

CATEGORY 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).

Note 3: Computers, related equipment and “software” performing cryptographic, cryptoanalytic, certifiable multi-level security or certifiable user isolation functions, or that limit electromagnetic compatibility (EMC), must also be evaluated against the performance characteristics in Category 5, Part 2 (“Information Security”).

A. SYSTEMS, EQUIPMENT AND COMPONENTS

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 MT Column 1
4A001.a when the
parameters in 4A101 are
met or exceeded

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.

License Requirement Notes: See §743.1 of the EAR for reporting requirements for exports under License Exceptions for 4A001.a.2.

License Exceptions

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

GBS: N/A

CIV: N/A

STA: License Exception STA may not be used to ship any commodity in 4A001.a.2to any of the eight destinations listed in § 740.20(c)(2) of the EAR.

List of Items Controlled

Unit: Computers and related equipment in number; “electronic assemblies” and components in \$ value

Related Controls: See also [4A101](#) and [4A994](#). See Category 5-Part 2 for electronic computers and related equipment performing or incorporating “information security” functions as the primary function. Equipment designed or rated for transient ionizing radiation is subject to the export licensing authority of the U.S. Department of State, Directorate of Defense Trade Controls. (See 22 CFR part 121.)

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

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 5×10^3 Gy (Si);

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

a.2.c. Single Event Upset of 1×10^{-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, NP

| <i>Control(s)</i> | <i>Country Chart</i> |
|------------------------------|----------------------|
| NS applies to 4A003.b and .c | NS Column 1 |
| NS applies to 4A003.e and .g | NS Column 2 |
| CC applies to “digital | CC Column 1 |

computers” for computerized finger-print equipment

AT applies to entire entry AT Column 1 (refer to 4A994 for controls on “digital computers” with a APP > 0.0128 but ≤ 3.0 WT)

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

Note 1: For all destinations, except those countries in Country Group E:1 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 3.0 Weighted TeraFLOPS (WT) and for “electronic assemblies” described in 4A003.c that are not capable of exceeding an “Adjusted Peak Performance” (“APP”) exceeding 3.0 Weighted TeraFLOPS (WT) in aggregation, except certain transfers as set forth in §746.3 (Iraq).

Note 2: 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.

License Exceptions

LVS: \$5000; N/A for 4A003.b and .c.

GBS: Yes, for 4A003.e, and .g and specially designed 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, with the exception of 4A003.e (equipment performing analog-to-digital conversions exceeding the limits of 3A001.a.5.a). See §740.7 of the

EAR.
CIV: Yes, for 4A003.e, and .g.

List of Items Controlled

Unit: Computers and related equipment in number; “electronic assemblies” and components in \$ value

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”;

- Equipment designed for “signal processing”.

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]

b. “Digital computers” having an “Adjusted Peak Performance” (“APP”) exceeding 3.0 weighted TeraFLOPS (WT);

c. “Electronic assemblies” specially designed or modified to be capable of enhancing performance by aggregation of processors so that the “APP” of the aggregation exceeds the limit in 4A003.b.;

Note 1: 4A003.c applies only to “electronic assemblies” and programmable interconnections not exceeding the limit in 4A003.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 4A003.e.

Note 2: 4A003.c does not control “electronic assemblies” specially designed for a product or family of products whose maximum configuration does not exceed the limit of 4A003.b.

d. [RESERVED]

e. Equipment performing analog-to-digital conversions exceeding the limits in 3A001.a.5;

f. [RESERVED]

g. Equipment specially designed for aggregating the performance of “digital computers” by providing external interconnections which allow communications at unidirectional data rates exceeding 2.0 Gbyte/s per link.

Note: 4A003.g does not control internal interconnection equipment (e.g., backplanes, buses) passive interconnection equipment, “network access controllers” or “communication channel controllers”.

4A004 Computers as follows (see List of Items Controlled) and specially designed related equipment, “electronic assemblies” and components therefor.

License Requirements

Reason for Control: NS, AT

| | |
|----------------------------|----------------------|
| <i>Control(s)</i> | <i>Country Chart</i> |
| NS applies to entire entry | NS Column 2 |
| AT applies to entire entry | AT Column 1 |

License Exceptions

LVS: \$5000
GBS: N/A
CIV: N/A

List of Items Controlled

Unit: Computers and related equipment in number; “electronic assemblies” and components in \$ value
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

| | |
|----------------------------|----------------------|
| <i>Control(s)</i> | <i>Country Chart</i> |
| MT applies to entire entry | MT Column 1 |
| AT applies to entire entry | AT Column 1 |

License Exceptions

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

List of Items Controlled

Unit: Equipment in number
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 component or equipment is designed or rated to withstand radiation levels which meet or exceed a total irradiation dose of 5 X 10⁵ rads (Si).

4A102 “Hybrid computers” specially designed for modelling, simulation or design integration of “missiles”. (These items are subject to the export licensing authority of the U.S. Department of State, Directorate of Defense Trade Controls. See 22 CFR part 121.)

4A980 Computers for fingerprint equipment, n.e.s.

License Requirements

Reason for Control: CC, AT

Control(s) Country Chart

CC applies to entire entry CC Column 1

AT applies to entire entry AT Column 1

License Exceptions

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

List of Items Controlled

Unit: Equipment in number
Related Controls: N/A
Related Definitions: N/A
Items:

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

Note: 4A980 does not control equipment limited to one finger and designed for user authentication or access control.

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

components therefor.

License Requirements

Reason for Control: AT

Control(s) Country Chart

AT applies to entire entry AT Column 1

License Exceptions

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

List of Items Controlled

Unit: Equipment in number; parts and accessories in \$ value
Related Controls: N/A
Related Definitions: N/A
Items:

Note 1: The control status of the “digital computers” and 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.

a. Electronic computers and related equipment, and “electronic assemblies” and specially designed 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.

Note 2: 4A994.c does not control any “electronic assembly” specially designed for a product or family of products whose maximum configuration does not exceed the limits of 4A994.b.

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];

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”.

k. “Hybrid computers” and “electronic assemblies” and specially designed 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.

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, NP

Control(s) Country Chart

NS applies to entire entry NS Column 1

CC applies to “software” for computerized finger-print equipment controlled by 4A003 for CC reasons CC 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.

License Exceptions

- CIV: N/A
- TSR: Yes, except for “software” for the “development” or “production” of commodities with an “Adjusted Peak Performance” (“APP”) exceeding 0.5 WT.
- APP: Yes to specific countries (see §740.7 of the EAR for eligibility criteria)
- STA: License Exception STA may not be used to ship or transmit “software” specially designed for the “development” or “production” of equipment specified by ECCN

4A001.a.2 or for the “development” or “production” of “digital computers” having an ‘Adjusted Peak Performance’ (‘APP’) exceeding 0.5 Weighted TeraFLOPS (WT) to any of the eight destinations listed in § 740.20(c)(2) of the EAR.

List of Items Controlled

Unit: \$ value

Related Controls: N/A

Related Definitions: N/A

Items:

a. “Software” specially designed or modified for the “development”, “production” or “use” of equipment or “software” controlled by 4A001 to 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 0.25 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.

4D002 “Software” specially designed or modified to support “technology” controlled by 4E (except 4E980, 4E992, and 4E993).

License Requirements

Reason for Control: NS, AT, NP

Control(s) Country Chart

NS applies to entire entry NS 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.

License Exceptions

CIV: N/A
 TSR: Yes, except N/A for “software” specifically designed or modified to support “technology” for computers requiring a license.

List of Items Controlled

Unit: \$ value
Related Controls: N/A
Related Definitions: N/A
Items:

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

4D980 “Software” specially designed for the “development”, “production”, or “use” of items controlled by 4A980.

License Requirements

Reason for Control: CC, AT

Control(s) Country Chart

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

License Exceptions

CIV: N/A
 TSR: N/A

List of Items Controlled

Unit: \$ value
Related Controls: N/A
Related Definitions: N/A
Items:

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

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

AT applies to entire entry AT Column 1

License Exceptions

CIV: N/A
 TSR: N/A

List of Items Controlled

Unit: \$ value
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

by ECCN 4A001.a.2; b. “Digital computers” having an ‘Adjusted Peak Performance’ (‘APP’) exceeding 0.5 Weighted TeraFLOPS (WT); or c. “software” specified in the License Exception STA paragraph found in the License Exception section of ECCN 4D001 to any of the eight destinations listed in § 740.20(c)(2) of the EAR.

Control(s)

Country Chart

CC applies to entire entry

CC Column 1

AT applies to entire entry

AT Column 1

License Exceptions

CIV: N/A

TSR: N/A

List of Items Controlled

Unit: N/A

Related Controls: N/A

Related Definitions: N/A

Items:

a. “Technology” according to the General Technology Note, for the “development”, “production”, or “use” of equipment or “software” controlled by 4A (except 4A980 or 4A994) or 4D (except 4D980, 4D993, 4D994).

b. “Technology”, other than that controlled by 4E001.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 0.25 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 4E001.b.1.

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

License Requirements

Reason for Control: CC, AT

List of Items Controlled

Unit: N/A

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

AT applies to entire entry

AT Column 1

License Exceptions

CIV: N/A

TSR: N/A

List of Items Controlled

Unit: N/A

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

AT applies to entire entry AT Column 1

License Exceptions

CIV: N/A
TSR: N/A

List of Items Controlled

Unit: N/A
Related Controls: N/A
Related Definitions: N/A
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**.

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, \dots, 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

$$R_i = FPO_i/t_i$$

3. Calculate “APP” as

$$“APP” = W_1 \times R_1 + W_2 \times R_2 + \dots + W_n \times R_n$$

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(inter)connected 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:

(1) Processor combinations containing processors specially designed to enhance performance by aggregation, operating simultaneously and sharing memory; or

(2) Multiple memory/processor combinations operating simultaneously utilizing specially designed hardware.

Technical Note: Aggregate all processors and accelerators operating simultaneously and located on the same die.

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.