

# Automated Export System Trade Interface Requirements

## Appendix F

License and License Exemption Type Codes and Reporting Guidelines

August 2022



U.S. Customs and  
Border Protection

## 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](http://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. For items not subject to a license requirement, NLR may be used.  Part 758.1(g)(3) Mandatory reporting of ECCN for items with a reason for control other than or in addition to antiterrorism (AT). EAR99 may be reported as an ECCN.	Report 'NLR'.	Allowed	All except UG, FS, FI	All	NO

<b>Lic. Code</b>	<b>Description</b>	<b>Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#</b>	<b>ECCN</b>	<b>Allowed Export Info Codes</b>	<b>Allowed MOT Codes</b>	<b>License Value Required</b>
	<p>For items under 600 series ECCNs with a .y paragraph, use C60 (DY6). NLR shipments of 600-series and 9x515 ECCNs (except .y paragraph) can be shipped only to Canada.</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>					

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:  <a href="http://www.access.gpo.gov/bis/ear/pdf/740spir.pdf">www.access.gpo.gov/bis/ear/pdf/740spir.pdf</a></p>	Report 'LVS'.	<p>Mandatory</p> <p>Must be one of the following:</p> <p>0A018  0A501  0A502  0A504  0A505  0A602  0A606  0A614  0A617  0A918  0B501  0B505  0B602  0B604  0B606  0B614  0B617  0C606  0C617  1A001  1A002  1A003  1A008  1A613  1B001  1B002  1B003  1B018  1B607  1B608  1B613  1C002  1C003  1C004  1C005  1C006  1C007  1C008  1C009  1C010  1C608  2A001  2B003</p>	CR, IS, TE, TL, CH, CI, MS, GS, IP, IR, OI, OS, DD, IW	All except '70' (Fixed Transport)	NO

Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
			2B005 2B007 2B018 2B350 3A001 3A002 3A611 3B001 3B002 3B611 3C001 3C002 3C003 3C004 3C005 3C006 4A001 4A003 4A004 5A001 5A002 5A003 5A004 5B001 6A001 6A002 6A003 6A004 6A005 6A006 6A007 6A008 6B002 6B004 6B007 6B619 6C002 6C004 6C005 7A611 7B611 8A001 8A002 8A609 8A620 8A918 8B001 8B609			

Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
			8B620 8C609 9A002 9A003 9A515 9A604 9A610 9A619 9A620 9B001 9B002 9B003 9B004 9B006 9B008 9B009 9B515 9B604 9B610 9B619 9B620 9C610 9C619			

<b>Lic. Code</b>	<b>Description</b>	<b>Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#</b>	<b>ECCN</b>	<b>Allowed Export Info Codes</b>	<b>Allowed MOT Codes</b>	<b>License Value Required</b>
C36	<p>Shipments to B Countries (<b>GBS</b>) Part 740.4</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:  <a href="http://www.access.gpo.gov/bis/ear/pdf/740spir.pdf">www.access.gpo.gov/bis/ear/pdf/740spir.pdf</a></p>	Report 'GBS'.	<p>Mandatory</p> <p>Must be one of the following:  1A004, 1A005, 3B002, 4A003, 1C006, 2A001, 3A001, 3A002, 3B001, 3C002, 3C005, 3C006, 5A001, 5B001, 6A001, 6A004, 6A005, 6A008, 6B002, 6B004, 6C004, 8A002, 9B001, 9B002, 9B003, 9B004, 9B006</p>	CR, GP, IS, TE, TL, MS, GS, IP, IR, TP, OI, OS, DD, IW	All except '70' (Fixed Transport)	NO
C38	<p>Restrict Technology and Software (<b>TSR</b>) Part 740.6 (AES or EEI filing not required)</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:  <a href="http://www.access.gpo.gov/bis/ear/pdf/740spir.pdf">www.access.gpo.gov/bis/ear/pdf/740spir.pdf</a></p>	Report 'TSR'.	<p>Mandatory</p> <p>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, 3E004, 6D001, 6D002, 6E001, 6E002, 6E003, 8D001, 8D002, 8E001, 8E002, 9D018, 9E018, 4D001, 4E001, 0E018, 2D018, 2E018, 4D001, 8E002</p>	CR, GP, IS, TE, TL, MS, GS, IP, IR, OI, OS, IW	All except '70' (Fixed Transport)	NO

<b>Lic. Code</b>	<b>Description</b>	<b>Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#</b>	<b>ECCN</b>	<b>Allowed Export Info Codes</b>	<b>Allowed MOT Codes</b>	<b>License Value Required</b>
C40	<p>Temporary Imports, Exports, and Re-exports (<b>TMP</b>) 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 (<b>RPL</b>) 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 (<b>GOV</b>) 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 (<b>GFT</b>) 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>	Report 'GFT'.	Mandatory	UG, IW	All except '70' (Fixed Transport)	NO



Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
	EAR99 may be reported as an ECCN.					
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  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

<b>Lic. Code</b>	<b>Description</b>	<b>Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#</b>	<b>ECCN</b>	<b>Allowed Export Info Codes</b>	<b>Allowed MOT Codes</b>	<b>License Value Required</b>
C50	Encryption Commodities and Software ( <b>ENC</b> ) 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, 5A004, 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 ( <b>AGR</b> ) 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 ( <b>APP</b> ) 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 – ( <b>SS-WRC</b> ) 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.	Report 'VEU'.	Mandatory	OI, OS, TL, IW	All except '70' (Fixed Transport)	NO

Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
	Items to China under 600 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" and former USML items containing .y subparts to ECCNs because they have less military significance than other subparts in the ECCN. 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 7A611 7D611 7E611 8A609	OI, OS, CH, CI	All	NO

Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
			8A620 8D609 8D620 8E609 8E620 9A515 9A610 9A619 9B619 9D515 9D610 9D619 9E610 9E619			
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

Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
C63	.y components under 0A501.y and former USML items containing .y subparts to ECCNs because they have less military significance than other subparts in the ECCN destined to certain countries. EAR99 may NOT be reported as an ECCN.	Report 'YFA'	<p>Allowed</p> <p>When reported, the ECCN must be one of the following:</p> <p>0A501</p>	All except UG, FS, FI	All	NO

Lic. Code	Description	Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#	ECCN	Allowed Export Info Codes	Allowed MOT Codes	License Value Required
C64	Authorized Cybersecurity Exports (ACE) that authorizes exports, reexports and transfers (in-country) of cybersecurity items and certain IP network surveillance products, which are not also controlled in Category 5 – Part 2 of the CCL or for Surreptitious Listening (SL) reasons.	Report 'ACE'	Mandatory  Must be one of the following: 4A005, 4D001, 4D004, 4E001, 5A001, 5B001, 5D001 and 5E001	All except 'UG'	All except '70' (Fixed Transport)	NO

**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 LOA 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

<b>Lic. Code</b>	<b>Description</b>	<b>DDTC ITAR Exemption</b>	<b>Exp Lic#/ CFR Citation/ Authorization Symbol/KPC# / ACM#</b>	<b>ECCN</b>	<b>Allowed Export Info Codes</b>	<b>Allowed MOT Codes</b>	<b>License Value Required</b>
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)	<b>YES</b>
S61	DSP-61 Temporary import of unclassified articles subsequently exported.	Report spaces.	Report the License Number.	Allowed	MS, GS, OI, OS	All except '70' (Fixed Transport)	<b>YES</b>
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)	<b>YES</b>
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)	<b>YES</b>
S94	Foreign Military Sales (FMS) Letter of Acceptance (LOA)	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)	<b>YES</b>



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

<b>Lic. Code</b>	<b>Description</b>	<b>Exp Lic#/ CFR Citation/ Authorization Symbol/KPC#</b>	<b>ECCN</b>	<b>Allowed Export Info Codes</b>	<b>Allowed MOT Codes</b>	<b>License Value Required</b>
T10	<p>OFAC ‘Specific’ License</p> <p>Specific export license issued, on a case-by-case basis, by OFAC for certain export shipments that would otherwise be barred by sanctions.</p>	<p>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</p>	Allowed	MS, GS, OI, OS	All except ‘70’ (Fixed Transport)	NO
T11	<p>OFAC ‘General’ Export License</p> <p>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.</p>	<p>Report the CFR citation or if there is no CFR citation, the Federal Register Citation if there is one, or the General License Number.</p>	Allowed	MS, GS, OI, OS	All except ‘70’ (Fixed Transport)	NO
T12	<p>Kimberley Process Certificate Number</p> <p>The unique identifying number of the Kimberley Process Certificate (KPC) issued by the United States Kimberley Process Authority must accompany any export (reexport) of rough diamonds. See standards, practices, and procedures of the Kimberley Process set forth in the Rough Diamond Control Regulations, 31 CFR part 592, promulgated by OFAC (69 FR 56936 dated September 23, 2004).</p>	<p>Report the KPC Number.</p>	EAR99 or blank only	OI, OS	All except ‘70’ (Fixed Transport)	<b>YES</b>

**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  AES filers are required to comply with current paper documentation requirements for agencies not accommodated in AES (i.e. DEA, ATF).	Report the License Number or 'OPA'.	Allowed	All except UG, FS, FI, IW	All	NO

**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