Automated Export System Trade Interface Requirements

Summary of Changes

December 2016

U.S. Customs and Border Protection

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
Revised December 20, 2016	C	**Updated Appendix D per Census request.** **Port 3801 – Detroit, MI to allow Fixed (70) Transport Shipments.** **Updated Appendix A per Robert Rawls.** **Response code 701 needed correction from 10 calendar days to 5.**
Revised December 8, 2016 Effective January 2017	C	**Updated Appendix Q for NMFS** **For HMS program, NM7, NM8 and NM9 PGA records are required.** **For AMR program, only NM7 and NM9 PGA records are required.** **New edits are in place for LCPO Quantity, LCPO Unit of Measure, Catch Document Number and Re-Export number.** **Updated Appendix A for revised/new response messages:** **67I** **67J** **67N** **67O** **67P** **67Q**
Revised October 11, 2016	C	**Updated Appendix D per Census request.** **Deleted the following Port Codes:** **3820 Mackinac Isle, MI** **3844 Ferrysburg, MI** **3981 Waukegan Airport, IL** **3983 Chicago Executive Airport, IL (formally Pal-Waukee Mncpl Airport)** **3985 Decatur Airport, IL** **4185 Hulman Regional Airport, OH** **4506 Spirit of Saint Louis Airport, OH**
Revised September 28, 2016	C	**Removed C31 from Appendix F per BIS request**
Revised September 26, 2016	C	**Removed C49, C55 and C56 from Appendix F per BIS request.** **C32 will only be valid through March 31, 2017.**
Revised September 20, 2016	C	**Merging all draft PGA documents in current documentations.**
Revised September 8, 2016	C	**Updated Appendix D per Census request.** **Deleted the following Port Codes:** **0181 Lebanon Airport, NH** **0409 Provincetown, MA**

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Version /Date	Type of Change	Location and Description
Revised September 7, 2016	**A**	**New rule 809 in Appendix A and format changes in Appendix F for T10.**
Revised August 8, 2016	**C**	**Activated new response codes for BIS for C30 decrementation.** **800, 801, 802, 803**
Revised August 2, 2016	**C**	**Updated Appendix Z for Client Representative**
Revised July 29, 2016 Effective August 1, 2016	**C**	**Updated Appendix D per Census request.** **Deleted the following Port Codes:** **2772 Gateway Freight Services, LAX, CA** **2773 Air Cargo Handling Services, LA, CA** **2774 Virgin Atlantic Cargo, LAX, CA** **2792 DHL-HUB Riverside, CA**
Revised July 25, 2016	**C**	**Updated Appendix V – HTS # that cannot be reported in AES per Census request.**
Revised July 13, 2016	**C**	**Updated Appendix D – port codes** **Add new port 3910 – Chicago Midway Int'l Airport, IL – allowed MOT is AIR**
Revised July 5, 2016	**C**	**Updated Appendix D** **For Port 5301 Houston, TX - Air is not allowed**
Revised June 21, 2016	**C**	**Proprietary Commodity Format** **Under the PGA record, added the new PGAs and valid codes and referenced the draft Appendix Q – PGA record formats. Made a note that only AMS & EPA are currently in Production.** **Updated the CL1 record:** **Additional PGA Indicator to be Mandatory and 'Y' or 'N' is to be reported.**
Revised June 16, 2016	**C**	**Updated Appendix F** **MOT 60 (Passenger Hand-carried) is now allowed for License Codes**

Version /Date	Type of Change	Location and Description
		T10 and T11 per Census request.
Revised June 1, 2016	**C**	**Updated Appendix D** **Deleted the following ports per Census request.** **0907 – Utica, NY** **0971 - TNT Skypark, NY** **0972 - Swift Sure Courier SVC, NY** **0979 – Buffalo Niagara INTL APT, NY**
Revised May 16, 2016	**C**	**Updated Appendix Z** **Updated the links per Census request.**
Revised May 5, 2016	**C**	**Changed Appendix D** **For Port 3901 – Chicago-IL not to allow Rail shipments to be reported.** **Changed Export_Ship_Info_601** **Added notes regarding delimiters that are acceptable for the 601 messages.**
Revised April 26, 2016	**C**	**Changed Appendix D** **For Port 0901 – Buffalo-Niagara Falls NY, allow pipeline shipments (Fixed) to be reported.**
Revised April 13, 2016	**C**	**Changed Appendix F** **For C45 license type code, ECCN 1A613 is the only eligible 600 series ECCN for this license type per Census request.**
Revised April 1, 2016	**C**	**Removed Communication Password from the A record and is now a Filler and space fill when not used in the AESTIR and will also do the same in the Export Shipment Info 601 (X12) document as it is no longer being used with Census approval.**
Revised March 16, 2016	**C**	**Changed Appendix F** **For C32 license type code, EAR99 can no longer be reported as an ECCN per BIS request.**
Revised February 8, 2016	**C**	**Changed Shipment Reference Number on SC1 record from 17AN to 17X per Census request.**

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Version /Date	Type of Change	Location and Description
Revised January 8, 2016	**C**	**Updated Appendix V** **Added new HTS numbers that cannot be reported in AES per Census request.** • 2710190625 • 2710190630 • 2710190635 • 7211236090 **Removed the following HTS numbers from Appendix V.** 3702.91.0100 3702.93.0000 3702.94.0000 3702.95.0000 7211.23.6075 7211.23.6085
Revised December 11, 2015	**C**	**Updated Appendix D** **Allow Pipeline Shipments (Fixed) for port 0115 (Calais, ME)**
Revised November 10, 2015	**C**	**Updated Appendix U** Added new Schedule B/HTS codes to allow vehicle reporting. 8426.49.0090 8432.10.0020 8432.10.0040 8432.10.0060 8432.21.0000 8432.29.0080 8432.29.0090 8432.30.0010 8432.30.0090 8432.40.0000 8432.80.0000 8432.80.0080 8479.10.0040 8479.10.0060 8479.10.0080 8703.21.0000 8703.21.0010
Revised August 27, 2015	**C**	**Eliminated references to DEC filing.**

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Version /Date	Type of Change	Location and Description
Revised August 13, 2015	C	Appendix D Allow air shipments for port code 2001 (Morgan City, LA).
Revised August 3, 2015	C	Appendix A Changed response code 368 narrative and response code 401 is now currently unassigned because both response codes were very similar.
Revised May 21, 2015 Effective Date May 21, 2015	C	Updated Appendix F 3B001 - CIV C37- Adding 3D001 - CIV C37 - Adding 3E001 - CIV C37- Adding 4D001 - TSR/STA C38/C59 - Adding 4E001 - TSR/STA C38/C59 - Adding 8E002 - TSR C38- Removed
Revised May 20, 2015	C	Updated Appendix F Added CH as an allowable EIC code for License code C30. Updated Appendix V The HTS codes starting with zeroes (0) were missing the leading zeroes.
Revised February 13, 2015 Effective date February 18, 2015	C	Updated Appendix F Added new ECCN (7A994) allowed for License code C58 and adding 'SD' Sudan as an acceptable country code for CCD.
Revised February 6, 2015	C	Updated Appendix A Changed response code 399 narrative and from Informational to Verify message
Revised January 16, 2015	A	Updated Appendix V – HTS numbers that cannot be reported in AES.
Revised January 15, 2015 Effective Date January 16, 2015	A	Appendix F – added new ECCNs allowed for License Code C62
Revised January 9, 2015	A	Added: Appendix D Port Code 3319 – Morgan, MT
Revised November 14, 2014	C	Appendix A - Changed contact information for the following response code for Bureau of Industry and Security (BIS): 544, 545, 546, 547, 548, 549, 666 and 667.

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Version /Date	Type of Change	Location and Description
Revised Date November 7, 2014	**A**	**Appendix F – Added new ECCNs allowed for License Code C35 & C60.**
Revised Date September 24, 2014	**C**	**Changed:** **Appendix F – for license C49 add MOT 10**
Revised Date September 16, 2014 **Effective Date January 2015**	**A**	**Added New Voluntary Disclosure Messages** **Response Code: 673 COMMERCE DEPARTMENT LICENSE NOT OBTAINED** **Response Code: 674 STATE DEPARTMENT LICENSE NOT OBTAINED** **Response Code: 675 OTHER AGENCY LICENSE NOT OBTAINED** **Response Code: 676 PRIOR DATE OF EXPORT REQUIRED** **APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** **VDC –** COMMERCE DEPARTMENT VOLUNTARY SELF DISCLOSURE **VDS –** STATE DEPARTMENT VOLUNTARY DISCLOSURE **VDO –** OTHER PARTNER GOVERNMENT AGENCY VOLUNTARY DISCLOSURE
Revised Date September 16, 2014	**C**	**CHANGED:** 3009 Sumas, WA - Added 'Fixed' as acceptable Method of Transportation
REVISED DATE September 23, 2014 **EFFECTIVE DATE TBD**	**A**	**ADDED:** **NEW PGA RECORD** **Participants in the EPA pilot for lead acid battery hazardous waste.** **For Agricultural Marketing Services – reporting export permit numbers related to apples and grapes shipments.** **Segment MAN Data element 88, 87:** Alternate use is to enter validation data for Participating Government Agency (PGA) related exports. Limit use to 999 instances. Do not include MAN segment when 1)"Shipment Filing Action Request Indicator" in element BA102 is "CANCEL", or when 2) "Line Item Filing Action Request Indicator" in element L1314 is "DELETE". MAN01 88 Marks and Numbers Qualifier Code specifying the application or source of Marks and Numbers (87) When used for PGA data entry, always Enter 'ZZ' MAN02 87 Marks and Numbers Qualifier Marks and numbers used to identify a shipment or parts of a shipment. When used for PGA data entry, always enter the 3 character PGA ID, left justified. Example: In the case of EPA enter "EP1" and for AMS enter "AM1".

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Version /Date	Type of Change	Location and Description
		MAN03 87 Marks and Numbers Qualifier Marks and numbers used to identify a shipment or parts of a shipment. Based on the PGA ID this data element will contain data related to the PGA as left justified concatenated text. When PGA ID = **EP1** fill positions as below: 01 EPA License Required Indicator When EPA License Required = Y fill positions below: 02-13 EPA Consent Number 14-25 RCRA Hazardous Waste Manifest Tracking Number. 26-28 EPA Net Quantity Unit of Measurement 29-38 EPA Net Quantity 39-48 Not used. Space fill. When PGA ID = **AM1** fill positions as below: 01-13 AMS Export Certificate Number 14-48 Not used. Space fill. **Segment X1 Data element 83:** X101 83 Equivalent AESTIR Proprietary Elements: CL1 – PGA License Required Indicator. PGA License Required Indicator: **Y** (yes) or **N** (no) **Added PGA License Required Indicator (Y or N) to CL1 record (position 72)**
REVISED DATE August 8, 2014 **EFFECTIVE** August 8, 2014	**C**	**APPENDIX D – EXPORT PORT CODES** **CHANGED:** 3322 Added ROAD as acceptable Method of Transportation 2504 Renamed San Ysidro 2506 Renamed Otay Mesa
Revised **June 16, 2014**	**C**	**Response Code: 590** LICENSE VALUE EXCDS AVAIL FOR LIC **Response Code: 642** QUANTITY 1 CANNOT EXCEED 299,999,999 **Response Code: 712** FIXED MOT (70) SHIPMENT REPORTED LATE
REVISED DATE June 9, 2014 **EFFECTIVE** October 3, 2014	**A** **C**	**ADDED:** **Response Code: 06H** AEI NOT APPROVED FOR USPPI **Response Code: 593** LICENSE VALUE GREATER THAN VALUE OF GOODS **Response Code: 706** LICENSE VALUE CHANGE POST DEPARTURE

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Version /Date	Type of Change	Location and Description
REVISED DATE May 27, 2014 **EFFECTIVE** July 1, 2014	**C**	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** **CHANGED:** The following license types have been updated with the addition of certain "600 series" ECCNs: • C30 (BIS license), C31 (BIS Special Comprehensive License), C40 (TMP), C41 (RPL), C42 (GOV), and C59 (STA) –All "600 series" ECCNs are eligible to the extent permitted under parts 740 and 752 of the EAR. • C32 (NLR with a reason for control other than or in addition to AT) – All "600 series" ECCNs are eligible if exported to Canada. Some of these "600 series" items were previously authorized under an International Traffic in Arms Regulations (ITAR) Canadian exemption (SCA). • C35 (LVS) – The following "600 series" ECCNs are eligible: 0A614, 0B604, 0B614, 1A613, 1B608, 1B613, 1C608, 9A604, and 9B604. • C45 (BAG) – The "600 series" ECCN 1A613 is eligible. • C60 (DY6) – The following "600 series" ECCNs are eligible: 1A613, 1D613, and 1E613.
REVISED DATE May 27, 2014 **EFFECTIVE** June 27, 2014	**C**	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** **CHANGED:** The following license types have been updated with the addition of 9A515, 9D515, and 9E515 ECCNs: • C30 (BIS license), C31 (BIS Special Comprehensive License), C40 (TMP), C41 (RPL), C42 (GOV), C45 (BAG), C46 (AVS) and C59 (STA) – 9A515, 9D515, and 9E515 are eligible to the extent permitted under parts 740 and 752 of the EAR. • C32 (NLR with a reason for control other than or in addition to AT) – 9A515.d is eligible if exported to Canada; 9A515.e is eligible to those destinations permitted by the EAR; 9D515 and 9E515 are eligible if exported to Canada. • C35 (LVS) – 9A515 is eligible, to the extent permitted under parts 740 and 774 of the EAR.
REVISED DATE April 11, 2014 **EFFECTIVE** October 3, 2014	**C**	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** **CHANGED:** Removed "License Value Required" from License codes C31, T10, OPA and N01.
Version 1.0 EFFECTIVE October 3, 2014	**C**	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** **CHANGED:** Removed "License Value Required" from License codes C31, T10, OPA and N01.
Version 1.0 EFFECTIVE October 3, 2014	**C**	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** **CHANGED:** Removed License Value Required reference from License Codes ('C35', 'C43'

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		and 'C59')
Version 1.0 EFFECTIVE October 3, 2014	**C**	**APPENDIX A – Commodity Filing Response Messages** **CHANGED:** Response Code: 15A
Version 1.0 EFFECTIVE October 3, 2014	**C**	**PART II – AES RECORD FORMATS, SECTION 1 – AES Commodity Data Transactions, PROPRIETARY FORMATS, (b) COMMODITY SHIPMENT WARNING REMINDER** **CHANGED:** Foreign Trade Zone Identifier in **Input SC2 Record**
Version 1.0 EFFECTIVE October 3, 2014	**C** **A**	**PART II – AES RECORD FORMATS, SECTION 1 – AES Commodity Data Transactions, PROPRIETARY FORMATS, (a) COMMODITY SHIPMENT FILING AND RESPONSE** **CHANGED:** Foreign Trade Zone Identifier in **Input SC2 Record** **ADDED:** **Note 4** for **Input SC2 Record**
Version 1.0 PILOT IMPLEMENTED AFTER OCTOBER 3, 2014	**A**	**PART II – AES RECORD FORMATS, SECTION 1 – AES Commodity Data Transactions, PROPRIETARY FORMATS, (a) COMMODITY SHIPMENT FILING AND RESPONSE** **ADDED:** **Ultimate Consignee Type to table (c) page 1a-59**
Version 1.0 PILOT IMPLEMENTED AFTER OCTOBER 3, 2014	**A**	**601 Customs & Border Protection (CBP) - Export Shipment Information** **ADDED:** **Segment YNQ Data element 1321, 1073, 1250, 1251, 933, 1270, 1271:** R3P Advance Export Information partial commodity shipment filing R3F Advance Export Information complete commodity shipment filing.
Version 1.0 PILOT IMPLEMENTED AFTER OCTOBER 3, 2014	**A**	**AES GENERAL INFORMATION - Section 1. The Automated Export System (AES) - Commodity Data Filing Options** **ADDED:** **Advance Export Information (AEI)** **Environmental Protection Agency** to AES and Partnership Agencies ***NOTE:*** ***A limited number of USPPI's will be approved for participation in the pilot.*** *The acceptable ECCNs for AEI are 5A002, 5B002, 5D002 and 5E002.* *The only items on the CCL that are EAR99 or ECCNs controlled for AT reasons only or for Encryption are eligible for AEI.*

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Version 1.0 PILOT IMPLEMENTED AFTER OCTOBER 3, 2014	**A** **C** **A** **C**	**PART II – AES RECORD FORMATS, SECTION 1 – AES Commodity Data Transactions, PROPRIETARY FORMATS, (a) COMMODITY SHIPMENT FILING AND RESPONSE and (b) COMMODITY SHIPMENT WARNING REMINDER** **ADDED:** AEI Filing Type to **Input SC1 Record** **CHANGED:** Filing Option Indicator with option 3 (AEI) **APPENDIX A – Commodity Filing Response Messages** **ADDED:** **Response Code: 63A** USED VEH NOT ALLOWED -OPTION 3 (AEI) **Response Code: 06E** DDTC RECORD NOT ALLOWED – OPTION 3 (AEI) **Response Code: 06F** SCHED B/HTS NBR NOT VALID FOR AEI FILING OPTION 3 **Response Code: 06G** 'S' CLASS LIC TYPE CODE NOT ALLOWED - OPTION 3 (AEI) **Response Code: 06A** OPTION 3(AEI) FILING CURRENTLY NOT ACTIVE **Response Code: 06B** FILING TYPE REQUIRED WHEN FILING OPT 3 **Response Code: 06C** FILING OPTION INDICATOR IS NOT ALLOWED TO CHANGE VALUE **Response Code: 06D** AEI FULL FILING PREVIOUSLY RECEIVED, PARTIAL FILING NOT VALID **Response Code: 710** AEI FULL SHIPMENT REPORTED LATE; OPT 3F **CHANGED:** **Response Code: 066** FILING OPT IND MUST BE 2, 3 OR 4 ***NOTE:*** ***A limited number of USPPI's will be approved for participation in the pilot.***
Version 1.0 EFFECTIVE October 3, 2014	**A**	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** **ADDED:** **License Value Required to following License Codes** ('C30', 'C31', 'C35', 'C43', 'C59', 'N01', 'S05', 'S61', 'S73', 'S85', 'S94', 'T10', 'T12', 'OPA') **ADDED:** License Code 'EPA'
Version 1.0 EFFECTIVE October 3, 2014		**PART II – AES RECORD FORMATS, SECTION 1 – AES Commodity Data Transactions, PROPRIETARY FORMATS, (a) COMMODITY SHIPMENT FILING AND RESPONSE and (b) COMMODITY SHIPMENT WARNING REMINDER**

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Version /Date	Type of Change	Location and Description
	A C	**ADDED:** Ultimate Consignee Type to **Input N03 Record** License Value to **Input CL1 Record** **CHANGED:** Foreign Trade Zone Identifier in **Input SC2 Record** **K) <u>Used Vehicle Reporting</u>** ALL used self-propelled vehicle detail record (EV1) information MUST be reported for all shipments regardless of value and destination.
Version 1.0 EFFECTIVE October 3, 2014	A

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Version /Date	Type of Change	Location and Description
Version 1.0 EFFECTIVE October 3, 2014	C	**APPENDIX E – Commodity Filing Export Information Codes and Reporting Guidelines** **CHANGED:** EIC codes CR, HH, and TE have been moved from Table B: Applicable EI Codes for Optional EEI Reporting to Table A: Applicable EI Codes for Mandatory EEI Reporting
Version 1.0 EFFECTIVE October 3, 2014	C	**601 Customs & Border Protection (CBP) - Export Shipment Information** **CHANGED:** **Segment M12 Data Element 310:** FOREIGN TRADE ZONE IDENTIFIER Identity of the Foreign Trade Zone from which the merchandise was withdrawn. Maximum size - 7 bytes. The first 3 positions must be numeric and represent the general purpose zone. The next 2 positions are alphanumeric and represent the sub zone. The last 2 positions are alphanumeric and represent the site. Left justify; NO trailing spaces. Insert zeros when there is no sub zone or site. Report leading zero(s) if the zone number is between 1 thru 99. Equivalent AESTIR Proprietary Element: SC2 - Foreign Trade Zone Identifier. **Segment N1 Data Element 98:** ULTIMATE CONSIGNEE Report any of the following values as applicable: XT Final Customer Organization (Direct Consumer) QW Government (Government Entity) B2 Other Unlisted Type of Organizational Entity (Other/Unknown) DU Resale Dealer (Reseller) **Segment X1 Data element 212:** LICENSE VALUE Value for a licensable shipment that will not include any overhead like insurance, domestic freight or other charges in whole US dollars. Equivalent AESTIR Proprietary Element: CL1 – LICENSE VALUE Equivalent AESTIR Proprietary Element: SC1 - Filing Option Indicator – First two characters and AEI filing Type – Third character B) HAZARDOUS MATERIAL INDICATOR (HAZMAT) Indicates that YNQ02 is being used to report whether the shipment contains hazardous material.

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		A) FILING OPTION INDICATOR When reporting the "Filing Option" in YNQ01, report "N" here in YNQ02.
Version 1.0 EFFECTIVE October 3, 2014		**Appendix E – Commodity Filing Export Information Codes and Reporting Guidelines** **CHANGED:** Revised Type/Condition Description for EIC "HH."
Version 1.0 EFFECTIVE October 3, 2014	A	**Appendix O – DDTC ITAR Exemption Codes** **ADDED:** 123.22 (22 CFR 123.22 Exports of technical data and defense sevices.)
Version 1.0 EFFECTIVE October 3, 2014	**C**	**AES GENERAL INFORMATION - Section 1. The Automated Export System (AES) - Commodity Data Filing Options** **CHANGED:** **Postdeparture** from 'ten (10) calendar days' to no later than **'five (5) calendar days'** from the date of exportation.
Version 1.0 October 22, 2013	**C**	**APPENDIX D – EXPORT PORT CODES** **CHANGED:** 2604 Added AIR as acceptable Method of Transportation
Version 1.0 EFFECTIVE July 8, 2013	**A**	**Appendix O – DDTC ITAR Exemption Codes** **ADDED:** ITAR exemption code 123.17(A) has been amended to read as follows: 123.17A1 - 22 CFR 123.17 (a) (1) Components and parts for Category I (a) firearms not exceeding $100 wholesale. 123.17A2 - 22 CFR 123.17 (a) (2) Components and parts for Category I firearms not exceeding $500 wholesale to Canada. 123.17A3 - 22 CFR 123.17 (a) (3) Components and parts for Category I firearms not exceeding $500 wholesale to Canadian Government.
Version 1.0 EFFECTIVE October 15, 2013	**A** **C**	**APPENDIX L – DDTC USML Category Codes** **ADDED:** Category 19 - Gas Turbine Engines and Associated Equipment **CHANGED:** Description for Category 08 changed to read - Aircraft and Related Articles

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
Version 1.0 August 22, 2013	**C**	**Table 1. DDTC Licensable Shipment Reporting Requirement Matrix.** Changed requirement of DDTC Registration Number for ITAR Exemption from R (Required) to A (Allowed).
Version 1.0 EFFECTIVE July 9, 2013	**C**	**Appendix S - AES Acronyms and Definitions** Effective July 9, 2013 The website for AESDirect and AESWebLink will change to aesdirect.census.gov
Version 1.0 June 26, 2013	**A**	**Appendix F - License and License Exemption Type Codes and Reporting Guidelines** ADDED: The following ECCN was made eligible for C38: 2D003 The following ECCNs were made eligible for C59: 2D003 7D004
Version 1.0 June 20, 2013	**D**	**Appendix F - License and License Exemption Type Codes and Reporting Guidelines** C35 - delete ECCN 3A992
Version 1.0 EFFECTIVE May 8, 2013	**C**	**Appendix D – Export Port Codes** **CHANGED:** **The following Port of Export Code name has been updated:** 2904 – Columbia-Snake, OR **NEW name:** 2904 – Portland, OR
Version 1.0 EFFECTIVE October 15, 2013	**A**	**Appendix F - License and License Exemption Type Codes and Reporting Guidelines** **ADDED:** **New License Code C60** **New ECCNs to License Code C59, C35** **Added** "For items under 600 series ECCNs with a .y paragraph, use C60 (DY6)" to the Description of **License Code C32, C33** **Added** "Items under 600 series ECCNs are not eligible under this license type" to the Description of **License Code C39, C43, C45, C46, C49, C51, C57**
Version 1.0 EFFECTIVE September 26, 2008	**C**	**Appendix A – Commodity Response Filing Messages** **CHANGED:** **Response Code:** 075 SRN ON FILE; ACTION NOT ALLOWED Revised "Resolution" to clarify that reuse of the shipment reference number is prohibited.

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Version 1.0 EFFECTIVE March 15, 2013	D	**Appendix D – Export Port Codes** **DEACTIVATED:** **The following Port of Export Code have been deactivated:** 4755 – JFK Alternate 4770 - FEDERAL EXPRESS, NEWARK, NJ 4775 - DWORKIN/COSELL COURIER, NY 4776 - SWISSAIR (SKYRACER), NY 4777 - ALITALIA (ALIEXPRESS), NY
Version 1.0 EFFECTIVE January 1, 2013	D	**Appendix D – Export Port Codes** **DEACTIVATED:** The following Port of Export Code have been deactivated: 3312 – Whitetail, MT
Version 1.0 EFFECTIVE January 1, 2013	D	**Appendix A – Commodity Response Filing Messages** **DELETE:** Response Code 6VD
Version 1.0 EFFECTIVE December 12, 2012	D C A	**Appendix D – Export Port Codes** **DEACTIVATED:** The following Port of Export Code have been deactivated: 3382 – National County International Airport **CHANGED:** The following Port of Export Code name has been changed to: 3386 – Bozeman Yellowstone User Fee Airport **ADDED:** The following Port of Export Code has been added: 3332 – Casper, WY
Version 1.0 EFFECTIVE December 3, 2012	D C	**Appendix D – Export Port Codes** **DEACTIVATED:** The following Port of Export Code have been deactivated: 1402 – Newport News, VA **CHANGED:** The following Port of Export Code name has been changed to: 1401 – Norfolk-Newport News, VA
Version 1.0 EFFECTIVE July 1, 2012	A	**Appendix A – Commodity Response Filing Messages** **ADDED:** Response Code 6VD "VIN REPORTED ON ITN: %"
Version 1.0 EFFECTIVE November 29, 2012	C	**Appendix O – DDTC ITAR Exemption Codes** **CHANGED:** The following ITAR exemption codes were changed to include the following

Version /Date	Type of Change	Location and Description
		"U.S. persons, as defined in the ITAR 120.14." 123.17F -Temporary export of one set of "Body Armor" for personal use without a license from the United States by U.S. persons as defined in the ITAR 120.14. 123.17G -Temporary export of one set of "Body Armor" for personal use without a license by U.S. persons as defined in the ITAR 120.14 going to Afghanistan and to Iraq.
Version 1.0 EFFECTIVE October 23, 2012	**C**	**Appendix D – Export Port Codes** **CHANGED:** The following Port of Export Codes have been updated to allow for **Air** as the Mode of Transportation. 2101 – Port Arthur, TX 2102 – Sabine, TX 2103 – Orange, TX 2104 – Beaumont, TX
Version 1.0 EFFECTIVE June 8, 2012	**A**	**Appendix O – DDTC ITAR Exemption Codes** **ADDED:** 123.17 (H) Temporary exports of body armor, which may include a helmet, or chemical agent protective gear, which may include one additional filter canister, for personal use to Iraq. 123.17(I) Temporary exports of body armor, which may include a helmet, or chemical agent protective gear, which may include one additional filter canister, for personal use to Afghanistan.
Version 1.0 EFFECTIVE June 6, 2012	**A**	**Appendix A – Commodity Response Filing Messages** **ADDED:** Response Code 57A "NO RGSTRTN REQD; ITAR USED: <DDTC ITAR EXEMPTION NUMBER>
Version 1.0 EFFECTIVE May 1, 2012	**C**	**AES Operational Certification Test Scripts: Long Test Scripts** Changes have been made to the following Test Questions: Questions 3, 7, 8, 15, 17, 21, 24
Version 1.0 EFFECTIVE May 1, 2012	**C**	**AES Operational Certification Test Scripts: Short Test Scripts** Changes have been made to the following Test Questions: Questions 7, 10, 14-18
Version 1.0 EFFECTIVE April 11, 2012	**A**	**Appendix A – Commodity Response Filing Messages** **ADDED:** Response Code 549 "BIS LICENSE NBR NOT VALID FOR LICENSE CODE"
Version 1.0 EFFECTIVE March 30, 2012	**A**	**Appendix A – Commodity Response Filing Messages** **ADDED:** Response Code 672 "GB/AU ACID NBR UNKNOWN OR INVALID"

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	C	**CHANGED:** Response Code 667 to include new license exemption codes. Response Code 563 to include new license exemption codes. Response Code 564 to include new license exemption codes.
Version 1.0 EFFECTIVE April 11, 2012	C	**APPENDIX F - LICENSE AND LICENSE EXEMPTION TYPE CODES** **CHANGE:** C31 – Removed list of "S" licenses because they are no longer valid. "V" licenses have replaced the "S" licenses.
Version 1.0 March 5, 2012	C	**APPENDIX F - LICENSE AND LICENSE EXEMPTION TYPE CODES** **CHANGE:** C32 - Remove "EAR99 may be reported as an ECCN." C32 – Added "EAR99 may NOT be reported as an ECCN."
Version 1.0 EFFECTIVE March 30, 2012	A	**Table 1. DDTC Licensable Shipment Reporting Requirement Matrix.** ADDED: DOS/DDTC License Type **SAU** – Australia ITAR Exemptions License Code DOS/DDTC License Type **SGB** – United Kingdom ITAR Exemptions
Version 1.0 EFFECTIVE March 30, 2012	C	**601 Customs & Border Protection (CBP) - Export Shipment Information (X12) Transaction Set** CHANGED: X1 Export License Segment **X102 (50 Export License Number) to include:** 3. DDTC ITAR EXEMPTION NUMBER and APPROVED COMMUNITY MEMBER NUMBER The DDTC ITAR Exemption Number will be followed by the ACM#. See #2 above for DDTC ITAR Exemption Number. The first 12 characters of the field is reserved for the DDTC ITAR Exemption. Add spaces at the end of the DDTC ITAR Exemption, if necessary, to fill first 12 characters. The next 11 characters of the field is reserved for the ACM#. The ACM# for the United Kingdom must begin with UK followed by 9 numbers. The ACM# for Australia must begin with DTT followed by 8 numbers. 3. DDTC ITAR Exemption Number and Approved Community Member # - Enter "3" in X103 – Number Qualifier Maximum size of X102 is 23 bytes. Equivalent AESTIR Proprietary Elements: CL2 - Export License Number/ CFR Citation/Authorization Symbol/KPC#/ACM#; ODT - DDTC ITAR Exemption Number. **X103 (51 Export License Status Code) to include:** 3 DDTC ITAR Exemption Number and Approved Community Member #
Version 1.0 EFFECTIVE March 30, 2012		**PART II – AES RECORD FORMATS, SECTION 1 – AES Commodity Data Transactions, PROPRIETARY FORMATS, (a) COMMODITY SHIPMENT FILING AND RESPONSE**

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
	C	CHANGED: **Line Item Commodity Detail (Input CL2 Record) Data Element to:** Export License Number/ CFR Citation/ Authorization Symbol/KCP#/ACM# Additional description to read: The Approved Community Member # for the United Kingdom must begin with UK followed by nine numbers. The Approved Community Member # for Australia must begin with DTT followed by eight numbers.
Version 1.0 EFFECTIVE March 30, 2012	A	**APPENDIX O – DDTC ITAR EXEMPTION CODES** ADDED: 126.16E1 - United States and Australian combined military or counter-terrorism o 126.16E2 - United States and Australian cooperative security and defense researcl production, and support programs 126.16E3 - Mutually determined specific security and defense projects where the is the end-user 126.16E4 - U.S. Government end-use 126.17E1 - United States and United Kingdom combined military or counter-terro 126.17E2 - United States and United Kingdom cooperative security and defense r production, and support programs 126.17E3 - Mutually determined specific security and defense projects where the United Kingdom is the end-user 126.17E4 - U.S. Government end-use
Version 1.0 EFFECTIVE March 30, 2012	A	**APPENDIX F - LICENSE AND LICENSE EXEMPTION TYPE CODES** ADDED: License Code **SAU** – Australia ITAR Exemptions License Code **SGB –** United Kingdom ITAR Exemptions
Version 1.0 February 3, 2012	A D	**APPENDIX V – HTS Numbers that Cannot Be Reported in AES** ADDED: 0409.00.0005 0713.39.2170 0713.39.4170 3702.91.0100 3702.93.0000 3702.94.0000 3702.95.0000 DELETED: 0713.39.2070 0713.39.4070 2916.36.0000
Version 1.0 January 19, 2012	D	**APPENDIX D – EXPORT PORT CODES** DEACTIVATED: 3991 Nippon Courier HUB, IL
Version 1.0	A	**APPENDIX F - LICENSE AND LICENSE EXEMPTION TYPE CODES**

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
January 6, 2012		ADDED: The following ECCNs were made eligible for STA C59: 3A982 3D982 3E982
Version 1.0 November 9, 2011	**A**	**APPENDIX O – DDTC ITAR EXEMPTION CODES** ADDED: 123.17F - 22 CFR 123.17 (f) Temporary export of one set of "Body Armor" for personal use without a license from the United States by an individual (U.S. person). Companies cannot use this exemption. 123.17G - 22 CFR 123.17 (g) Temporary export of one set of "Body Armor" for personal use without a license going to Afghanistan and to Iraq. Companies cannot use this exemption.
Version 1.0 November 8, 2011	**C**	**APPENDIX A – COMMODITY RESPONSE FILING MESSAGES** CHANGED: Response Code 545 to include the word "INVALID"
Version 1.0 October 25, 2011	**A**	**APPENDIX F – LICENSE AND LICENSE EXEMPTION TYPE CODES** ADDED: Special Comprehensive License (**SCL**) S000037 for License Code C31
Version 1.0 September 23, 2011	**A**	**APPENDIX D – Export Port Codes** ADDED: 4503 St Louis, MO (Valid for AIR)
Version 1.0 August 17, 2011	**A**	**APPENDIX C – ISO Country Codes** ADDED: SS South Sudan
Version 1.0 July 1, 2011	**U**	**APPENDIX E – Commodity Filing Export Information Codes and Reporting Guidelines** UPDATED: Made update to Table A EIC "ZD" description.
Version 1.0 July 1, 2011	**A** **D**	**APPENDIX V – HTS Numbers that Cannot Be Reported in AES** ADDED: 1701.99.1025 1701.99.1050 1701.99.5025 1701.99.5050 DELETED: 1701.99.1020 1701.99.1030

Version /Date	Type of Change	Location and Description
		1701.99.5020 1701.99.5030
Version 1.0 June 16, 2011	**A**	**APPENDIX F – LICENSE AND LICENSE EXEMPTION TYPE CODES** ADDED: C59 – Strategic Trade Authorization (STA) allows an exception to export specific controlled items to certain countries that would otherwise require a license because of CCL-based license requirements.
Version 1.0 June 14, 2011	**A** **U**	**APPENDIX F – LICENSE AND LICENSE EXEMPTION TYPE CODES** ADDED: Export License Number 'S000036' to License Code 'C31' UPDATED: Made update to Table F (Department of Energy/National Nuclear Security Administration License Type Code "E01") description.
Version 1.0 June 5, 2011	**A**	**APPENDIX F – LICENSE AND LICENSE EXEMPTION TYPE CODES** ADDED: Table F - Department of Energy/National Nuclear Security Administration License Type Code "E01."
Version 1.0 June 3, 2011	**D**	**APPENDIX F – LICENSE AND LICENSE EXEMPTION TYPE CODES** Deleted: C59 – Strategic Trade Authorization (STA) allows an exception to export specific controlled items to certain countries that would otherwise require a license because of CCL-based license requirements.
Version 1.0 April 25, 2011	**A**	**APPENDIX F – LICENSE AND LICENSE EXEMPTION TYPE CODES** ADDED: C59 – Strategic Trade Authorization (STA) allows an exception to export specific controlled items to certain countries that would otherwise require a license because of CCL-based license requirements.
Version 1.0 May 12, 2011	**C**	**APPENDIX D – EXPORT PORT CODES** MOT change: 1703 Added RAIL as acceptable Method of Transportation 1703 Added ROAD as acceptable Method of Transportation 1501 Added AIR as acceptable Method of Transportation 2015 Deleted VESSEL as acceptable Method of Transportation 2104 Added AIR as acceptable Method of Transportation 2302 Deleted RAIL as acceptable Method of Transportation 2305 Deleted RAIL as acceptable Method of Transportation 2307 Deleted RAIL as acceptable Method of Transportation 2309 Deleted RAIL as acceptable Method of Transportation 2310 Deleted RAIL as acceptable Method of Transportation 2408 Deleted RAIL as acceptable Method of Transportation

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		2601 Deleted RAIL as acceptable Method of Transportation 2602 Deleted RAIL as acceptable Method of Transportation 2603 Deleted RAIL as acceptable Method of Transportation 2604 Deleted AIR as acceptable Method of Transportation 2606 Deleted RAIL as acceptable Method of Transportation 2608 Deleted RAIL as acceptable Method of Transportation 3002 Added AIR as acceptable Method of Transportation 3003 Added AIR as acceptable Method of Transportation 3007 Added AIR as acceptable Method of Transportation 3008 Added AIR as acceptable Method of Transportation 3011 Deleted RAIL as acceptable Method of Transportation 3012 Deleted RAIL as acceptable Method of Transportation 3013 Deleted RAIL as acceptable Method of Transportation 3016 Added AIR as acceptable Method of Transportation 3019 Added AIR as acceptable Method of Transportation 3019 Deleted RAIL as acceptable Method of Transportation 3020 Deleted RAIL as acceptable Method of Transportation 3025 Deleted RAIL as acceptable Method of Transportation 3103 Added AIR as acceptable Method of Transportation 3104 Added AIR as acceptable Method of Transportation 3104 Deleted RAIL as acceptable Method of Transportation 3105 Added AIR as acceptable Method of Transportation 3106 Added AIR as acceptable Method of Transportation 3106 Deleted RAIL as acceptable Method of Transportation 3115 Added AIR as acceptable Method of Transportation 3301 Deleted RAIL as acceptable Method of Transportation 3303 Added RAIL as acceptable Method of Transportation 3306 Deleted RAIL as acceptable Method of Transportation 3308 Deleted RAIL as acceptable Method of Transportation 3309 Deleted RAIL as acceptable Method of Transportation 3312 Deleted RAIL as acceptable Method of Transportation 3317 Deleted RAIL as acceptable Method of Transportation 3318 Deleted RAIL as acceptable Method of Transportation 3323 Deleted RAIL as acceptable Method of Transportation 3423 Deleted VESSEL as acceptable Method of Transportation 3424 Deleted VESSEL as acceptable Method of Transportation 3424 Deleted RAIL as acceptable Method of Transportation 3425 Deleted RAIL as acceptable Method of Transportation 3426 Deleted RAIL as acceptable Method of Transportation 3512 Added RAIL as acceptable Method of Transportation 3604 Added AIR as acceptable Method of Transportation 3613 Deleted RAIL as acceptable Method of Transportation
Verison 1.0 April 7, 2011	 **D** **A**	**APPENDIX C – ISO Country Codes** DELETED: AN Netherlands Antilles ADDED: CW Curacao SX Sint Maarten
Version 1.0 April 19, 2011	**C**	**Change requested by Cheryl Bannister.**

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		Changes pertain to replacing "SED" with "EEI" throughout AES Website. See Artifacts (email with requested changes and files) in Dimensions under WR108 dated 4/15/11.
Version 1.0 April 11, 2011	 **C** **A**	**APPENDIX D – Export Port Codes** CHANGED: 4773 Emery Worldwide to MICOM ADDED: "FIXED" as a valid MOT for 3802
Version 1.0 March 3, 2011	**A**	**APPENDIX A – Commodity Filing Response Messages** Response Code 5C1 – DDTC LICENSE SUSPENDED FOR COUNTRY
Version 1.0 February 1, 2011	 **D** **A**	**APPENDIX C – ISO Country Codes** DELETED: TP East Timor ADDED: TL Timor-Leste
Version 1.0 January 25, 2011	 **A**	**APPENDIX V – HTS Numbers that Cannot Be Reported in AES** Appendix V updated (2011 updates) ADDED: 0701.90.5045 0701.90.5055 0701.90.5065 0702.00.2010 0702.00.2035 0702.00.2045 0702.00.2065 0702.00.2099 0702.00.4010 0702.00.4035 0702.00.4046 0702.00.4065 0702.00.4098 0702.00.6010 0702.00.6035 0702.00.6045 0702.00.6065 0702.00.6099 0703.10.2000 0704.10.2000 0704.10.4000 0704.10.6000 0704.90.4020 0705.11.2000 0705.11.4000 0705.19.2000 0705.19.4000 0706.10.0500 0706.10.1000

Version /Date	Type of Change	Location and Description
		0706.10.2000 0709.40.2000 0709.40.4000 0709.40.6000 0709.60.2010 0709.60.2090 0709.60.4055 0709.60.4095 0709.70.0000 0805.10.0040 0805.50.2000 0806.10.2000 0806.10.4000 0806.10.6000 0809.20.0000 0810.10.2000 0810.10.4000 1006.30.9015 2103.20.4020 2103.20.4040 7401000000
	D	DELETED: 7404.10.0000
Version 1.0 December 14, 2010	**A**	**APPENDIX D – Export Port Code** The following Export Port Codes were added to the Production and Education Regions of the AES Mainframe: 5296 DHL Worldwide Express, Miami, FL 1880 Naples Municipal User Fee Airport
	D	The following Export Codes were deactivated in the Production and Education Regions of the AES Mainframe: 1506 Reidsville, NC 3124 Pelican, AK 3127 Kodiak, AK 3181 St. Paul, AK 3319 Morgan, MT 3429 Crane Lake, MN 5271 DHL, MIAMI, FL
Version 1.0 September 17, 2010	**C**	**APPENDIX E – Commodity Filing Export Information Codes and Reporting Guidelines** The following 15 CFR references have been updated: GS – added 15 CFR 30.40, deleted 15 CFR 30.53 MS - added 15 CFR 30.39, deleted 15 CFR 30.52 HH - added 15 CFR 30.37(b), deleted 15 CFR 30.56 HV - added 15 CFR 30.37(b), deleted 15 CFR 30.56(a3) UG - added 15 CFR 30.37(h), deleted 15 CFR 30.55(g)

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		LC/LV - added 15 CFR 30.37(a), deleted 15 CFR 30.55(h) DP - added 15 CFR 30.37(i), deleted 15 CFR 30.55(a) HR - added 15 CFR 30.37(j), deleted 15 CFR 30.55(b) IC - added 15 CFR 30.37(k), deleted 15 CFR 30.55(I) SC - added 15 CFR 30.26(b), deleted 15 CFR 30.33(a) SR - added 15 CFR 30.37(m), deleted 15 CFR 30.56(c) SS - added 15 CFR 30.37(m), deleted 15 CFR 30.56
Version 1.0 September 17, 2010	**A**	**APPENDIX D – Export Port Code** The following Export Port Codes were added to the Education Region of the AES Mainframe: 2792 3883 1889 2383 1681 The following Export Port Codes were deactivated in the Education and Foreign Port Region of the AES Mainframe: 3481 3614 4181 4503
Version 1.0 September 10, 2010	**D** **A**	**APPENDIX D – Export Port Code** Deactivated: 2816 Sacramento, CA 2831 Suisun Bay, CA Added Vessel and Road MOT: 2835 Sacramento Int'l Airport, CA
Version 1.0 August 17, 2010	**C**	**APPENDIX U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting** Cars and Other Motor Vehicles: 8703.10.1000, 8703.10.5030, 8703.10.5060 Heavy Lifting & Construction: 8426.41.0005
Version 1.0 August 2, 2010	**A**	**APPENDIX D – Export Port Code** Added: 3971 TNT Express Consignment, Chicago, IL Removed Air MOT: 2704 Los Angeles, CA 2709 Long Beach, CA
Version 1.0 July 14, 2010	**A**	**APPENDIX A – Commodity Filing Response Messages** Response Code 856 – IMPROBABLE ISO
Version 1.0	**A**	**APPENDIX U – HTS/Schedule B Classifications Requiring Used Vehicle**

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
EFFECTIVE June 1, 2010		**Reporting** Added:

Cars and Other Motor Vehicles	Tractors	Heavy Lifting & Construction	Heavy Lifting & Construction	Agricultur Machiner
8703.23.0020	8701.20.0015	8426.41.0050	8429.52.1040	8433.11.0
8703.23.0022	8701.20.0045	8427.10.4000	**8429.52.1050**	8433.11.0
8703.23.0024	8701.30.0015	8427.10.8010	8429.52.5010	8433.11.0
8703.23.0026	8701.30.0030	8427.10.8060	**8429.52.5090**	8433.11.0
8703.23.0028	8701.30.0045	8427.10.8090	8429.59.1030	8433.19.0
8703.23.0032	8701.30.0060	8427.20.4000	8429.59.1060	8433.19.0
8703.23.0034	8701.30.0075	8427.20.8020	**8429.59.1090**	8433.19.0
8703.23.0036	8701.30.1015	8427.20.8040	8429.59.5020	8433.20.0
8703.23.0038	8701.30.1030	8427.90.0020	8429.59.5040	8433.30.0
8703.23.0042	8701.30.1045	8427.90.0040	8429.59.5060	8433.40.0
8703.23.0044	8701.30.1060	8429.11.0010	**8429.59.5080**	8433.51.0
8703.23.0046	8701.30.1075	**8429.11.0090**	8430.10.0000	8433.52.0
8703.23.0048	**8701.30.1090**	8429.19.0010	8430.20.0030	8433.53.0
8703.23.0052	8701.30.5015	**8429.19.0090**	8430.20.0060	8433.59.0
8703.23.0060	8701.30.5030	8429.20.0000	8430.20.0090	8433.59.0
8703.23.0062	8701.30.5045	8429.30.0020	8430.31.0000	
8703.23.0064	8701.30.5060	8429.30.0040	8430.31.0040	
8703.23.0066	8701.30.5075	**8429.30.0060**	8430.31.0080	
8703.23.0068	8701.90.1005	8429.40.0020	8430.41.0000	
8703.23.0072	8701.90.1010	8429.40.0040	8430.50.0000	
8703.23.0074	8701.90.1015	**8429.40.0060**	8430.50.1000	
8703.23.0075	8701.90.1030	8429.51.1005	8430.50.5000	
8703.23.0076	8701.90.1035	8429.51.1015		
8703.23.0078	8701.90.1040	8429.51.1025		
8703.24.0032	8701.90.1045	8429.51.1030		
8703.24.0034	8701.90.1050	8429.51.1035		
8703.24.0036	8701.90.1055	8429.51.1040		
8703.24.0038	8701.90.1060	8429.51.1045		
8703.24.0042	8701.90.1065	8429.51.1050		
8703.24.0050	8701.90.1070	8429.51.1055		
8703.24.0052		8429.51.1060		
8703.24.0054		**8429.51.1065**		
8703.24.0056		8429.51.5010		
8703.24.0058		8429.51.5020		
8703.24.0060		8429.51.5030		
8703.24.0062		8429.51.5040		
8703.24.0064		8429.51.5050		
8703.24.0066		**8429.51.5060**		
8703.24.0068		8429.52.1010		
8703.24.0075		8429.52.1020		
8703.32.0010		8429.52.1030		
8703.33.0045				

Version 1.0		**APPENDIX V – HTS Numbers that Cannot Be Reported in AES**

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
January 5, 2010	**A**	Added: 9303.30.8005
Version 1.0 January 4, 2010	**D** **A**	**APPENDIX D – Export Port Code** Deactivated: 4181 Airborne Air Park 4194 DHL Express 3481 Hector International Airport 2785 March Inland Airport, Riverside, CA 2881 Sacramento International User Fee Airport Added: 3883 Capital Region International Airport, MI
Version 1.0 December 28, 2009	**C**	**Changed LOI to update phone numbers and address to read:** Phone: 571-468-5500 FAX: 571-468-5538 Address: U.S. Customs and Border Protection Attn: Beauregard Client Reps 7681 Boston Blvd Springfield, VA 20598
Version 1.0 December 15, 2009	**C** **C**	**APPENDIX F - License and License Exemption Type Codes and Reporting Guidelines** ECCN changes: C35 – add 1D008 and C38 - delete 4D003 **AESTIR Part IV – AES Downtime Guidelines** The AES Downtime Guidelines have been updated.
Version 1.0 December 2, 2009	**C**	**APPENDIX F - License and License Exemption Type Codes and Reporting Guidelines** ECCN Information updated to include missing ECCN numbers (C36 – 3C005 and 3C006; C37 – 4A003, 3C005, 3C006)
Version 1.0 October 19, 2009	**C**	**AESTIR Part IV – AES Downtime Guidelines** The AES Downtime Guidelines have been updated.
Version 1.0 September 2, 2009 **(EFFECTIVE September 4, 2009)**	**A**	**APPENDIX F - License and License Exemption Type Codes and Reporting Guidelines** Added License Code C58 - Free Exchange of Information allows export and re-export of consumer products related to communications and exchange of information to Cuba
Version 1.0 September 2, 2009 **(EFFECTIVE October 1, 2009)**	**C**	**APPENDIX F - License and License Exemption Type Codes and Reporting Guidelines** Information has been updated to reflect BIS new edits on ECCNs, Special

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		Comprehensive Licenses, and Certain License Exceptions
Version 1.0 July 23, 2009	**A**	**APPENDIX D – Export Port Code** Port reactivated: 4197 DHL Cincinnati, OH **APPENDIX V – HTS Numbers that Cannot Be Reported in AES** Appendix V updated ADDED: 1701.99.1020 1701.99.1030 1701.99.5020 1701.99.5030 8411.91.9081 8411.91.9085 DELETED: 1701.99.1090 1701.99.5090 8411.91.9080 9303.30.8005
	A

Version /Date	Type of Change	Location and Description
	C	**Letter of Intent links** References to Option 4 have been removed from the following links: http://cbp.gov/xp/cgov/trade/automated/aes/letter_intent/register.xml http://cbp.gov/xp/cgov/trade/automated/aes/letter_intent/form_commodity_data.xml
Version 1.0 October 22, 2008	A	**APPENDIX D – Export Port Code** ADDED: 2383 Valley International Airport, TX 2792 DHL-HUB Riverside, CA
	C	MOT change: 2006 Deleted VESSEL as acceptable Method of Transportation 4503 Deleted VESSEL as acceptable Method of Transportation **APPENDIX V – HTS Numbers that Cannot Be Reported in AES** Appendix V updated
	A	ADDED: 0713.39.2070 0713.39.4070 2008.19.9090 2401.10.9510 2401.10.9560 2401.20.0500 2401.20.1800 2907.19.6100 2916.36.0000 2921.19.1100 2934.30.5000 7211.23.3000 7211.23.4500 7211.23.6030 7211.23.6060 7211.23.6075 7211.23.6085 8527.99.1500
	D	DELETED: 1005.90.4040 8527.99.2010 8527.99.2020 8527.99.2030 8803.10.0015 8803.10.0030 8803.10.0060 8803.20.0015 8803.20.0030 8803.20.0060 8803.30.0015

Version /Date	Type of Change	Location and Description
		8803.30.0030 8803.30.0060 8803.90.9015 8803.90.9030 8803.90.9060
Version 1.0 September 30, 2008 (effective date)	C C C C C

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
September 30, 2008		Information has been revised pertaining to the reuse of shipment reference numbers. The shipment reference number must remain unique, as stated in FTR Letter No. 2 published on September 26, 2008.
Version 1.0 August 18, 2008	**C**	**APPENDIX R – Exemption Legends** Revisions were made to the exemption legends to reflect the amended Foreign Trade Regulations requiring the mandatory filing of export information through the AES or AES*Direct.*
Version 1.0 August 13, 2008	**A**	**APPENDIX B – Transportation Filing Response Messages** ADDED: Response Code 693 COUNTRY OF ULT DESTINATION OUTDATED
Version 1.0 July 24, 2008	**C**	X.12 824 GS03 change: Current description says: **M** **GS03** **124** **Application Receiver's Code** Code identifying party receiving transmission partners Same Filer ID as in element ISA08. But should read: **M** **GS03** **124** **Application Receiver's Code** Code identifying party receiving transmission partners Same Transmitter ID as in element ISA02.
Version 1.0 July 23, 2008	**C**	**Part II – AES Record Formats, Section 3** Below the headings for Party Profile/Address/Phone (N02) and Party Profile City/State? Country (N03) Record, a statement has been added which reads, "If the Party ID and Party ID Type do not exist in AES or are not provided, this record is required to be sent." **309 CBP Manifest (Post Departure)** Usage changed from Optional to Conditional. Notes added, "If the Party ID and Party ID type do not exist in AES or are not provided, this record is required to be sent."
Version 1.0 June 26, 2008	**C**	**AESTIR** The AESTIR is being updated to reflect the amended Foreign Trade Regulations requiring the mandatory filing of export information through the AES or AES*Direct.*
Version 1.0 June 3, 2008	**C**	**APPENDIX F - License and License Exemption Type Codes and Reporting Guidelines** Revisions made to License codes C54, C55, C56. Allowed Export Info Codes should read All, except IW.
Version 1.0 April 23, 2008	**C**	**APPENDIX F - License and License Exemption Type Codes and Reporting Guidelines**

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		The ECCN has been changed from Allowed to Mandatory for the following License codes. C38-TSR, C41-RPL, C42-GOV, C43-GFT, C44-TSU, C45-BAG, C46-AVS, C47-APR C48-KMI, C49-TAPS, and C50-ENC
Version 1.0 April 14, 2008	**A**	**APPENDIX A – Commodity Filing Response Messages** Added a statement to Response Code: 855 that the error would be generated only if the mode of transportation is vessel.
Version 1.0 March 20, 2008	**A**	**APPENDIX A – Commodity Filing Response Messages** Added a statement to the end of Response Code: 139, pertaining to Shipments destined to International Waters **APPENDIX E – Commodity Filing Export Information Codes and Reporting Guidelines** EIC Code 'IW' added **APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** Allowed Export Info Code 'IW' added to License Codes C30, C32 and C33.
Version 1.0 February 19, 2008	**D** **A**	**APPENDIX D – Export Port Code** DELETED: 2082 Tri-City User Fee Airport, Blountville, TN ADDED: 0481 L.G. Hanscom Field, Bedford, MA 2027 Tri-Cities Airport, Blountville, TN
Version 1.0 December 17, 2007	**C**	**APPENDIX D – Export Port Code** 1104 Pittsburg, PA Deleted Vessel as acceptable Method of Transportation
Version 1.0 October 10, 2007	**C**	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** CHANGED: Expanded License Code C57 (VEU) to include India
Version 1.0 October 4, 2007	**A**	**APPENDIX B – Transportation Filing Response Messages** ADDED: Response Code 689 F BOL/BOOKING VOYAGE NAME MISMATCH Response Code 690 F BOL/BOOKING VOYAGE NUMBER MISMATCH Response Code 691 F BOL/BOOKING PORT CODE MISMATCH Response Code 692 F BOL/BOOKING CARRIER SCAC MISMATCH

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
Version 1.0 September 4, 2007	**A**	**APPENDIX A – Commodity Filing Response Messages** ADDED: Response Code 671 KPC NBR NOT REQ FOR CNTY CODE
Version 1.0 August 8, 2007	**A**	**APPENDIX D – Export Port Code** ADDED: 1888 Orlando Executive Airport, FL
Version 1.0 June 11, 2007	**D** **A**	**APPENDIX D – Export Port Code** DELETED: 2707 Port San Luis Harbor, CA **APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** Added License Code C57 – Authorization for Validated End-User for Certain Authorized Exports and Reexports of Commerce Control List items to the People's Republic of China.
Version 1.0 April 26, 2007	**A** **C** **D**	**APPENDIX D – Export Port Code** ADDED: 2785 March Inland Airport, Riverside, CA 2786 Meadows Field Airport, Bakersfield, CA 4581 Midamerican Airport, Mascoutah, IL CHANGED: 0131 Portsmouth, NH Added AIR as acceptable Method of Transportation **Part IV Section 5. Action – Downtime Of 1 To 7 Calendar Days** Deleted second portion of paragraph under #6 State Department licenses and license exemptions.
Version 1.0 March 26, 2007	**A**	**Part IV Section 5. Action – Downtime of 1 to 7 Calendar Days** Added Sections 5A7 (Licensed Shipments) and 5A8 (Items of the Commerce Control List).
Version 1.0 March 22, 2007	**C**	**APPENDIX D – Export Port Code** CHANGED: 1703 Savannah, GA Added AIR as acceptable Method of Transportation
Version 1.0 March 1, 2007	**C**	**APPENDIX D – Export Port Code** CHANGED: 1803 Jacksonville, FL Added AIR as acceptable Method of Transportation
Version 1.0 February 5, 2007		**APPENDIX V – HTS Numbers that Cannot be Reported in AES** Updated for February 2007 as follows:

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
	A	ADDED: 0303.79.0064 0303.79.0079 1209.29.9179 2401.20.8310 2401.20.8320 2826.19.9000 7401.00.0000 8525.50.7010 8525.50.7050 8525.60.1030 8525.60.1050 8527.99.2010 8527.99.2020 8527.99.2030 8803.20.0060 8803.30.0060
	D	DELETED: 0303.79.4070 0303.79.4097 1209.29.9079 4407.91.0022 4407.91.0063 4407.92.0000 4407.99.0005 4407.99.0011 4407.99.0013 4407.99.0019 4407.99.0022 4407.99.0042 4407.99.0052 4407.99.0059 4407.99.0061 4407.99.0063 4407.99.0072 4408.90.0105 4408.90.0110 4408.90.0115 4408.90.0121 4408.90.0131 4408.90.0137 4408.90.0145 4408.90.0151 4408.90.0156 4408.90.0161 4408.90.0166 4408.90.0171 4408.90.0176 4408.90.0181 4408.90.0187 4408.90.0195 8525.10.7025 8525.10.7045

Version /Date	Type of Change	Location and Description
		8525.10.7065 8525.10.7085 8525.10.7090 8525.10.9025 8525.10.9045 8525.10.9065 8525.10.9085 8525.10.9090 8525.20.3010 8525.20.3015 8525.20.3025 8525.20.3065 8525.20.3070 8525.20.3080 8527.90.9530 8527.90.9540 8527.90.9550 8527.90.9560
Version 1.0 January 18, 2007	**A**	**APPENDIX D – Export Port Code** ADDED: 2835 Sacramento International Airport
Version 1.0 December 18, 2006	 **D** **A** **A** **C**	**APPENDIX C – ISO Country Codes** Serbia and Montenegro (CS) (effective 1/1/07) Serbia (RS) (effective 1/1/07) Montenegro (ME) (effective 1/1/07) **APPENDIX D – Export Port Codes** Name changed: 2881 – Sacramento International User Fee Airport - Changed name from Sacramento International Airport
Version 1.0 October 24, 2006	**D**	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** C52 United States Persons in Libya (**USPL**) Part 740.19 (Removed)
Version 1.0 October 24, 2006	**A**	**APPENDIX D – Export Port Codes** Updated for September 2006 as follows: ADDED: 3433 Williston Airport, North Dakota 3434 Minot Airport, North Dakota 2791 DHL-HUB Los Angeles, CA CHANGED: 0906 Syracuse NY, Added AIR as acceptable Method of Transportation
Version 1.0 July 27, 2006	**A**	**APPENDIX V - HTS Numbers that Cannot Be Reported in AES** Updated for July 2006 as follows: ADDED: 2401.10.6560 2716.00.0000 4407.91.0022

Version /Date	Type of Change	Location and Description
		4407.91.0063 4407.92.0000 4407.99.0005 4407.99.0011 4407.99.0013 4407.99.0019 4407.99.0022 4407.99.0042 4407.99.0052 4407.99.0059 4407.99.0061 4407.99.0063 4407.99.0072 4408.90.0105 4408.90.0110 4408.90.0115 4408.90.0121 4408.90.0131 4408.90.0137 4408.90.0145 4408.90.0151 4408.90.0156 4408.90.0161 4408.90.0166 4408.90.0171 4408.90.0176 4408.90.0181 4408.90.0187 4408.90.0195 8803.90.9015
Version 1.0 June 22, 2006		**APPENDIX A – Commodity Filing Response Messages**
	A	Response Code 669 LICENSE CODE CANNOT BE USED FOR ADD
	A	Response Code 670 LICENSE CODE CORRECTION MISMATCH
		APPENDIX D – Export Port Codes
	C	1119 Allentown, Pa added (Lehigh Valley Int'l Airport) to description
	C	1181 Allentown-Bethlehem, Pa added (Easton Airport) to description
	D	1481 New River Valley Airport, VA changed to read:
	A	1412 New River Valley Airport, VA
	D	3402 Noyes, MN (Deactivated effective July 10, 2006)
Version 1.0 June 6, 2006		**APPENDIX A – Commodity Filing Response Messages**
	A	Response Code 057 HEADER FILER ID MUST BE NUMERIC
	A	Response Code 058 TRAILER FILER ID MUST BE NUMERIC
	A	Response Code 059 HEADER USPPI ID MUST BE E, D, S, T
	A	Response Code 060 TRAILER USPPI ID MUST BE E, D, S, T
	A	Response Code 423 USPPI IRS ID MUST BE NUMERIC
	A	Response Code 424 USPPI IRS ID TYPE MUST BE E OR S
	A	Response Code 425 FWRD AGT PARTY ID MUST BE NUMERIC
	A	Response Code 426 FWRD AGT ID TYPE MUST BE E, D OR S
		APPENDIX D – Export Port Codes
	D	4108 Ashtabula, OH (Deactivated)

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
	D D	4109 Conneaut, OH (Deactivated) 4111 Fairport Harbor, OH (Deactivated) Replaced by 4122 Ashtabula/Conneaut, OH
Version 1.0 May 22, 2006	 C C C C D	**APPENDIX D – Export Port Codes** 3005 Bellingham, WA Added AIR as acceptable Method of Transportation 3203 Kahului, HI Added AIR as acceptable Method of Transportation 5101 Charlotte Amalie, VI Added AIR as acceptable Method of Transportation Name changed: 3385 Eagle County Regional Airport - Changed name from Eagle County User Fee Airport The following port is deactivated: 4170 Burlington Air Express, OH (Deactivated)
Version 1.0 May 12, 2006	 C C C C C C C C D D D	**APPENDIX D – Export Port Codes** 0101 Portland, ME Added AIR as acceptable Method of Transportation 1002 Albany, NY Added VESSEL as acceptable Method of Transportation 1101 Philadelphia, PA Added AIR as acceptable Method of Transportation 1103 Wilmington, DE Added AIR as acceptable Method of Transportation 1601 Charleston, SC Added AIR as acceptable Method of Transportation 2301 Brownsville, TX Added FIXED as acceptable Method of Transportation 2604 Nogales, AZ Deleted FIXED as acceptable Method of Transportation 3202 Hilo, HI Added AIR as acceptable Method of Transportation The following ports are not active: 2981 Kingsley Field, OR (Deactivated) 2982 Rogue Valley/Medford, OR (Deactivated) 2991 Federal Express, Portland, OR (Deactivated)
Version 1.0 April 24, 2006	 C A A A A	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** **Table A: Department of Commerce/Bureau of Industry and Security (BIS) License Type Codes.** License Code 39 Computers (CTP) Part 740.7 renamed as License Code C53 Computers (APP) Part 740.7. License Code C53 Computers (APP) Part 740.7 Adjusted Peak Performance (APP) replaces Composite Theoretical Performance (CTP). AES will continue to allow changes/replacements/cancellations of previously accepted shipments filed under License Exception CTP, License Code C39. However, all new shipments made under this license exception must be reported as License Code C53 with Authorization Symbol APP. License Code C54 Short Supply -Western Red Cedar (SS-WRC) Part 754.4 License Code C55 Short Supply -Crude Oil Samples (SS-SAMPLE) Part 754.2

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		License Code C56 Short Supply – Strategic Petroleum Reserves (SS-SPR) Part 754.2
Version 1.0 April 12, 2006	 **C**	**APPENDIX D – Export Port Codes** 2719 Morrow, CA corrected to read 2719 Morro Bay, CA
Version 1.0 March 22, 2006	 **D**	**APPENDIX D – Export Port Codes** 2783 So. Cal. Logistics Airport, CA (Deactivated)
Version 1.0 March 16, 2006	 **A**	**APPENDIX A – Commodity Filing Response Messages** Response Code 645 QUANTITY 2 NOT REQUIRED BY SCHED B/HTS Informational message returned when a value is reported in the second quantity field and the Schedule B/HTS classification does not require a second quantity.
Version 1.0 March 9,2006	 **C**	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** **Table A: Department of Commerce/Bureau of Industry and Security (BIS) License Type Codes.** License Code C33 – Description modified for clarification to include the following: Use C33 and report the ECCN if the commodity is controlled ONLY for Anti-Terrorism.
Version 1.0 March 3, 2006	 **D**	**APPENDIX D – Export Port Codes** 4191 Airborne Express Courier, OH (Deactivated)
Version 1.0 February 1, 2006	 **A**	**APPENDIX A – Commodity Filing Response Messages** Response Code 855 FOREIGN ORIGIN VERSUS IN-TRANSIT Correction to X.12 Segment ID/Data Elements Reads: L1301 Corrected to Read: X109
Version 1.0 January 24, 2006	 **A**	**APPENDIX A – Commodity Filing Response Messages** Response Code 855 FOREIGN ORIGIN VERSUS IN-TRANSIT Verify this is not an in-transit shipment.
Version 1.0 January 13, 2006	 **A** **D** **D** **D**	**APPENDIX V –HTS Numbers that Cannot Be Reported in AES** Updated for January 2006 as follows: ADDED: 0813.40.3000 DELETED: 2401.10.6560 2716.00.0000 8803.90.9015
Version 1.0 January 11, 2006	 **D** **A** **A** **A** **A**	**APPENDIX A – Commodity Filing Response Messages** Response Code 549 CNTY MUST BE CU FOR CUBAN **AGR** EXEMPTN has been removed and included in new Response Code 667 Response Code 666 ECCN MUST BE FROM APPROVED LIST Response Code 667 COUNTRY NOT ALLOWED FOR LICENSE TYPE Response Code 668 EAR99 CANNOT BE REPORTED (Not currently active) **APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** C52 United States Persons in Libya (**USPL**) Part 740.19 Permits the export and re-export to U.S. persons in Libya of certain items listed

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		on the Commerce Control List controlled for anti-terrorism (AT) reasons only.
Version 1.0 December 15, 2005	 **A** **A** **A** **A**	**APPENDIX B – Transportation Filing Response Messages** Fatal Error 133 INVALID EXPORT INFORMATION CODE **APPENDIX D – Export Port Codes** 1887 Leesburg Regional Airport, FL AIR only 3325 Willow Creek, Havre, MT ROAD only 5381 Sugar Land Regional Airport, TX AIR only
Version 1.0 December 5, 2005	 **A** **A**	**APPENDIX D – Export Port Codes** 5273 UPS Miami Airport, FL AIR only 5298 IBC Courier Hub, Miami, FL AIR only
Version 1.0 December 3, 2005	 **A**	**APPENDIX A – Commodity Filing Response Messages** Undetermined Conditions Response Code 996 NON-STANDARD DATA FOUND: -nnnnnn / nn- Informational Response Code 996 will be generated and returned in an ES1 record with Response Code 997, Filing Contains Non-Standard Data, to identify where the first occurrence of non-standard data has been encountered.
Version 1.0 November 22, 2005	 **C**	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** **Table A: Department of Commerce/Bureau of Industry and Security (BIS) License Type Codes.** License Code C32 - Description changed to read: "No License Required (NLR) Part 758. Those items which are covered by entries on the Commerce Control List that have a reason for control other than or in addition to Anti-Terrorism (AT)."
Version 1.0 November 15, 2005	 **D** **D** **C**	**Part 1. AES GENERAL INFORMATION** **Section 3. Participating in AES** **Letter of Intent (LOI) For the Commodity Module** Removed "Look-a-Like Remote to copy" (as provided by vendor) **Letter of Intent (LOI) For the Vessel Transportation Module** Removed "Look-a-Like Remote to copy" (as provided by vendor) Changed mailing address for Vessel Module Letter of Intent to read: Customs and Border Protection Client Representative Branch Attn: Beauregard, A-314 6781 Boston Blvd Springfield, VA 22153 or FAX to: 703-650-3538
Version 1.0 October 26, 2005	 **C**	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** **Table A: Department of Commerce/Bureau of Industry and Security (BIS) License Type Codes.** License Code C32 - Description changed to read: No License Required (NLR), Part 758 Used if NS/Column 2 is one of the reasons for control.

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
Version 1.0 October 21, 2005		**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** **Table A: Department of Commerce/Bureau of Industry and Security (BIS) License Type Codes.**
	C	License Code C32 - Description changed to read "No License Required (NLR), EAR Part 758, requiring ECCN
Version 1.0 October 18, 2005		**Letter of Intent (LOI) Form – Vessel Transportation Data**
	C	Change of Address as follows: Phone 703-650-3500 Fax 703-650-3538 Address: Customs and Border Protection Client Rep Branch Attn: Beauregard, A-314 6781 Boston Blvd Springfield, VA 22153
		APPENDIX D – Export Port Codes The following port codes have been disabled and removed:
	D	3601 Duluth, MN
	D	3602 Ashland, WI
	D	3608 Superior, WI
	D	3903 Omaha, NE
	D	3907 Des Moines, IA
	D	4197 DHL, Cincinnati, OH
	D	5107 St. Croix, VI
		The following port codes have been added:
	A	3510 Duluth, MN – Superior, WI Acceptable MOT: Vessel and Air
	A	3511 Ashland, WI Vessel
	A	3512 Omaha, NE Air
	A	3513 Des Moines, IA Air
	C	5104 Christiansted, VI Added AIR as acceptable MOT
		The following previously disabled port codes have been removed from the Appendix D: 3904 East Chicago, IL - disabled 05/04 3906 Ohara Int'l Airport, IL - disabled 05/04 4182 Rickenbacker Airport, OH - disabled 09/04
Version 1.0 October 1, 2005		**APPENDIX A – Commodity Filing Response Messages**
	C	Response Code 076 USPPI CHANGED POST DEPARTURE Change to allow the USPPI to be corrected post departure if necessary. However, a compliance alert will be generated when the USPPI information is changed post departure.
Version 1.0 September 16, 2005		**Part II Section 1(a)** **Record Layout Key** **Class**
	A	Added text to clarify the acceptability of data values. Characters A through Z (uppercase ONLY)

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		Character found on a standard keyboard are accepted: ! @ # $ % ^ & * ( ) - _ = + [{] } \ | ; : ‘ “ , < . > / ? ` ~ ¢ **Input Record Structure Map** **Transmission Notes**
	A	Added a bullet as follows: Transmit ONLY displayable characters found on a standard keyboard. Do not transmit low-values, carriage return characters, or any other non-standard character.
		Commodity Line Item Reporting
	C	Change shipping weight for AIR shipments from 105,000 kilograms to 120,000 kilograms.
		APPENDIX A – Commodity Filing Response Messages Undetermined Conditions
	A	Response Code 997 FILING CONTAINS NON-STANDARD DATA
Version 1.0 August 15, 2005		**Part II Section 3 – AES Transportation Data Transactions – Proprietary Record Formats** Effective 8/17/2005: Optional Carrier Assigned Number added for Carrier’s use. There is not editing and the number is returned as received. Manifest (M01) Record
	A	Carrier Assigned Number Length/Class: 23 AN Positions: 58-80 Optional
		Part II Section 4 – AES Transportation Data Transactions – X.12 Formats
	A	309 CBP Manifest (Booking) Carrier Assigned Number M1012 Positions: 1/23 AN Optional
	A	309 CBP Manifest (Postdeparture) Carrier Assigned Number M1012 Positions: 1/23 AN Optional
	A	309 CBP Manifest (Receipt of Booking) Carrier Assigned Number M1012 Positions: 1/23 AN Optional
	A	353 CBP Event Advisory Details Carrier Assigned Number M1012 Positions: 1/23 AN Optional
	A	355 CBP Manifest Acceptance/Rejection Carrier Assigned Number M1012 Positions: 1/23 AN Optional
	A	**APPENDIX D – Export Port Codes** 4194 DHL Express, Wilmington, OH Valid for AIR
Version 1.0 July 28, 2005		**APPENDIX V –HTS Numbers that Cannot Be Reported in AES** Updated for July 2005 as follows:
	A	ADDED: 2401.30.2750
	D	DELETED: 0207.14.0020 0207.27.0020 2401.30.2725 8411.99.1080 9027.80.4530

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
Version 1.0 July 12, 2005	 C C C C C	**Part II Section 3 – AES Transportation Data Transactions – Proprietary Record Formats** Manifest (M01) Record Voyage Number Added note: The Voyage Number cannot be reused within one year. If the carrier attempts to reuse the number, AES will reject with fatal condition 687. **Part II Section 4 – AES Transportation Data Transactions – X.12 Formats** 309 CBP Manifest (Booking) M1006 Voyage Number Added note: The Voyage Number cannot be reused within one year. If the carrier attempts to reuse the number, AES will reject with fatal condition 687. **APPENDIX D – Export Port Codes** 3111 Fairbanks, AK Added AIR as acceptable MOT 3429 Crane Lake, MN Truck 3430 Lancaster, MN Truck (Correction to port code and state)
Version 1.0 June 12, 2005	 A A A A	**Part II Section 1 – AES Commodity Data Transaction Proprietary Formats** **Commodity Shipment Response – Usage Notes, Part B – Response to a Proprietary Batch Component** Added text to indicate the USPPI ID and USPPI ID Type for each and every 'block' within a rejected batch would be returned to the filer in an ES1 informational message. The Shipment Reference Number will be returned in an ES1 informational message for each and every shipment within a rejected batch or block. **Commodity Shipment Response – Usage Notes, Part C – Response to a Proprietary Block Component** Added text to indicate the Shipment Reference Number will be returned in an ES1 informational message for each and every shipment within a rejected block. **APPENDIX A – Commodity Filing Response Messages** Response Code 055 USPPI ID/TYPE: - *USPPI ID and ID TYPE –* Response Code 056 SHIPMENT REF NBR: - *Shipment Reference Number -*
Version 1.0 May 16, 2005	 A A	**APPENDIX A – Commodity Filing Response Messages** Response Code 421 ULT CONS DATA ON FILE INCOMPLETE; RESEND Response Code 422 INT CONS DATA ON FILE INCOMPLETE; RESEND
Version 1.0 April 1,2005	 A	**APPENDIX D – Export Port Codes** Port Code 5297 Federal Express, Miami, FL Valid MOT: AIR
Version 1.0 March 31, 2005	 C C C	**The Data Entry Center (DEC) program was eliminated effective April 1, 2005.** **Part 1. AES GENERAL INFORMATION** Section 1. The Automated Export System (AES) Background Commodity data … Removed reference to 'data entry center' Section 2: Electronic Messaging in AES Commodity Data … Removed reference to 'data entry center' Section 5: Using AES How AES Works … Removed reference to 'data entry center' **Kimberley Process Certificate Number required for shipments of rough diamonds effective April 1, 2005.**

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		Part 1. AES GENERAL INFORMATION
		Section 1. The Automated Export System (AES)
	A	Background
		In early 2005, … Added paragraph about rough diamond exports
	A	Commodity Data Filing Options
	A	Option 2 … Added sentence about Kimberley Process Certificate Number
	A	Option 4 … Added restriction for filing rough diamonds
		Section 3. Participating in AES
	C	Electronic commodity data filing using AES is mandatory… Added rough diamonds to the list of shipments that must be filed through AES.
		Section 6. Commodity Data Elements
		Export License Number/CFR Citation/Authorization Symbol/KCP# … Added the Kimberley Process Certificate Number (KCP#) to the name of this element.
		Part II Section 1 – AES Commodity Data Transaction Proprietary Formats
		Part (a) Commodity Shipment Filing and Response
	C	**Input Batch Control Header (Input A Record):**
		Data Entry Center Indicator
		N=Filer is not claiming DEC privileges
		Y=Filer is claiming DEC privileges for shipment filed before April 1, 2005.
	C	3. Census eliminated the Data Entry Center Program effective April 1, 2005. However, an authorized DEC filer can make corrections to shipments filed before the April 1, 2005, cut-off date and still receive DEC-related privileges.
		Input Line Item Commodity Detail (Input CL2Record):
		Renamed data element to include the Kimberley Process Certificate Number
	C	Export License Number/CFR Citation/Authorization Symbol/KCP#
		Commodity Shipment Filing – Usage Notes
	C	a) Grouping Commodity Shipments by USPPI
		Removed the reference to 'or DEC'
		d) Data Entry Center (DEC)
	C	Revised to reflect elimination of DEC filing privileges April 1, 2005.
		e) Establishing a Commodity Shipment
		Mandatory Data Elements in an ADD Transaction
		Renamed data elements to include the KCP# as follows:
	C	Export License Number/CFR Citation/Authorization Symbol/KCP#
	C	h) Party Reporting
	C	Forwarding Agent
		Reporting Requirements:
		A forwarding agent:
		Eliminated references to DEC filing
	C	Removed table (b)
		Renamed table (c) to read (b)
		l) Correcting Commodity Shipment Data
		Mandatory Data Elements in an Replace Transaction
		Renamed data elements to include the KCP# as follows:
	C	Export License Number/CFR Citation/Authorization Symbol/KCP#
		Output Batch Control Header (Output A Record):

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		Data Entry Center Indicator N=Filer is not claiming DEC privileges Y=Filer is claiming DEC privileges for shipment filed before April 1, 2005. 3. Census eliminated the Data Entry Center Program effective April 1, 2005. However, an authorized DEC filer can make corrections to shipments filed before the April 1, 2005, cut-off date and still receive DEC-related privileges.
	C	**Part II Section 1 – AES Commodity Data Transaction Proprietary Formats** Part (b) Commodity Shipment Warning Reminder Line Item Commodity Detail (Output CL2 Record) Renamed data element to include the Kimberley Process Certificate Number as follows: Export License Number/CFR Citation/Authorization Symbol/KPC#
	C	**Part II Section 2 – AES Commodity Data Transaction – X.12 Formats** **601 Shipper's Export Declaration (Commodity Shipment Filing)** BA1 Export Shipment Identifying Information BA107 Notes: Data Entry Center Indicator N=Filer is not claiming DEC privileges Y=Filer is claiming DEC privileges for shipment filed before April 1, 2005. Census eliminated the Data Entry Center Program effective April 1, 2005. However, an authorized DEC filer can make corrections to shipments filed before the April 1, 2005, cut-off date and still receive DEC-related privileges.
	C	
	A	X1 Export License
	D	X102 Export License Number Notes: Renamed to include the Kimberley Process Certificate Number (KPC#)
		APPENDIX A – Commodity Filing Response Messages
	A	**Effective April 1, 2005, the Date Entry Center (DEC) program was eliminated.**
	A	
	A	Response Code 708 DEC PROGRAM ELIMINATED
	A	Response Code 067 DEC CANNOT FILE OPT 4 SHIPMENTS
	A	
	A	**Kimberley Process Certificate Number (KPC#) Must be reported for shipments of rough diamonds (7102.10, 7102.21, 7102.31)**
	A	
		Response Code 659 ECCN MUST BE 'EAR99' OR BLANK Response Code 660 'T12' REQUIRED FOR ROUGH DIAMONDS
	A	Response Code 661 SCHED B/HTS NBR NOT ALLOWED FOR LIC CODE
	A	Response Code 662 KPC NBR MUST BE AT LEAST 4 NUMERICS
	A	Response Code 663 KPC NUMBER CONTAINS NON-NUMERICS
	A	Response Code 664 KPC NUMBER CONTAINS LEADING SPACES
	A	Response Code 665 KPC NUMBER MISSING
	A	
	A	**New validations on postal codes**
	A	Response Code 413 USPPI POSTAL CODE NOT IN EFFECT Response Code 414 USPPI POSTAL CODE NOT IN EFFECT Response Code 415 FWRD AGT POSTAL CODE NOT IN EFFECT Response Code 416 FWRD AGT POSTAL CODE NOT IN EFFECT Response Code 417 ULT CONS POSTAL CODE NOT IN EFFECT Response Code 418 ULT CONS POSTAL CODE NOT IN EFFECT Response Code 419 INT CONS POSTAL CODE NOT IN EFFECT Response Code 420 INT CONS POSTAL CODE NOT IN EFFECT
Version 1.0		**APPENDIX A – Commodity Filing Response Messages**

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
January 25, 2005	**D**	Response Code 645 QUANTITY 2 NOT ALLOWED BY SCHED B/HTS Fatal error removed for this condition **APPENDIX D – Export Port Codes**
	C	Port Code 2015 Vicksburg, MS ADDED: Vessel as acceptable MOT
	C	Port Code 2103 Orange, TX ADDED: Air as acceptable MOT
	C	Port Code 3206 Kailua-Kona, HI ADDED: Vessel as acceptable MOT and changed the name from Keahola Airport, HI to read Kailua-Kona, HI
Version 1.0 January 10, 2005		**Part II Section 1 – AES Commodity Data Transaction Proprietary Formats** **Input DDTC Detail (ODT Record) DDTC Registration Number**
	C	Changed the Length/Class from 6 AN to 6 X to accommodate any special characters used in DDTC Registration Number
	A	**APPENDIX K – Unit of Measure Codes** Added 'PR ' as an acceptable abbreviation for PAIRS
Version 1.0 January 7, 2005		**APPENDIX V –HTS Numbers that Cannot Be Reported in AES** Updated for 2005 as follows:
	A	ADD: 1005.90.4060 7404.00.6020 7404.00.3020 7404.00.6045 7404.00.3045 7404.00.6055 7404.00.3055 7404.00.6065 7404.00.3065 7404.00.6090 7404.00.3090
	D	DELETE: 2710.11.1519 8108.20.0091
Version 1.0 November 17, 2004	**A**	**APPENDIX B – Transportation Filing Response Messages** Response Code 688 Fatal Error CONTAINER NUMBER NOT ALLOWED If the shipment is identified as non-containerized, then a container number is not allowed to be reported.
Version 1.0 October 20, 2004	**C**	**APPENDIX A – Commodity Filing Response Messages** Response Code 152 ENTRY NBR MUST BE AT LEAST 9 CHARS Change from 11 characters to allow 9 character entry number.
Version 1.0 October 7, 2004		**Part II Section 1 – AES Commodity Data Transaction Proprietary Formats** Commodity Shipment Filing – Usage Notes
	C	h) Party Reporting – Intermediate Consignee Input N03 record: State Code Change to allow (but not require) the Mexican State Code to be reported if the Intermediate Consignee = Country Code **MX** (Mexico).
	A	**APPENDIX A – Commodity Filing Response Messages** Response Code 412 INT CONS STATE MUST BE A MX STATE CD
Version 1.0 October 4, 2004	**A**	**APPENDIX A – Commodity Filing Response Messages** Response Code 566 CNTY MUST BE KIMBERLEY PROCESS PRTCPNT
Version 1.0 September 7, 2004	**A**	**APPENDIX A – Commodity Filing Response Messages** FAILURE TO RESPOND TO FATAL CONDITION MESSAGES OR OTHERWISE TRANSMIT CORRECTIONS TO AES CONSTITUTES A VIOLATION OF THE PROVISIONS OF THE FOREIGN TRADE STATISTICAL REGULATIONS.
	A **A**	Response Code 653 DDTC LICENSE DISAPPROVED: <License Code>

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
	A A A A C C C	Response Code 654 DDTC LICENSE SUSPENDED: <License Code> Response Code 655 DDTC LICENSE RETURNED: <License Code> Response Code 656 DDTC LICENSE REVOKED: <License Code> Response Code 657 DDTC LICENSE WITHDRAWN: <License Code> Response Code 658 DDTC LICENSE EXPIRED: <License Code> Text changed to highlight the importance of resolving fatal conditions and retransmitting corrected batches, blocks and shipments. Response Code 960 BATCH REJECTED; RESOLVE AND RETRANSMIT Response Code 965 BLOCK REJECTED; RESOLVE AND RETRANSMIT Response Code 970 SHIPMENT REJECTED; RESOLVE & RETRANSMIT
Version 1.0 September 1, 2004	 C A A D D A	**APPENDIX B – Transportation Filing Response Messages** Response Code 625 FATAL ERR – INVALID BILL OF LADING COUNT Correcting keying error (Read 626, should read 625) **APPENDIX D – Export Port Codes** Port Code 2304 Laredo, TX ADDED: Fixed Transport as acceptable mode of transport. Port Code 3385 Eagle County User Fee Airport Valid MOT = AIR Port Code 4182 Disabled effective 9/1/2004 **APPENDIX V – HTS Numbers that Cannot Be Reported in AES** DELETED: 0304.10.4062 1005.90.4000 1209.29.0079 1701.99.1000 1701.99.5000 ADDED: 1005.90.4040 1209.29.9079 1602.31.0040 1701.99.1010 1701.99.1090 1701.99.5010 1701.99.5090 3901.10.1000
Version 1.0 August 2, 2004	 C	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** Added MS and GS as Export Information Codes allowed for License Code S05
Version 1.0 July 30, 2004	 D A	**APPENDIX A – Commodity Filing Response Messages** Response Code 593 HH GDS NOT PERMITD/DEC FILER Requirement change to allow DEC filer to file household goods shipments. Response Code 651 VEHICLE INFO REQ FOR EI CD If the Export Information Code is declared as 'HV' then the input EV1 record is required.
Version 1.0 July 8, 2004	 C	**Part II Section 3 – AES Transportation Data Transactions – Proprietary Record Formats** Party Profile City/State/Country (N03) Record Description for State, Country and Zip Code modified to reflect the following requirements: State code is required for Shipper and Carrier Customer when Country is US, MX or CA. State is not required for Consignee and Ultimate Consignee. State must be a valid STATE for Shipper, Carrier Customer, Consignee, Ultimate

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		Consignee and Intermediate Consignee when Country is US, MX or CA. Valid ISO Country code is required for Shipper, Carrier Customer, Consignee, Ultimate Consignee and Intermediate Consignee. Postal Code is required for Shipper or Carrier Customer when Country is US. Postal Code is not required for Consignee and Ultimate Consignee. **Part II Section 4 – AES Transportation Data Transaction – X.12 Formats** **309 U.S. Customs Manifest (Booking)**
	C	**309 U.S. Customs Manifest (Manifest)** N4 Geographic Location N402, N403 and N404 descriptions for State, Country and Zip Code modified to reflect the following requirements: State code is required for Shipper and Carrier Customer when Country is US, MX or CA. State is not required for Consignee and Ultimate Consignee. State must be a valid STATE for Shipper, Carrier Customer, Consignee, Ultimate Consignee and Intermediate Consignee when Country is US, MX or CA. Valid ISO Country code is required for Shipper, Carrier Customer, Consignee, Ultimate Consignee and Intermediate Consignee. Postal Code is required for Shipper or Carrier Customer when Country is US. Postal Code is not required for Consignee and Ultimate Consignee.
	D	**APPENDIX A – Commodity Filing Response Messages** Removed Response Code 179 COUNTRY NOT ALLOWED; OPT 4
Version 1.0 June 28, 2004		**Part II Section 2 – AES Commodity Data Transaction – X.12 Formats** **824 Application Advice (Commodity Shipment Filing Response)**
	C	ISA12 corrected typo ‘publication’
	C	ISA16 Changed colon to tilde
	C	**APPENDIX B – Transportation Filing Response Messages** Response Code 655 BOOKING NOT SENT PRIOR TO MANIF Changed from Warning to Fatal. The booking record must be sent prior to the Bill of lading.
	C	**APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines** Change to allow all Modes of Transport, including fixed pipeline shipments, under License Codes C30 and C31.
	C	**Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting (Input EV1 Record)** Added comments to indicate that the nine classifications marked in bold require the EV1 record. The other classifications listed will allow an EV1 record to be reported. If the classification is not one of those on this list, an EV1 record is not allowed to be reported.
Version 1.0 June 10, 2004		**Part II Section 2 – AES Commodity Data Transaction – X.12 Formats** **601 Shipper’s Export Declaration (Commodity Shipment Filing)** **Introduction:** **Notes:**
	A	“Also note that each BA1 loop must be preceded by an ST segment and followed by an SE segment.” **BA1 Export Shipment Identifying Information**

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
	A A	**Notes:** "Each BA1 loop must be preceded by an ST segment and followed by an SE segment." **L13 Commodity Details** **L1302 Commodity Code** Added a reference to "Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting"
Version 1.0 June 2, 2004	A A C A	**Part II Section 1 – AES Commodity Data Transaction Proprietary Formats** **Commodity Shipment Filing – Usage Notes** **f) Reporting Transportation Related Data Elements** Added table for Passenger, Hand-Carried shipments g) Shipments Between the US and Puerto Rico Added tables for Passenger, Hand-Carried shipments from Puerto Rico to the US and for Passenger, Hand-Carried shipments from the US to Puerto Rico **APPENDIX A – Commodity Filing Response Messages** Response Code 137 PORT OF EXPORT NOT ALLOWED FOR MOT Added 'Passenger, Hand-Carried' as an acceptable mode of transport for shipments from Puerto Rico to the US. Response Code 179 COUNTRY NOT ALLOWED; OPT 4 Added to prohibit Option 4 USPPIs from reporting shipments to a proscribed country.
Version 1.0 May 26, 2004	C	**APPENDIX D – Export Port Codes** 0401 Boston, MA ADDED: AIR as an acceptable mode
Version 1.0 May 20, 2004	A	**Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting (Input EV1 Record)** Added references to this new Appendix U in the AES General Information and in the AES Record Formats Section 1 (a) Commodity Shipment Filing and Response
Version 1.0 May 6, 2004	C	**APPENDIX D – Export Port Codes** 0102 Bangor, ME ADDED: AIR as an acceptable mode
Version 1.0 April 30, 2004	A A A C	**Part II Section 1 – AES Commodity Data Transaction Proprietary Formats** **Input SC3 Record/Equipment Number** Added 'no imbedded spaces' to the description **Input SC3 Record/Seal Number** Added 'no imbedded spaces' to the description **Part II Section 2 – AES Commodity Data Transactions – X.12 Formats** Added a reference to refer to "Appendix F – License and License Exemption Type Codes and Reporting Guidelines" **APPENDIX A – Commodity Filing Response Messages** Response Code 263 USPPI IRS NBR NOT ALLOWED This message will occur in X.12, therefore the X.12 Segment ID/Data Elements have been restated as follows: X.12 Segment ID/Data Elements: BA 109; when N103 = 24, 34 or ZZ, and N101 = EX
Version 1.0 April 20, 2004	C C	**Part II Section 1 – AES Commodity Data Transaction Proprietary Formats** **Input N01 Record/Party Name** Changed the Length/Class from 30AN to 30X to accommodate any special characters used in the party name. **Input N02 Record/Address Line 1 and Address Line 2** Changed the Length/Class from 32AN to 32X to accommodate any special

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		characters used in the address lines.
		Input CL1 Record/Commodity Description
	C	Changed the Length/Class from 45AN to 45X to accommodate any special characters used in the description.
		APPENDIX D – Export Port Codes
	D	3904 East Chicago, IN Vessel (Disabled May 1, 2004)
	D	3906 O'Hara IntL Airport Air (Disabled May 1, 2004)
Version 1.0 April 7, 2004	**C**	**Effective Date changed from April 2004 to June 2004**
		Part II Section 1 – AES Commodity Data Transaction Proprietary Formats
	A	**Input CL2 Record/ Export License/CFR Citation/Authorization Symbol** Added a reference to refer to "Appendix F – License and License Exemption Type Codes and Reporting Guidelines"
Version 1.0 March 25,2004		**APPENDIX B – Transportation Filing Response Messages**
		The following messages were inadvertently missing and are being reinstated:
	A	Response Code 009 FATAL ERR – NOT AUTHORIZED TO TRANSMIT
	A	Response Code 684 FATAL ERR - UNMATCHED BOOKING IN A01 AND B02
	A	Response Code 685 FATAL ERR – ESTIMATED DEPARTURE DATE REQUIRED
	A	Response Code 686 FATAL ERR – BOOKING CHANGE/UPDATE NOT ALLOWED
	A	Response Code 687 FATAL ERR – VOYAGE NUMBER MAY NOT BE REUSED FOR ONE YEAR
Version 1.0 March 17, 2004		**APPENDIX A – Commodity Filing Response Messages**
		Response Code 139 PORT OF UNLADING CANNOT BE USED
	C	Correction in the Resolution to include Port of Unlading code '92002'
Version 1.0 February 27, 2004		**APPENDIX A – Commodity Filing Response Messages**
		Correcting wording only for the following:
		Response Code 032 HEADER USPPI ID INELIGIBLE
	C	Resolution: The …must not contain…
		Response Code 175 FLY-AWAY MUST BE MOT = 40
	C	Reason: The Carrier ID…is other than non-containerized Air (MOT 40)
		Reason Text changed for the following:
	C	Response Code 034 HEADER USPPI EIN LOCATION INVALID
	C	Response Code 035 TRAILER USPPI EIN LOCATION INVALID
	C	Response Code 036 HEADER USPPI LOCATN NOT ALLWED FOR TYPE
	C	Response Code 037 TRAILER USPPI LOCATN NOT ALLWED FOR TYPE
	C	Response Code 269 FWRD AGT EIN LOCATION INVALID
	C	Response Code 270 FWRD AGT LOCATION NOT ALLOWED FOR TYPE
	C	Response Code 307 ULT CONS EIN LOCATION INVALID
	C	Response Code 310 ULT CONS LOCATION NOT ALLOWED FOR TYPE
	C	Response Code 367 INT CONS EIN LOCATION INVALID
	C	Response Code 370 INT CONS LOCATION NOT ALLOWED FOR TYPE
		X.12 Segment ID/Data Elements changed for the following because these messages will not occur in X.12:
	C	Response Code 009 FILER ID TYPE/PROFILE CONFLICT
	C	Response Code 229 SOLD EN ROUTE NOT APPLICABLE FOR PARTY
	C	Response Code 230 IRS ID TYPE NOT APPLICABLE FOR PARTY
	C	Response Code 231 IRS ID NBR NOT APPLICABLE FOR PARTY

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
	C C C C C C C C C C C	Response Code232 USPPI MUST MATCH BLOCK USPPI Response Code 258 USPPI IRS ID TYPE MUST BE E OR S Response Code 259 USPPI IRS ID TYPE NOT ALLOWED Response Code 261 USPPI IRS NBR MUST BE NUMERIC Response Code 263 USPPI IRS NBR NOT ALLOWED Response Code 361 ULT CONS CNTCT LAST NAME NOT ALLOWED Response Code 405 INT CONS CNTCT LAST NAME NOT ALLOWED Response Code 505 VALUE OF GOODS CONTAINS NON-NUMERICS Response Code 506 SHPING WGT CONTAINS NON-NUMERICS Response Code 507 QUANTITY (1) CONTAINS NON-NUMERICS Response Code 508 QUANTITY (2) CONTAINS NON-NUMERICS
Version 1.0 February 24, 2004	 C C	**Part 1 AES General Information** Changed 'working days' to read 'calendar days' Page 9 Option 4 allows…no later than ten (10) calendar days from the date of exportation. Page 17 Warning … correction to commodity data within four calendar days.
Version 1.0 February 18, 2004	 C	**APPENDIX A – Commodity Filing Response Messages** **Response Code 177 ORIG TO BE LODGD W/CBP: <License Type/Number>** Reason: The DDTC S05 License has been accepted and the filer is instructed to present the original license to CBP prior to export.
Version 1.0 February 6, 2004	 C C A	**APPENDIX A – Commodity Filing Response Messages** Response Code 074 EXTRANEOUS DATA CANNOT FOLLOW FOR DELETE **X.12 Segment ID/Data Elements: Will not occur in X.12** Response Code 093 EXTRANEOUS DATA CANNOT FOLLOW FOR CANCEL **X.12 Segment ID/Data Elements: Will not occur in X.12** **APPENDIX D – Export Port Codes** 5204 West Palm Beach, FL AIR
Version 1.0 January 7, 2004	 A A A	**APPENDIX V – HTS Numbers that Cannot Be Reported in AES** 1005.90.4000 2710.11.1519 8108.20.0091
Version 1.0 December 12, 2003	 D A A	**APPENDIX E – Commodity Filing Export Information Codes and Reporting Guidelines** Table C: EI Codes No Longer Accepted by AES EIC 'DD' removed Table B: Applicable EI Codes for Optional SED Reporting EIC 'DD' added **APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines**

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
		Add 'DD' to the Allowed Export Info Codes under License Codes C33,C35, C36, C37, C40, C42, and OPA
Version 1.0 November 3, 2003		**Proprietary Record Formats** **Commodity Shipment Filing and Response** Clarified the size of the transmission: Under the Input Record Structure Map Transmission Notes: A single transmission cannot exceed 32,000 80-character images (i.e., 2,560,000 bytes). Under the Output Record Structure Map Transmission Notes: A single returned batch shall not exceed 32,767 80-character images (i.e., 2,621,360 bytes.) Clarified the reporting requirements when reporting party address in Puerto Rico: h) Party Reporting When reporting a party address in Puerto Rico, report 'PR' as the State Code and 'US' as the Country Code. USPPI party reporting table, Forwarding Agent party reporting tables, Ultimate Consignee party reporting tables, Intermediate Consignee reporting party tables. **APPENDIX A – Commodity Filing Response Messages** Response Code 255 USPPI POSTAL CODE UNKNOWN Response Code 296 FWRD AGT POSTAL CODE UNKNOWN Response Code 339 ULT CONS POSTAL CODE UNKNOWN Response Code 399 INT CONS POSTAL CODE UNKNOWN Response Code 408 FWRD AGT PARTY ID REPORTED W/O TYPE Reason and Resolution changed. Response Code 528 VALUE OF GDS MUST BE GT ZERO Narrative Text, Reason and Resolution changed. Response Code 647 LINE NBR CANNOT BE ZERO Response Code 648 MOT NOT ALLOWED FOR HH GDS Response Code 649 QUANTITY 1 CANNOT EXCEED SHPING WGT Response Code 650 QUANTITY 2 CANNOT EXCEED SHPING WGT Response Code 998 UNIDENTIFIED CONDITION: <Condition Code>
	C **A** **A** **C** **D** **D** **D** **D** **C** **C** **A** **A** **A** **A** **A**	
Version 1.0/ October 1, 2003		**Proprietary Record Formats** Commodity Shipment Filing and Response SC2 Record: Moved **Footnote 3** from the Entry Number to the Foreign Trade Zone Identifier. **APPENDIX A – Commodity Filing Response Messages** **Response Code: 178 DOCS TO BE PRVD TO CBP: <License Type/Number> Severity: Informational**
	C **A**	

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
	C	Response Code: 341 ULT CONS MUST BE REPORTED WITHIN 4 DAYS Severity changed from FATAL to WARNING
	C	Response Code: 063 RQSTD SHPMNT ACTN MUST BE A, C, R, OR X Note: Text change only to avoid truncating message.
		Descriptions changed in the following messages to include condition even when the actual transaction is rejected because of some other fatality.
	C	702 LINE ACTIVITY ADD POST DEPARTURE
	C	703 LINE ACTIVITY DELETE POST DEPARTURE
	C	704 LICENSE TYPE CHANGE POST DEPARTURE
	C	705 LICENSE NUMBER CHANGE POST DEPARTURE
	C	706 LICENSABLE VALUE CHANGE POST DEPARTURE
	C	707 USED VEHICLE(S) CHANGE POST DEPARTURE
	D	Response Code: 079 DUPLICATE LINE NBR ENCOUNTERED
	C	Response Code: 150 INBOND CODE UNKNOWN Note: Text change only
		APPENDIX C – ISO Country Codes
	D	Yugoslavia (YU)
	A	Serbia and Montenegro (CS)
		APPENDIX D – Export Port Codes
	A	1002 Albany, NY AIR
	A	4671 Federal Express, Newark, NJ AIR
	A	4770 Federal Express, Jamaica, NY AIR
	A	5107 St. Croix, St. Thomas, VI VESSEL and AIR
	D	1068 Newark FEDEX ECCF, Newark, NJ
	D	1079 Federal Express, Jamaica, NY
	C	2809 San Francisco, CA VESSEL only
		Modified name only:
	C	1195 UPS, Philadelphia, PA
	C	2095 Federal Express, Memphis, TN
	C	2770 DHL, Los Angeles, CA
	C	2795 UPS, Ontario, CA
	C	2870 DHL, San Francisco, CA
	C	2895 Federal Express, Oakland, CA
	C	2991 Federal Express, Portland, OR
	C	3071 UPS, Seattle, WA
	C	3072 DHL, Seattle, WA
	C	3095 UPS, Seattle, WA
	C	3195 Federal Express, Anchorage, AK
	C	3196 UPS, Anchorage, AK

SUMMARY OF CHANGES

Version /Date	Type of Change	Location and Description
	C	3295 UPS, Honolulu Airport, HI
	C	4196 UPS, Louisville, KY
	C	4197 DHL, Cincinnati, OH
	C	4198 Federal Express, Indianapolis, IN
	C	4670 UPS, Newark, NJ
	C	4772 DHL, Jamaica, NY
	C	5271 DHL, Miami, FL
	C	5295 UPS, Miami Intl Airport, FL
		APPENDIX F – License and License Exemption Type Codes
		Correcting a typing error only:
	C	License Code: C47 Export License Nbr/CFR Citation/Authorization Symbol: Report **'APR'**

Change Types: **A** = Add, **C** = Change, **D** = Deletion