" software or technology → Not subject to the EAR
  - C: Other → STEP 3
- Created using U.S. technical data or technology
  - A: ITAR technical data or defense service → ITAR approval required
  - B: EAR technology, software or plant → Foreign direct product rule may apply

STEP 3
U.S. CONTENT DE MINIMIS
How much U.S.-controlled content?

- ≤ 10% → Usually not subject to U.S. jurisdiction. If technology, file a one-time report and wait 30 days
- > 10% TO ≤ 25% → U.S. jurisdiction to Country Groups E:1 or E:2. If technology, file a one-time report and wait 30 days → STEP 4
- > 25% → U.S. jurisdiction worldwide. If technology, file a one-time report and wait 30 days → STEP 4

STEP 4
CLASSIFICATION

- Find the ECCN in CCL → Determine U.S. licensing requirements. Note the reasons for control for the Export Control Classification Number → STEP 5

STEP 5
NO LICENSE REQUIRED
Is item NLR to destination country?

- Look up ECCN's reasons for control in EAR Part 738 Country Chart: Does the country have an X? Note: A few ECCNs have peculiar additional control requirements
  - Y → Not eligible for NLR → STEP 6
  - N → Eligible for NLR → STEP 7

STEP 6
LICENSE EXCEPTION

- Eligible for ECCN-based or situation-based license exception?
  - Y → STEP 7
  - N → BIS or OFAC reexport license required → STEP 7

STEP 7
END USE/USER CONTROLS
Do other controls apply?

Restricted Parties? | Red Flags? | Acting with Knowledge of Violation? | Embargo/ Restricted Country? | Proliferation? | Military or Military-Intelligence End Use/User? | Supercomputer/ semiconductor end use?

BIS or OFAC license may be required. Special additional rules may apply to embargoed/restricted countries.

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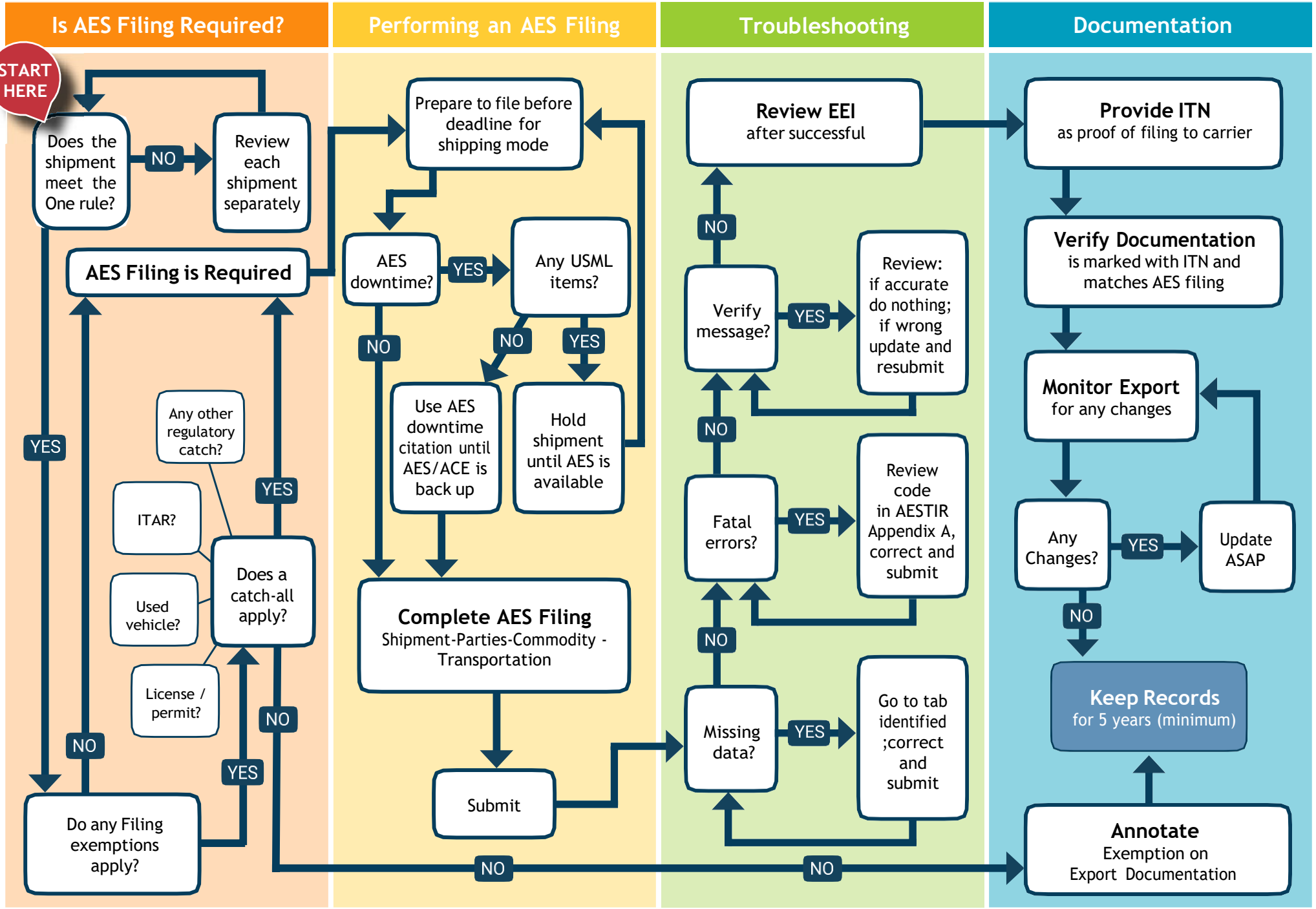
AES Filing Flow Chart

See "AES Filing Tools and References" for further details and description



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AES Filing Tools and References

See "AES Filing Flow Chart" for a visual map of the AES filing process

Is AES Filing Required?

The "One" rule:

- ☐ One "shipment" is:
- ☐ One USPPI shipping to
- ☐ One foreign consignee, on
- ☐ One exporting carrier, on
- ☐ One day

Common exemptions:

- 30.36: Shipments to Canada
- 30.37(a): $2,500 or less in value per schedule B/HTS
- 30.37(q): Temporary (<12 Mo) exports
- 30.37(v): Instruments of international trade (loaded or empty and not sold)

"Catch-All" for filing:

- EAR and ITAR licensable
- Subject to ITAR
- 9x515 or 600 Series
- On CCL to China, Russia or Venezuela
- Rough cut diamonds
- License Exception STA or VEU
- Country Group E
- Unverified list
- Firearms and ammunition
- Other agency license
- Used self-propelled vehicles

Performing an AES Filing

Timelines for filing:

Mode	USML	Non-USML
Ocean	**24 hours** prior to departure	**24 hours** prior to loading
Truck	**8 hours** prior to departure	**1 hour** prior to arrival at border
Air	**8 hours** prior to scheduled departure	**2 hours** prior to scheduled departure
Train	**24 hours** prior to train departure	**2 hours** prior to arrival at border
USPS	22 CFR 123.24	**2 hours** prior to export
Other	22 CFR 123.22(b)(3)	**2 hours** prior for all other modes
30.4(a) for post exempt	Some USPPI's are departure filing, ns	approved t check for

AES downtime policy:

- NOT for: USML goods, user system issues or slow response times. Hold these shipments until EEI can be filed
- Only when official AES downtime policy is enacted (email notification)
- Then the AES Downtime filing citation may be used (see "Filing status type" table under "Documentation")

Troubleshooting

AES messages:

Fatal error: When EEI is rejected, invalid, missing data, or information is not on file; the filer is required to immediately correct the data and retransmit the EEI prior to export

Verify message: When shipment data seems wrong or doesn't make sense (e.g. weight too high); filer must review and make any necessary corrections

Compliance alert: When there appears to be a reporting violation (e.g., "late filing"); filer is required to review and take steps to be compliant

Warning message: A reminder that "Sold en Route" shipments must be updated in four days or less

Informational messages: Simply informational; no action is required by the filer

See **AESTIR Appendix A** for codes

Documentation

Annotating documents:

- USML controlled: Proof of filing citation on documents required by the ITAR
- Rough diamonds: Proof of filing citation on KPC
- Everything else: First page of BL, AWB or other commercial loading documents

Filing status type (Example of proper notation)
Proof of filing citation (AES X20191301234567)
AES downtime filing citation with filer ID and date of export (AESDOWN 123456789 12/31/2019)
Exemption by regulation, include the citation of exemption (NOEEI §30.37(a))

Records to keep:

- ☐ EEI
- ☐ Shipping documents
- ☐ Invoices
- ☐ Orders
- ☐ Packing list
- ☐ Correspondence
- ☐ Any relevant information

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Common AES Filing Citations and Exemptions

Filing Status	Quick Reference*	Citation for Documentation
AES filing complete	**EEI successfully transmitted**	**AES X20191301234567**
AES official downtime	When an official AES downtime is announced and the shipment is eligible, the following information should be provided on the citation: AESDOWN filer ID export date	**AESDOWN 123456789 mm/dd/yyyy**
Exemptions:		
15 CFR 30.36	**Shipments to Canada.** Canada must be the country of ultimate destination	**NOEEI §30.36**
15 CFR 30.37(a)	**Low-Value** shipments under $2,500 per schedule B/HTS with same origin (D/F)	**NOEEI §30.37(a)**
15 CFR 30.37(b)	**Tools of the trade**	**NOEEI §30.37(b)**
15 CFR 30.37(f)	**Technology and software** that do not require a license and are not mass-market software	**NOEEI §30.37(f)**
15 CFR 30.37(k)	**Company business records** from a U.S. firm to its subsidiary or affiliate that are not licensable	**NOEEI §30.37(k)**
15 CFR 30.37(n)	**Dunnage** reasonable type and quantity for shipment, or immediate return and not on BL or AWB	**NOEEI §30.37(n)**
15 CFR 30.37(q)	**Temporary exports** to be returned within 12 months, except those that require licensing	**NOEEI §30.37(q)**
15 CFR 30.37(r)	**Temporary imports** under bond or carnet being returned in the same condition	**NOEEI §30.37(r)**
15 CFR 30.37(v)	**Instruments of international traffic** vessels, vehicles, trailers, pallets, vans or similar shipping containers loaded or empty when in use and not sold	**NOEEI §30.37(v)**
15 CFR 30.37(w)	**Shipments to army post office (APO), diplomatic post office (DPO) or fleet post office (FPO)**	**NOEEI §30.37(w)**
15 CFR 30.37(x)	Shipments exported under **license exception baggage (BAG)** (15 CFR 740.14)	**NOEEI §30.37(x)**
15 CFR 30.39	**Shipments consigned to the U.S. armed forces** for their exclusive use **(USML goods are not eligible for this exemption)**	**NOEEI §30.39**
15 CFR 30.40(a)	**Office goods and office supplies** shipped to and for the exclusive use of **U.S. government offices**	**NOEEI §30.40(a)**
15 CFR 30.40(b)	**Household goods and personal property** shipped to and for the exclusive and personal use of **U.S. government employees**	**NOEEI §30.40(b)**
15 CFR 30.40(c)	**Commissary supplies** shipped to U.S. government offices or employees for the exclusive use of such employees	**NOEEI §30.40(c)**

*This table is for quick reference only and as such is not comprehensive. Check 15 CFR 30.2(a)(1)(iv) for catch all requirements as well as any other regulations that apply to your transaction before using an exemption.

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AES Filing Data Element Summaries (15 CFR 30.6)

Shipment Data Elements

Email Address. For filing confirmation.

Shipment Reference Number. A unique ID number.

Filing option. Predeparture or post departure.

Mode of transportation. For the export from U.S.

Port of export. The Schedule D code of the CBP airport, seaport or border crossing. If multiple ports, use the first port of the final conveyance type.

Departure Date. The date of export–i.e., when goods are scheduled to leave the port of export.

U.S. State of Origin. 2 character code.

Country of destination. The final destination country as known at the time of export.

Inbond type. Code indicating if under bond.

Routed transaction indicator. Yes or No based on 30.3.

Related party indicator. 10% or more direct or indirect ownership between the USPPI and Ultimate Consignee.

Hazardous material indicator. As defined by DOT.

FTZ identifier. If goods are removed from a FTZ and not entered for consumption, report the FTZ identifier.

Foreign port of unlading. The foreign port where the goods are removed from the exporting carrier. For Air and Ocean to Puerto Rico Schedule K is required. For all other Ocean exports Schedule D is required. Not required for other methods of transportation.

Entry number. Required in some bond or FTZ scenarios.

Original ITN. The ITN assigned to a previously filed shipment that is replaced or divided.

Parties Data Elements

USPPI. Name, ID Number, and address of the actual location the goods began the export journey.

USPPI Contact. Name and phone number.

Ultimate consignee. The person or entity that is located abroad and actually receives the export shipment and the physical address. Same as on license if applicable.

Consignee Type. Direct Consumer, Reseller, Government or Other/Unknown

Authorized agent. ID number, name, phone number and address. The authorized agent is the person or entity in the United States who is authorized by the USPPI or the FPPI to prepare and file the EEI or the person or entity, if any, named on the export license.

Intermediate consignee. Name and address shall be reported if used. The intermediate consignee acts in a foreign country as an agent for the purpose of effecting delivery of the export shipment to the ultimate consignee.

Transportation Data Elements

Carrier identification. SCAC or IATA code for export.

Conveyance name/carrier name. For the U.S. export.

Transportation Reference Number (TRN).
- **Vessel** Shipments: Booking number is required
- **Air** Shipments: Air Waybill is optional
- **Rail** Shipments: Bill of Lading is optional
- **Truck** Shipments: Freight or pro bill number is optional

Seal number. The security seal number placed on the equipment or container.

Equipment number. Report the identification number for the shipping equipment such as container number, rail car number, etc.

Commodity Data Elements

Export information code. Identifies export type.

Commodity classification number. The Schedule B number or the valid HTSUS Code (no decimals).

Commodity description. Report sufficient detail to permit verification of classification.

First quantity. The total number of units that correspond to the first unit of measure.

Origin of Goods. Foreign(F) or domestic(D)

Value. The rounded value in USD of selling price (or cost) plus all shipping expenses to the port of export. (See 30.6(a)(17) for special scenarios and exclusions.)

Shipping weight. The weight in kilograms of the goods and normal packaging.

License Type Code. Code for licensing status.

ECCN. When a Commodity has an ECCN it should be reported.

Export license number/CFR citation/KPC number.

License Value. Report value on export license.

Secondary Unit of Measure and Quantity. Based on the Schedule B or HTS code.

Department of State Requirements. DDTC registration number, SME indicator, USML category code, etc.

KEY

Required. Must be reported

Conditional. Under certain conditions must be reported

Optional. Not required but may be reported

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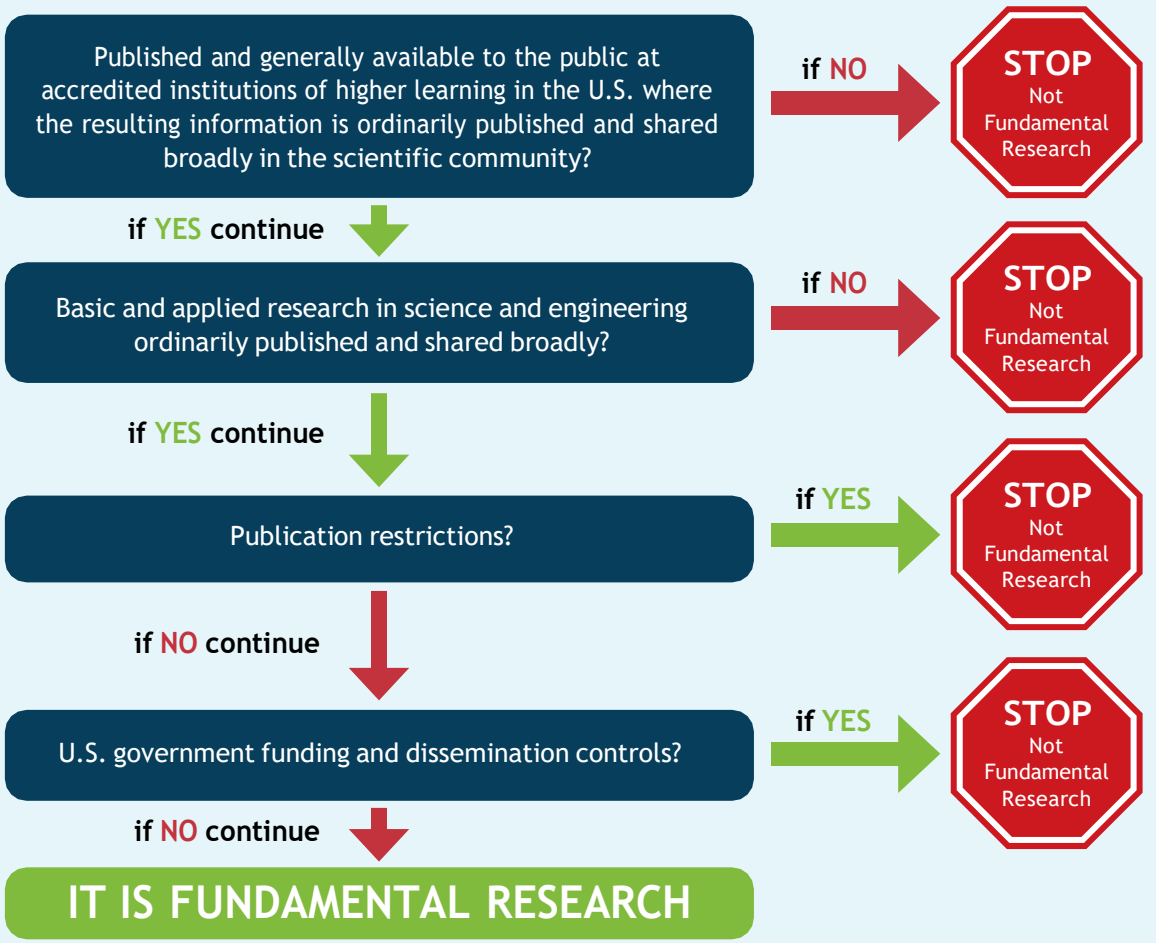
University Export Controls QUICK REFERENCE PAD

University Exemptions and Exceptions	
EAR TSU Employees in U.S.	§740.13(f)
EAR TMP Employees Abroad	§740.9(a)(3)
EAR AVS Research Satellites	§740.15(e)
ITAR Employees in U.S.	§125.4(b)(10)
ITAR Employees Abroad	§125.4(b)(9)
Key Provisions and Definitions	
EAR	**Citation**
Educational Information	§734.3(b)(3)(iii)
Export	§734.13
Fundamental Research	§734.8
Published	§734.7
Technology	§772.1
ITAR	**Citation**
Export	§120.17
Defense Service	§120.9
Foreign Person	§120.16
Fundamental Research	§120.11(a)(8)
Public Domain	§120.11
Regular Employee	§120.39
Technical Data	§120.10
U.S. Person	§120.15

ITAR Fundamental Research Flowchart



EXPORT CONTROLS TOOLS AND RESOURCES	
Resource	**Link**
Searchable CCL (free and updated regularly)	LearnExportCompliance.com/ccl
Searchable EAR (free and updated regularly)	LearnExportCompliance.com/ear
Searchable ITAR (free and updated regularly)	LearnExportCompliance.com/itar
ECTI Seminar Training Schedule	LearnExportCompliance.com/schedule
ECTI Live and On-Demand Webinars	LearnExportCompliance.com/webinars
ECTI e-Seminars (comprehensive training on YOUR schedule)	LearnExportCompliance.com/e-seminars
"Export Control Navigator" Free Newsletter	LearnExportCompliance.com/tools/monthly-newsletter

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