

## § 447.21

such as statement, certificate, application, or other document), including the documents submitted in support thereof, has been examined by me and, to best of my knowledge and belief, is true, correct, and complete.”

*Firearms.* A weapon, and all components and parts therefor, not over .50 caliber which will or is designed to or may be readily converted to expel a projectile by the action of an explosive, but shall not include BB and pellet guns, and muzzle loading (black powder) firearms (including any firearm with a matchlock, flintlock, percussion cap, or similar type of ignition system) or firearms covered by Category I(a) established to have been manufactured in or before 1898.

*Import or importation.* Bringing into the United States from a foreign country any of the articles on the Import List, but shall not include intransit, temporary import or temporary export transactions subject to Department of State controls under Title 22, Code of Federal Regulations.

*Import List.* The list of articles contained in § 447.21 and identified therein as “The U.S. Munitions Import List”.

*Machinegun.* A “machinegun”, “machine pistol”, “submachinegun”, or “automatic rifle” is a firearm originally designed to fire, or capable of being fired fully automatically by a single pull of the trigger.

*Permit.* The same as “license” for purposes of 22 U.S.C. 1934(c).

*Person.* A partnership, company, association, or corporation, as well as a natural person.

*Pistol.* A hand-operated firearm having a chamber integral with, or permanently aligned with, the bore.

*Revolver.* A hand-operated firearm with a revolving cylinder containing chambers for individual cartridges.

*Rifle.* A shoulder firearm discharging bullets through a rifled barrel at least 16 inches in length, including combination and drilling guns.

*Sporting type sight including optical.* A telescopic sight suitable for daylight use on a rifle, shotgun, pistol, or revolver for hunting or target shooting.

*This chapter.* Title 27, Code of Federal Regulations, Chapter II (27 CFR Chapter II).

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*United States.* When used in the geographical sense, includes the several States, the Commonwealth of Puerto Rico, the insular possessions of the United States, the District of Columbia, and any territory over which the United States exercises any powers of administration, legislation, and jurisdiction.

(26 U.S.C. 7805 (68A Stat. 917), 27 U.S.C. 205 (49 Stat. 981 as amended), 18 U.S.C. 926 (82 Stat. 959), and sec. 38, Arms Export Control Act (22 U.S.C. 2778, 90 Stat. 744))

[T.D. ATF-48, 43 FR 13535, Mar. 31, 1978; 44 FR 55840, Sept. 28, 1979, as amended by T.D. ATF-202, 50 FR 14382, Apr. 12, 1985; T.D. ATF-215, 50 FR 42158, Oct. 18, 1985; T.D. ATF-484, 67 FR 64526, Oct. 21, 2002]

### Subpart C—The U.S. Munitions Import List

#### § 447.21 The U.S. Munitions Import List.

The U.S. Munitions List compiled by the Department of State, Office of Defense Trade Controls, and published at 22 CFR 121.1, with the deletions indicated, has been adopted as an enumeration of the defense articles subject to controls under this part. The expurgated list, set out below, shall, for the purposes of this part, be known as the U.S. Munitions Import List:

#### THE U.S. MUNITIONS IMPORT LIST

##### CATEGORY I—FIREARMS

(a) Nonautomatic and semiautomatic firearms, to caliber .50 inclusive, combat shotguns, and shotguns with barrels less than 18 inches in length, and all components and parts for such firearms.

(b) Automatic firearms and all components and parts for such firearms to caliber .50 inclusive.

(c) Insurgency-counterinsurgency type firearms of other weapons having a special military application (e.g. close assault weapons systems) regardless of caliber and all components and parts for such firearms.

(d) Firearms silencers and suppressors, including flash suppressors.

(e) Riflescopes manufactured to military specifications and specifically designed or modified components therefor.

NOTE: Rifles, carbines, revolvers, and pistols, to caliber .50 inclusive, combat shotguns, and shotguns with barrels less than 18 inches in length are included under Category I(a). Machineguns, submachineguns, machine

pistols and fully automatic rifles to caliber .50 inclusive are included under Category I(b).

CATEGORY II—ARTILLERY PROJECTORS

(a) Guns over caliber .50, howitzers, mortars, and recoilless rifles.

(b) Military flamethrowers and projectors.

(c) Components, parts, accessories, and attachments for the articles in paragraphs (a) and (b) of this category, including but not limited to mounts and carriages for these articles.

CATEGORY III—AMMUNITION

(a) Ammunition for the arms in Categories I and II of this section.

(b) Components, parts, accessories, and attachments for articles in paragraph (a) of this category, including but not limited to cartridge cases, powder bags, bullets, jackets, cores, shells (excluding shotgun shells), projectiles, boosters, fuzes and components therefor, primers, and other detonating devices for such ammunition.

(c) Ammunition belting and linking machines.

(d) Ammunition manufacturing machines and ammunition loading machines (except handloading ones).

NOTE: Cartridge and shell casings are included under Category III unless, prior to their importation, they have been rendered useless beyond the possibility of restoration for use as a cartridge or shell casing by means of heating, flame treatment, mangle, crushing, cutting, or popping.

CATEGORY IV—LAUNCH VEHICLES, GUIDED MISSILES, BALLISTIC MISSILES, ROCKETS, TORPEDOES, BOMBS AND MINES

(a) Rockets (including but not limited to meteorological and other sounding rockets), bombs, grenades, torpedoes, depth charges, land and naval mines, as well as launchers for such defense articles, and demolition blocks and blasting caps.

(b) Launch vehicles and missile and anti-missile systems including but not limited to guided, tactical and strategic missiles, launchers, and systems.

(c) Apparatus, devices, and materials for the handling, control, activation, monitoring, detection, protection, discharge, or detonation of the articles in paragraphs (a) and (b) of this category. Articles in this category include, but are not limited to, the following: Fuses and components for the items in this category, bomb racks and shackles, bomb shackle release units, bomb ejectors, torpedo tubes, torpedo and guided missile boosters, guidance system equipment and parts, launching racks and projectors, pistols (exploders), igniters, fuze arming devices, intervalometers, guided missile launchers

and specialized handling equipment, and hardened missile launching facilities.

(d) Missile and space vehicle powerplants.

(e) Military explosive excavating devices.

(f) Ablative materials fabricated or semi-fabricated from advanced composites (*e.g.*, silica, graphite, carbon, carbon/carbon, and boron filaments) for the articles in this category that are derived directly from or specifically developed or modified for defense articles.

(g) Non/nuclear warheads for rockets and guided missiles.

(h) All specifically designed components or modified components, parts, accessories, attachments, and associated equipment for the articles in this category.

NOTE: Military demolition blocks and blasting caps referred to in Category IV(a) do not include the following articles:

(a) Electric squibs.

(b) No. 6 and No. 8 blasting caps, including electric ones.

(c) Delay electric blasting caps (including No. 6 and No. 8 millisecond ones).

(d) Seismograph electric blasting caps (including SSS, Static-Master, Vibrocop SR, and SEISMO SR).

(e) Oil well perforating devices.

NOTE: Category V of "Munitions List" deleted as inapplicable to imports.

CATEGORY VI—VESSELS OF WAR AND SPECIAL NAVAL EQUIPMENT

(a) Warships, amphibious warfare vessels, landing craft, mine warfare vessels, patrol vessels, auxiliary vessels and service craft, experimental types of naval ships and any vessels specifically designed or modified for military purposes.

(b) Turrets and gun mounts, arresting gear, special weapons systems, protective systems, submarine storage batteries, catapults and other components, parts, attachments, and accessories specifically designed or modified for combatant vessels.

(c) Mine sweeping equipment, components, parts, attachments and accessories specifically designed or modified therefor.

(d) Harbor entrance detection devices (magnetic, pressure, and acoustic ones) and controls and components therefor.

(e) Naval nuclear propulsion plants, their land prototypes and special facilities for their construction, support and maintenance. This includes any machinery, device, component, or equipment specifically developed or designed or modified for use in such plants or facilities.

NOTE: The term "vessels of war" includes, but is not limited to the following:

(a) Combatant vessels:

(i) Warships (including nuclear-powered versions):

(i) Aircraft carriers (CV, CVN)

(ii) Battleships (BB)

(iii) Cruisers (CA, CG, CGN)

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- (iv) Destroyers (DD, DDG)
- (v) Frigates (FF, FFG)
- (vi) Submarines (SS, SSN, SSBN, SSG, SSAG).
- (2) Other Combatant Classifications:
  - (i) Patrol Combatants (PC, PHM)
  - (ii) Amphibious Helicopter/Landing Craft Carriers (LHA, LPD, LPH)
  - (iii) Amphibious Landing Craft Carriers (LKA, LPA, LSD, LST)
  - (iv) Amphibious Command Ships (LCC)
  - (v) Mine Warfare Ships (MSO).
  - (b) Auxiliaries:
    - (1) Mobile Logistics Support:
      - (i) Under way Replenishment (AD, AF, AFS, AO, AOE, AOR)
      - (ii) Material Support (AD, AR, AS)
    - (2) Support Ships:
      - (i) Fleet Support Ships (ARS, ASR, ATA, ATF, ATS)
      - (ii) Other Auxiliaries (AG, AGDS, AGF, AGM, AGOR, AGOS, AGS, AH, AK, AKR, AOG, AOT, AP, APB, ARC, ARL, AVM, AVT).
  - (c) Combatant Craft:
    - (1) Patrol Craft:
      - (i) Coastal Patrol Combatants (PB, PCF, PCH, PTF)
      - (ii) River, Roadstead Craft (ATC, PBR).
    - (2) Amphibious Warfare Craft:
      - (i) Landing Craft (AALC, LCAC, LCM, LCPL, LCPR, LCU, LWT, SLWT)
      - (ii) Special Warfare Craft (LSSC, MSSC, SDV, SWCL, SWCM).
    - (3) Mine Warfare Craft:
      - (i) Mine Countermeasures Craft (MSB, MSD, MSI, MSM, MSR).
    - (d) Support and Service Craft:
      - (1) Tugs (YTB, YTL, YTM)
      - (2) Tankers (YO, YOG, YW)
      - (3) Lighters (YC, YCF, YCV, YF, YFN, YFNB, YFNB, YFR, YFRN, YFU, YG, YGN, YOGN, YON, YOS, YSR, YWN)
      - (4) Floating Dry Docks (AFDB, AFDL, AFDM, ARD, ARDM, YFD)
      - (5) Miscellaneous (APL, DSRV, DSV, IX, NR, YAG, YD, YDT, YFB, YFND, YEP, YFRT, YHLC, YM, YNG, YP, YPD, YR, YRB, YRBN, YRDH, YRDM, YRR, YRST, YSD).
  - (e) Coast Guard Patrol and Service Vessels and Craft:
    - (1) Coast Guard Cutters (CGC, WHEC, WMEC)
    - (2) Patrol Craft (WPB)
    - (3) Icebreakers (WAGB)
    - (4) Oceanography Vessels (WAGO)
    - (5) Special Vessels (WIX)
    - (6) Buoy Tenders (WLB, WLM, WLI, WLR, WLIC)
    - (7) Tugs (WYTM, WYTL)
    - (8) Light Ships (WLV).

CATEGORY VII—TANKS AND MILITARY VEHICLES

- (a) Military type armed or armored vehicles, military railway trains, and vehicles specifically designed or modified to accommodate mountings for arms or other special-

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ized military equipment or fitted with such items.

- (b) Military tanks, combat engineer vehicles, bridge launching vehicles, halftracks and gun carriers.

- (c) Self-propelled guns and howitzers.

NOTE: Category VII (d) and (e) of “Munitions List” deleted as inapplicable to imports.

- (f) Amphibious vehicles.

- (g) Engines specifically designed or modified for the vehicles in paragraphs (a), (b), (c), and (f) of this category.

- (h) All specifically designed or modified components and parts, accessories, attachments, and associated equipment for the articles in this category, including but not limited to military bridging and deep water fording kits.

NOTE: An “amphibious vehicle” in Category VII(f) is an automotive vehicle or chassis which embodies all-wheel drive, which is equipped to meet special military requirements, and which has sealed electrical systems and adaptation features for deep water fording.

CATEGORY VIII—AIRCRAFT, SPACECRAFT, AND ASSOCIATED EQUIPMENT

- (a) Aircraft, including but not limited to helicopters, non-expansive balloons, drones and lighter-than-air aircraft, which are specifically designed, modified, or equipped for military purposes. This includes but is not limited to the following military purposes: gunnery, bombing, rocket or missile launching, electronic and other surveillance, reconnaissance, refueling, aerial mapping, military liaison, cargo carrying or dropping, personnel dropping, airborne warning and control, and military training.

NOTE: Category VIII (b) through (j) and Categories IX, X, XI, XII and XIII of “Munitions List” deleted as inapplicable to imports.

NOTE: In Category VIII, “aircraft” means aircraft designed, modified, or equipped for a military purpose, including aircraft described as “demilitarized.” All aircraft bearing an original military designation are included in Category VIII. However, the following aircraft are not so included so long as they have not been specifically equipped, re-equipped, or modified for military operations:

- (a) Cargo aircraft bearing “C” designations and numbered C-45 through C-118 inclusive, and C-121 through C-125 inclusive, and C-131, using reciprocating engines only.

- (b) Trainer aircraft bearing “T” designations and using reciprocating engines or turboprop engines with less than 600 horsepower (s.h.p.).

- (c) Utility aircraft bearing “U” designations and using reciprocating engines only.

- (d) All liaison aircraft bearing an “L” designation.

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(e) All observation aircraft bearing "O" designations and using reciprocating engines.

CATEGORY XIV—TOXICOLOGICAL AGENTS AND EQUIPMENT AND RADIOLOGICAL EQUIPMENT

(a) Chemical agents, including but not limited to lung irritants, vesicants, lachrymators, and tear gases (except tear gas formulations containing 1% or less CN or CS), sternutators and irritant smoke, and nerve gases and incapacitating agents.

(b) Biological agents.

(c) Equipment for dissemination, detection, and identification of, and defense against, the articles in paragraphs (a) and (b) of this category.

(d) Nuclear radiation detection and measuring devices manufactured to military specification.

(e) Components, parts, accessories, attachments, and associated equipment specifically designed or modified for the articles in paragraphs (c) and (d) of this category.

NOTE: A chemical agent in Category XIV(a) is a substance having military application which by its ordinary and direct chemical action produces a powerful physiological effect. The term "chemical agent" includes, but is not limited to, the following chemical compounds:

(a) Lung irritants:

- (1) Diphenylcyanoarsine (DC).
- (2) Fluorine (but not fluorene).
- (3) Trichloronitro methane (chloropicrin PS).

(b) Vesicants:

- (1) B-Chlorovinylchloroarsine (Lewisite, L).
- (2) Bis(dichlorethyl) sulphide (Mustard Gas, HD or H).
- (3) Ethyldichloroarsine (ED).
- (4) Methyldichloroarsine (MD).

(c) Lachrymators and tear gases:

- (1) A-Brombenzyl cyanide (BBC).
- (2) Chloroacetophenone (CN).
- (3) Dibromodimethyl ether.
- (4) Dichlorodimethyl ether (ClCi).
- (5) Ethyldibromoarsine.
- (6) Phenylcarbylamine chloride.
- (7) Tear gas solutions (CNB and CNS).

(8) Tear gas orthochlorobenzalmalononitrile (CS).

(d) Sternutators and irritant smokes:

- (1) Diphenylamine chloroarsine (Adamsite, DM).
- (2) Diphenylchloroarsine (BA).
- (3) Liquid pepper.

(e) Nerve agents, gases, and aerosols. These are toxic compounds which affect the nervous system, such as:

- (1) Dimethylaminoethoxycyanophosphine oxide (GA).
- (2) Methylisopropoxyfluorophosphine oxide (GB).
- (3) Methylpinacolyoxyfluorophosphine oxide (GD).

(f) Antiplant chemicals, such as: Butyl 2-chloro-4-fluorophenoxyacetate (LNF).

CATEGORY XV [Reserved]

CATEGORY XVI—NUCLEAR WEAPONS DESIGN AND TEST EQUIPMENT

(a) Any article, material, equipment, or device, which is specifically designed or modified for use in the design, development, or fabrication of nuclear weapons or nuclear explosive devices.

(b) Any article, material, equipment, or device, which is specifically designed or modified for use in the devising, carrying out, or evaluating of nuclear weapons tests or any other nuclear explosions, except such items as are in normal commercial use for other purposes.

NOTE: Categories XVII, XVIII, and XIX of "Munitions List" deleted as inapplicable to imports.

CATEGORY XX—SUBMERSIBLE VESSELS, OCEANOGRAPHIC AND ASSOCIATED EQUIPMENT

(a) Submersible vessels, manned and unmanned, designed or modified for military purposes or having independent capability to maneuver vertically or horizontally at depths below 1,000 feet, or powered by nuclear propulsion plants.

(b) Submersible vessels, manned or unmanned, designed or modified in whole or in part from technology developed by or for the U.S. Armed Forces.

(c) Any of the articles in Category VI and elsewhere in this part specifically designed or modified for use with submersible vessels, and oceanographic or associated equipment assigned a military designation.

(d) Equipment, components, parts, accessories, and attachments specifically designed for any of the articles in paragraphs (a) and (b) of this category.

CATEGORY XXI—MISCELLANEOUS ARTICLES

Any article not specifically enumerated in the other categories of the U.S. Munitions List which has substantial military applicability and which has been specifically designed or modified for military purposes. The decision on whether any article may be included in this category shall be made by the Director, Office of Defense Trade Controls, Department of State, with the concurrence of the Department of Defense.

CATEGORY XXII—SOUTH AFRICA

(a) Defense articles enumerated on the U.S. Munitions List (22 CFR Part 121).

(b) Technical data relating to defense articles enumerated on the U.S. Munitions List.

NOTE: This category is applicable only to South Africa.

NOTE: "Technical data" means, for purposes of this category:

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(1) Classified information relating to defense articles and defense services;

(2) Information covered by an invention secrecy order;

(3) Information which is directly related to the design, engineering, development, production, processing, manufacture, use, operation, overhaul, repair, maintenance, modification, or reconstruction of defense articles. This includes, for example, information in the form of blueprints, drawings, photographs, plans, instructions, computer software and documentation. This also includes information which advances the state of the art of articles on the U.S. Munitions List. This does not include information concerning general scientific, mathematical or engineering principles.

[T.D. ATF-215, 50 FR 42158, Oct. 18, 1985; 50 FR 46647, Nov. 12, 1985, as amended by T.D. ATF-426, 65 FR 38197, June 20, 2000]

**§ 447.22 Forgings, castings, and machined bodies.**

Articles on the U.S. Munitions Import List include articles in a partially completed state (such as forgings, castings, extrusions, and machined bodies) which have reached a stage in manufacture where they are clearly identifiable as defense articles. If the end-item is an article on the U.S. Munitions Import List, (including components, accessories, attachments and parts) then the particular forging, casting, extrusion, machined body, etc., is considered a defense article subject to the controls of this part, except for such items as are in normal commercial use.

[T.D. ATF-215, 50 FR 42160, Oct. 18, 1985]

**Subpart D—Registration**

**§ 447.31 Registration requirement.**

Persons engaged in the business, in the United States, of importing articles enumerated on the U.S. Munitions Import List must register by making an application on ATF Form 4587.

[T.D. ATF-484, 67 FR 64526, Oct. 21, 2002]

**§ 447.32 Application for registration and refund of fee.**

(a) Application for registration must be filed on ATF Form 4587 and must be accompanied by the registration fee at the rate prescribed in this section. The appropriate ATF officer will approve the application and return the original to the applicant.

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(b) Registration may be effected for periods of from 1 to 5 years at the option of the registrant by identifying on Form 4587 the period of registration desired. The registration fees are as follows:

1 year .....	\$250
2 years .....	500
3 years .....	700
4 years .....	850
5 years .....	1,000

(c) Fees paid in advance for whole future years of a multiple year registration will be refunded upon request if the registrant ceases to engage in importing articles on the U.S. Munitions Import List. A request for a refund must be submitted to the appropriate ATF officer at the Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226, prior to the beginning of any year for which a refund is claimed.

(Approved by the Office of Management and Budget under control number 1512-0021)

[T.D. ATF-8, 39 FR 3251, Jan. 25, 1974, as amended by T.D. ATF-215, 50 FR 42161, Oct. 18, 1985; T.D. ATF-484, 67 FR 64526, Oct. 21, 2002]

**§ 447.33 Notification of changes in information furnished by registrants.**

Registered persons shall notify the appropriate ATF officer in writing, in duplicate, of significant changes in the information set forth in their registration

(Approved by the Office of Management and Budget under control number 1512-0021)

[T.D. ATF-8, 39 FR 3251, Jan. 25, 1974, as amended by T.D. ATF-215, 50 FR 42161, Oct. 18, 1985]

**§ 447.34 Maintenance of records by persons required to register as importers of Import List articles.**

(a) Registrants under this part engaged in the business of importing articles subject to controls under 27 CFR Parts 478 and 479 shall maintain records in accordance with the applicable provisions of those parts.

(b) Registrants under this part engaged in importing articles on the U.S. Munitions Import List subject to the permit procedures of subpart E of this part must maintain for a period of 6 years records bearing on such articles imported, including records concerning