CBP Automated Export System
Trade Interface Requirements

Frequently Asked Questions for Filing Electronic Export Information via AES

March 7, 2009
FREQUENTLY ASKED QUESTIONS

FILING OF ELECTRONIC EXPORT INFORMATION VIA THE AUTOMATED EXPORT SYSTEM

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NOTE: ALL UPDATES ARE MARKED IN RED TEXT.
U.S. Customs and Border Protection (CBP) published the Trade Act regulations in the Federal Register on December 5, 2003. The rule requires advance transmission of electronic cargo information to CBP for both arriving and departing cargo. In the Federal Register notice, CBP identified the Automated Export System (AES) as the system for transmission of advance electronic export data for all modes of transportation.

On June 2, 2008, the U.S. Census Bureau published amendments to Title 15, Code of Federal Regulations, Part 30, FTR, mandating the filing of export information through the AES or AESDirect for all shipments where a Shipper’s Export Declaration was previously required. Questions concerning the FTR or the AES should be directed to the Regulations, Outreach and Education Branch, Foreign Trade Division (ROEB), Census Bureau at 800.549.0595, select option 1 for the AES and option 3 for other, regulation-related questions or via email FTDRregs@census.gov.

The purpose of this document is to provide assistance to the trade community in understanding the expectations of CBP concerning the advance electronic cargo information rules for export shipments. Should you have additional questions regarding CBP export enforcement policy that are not included in this document, please submit them electronically to the Headquarters Outbound Programs at HQOutboundEnforcement@dhs.gov. CBP will continue to update the list of questions and answers as issues arise. Please note that the responses to the frequently asked questions (FAQs) are for informational purposes only and are non-binding. Questions relating to specific facts and circumstances of a prospective transaction can be the subject of a ruling request under Part 177 of the CBP regulations. Consequently, please continue to monitor this document for changes and updates.
1. **Enforcement of the Foreign Trade Regulations**

**Question:** What will CBP consider compliance with the new FTR, and describe the intended enforcement procedures?

**Answer:** CBP Officers will be verifying the AES records and related export documentation to determine that the Electronic Export Information (EEI) is properly filed. The CBP Port Directors will determine the appropriate enforcement procedures.

CBP Officers will verify that the Internal Transaction Number (ITN), exemption citation or in-bond number is clearly stated on export documents and provided to the carriers within the prescribed timeframes.

- **Vessel Cargo** - If the manifest is required, the filing citation(s) must be reported by the carrier on the manifest (CBP Form 1302A). For those few carriers filing export manifests via the Automated Export System/Vessel Transportation Module (AES/VTM), the filing citation must be placed in Marks and Numbers data element.

- **Truck Cargo** - Carriers must provide the filing citation(s) to CBP Officers upon request. It is acceptable for these citations to be placed on the bill of lading (freight or pro bill) or other commercial loading document. Drivers must provide documentation that clearly identifies the carrier and all respective filing citations.

- **Air Cargo** (Including Express Couriers) – The filing citation(s) along with the associated air waybill number and shipper/consignee information must be clearly “marked” (and visible) on the air cargo manifest, which must be filed with the general declaration.

- **Rail Cargo** - The filing citation(s) must be reported for rail at the shipment level. Many rail carriers require this information prior to the loading of the goods. The FTR require the filing of the EEI no later than two hours prior to the time the train arrives at the U.S. border to go foreign.
2. Time Frame For Providing The Internal Transaction Number To The Exporting Carrier

**Question:** The CBP regulation, 19 CFR 192.14, states that for vessel cargo, the USPPI, or its authorized agent must transmit and verify system acceptance of export vessel cargo information no later than 24 hours prior to **departure** from the U.S. port where the vessel cargo is to be laden. The Bureau of Census (Census) Foreign Trade Regulation, 15 CFR 30.4(b)(2)(i), states that for vessel cargo, the USPPI, or the authorized agent, shall file the EEI required by 15 CFR 30.6 and provide the filing citation or exemption legend to the exporting carrier 24 hours prior to **loading** cargo on the vessel at the U.S. port where the cargo is laden. With respect to providing the AES ITN to the exporting carrier for all modes of transportation, the CBP regulations at 19 CFR 192.14 state **pre-departure** as the point of reference; however, the Census regulations cite prior to **loading** as the point of reference. What is the appropriate point of reference a carrier must follow to ensure the ITN is provided no later than 24 hours prior to **departure** or **loading**?

**Answer:** For non-U.S. Munitions List (USML) vessel cargo, the USPPI, or its authorized agent, must provide the filing citation or exemption number to the exporting carrier 24 hours prior to the loading of the cargo aboard the vessel, as stated in the Census regulations at 15 CFR 30.4(b)(2)(i). CBP is preparing an amendment to 19 CFR 192.14 that will conform this regulation to the Census regulations at 15 CFR 30.4(b)(2)(i). If the goods are USML articles, they are subject to the International Traffic and Arms Regulations (ITAR) at 22 CFR 123.22.

3. Filing Time Frames for Puerto Rico

**Question:** What is the FTR requirement for advanced filing of EEI through the AES with respect to shipments between the United States and Puerto Rico?

**Answer:** Puerto Rico is exempt from the filing time frames in the FTR. The ITN(s) or exemption citation(s) must be presented to the carrier by the time the shipment arrives at the port of unlading for shipments between the United States and Puerto Rico.

This exemption from the advance filing of the EEI applies only to shipments between the United States and Puerto Rico. Shipments from the United States or Puerto Rico to the U.S. Virgin Islands, or a foreign country, are not exempt and must follow the required time frames as specified in Section 30.4(b)(2). Under the CBP regulations, the U.S. Virgin Islands is not part of the U.S. Customs Territory.

4. Discrepancies
Question: If the information submitted in the AES by the shipper differs from the bill of lading, what document will be referred to as containing the correct shipping information?

Answer: There are situations where the information on the bill of lading, which is a contract of carriage between the shipper and the carrier, and the information provided by the USPPI, or authorized agent, in the AES will differ. The two records are utilized for different purposes. Consequently, the information submitted by the exporter or shipper will be reviewed by CBP and a determination will be made on the appropriate documentation containing the correct shipping information based on which set of information matches the actual shipment.

Question: If there is a discrepancy discovered between the quantity loaded and the quantity declared by the shipper, what is the appropriate procedure to correct the reported information? (In cases of bulk cargo, the actual and the final quantity shipped is only known after completion of loading and in the case of certain types of liquid, gasified and temperature sensitive cargo may not be known until several days after filing).

Answer: If there is a quantity discrepancy, the carrier must report the manifest correction to the CBP Port Director at the port of export. The carrier must also notify the USPPI, or authorized agent, of the discrepancy. The USPPI, or authorized agent, must electronically identify and transmit corrections to the AES for all required fields as soon as the USPPI, or authorized agent, becomes aware of the changes. Depending on how the EEI was transmitted, whether through AESDirect, in-house software or a service center, the USPPI must retrieve the shipment, correct the data and retransmit the EEI.

Question: Is the carrier responsible for discrepancies between the bill of lading and the EEI transmitted in the AES? The carriers do not have knowledge of shipment details filed electronically and do not have access to the information. As such, the carrier relies entirely on information provided by the shipper and eventually the bill of lading as evidence of the shipment.

Answer: Unless acting as the filer or freight forwarder, the carrier is not responsible for verifying the information transmitted by the USPPI in the AES. Therefore, the carrier may reasonably rely upon the information on the bill of lading, unless it has knowledge that the bill of lading information, or a part thereof, is incorrect. That said, ocean carriers filing an electronic manifest must continue to adhere to the requirements set forth at 19 CFR 4.76. Failure to do so may result in the assessment of penalties and liquidated damages.

Question: If part of the cargo is sold, once the conveyance has departed the U.S. for foreign, what are the procedures for amending the information in the Automated Export System (AES)? For example, 50 containers of apples were originally sold to a
company in Japan, however, enroute to Japan, 30 containers were sold to a different company in China.

**Answer:** According to the FTR 30.3(d)(5), it is the responsibility of the USPPI or its authorized agent to promptly file corrections or cancellations to the EEI in accordance with provisions contained in 30.9. FTR section 30.9(a) states that “the USPPI or the authorized filing agent is responsible for electronically transmitting accurate EEI as known at the time of filing in the AES and transmitting any changes to that information as soon as they are known.

Therefore, in the scenario above, the USPPI/authorized agent must correct the shipment going to Japan and create a new EEI for the containers going to China. Note, the filer will receive a compliance alert for a late shipment, however, the shipment should be accepted in AES.

5. **Penalties**

**Question:** Is the carrier subject to a penalty once the USPPI has filed the information in the AES?

**Answer:** The carrier will be subject to fines and penalties if it does not ensure that a shipment has the required AES proof of filing, exemption citation(s) or in-bond number(s) covering all cargo. In addition, the carrier must notify the USPPI, or their authorized agents, of any changes related to the shipment. (See 15 CFR 30.45)

6. **Internal Transaction Number Requirements**

**Question:** What is the relationship between the ITN and the booking, container and bill of lading number?
Noted in the data elements required for the AES filing is that there is no listing for container number or bill of lading number; only the Transportation Reference Number (TRN), which, for vessel shipments, is the booking number. Will one ITN or exemption citation be assigned if the customer is creating several bills of lading under the same booking number?

**Answer:** If all bills of lading under the same booking number are from one USPPI to one ultimate consignee, only one ITN or exemption citation will be generated.

**Question:** If there are several bookings on one bill of lading, would several ITNs or exemption citations be required?

**Answer:** If there are several bookings on one bill of lading, an ITN, exemption citation or in-bond number is required for each shipment as defined in the FTR.
**Question:** Should the ITN listed on the manifest be located on the master air waybill level? What is the requirement for multiple consolidations with several house air waybills?

**Answer:** CBP is responsible for ensuring that the USPPI or authorized agent has provided the filing citations or exemption legends for applicable cargo pending export, to the carrier. For all modes of transport, the filing citation(s) or exemption legends may be stated on the bills of lading, air waybill or other commercial loading document, which, in some cases, are part of the manifest (consist for rail), as long as it is clearly stated on the manifest that the citations are present on the attached bills of lading. Although carriers are not required to prepare a report of all applicable filing citation(s) to CBP, in order to avoid delays in the release of cargo, please ensure that in all instances, the filing citation(s) are clearly visible.

The U. S. Principal Party in Interest, or the authorized agent, is responsible for annotating the bill of lading, air waybill or other commercial loading documents with the proof of filing citations, downtime filing citation or exemption legends. The USPPI or authorized agent, must provide the proof of filing citation or exemption legend to the exporting carrier. The carrier must annotate the proof of filing citation or exemption legend on the carrier’s outbound manifest when required. The carrier is responsible for presenting the appropriate exemption legend or proof of filing citation to the CBP Port Director, at the port of export, as stated in Subpart E of the FTR. The proof of filing citation will identify that the transmitted export information has been accepted.

**Question:** Is a note/insertion required for every master air waybill, such as no document required, for every line if an EEI is not required? Is there a requirement to show the AES file number?

**Answer:** The USPPI is responsible for providing the carrier with the ITN(s), exemption citation(s) or in-bond number(s) for each shipment. The carrier is responsible for preparing the outward CBP cargo declaration and identifying the ITN(s), exemption citation(s) or in-bond number(s) for each shipment. The specific Foreign Trade Regulation section identifying the exemption citation(s) shall be reported by the carrier. The AES filing citations, exemption citations are found in Appendix D of the FTR. Filing procedures and deadlines for presenting these statements are found in sections 30.4(b) through 30.4(d) of the FTR.

**Question:** Is the External Transaction Number (XTN) acceptable as the proof of filing citation?

**Answer:** No. As of October 1, 2008, the XTN will no longer be accepted as the proof of filing citation. The exporting carrier may be subject to penalty action if only the XTN is reported.
7. **Incomplete Manifest Filing/Bulk Exports**

**Question:** For non-automated bonded carriers that submit an incomplete manifest, which does not include the cargo manifest, until 72 hours after departure, what type of documentation is required prior to loading?

**Answer:** If a non-automated carrier is filing an incomplete paper manifest under bond, it generally has 4 days after departure from each port to file the complete manifest information. However, as stated in 15 CFR 30.47(a)(3), the carrier must file prior to departure a list of filing citations and/or exemption legends for export shipments aboard the conveyance. The list of filing citations and/or exemption legends shall be presented to a CBP Officer at the port of exit prior to departure.

**Question:** Is there potential for flexibility with the current timeline requirement for bulk exports? For instance, is it possible to permit carriers to produce the ITNs prior to loading, but not necessarily within the existing 24 hours prior to loading timeframe?

**Answer:** No. However, all exporters, including bulk cargo are permitted to provide estimated cargo information prior to loading. Once the complete cargo information is known, the USPPI, or authorized agent must correct the AES record with the accurate information as per 15 CFR 30.9.

**Question:** For filers reporting their export manifest through the Automated Export Manifest Vessel Transportation Module (AES/VTM), due to the absence of a specific data field, where should the filing citation or exemption legend be placed?

**Answer:** In accordance with 19 CFR 4.76(c)(4), filers utilizing the AES/VTM are required to submit the manifest information electronically via AES within 10 calendar days after the departure of the vessel from each port for each booking loaded on the departed vessel. Currently, there is not an exclusive field for the filing citation or exemption legend. Due to the absence of a specific data field, filers must place the filing citation in Marks and Numbers data element.

**Question:** Is the incomplete manifest filing via AES acceptable for all cargo on board a vessel if the first port of call is a country listed in 19 CFR 4.75, such as China, if the final destination is a country not listed?

**Answer:** A vessel carrier cannot file an incomplete manifest if the **first port of call** is a country listed on the 19 CFR 4.75, regardless of final destination.

8. **Vehicle Export Requirement**

**Question:** With the new Census requirements effective July 2, 2008, is the ITN or proof of filing citation sufficient to clear an automobile that has been pending clearance the required 72 hours or is further documentation required?
Answer: The mandatory AES filing requirements established by the new FTR under Title 15 CFR Part 30 do not affect the document requirements for vehicles intended for export. Exportation of a vehicle will be permitted only upon compliance with the requirements as described in 19 CFR Part 192.

9. Shipments Transported On A Subsequent Conveyance

Question: What are the proper procedures if a shipment, in its entirety, is transported on a subsequent conveyance?

Answer: The exporting carrier may use the original ITN. However, pursuant to 15 CFR 30.45, the carrier must timely notify the USPPI, who is responsible for amending the AES record as required by 15 CFR 30.9.

10. Shipments Transported On An Earlier Conveyance

Question: What are the proper procedures if a shipment, in its entirety, is advanced to an earlier conveyance?

Answer: The exporting carrier may use the original ITN. However, as noted above, the carrier must timely notify the USPPI (USPPI), who is responsible for amending the AES record as per 15 CFR 30.9. The filing time frames found in 15 CFR 30.4(b) must be adhered to. It is imperative that the carrier contact the USPPI before loading the shipment onto an earlier conveyance, since such actions may result in a violation of 15 CFR part 30 by the USPPI, authorized agent, and/or carrier.

11. Split Shipments

Question: What are the proper procedures when a shipment is split by the carrier with part of the shipment remaining on the original conveyance and the remaining part of the shipment exported on a subsequent conveyance?

Answer: According to 15 CFR section 30.28, when a shipment is covered by a single EEI submission and is divided by the exporting carrier at the port of export where the manifest is filed, and part of the shipment is exported on one conveyance and part on another conveyance of the same carrier on the same day, the following procedures shall apply in accordance with the FTR section 30.28(a): (a) The carrier shall deliver the manifest to CBP Port Director with the manifest covering the identifying conveyance information on which the first part of the split shipment is exported and shall make no changes to the EEI. However, the manifest shall show in the “number of packages” column the actual portion of the declared total quantity
being transported and shall carry a notation to indicate “Split Shipment.” All manifests with the notation “Split Shipment” must have identical ITNs.

In accordance with FTR, section 30.28(b) on each subsequent manifest on which any part of a split shipment is exported, a prominent notation “SPLIT SHIPMENT” shall be made on the manifest for identification. On the last shipment, the notation shall read “SPLIT SHIPMENT, FINAL.” Each subsequent manifest covering a part of a split shipment shall also show in the “number of packages” column only the goods carried on that particular conveyance and a reference to the total amount originally declared for export (for example, 5 of 11, or 5/11). Immediately following the line showing the portion of the split shipment carried on that particular conveyance, a notation must be made reflecting the bill of lading number shown in the original EEI and the portions of the originally declared total carried on each previous shipment, together with the number and date of each such previous shipment (for example, bill of lading 123; 1 of 2, shipment 36A, June 6 SPLIT SHIPMENT; 2 of 2, shipment 40X, June 6 SPLIT SHIPMENT, FINAL).

In accordance with FTR, section 30.28(c), since the complete EEI was filed for the entire shipment initially, additional electronic reporting will not be required for these subsequent shipments.

**Question:** What are the procedures when a shipment is split with cargo remaining on the original conveyance and the balance of the cargo advancing to an earlier conveyance?

**Answer:** See Answer to 11A.

**Question:** What are the procedures when a shipment is split with cargo advancing on a new conveyance on a different day?

**Answer:** The existing record must be amended with new quantities and values and a new record created for the cargo on the new conveyance on the new day.

12. **Annotation**

**Question:** If a USPPI presents the exporting carrier with the exemption legend, "Option 4", “No SED”, “AES Opt 4”, or “§30.39” instead of " AES POST (e.g. AESPOST)" is it acceptable for the exporting carrier to report the annotation presented by the USPPI on the manifest?

**Answer:** Yes. The USPPI should report AESPOST, followed by the USPPI’s Employee Identification Number (EIN) or Social Security Number and the estimated date of departure. If the USPPI has authorized an agent to file on their behalf, the filer identification number must be listed after the USPPI’s EIN and before the estimated date of departure. This information is reported to the exporting carrier. However, if the USPPI is an approved postdeparture filer and they have provided the
correct EIN and date of export, the shipment should not be held based on terminology inconsistencies. Examples of valid AES filing citations and exemption citation(s) are found in Appendix D of Part 30 of the FTR.

**Question:** If the USPPI provides the EEI legend without the date, may the exporting carrier report the same on the manifest?

**Answer:** No, the exporting carrier should not accept cargo with an incomplete legend. For example, a post departure citation requires that the USPPI report AESPOST, followed by the USPPI’s EIN or Social Security Number and the estimated date of departure. If the USPPI has authorized an agent to file on their behalf, the filer identification number would be listed after the USPPI’s EIN and before the estimated date of departure. If any of these elements are missing, it is not a complete citation (see question 12. A for more information) and should not be accepted by the carrier. Note, exemption citations do not require a date, for example for low value, the proper citation is No EEI (e.g. NOEEI FTR 30.37(a)).

### 13. Consolidations

**Question:** What are the procedures when a shipment, with an ITN, is consolidated into a shipment without an ITN on the same or different conveyance?

**Answer:** The exporting carrier must not load the cargo on the exporting vessel until the USPPI provides an ITN or exemption statement, post departure filing citation, AES downtime citation or exemption legend for each house air waybill in the consolidated shipment.

**Question:** What are the procedures in a situation when an ocean shipment has received multiple shipping instructions listing multiple consignees in the same container?

**Answer:** The exporting carrier may proceed to load as long as they have an ITN for each shipment from one USPPI to one ultimate consignee.

### 14. Seasonal Agricultural Cargo

**Question:** In the case of seasonal agricultural cargo where refrigerated shipments are packed with new harvest product while the conveyance is being loaded, when must the exporting carrier receive the ITN for the late-arriving harvest product?

**Answer:** The USPPI must present the exporting carrier with the ITN, post departure filing citation, AES downtime citation or exemption legend for predeparture filing no later than the time required by 15 CFR 30.4 for the mode of transportation. If the USPPI does not have the final export information, the USPPI, or the agent, may use
estimates. Once the correct information is known, they must amend the EEI. The carrier may not load the refrigerated containers until the carrier receives the ITN, post-departure filing citations or the exemption citation.

15. **Cargo Declaration (CBPF 1302A)**

**Question:** When and where do ocean carriers report the ITN that was provided by the USPPI?

**Answer:** Unless a voyage meets the conditions in 19 CFR 4.75(c), ocean carriers filing via the AES/VTM, must report the ITN or exemption legend on the electronic manifest filed no later than 10 days after clearance and paper manifest filers report the ITN on the manifest submitted no later than 4 days after clearance.

**Question:** Where must the exporting carrier place the ITN on the manifest?

**Answer:** The exporting carrier shall annotate the manifest so that the ITN or exemption legend is clearly visible as required in 15 CFR 30.7.

CBP is responsible for ensuring that the USPPI or authorized agent has provided the ITN(s), exemption citations or in-bond number(s) on the bill of lading, air waybill, or other commercial loading documents for applicable cargo, at the port of export. For all modes of transport, the filing citation(s) or exemption legends may be stated on the bills of lading which, in some cases, are part of the manifest (consist for rail), as long as it is clearly stated on the manifest that the citations are present on the attached bills of lading, air waybill or other commercial loading documents. Although carriers are not required to prepare a report of all applicable filing citation(s) or exemption legends to CBP, in order to avoid delays in the release of cargo, please ensure that in all instances, the filing citation(s) are clearly visible.

**Question:** Should the exporting carrier accept a shipment that is using an old Foreign Trade Statistical Regulations citation or exemption legend?

**Answer:** No. As of October 1, 2008, the 15 CFR part 30 is in full effect and U.S. Principal Parties In Interest, or their filing agents, must use the new citations and exemption legends found in the 15 CFR part 30.

**Question:** Who is required to file the export ocean manifest with CBP?

**Answer:** The ocean carrier, who issues the bill of lading, is required to provide CBP with a manifest of all bills of lading they have issued for a particular conveyance. For example, an ocean carrier “A” who has a contract with vessel operating ocean carrier “B” may load containers aboard the vessels operated by ocean carrier “B” and must provide, in accordance with regulations in 19 CFR, a manifest to CBP. While Vessel Operating ocean carrier “B” is required to file a manifest for their own bills of lading, it does not file a manifest for bills of lading issued by ocean carrier “A”. In
recognition of contemporary business practice, CBP receives a number of manifests on container vessels, the sum of which account for all bills of lading on a vessel.

16. **Required Electronic Export Information Data Elements**

**Question:** What are the data elements required for shipments transmitted to the AES?

**Answer:** Refer to 15 CFR 30.6 (a) for the mandatory data elements; (b) conditional elements; and (c) optional data elements.

17. **Transportation In-Bond:**

**Question:** Merchandise is presented for entry into the U.S. and is rejected prior to being cleared for importation by CBP. The goods are subsequently exported to the place of origin or another foreign destination. Is the ITN(s) or exemption citation(s) required in the Automated Export System?

**Answer:** No. The merchandise did not enter the commerce of the U.S and as a result, the shipment is not considered an export. An ITN or exemption citation is not required when the merchandise is rejected and has not cleared by CBP for importation into the U.S.

Please note that in all circumstances, merchandise controlled by the ITAR require the submission of an EEI declaration in AES, citing the appropriate license or license exemption. These requirements apply when the merchandise is moving through the United States In-Bond, being exported from either a foreign trade zone or a bonded warehouse, or remains on the vessel or aircraft and has not entered into the commerce of the United States. In this case, the filer may use the Immediate Export or Transportation and Exportation authorization number in lieu of NOEEI 30.37(e).

**Question:** Merchandise enters one port on an in-bond movement, subsequently is placed in a bonded warehouse (or Foreign Trade Zone), and later withdrawn for export. Is a filing citation or exemption legend required in the AES?

**Answer:** Yes. In general, merchandise traveling in-bond on an Immediate Transportation (IT), a Transportation and Exportation (T&E), or Immediate Export (IE) is not required to be filed in the AES. However, in this situation the goods were placed in a warehouse pending export and as a result, a citation must be filed in the AES. By placing the goods in a bonded warehouse or foreign trade zone, there is a break in the in-bond movement and as such, a filing citation or exemption legend is required.

In all circumstances, merchandise controlled by the ITAR require the submission of an EEI declaration in AES, citing the appropriate license or license exemption. These requirements apply when the merchandise is moving through the United States In-
Bond, being exported from either a foreign trade zone or a bonded warehouse or remains on the vessel or aircraft and has not entered into the commerce of the United States. In this case, the filer may use the IE or T&E authorization number in lieu of NOEEI 30.37(e).

**Question:** What are the procedures to close out the In-Bond for export?

**Answer:** For exportation of merchandise traveling In-Bond, CBP must be presented with a CF 7512 (T&E and IE). For automated carriers, the arrival and exportation information related to the In-Bond merchandise must be transmitted to CBP. Note: Exporters are required to maintain proof of exportation and other applicable information for 5 years.

Presentation of the filing citation for merchandise controlled under the ITAR, traveling In-bond or moving from a foreign trade zone or a bonded warehouse, must be clearly visible on the export manifest.

**18. Non Vessel Operating Common Carrier (NVOCC):**

**Question:** Is the NVOCC booking number, TRN and carrier Standard Carrier Alpha Code (SCAC) required to be reported in the AES or is the NVOCC booking number and SCAC code acceptable?

**Answer:** The NVOCC booking number and the corresponding NVOCC SCAC code are required.

**19. Terminology**

**Automated Export System**—The AES is an export information gathering and processing system developed in cooperation with U.S. Customs and Border Protection (CBP), the U.S. Census Bureau, other Federal agencies, and the export community. The AES collects export information electronically from participants approved to use the system.

The AES is the system, including AESDirect, for collecting EEI (or any successor document) from persons exporting goods from the U.S., Puerto Rico (PR), or the U.S. Virgin Islands, between the U.S. and PR, and to the U.S. Virgin Islands from the U.S. or PR.

In accordance with Public Law 106-113, Congress has made the AES the mandatory method to file export information on the Commerce Control List (CCL) and the USML.

Also, as required by the Clean Diamond Act and the Kimberley Process Certificate, the AES is also the mandatory filing method for exports and reexports of rough diamonds classified under Harmonized System subheadings 7102.10, 7102.21, and 7102.31.
Automated Export System, Vessel Transportation Module – An optional automated CBP system used by exporting carriers to file the manifest up to 10 calendar days after the date of clearance.

Bill-of-lading - A document that establishes the terms of a contract between a shipper and a transportation company under which freight is to be moved between specified points for a specified charge. Usually prepared by the authorized agent on forms issued by the carrier, it serves as a document of title, a contract of carriage, and a receipt for goods.

Booking - A reservation made with a carrier for a shipment of goods on a specific voyage, flight, truck, or train.

Electronic Export Information – The electronic export data as filed in the AES. This is the electronic equivalent of the export data formerly collected as Shipper’s Export Declaration (SED) information and now mandated to be filed through the AES or AESDirect.

In-Bond Movement – In-bond movement of merchandise usually takes place as an entry for Immediate Transportation (IT) without appraisal, an entry for Transportation and Exportation (T&E) or an entry for Immediate Export (IE).

Internal Transaction Number - The AES ITN is a unique transaction reference number that the AES generates to assign to a shipment confirming that an EEI transaction was accepted and is on file with the AES. If you do not receive your ITN, please verify that you transmitted the shipment information to the AES and there is no pending fatal error(s). If you have a fatal error, it must be corrected before an ITN will be issued. The ITN is used as the AES proof of filing citation on the commercial documents. The proof of filing citation must include the statement 'AES,' followed by the returned confirmation number or ITN provided by the AES (e.g., AES X20060914000001).

Operating Carrier - The entity operating (through lease, contract, or ownership) the conveyance that may have agreements with other carriers for space aboard the conveyance.

Post Departure Filing or “Option 4” - The privilege granted to approved U.S. Principal Parties in Interest for the EEI to be filed up to 10 calendar days after the date of export. For example, the date the goods are scheduled to cross the U.S. border. Postdeparture filing is only available for approved U.S. Principal Parties In Interest. The moratorium placed on new postdeparture filers in August 2003 will remain in effect pending further review of the program.

Shipment – All goods being sent from one USPPI to one consignee, to a single country of destination, on a single conveyance and on the same day where the value of a single commodity is over $2500 per schedule B Number.

Split Shipment - A shipment booked for export on one carrier, but split by the carrier and sent on two or more carriers of the same carrier on the same day.
**U.S. Principal Party In Interest** - The person or legal entity in the United States that receives the primary benefit, monetary or otherwise, from the export transaction. Generally that person can be the:

- U.S. Seller (wholesaler/distributor) of the merchandise for export.
- U.S. Manufacturer if selling the merchandise for export.
- **U.S. Order Party** – The person in the United States that conducts the direct negotiations or correspondence with the foreign purchaser or ultimate consignee and who, as the result of these negotiations, receives the order for the foreign entity.
- Foreign Entity if in the U.S. when items are purchased or obtained for export. The foreign entity must be listed as the USPPI if located in the U.S. when the items are purchased or obtained for export.