CATEGOR Y 4 - COMPUTERS

Note 1: Computers, related equipment and "software" performing telecommunications or "local area network" functions must also be evaluated against the performance characteristics of Category 5, Part 1 (Telecommunications).

Note 2: Control units that directly interconnect the buses or channels of central processing units, "main storage" or disk controllers are not regarded as telecommunications equipment described in Category 5, Part 1 (Telecommunications).

N.B.: For the control status of "software" "specially designed" for packet switching, see ECCN 5D001. (Telecommunications).


4A001 Electronic computers and related equipment, having any of the following (see List of Items Controlled), and "electronic assemblies" and "specially designed" "components" therefor.

License Requirements

Reason for Control: NS, MT, AT, NP

Control(s) Country Chart
NS applies to entire entry NS Column 2
MT applies to items in 4A001.a when the parameters in 4A101 are met or exceeded MT Column 1

AT applies to entire entry AT Column 1

NP applies, unless a License Exception is available. See §742.3(b) of the EAR for information on applicable licensing review policies.

Reporting Requirements

See § 743.1 of the EAR for reporting requirements for exports under License Exceptions, and Validated End-User authorizations.

List Based License Exceptions (See Part 740 for a description of all license exceptions)

LVS: $5000 for 4A001.a; N/A for MT.
GBS: N/A
CIV: N/A

Special Conditions for STA

STA: License Exception STA may not be used to ship any commodity in 4A001.a.2 to any of the destinations listed in Country Group A:6 (See Supplement No.1 to part 740 of the EAR).

List of Items Controlled

Related Controls: See also 4A101 and 4A994. Equipment designed or rated for transient ionizing radiation is "subject to the ITAR" (see 22 CFR parts 120 through 130).

Related Definitions: For the purposes of integrated circuits in 4A001.a.2, 5 \times 10^3 Gy(Si) = 5 \times 10^5 Rads (Si); 5 \times 10^6 Gy (Si)/s = 5 \times 10^8 Rads (Si)/s.

Items:

a. "Specially designed" to have any of the following:

a.1. Rated for operation at an ambient
temperature below 228 K (-45°C) or above 358 K (85°C); or

**Note:** 4A001.a.1 does not apply to computers “specially designed” for civil automobile, railway train or “civil aircraft” applications.

a.2. Radiation hardened to exceed any of the following specifications:

a.2.a. A total dose of $5 \times 10^3$ Gy (Si);

a.2.b. A dose rate upset of $5 \times 10^6$ Gy (Si)/s; or

a.2.c. Single Event Upset of $1 \times 10^8$ Error/bit/day;

**Note:** 4A001.a.2 does not apply to computers “specially designed” for “civil aircraft” applications.

b. [RESERVED]

4A003 “Digital computers”, “electronic assemblies”, and related equipment therefor, as follows (see List of Items Controlled) and “specially designed” “components” therefor.

License Requirements

**Reason for Control:** NS, CC, AT

<table>
<thead>
<tr>
<th>Control(s)</th>
<th>Country Chart (See Supp. No. 1 to part 738)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NS applies to 4A003.b and .c</td>
<td>NS Column 1</td>
</tr>
<tr>
<td>NS applies to 4A003.c and .g</td>
<td>NS Column 2</td>
</tr>
<tr>
<td>CC applies to “digital computers” for computerized finger-print equipment</td>
<td>CC Column 1</td>
</tr>
</tbody>
</table>

AT applies to entire entry (refer to 4A994 for controls on “digital computers” with a APP > 0.0128 but ≤ 16 WT)

**Note:** For all destinations, except those countries in Country Group E:1 or E:2 of Supplement No. 1 to part 740 of the EAR, no license is required (NLR) for computers with an “Adjusted Peak Performance” (‘‘APP’’) not exceeding 16 Weighted TeraFLOPS (WT) and for “electronic assemblies” described in 4A003.c that are not capable of exceeding an “Adjusted Peak Performance” (‘‘APP’’) exceeding 16 Weighted TeraFLOPS (WT) in aggregation, except certain transfers as set forth in § 746.3 (Iraq).

**Reporting Requirements**

Special Post Shipment Verification reporting and recordkeeping requirements for exports of computers to destinations in Computer Tier 3 may be found in §743.2 of the EAR.

**List Based License Exceptions** (See Part 740 for a description of all license exceptions)

- **LVS:** $5000; N/A for 4A003.b and .c.
- **GBS:** Yes, for 4A003.g and “specially designed” “parts” and “components” therefor, exported separately or as part of a system.
- **APP:** Yes, for computers controlled by 4A003.b, and “electronic assemblies” controlled by 4A003.c, to the exclusion of other technical parameters. See §740.7 of the EAR.
- **CIV:** Yes, for 4A003.g.

**List of Items Controlled**

Related Controls: See also 4A994 and 4A980
Related Definitions: N/A
Items:
**Note 1:** 4A003 includes the following:

- ‘Vector processors’ (as defined in Note 7 of the “Technical Note on “Adjusted Peak Performance” (‘APP’’)));
- Array processors;
- Digital signal processors;
- Logic processors;
- Equipment designed for “image enhancement.”

**Note 2:** The control status of the “digital computers” and related equipment described in 4A003 is determined by the control status of other equipment or systems provided:

a. The “digital computers” or related equipment are essential for the operation of the other equipment or systems;

b. The “digital computers” or related equipment are not a “principal element” of the other equipment or systems; and

**N.B. 1:** The control status of “signal processing” or “image enhancement” equipment “specially designed” for other equipment with functions limited to those required for the other equipment is determined by the control status of the other equipment even if it exceeds the “principal element” criterion.

**N.B. 2:** For the control status of “digital computers” or related equipment for telecommunications equipment, see Category 5, Part 1 (Telecommunications).

c. The “technology” for the “digital computers” and related equipment is determined by 4E.

a. [RESERVED]
License Requirements

Reason for Control: NS, AT

Control(s)

Country Chart
(See Supp. No. 1 to part 738).

List Based License Exceptions (See Part 740 for a description of all license exceptions)

LVS: N/A
GBS: N/A
CIV: N/A

List of Items Controlled

Related Controls: N/A
Related Definitions: N/A

Items:

a. “Systolic array computers”;

b. “Neural computers”;

c. “Optical computers”.

4A101 Analog computers, “digital computers” or digital differential analyzers, other than those controlled by 4A001 designed or modified for use in “missiles”, having any of the following (see List of Items Controlled).

License Requirements

Reason for Control: MT, AT

Control(s)

Country Chart
(See Supp. No. 1 to part 738).

List Based License Exceptions (See Part 740 for a description of all license exceptions)

LVS: N/A
GBS: N/A
CIV: N/A

List of Items Controlled

Related Controls: N/A
Related Definitions: N/A

Items:

a. Rated for continuous operation at temperatures from below 228 K (-45°C) to above 328 K (+55°C); or

b. Designed as ruggedized or ‘radiation hardened’.

Note: ‘Radiation hardened’ means that the “part,” “component” or equipment is designed or rated to withstand radiation levels which meet or exceed a total irradiation dose of $5 \times 10^5$ rads (Si).

4A102 “Hybrid computers” “specially designed” for modelling, simulation or design integration of “missiles” or their subsystems. (These items are “subject to the ITAR” See 22 CFR parts 120 through 130.)

4A611 Computers, and “parts,” “components,” “accessories,” and “attachments” “specially designed” therefor, “specially designed” for a military application that are not enumerated in any USML category are controlled by ECCN 3A611.
4A980  Computers for fingerprint equipment, n.e.s.

License Requirements

Reason for Control: CC, AT

Control(s)  Country Chart  (See Supp. No. 1 to part 738).
CC applies to entire entry  CC Column 1
AT applies to entire entry  AT Column 1

AT applies to entire entry  AT Column 1

List Based License Exceptions (See Part 740 for a description of all license exceptions)

<table>
<thead>
<tr>
<th>LVS</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>GBS</td>
<td>N/A</td>
</tr>
<tr>
<td>CIV</td>
<td>N/A</td>
</tr>
</tbody>
</table>

List of Items Controlled

Related Controls: N/A
Related Definitions: N/A
Items:

Note: The control status of the “digital computers” or related equipment described in 4A994 is determined by the control status of other equipment or systems provided:

a. The “digital computers” or related equipment are essential for the operation of the other equipment or systems;

b. The “digital computers” or related equipment are not a “principal element” of the other equipment or systems; and

N.B. 1: The control status of “signal processing” or “image enhancement” equipment “specially designed” for other equipment with functions limited to those required for the other equipment is determined by the control status of the other equipment even if it exceeds the “principal element” criterion.

N.B. 2: For the control status of “digital computers” or related equipment for telecommunications equipment, see Category 5, Part 1 (Telecommunications).

c. The “technology” for the “digital computers” and related equipment is determined by 4E.

4A994  Computers, “electronic assemblies”, and related equipment not controlled by 4A001 or 4A003, and “specially designed” “parts” and “components” therefor.

License Requirements

Reason for Control: AT

Control(s)  Country Chart  (See Supp. No.)
a. Electronic computers and related equipment, and “electronic assemblies” and “specially designed” “parts” and “components” therefor, rated for operation at an ambient temperature above 343 K (70°C);

b. “Digital computers”, including equipment of “signal processing” or image enhancement”, having an “Adjusted Peak Performance” (“APP”) equal to or greater than 0.0128 Weighted TeraFLOPS (WT);

c. “Electronic assemblies” that are “specially designed” or modified to enhance performance by aggregation of processors, as follows:

c.1. Designed to be capable of aggregation in configurations of 16 or more processors;

c.2. [RESERVED];

Note 1: 4A994.c applies only to “electronic assemblies” and programmable interconnections with a “APP” not exceeding the limits in 4A994.b, when shipped as unintegrated “electronic assemblies”. It does not apply to “electronic assemblies” inherently limited by nature of their design for use as related equipment controlled by 4A994.k.

k. “Hybrid computers” and “electronic assemblies” and “specially designed” “parts” and “components” therefor containing analog-to-digital converters having all of the following characteristics:

k.1. 32 channels or more; and

k.2. A resolution of 14 bit (plus sign bit) or more with a conversion rate of 200,000 conversions/s or more.

h. [RESERVED];

i. Equipment containing “terminal interface equipment” exceeding the limits in 5A991;

j. Equipment “specially designed” to provide external interconnection of “digital computers” or associated equipment that allows communications at data rates exceeding 80 Mbyte/s.

Note: 4A994.j does not control internal interconnection equipment (e.g., backplanes, buses) passive interconnection equipment, “network access controllers” or “communication channel controllers”.

d. [RESERVED];

e. [RESERVED];

f. Equipment for “signal processing” or “image enhancement” having an “Adjusted Peak Performance” (“APP”) equal to or greater than 0.0128 Weighted TeraFLOPS WT;

g. [RESERVED];

B. TEST, INSPECTION AND “PRODUCTION EQUIPMENT”

[RESERVED]

C. “MATERIALS”

[RESERVED]

D. “SOFTWARE”

Note: The control status of “software” for equipment described in other Categories is dealt with in the appropriate Category.
4D001 “Software” as follows (see List of Items Controlled).

License Requirements

*Reason for Control:* NS, CC, AT

<table>
<thead>
<tr>
<th>Control(s)</th>
<th>Country Chart</th>
</tr>
</thead>
<tbody>
<tr>
<td>NS applies to entire entry</td>
<td>NS Column 1.</td>
</tr>
<tr>
<td>CC applies to “software” for computerized finger-print equipment controlled by 4A003 for CC reasons</td>
<td>CC Column 1.</td>
</tr>
<tr>
<td>AT applies to entire entry</td>
<td>AT Column 1.</td>
</tr>
</tbody>
</table>

Reporting Requirements

See § 743.1 of the EAR for reporting requirements for exports under License Exceptions, and Validated End-User authorizations.

List Based License Exceptions (See Part 740 for a description of all license exceptions)

<table>
<thead>
<tr>
<th>CIV</th>
<th>TSR</th>
<th>APP</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td>Yes, except for “software” for the “development” or “production” of commodities with an “Adjusted Peak Performance” (“APP”) exceeding 16 WT.</td>
<td>Yes to specific countries (see §740.7 of the EAR for eligibility criteria)</td>
</tr>
</tbody>
</table>

Related Controls: N/A
Related Definitions: N/A
Items:

a. “Software” “specially designed” or modified for the “development” or “production”, of equipment or “software” controlled by 4A001, 4A003, 4A004, or 4D (except 4D980, 4D993 or 4D994).

b. “Software”, other than that controlled by 4D001.a, “specially designed” or modified for the “development” or “production” of equipment as follows:

   b.1. “Digital computers” having an “Adjusted Peak Performance” (“APP”) exceeding 8.0 Weighted TeraFLOPS (WT);  
   b.2. “Electronic assemblies” “specially designed” or modified for enhancing performance by aggregation of processors so that the “APP” of the aggregation exceeds the limit in 4D001.b.1.

License Requirements

*Reason for Control:* CC, AT

<table>
<thead>
<tr>
<th>Control(s)</th>
<th>Country Chart</th>
</tr>
</thead>
<tbody>
<tr>
<td>(See Supp. No. 1 to part 738).</td>
<td></td>
</tr>
</tbody>
</table>

4D980 “Software” “specially designed” for the “development,” “production” or “use” of commodities controlled by 4A980.
CC applies to entire entry   CC Column 1
AT applies to entire entry   AT Column 1

List Based License Exceptions (See Part 740 for a description of all license exceptions)

CIV: N/A
TSR: N/A

List of Items Controlled

Related Controls: N/A
Related Definitions: N/A

Items:

4D993 “Program” proof and validation “software,” “software” allowing the automatic generation of “source codes,” and operating system “software” that are “specially designed” for “real-time processing” equipment (see List of Items Controlled).

License Requirements

Reason for Control: AT

Control(s)   Country Chart
            (See Supp. No. 1 to part 738).

AT applies to entire entry   AT Column 1

List Based License Exceptions (See Part 740 for a description of all license exceptions)

CIV: N/A
TSR: N/A

List of Items Controlled

Related Controls: N/A
Related Definitions: “Global interrupt latency time” is the time taken by the computer system to recognize an interrupt due to the event, service the interrupt and perform a context switch to an alternate memory-resident task waiting on the interrupt.

Items:

a. “Program” proof and validation “software” using mathematical and analytical techniques and designed or modified for “programs” having more than 500,000 “source code” instructions;

b. “Software” allowing the automatic generation of “source codes” from data acquired on line from external sensors described in the Commerce Control List; or

c. Operating system “software” “specially designed” for “real-time processing” equipment that guarantees a “global interrupt latency time” of less than 20 microseconds.

4D994 “Software” other than that controlled in 4D001 “specially designed” or modified for the “development”, “production”, or “use” of equipment controlled by 4A101, 4A994.

License Requirements

Reason for Control: AT

Control(s)   Country Chart
            (See Supp. No. 1 to part 738).

AT applies to entire entry   AT Column 1

List Based License Exceptions (See Part 740 for a description of all license exceptions)

CIV: N/A
TSR: N/A

List of Items Controlled

Related Controls: N/A
Related Definitions: “Global interrupt latency time” is the time taken by the computer system to recognize an interrupt due to the event, service the interrupt and perform a context switch to an alternate memory-resident task waiting on the interrupt.

Items:

a. “Program” proof and validation “software” using mathematical and analytical techniques and designed or modified for “programs” having more than 500,000 “source code” instructions;

b. “Software” allowing the automatic generation of “source codes” from data acquired on line from external sensors described in the Commerce Control List; or

c. Operating system “software” “specially designed” for “real-time processing” equipment that guarantees a “global interrupt latency time” of less than 20 microseconds.

Export Administration Regulations  Bureau of Industry and Security  September 25, 2017
Related Controls: N/A
Related Definitions: N/A

Items:

The list of items controlled is contained in the ECCN heading.

E. “TECHNOLOGY”

4E001 “Technology” as follows (see List of Items Controlled).

License Requirements

Reason for Control: NS, MT, CC, AT

<table>
<thead>
<tr>
<th>Control(s)</th>
<th>Country Chart (See Supp. No. 1 to part 738)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NS applies to entire entry</td>
<td>NS Column 1.</td>
</tr>
<tr>
<td>MT applies to “technology” for</td>
<td>MT Column 1.</td>
</tr>
<tr>
<td>items controlled by 4A001.a and 4A101 for MT reasons</td>
<td></td>
</tr>
<tr>
<td>CC applies to “software” for</td>
<td>CC Column 1.</td>
</tr>
<tr>
<td>computerized finger-print</td>
<td></td>
</tr>
<tr>
<td>equipment controlled by 4A003 for CC reasons</td>
<td></td>
</tr>
<tr>
<td>AT applies to entire entry</td>
<td>AT Column 1.</td>
</tr>
</tbody>
</table>

Reporting Requirements

See § 743.1 of the EAR for reporting requirements for exports under License Exceptions, and Validated End-User authorizations.

List Based License Exceptions (See Part 740 for a description of all license exceptions)

<table>
<thead>
<tr>
<th>CIV: N/A</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>TSR: Yes, except for “technology” for the “development” or “production” of commodities with an “Adjusted Peak Performance” (“APP”) exceeding 16 WT.</td>
<td></td>
</tr>
</tbody>
</table>
performance by aggregation of processors so that the “APP” of the aggregation exceeds the limit in 4E001.b.1.

4E980 “Technology” for the “development,” “production” or “use” of commodities controlled by 4A980.

License Requirements

   Reason for Control: CC, AT

Control(s) Country Chart
(See Supp. No. I to part 738).

CC applies to entire entry CC Column 1
AT applies to entire entry AT Column 1

List Based License Exceptions (See Part 740 for a description of all license exceptions)

   CIV: N/A
   TSR: N/A

List of Items Controlled

Related Controls: N/A
Related Definitions: N/A
Items:

The list of items controlled is contained in the ECCN heading.

4E992 “Technology” other than that controlled in 4E001 for the “development,” “production,” or “use” of equipment controlled by 4A994, or “software” controlled by 4D993 or 4D994.

License Requirements

   Reason for Control: AT

Control(s) Country Chart
(See Supp. No. I to part 738).

AT applies to entire entry AT Column 1

List Based License Exceptions (See Part 740 for a description of all license exceptions)

   CIV: N/A
   TSR: N/A

List of Items Controlled

Related Controls: N/A
Related Definitions: N/A
Items:

The list of items controlled is contained in the ECCN heading.

4E993 “Technology” for the “development” or “production” of equipment designed for “multi-data-stream processing.”

License Requirements

   Reason for Control: AT

Control(s) Country Chart
(See Supp. No. I to part 738).

AT applies to entire entry AT Column 1

List Based License Exceptions (See Part 740 for a description of all license exceptions)

   CIV: N/A
   TSR: N/A

List of Items Controlled

Related Controls: N/A
Related Definitions: N/A
Items:
Items:

The list of items controlled is contained in the ECCN heading.

EAR99 Items subject to the EAR that are not elsewhere specified in this CCL Category or in any other category in the CCL are designated by the number EAR99.

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TECHNICAL NOTE ON “ADJUSTED PEAK PERFORMANCE” (“APP”)

“APP” is an adjusted peak rate at which “digital computers” perform 64-bit or larger floating point additions and multiplications.

Abbreviations used in this Technical Note

\[ n \] number of processors in the “digital computer”

\[ I \] processor number (i,...,n)

\[ t_i \] processor cycle time \( (t_i = 1/F_i) \)

\[ F_i \] processor frequency

\[ R_i \] peak floating point calculating rate

\[ W_i \] architecture adjustment factor

“APP” is expressed in Weighted TeraFLOPS (WT), in units of \( 10^{12} \) adjusted floating point operations per second.

Outline of “APP” calculation method

1. For each processor \( i \), determine the peak number of 64-bit or larger floating-point operations, \( FPO_i \), performed per cycle for each processor in the “digital computer”.

Note: In determining \( FPO \), include only 64-bit or larger floating point additions and/or multiplications. All floating point operations must be expressed in operations per processor cycle; operations requiring multiple cycles may be expressed in fractional results per cycle. For processors not capable of performing calculations on floating-point operands of 64-bits or more the effective calculating rate \( R \) is zero.

2. Calculate the floating point rate \( R \) for each processor

\[ R_i = \frac{FPO_i}{t_i}. \]

3. Calculate “APP” as

\[ “APP” = W_1 \times R_1 + W_2 \times R_2 + … + W_n \times R_n. \]

4. For ‘vector processors’, \( W_i = 0.9 \). For non-‘vector processors’, \( W_i = 0.3 \).

Note 1: For processors that perform compound operations in a cycle, such as an addition and multiplication, each operation is counted.

Note 2: For a pipelined processor the effective calculating rate \( R \) is the faster of the pipelined rate, once the pipeline is full, or the non-pipelined rate.

Note 3: The calculating rate \( R \) of each contributing processor is to be calculated at its maximum value theoretically possible before the “APP” of the combination is derived. Simultaneous operations are assumed to exist when the computer manufacturer claims concurrent, parallel, or simultaneous operation or execution in a manual or brochure for the computer.

Note 4: Do not include processors that are limited to input/output and peripheral functions (e.g., disk drive, communication and video display) when calculating “APP”.

Note 5: “APP” values are not to be calculated for processor combinations( interconnected by “Local Area Networks”, Wide Area Networks, I/O shared connections/devices, I/O controllers and any communication interconnection implemented by
“software”.

**Note 6:** “APP” values must be calculated for processor combinations containing processors “specially designed” to enhance performance by aggregation, operating simultaneously and sharing memory.

**Technical Notes**

1. Aggregate all processors and accelerators operating simultaneously and located on the same die.

2. Processor combinations share memory when any processor is capable of accessing any memory location in the system through the hardware transmission of cache lines or memory words, without the involvement of any software mechanism, which may be achieved using “electronic assemblies” specified in 4A003.c.

**Note 7:** A ‘vector processor’ is defined as a processor with built-in instructions that perform multiple calculations on floating-point vectors (one-dimensional arrays of 64-bit or larger numbers) simultaneously, having at least 2 vector functional units and at least 8 vector registers of at least 64 elements each.