

# CBP and Trade Automated Interface Requirements

ATF Supplemental Guidance for ACE

27 January 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



### 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
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

**ATF Rule Changes (Summary):** The ATF has modified the Industry Guidance (IG) to restrict each PG01 line number to contain just a single Product/Category Code. This will be accomplished by only allowing a single PG50/51 grouping to exist under any PG01 line number. This change will allow for more efficient isolation of problematic Entry filings.

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## 1.0 Introduction

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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

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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

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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

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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)	<a href="http://www.cbp.gov/trade/ace/catair">http://www.cbp.gov/trade/ace/catair</a>	1/27/2016
PGA Message Set	<a href="http://www.cbp.gov/document/guidance/pga-message-set">http://www.cbp.gov/document/guidance/pga-message-set</a>	v10 (12/22/2015)
Appendix PGA	<a href="http://www.cbp.gov/document/guidance/appendix-pga">http://www.cbp.gov/document/guidance/appendix-pga</a>	v13 (12/22/2015)
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>	v43 (10/30/2015)

### 1.4 Points of Contact

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

<b>Name</b>	<b>Role</b>	<b>Contact Information</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 General Distribution

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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.

## 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 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	(Form 6 'd')
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	<A grouping for the 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	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	
	9X	72-80	O	Permit_Exemption_Code	1, 2, <empty>	Appendix PGA (PG14 – Exemption Codes)

Control	Length / Class	Position	Status	Field Name	Example	Note
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 must have only one Category Codes (PG10) grouping.

### 2.3.1 Mandatory Controls

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

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

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

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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

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**.

### 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;
- 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
OI										EXAMPLE	IMPORT	WITH	TWO	DISTINCT	WEAPON	TYPES																																											
PG01	001	ATF	ATF				Y																																																				
PG02	P																																																										
PG50																																																											
PG10	AT1			REC		PC9				MODEL	AND/OR	DESC	RIPTION																																														
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;
- 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 FFL, there will be no FFL 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	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
OI										EXAMPLE	IMPORT	WITH	TWO	DISTIN	CT	WEAPON	TYPES																																																														
PG01	001	ATF	ATF																																																																												
PG02	P																																																																														
PG50																																																																															
PG07	MODEL																																																																														
PG10	AT1	API	PC9																																																																												
PG19	MF																																																																														
PG20																																																																															
PG26	1	00000	0010000																																																																												
PG51																																																																															
PG14	AT2	F	FL-111-11-11-11111																																																																												
PG14	AT3																																																																														
PG14	AT4	PRMT	11111																																																																												
PG14	AT5	A	11-111-1111																																																																												
PG30	A	12312	015																																																																												
PG32	198	CA																																																																													

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; (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;
- There are no Exemption Codes.
- Anticipated Arrival Date of (31 December 2015).

NOTES:

- 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) require 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	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										
OI										EXAMPLE IMPORT WITH										TWO DISTIN										CT WEAPON										TYPES																																							
PG01	001	ATF	ATF					Y																																																																							
PG02	P																																																																														
PG50																																																																															
PG07	MODEL																																																																														
PG10	AT1		API		PC9																																																																										
PG19	MF																																																																														
PG20																																																																															
PG26	6	00000	0010000																																																																												
PG29																																																																															
PG51																																																																															
PG14	AT2	F	FL-111-11-11-11111																																																																												
PG14	AT3	F	EL-111-11-11-11111																																																																												
PG14	AT4	PRMT	11111																																																																												
PG14	AT5	A	11-111-11111																																																																												
PG30	A	12312	015																																																																												
PG32	198	CA																																																																													
PG01	002	ATF	ATF					Y																																																																							
PG02	P																																																																														
PG50																																																																															
PG10	AT1		FG		PC9																																																																										
PG26	1	00000	0010000																																																																												
PG51																																																																															
PG14	AT4	PRMT	11111																																																																												
PG14	AT5	A	11-111-11111																																																																												
PG30	A	12312	015																																																																												
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.
  - 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.
  - Quantity = 100 (on permit PRMT11111);
  - Quantity = 500 (on permit PRMT22222);
- There are no Exemption Codes.
- Anticipated Arrival Date of (31 December 2015).

NOTES:

- 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.

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## 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

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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.

## Glossary / Acronyms

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This document uses the following acronyms and terms.

<b>Acronym</b>	<b>Term</b>
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
ADD	AMMO DD	Y		Y	Y	
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
GRN	GRENADE	Y		Y	Y	



<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>
GRP	GRENADE PARTS			Y	Y	
HTZ	HOWITZER	Y		Y	Y	
IN	INERT AMMO	Y		Y	Y	
INC	INCENDIARY AMMO	Y	Y	Y	Y	
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	
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
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	

<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>
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						

## 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.

## 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

## Appendix B (Test Data)

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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 licesence 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.**

### <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

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

---

- 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

### <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

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### <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