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FREE CHECKLIST · EDITION 1.0

Supplier Export Classification Request

The checklist

What to ask a supplier before you rely on its export classification — and how to read the answer. For non-US companies buying items that may be subject to the ITAR or the EAR.

A REQUEST

- ☑ Part number and revision
- ☑ Jurisdiction and basis
- ☑ Classification and reasoning

B REVIEW

- ☑ Bare code? Family answer?
- ☑ CCATS offered as 'not ITAR'?
- ☑ Invoice statement consistent?

C RECORD

- ☑ Who answered, and when
- ☑ Decision and review date
- ☑ Change notification

ASK FOR REASONING · NOT A CODE

What to request · How to review the answer · Model request · Answer record

November 2026

For export control, purchasing and engineering teams

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How to use this checklist

A supplier's export classification often ends up in your own files: in an ITAR-free statement, a de minimis calculation, a re-export decision or a customer declaration. This checklist helps you ask for an answer you can actually use, read it critically and record what you decided.

WHEN TO USE IT

- A new part, a new supplier or a new revision.
- Before an ITAR-free, de minimis or re-export analysis that depends on the part.
- When a supplier notifies a change — or a rule changes.
- When an answer on file is old, vague or unsigned.

WHAT IT CONTAINS

- **Part A** — what to request, item by item.
- **Part B** — how to review the answer: ten red flags and a 60-second acceptance gate.
- **Part C** — a model request and an answer record.

Three rules before you send anything

1. **Ask for reasoning, not only a code.** A signed "EAR99" or "3A001" shows the supplier's conclusion. The entries reviewed, the parameters used and who concluded show the analysis behind it.
2. **Ask per part number and revision.** Classifications attach to an item as designed and configured. A family-wide answer needs to show that the variants share the same relevant parameters.
3. **Ask for jurisdiction before classification.** Whether an item is subject to the ITAR, the EAR, another agency — or none of them — comes first; an ECCN or EAR99 assumes that question has been answered.

WATCH OUT

A supplier's answer is evidence — not a decision you can hand over

It does not change the item's jurisdiction if it is wrong, and it does not replace your own assessment where the item matters — high-risk lines, ITAR-free claims, re-exports to sensitive destinations. This checklist helps you obtain and weigh the evidence; it does not validate it.

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A What to request

Send these questions for each part number. Not every line applies to every item: ask the supplier to mark those that do not, and why, so the gap is a decision rather than an oversight.

A1 · Identification

	Ask for	Why it matters
☐	**Manufacturer, part number and revision**	The answer covers this exact item. A new revision can change the classification.
☐	**Software or firmware version, where relevant**	Software can be classified differently from the hardware it runs on.
☐	**Short technical description and the key parameters used**	Lets you check the answer against the entry it cites.
☐	**Country of manufacture or production — for software or technology, its origin basis where applicable**	Shows whether the item is US- or foreign-produced, and supports any de minimis or foreign direct product analysis. Do not use the supplier's location or ship-from country as a substitute.

A2 · Jurisdiction

	Ask for	Why it matters
☐	**Whether the item is subject to the ITAR, subject to the EAR, subject to another US agency's exclusive export-control jurisdiction, or not subject to the ITAR or the EAR as an item — and the basis for that conclusion**	The first question. An ECCN or EAR99 is reached only after the exclusive jurisdiction of other agencies has been ruled out.
☐	**The basis: a commodity jurisdiction (CJ) determination, with its number, date and scope — or a summary of the supplier's own jurisdiction analysis**	A CJ is DDTC's formal answer for the items it covers (22 CFR §§120.4, 120.12). Otherwise, the reasoning is the evidence.
☐	**For military or space items: whether the item was formerly on the USML or transitioned under Export Control Reform; whether a 600 series, 9x515 or "specially designed" analysis was performed; and, where "specially designed" is relied on, the catch or release paragraph applied and its basis**	"Specially designed" is a sequential test under both the ITAR (§120.41) and the EAR (§772.1). Under the EAR it applies only where the entry uses the term, and the order of review looks at the 600 series and 9x515 entries first.

KEY POINT

EAR99 does not mean "not subject to the EAR"

EAR99 describes an item that **is** subject to the EAR but is not described in any ECCN on the Commerce Control List. A foreign-made item may instead be not subject to the EAR at all. The two answers have different consequences: ask the supplier which one it means, and why.

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A3 · Classification

	Ask for	Why it matters
☐	**If ITAR: the USML category and paragraph**	A category alone (“Category XI”) does not tell you what is controlled.
☐	**If EAR: the full ECCN, including the applicable paragraph or subparagraph where the entry contains one — or EAR99 — and the reasons for control**	Licence requirements and exceptions depend on the paragraph and its reasons for control (15 CFR §748.3 asks for the same level of detail, if appropriate).
☐	**The reasoning: the entries reviewed, the relevant control parameters, why alternatives were excluded, and the date of the classification or its last review**	Turns the code into evidence you can check, date and keep.
☐	**Any BIS classification (CCATS) — number, date and a copy**	Useful for the ECCN; it is not evidence that the item is subject to the EAR (15 CFR §748.3).

A3 · For items with encryption

	Ask for	Why it matters
☐	**The ECCN (for example 5A002, 5D002, 5A992.c or 5D992.c)**	Category 5, Part 2 items carry their own conditions.
☐	**The License Exception ENC route that applies under §740.17 — and whether the item was self-classified or classified by BIS (with the CCATS, if any)**	Some items may be self-classified; others need a BIS classification before they qualify.
☐	**Mass-market status, and any reporting the supplier has made where applicable**	Mass-market treatment and reporting obligations change what you may do with the item next.

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A4 · US content and origin (for foreign-produced items)

	Ask for	Why it matters
☐	**The de minimis basis: the controlled US-origin content identified, its fair-market-value basis, the resulting percentage, the threshold used, the destination assumptions, and any rule under which no de minimis level applies**	The calculation depends on each US-origin input's classification and on the destination (15 CFR §734.4 and Supplement No. 2 to Part 734). A bare "below de minimis" cannot be checked.
☐	**The foreign direct product rules considered, their technical basis, and the destination and end-user assumptions**	Some foreign-produced items are subject to the EAR because of the US technology, software or equipment used to make them (§734.9).
☐	**Where relevant, a certification based on BIS's model FDP rule certification (Supplement No. 1 to Part 734)**	Not required by the EAR, but designed to pass FDP information down the supply chain and help resolve red flags. It does not replace your own due diligence.

A5 · Shipment basis and conditions

	Ask for	Why it matters
☐	**If the item reaches you under a US licence or agreement: its reference and the conditions that apply to you**	Authorization conditions may restrict downstream use, end users, destinations or retransfers even when they are not repeated on the commercial invoice.
☐	**Where applicable, the destination control statement and any classification shown on the commercial invoice**	A consistency check, not jurisdiction evidence. For EAR items, the statement generally applies to tangible exports of CCL items from the United States; EAR99 generally does not require one, and the EAR requirement does not apply to re-exports (15 CFR §758.6). Under 22 CFR §123.9(b), the ITAR information applies to tangible exports, re-exports and retransfers of the defense articles it covers.
☐	**Any re-export, end-use or end-user restriction the supplier knows of**	Restrictions may affect what you may lawfully do with the item even if they were not obvious from the classification or invoice.

A6 · Signature and changes

	Ask for	Why it matters
☐	**Name, function and date of the person answering**	An unsigned, undated answer is hard to rely on later.
☐	**Whether the answer comes from the manufacturer or from a distributor**	A distributor may only be passing on what it was told.
☐	**A commitment to notify reclassification, design or source changes**	A classification can change without anyone telling you.

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B How to review the answer

Most supplier answers are given in good faith and many are right. These ten signs tell you when one should not be copied into your own records as it stands.

If the answer…	What it means	What to do
Is a bare code, with no reasoning	Evidence of the supplier's conclusion, but not of the analysis behind it.	Ask for the entries reviewed and the parameters used.
Covers a product family ("all our products are EAR99")	Too broad, unless the covered variants share the same relevant control parameters.	Ask per part number, or for that demonstration.
Gives an HS, HTS or customs code instead of an ECCN or a USML classification	A tariff code, not an export control classification.	Ask for the jurisdiction and the export classification.
Says "not controlled", "NLR" or "no licence required"	A transaction-dependent licensing outcome, not an item classification.	Ask for the jurisdiction and the ECCN, EAR99 or USML entry.
States EAR99 for a foreign-produced item, but cannot explain the basis — or whether it applies only while the item is in the United States	A foreign-produced item is subject to the EAR while in the United States, without necessarily remaining subject after export.	Ask whether the item remains subject to the EAR outside the US; if so, the basis — controlled US-origin content above de minimis, or an FDP rule (§§734.3, 734.4, 734.9).
Gives an ECCN without its paragraph, where the entry has paragraphs	Reasons for control and exceptions cannot be checked.	Ask for the full ECCN.
Offers a CCATS as proof the item is "not ITAR"	A BIS classification does not establish jurisdiction (15 CFR §748.3).	Ask for the jurisdiction basis or a CJ.
Is EAR99 or a low ECCN for a space-qualified, radiation-tolerant or military-platform part	A USML, 600 series, 9x515 or "specially designed" analysis may have been missed.	Verify it yourself before relying on it.
Does not match the export documents — an ITAR statement on the invoice, an EAR answer in the letter	An apparent inconsistency: a mixed shipment, an old template or an error.	Investigate before relying on either.
Comes from a distributor, with no manufacturer source	Second-hand information.	Ask for the manufacturer's statement.

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The 60-second acceptance gate

Before a supplier's answer goes into your records, can you tick all six?

	#	Check
☐	1	**Exact item identified** — manufacturer, part number, revision, software or firmware version.
☐	2	**Jurisdiction basis stated** — not merely an ECCN or EAR99.
☐	3	**Full classification and reasoning recorded.**
☐	4	**For foreign-produced items**, the de minimis and foreign direct product basis and its assumptions documented where relevant.
☐	5	**Shipment basis and downstream restrictions** understood.
☐	6	**Answer attributable, dated, supported** and subject to change notification.

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Usable supplier evidence, subject to your own risk assessment.

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Verify before relying on it.

3 or fewer

Incomplete: do not import the conclusion into your records.

Then decide — and write it down

Decision	When
Accept as supplier evidence	Specific, reasoned, signed, consistent with the documents — and the item is not high-risk for your use.
Accept after independent verification	The answer is plausible but the item is high-risk, the use is sensitive or one red flag remains.
Reject or resolve before use	No jurisdiction basis, an unresolved inconsistency or no answer: use your own analysis, or escalate.

IMPORTANT NOTICE

No answer is also an answer. Record the requests sent and the reminders, and treat the item on your own analysis until the supplier replies.

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C Model request and answer record

Adapt the wording to your company and your contracts. Keep the structure: it mirrors Part A.

Model request

Subject: Export classification request — [part number], revision [x]

Dear [name],

For our export control records, please provide the following for the item listed below, as manufactured and supplied to us:

1. Manufacturer, part number, revision and, where relevant, software or firmware version; country of manufacture.
2. Whether the item is subject to the ITAR, subject to the EAR, subject to another US agency's exclusive jurisdiction, or not subject to the ITAR or the EAR — and the basis (commodity jurisdiction determination with its number and scope, or a summary of your analysis).
3. The USML category and paragraph, or the full ECCN with its reasons for control, or EAR99 — with the entries reviewed, the parameters used and the classification date. Please attach any CJ or CCATS concerned.
4. For items with encryption: the License Exception ENC route, self-classification or BIS classification, and mass-market or reporting status where applicable.
5. For items made outside the United States: your de minimis basis (controlled US-origin content, fair-market-value basis, percentage, threshold and destination assumptions) and the foreign direct product rules considered — with a certification based on BIS's model (Supplement No. 1 to Part 734) where available.
6. Any US licence or agreement under which the item is supplied to us, and the conditions that apply to us.
7. The name, function and signature of the person answering, and the date.

If an item is not applicable, please mark it N/A and state why. Please do not use "NLR", an HS/HTS code or "not controlled" as a substitute for jurisdiction and classification.

Please also confirm that you will inform us of any change to this information — reclassification, design change or change of source.

Kind regards, [name, function, company]

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Answer record

One record per part number and revision. File it with the supplier's answer and your review.

Supplier / manufacturer	
Part number · revision · software version	
Request sent (date) · reminders	
Answer received (date) · answered by	
Jurisdiction stated · basis	
Classification · reasons for control	
Classification date or last review · regulation version used	
CJ / CCATS provided (number, date)	
De minimis: percentage · destination assumption	
FDP rules considered · certification	
Shipment basis · restrictions	
Export documents consistent?	
Red flags (Part B) · gate score	
Supporting documents stored at	
Change-notification commitment · next review trigger	

DECISION	☐ Accept as supplier evidence	☐ Accept after independent verification	☐ Reject or resolve before use

Reviewed by		**Next review date**	

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Go further

This checklist tells you what to ask and when to doubt the answer. The practitioner guides give you the method behind it — the evidence file, the review logic and the records.

NEED TO TURN SUPPLIER ANSWERS INTO A DEFENSIBLE CLASSIFICATION FILE?

CJ-07 — Building a Classification Evidence File

The evidence structure, review logic and records behind this checklist — for your own classifications and for the supplier answers you rely on. exportcontrol.io

Related resources

Guide	Ref.	What it adds
ITAR-Free: From Claim to Proof	CJ-08	What an ITAR-free statement must rest on, and how to verify high-risk lines.
“Specially Designed” Decoded	CJ-05	The catch-and-release test behind most hidden ITAR parts.
CJ vs. CCATS: Choosing the Right Process	CJ-06	When a supplier’s answer is not enough and an official one is needed.
De Minimis: The US-Content Rule, Decoded	EAR-02	Calculating controlled US content in a foreign-made item.
Foreign Direct Product Rules: A Practical Method	EAR-03	Testing the FDP rules a supplier certification speaks to.
Requesting Export Classification Information	SUP-01	In preparation: running supplier classification requests across many suppliers.
Challenging a Supplier’s Classification	SUP-02	In preparation: handling doubtful, contradictory or incomplete answers.

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Sources and important notice

1 US regulations — 22 CFR §§120.4, 120.12, 120.41, 121.1 and 123.9(b) (ITAR). Current text: ecfr.gov (ITAR).

2 US regulations — 15 CFR §§734.3, 734.4, 734.9, 740.17, 748.3, 758.6 and 772.1 (EAR). Current text: ecfr.gov (EAR).

3 15 CFR Part 734, Supplement No. 1 — Model Certification for Purposes of the FDP Rule; Supplement No. 2 — Guidelines for De Minimis Rules.

4 15 CFR Part 774, Supplement No. 4 — Commerce Control List Order of Review.

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This checklist reflects the ITAR and the EAR as they stood on 1 November 2026.

It helps you request and review a supplier's information. It does not validate a supplier's classification, and the decision to accept it remains yours.

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About this checklist

Written by an in-house export control practitioner who manages EAR and ITAR obligations from the non-US side of the transaction — for colleagues who need a classification they can trace to reasoning and evidence, not a code they copied.

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Practitioner guides: Classification & Jurisdiction · EAR · ITAR

Practical ITAR and EAR guides for professionals outside the United States

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