



U.S. DEPARTMENT OF JUSTICE

BUREAU OF ALCOHOL, TOBACCO, FIREARMS
AND EXPLOSIVES



IN COORDINATION WITH

U.S. CUSTOMS AND BORDER PROTECTION

AUTOMATED COMMERCIAL ENVIRONMENT



ATF Supplemental Guidance for ACE

Revision History

Date of Change(s)	Version	Section(s) Affected	Brief Description of Change(s)
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

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1.0 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
ACE Automated Broker Interface (ABI) and CBP and Trade Automated Interface Requirements (CATAIR)	http://www.cbp.gov/trade/ace/catair	3/28/2015
PGA Message Set	http://www.cbp.gov/document/guidance/pga-message-set	R5
Appendix PGA	http://www.cbp.gov/document/guidance/appendix-pga	R7
Appendix C - Tariff Abbreviations	http://www.cbp.gov/document/guidance/appendix-c-tariff-abbreviations	August 2012
Entry Summary Create / Update	http://www.cbp.gov/document/guidance/ace-abi-catair-entry-summary-createupdate	v8.2
ATF Supplemental Guidance for ACE <this document>	http://www.cbp.gov/trade/ace/catair	v1.0

1.4 Points of Contact

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

Name	Role	Contact Information
ATF Imports Helpdesk	ATF-CBP/ACE assistance (for Imports)	Imports-Helpdesk@atf.gov
ATF Exports Helpdesk	ATF-CBP/ACE assistance (for Exports)	Exports-Helpdesk@atf.gov

1.5 General Distribution

This document is released for “General Distribution”

2.0 Industry Guidance (IG)

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. Multiple sequences of grouped data can be provided.

2.3 PGA Controls used by ATF

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	FIREARMS, EXPLOSIVES, AMMUNITION, AND IMPLEMENTS OF WAR	
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 each distinct "Category Code" imported>					
PG10	6AN	5-10	M	Category_Type_Code	AT1	Always [AT1]
	5AN	11-15	M	Category_Code	SG,RI,PI,...	Appendix PGA (PG10 – Category Code)
	4X	16-19	O	Commodity_Qualifier	PC9	Always [PC9]
	57X	24-80	O	Commodity_Description	XXXX	
PG51	<A grouping for each distinct "Category Code" imported>					
PG14	3AN	6-8	M	LPCO_Type	AT2	Always [AT2]
	33X	9-41	C	FFL_Number	1-23-456-78-9A-01234	
	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	
	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	
	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	
	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

NOTE: Each entry must have one or more Category Codes (PG10) grouping; there is no limit to them.

2.3.1 Mandatory Controls

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

- <PG14 (6-8)> LPCO Type
 - If a PG14 is submitted, this field is mandatory

2.3.2 Conditional Controls

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

- <PG14> LPCO
 - These line(s) are conditional depending if they are required based on Appendix PGA (PG10 – Category Code)
- <PG14 (9-41)> FFL/FEL/AECA/Permit Number
 - These fields are 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.

2.3.3 Optional Controls

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

2.4 ATF Guidance

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

- It is OPTIONAL to complete a grouping for each line item on an ATF issued permit (Form 6/6A, Form 9).
 - However, there MUST be a grouping 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.
- For each PG Line Number:
 - 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 Example

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.
- Category Code (EXP) “EXPLOSIVES” requires an FEL and Permit.
- There are no Exemption Codes.
- Anticipated Arrival Date of (31 December 2015).

NOTES:

- Since an (API) requires a Permit AND it also requires an FFL/FEL/AECA, each of those numbers must be associated with that Permit.
- Since the (API) and the (EXP) both require an FFL/FEL/Permit, then both must be authorized under the same FFL/FEL/Permit. Alternatively, these could have been submitted on separate PG01 lines.

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										FIREARMS,										EXPLOSIVES,										AMMUNITION,										AND IMPLEMENTS										OF WAR																													
PG01	0	0	1							ATF																																																																					
PG02	P																																																																														
PG50																																																																															
PG10	AT	1								API		PC	9							MODEL	AND/OR	DESC	RIPTION																																																								
PG51																																																																															
PG50																																																																															
PG10	AT	1								EXP		PC	9							MODEL	AND/OR	DESC	RIPTION																																																								
PG51																																																																															
PG14	AT	2	1	-	2	3	-	4	5	6	-	7	8	-	9	A	-	0	1	2	3	4																																																									
PG14	AT	3	1	-	2	3	-	4	5	6	-	7	8	-	9	A	-	0	1	2	3	4																																																									
PG14	AT	4	1	2	3	4	5	6	7	8	9																																																																				
PG14	AT	5	A	-	1	2	-	3	4	5	-	6	7	8	9																																																																
PG30A	1	2	3	1	2	0	1	5														ARRIVAL	LOCATION																																																								
PG32	1	9	8	CA																																																																											

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**.

Glossary / Acronyms

This document uses the following acronyms and terms.

Acronym	Term
ABI	ACE Automated Broker Interface
ACE	Automated Commercial Environment
AECA	Arms Export Control Act
ATF	Bureau of Alcohol, Tobacco, Firearms and Explosives
CATAIR	Customs and Trade Automated Interface Requirements
CBP	U.S. Customs and Border Protection
FEL	Federal Explosives License
FFL	Federal Firearms License
FLS	Federal Licensing System
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 PGA (ATF)

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

PG01 – Agency Program Codes (ATF)

Code	Definition
ATF	Applicable to All ATF Programs

PG10 – Category Type Codes

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

PG10 – ATF – Category Code – AT1

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

Weapon Category Code	Weapon Type Description	FFL (AT2) Required	FEL (AT3) Required	Permit (AT4) Required	AECA (AT5) Required	Note
GMP	GAS MASK PARTS					1
GRN	GRENADE	X		X	X	
GRP	GRENADE PARTS		X			
HTZ	HOWITZER	X		X	X	
IN	INERT AMMO	X		X	X	
INC	INCENDIARY AMMO	X	X	X	X	
LAU	LAUNCHER	X		X	X	
LAUP	LAUNCHER PARTS			X	X	
MAG	MAGAZINE			X	X	
MG	MACHINEGUN	X		X	X	
MIN	MINE	X	X	X	X	
MINP	MINE PARTS			X	X	
MIS	MISSILE	X	X	X	X	
MISP	MISSILE PARTS			X	X	
MTR	MORTAR	X		X	X	
MTRP	MORTAR PARTS			X	X	
MV	MILITARY VEHICLES			X	X	
MVP	MILITARY VEH PARTS			X	X	
NSA	NON-SPORTING AMMO	X		X	X	
NSP	NONSPORTING AMMO COMPONENTS	X		X	X	
NV	NAVAL VESSELS			X	X	
NVP	NAVAL VESSEL PARTS			X	X	
NW	NUCLEAR WEAPONS	X	X	X		2
NWD	NUC WPN DESIGN EQUIP			X	X	
OCEP	OCEANOGRAPHIC EQ PTS			X	X	
PI	PISTOLS	X		X	X	
RE	REVOLVERS	X		X	X	
REC	RECEIVERS/FRAMES	X		X	X	
RI	RIFLES	X		X	X	
ROC	ROCKET	X		X	X	
ROCP	ROCKET PARTS			X	X	
SBR	SHORT BARREL RIFLE	X		X	X	
SBS	SHORT BARREL SHOTGUN	X		X	X	
SG	SHOTGUNS	X		X	X	
SI	SILENCER	X		X	X	
SUB	SUBMERSIBLE VESSELS			X	X	
SUBP	SUB VESSEL PARTS			X	X	
TG	TEAR GAS LAUNCHER			X	X	
TOX	TOXICOLOGY AGENTS			X	X	
TRA	TRACER AMMO	X	X	X	X	
TRP	TORPEDO	X		X	X	
TRPP	TORPEDO PARTS			X	X	
UNK	UNKNOWN	X		X	X	
WHD	WARHEAD	X	X	X	X	
WHP	WARHEAD COMPONENTS			X		

Weapon Category Code	Weapon Type Description	FFL (AT2) Required	FEL (AT3) Required	Permit (AT4) Required	AECA (AT5) Required	Note
X	SPORTING AMMO	X		X	X	

NOTE (1): These items are no longer regulated by the ATF.

NOTE (2): These items must have a permit; and an AT2 and/or AT3 is required depending on sub-type.

PG14 – Type Codes

Code	Name	Definition
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.

PG14 – Exemption Codes

Code	Name	Definition
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