EAR99 classification refers to a particular item subject to the EAR regulations, but not specifically described by an Export Control Classification Number (ECCN) on the Commerce Control List (CCL). While the classification describes the item, the authorization for the shipment of that item may change, depending on the circumstances of transaction. If the classification is No license Required (NLR) such designation may be used for EAR99 items, or items on the CCL that do not require a license for the destination unless the export involves shipment to embargoed county, end user of concern or in support of a prohibited end-use may require a license.

1. Item falls under NLR (EAR) [ ]  Yes [ ]  No
2. End users are NOT on any restricted party lists [ ]  Yes [ ]  No

If “No”, a license to ship is required

1. Item is shipped to Embargoed country [ ]  Yes [ ]  No

If “yes” a license is required

1. Items are not delivered to one country to another country that may be embargoed [ ]  Yes [ ]  No
2. How is the item being used when the item has left the country?
3. Are items red flagged for export? [ ]  Yes [ ]  No
	1. Customer or customer’s address is in the BIS list of denied persons [ ]  Yes\* [ ]  No
	2. Customer or a purchasing agent is reluctant to offer information about the end use of items

 [ ]  Yes\* [ ]  No

* 1. Capabilities of items do not fit the buyer or receiver’s line of business [ ]  Yes\* [ ]  No
	2. Item to be shipped is incompatible with the technical capability of the country to which the item is being shipped [ ]  Yes\* [ ]  No
	3. The recipient or receiving country is paying cash for an item that is very expensive or require financing [ ]  Yes\* [ ]  No
	4. The recipient has no background with respect to the item ☐ Yes\* ☐ No
	5. The recipient or entity receiving the shipment is unfamiliar with items performance but still wants it [ ]  Yes\* [ ]  No
	6. The recipient or entity declines installation, training or maintenance services The recipient has no background with respect to the item [ ]  Yes\* [ ]  No
	7. The recipient has no background with respect to the item [ ]  Yes\* [ ]  No
	8. Delivery dates are vague or delivery is planned for out-of-the-way destinations [ ]  Yes\* [ ]  No
	9. Freight forwarding firm is listed as the final destination [ ]  Yes\* [ ]  No
	10. The shipping rout is abnormal [ ]  Yes\* [ ]  No
	11. Packaging does not meet the stated method of shipment [ ]  Yes\* [ ]  No
	12. When questioned, the recipient or recipient’s entity is evasive and specifically unclear about whether the item is for domestic use, for export or for re-export [ ]  Yes\* [ ]  No

\*If “Yes” to any of the questions under section 6 of this document, make a determination as follows:

Do not permit shipment [ ]

Permit shipping after a license is secured from BIS [ ]

Approved by Division of University of Research, Office of Research Compliance

Click here to enter a date.