Automated Export System Trade Interface Requirements

Proprietary Formats

July 2019

U.S. Customs and Border Protection

PART II – AES RECORD FORMATS

SECTION 1 – AES Commodity Data Transactions

PROPRIETARY FORMATS

(a)

COMMODITY SHIPMENT FILING AND RESPONSE

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Summary of Changes

Version /Date	Type of Change	Description
Revised July 8, 2019 Effective TBD	**C**	**Made updates to the SC2 record for FTZ expansion per Census request. FTZ can be 7 or 9 positions.**
Revised May 13, 2019	**C**	**Made updates to the wording for US to Puerto Rico shipments per Census request.** **Made updates to the SC2 record for FTZ expansion. FTZ can be 7 or 9 positions.**
Revised August 17, 2018	**C**	**PGA input record – removed all references to FWS as they are not ready for exports yet.**
Revised July 13, 2017	**C**	**PGA input record – alphabetized the PGAs and updated Notes 1 & 2** For AMS, the valid value allowed is **AM1.** For ATF, the valid value allowed is **AT6.** For DEA, the valid value allowed is **DEA** For EPA, the valid value allowed is **EP1.** For FWS, the valid value allowed is **FW7** and **FW8**. For NMFS, the valid values allowed are **NM7**, **NM8** and **NM9**. For TTB, the valid value allowed is **TTB**.
Revised April 25, 2017	**C**	**Making Original ITN Optional**
Revised April 18, 2017 Effective April 27, 2017	**C**	**Updated Appendix A– added new response code 296 – Original ITN NOT FOUND.** **Updated Commodity Format – Proprietary – on the SC2 record, added the Original ITN field (42-56)** **Updated 601 Export Shipment Information (X12) – on the REF segment, REF01 – F8 Original ITN**
Revised April 17, 2017	**C**	**Updated AETIR CBP Proprietary Format PGA text to 74X**
Revised March 7, 2017	**C**	**Updated Appendix Q – FWS eDecs from 14AN to 13AN**
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.**
Revised September 14,	**A**	**Added: New PGA ID and PGA text to accommodate other participating government agencies.**

Version /Date	Type of Change	Description
2016		
Revised August 30, 2016 Effective Date TBD	**C**	**Expanded Export License Number on CL2 record to 14X to accommodate license number for T10 license code.**
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 February 8, 2016	**C**	**Changed Shipment Reference Number on SC1 record from 17AN to 17X per Census request.**
Revised August 27, 2015	**C**	**Eliminated references to DEC filing.**
Version 1.0 Effective date TBD	**A**	**Added:** **New Input PGA Record** **PGA License Required Indicator on the CL1 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 August 14, 2013	**C**	Line Item Commodity Detail (Input CL2 Record). Changed Data Element to Export License Number/ CFR Citation/ Authorization Symbol/KCP#/ACM# from 12AN to 12X
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** **C**	**PART II – AES RECORD FORMATS, SECTION 1 – AES Commodity Data Transactions, PROPRIETARY FORMATS, (a) COMMODITY SHIPMENT FILING AND RESPONSE** **ADDED:** AEI Filing Type to **Input SC1 Record** **CHANGED:** Filing Option Indicator with option 3 (AEI)

Version /Date	Type of Change	Description
		NOTE: ***A limited number of USPPI's will be approved for participation in the pilot.***
Version 1.0 EFFECTIVE October 3, 2014	**A** **C**	**ADDED:** Ultimate Consignee Type to **Input N03 Record** License Value to **Input CL1 Record** **New Input PGA Record** **CHANGED:** Foreign Trade Zone Identifier in **Input SC2 Record** **K) Used Vehicle Reporting** ALL used self-propelled vehicle detail record (EV1) information MUST be reported for all shipments regardless of value and destination.
Version 1.0 February 22, 2012	**C**	Line Item Commodity Detail (Input CL2 Record). Changed 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 September 2, 2009	**C** **C** **C** **C** **C** **C**	**Batch Control Header (Input A Record)** 4. The Census Bureau has eliminated the acceptance of SSN on any new filings effective December 3, 2009 Corrections (change, replace or cancel) to shipments filed with SSN prior to the effective date will continue to be accepted. **Batch Control Header (Input B Record)** 5. The Census Bureau has eliminated the acceptance of SSN on any new filings effective December 3, 2009 Corrections (change, replace or cancel) to shipments filed with SSN prior to the effective date will continue to be accepted. **Block Control Trailer (Input Y Record)** On the Y-Record it is <u>recommended</u> that **rather** than listing all types of USPPI ID Type value, all existing values should be removed. This would be consistent with the approach taken on the Z-Record. **Party Header (Input N01 Record)** 3. The Census Bureau has eliminated the acceptance of SSN on any new filings effective December 3, 2009 Corrections (change, replace or cancel) to shipments filed with SSN prior to the effective date will continue to be accepted. **Party Address - Continuation (Input N03 Record)** 3. The Census Bureau has eliminated the acceptance of SSN on any new filings effective December 3, 2009 Corrections (change, replace or cancel) to shipments filed with SSN prior to the effective date will continue to be accepted. **h) Party Reporting –** **US Principal Party in Interest.** o When the Party ID Type is **D** (DUNS), positions 1–9 MUST be numeric. Positions 10 and 11 MUST be zeros. o Census requires that the EIN number be reported for a non-foreign USPPI. When establishing or correcting a USPPI using a DUNS number, include the EIN in the N03 record. o USPPI Instructions Table modified to remove the reference to SSN as a

Version /Date	Type of Change	Description
		valid party id type filing. **Forwarding Agent.** o When the Party ID Type is **D** (DUNS), positions 1–9 MUST be numeric. Positions 10 and 11 MUST be zeros. o Instructions Tables a & b modified to remove the reference to SSN as a valid party id type filing. **Ultimate Consignee** o Party ID and Party ID Type are NOT required to be reported for the ultimate consignee. However, report a number if one is known. Report a DUNS number as Party ID or in the event that the ultimate consignee is a party identified by an EIN (e.g., shipments between the US and Puerto Rico), report that number as Party ID. o When the Party ID Type is D (DUNS), positions 1-9 MUST be numeric. Positions 10 and 11 MUST be zeros. o Instructions above table ‘(b)’ and table ‘(b)’ and ‘(d)’ modified to remove the reference to SSN as a valid party id type filing. **Intermediate Consignee** o Party ID and Party ID Type are NOT required to be reported for the intermediate consignee. However, report a number if one is known. Report a DUNS number as Party ID or in the event that the intermediate consignee is a party identified by an EIN (e.g., shipments between the US and Puerto Rico), report that number as Party ID. o When the Party ID Type is D (DUNS), positions 1-9 MUST be numeric. Positions 10 and 11 MUST be zeros. o Instructions above table ‘(b)’ and table ‘(b)’ and ‘(c)’ modified to remove the reference to SSN as a valid party id type filing.
	C	**Batch Control Header (Output A Record)** 4. The Census Bureau has eliminated the acceptance of SSN on any new filings effective December 3, 2009 Corrections (change, replace or cancel) to shipments filed with SSN prior to the effective date will continue to be accepted.
Version 1.0 September 16, 2005		**Record Layout Key** **Class**
	A	Added text to clarify the acceptability of data values. Characters A through Z (uppercase ONLY) 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.
Version 1.0 June 12, 2005		**Commodity Shipment Response – Usage Notes, Part B – Response to a Proprietary Batch Component**
	A	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**

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Version /Date	Type of Change	Description
	A	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.
Version 1.0 March 31, 2005	 **C** **C** **C** **C** **C** **C** **C** **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. 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 Export License Number/CFR Citation/Authorization Symbol/KCP# **Commodity Shipment Filing – Usage Notes** a) Grouping Commodity Shipments by USPPI Removed the reference to 'or DEC' d) Data Entry Center (DEC) 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: Export License Number/CFR Citation/Authorization Symbol/KCP# h) Party Reporting Forwarding Agent Reporting Requirements: A forwarding agent: Eliminated references to DEC filing 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: Export License Number/CFR Citation/Authorization Symbol/KCP# **Output Batch Control Header (Output 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. 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.
Version 1.0/ January 10, 2005	**C**	Input DDTC Detail (ODT Record) /DDTC Registration Number Changed the Length/Class from 6 AN to 6X to accommodate any special characters used in the DDTC Registration Number.
Version 1.0/ October 7, 2004	**C**	Commodity Shipment Filing – Usage Notes 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).
Version 1.0/ June 2, 2004		Commodity Shipment Filing – Usage Notes f) Reporting Transportation Related Data Elements

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Version /Date	Type of Change	Description
	A **A**	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.
Version 1.0/ May 20, 2004	**A**	Added references to new '*Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting (Input EV1 Record)'* to the Line Item Commodity Detail (Input CL2 Record) and to Commodity Shipment Filing – Usage Notes k) Used Vehicle Reporting.
Version 1.0/ April 30, 2004	 **A** **A**	Input SC3 Record/Equipment Number Added 'no imbedded spaces' to the description. Input SC3 Record/Seal Number Added 'no imbedded spaces' to the description.
Version 1.0/ April 21, 2004	 **C** **C** **C**	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 characters used in the address lines. Input CL1 Record/Commodity Description Changed the Length/Class from 45AN to 45X to accommodate any special characters used in the description.
Version 1.0/ April 7, 2004	**C** **A**	Effective Date changed from April 2004 to June 2004 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/ November 3, 2003	 **C** **A** **A** **C**	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.
Version 1.0/ October 1, 2003	**C**	Moved Footnote 3 on the SC2 record from Entry Number to Foreign Trade Zone Identifier.

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

Introduction

Presented in this sub-section are the commodity shipment input transaction *proprietary* records used by the exporting trade to establish and maintain an electronic EEI in AES and the output transaction *proprietary* records returned in response.

Input records are those that are used to report specific business data as well as those used for grouping 'control' (i.e., batch and block). The input record layouts describe the mandatory, conditional, and optional data elements required by AES. While data element specific directions for input filing are noted throughout, following the input format definitions is a sub-section that provides various clarifications regarding a commodity shipment filing.

The output record layouts describe a response to a filing as generated and returned by AES. Following the output format definitions is a sub-section that provides various clarifications regarding an AES commodity filing response.

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Record Layout Key

The following key describes the columns of the record layout definitions that follow.

Data Element:
Contains the name of the reported data field.

Length:
Indicates the maximum, allowed length of the reported data element.

Class:
Defines the domain of values accepted for the data element. The class definition represents the accepted domain to be used in all filing scenarios. Class codes are as follows:

A = Alphabetic Data. Consists of characters A through Z (uppercase ONLY) and space.
N = Numeric Data. Consists of numerals 0 through 9.
AN = Alphanumeric Data. Consists of characters A through Z (uppercase ONLY), numerals 0 through 9, and space.
X = Special Data. Consists of characters A through Z (uppercase ONLY), numerals 0 through 9, space, and any other character found on a standard keyboard. The following characters are accepted:
! @ # $ % ^ & * ( ) - _ = + [{] } \ | ; : ‘ “ , < . > / ? ` ~ ¢

Position:
Indicates the beginning and ending position, respectively, of the reported data element within the 80-character record.

Designation:
Indicates the reporting requirement as follows:

M = Mandatory. A value conforming to the listed class is required in all filing scenarios.
C = Conditional. A value conforming to the listed class may or may not be required for a particular filing scenario. The usage notes will describe the specific cases in which the data element is required or not allowed to be reported.
O = Optional. A value conforming to the listed class will be conditionally accepted if provided. An optional data element may be subject to validation, however.

Description / Usage:
Defines the data element and provides a further description of how it is to be reported. May include a list of acceptable values and various rules regarding format, justification, and truncation.

Note:
Points to a further discussion regarding the reporting of the particular data element.

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Input Record Structure Map

The following table illustrates how AES expects repeating groups to be structured in a proprietary format commodity shipment filing.

Record ID	Name	Designation	Loop Repeat
A	Batch Control Header	M	
	Block Control Grouping	M	999
B	Block Control Header	M	
	Commodity Shipment Transaction Grouping	M	999
	Shipment Header Grouping	M	1
SC1	Shipment Header	M	
SC2	Shipment Header – Continuation	C	
	Shipment Transportation Detail	C	999
SC3	Transportation Detail	C	
	Shipment Party Grouping	C	4
N01	Party Header	M	
N02	Party Address	C	
N03	Party Address – Continuation	C	
	Commodity Line Item Grouping	C	999
	Line Item Detail Grouping	M	1
CL1	Line Item Detail	M	
CL2	Line Item Commodity Detail	C	
	DDTC License	C	1
ODT	DDTC License Detail	M	
	Commodity Used Vehicle Detail	C	999
EV1	Used Vehicle Detail	M	
	Participating Government Agency (PGA) Detail	C	999
PGA	PGA Detail	M	
Y	Block Control Trailer	M	
Z	Batch Control Trailer	M	

Designation: M = Reporting Mandatory C = Reporting Conditional

Transmission Notes:

- Multiple batches can be grouped together and transmitted to AES. There is no guarantee, however, that the batches will be returned in the same order as received.
- A single transmission cannot exceed 32,000 80-character images (i.e., 2,560,000 bytes).
- Spaces should be transmitted in all data elements marked ‘filler’. There is no guarantee that non-space data transmitted in ‘filler’ will be returned, unchanged, in a response.
- Transmit ONLY uppercase alphabetic data.
- Transmit ONLY displayable characters found on a standard keyboard. Do not transmit low-value, carriage return characters, or any other non-standard character.

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Commodity Shipment Filing INPUT Record Layouts

An AES proprietary format commodity shipment filing consists of three primary components: Batch Control (i.e., the outer Transmitter/Filer's envelope), a Block Control Grouping (i.e., the inner US Principal Party in Interest envelope), and a Commodity Shipment Transaction Grouping (i.e., an individual shipment).

Batch Control (Input A, Z Records).

A 'batch' consists of USPPI and commodity shipment information 'enclosed' in an envelope. The batch records specify the filer and transmitter of the shipments enclosed within that batch. Each batch begins with an A record and concludes with a Z record. Each batch MUST enclose at least one block control grouping.

While a single transmission can consist of more than one batch, EACH batch will be considered as a separate unit of work. For EACH batch received as input from the trade, a single batch will be returned in response.

Batch Control Header (Input A Record).

The A record begins a batch and is MANDATORY for all commodity filings. An A record MUST be immediately followed by a B record (Block Control Header).

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	1A	1-1	M	Always **A**	
	2AN	2-3	M	Always space fill.	
Filler	2AN	4-5	M	Space fill.	
Filer ID	9N	6-14	M	Identifier of the party filing the commodity shipment information.	1
Filler	6AN	15-20	M	Space fill	
Filer ID Type	1A	21-21	M	Type of Filer ID reported: **D**=DUNS **S**=SSN **E**=EIN	3
Application Identifier	2A	22-23	M	Identifies the AES input batch type. Always **XP** (Commodity Shipment filing input).	
Transmitter Date	8N	24-31	M	Filer/Transmitter's date of transmission (YYYYMMDD format).	2
Batch Control Number	6X	32-37	O	Filer/Transmitter's internal batch identifier. Space fill if NOT used.	2
Filler	1AN	38-38	M	Space fill	
Transmitter ID	9N	39-47	M	Identifier of the party transmitting the data. This may be the same party reported as Filer ID (USPPI, forwarder or Data Entry Center) **OR** it can be a third party service center or port authority.	
Filler	33AN	48-80	M	Space fill.	

1) The party filing the commodity shipment information MUST be: a) the USPPI, b) a Forwarder.
2) The data element is intended ONLY as an aid in identifying responses to commodity shipment filings.
3) The Census Bureau has eliminated the acceptance of SSN on any new filings effective December 3,

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2009. Corrections (change, replace or cancel) to shipments filed with SSN prior to the effective date will continue to be accepted.

Batch Control Trailer (Input Z Record).

The Z record concludes a batch and is MANDATORY for all commodity filings. A Z record MUST be immediately preceded by a Y record (Block Control Trailer).

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	1A	1-1	M	Always **Z**	
	2AN	2-3	M	Always space fill	
Filler	2AN	4-5	M	Space fill.	
Filer ID	9N	6-14	M	Identifier of the party filing the commodity shipment information.	1
Filler	6AN	15-20	M	Space fill.	
Filer ID Type	1A	21-21	M	Type of Filer ID reported.	1
Application Identifier	2A	22-23	M	Identifies the AES input batch type. Always **XP** (Commodity Shipment filing input).	1
Transmitter Date	8N	24-31	M	Filer/Transmitter's date of transmission (YYYYMMDD format).	1
Batch Control Number	6X	32-37	C	Filer/Transmitter's internal batch identifier. Space fill if NOT used.	1
Filler	1AN	38-38	M	Space fill.	
Transmitter ID	9N	39-47	M	Identifier of the party transmitting the data.	1
Filler	33AN	48-80	M	Space fill.	

1) Value MUST be identical to the same value in the previous Batch Control Header (A) record

Block Control Grouping (Input B, Y Records).

A 'block' consists of commodity shipment transactions 'enclosed' in an envelope. The block records specify the USPPI declared on the shipments enclosed within that block. Each block begins with a B record and concludes with a Y record. Each block MUST enclose at least one commodity shipment transaction. The block control grouping can be reported multiple times within a single batch.

Block Control Header (Input B Record).

The B record begins a block and is MANDATORY for all commodity filings. A B record MUST be followed immediately by an SC1 record (Shipment Header). The B record will be returned to the filer/transmitter, unchanged, in an output response if the batch that encloses the block is accepted without fatal errors.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	1A	1-1	M	Always **B**	
	2AN	2-3	M	Always space fill.	
USPPI ID	11AN	4-14	M	Identifier of the US Principal Party in Interest (USPPI) for the enclosed shipments within this block.	1, 2, 3, 4
USPPI ID Type	1A	15-15	M	Type of USPPI ID reported: **D** = DUNS	5

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Data Element	Length/ Class	Position	Desig	Description / Usage	Note
				S = SSN **E** = EIN **T** = Foreign Entity	
Filler	10AN	16-25	M	Space fill.	
USPPI Name	30X	26-55	M	Name of the USPPI for the enclosed commodity shipment transactions within this block	
Filler	25AN	56-80	M	Space fill.	

1) For a Postdeparture approved USPPI, the party's 'profile' must be established by the Census Bureau prior to accepting the first Postdeparture shipment for the USPPI.
2) When the USPPI ID Type is **D** or **S**, positions 4-12 MUST be numeric. Positions 13-14 MUST be zero filled.
3) When the USPPI ID Type is **E,** positions 4-12 MUST be numeric. Positions 13 and 14 are used at the sole discretion of the filer to signify a 'location' of the USPPI. If used, the value MUST be specified as alphanumeric with NO leading or trailing spaces. If this location feature is NOT used, positions 13 and 14 MUST be zero filled.
4) When the USPPI ID Type is **T**, all positions can be alphanumeric. If the identifier is less than 11 positions, left justify and zero fill. If more than 11 positions truncate the excess. The identifier reported MUST be an identification number appearing on an official document such as a border crossing card, a passport, or an alien registration card. An embassy 'code' (a two-position ISO country code followed by the word '*EMBASSY*') can be used in cases where a foreign embassy located in the United States is exporting merchandise.
5) The Census Bureau has eliminated the acceptance of SSN on any new filings effective December 3, 2009. Corrections (change, replace or cancel) to shipments filed with SSN prior to the effective date will continue to be accepted.

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Block Control Trailer (Input Y Record).

The Y record concludes a block and is MANDATORY for all commodity filings. The Y record will be returned to the filer/transmitter, unchanged, in an output response if the batch is accepted without fatal errors.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	1A	1-1	M	Always **Y**	
	2AN	2-3	M	Always space fill	
USPPI ID	11AN	4-14	M	Identifier of the USPPI for the enclosed shipments within this block.	1
USPPI ID Type	1A	15-15	M	Type of USPPI ID reported.	1
Filler	10AN	16-25	M	Space fill.	
USPPI Name	30X	26-55	M	Name of the USPPI for the enclosed shipments within this block	1
Filler	25AN	56-80	M	Space fill.	

1) Value MUST be identical to the same value in the previous Block Control Header (B) record.

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Commodity Shipment Transaction Grouping (Input SC1, SC2, SC3, N01, N02, N03, CL1, CL2, ODT, EV1, PGA Records).

The commodity shipment transaction grouping specifies the unique identity of a shipment, control data such as a requested filing action, and conditionally, specific information regarding commodities, parties to the transaction, licenses, etc. Each commodity shipment transaction begins with an SC1 (Shipment Header) record. All records that follow an SC1 and precede a subsequent SC1 (or Y Block Control Trailer) record are considered as belonging to that reported shipment. The commodity shipment transaction grouping can be reported multiple times within a single block control grouping.

Shipment Header Grouping (Input SC1, SC2 Records).

The shipment header grouping consists of information that applies to all commodities reported for the shipment. The shipment header grouping can be reported one time only within a single commodity shipment transaction grouping.

Shipment Header (Input SC1 Record).

The SC1 record begins a specific action request and commodity shipment information and is MANDATORY for each commodity shipment transaction. The SC1 record will be returned to the filer/transmitter, unchanged, in an output response if the block that encloses the shipment is accepted without fatal errors.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always **SC1**	
Related Company Indicator	1A	4-4	C	An indication that, during the fiscal year, either the USPPI or foreign ultimate consignee reported owned 10% or more of the other's voting securities. **Y** = Yes; Companies related. **N** = No; Companies NOT related. Space fill if NOT required.	1, 2
Mode of Transportation Code (MOT)	2AN	5-6	C	The mode of transportation by which the merchandise is exported. See '*Appendix T – Mode of Transportation Codes*'. Space fill if NOT required.	1
Country of Ultimate Destination Code	2A	7-8	C	The country in which the merchandise is to be consumed, manufactured or further processed at the time of shipment. See '*Appendix C – ISO Country Codes*'. Space fill if NOT required.	1
U.S. State of Origin Code	2A	9-10	C	The U.S. state, U.S. territory or U.S. possession where the merchandise began its journey to the port of exportation. Report a valid USPS State code. Space fill if NOT required.	1
Carrier ID (SCAC/IATA)	4X	11-14	C	The entity ultimately responsible for the transportation of the exported merchandise	1, 3

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
				from the domestic port of exportation. For vessel, rail or truck shipments: report the SCAC code. For air shipments: report the IATA code. Space fill if NOT required.	
Shipment Reference Number	17X	15-31	M	Unique identifier of the shipment. Left justify NO leading or imbedded spaces.	
Shipment Filing Action Request Indicator	1A	32-32	M	The AES action requested for this commodity shipment transaction: **A** = Add. Report the shipment to AES for the first time. **R** = Replace. ENTIRELY replace a previously accepted shipment (i.e., the shipment data and all commodity lines) **C** = Change. Correct/change a previously accepted shipment (i.e., the shipment and any/all commodity lines) **X** = Cancel. Report that a previously accepted shipment will not be exported.	
Conveyance Name/Carrier Name	23X	33-55	C	For vessel shipments: the name of the vessel. For non-vessel, non-mail shipments: the name of the carrier. Left justify; trailing spaces. Space fill if NOT required.	1
Filing Option Indicator	1AN	56-56	C	An indication as to the type of filing 'option' chosen by the filer for the commodity shipment transaction: **2** = Predeparture. Full predeparture commodity shipment filing. **3** = Advance Export Information (AEI) partial or complete commodity shipment filing. **4** = Postdeparture. Authorized USPPI, full post-departure commodity shipment filing. Space fill if NOT required.	1
AEI Filing Type	1AN	57-57	C	This is an indication as to the type of data being filed in conjunction with Filing Option Indicator '3': P = Partial predeparture F = Full postdeparture	5
Port of Unlading Code	5AN	58-62	C	The foreign port of unlading of the shipment. See '*Appendix Z – Additional Information Sources*' regarding the 'Schedule K – Classification of Foreign Ports by Geographic Trade Area and Country." Space fill if NOT required.	1, 4
Port of Exportation Code	4AN	63-66	C	For vessel and air shipments: the U.S. port that merchandise is last laden for departure. For other MOT's: the U.S. port at the actual	1, 4

Proprietary Formats

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
				border crossing location or the nearest U.S. port to the actual border crossing location. See '*Appendix D – Export Port Codes*'. Space fill if NOT required.	
Estimated Date of Export	8AN	67-74	C	Date of departure from the port of exportation. Estimate the date if the actual date is unknown. (YYYYMMDD format) Space fill if NOT required.	1, 4
Filler	1AN	75-75	M	Space fill.	
Hazardous Material Indicator (HAZMAT)	1A	76-76	C	An indication that the shipment contains hazardous material as defined by the U.S. Department of Transportation. **Y** = Yes; shipment contains hazardous material. **N** = No; shipment does NOT contain hazardous material. Space fill if NOT required.	1
Filler	4AN	77-80	M	Space fill.	

1) Data element NOT required if the Shipment Filing Action Request Indicator is an **X** (Cancel). If a Cancel action has been requested AND data is provided in the data element they will be IGNORED.
2) 10% voting securities of an incorporated business enterprise OR an equivalent interest if an unincorporated business enterprise. Either business enterprise may be considered a branch.
3) SCAC (Standard Carrier Alpha Code) as issued and maintained by the National Motor Freight Traffic Association (NMFTA). IATA code as issued and maintained by the International Air Transport Association (IATA).
4) Refer to the 'Commodity Shipment Filing – Usage Notes' when reporting a shipment between the US and Puerto Rico.
5) Option 3 Filing Type must be reported when Filing Option Indicator is "3". Must be blank for Filing Option Indicator "2" or "4".

Proprietary Formats

Shipment Header – Continuation (Input SC2 Record).

The SC2 record contains additional shipment header information and is CONDITIONAL for a commodity shipment transaction. The SC2 record may be reported one time per shipment. If reported, an SC2 record MUST immediately follow an SC1 record (Shipment Header). Do NOT transmit if NOT required. An SC2 record is MANDATORY if the SC1 Shipment Filing Action Request Indicator is an **A** (Add), **R** (Replace), or **C** (Change). An SC2 record is NOT ALLOWED if the SC1 Shipment Filing Action Request Indicator is an **X** (Cancel). The SC2 record will conditionally be returned to the filer/transmitter, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always **SC2**	
Inbond Code	2N	4-5	M	An indication of whether the shipment is being 'transported under bond'. **36** = Warehouse withdrawal for IE **37** = Warehouse withdrawal for T&E **67** = Foreign Trade Zone withdrawal for IE **68** = Foreign Trade Zone withdrawal for T&E **70** = Merchandise NOT shipped inbond	1
Entry Number	15AN	6-20	C	The import entry number for a shipment 'transported under bond' or the import entry number when an FTZ NAFTA Deferred Duty claim is made. Left justify; NO trailing zeros; NO imbedded slashes or dashes. Space fill if NOT required.	2
Foreign Trade Zone Identifier	9AN	21-29	C	Identity of the Foreign Trade Zone from which the merchandise was withdrawn. FTZ must be 7 or 9 positions When using the 7 position format report as follows: Position 1-3: General Purpose Zone (NNN – 3 numeric) Position 4-5: Subzone (XX – 2 alphanumeric characters) Position 6-7: Site (XX – 2 alphanumeric characters) When using the 9 position format report as follows: Position 1-3: General Purpose Zone (NNN – 3 digits) Position 4-6: Subzone (XXX – 3 alphanumeric characters) Position 7-9: Site (XXX – 3 alphanumeric characters) Left justify; No trailing spaces. Insert zeros when there is no subzone or site. Report leading zero(s) when general purpose zone is less than 3 numerics and when the subzone or site is 1 alphanumeric character for reporting 7 position FTZ identifiers or 1 or 2 alphanumeric characters for reporting 9 position FTZ identifiers. (See examples in Note 4 below)	3, 4
Filler	11AN	30-40	M	Space fill.	
Routed Export Transaction Indicator	1A	41-41	M	An indication that the foreign principal party in interest has authorized a U.S. forwarding or other agent to facilitate the export of the merchandise from the U.S. **Y** = Yes; shipment is a routed transaction. **N** = No; shipment is NOT a routed transaction	

Original ITN	15AN	42-56	O	The Original ITN is the ITN associated with a previously filed shipment that is replaced or divided and for which additional shipment(s) must be filed. The original ITN field can be used in certain scenarios, such as, but not limited to, shipments sold en route or cargo split by the carrier where the succeeding parts of the shipment are not exported within the timeframes specified in § 30.28.	
Filler	24AN	57-80	M	Space fill.	

1) AES is currently incapable of 'closing out' inbond shipments (i.e., matching an import entry to the outbound declaration). Reporting any inbond code other than **70** is for INFORMATIONAL use only.
2) An Entry Number MUST be reported if an Inbond Code of other than **70** (Merchandise NOT shipped inbond) is claimed.
3) A Foreign Trade Zone Identifier MUST be reported when Inbond Code **67** or **68** is claimed.
4) If General Purpose Zone is 26, Subzone is A and Site is 1 and a 7 position FTZ identifier is being reported, report 0260A01. If the General Purpose Zone is 26, Subzone is T2, Site is 1 and a 9 position FTZ identifier is being reported, report 0260T2001.

Transportation Detail (Input SC3 Record).

The shipment transportation detail can be reported multiple times within a single commodity shipment transaction grouping.

The SC3 record contains transportation related information and is CONDITIONAL for a commodity shipment transaction. Do NOT transmit if NOT required. An SC3 is NOT allowed if the SC1 Shipment Filing Action Request Indicator is an **X** (Cancel). The SC3 record will conditionally be returned to the filer/transmitter, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition.

See sub-section (f) 'Reporting Transportation Related Data Elements' and sub-section (f) 'Shipments between the US and Puerto Rico' in the 'Commodity Shipment Filing - Usage Notes' section below for reporting requirement details.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always **SC3**	
Equipment Number	14AN	4-17	C	The identity of the equipment or shipping container that contains the cargo. Left justify, no imbedded spaces, space fill. Space fill if NOT required.	1
Seal Number	15AN	18-32	C	The number from the Customs and Border Protection seal on a shipping container. Left justify, no imbedded spaces, space fill. Space fill if NOT required.	1, 2
Transportation Reference Number	30X	33-62	C	A number referencing a transportation booking, waybill, ocean bill-of-lading, pro-bill, or master air waybill. Left justify, no imbedded spaces, space fill. Space fill if NOT required.	1, 3
Filler	18AN	63-80	M	Space fill.	

Proprietary Formats

1) For a vessel shipment, at least one SC3 record is required. For a rail, truck or air shipment, one or more SC3 records are allowed. For all other transport modes, an SC3 is NOT allowed. If transmitted then at least 1 of the 3 conditional data elements is required in each SC3 record (i.e., the Equipment Number, Seal Number or Transportation Reference Number).
2) If known, use one or more SC3 records to list equipment/container identifiers and any Customs and Border Protection seal identifiers. Report the Equipment Number and Seal Number as a 'pair' (i.e., on the same SC3 record) if the seal has been affixed to the identified equipment. Otherwise, report equipment/container numbers and seal numbers on separate SC3 records.
3) For vessel shipments a SINGLE Transportation Reference Number issued by the carrier is required to be reported for the shipment. For rail, truck and air shipments a SINGLE Transportation Reference Number issued by the carrier may be reported for the shipment. The number can be reported on any SC3 record.

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Shipment Party Grouping (Input N01, N02, N03 Records).

The shipment party grouping specifies a single, relevant party to the shipment transaction. Each party begins with an N01 record. N02 and N03 records that follow an N01 are considered as belonging to that reported party. A complete N01-N03 grouping is required for a party being reported to AES for the first time. Conditionally, once established, a single N01 record can be reported that identifies the Party Type, Party ID, and Party ID Type. A party grouping (N01-N03) is NOT allowed if the SC1 Shipment Filing Action Request Indicator is an X (Cancel). The shipment party grouping can be reported up to 4 times within a single commodity shipment transaction grouping.

See 'Party Reporting' in the 'Commodity Shipment Filing - Usage Notes' section below for reporting requirement details.

Party Header (Input N01 Record).

The N01 record contains basic information regarding the identity of a party relevant to the shipment transaction. Conditionally, the N01 may be reported alone or as the first record of an N01-N03 grouping. The N01 record will conditionally be returned to the filer/transmitter, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition. The N01 may also conditionally be returned to the filer/transmitter, unchanged, as an aid to identify the party in which a fatal, warning, compliance alert, or verification condition occurred in a subsequent N02 or N03 record considered as 'belonging' to the reported party.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always **N01**	
Party ID	11AN	4-14	C	Identifier of a US Principal Party in Interest, Forwarding Agent, Ultimate Consignee, or Intermediate Consignee. Space fill if NOT required.	
Party ID Type	1A	15-15	C	Type of ID reported: **D** = DUNS **S** = SSN **E** = EIN **T** = Foreign Entity Space fill if NOT required.	3
Party Type	1A	16-16	M	Type of party reported: **E** = US Principal Party in Interest **F** = Forwarding Agent **C** = Ultimate Consignee **I** = Intermediate Consignee	
Party Name	30X	17-46	C	Company or enterprise name. Space fill if NOT required.	1
Contact First Name	13A	47-59	O	Company contact first name/title.	1
Contact Last Name	20A	60-79	C	Company contact last name.	1

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Data Element	Length/ Class	Position	Desig	Description / Usage	Note
				Space fill if NOT required.	
To Be Sold en Route Indicator	1A	80-80	C	A claim that the consignee is unknown at the time of shipment. **N** = Ultimate consignee known and reported. **Y** = Cargo to be sold en route, ultimate consignee name and address to be reported within 4 days of EEI transmission and approval by AES. Space fill if NOT required.	2

1) If reported, left justify; NO leading spaces.
2) A To Be Sold en Route Indicator of **N** or **Y** can only be claimed if Party Type is **C** (Ultimate Consignee), otherwise space fill.
3) The Census Bureau has eliminated the acceptance of SSN on any new filings effective December 3, 2009. Corrections (change, replace or cancel) to shipments filed with SSN prior to the effective date will continue to be accepted.

Party Address (Input N02 Record).

The N02 record contains address and other information regarding a party relevant to the shipment transaction. When reported, the N02 MUST immediately follow an N01 record and immediately precede an N03 record. The N02 record will conditionally be returned to the filer/transmitter, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always **N02**	
Address Line 1	32X	4-35	M	Mailing address (first line).	1
Address Line 2	32X	36-67	O	Mailing address (next line).	1
Contact Phone Number	13AN	68-80	C	Company contact phone number. If reported, left justify; NO leading spaces or imbedded dashes. Space fill if NOT required.	

1) If reported, left justify; NO leading spaces.

Party Address – Continuation (Input N03 Record).

The N03 record contains additional address and other information regarding a party relevant to the shipment transaction. The N03 MUST immediately follow an N02 record. The N03 record will conditionally be returned to the filer/transmitter, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always **N03**	
City	25A	4-28	M	Mailing address (city).	1
State Code	2A	29-30	C	Mailing address (state). If country is US, use a valid USPS State code. If country is MX, use a valid Mexican state	

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Data Element	Length/ Class	Position	Desig	Description / Usage	Note
				code. See '*Appendix I – Mexican State Codes*'. Space fill if NOT required.	
Country Code	2A	31-32	C	Mailing address (country). See '*Appendix C – ISO Country Codes*'. Space fill if NOT required.	
Postal Code	9AN	33-41	C	Mailing address (Zip Code). If reported, left justify; NO leading spaces or imbedded dashes. Space fill if NOT required.	
USPPI IRS Number	9AN	42-50	C	IRS identifier of the USPPI. Space fill if NOT required.	2
USPPI IRS ID Type	1A	51-51	C	Type of IRS USPPI ID reported: **S** = SSN **E** = EIN Space fill if NOT required.	2, 3
Ultimate Consignee Type	1A	52-52	C	Type of Ultimate Consignee reported: **D =** Direct Consumer **G =** Government Entity **O =** Other/Unknown **R =** Reseller	4
Filler	28AN	53-80	M	Space fill.	

1) If reported, left justify; NO leading spaces.
2) IRS information can only be reported if Party Type is **E** (USPPI).
3) The Census Bureau has eliminated the acceptance of SSN on any new filings effective December 3, 2010. Corrections (change, replace or cancel) to shipments filed with SSN prior to the effective date will continue to be accepted.
4) The Ultimate Consignee Type MUST be reported if the party type is C (Ultimate Consignee).

Commodity Line Item Grouping (Input CL1, CL2, ODT, EV1, PGA Records).

The commodity line item grouping specifies a single commodity as reported for the shipment. Information includes the commodity's description/identification, value, quantities, license, identification of used vehicles, etc. Each commodity line item begins with a CL1 record. CL2, ODT, EV1 and PGA records that follow a CL1 are considered as belonging to that reported commodity. The commodity line item grouping can be reported multiple times within a single commodity shipment transaction grouping.

A commodity line item grouping is NOT allowed if the SC1 Shipment Filing Action Request Indicator is an X (Cancel).

Commodity line item groupings are NOT required if the Shipment Filing Action Request Indicator is a C (Change).

Line Item Detail Grouping (Input CL1, CL2 Records).

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The commodity line item detail grouping contains basic information regarding a reported commodity contained in the shipment, excluding a DDTC license and used vehicles. The line item detail grouping can be reported one time only within a single commodity line item grouping.

Line Item Detail (Input CL1 Record).

The CL1 record contains basic information regarding the identity and description of a reported commodity contained in the shipment. The CL1 record will conditionally be returned to the filer/transmitter, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition. The CL1 may also conditionally be returned to the filer/transmitter, unchanged, as an aid to identify the commodity line item in which a fatal, warning, compliance alert, or verification condition occurred in a subsequent CL2, ODT, EV1 or PGA record considered as 'belonging' to the reported commodity.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always **CL1**	
Export Information Code	2A	4-5	C	A code that indicates the reporting requirements. See '*Appendix E – Commodity Filing Export Information Codes and Reporting Guidelines*'. Space fill if NOT required.	1
Filler	1AN	6-6	M	Space fill.	
Line Number	4N	7-10	M	A number that identifies the specific commodity line item within a shipment. Number reported must be 1 or greater.	2
Commodity Description	45X	11-55	C	A commercial description of the commodity reported for the line item. Space fill if NOT required.	1
License Value	10N	56-65	C	Value for a licensable shipment that will not include any overhead like insurance, domestic freight or other charges in whole US dollars. Zero fill if not required.	
Filler	1AN	66	M	Space fill.	
Line Item Filing Action Request Indicator	1A	67-67	M	The AES action requested for this commodity line item: **A** = Add. Establish a commodity line item. **C** = Change. Correct/change a previously filed commodity line item (i.e., the basic line item detail, commodity detail [if any], license detail [if any], and ALL exported used vehicles [if any]). **D** = Delete. Remove a commodity line item from the shipment.	
License Code/License Exemption Code	3AN	68-70	C	A type of other government agency export license, permit, certificate, license exemption or an indication that NO license is required. See '*Appendix F – License and License Exemption Type Codes and Reporting*	1

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Data Element	Length/ Class	Position	Desig	Description / Usage	Note
				Guidelines'.	
Foreign/Domestic Origin Indicator	1A	71-71	C	An indication as to the origin of the commodity: **D** = Domestic origin. **F** = Foreign origin. Space fill if NOT required.	1
Additional PGA Data Required Indicator	1A	72-72	M	An indicator that additional PGA information is to be reported. Y = Yes N = No	
Filler	8AN	73-80	M	Space fill.	

1) Data element NOT required if the Line Item Filing Action Request Indicator is **D** (Delete). If a delete line action has been requested AND data is provided in the data element they will be IGNORED.
2) If there is more that one line item to be reported for a shipment, report the Line Numbers in an ascending sequence.

Line Item Commodity Detail (Input CL2 Record).

The CL2 record contains additional information regarding a reported commodity contained in the shipment. A CL2 is NOT allowed if the CL1 Line Item Filing Action Request Indicator is a **D** (Delete Line Item). The CL2 record will conditionally be returned to the filer/transmitter, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always **CL2**	
Schedule B/HTS Number	10AN	4-13	C	The identification of the commodity as classified by the U.S. Census Bureau (Schedule B number) or the U.S. International Trade Commission (HTS number). See '*Appendix Z – Additional Information Sources*' regarding where to find the Schedule B and HTS. See '*Appendix V – HTS Numbers That Cannot be Reported in AES'*. See '*Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting (Input EV1 Record)'*. Space fill if NOT required.	
Unit of Measure (1)	3AN	14-16	C	A unit of measure code that corresponds to the first quantity (Quantity 1) as prescribed by the Schedule B/HTS number reported. See '*Appendix K – Units of Measure Codes*'. Space fill if NOT required.	
Quantity (1)	10N	17-26	C	Total number of units that correspond to the first unit (Unit of Measure 1).	

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
				Zero fill if NOT required.	
Value of Goods	10N	27-36	C	Value of the commodity reported in whole U.S. dollars. Zero fill if NOT required.	
Unit of Measure (2)	3AN	37-39	C	A unit of measure code that corresponds to the second quantity (Quantity 2) as prescribed by the Schedule B/HTS number reported. See '*Appendix K – Units of Measure Codes*'. Space fill if NOT required.	
Quantity (2)	10N	40-49	C	Total number of units that correspond to the second unit (Unit of Measure 2). Zero fill if NOT required.	
Shipping Weight	10N	50-59	C	Gross shipping weight in kilograms. Weight to include container, but exclude carrier equipment. Zero fill if NOT required.	
Export Control Classification Number (ECCN)	5AN	60-64	C	An Export Control Classification Number (ECCN) as issued by the Bureau of Industry and Security (BIS) (formerly the Bureau of Export Administration [BXA]). Space fill if NOT required.	
Export License Number/ CFR Citation/ Authorization Symbol/KCP#/ ACM#/OFAC	14X	65-78	C	License number, CFR citation, authorization symbol or Kimberley Process Certificate Number assigned by the licensing agency. See '*Appendix F – License and License Exemption Type Codes and Reporting Guidelines*'. 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. Left justify and leave unused positions blank.	
Filler	2AN	79-80	M	Space fill.	

DDTC Detail (Input ODT Record).

The ODT record contains specific Directorate of Defense Trade Controls (DDTC) munitions license information regarding a reported commodity contained in the shipment. The reporting of the ODT is CONDITIONAL. An ODT is NOT allowed if the CL1 Line Item Filing Action Request Indicator is a **D** (Delete Line Item). The ODT record will conditionally be returned to the filer/transmitter, unchanged, in

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an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always **ODT**	
DDTC ITAR Exemption Number	12AN	4-15	C	The specific citation (exemption number) under the International Traffic in Arms Regulations (ITAR) from the Code of Federal Register (see 22 CFR 120-130) that exempts the shipment from the requirements for a license or other written authorization from DDTC. Do NOT cite the title number or include the string "CFR". Eliminate all parentheses, but include all periods (i.e., dots). See '*Appendix O – DDTC ITAR Exemption Codes*'. Left justify; space fill. Space fill if NOT required.	
DDTC Registration Number	6X	16-21	C	The registration identifier assigned by DDTC to the registered manufacturer or exporter that has authorization from DDTC (through a license or exemption) to export the article. Left justify; space fill. Space fill if NOT required.	
DDTC Significant Military Equipment (SME) Indicator	1AN	22-22	M	An indication that the articles reported warrant special export controls because of their capacity for substantial military utility of capability (see 22 CFR 121.1 for SME articles). **N** = No. Articles do not warrant special export controls. **Y** = Yes. Articles do warrant special export controls.	
DDTC Eligible Party Certification Indicator	1AN	23-23	C	A self-certification by the exporter for the exemption and a self-certification by the exporter that they are an eligible party (per 22 CFR 120.1(c)). **N** = No. The exporter has not both self certified for the exemption and is an eligible party. **Y** = Yes. The exporter has both self certified for the exemption and is an eligible party. Space fill if NOT required.	
DDTC USML Category Code	2AN	24-25	M	The DDTC U.S. Munitions List (USML) category of article, service, or related technical data as is applies to the article reported. See '*Appendix L – DDTC USML Category Codes*'.	
Filler	8AN	26-33	M	Space fill.	
DDTC Unit of	3AN	34-36	M	The unit of measure for the article being	

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Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Measure Code				shipped. The unit of measure provided on the export authorization. See 'A*ppendix W – DDTC Unit of Measure Codes*'.	
DDTC Quantity	7N	37-43	M	Total number of units that correspond to the DDTC measure reported.	
**** FUTURE USE **** DDTC License Line Number	3AN	44-46	M	A number that corresponds to a specific line item on the license as issued by DDTC. Report spaces only as this time.	
Filler	34AN	47-80	M	Space fill.	

Used Vehicle Detail (Input EV1 Record).

The commodity used vehicle detail can be reported multiple times within a single commodity line item grouping.

The EV1 record contains used vehicle information regarding a reported commodity contained in the shipment. The reporting of the EV1 is CONDITIONAL. Do NOT transmit if NOT required. An EV1 is NOT allowed if the CL1 Line Item Filing Action Request Indicator is a **D** (Remove Line Item). For a commodity consisting of multiple used vehicles, report one EV1 record for each. The EV1 record will conditionally be returned to the filer/transmitter, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always **EV1**	
Vehicle Identification Number (VIN)/Product ID	25X	4-28	M	Identification of the reported used vehicle. Report a 'Product ID' number for used self-propelled vehicles that do not have a VIN.	
Vehicle ID Qualifier	1A	29-29	M	Type of used vehicle number reported: **V** = VIN **P** = Product ID	
Vehicle Title Number	15X	30-44	C	Title number as issued by a Motor Vehicle Administration (MVA). Left justify; space fill. Space fill if NOT required.	
Vehicle Title State Code	2A	45-46	C	U.S. State code of the Motor Vehicle Administration (MVA) that issued the title. Report a valid USPS State code. Report 'US' for diplomatic vehicle. Space fill if NOT required.	
Filler	34AN	47-80	M	Space fill.	

Participating Government Agency Detail (Input PGA Record)

The PGA record contains specific information related to a particular PGA regarding a reported commodity contained in the shipment. Do NOT transmit if NOT required. A PGA is NOT allowed if the CL1 Line Item Filing Action Request Indicator is a **D** (Remove Line Item). The PGA record will conditionally be returned to the filer/transmitter, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always **PGA**	
PGA ID	3AN	4-6	M	Three character Identification of the Participating Government Agency. For AMS, the valid value allowed is **AM1.** For ATF, the valid value allowed is **AT6.** For DEA, the valid value allowed is **DEA** For EPA, the valid value allowed is **EP1.** For NMFS, the valid values allowed are **NM7**, **NM8** and **NM9**. For TTB, the valid value allowed is **TTB**.	1
PGA Text	74X	7-80	C	See PGA record layout in Appendix Q – PGA Record Formats.	2

1) All PGAs are currently accepted in Production.
2) See AESTIR Appendix Q for PGA record format.

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Commodity Shipment Filing - Usage Notes

The following sub-sections contain information regarding the filing and correction of a commodity shipment.

a) Grouping Commodity Shipments by USPPI

If filing as a USPPI, report one or more commodity shipment transactions enclosed in a *single* block.

If filing as a forwarding agent, use the block control grouping to segregate commodity shipments by USPPI. Report commodity shipment transactions in *multiple* blocks.

b) Commodity Shipment Filing Actions

To establish and maintain a commodity shipment in AES, four 'actions' are provided (Shipment Filing Action Request Indicator).

To establish a commodity shipment in AES for the first time, use the **ADD** filing action. An Add action CANNOT be used once the shipment has been established in AES.

To correct or amend previously established commodity shipment data in AES use the **CHANGE** or **REPLACE** filing action. A filer may transact all correction and amendment activity using either method. For ALL filing options, a CHANGE or REPLACE action CANNOT be used to initially establish a shipment in AES.

- The **REPLACE** filing action provides the filer with a capability to send commodity shipment data *in its entirety* (i.e., shipment header, transportation details, shipment parties, and commodity line items). AES will consider this transaction's data as a *complete* replacement of ALL previously established information regarding the shipment.

- The **CHANGE** filing action provides the filer with a capability to correct:

  - Common shipment information (i.e., shipment header, transportation details, and shipment parties) WITHOUT the re-transmission of ANY commodity line items (i.e., a *header only* change).

  - Common shipment information WITH *individual* commodity line items.

  In either CHANGE scenario, AES will consider the change's effect on **any** and **all** previously established information regarding the shipment.

To report that a previously reported shipment will *not* be exported, use the **CANCEL** filing action. **NOTE:** Do NOT use a 'two-step' action of a CANCEL followed by an ADD to correct or amend a commodity shipment. Instead, use the 'one-step' REPLACE action. A CANCEL action is to be used solely to indicate that a previously reported shipment will not be exported.

c) Commodity Shipment Filing Options

Three electronic filing options are available to the USPPI or their authorized filing agent to report commodity shipment data (Filing Option Indicator):

Predeparture. Commodity shipment data reporting *prior* to departure. Predeparture is a ONE step filing process.

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Postdeparture. Commodity shipment data reporting *after* departure. No commodity shipment data reported *prior* to departure. This option may be used by the approved Postdeparture USPPI or approved Postdeparture USPPI's authorized agent. Postdeparture is a ONE step filing process.

Advance Export Information (AEI) A limited number of commodity data elements reported *prior* to departure and complete commodity data reported within five calendar days after departure. This option may be used by the approved AEI USPPI or the approved AEI USPPI's authorized agent. AEI is a TWO step filing process.

See Part I for a discussion regarding the types of shipments appropriate for each filing option and the steps needed to authorize a USPPI as being Postdeparture eligible.

AEI predeparture mandatory data elements

1. US Principal Party in Interest (ID number, name and address, contact information)
2. Ultimate Consignee (name, address and country)
3. Filer ID number
4. Shipment Reference Number
5. Schedule B/HTS number (10 digits)
6. Commodity description
7. Port of export
8. Date of export
9. SCAC/IATA code (Carrier code)
10. Conveyance name
11. License type code

Conditional Elements

1. Authorized Agent ID Number
2. Export Control Classification Number (ECCN)

d) Establishing a Commodity Shipment

When establishing a shipment using the **ADD** *Shipment Filing Action Request Indicator*, the filing MUST contain at least one commodity line item grouping. The *Line Item Filing Action Request Indicator* MUST also be **ADD** for each and every line.

Do NOT attempt to establish commodity shipment data in AES for shipments that departed earlier than 06/01/1995. Do NOT attempt to establish commodity shipment data in AES for shipments scheduled for exportation greater than 120 days in the future.

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A 'compliance alert' will be noted when a commodity shipment is established **late** per the following schedule:

Predeparture – Late if declared after the reported Date of Export.
Postdeparture – Late if declared after 5 calendar days after the reported Date of Export.
AEI – Late if declared after 5 calendar day after departure.

MANDATORY Data Elements in an Add Transaction

The following data elements are **MANDATORY** in a Commodity Shipment Transaction Grouping when the SC1 *Shipment Filing Action Request Indicator* is 'A' (**ADD**):

Shipment Information

Shipment Header (SC1 Record)
- Related Company Indicator
- Mode of Transportation Code (MOT)
- Country of Ultimate Destination
- U.S. State of Origin Code
- Shipment Reference Number
- Shipment Filing Action Request Indicator
- Filing Option Indicator
- Port of Exportation Code
- Estimated Date of Export
- Hazardous Material Indicator (HAZMAT)

Shipment Header – Continuation (SC2 Record)
- Inbond Code
- Routed Export Transaction Indicator

USPPI Information

Party Header (N01 Record) – Party Type 'E' (US Principal Party in Interest)
- Party ID
- Party ID Type
- Party Type
- Party Name
- Contact Last Name

Party Address (N02 Record)
- Address Line 1
- Contact Phone Number

Party Address – Continuation (N03 Record)
- City
- State Code
- Country Code
- Postal Code

Ultimate Consignee Information

Party Header (N01 Record) – Party Type 'C' (Ultimate Consignee)
- Party ID

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- Party ID Type
- Party Type
- To be Sold en Route Indicator

Commodity Line Information

Line Item Detail (CL1 Record)
- Export Information Code
- Line Number
- Commodity Description
- Line Item Filing Action Request Indicator
- License Code/License Exemption Code

Line Item Commodity Detail (CL2 Record)
- Quantity (1) (may be reported as zeros)
- Value of Goods (may be reported as zeros)
- Quantity (2) (may be reported as zeros)
- Shipping Weight (may be reported as zeros)
- Export License Number/CFR Citation/Authorization Symbol/KPC#

All other data elements are **CONDITIONAL**.

e) Reporting Transportation Related Data Elements

For vessel, rail, truck, and air shipments, every effort must be made to report the carrier's identity (i.e., SCAC or IATA 'code'). If the 'code' as known at the time of filing is not valid in AES and a valid 'code' cannot be obtained from the carrier, as a last resort, report the carrier as 'unknown'. It is the filer's responsibility to correct the EEI data once the carrier's valid identifying code is obtained.

For all **VESSEL** shipments:

- Report SCAC code issued by NMFTA.
- As a last resort, report 'UNKN'.
- When using an NVOCC, report the NVOCC SCAC rather than the ocean carrier's SCAC.

For all **RAIL** shipments:

- Report SCAC code issued by NMFTA.
- As a last resort, report 'UNKN'.

For all **TRUCK** shipments:

- Report SCAC code issued by NMFTA.
- If using a Mexican trucking company without a SCAC, use code ‘*M’ or ‘99M’ (unknown Mexican trucking carrier).
- As a last resort, report 'UNKN'.

For all **AIR** shipments:

- Report either the 2-character or 3-letter code issued by IATA.
- As a last resort, report ‘*F’ or ‘99F’ (unknown foreign air carrier); ‘*U’ or ‘99U’ (unknown U.S. air carrier); ‘*C’ or ‘99C’ (unknown Canadian air carrier);
- Report ‘**’ or ‘99O’ for ‘flyaway aircraft’ classified under Schedule B/HTS 8802.

For **ALL** shipments:

- If transshipping through Canada or Mexico, the carrier code of the border-crossing carrier should be reported, not that of the carrier that transports the goods to the ultimate country of destination.

The following tables describe the transportation related data element reporting requirements for shipment from the US or Puerto Rico to a foreign destination. When reporting a shipment between the US and Puerto Rico, follow the guidelines in Section (g) 'Shipments Between the US and Puerto Rico'.

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VESSEL Shipments

When the MOT is reported as Vessel, Non-Containerized (10) or Vessel, Containerized (11):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Carrier ID	X					Report a valid vessel SCAC code. If the ultimate carrier is unknown, report the consolidator's SCAC. Report 'UNKN' if a valid SCAC is not readily available.
SC1: Conveyance Name/Carrier Name	X					Report the vessel's name. Do NOT report 'VESSEL' (or variations thereof).
SC1: Port of Unlading Code	X					Report 5-digit 'Schedule K' code.
SC1: Port of Exportation Code	X					Report the U.S. port that merchandise is last laden for departure. The port MUST be a valid vessel departure port. See Appendix D '*Export Port Codes*'.
SC3: Equipment Number					X	Report equipment/container number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known.
SC3: Transportation Reference Number	X					Report the carrier's booking number. NOTE: a SINGLE booking ONLY can be reported for the shipment. Number must be alphanumeric.
CL2: Shipping Weight	X					Report weight in kilograms.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

When the MOT is reported as Border, Water Borne [Barge] (12):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Carrier ID	X					Report a valid vessel SCAC code. If the ultimate carrier is unknown, report the consolidator's SCAC. Report 'UNKN' if a valid SCAC is not readily available.
SC1: Conveyance Name/Carrier Name	X					Report the barge company's name or 'BARGE' plus an identifying number (e.g., 'BARGE 1234'). Do not report the word 'BARGE' by itself.
SC1: Port of Unlading Code	X					Report 5-digit 'Schedule K' code.
SC1: Port of Exportation Code	X					Report the U.S. port that merchandise is last laden for departure. The port MUST be a valid vessel departure port. See Appendix D '*Export Port*

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Record : Data Element	M	C	Condition	N	O	Notes
						Codes'.
SC3: Equipment Number					X	Report equipment/container number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known.
SC3: Transportation Reference Number	X					Report the carrier's booking number. NOTE: a SINGLE booking ONLY can be reported for the shipment. Number must be alphanumeric.
CL2: Shipping Weight	X					Report weight in kilograms.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

RAIL Shipments

When the MOT is reported as Rail, Non-Containerized (20) or Rail, Containerized (21):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Carrier ID	X					Report a valid rail SCAC code. If the ultimate carrier is unknown, report the consolidator's SCAC. Report 'UNKN' if a valid SCAC is not readily available.
SC1: Conveyance Name/Carrier Name	X					Report the name of the rail carrier. Do NOT report 'RAIL' (or variations thereof).
SC1: Port of Unlading Code				X		Report spaces
SC1: Port of Exportation Code	X					Report the U.S. port at the actual border crossing location or the U.S. port nearest to the actual border crossing location. The port MUST be a valid land border, rail departure port. See Appendix D '*Export Port Codes*'.
SC3: Equipment Number					X	Report equipment/container number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known.
SC3: Transportation Reference Number					X	Report the carrier's waybill (for rail stock), ocean bill-of-lading (for vessel containers), or pro-bill (for truck containers), if known. NOTE: a SINGLE reference ONLY can be reported for the shipment. Number must be alphanumeric.
CL2: Shipping Weight	X					Report weight in kilograms.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

Proprietary Formats

TRUCK Shipments

When the MOT is reported as Truck, Non-Containerized (30) or Truck, Containerized (31):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Carrier ID	X					Report a valid truck SCAC code. If the ultimate carrier is unknown, report the consolidator's SCAC. If using a Mexican trucking company without a SCAC, use code '*M' or '99M' (unknown Mexican trucking carrier) otherwise report 'UNKN' if a valid SCAC is not readily available.
SC1: Conveyance Name/Carrier Name	X					Report the name of the trucking carrier. Do NOT report 'TRUCK' (or variations thereof).
SC1: Port of Unlading Code				X		Report spaces.
SC1: Port of Exportation Code	X					Report the U.S. port at the actual border crossing location or the U.S. port nearest to the actual border crossing location. The port MUST be a valid land border, truck departure port. See Appendix D '*Export Port Codes*'.
SC3: Equipment Number					X	Report equipment/container number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known.
SC3: Transportation Reference Number					X	Report the carrier's pro-bill number, if known. NOTE: a SINGLE pro-bill ONLY can be reported for the shipment. Number must be alphanumeric.
CL2: Shipping Weight	X					Report weight in kilograms.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

Proprietary Formats

AIR Shipments

When the MOT is reported as Air, Non-Containerized (40) or Air, Containerized (41):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Carrier ID	X					Report a valid air carrier primary IATA code (**see note 1**). If using an air carrier without an IATA code, use '*F' or '99F' (unknown foreign air carrier); '*U' or '99U' (unknown U.S. air carrier); '*C' or '99C' (unknown Canadian air carrier); '**' or '99O' ('flyaway aircraft'; HS chapter 8802).
SC1: Conveyance Name/Carrier Name	X					Report the name of the air carrier. Do NOT report 'AIR', 'AIRPLANE' (or variations thereof).
SC1: Port of Unlading Code			.	X		Report spaces.
SC1: Port of Exportation Code	X					Report the U.S. port that merchandise is last laden for departure. The port MUST be a valid air departure port. See Appendix D '*Export Port Codes*'.
SC3: Equipment Number					X	Report equipment/container number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known.
SC3: Transportation Reference Number					X	Report the carrier's master air waybill number. NOTE: a SINGLE master air waybill number ONLY can be reported for the shipment. Number must be formatted as follows: NNN-NNNNNNNN • Position 1-3 = numeric (air waybill prefix) • Position 4 = '-' (dash) • Position 5-12 = numeric (air waybill number) Space fill position 13-30.
CL2: Shipping Weight	X					Report weight in kilograms.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

Note 1: Report the 2-character or 3-letter code issued by IATA; do not report a four-character code.

MAIL Shipments

When the MOT is reported as Mail (50):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Carrier ID				X		Report spaces.
SC1: Conveyance Name/Carrier Name				X		Report spaces.
SC1: Port of Unlading Code				X		Report spaces.
SC1: Port of Exportation Code	X					Report port code '8000' (Mail Shipments) or any valid U.S. port. See Appendix D '*Export Port Codes*'.
SC3: Equipment Number				X		Do not submit SC3.
SC3: Seal Number				X		Do not submit SC3.
SC3: Transportation Reference Number				X		Do not submit SC3.
CL2: Shipping Weight		X	Report weight in kilograms for household goods. For all other shipments, report zeros. See Appendix E, '*Commodity Filing Export Information and Reporting Guidelines*'.			

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

FIXED TRANSPORT Shipments

When the MOT is reported as Fixed (70):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Carrier ID				X		Report spaces.
SC1: Conveyance Name/Carrier Name				X		Report spaces.
SC1: Port of Unlading Code				X		Report spaces.
SC1: Port of Exportation Code	X					Report the U.S. port at the actual border crossing location or the U.S. port nearest to the actual border crossing location. The port MUST be a valid fixed transport departure port. See Appendix D '*Export Port Codes*'.
SC3: Equipment Number				X		Do not submit SC3.
SC3: Seal Number				X		Do not submit SC3.
SC3: Transportation Reference Number				X		Do not submit SC3.
CL2: Shipping Weight				X		Report zeros.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

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PASSENGER, HAND-CARRIED Shipments

When the MOT is reported as Passenger, Hand-Carried (60):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Carrier ID				X		Report spaces.
SC1: Conveyance Name/Carrier Name				X		Report spaces.
SC1: Port of Unlading Code				X		Report spaces.
SC1: Port of Exportation Code	X					Report the U.S. port from which the departure is to occur. The port MUST be a valid vessel, air, rail or road departure port. See Appendix D '*Export Port Codes*'.
SC3: Equipment Number				X		Do not submit SC3.
SC3: Seal Number				X		Do not submit SC3.
SC3: Transportation Reference Number				X		Do not submit SC3.
CL2: Shipping Weight		X	Report weight in kilograms for household goods. For all other shipments, report zeros. See Appendix E, '*Commodity Filing Export Information and Reporting Guidelines*'.			

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

ALL Other Modes

When the MOT is any other valid code:

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Carrier ID				X		Report spaces.
SC1: Conveyance Name/Carrier Name				X		Report spaces.
SC1: Port of Unlading Code				X		Report spaces.
SC1: Port of Exportation Code	X					Report the U.S. port at the actual border crossing location or the U.S. port nearest to the actual border crossing location. The port MUST be a valid land border, truck departure port. See Appendix D '*Export Port Codes*'.
SC3: Equipment Number				X		Do not submit SC3.
SC3: Seal Number				X		Do not submit SC3.
SC3: Transportation Reference Number				X		Do not submit SC3.

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Record : Data Element	M	C	Condition	N	O	Notes
CL2: Shipping Weight		X	Report weight in kilograms for household goods. For all other shipments, report zeros. See Appendix E, '*Commodity Filing Export Information and Reporting Guidelines*'.			

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

f) Shipments Between the US and Puerto Rico

The following tables describes the transportation related data element reporting requirements when reporting a shipment between the US and Puerto Rico. Note the exceptions to the port of exportation and port of unlading.

Shipments from the US to Puerto Rico

All modes of transport are allowed to be reported for shipments from the U.S to Puerto Rico.

VESSEL Shipments from the US to Puerto Rico

When the MOT is reported as Vessel, Non-Containerized (10) or Vessel, Containerized (11):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'PR'.
SC1: Carrier ID	X					Report a valid vessel SCAC code. If the ultimate carrier is unknown, report the consolidator's SCAC. Report 'UNKN' if a valid SCAC is not readily available.
SC1: Conveyance Name/Carrier Name	X					Report the vessel's name. Do NOT report 'VESSEL' (or variations thereof).
SC1: Port of Unlading Code	X					Report the 4-character U.S. port code where the goods are to be unladed in Puerto Rico. The port code must be a valid vessel port located in Puerto Rico. See Appendix D '*Export Port Codes*'. Left justify and space fill.
SC1: Port of Exportation Code	X					Report the U.S. port code where the goods were last laden for departure. The port code must be a valid vessel departure port located in the U.S. See Appendix D '*Export Port Codes*'.
SC1: Estimated Date of Export	X					Report the estimated date of *departure* from the US port.
SC3: Equipment Number					X	Report equipment/container number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known
SC3: Transportation Reference Number	X					Report the carrier's booking number. NOTE: a SINGLE booking ONLY can be reported for the shipment. Number must be alphanumeric.
CL2: Shipping Weight	X					Report weight in kilograms.

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Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

When the MOT is reported as Border, Water Borne [Barge] (12):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'PR'.
SC1: Carrier ID	X					Report a valid vessel SCAC code. If the ultimate carrier is unknown, report the consolidator's SCAC. Report 'UNKN' if a valid SCAC is not readily available.
SC1: Conveyance Name/Carrier Name	X					Report the barge company's name or 'BARGE' plus an identifying number (e.g., 'BARGE 1234'). Do not report the word 'BARGE' by itself.
SC1: Port of Unlading Code	X					Report the 4-character U.S. port code where the goods are to be unladed in Puerto Rico. The port code must be a valid vessel port located in Puerto Rico. See Appendix D '*Export Port Codes*'. Left justify and space fill.
SC1: Port of Exportation Code	X					Report the U.S. port code where the goods were last laden for departure. The port code must be a valid vessel departure port located in the U.S. See Appendix D '*Export Port Codes*'.
SC1: Estimated Date of Export	X					Report the estimated date of *departure* from the US port.
SC3: Equipment Number					X	Report equipment/container number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known
SC3: Transportation Reference Number	X					Report the carrier's booking number. NOTE: a SINGLE booking ONLY can be reported for the shipment. Number must be alphanumeric.
CL2: Shipping Weight	X					Report weight in kilograms.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

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RAIL Shipments from the US to Puerto Rico

When the MOT is reported as Rail, Non-Containerized (20) or Rail, Containerized (21):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'PR'.
SC1: Carrier ID	X					Report a valid rail SCAC code. If the ultimate carrier is unknown, report the consolidator's SCAC. Report 'UNKN' if a valid SCAC is not readily available.
SC1: Conveyance Name/Carrier Name	X					Report the name of the rail carrier. Do NOT report 'RAIL' (or variations thereof).
SC1: Port of Unlading Code				X		Report spaces.
SC1: Port of Exportation Code	X					Report the U.S. port code where the goods were last laden for departure from the United States. The port code must be a valid land border, rail departure port located in the U. S. See Appendix D '*Export Port Codes*'.
SC1: Estimated Date of Export	X					Report the estimated date of *departure* from the US port.
SC3: Equipment Number					X	Report container/equipment number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known
SC3: Transportation Reference Number					X	Report the carrier's waybill (for rail stock), ocean bill-of-lading (for vessel containers), or pro-bill (for truck containers), if known. NOTE: a SINGLE reference ONLY can be reported for the shipment. Number must be alphanumeric.
CL2: Shipping Weight	X					Report weight in kilograms.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

TRUCK Shipments from the US to Puerto Rico

When the MOT is reported as Truck, Non-Containerized (30) or Truck, Containerized (31):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'PR'.
SC1: Carrier ID	X					Report a valid truck SCAC code. If the ultimate carrier is unknown, report the consolidator's SCAC. If using a Mexican trucking company without a SCAC, use code '*M' or '99M' (unknown

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Record : Data Element	M	C	Condition	N	O	Notes
						Mexican trucking carrier) otherwise report 'UNKN' if a valid SCAC is not readily available.
SC1: Conveyance Name/Carrier Name	X					Report the name of the trucking carrier. Do NOT report 'TRUCK' (or variations thereof).
SC1: Port of Unlading Code				X		Report spaces.
SC1: Port of Exportation Code	X					Report the U.S. port code where the goods were last laden for departure from the United States. The port code must be a valid land border, truck departure port located in the U. S. See Appendix D '*Export Port Codes*'.
SC1: Estimated Date of Export	X					Report the estimated date of *departure* from the US port.
SC3: Equipment Number					X	Report container/equipment number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known
SC3: Transportation Reference Number					X	Report the carrier's pro-bill number, if known. NOTE: a SINGLE pro-bill ONLY can be reported for the shipment. Number must be alphanumeric.
CL2: Shipping Weight	X					Report weight in kilograms.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

AIR Shipments from the US to Puerto Rico

When the MOT is reported as Air, Non-Containerized (40) or Air, Containerized (41):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'PR'.
SC1: Carrier ID	X					Report a valid air carrier primary IATA code (**see note 1**). If using an air carrier without an IATA code, use '*F' or '99F' (unknown foreign air carrier); '*U' or '99U' (unknown U.S. air carrier); '*C' or '99C' (unknown Canadian air carrier); '**' or '99O' ('flyaway aircraft'; HS chapter 8802).
SC1: Conveyance Name/Carrier Name	X					Report the name of the air carrier. Do NOT report 'AIR', 'AIRPLANE' (or variations thereof).
SC1: Port of Unlading Code	X					Report the 4-character port

Record : Data Element	M	C	Condition	N	O	Notes
						code where the goods are to be unladed in Puerto Rico. The port code must be a valid air departure port located in Puerto Rico. See Appendix D '*Export Port Codes*'. Left justify and space fill.
SC1: Port of Exportation Code	X					Report the U.S. port code where the goods were last laden for departure. The port code must be a valid air departure port code in the U.S. See Appendix D '*Export Port Codes*'.
SC1: Estimated Date of Export	X					Report the estimated date of *departure* from the US port.
SC3: Equipment Number					X	Report container/equipment number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known
SC3: Transportation Reference Number					X	Report the carrier's master air waybill number. NOTE: a SINGLE master air waybill number ONLY can be reported for the shipment. Number must be formatted as follows: NNN-NNNNNNNN • Position 1-3 = numeric (air waybill prefix) • Position 4 = '-' (dash) • Position 5-12 = numeric (air waybill number) Space fill position 13-30.
CL2: Shipping Weight	X					Report weight in kilograms.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

Note 1: Report the 2-character or 3-letter code issued by IATA; do not report a four-character code.

MAIL Shipments from the US to Puerto Rico

When the MOT is reported as Mail (50):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'PR'.
SC1: Carrier ID				X		Report spaces.
SC1: Conveyance Name/Carrier Name				X		Report spaces.
SC1: Port of Unlading Code				X		Report spaces.

Proprietary Formats

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Port of Exportation Code	X					Report port code '8000' (Mail shipment) or any valid U.S. port. See Appendix D, 'Export Port Codes'.
SC1: Estimated Date of Export	X					Report the estimated date of *departure* from the US port.
SC3: Equipment Number				X		Do not submit SC3.
SC3: Seal Number				X		Do not submit SC3.
SC3: Transportation Reference Number				X		Do not submit SC3.
CL2: Shipping Weight		X	Report weight in kilograms for household goods. For all other shipments, report zeros. See Appendix E, '*Commodity Filing Export Information and Reporting Guidelines*'.			

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

FIXED TRANSPORT Shipments from the US to Puerto Rico

When the MOT is reported as Fixed (70):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'PR'.
SC1: Carrier ID				X		Report spaces.
SC1: Conveyance Name/Carrier Name				X		Report spaces.
SC1: Port of Unlading Code				X		Report spaces.
SC1: Port of Exportation Code	X					Report the U.S. port at the actual border crossing location or the U.S. port nearest to the actual border crossing location. The port MUST be a valid fixed transport departure port. See Appendix D '*Export Port Codes*'.
SC1: Estimated Date of Export	X					Report the estimated date of *departure* from the US port.
SC3: Equipment Number				X		Do not submit SC3.
SC3: Seal Number				X		Do not submit SC3.
SC3: Transportation Reference Number				X		Do not submit SC3.
CL2: Shipping Weight				X		Report zeros.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

Proprietary Formats

PASSENGER, HAND-CARRIED Shipments from the US to Puerto Rico

When the MOT is reported as Passenger, Hand-Carried (60):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'PR'.
SC1: Carrier ID				X		Report spaces.
SC1: Conveyance Name/Carrier Name				X		Report spaces.
SC1: Port of Unlading Code				X		Report spaces.
SC1: Port of Exportation Code	X					Report the U.S. port from which the departure is to occur. The port MUST be a valid vessel, rail, air or road departure port. See Appendix D '*Export Port Codes*'.
SC1: Estimated Date of Export	X					Report the estimated date of *departure* from the US port.
SC3: Equipment Number				X		Do not submit SC3.
SC3: Seal Number				X		Do not submit SC3.
SC3: Transportation Reference Number				X		Do not submit SC3.
CL2: Shipping Weight		X	Report weight in kilograms for household goods. For all other shipments, report zeros. See Appendix E, '*Commodity Filing Export Information and Reporting Guidelines'*.			

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

ALL Other Modes from the US to Puerto Rico

When the MOT is any other valid code:

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'PR'.
SC1: Carrier ID				X		Report spaces.
SC1: Conveyance Name/Carrier Name				X		Report spaces.
SC1: Port of Unlading Code				X		Report spaces.
SC1: Port of Exportation Code	X					Report the U.S. port at the actual border crossing location or the U.S. port nearest to the actual border crossing location. The port MUST be a valid land border, truck departure port. See Appendix D '*Export Port Codes*'.

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Record : Data Element	M	C	Condition	N	O	Notes
SC1: Estimated Date of Export	X					Report the estimated date of *departure* from the US port.
SC3: Equipment Number				X		Do not submit SC3.
SC3: Seal Number				X		Do not submit SC3.
SC3: Transportation Reference Number				X		Do not submit SC3.
CL2: Shipping Weight		X	Report weight in kilograms for household goods. For all other shipments, report zeros. See Appendix E, '*Commodity Filing Export Information and Reporting Guidelines*'.			

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

Shipments from Puerto Rico to the US

Vessel, air, passenger (hand-carried) and mail shipments only are allowed to be reported from Puerto Rico to the U.S.

VESSEL Shipments from Puerto Rico to the US

When the MOT is reported as Vessel, Non-Containerized (10) or Vessel, Containerized (11):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'US'.
SC1: Carrier ID	X					Report a valid vessel SCAC code. If the ultimate carrier is unknown, report the consolidator's SCAC. Report 'UNKN' if a valid SCAC is not readily available.
SC1: Conveyance Name/Carrier Name	X					Report the vessel's name. Do NOT report 'VESSEL' (or variations thereof).
SC1: Port of Unlading Code	X					Report the 4-character U.S. port code where the goods are to be unladed in the United States. Must be a valid vessel port in the U.S. See Appendix D '*Export Port Codes*'. Left justify and space fill.
SC1: Port of Exportation Code	X					Report the U.S. port code where the goods were last laden for departure from Puerto Rico. The port code must be a valid vessel departure port located in Puerto Rico. See Appendix D

Proprietary Formats

Record : Data Element	M	C	Condition	N	O	Notes
						'*Export Port Codes*'.
SC1: Estimated Date of Export	X					Report the estimated date of *departure* from the Puerto Rican port.
SC3: Equipment Number					X	Report equipment/container number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known.
SC3: Transportation Reference Number	X					Report the carrier's booking number. NOTE: a SINGLE booking ONLY can be reported for the shipment. Number must be alphanumeric.
CL2: Shipping Weight	X					Report weight in kilograms

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

When the MOT is reported as Border, Water Borne [Barge] (12):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'US'.
SC1: Carrier ID	X					Report a valid vessel SCAC code. If the ultimate carrier is unknown, report the consolidator's SCAC. Report 'UNKN' if a valid SCAC is not readily available.
SC1: Conveyance Name/Carrier Name	X					Report the barge company's name or 'BARGE' plus an identifying number (e.g., 'BARGE 1234'). Do not report the word 'BARGE' by itself.
SC1: Port of Unlading Code	X					Report the 4-character U.S. port code where the goods are to be unladed in the United States. Must be a valid vessel port in the U.S. See Appendix D '*Export Port Codes*'. Left justify and space fill.
SC1: Port of Exportation Code	X					Report the U.S. port code where the goods were last laden for departure from Puerto Rico. The port code must be a valid vessel departure port located in Puerto Rico. See Appendix D '*Export Port Codes*'.
SC1: Estimated Date of Export	X					Report the estimated date of *departure* from the Puerto Rican port.
SC3: Equipment Number					X	Report equipment/container number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known.

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Record : Data Element	M	C	Condition	N	O	Notes
SC3: Transportation Reference Number	X					Report the carrier's booking number. NOTE: a SINGLE booking ONLY can be reported for the shipment. Number must be alphanumeric.
CL2: Shipping Weight	X					Report weight in kilograms

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

AIR Shipments from Puerto Rico to the US

When the MOT is reported as Air, Non-Containerized (40) or Air, Containerized (41):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'US'.
SC1: Carrier ID	X					Report a valid air carrier primary IATA code (**see note 1**). If using an air carrier without an IATA code, use '*F' or '99F' (unknown foreign air carrier); '*U' or '99U' (unknown U.S. air carrier); '*C' or '99C' (unknown Canadian air carrier); '**' or '99O' ('flyaway aircraft'; HS chapter 8802).
SC1: Conveyance Name/Carrier Name	X					Report the name of the air carrier. Do NOT report 'AIR', 'AIRPLANE' (or variations thereof).
SC1: Port of Unlading Code	X					Report the 4-character U.S. port code where the goods are to be unladed in the United States. Must be a valid air departure port located in the U.S. See Appendix D '*Export Port Codes*'. Left justify and space fill.
SC1: Port of Exportation Code	X					Report the U.S. port code where the goods were last laden for departure from Puerto Rico. The port code must be a valid air departure port located in Puerto Rico. See Appendix D '*Export Port Codes*'.
SC1: Estimated Date of Export	X					Report the estimated date of *departure* from the Puerto Rican port.
SC3: Equipment Number					X	Report equipment/container number(s), if known.
SC3: Seal Number					X	Report seal number(s), if known.
SC3: Transportation					X	Report the carrier's master air

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Record : Data Element	M	C	Condition	N	O	Notes
Reference Number						waybill number. NOTE: a SINGLE master air waybill number ONLY can be reported for the shipment. Number must be formatted as follows: NNN-NNNNNNNN • Position 1-3 = numeric (air waybill prefix) • Position 4 = '-' (dash) • Position 5-12 = numeric (air waybill number) Space fill position 13-30.
CL2: Shipping Weight	X					Report weight in kilograms

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

Note 1: Report the 2-character or 3-letter code issued by IATA; do not report a four-character code.

PASSENGER, HAND-CARRIED Shipments from Puerto Rico to the US

When the MOT is reported as Passenger, Hand-Carried (60):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'US'.
SC1: Carrier ID				X		Report spaces.
SC1: Conveyance Name/Carrier Name				X		Report spaces.
SC1: Port of Unlading Code				X		Report spaces.
SC1: Port of Exportation Code	X					Report the U.S. port code from which the departure is to occur. The port code must be a valid vessel or airport located in Puerto Rico. See Appendix D '*Export Port Codes*'.
SC1: Estimated Date of Export	X					Report the estimated date of departure from the Puerto Rican port.
SC3: Equipment Number				X		Do not submit SC3.
SC3: Seal Number				X		Do not submit SC3.
SC3: Transportation Reference Number				X		Do not submit SC3.
CL2: Shipping Weight		X	Report weight in kilograms for household goods. For all other shipments, report zeros. See Appendix E, '*Commodity Filing*			

Proprietary Formats

Record : Data Element	M	C	Condition	N	O	Notes
			Export Information and Reporting Guidelines'.			

MAIL Shipments from Puerto Rico to the US

When the MOT is reported as Mail (50):

Record : Data Element	M	C	Condition	N	O	Notes
SC1: Country of Ultimate Destination Code	X					Must be 'US'.
SC1: Carrier ID				X		Report spaces.
SC1: Conveyance Name/Carrier Name				X		Report spaces.
SC1: Port of Unlading Code				X		Report spaces.
SC1: Port of Exportation Code	X					Report '8000' (Mail shipment) or any valid US port located in Puerto Rico. See Appendix D '*Export Port Codes*'.
SC1: Estimated Date of Export	X					Report the estimated date of departure from the Puerto Rican port.
SC3: Equipment Number				X		Do not submit SC3.
SC3: Seal Number				X		Do not submit SC3.
SC3: Transportation Reference Number				X		Do not submit SC3.
CL2: Shipping Weight		X	Report weight in kilograms for household goods. For all other shipments, report zeros. See Appendix E, '*Commodity Filing Export Information and Reporting Guidelines'*.			

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

g) Party Reporting

Conditionally, up to four relevant parties may be reported for each commodity shipment transaction. When required, report one, and only one, of each type per commodity shipment transaction. The parties can be reported in any order.

When reporting a party address in Puerto Rico, report 'PR' as the State Code and 'US' as the Country Code.

US Principal Party in Interest

The United States Principal Party in Interest is the person, party or other entity in the U.S. that receives the primary benefit, monetary or otherwise, of the export transaction. Generally the entity is the U.S. seller, manufacturer, order party or foreign entity. A foreign entity must be declared as the USPPI if the party is in the U.S. when the items are purchased or obtained for export.

Reporting Requirements:

- A USPPI MUST be declared for every shipment transaction.
- For aPostdeparture approved USPPI, the party's 'profile' must be established in AES by the Census Bureau *prior* to accepting the first Postdeparture claimed shipment for the USPPI.
- When the Party ID Type is **E** [EIN], positions 1 – 9 MUST be numeric. Positions 10 and 11 are used at the sole discretion of the filer to signify a 'location' of the party and, if used, may be specified as alphanumeric. If this location feature is NOT used, positions 10 and 11 MUST be zeros.
- When the Party ID Type is D (DUNS), positions 1–9 MUST be numeric. Positions 10 and 11 MUST be zeros.
- When the Party ID Type is **T** [Foreign Entity], all positions can be alphanumeric. If the identifier is less than 11 positions, left justify and zero fill. If more than 11 positions, truncate the excess. The identifier reported MUST be an identification number appearing on an official document such as a border crossing card, a passport, or an alien registration card. An embassy 'code' (a two-position ISO country code followed by the word '*EMBASSY*') can be used in cases where a foreign embassy located in the United States is exporting merchandise.
- Contact Phone Number must be reported as 10 numerals (area code + 7-digit number) followed by 3 spaces.
- Census requires that the EIN number be reported for a non-foreign USPPI. When establishing or correcting a USPPI using a DUNS number, include the EIN in the N03 record.

(a) To declare the USPPI:

- A complete party grouping is **required**.
- The reported Party ID, Party ID Type, and Party Name MUST match exactly the values reported in the preceding block control header USPPI ID, USPPI ID Type, and USPPI Name.

The table below describes the data element reporting requirements for the USPPI party.

Record : Data Element	M	C	Condition	N	O	Notes
N01 : Party ID	X					
N01 : Party ID Type	X					Must be **D**, **E**, or **T**.
N01 : Party Type	X					Always **E**.
N01 : Party Name	X					
N01 : Contact First Name					X	
N01 : Contact Last Name	X					
N01 : To be Sold en Route Indicator				X		Report space.
N02 : Address Line 1	X					
N02 : Address Line 2					X	
N02 : Contact Phone Nbr	X					Must be 10 numerals followed by 3 spaces.
N03 : City	X					
N03 : State Code	X					Must be a valid USPS State code.
N03 : Country Code	X					Must be US
N03 : Postal Code	X					Must be valid 5 or 9 digit US Zip Code. Left justify, No leading spaces or imbedded dashes.
N03 : USPPI IRS Nbr		X	Required when Party ID Type is **D**. NOT allowed when Party ID Type is **E**, or **T**.			Report spaces if NOT required.
N03 : USPPI IRS ID Type		X	Required when USPPI IRS Nbr required.			If required, must be **E** Report spaces if NOT required.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

Proprietary Formats

Forwarding Agent

The person or party in the U.S. who is authorized by the USPPI or Foreign Principal Party to perform the services required facilitating the export of merchandise out of the U.S., or the person named on the export license.

Reporting Requirements:

- A forwarding agent:

  MUST be declared for a shipment filed by a forwarding agent on behalf of a USPPI. A 'forwarder' filed shipment is identified as one in which the party reported in the batch control header (Filer ID and Filer ID Type) is NOT the same party as reported in the block control header (USPPI ID and USPPI ID Type).

  MUST be declared for a shipment filed by a USPPI if one has been employed in the business transaction. A 'USPPI' filed shipment is identified as one in which the party reported in the batch control header (Filer ID and Filer ID Type) is the same party as reported in the block control header (USPPI ID and USPPI ID Type).

- When the Party ID Type is **E** [EIN], positions 1 – 9 MUST be numeric. Positions 10 and 11 are used at the sole discretion of the filer to signify a 'location' of the party and, if used, may be specified as alphanumeric. If this location feature is NOT used, positions 10 and 11 MUST be zeros.

- When the Party ID Type is D (DUNS), positions 1–9 MUST be numeric. Positions 10 and 11 MUST be zeros.

- A Party ID Type of T (Foreign Entity) cannot be reported for the forwarding agent.

- When required, Contact Phone Number must be reported as 10 numerals (area code + 7-digit number) followed by 3 spaces.

(a) To declare a *new, previously unreported* forwarding agent *or* to correct the name/address or other information of any *previously established* forwarding agent for a 'forwarding agent filed' or 'USPPI filed' shipment:

- A complete party grouping is **required**.

Note: Any full party grouping reported for a forwarding agent that has previously been reported/established shall be considered as a correction to that party's profile.

The table below describes the data element reporting requirements for a *new* or *corrected* forwarding agent when filed by a 'forwarding agent' or a 'USPPI'.

Record : Data Element	M	C	Condition	N	O	Notes
N01 : Party ID	X					
N01 : Party ID Type	X					Must be **D**, or **E**.
N01 : Party Type	X					Always F.
N01 : Party Name	X					
N01 : Contact First Name					X	Report ONLY if Contact Last Name reported.
N01 : Contact Last Name					X	
N01 : To be Sold en Route				X		Report space.

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Record : Data Element	M	C	Condition	N	O	Notes
Indicator						
N02 : Address Line 1	X					
N02 : Address Line 2					X	
N02 : Contact Phone Nbr	X					Must be 10 numerals followed by 3 spaces.
N03 : City	X					
N03 : State Code	X					Must be valid USPS State code.
N03 : Country Code	X					Must be US
N03 : Postal Code	X					Must be valid 5 or 9 digit US Zip Code. Left justify, No leading spaces or imbedded dashes.
N03 : USPPI IRS Nbr				X		Report space.
N03 : USPPI IRS ID Type				X		Report space.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

(b) To declare a *previously reported* forwarding agent under the address as *last* reported:

- A complete party grouping is **NOT required**.
- A single party header ONLY is **required**.

The table below describes the data element reporting requirements when referencing a previously established forwarding agent.

Record : Data Element	M	C	Condition	N	O	Notes
N01 : Party ID	X					
N01 : Party ID Type	X					Must be **D,** or **E**.
N01 : Party Type	X					Always **F**.
N01 : Party Name				X		Report space.
N01 : Contact First Name				X		Report space.
N01 : Contact Last Name				X		Report space.
N01 : To be Sold en Route Indicator				X		Report space.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

Proprietary Formats

Ultimate Consignee

The person, party or designee listed on the export license and located abroad that actually receives the export shipment.

Reporting Requirements:

- An ultimate consignee MUST be declared for every shipment transaction.
- The shipment can be reported as 'sold en route' if an ultimate consignee is NOT known at time of export reporting. When reported in this manner, the filer has an initial four days to 'correct' the shipment (and report the actual consignee). A warning reminder shall be generated and returned to the filer four days after AES receives the commodity shipment transaction and then once every seven days until the actual consignee is reported. See AESTIR Part II, Section 1 (b) 'AES Commodity Data Transactions – Commodity Shipment Warning Reminder' for details.
- Party ID and Party ID Type are NOT required to be reported for the ultimate consignee. However, report a number if one is known. Report a DUNS number as Party ID or in the event that the ultimate consignee is a party identified by an EIN (e.g., shipments between the US and Puerto Rico), report that number as Party ID.
- When the Party ID Type is **E** [EIN], positions 1 – 9 MUST be numeric. Positions 10 and 11 are used at the sole discretion of the filer to signify a 'location' of the party and, if used, may be specified as alphanumeric. If this location feature is NOT used, positions 10 and 11 MUST be zeros.
- When the Party ID Type is D (DUNS), positions 1–9 MUST be numeric. Positions 10 and 11 MUST be zeros.
- A Party ID Type of T (Foreign Entity) cannot be reported for the ultimate consignee.
- When reported, Contact Phone Number must be a minimum of 8 numerals, but may be up to 13 numerals. Report ONLY the foreign country code + foreign city code (if required) + local number. Do NOT include the International Access Code '011' as the first three digits. Space fill any remaining positions.

(a) To declare a new, previously unreported ultimate consignee (without a Party ID) *or* to correct the name/address or other information of any *previously established* ultimate consignee (without a Party ID) for ANY filing option:

- A complete party grouping is **required**.

Note: Any full party grouping reported for an ultimate consignee that has previously been reported/established shall be considered as a correction to that party's profile.

The table below describes the data element reporting requirements for an ultimate consignee without a Party ID for ANY filing option.

Record : Data Element	M	C	Condition	N	O	Notes
N01 : Party ID				X		Report spaces.
N01 : Party ID Type				X		Report spaces
N01 : Party Type	X					Always **C**.
N01 : Party Name	X					Cannot be 'SOLD EN ROUTE'
N01 : Contact First Name					X	Report ONLY if Contact Last

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Record : Data Element	M	C	Condition	N	O	Notes
						Name reported.
N01 : Contact Last Name					X	Report if known at time of filing.
N01 : To be Sold en Route Indicator	X					Must be **N**.
N02 : Address Line 1	X					
N02 : Address Line 2					X	Report ONLY if Address Line 1 reported.
N02 : Contact Phone Nbr					X	Must be at least 8 numerals.
N03 : City	X					
N03 : State Code		X	If Country Code = **MX**, report valid Mexican State code. If Country Code = **US**, report valid USPS code. Otherwise report spaces.			
N03 : Country Code	X					
N03 : Postal Code		X	Required if Country Code = **US**. For other than US, report if known.			If US address, must be valid 5 or 9 digit US Zip Code. Left justify, No leading spaces or imbedded dashes.
N03 : USPPI IRS Nbr				X		Report space.
N03 : USPPI IRS ID Type				X		Report space.
N03 : Ultimate Consignee Type	X					

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

(b) To declare a *new, previously unreported* ultimate consignee (with a Party ID) *or* to correct the name/address or other information of any *previously established* ultimate consignee (with a Party ID) for ANY filing option:

- A complete party grouping is **required**.

Note: Any full party grouping reported for an ultimate consignee that has previously been reported/established shall be considered as a correction to that party's profile.

The table below describes the data element reporting requirements for an ultimate consignee when the party is identified with a Party ID (either a DUNS or EIN) for ANY filing option.

Record : Data Element	M	C	Condition	N	O	Notes
N01 : Party ID	X					
N01 : Party ID Type	X					Must be **D, E or T**.
N01 : Party Type	X					Always **C**.
N01 : Party Name	X					Cannot be 'SOLD EN ROUTE'
N01 : Contact First Name					X	Report ONLY if Contact Last Name reported.
N01 : Contact Last Name					X	Report if known at time of filing.
N01 : To be Sold en Route Indicator	X					Must be **N**.

Proprietary Formats

Record : Data Element	M	C	Condition	N	O	Notes
N02 : Address Line 1	X					
N02 : Address Line 2					X	Report ONLY if Address Line 1 reported.
N02 : Contact Phone Nbr					X	Must be at least 8 numerals.
N03 : City	X					
N03 : State Code		X	If Country Code = **MX**, report valid Mexican State code. If Country Code = **US**, report valid USPS code. Otherwise report spaces.			
N03 : Country Code	X					
N03 : Postal Code		X	Required if Country Code = **US**. For other than US, report if known.			If US address, must be valid 5 or 9 digit US Zip Code. Left justify, No leading spaces or imbedded dashes.
N03 : USPPI IRS Nbr				X		Report space.
N03 : USPPI IRS ID Type				X		Report space.
N03 : Ultimate Consignee Type	X					

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

(c) To declare that the shipment is to be 'sold en route':

- A complete party grouping is required.

The table below describes the data element reporting requirements for an ultimate consignee when the shipment is 'to be sold en route'. NOTE: The filer has four days to 'correct' the consignee information reported as 'To be Sold en Route' with the actual full consignee information.

Record : Data Element	M	C	Condition	N	O	Notes
N01 : Party ID				X		Report space.
N01 : Party ID Type				X		Report space.
N01 : Party Type	X					Always **C**.
N01 : Party Name	X					MUST be 'SOLD EN ROUTE'
N01 : Contact First Name				X		Report space.
N01 : Contact Last Name				X		Report space.
N01 : To be Sold en Route Indicator	X					Must be **Y**.
N02: Address Line 1				X		
N02: Address Line 2				X		
N02: Contact Phone Nbr				X		
N03: City	X					Report city of first port of call
N03: State Code				X		
N03: Country	X					Report country of first port of call
N03: Postal Code				X		
N03: USPPI IRS Nbr				X		

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Record : Data Element	M	C	Condition	N	O	Notes
N03: USPPI IRS ID Type				X		
N03 : Ultimate Consignee Type	X					

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

(d) To declare a *previously reported* ultimate consignee (with a Party ID) under the address as *last* reported, for ANY filing option:

- A complete party grouping is **NOT required**.

- A single party header ONLY is **required**.

The table below describes the data element reporting requirements when referencing a previously established ultimate consignee identified with a Party ID for ANY filing option.

Record : Data Element	M	C	Condition	N	O	Notes
N01 : Party ID	X					
N01 : Party ID Type	X					Must be **D, E or T**.
N01 : Party Type	X					Always **C**.
N01 : Party Name				X		Report space.
N01 : Contact First Name				X		Report space.
N01 : Contact Last Name				X		Report space.
N01 : To be Sold en Route Indicator	X					Must be **N**.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

Proprietary Formats

Intermediate Consignee

The person or party that acts in a foreign country as an agent for the USPPI or the ultimate consignee for the purpose of effecting delivery of the export shipment to the ultimate consignee or the person named on the export license.

Reporting Requirements:

- An intermediate consignee MAY be declared for a shipment transaction. Report an intermediate consignee if one was used in the business transaction.
- Party ID and Party ID Type are NOT required to be reported for the intermediate consignee. However, report a number if one is known. Report a DUNS number as Party ID or in the event that the intermediate consignee is a party identified by an EIN (e.g., shipments between the US and Puerto Rico), report that number as Party ID.
- When the Party ID Type is **E** [EIN], positions 1 – 9 MUST be numeric. Positions 10 and 11 are used at the sole discretion of the filer to signify a 'location' of the party and, if used, may be specified as alphanumeric. If this location feature is NOT used, positions 10 and 11 MUST be zeros.
- When the Party ID Type is D (DUNS), positions 1–9 MUST be numeric. Positions 10 and 11 MUST be zeros.
- A Party ID Type of T (Foreign Entity) cannot be reported for the intermediate consignee.
- When reported, Contact Phone Number must be a minimum of 8 numerals, but may be up to 13 numerals. Report ONLY the foreign country code + foreign city code (if required) + local number. Do NOT include the International Access Code '011' as the first three digits. Space fill any remaining positions.

(a) To declare a *new, previously unreported* foreign intermediate consignee (without a Party ID) *or* to correct the name/address or other information of any *previously established* foreign intermediate consignee (without a Party ID):

- A complete party grouping is **required**.

Note: Any full party grouping reported for an intermediate consignee that has previously been reported/established shall be considered as a correction to that party's profile.

The table below describes the data element reporting requirements for an intermediate consignee when the party is a known foreign entity without a Party ID.

Record : Data Element	M	C	Condition	N	O	Notes
N01 : Party ID				X		Report spaces.
N01 : Party ID Type				X		Report spaces.
N01 : Party Type	X					Always **I**.
N01 : Party Name	X					
N01 : Contact First Name					X	Report ONLY if Contact Last Name reported.
N01 : Contact Last Name					X	Report if known at time of filing.
N01 : To be Sold en Route Indicator				X		Report space.
N02 : Address Line 1	X					

Proprietary Formats

Record : Data Element	M	C	Condition	N	O	Notes
N02 : Address Line 2					X	Report ONLY if Address Line 1 reported.
N02 : Contact Phone Nbr					X	Must be at least 8 numerals.
N03 : City	X					
N03 : State Code		X	If Country Code = **MX**, report valid Mexican State code, if known. If Country Code = **US**, report valid USPS code. Otherwise report spaces.			
N03 : Country Code	X					
N03 : Postal Code		X	Required if Country Code = **US**. For other than US, report if known.			If US address, must be valid 5 or 9 digit US Zip Code. Left justify, No leading spaces or imbedded dashes.
N03 : USPPI IRS Nbr				X		Report space.
N03 : USPPI IRS ID Type				X		Report space.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

(b) To declare a *new, previously unreported* intermediate consignee (with a Party ID) *or* to correct the name/address or other information of any *previously established* intermediate consignee (with a Party ID):

- A complete party grouping is **required**.

Note: Any full party grouping reported for an intermediate consignee that has previously been reported/established shall be considered as a correction to that party's profile.

The table below describes the data element reporting requirements for an intermediate when the party is identified with a Party ID (either a DUNS or EIN).

Record : Data Element	M	C	Condition	N	O	Notes
N01 : Party ID	X					
N01 : Party ID Type	X					Must be **D, E or T**.
N01 : Party Type	X					Always **I**.
N01 : Party Name	X					
N01 : Contact First Name					X	Report ONLY if Contact Last Name reported.
N01 : Contact Last Name					X	Report if known at time of filing.
N01 : To be Sold en Route Indicator				X		Report space.
N02 : Address Line 1	X					
N02 : Address Line 2					X	Report ONLY if Address Line 1 reported.
N02 : Contact Phone Nbr					X	Must be at least 8 numerals.
N03 : City	X					
N03 : State Code		X	If Country Code = **MX**, report valid			

Proprietary Formats

Record : Data Element	M	C	Condition	N	O	Notes
			Mexican State code, if known. If Country Code = **US**, report valid USPS code. Otherwise report spaces.			
N03 : Country Code	X					
N03 : Postal Code		X	Required if Country Code = **US**. For other than US, report if known.			If US address, must be valid 5 or 9 digit US Zip Code. Left justify, No leading spaces or imbedded dashes.
N03 : USPPI IRS Nbr				X		Report space.
N03 : USPPI IRS ID Type				X		Report space.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

(c) To declare a *previously reported* intermediate consignee (with a Party ID) under the address as *last* reported:

- A complete party grouping is **NOT required**.

- A single party header ONLY is **required**.

The table below describes the data element reporting requirements when a referencing a previously established intermediate consignee identified with a Party ID.

Record : Data Element	M	C	Condition	N	O	Notes
N01 : Party ID	X					
N01 : Party ID Type	X					Must be **D, E or T**.
N01 : Party Type	X					Always **I**.
N01 : Party Name				X		Report space.
N01 : Contact First Name				X		Report space.
N01 : Contact Last Name				X		Report space.
N01 : To be Sold en Route Indicator				X		Report space.

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **N** = NOT Allowed, **O** = Optional

h) Commodity Line Item Reporting

Use the following guidelines to declare a new or correct a previously reported commodity line item. The Export Information Code determines the level of reporting required. See '*Appendix E – Commodity Filing Export Information Codes and Reporting Guidelines*'.

For all filings:

- If more than one commodity line item is declared, report the Line Numbers for the commodity line item groupings in an ascending sequence.

- When correcting a previously reported line item, retain the same line number as when initially established (e.g., if commodity line '0005' is initially added, that line item should retain its identity as line '0005' even if lines 0001-0004 are deleted).

- Do not repeat line numbers.

- The total number of line items that can be recorded in AES for a commodity shipment is 999. Any attempt to selectively 'add' line items that would cause the total number to exceed 999 shall result in a fatal error (> 999 LINE ITEMS FOUND - NOT ALLOWED).

- When declared, commodities classified in Chapter 98 cannot be reported in terms of HTS. Only Schedule B numbers for commodities in Chapter 98 can be reported. See '*Appendix V, HTS Numbers That Cannot Be Reported in AES'* for a list of additional HTS numbers that cannot be reported.

- When declared, commodity numbers 0000000001 through 0000000009 can ONLY be reported for merchandise returned to the US from Puerto Rico.

- When a Schedule B/HTS number is declared, report the unit of measure(s) as required for the commodity (Schedule B or HTS number). See '*Appendix K – Units of Measure Codes*'.

  - Report spaces in Unit of Measure (2) and zeros in Quantity (2) if a second quantity is NOT required.

  - Report BOTH Quantity (1)/Unit of Measure (1) and Quantity (2)/Unit of Measure (2) if the number requires BOTH *net* and *content* values (e.g., content kilograms). The content value CANNOT be greater than the net value.

  - If the Schedule B/HTS number does NOT require quantity reporting (i.e., 'X' in the Unit of Measure [1]), report 'X' as Unit of Measure (1) and report all zeros in Quantity (1).

  - When reported, Quantity (1) or Quantity (2) CANNOT contain a value greater than 100,000,000.

- When declared, the Value of Goods is to be in whole US dollars (round up, no cents). For aircraft shipments (commodity in chapter 88) the value cannot exceed $999,999,999. For all other commodity lines, the value cannot exceed $499,999,999.

- When declared, the Value of Goods must be greater than zero except in the case of a State Department DSP-5 license shipment. For technical data covered under a DSP-5 license, a value of zero is acceptable.

Proprietary Formats

- When declared, the Shipping Weight must be in kilograms. The reported weight per commodity line item cannot EXCEED:

  - 200,000,000 kilograms for VESSEL shipments
  - 120,000 kilograms for AIR shipments
  - 30,000,000 for RAIL shipments
  - 25,000,000 for TRUCK shipments

- When declared, shipments of Household Goods require a shipping weight in kilograms for all modes of transportation other than '70'.

- In a case where Quantity (1) or Quantity (2) is to be reported in kilograms, that reported quantity CANNOT exceed the Shipping Weight reported in kilograms if the method of transportation is vessel, air, truck or rail.

- When declared, the Commodity Description CANNOT be 'FREIGHT OF ALL KINDS', 'FAK', "SAID TO CONTAIN', 'STC' or any variation thereof.

- When summarizing all shipments by Schedule B/HTS number, all commodity line items including those valued $2,500 or less may be required to be reported. See *'Appendix E – Commodity Filing Export Information Codes and Reporting Guidelines'* for instructions.

- The introduction or change to ANY license or used vehicle information will result in a 'compliance alert' being noted per the following schedule:

  Predeparture – licenses and/or vehicles added or changed after the reported Date of Export.
  Postdeparture – licenses and/or vehicles added or changed after 5 calendar days after the reported Date of Export.
  AEI – licenses and/or vehicles added or changed after 5 calendar days after departure

i) Licensable Shipment Reporting

Follow the directives in '*Appendix F – License and License Exemption Type Codes and Reporting Guidelines*' for specific filing instructions.

j) Used Vehicle Reporting

ALL used self-propelled vehicle detail record (EV1) information MUST be reported for all shipments regardless of value and destination.

In ALL filing scenarios:

- A used vehicle detail record (EV1) can ONLY be reported if the Schedule B/ HTS number is one that identifies a used vehicle. See "Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting (Input EV1 Record)' for the list of used self-propelled vehicles. If you need assistance determining the classification of a used vehicle, contact your client representative.

- The total number of vehicle detail records reported MUST equal the value as reported in Quantity (1).

- Regarding the reporting of vehicle title information:

  - For a 'diplomatic' vehicle for which no US title has been issued, report 'US' as the Vehicle Title State Code. Report a Vehicle Title Number if one is available, else space.

- For all other ‘products’ (i.e., Vehicle ID Qualifier = ‘P’), report BOTH the Vehicle Title State Code (MUST be a US State) and the Vehicle Title Number if title information is available, else report space in both data elements.

- For all other ‘vehicles’ (i.e., Vehicle ID Qualifier = ‘V’), report BOTH the Vehicle Title State Code (MUST be a US State) and the Vehicle Title Number.

In a CHANGE scenario:

- ALL vehicles for the commodity line item MUST be re-reported. There are NO *actions* for adding, changing, and deleting individual used vehicles.

k) Correcting Commodity Shipment Data

Commodity shipment information MUST be corrected timely. When correcting commodity shipment data use EITHER the REPLACE or CHANGE action (See ‘Commodity Shipment Filing Actions’).

When correcting a previously reported line item, retain the same line number as when initially established (e.g., if commodity line ‘0005’ is initially added, that line item should retain its identity as line ‘0005’ even if lines 0001-0004 are deleted).

- When using the **REPLACE** action (*Shipment Filing Action Request Indicator* = 'R'):

  - The filing MUST contain at least one commodity line item grouping. The *Line Item Filing Action Request Indicator* MUST be **ADD** for each and every line. All shipment header grouping, shipment transportation detail and ALL party grouping information and each and every reported line will be considered as a total *replacement* of the information on file in AES.

    Example A -

    Filer initially establishes a shipment in AES consisting of thee lines numbered '0001', '0002', and '0003'. Filer successfully submits a 'replacement' that includes the same three lines. The resulting corrected shipment in AES consists of lines numbered '0001', '0002', and '0003'. The carrier transports all items reported in all three lines to the foreign destination.

    Example B -

    Filer initially establishes a shipment in AES consisting of three lines numbered '0001', '0002', and '0003'. Line '0002' was an inadvertent submission in the initial filing. Filer successfully submits a 'replacement' and includes only two of the three original lines (i.e., lines '0001' and '0003'). The resulting corrected shipment in AES consists of lines numbered '0001' and '0003'. The carrier transports only those items reported in the replaced two lines to the foreign destination.

- When using the **CHANGE** action (*Shipment Filing Action Request Indicator* = 'C'):

  - The filing is NOT REQUIRED to contain any commodity line item groupings. The filer, however, MUST re-report all ‘header’ information. The filing will be considered as a total *replacement* of ALL shipment header grouping, shipment transportation detail and ALL party grouping information. All previously reported line item(s) will be considered as belonging to the shipment, unchanged.

- The filing MAY contain one or more commodity line item groupings. The filing is ALSO considered as a total *replacement* of ALL 'header' information including the shipment header grouping, shipment transportation detail and ALL party groupings. The *Line Item Filing Action Request Indicator* MUST be **ADD**, **CHANGE** or **DELETE**.

  - Use the line level **ADD** action to specify the details of a previously unreported commodity.

  - Use the line level **CHANGE** action as a total *replacement* of ALL 'line' information including commodity detail, license detail and ALL used vehicles.

  - Use the line level **DELETE** action to specify that a previously reported commodity will NOT be exported.

- The CHANGE action cannot be used in a manner that leaves the commodity shipment without ANY line items (i.e., at the least, a single, remaining line item must remain at the conclusion of all change transactions).

- Note that when using a CHANGE, ALL previously reported lines, not accounted for in the filing will be *re-validated*. See the output usage notes below.

Example A -

Filer initially establishes a shipment in AES consisting of thee lines numbered '0001', '0002', and '0003'. Filer successfully submits a 'change' that includes the same three lines (all with the *Line Item Filing Action Request Indicator* = Change). The resulting corrected shipment in AES consists of lines numbered '0001', '0002', and '0003'. The carrier transports all items reported in all three lines to the foreign destination.

Example B -

Filer initially establishes a shipment in AES consisting of three lines numbered '0001', '0002', and '0003'. Line '0002' was an inadvertent submission in the initial filing. Filer successfully submits a 'change'. Two of the original lines (i.e., lines '0001' and '0003') specify *Line Item Filing Action Request Indicator* = Change. The other original line (i.e., line '0002') specifies *Line Item Filing Action Request Indicator* = Delete. The resulting corrected shipment in AES consists of lines numbered '0001' and '0003'. The carrier transports only those items reported in the corrected two lines to the foreign destination.

MANDATORY Data Elements in a Replace Transaction

The following data elements are **MANDATORY** in a Commodity Shipment Transaction Grouping when the SC1 *Shipment Filing Action Request Indicator* is 'R' (**REPLACE**):

Shipment Information

Shipment Header (SC1 Record)

Related Company Indicator

- Mode of Transportation Code (MOT)
- Country of Ultimate Destination
- U.S. State of Origin Code
- Shipment Reference Number

Proprietary Formats

- Shipment Filing Action Request Indicator
- Filing Option Indicator
- Port of Exportation Code
- Estimated Date of Export
- Hazardous Material Indicator (HAZMAT)

Shipment Header – Continuation (SC2 Record)
- Inbond Code
- Routed Export Transaction Indicator

<u>USPPI Information</u>

Party Header (N01 Record) – Party Type 'E' (US Principal Party in Interest)
- Party ID
- Party ID Type
- Party Type
- Party Name
- Contact Last Name

Party Address (N02 Record)
- Address Line 1
- Contact Phone Number

Party Address – Continuation (N03 Record)
- City
- State Code
- Country Code
- Postal Code

<u>Ultimate Consignee Information</u>

Party Header (N01 Record) – Party Type 'C' (Ultimate Consignee)
- Party ID
- Party ID Type
- Party Type
- To be Sold en Route Indicator

<u>Commodity Line Information</u>

Line Item Detail (CL1 Record)
- Export Information Code
- Line Number
- Commodity Description
- Line Item Filing Action Request Indicator
- License Code/License Exemption Code

Line Item Commodity Detail (CL2 Record)
- Quantity (1) (may be reported as zeros)
- Value of Goods (may be reported as zeros)
- Quantity (2) (may be reported as zeros)
- Shipping Weight (may be reported as zeros)
- Export License Number/CFR Citation/Authorization Symbol/KPC#

Proprietary Formats

All other data elements are **CONDITIONAL**.

MANDATORY Data Elements in a Change Transaction

The following data elements are **MANDATORY** in a Commodity Shipment Transaction Grouping when the SC1 *Shipment Filing Action Request Indicator* is 'C' (**CHANGE**):

Shipment Information

Shipment Header (SC1 Record)
Related Company Indicator
Mode of Transportation Code (MOT)

- Country of Ultimate Destination
- U.S. State of Origin Code
- Shipment Reference Number
- Shipment Filing Action Request Indicator
- Filing Option Indicator
- Port of Exportation Code
- Estimated Date of Export
- Hazardous Material Indicator (HAZMAT)

Shipment Header – Continuation (SC2 Record)

- Inbond Code
- Routed Export Transaction Indicator

USPPI Information

Party Header (N01 Record) – Party Type 'E' (US Principal Party in Interest)

- Party ID
- Party ID Type
- Party Type
- Party Name
- Contact Last Name

Party Address (N02 Record)

- Address Line 1
- Contact Phone Number

Party Address – Continuation (N03 Record)

- City
- State Code
- Country Code
- Postal Code

Ultimate Consignee Information

Party Header (N01 Record) – Party Type 'C' (Ultimate Consignee)

- Party ID
- Party ID Type
- Party Type
- To be Sold en Route Indicator

All other data elements are **CONDITIONAL**.

l) Canceling a Commodity Shipment

A CANCEL action is to be used solely to indicate that a previously reported shipment will not be exported. Once a shipment has been cancelled, the Shipment Reference Number cited CANNOT be reused. Any attempt to 're-add' a shipment that has been cancelled shall result in a fatal error (SHIPMENT CANCELLED; ACTION NOT ALLOWED).

MANDATORY Data Elements in a Cancel Transaction

The following data elements are **MANDATORY** in a Commodity Shipment Transaction Grouping when the SC1 *Shipment Filing Action Request Indicator* is 'X' (**CANCEL**):

Shipment Information

Shipment Header (SC1 Record)

- Shipment Reference Number
- Shipment Filing Action Request Indicator

Any other data element reported in the SC1 record shall be ignored. Data elements on any other record are **NOT ALLOWED**.

Proprietary Formats

Output Record Structure Map

The following table illustrates how repeating groups are structured and returned in a proprietary format commodity shipment filing response by AES.

Record ID	Name	Designation	Loop Repeat	
A	Batch Control Header	M		Output_A
	Block Control Grouping	M	999	
B	Block Control Header	M		Output_B
ES1	Condition/Disposition Response	C	>1	
	Commodity Shipment Transaction Grouping	C	999	
	Shipment Header Grouping	M	1	
SC1	Shipment Header	M		Output_SC1
ES1	Condition/Disposition Response	C	>1	
SC2	Shipment Header – Continuation	C		Output_SC2
ES1	Condition/Disposition Response	C	>1	
	Shipment Transportation Detail	C	999	
SC3	Transportation Detail	M		Output_SC3
ES1	Condition/Disposition Response	C	>1	
	Shipment Party Grouping	C	>4	
N01	Party Header	M		Output_N01
ES1	Condition/Disposition Response	C	>1	
N02	Party Address	C		Output_N02
ES1	Condition/Disposition Response	C	>1	
N03	Party Address – Continuation	C		Output_N03
ES1	Condition/Disposition Response	C	>1	
	Commodity Line Item Grouping	C	999	
	Line Item Detail Grouping	M	1	
CL1	Line Item Detail	M		Output_CL1
ES1	Condition/Disposition Response	C	>1	
CL2	Line Item Commodity Detail	C		Output_CL2
ES1	Condition/Disposition Response	C	>1	
	DDTC License	C	1	
ODT	DDTC License Detail	M		Output_ODT
ES1	Condition/Disposition Response	C	>1	
	Commodity Used Vehicle Detail	C	999	
EV1	Used Vehicle Detail	M		Output_EV1
ES1	Condition/Disposition Response	C	>1	
	Participating Government Agency (PGA)	M	1	
PGA	PGA Detail	M		Output_PGA
ES1	Condition/Disposition Response	C	>1	
Y	Block Control Trailer	M		Output_Y
Z	Batch Control Trailer	M		Output_Z

Designation: M = Always Returned C = Conditionally Returned

Transmission Notes:

A single returned batch shall not exceed 32,767 80-character images (i.e., 2,621,360 bytes).

Proprietary Formats

Commodity Shipment Response OUTPUT Record Layouts.

AES always returns a response to an input commodity shipment filing.

Batch Control Grouping (Output A, Z Records).

AES will always respond with a syntactically valid batch consisting of an A and Z record. Each batch will enclose one or more block control groupings and each block may enclose one more individual commodity shipment transactions.

Batch Control Header (Output A Record).

The A record begins an output batch and will be returned for all commodity shipment filings. For an A record returned in response to an input commodity shipment filing, the response will mirror the input A record *(see Input A Record)* with the exception of the Application Identifier.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	1A	1-1	M	Always **A**	1
	2AN	2-3	M	Always space fill.	1
Filler	2AN	4-5	M	Space fill.	
Filer ID	9N	6-14	M	Identifier of the party filing the commodity shipment information.	1
Filler	6AN	15-20	M	Space fill.	1
Filer ID Type	1A	21-21	M	Type of Filer ID reported: **D**=DUNS **S**=SSN **E**=EIN	4
Application Identifier	2A	22-23	M	Identifies the AES output batch type. Always **XT** (Commodity Shipment filing response)	
Transmitter Date	8N	24-31	M	Filer/Transmitter's date of transmission (YYYYMMDD format).	1, 2
Batch Control Number	6X	32-37	C	Filer/Transmitter's internal batch identifier. Space fill if not used.	1, 2
Filler	1AN	38-38	M	Space fill	
Transmitter ID	9N	39-47	M	Identifier of party transmitting the data.	1
Filler	33AN	48-80	M	Space fill.	

1) The value is returned, unchanged, from the Batch Control Header (A) record received as input by AES.
2) The data element is intended as an aid in identifying responses to commodity shipment filings ONLY.
3) The Census Bureau has eliminated the acceptance of SSN on any new filings effective December 3, 2009. Corrections (change, replace or cancel) to shipments filed with SSN prior to the effective date will continue to be accepted.

Batch Control Trailer (Output Z Record).

The Z record concludes an output batch and will be returned for all commodity shipment filings.

For a Z record returned in response to an input commodity shipment filing, the response will mirror the input Z record *(see Input Z Record)* with the exception of the Application Identifier.

Proprietary Formats

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	1A	1-1	M	Always **Z**	1
	2AN	2-3	M	Always space fill	1
Filler	2AN	4-5	M	Space fill.	
Filer ID	9N	6-14	M	Identifier of the party filing the commodity shipment information.	1
Filler	6AN	15-20	M	Space fill.	
Filer ID Type	1A	21-21	M	Type of Filer ID reported.	1
Application Identifier	2A	22-23	M	Identifies the AES output batch type. Always **XT** (Commodity Shipment filing response)	
Transmitter Date	8N	24-31	M	Filer/Transmitter's date of transmission (YYYYMMDD format).	1
Batch Control Number	6X	32-37	C	Filer/Transmitter's internal batch identifier. Space fill if NOT used.	1
Filler	1AN	38-38	M	Space fill.	
Transmitter ID	9N	39-47	M	Identifier of the party transmitting the data.	1
Filler	33AN	48-80	M	Space fill.	

1) The value is returned, unchanged, from the Batch Control Trailer (Z) record received as input by AES.

In the event no Z record was submitted in the input batch, an AES *generated* Z record will be returned. With the exception of the 'Record Identifier' and the 'AES Generated Record Indicator', all AES *generated* Z record data elements will contain *spaces*.

AES Generated Output Z Record.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	1A	1-1	M	Always **Z**	
	2AN	2-3	M	Always space fill	
Filler	76AN	4-79	M	Always space fill.	
AES Generated Record Indicator	1N	80-80	M	Always **1**	

Block Control Grouping (Output B, Y Records).

One or more block control groupings will be enclosed in each batch and will be returned for all commodity shipment filings.

Block Control Header (Output B Record).

The B record begins an output block control grouping and will be returned for all commodity shipment filings.
For a B record returned in response to an implicitly accepted block of an input commodity shipment filing, the response will mirror the input B record (See *Block Control Header (Input B Record) in 'Commodity Shipment Filing INPUT Record Layouts')*.

In the event no B record was submitted in the input batch, an AES *generated* B record will be returned. With the exception of the 'Record Identifier' and the 'AES Generated Record Indicator', all AES *generated* B record data elements will contain *spaces.*

Proprietary Formats

AES Generated Output B Record.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	1A	1-1	M	Always **B**	
	2AN	2-3	M	Always space fill	
Filler	76AN	4-79	M	Always space fill.	
AES Generated Record Indicator	1N	80-80	M	Always **1**	

Block Control Trailer (Output Y Record).

The Y record concludes an output block control grouping and will be returned for all commodity shipment filings.

For a Y record returned in response to an implicitly accepted block of an input commodity shipment filing, the response will mirror the input Y record (See *Block Control Trailer (Input* Y *Record) in 'Commodity Shipment Filing INPUT Record Layouts').*

In the event no Y record was submitted in the input batch, an AES *generated* Y record will be returned. With the exception of the 'Record Identifier' and the 'AES Generated Record Indicator', all AES *generated* Y record data elements will contain *spaces.*

AES Generated Output Y Record.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	1A	1-1	M	Always **Y**	
	2AN	2-3	M	Always space fill	
Filler	76AN	4-79	M	Always space fill.	
AES Generated Record Indicator	1N	80-80	M	Always **1**	

Commodity Shipment Transaction Grouping (Output SC1, SC2, SC3, N01, N02, N03, CL1, CL2, ODT, EV1, PGA Records).

One or more commodity shipment transactions will be conditionally enclosed in each block control grouping.

Shipment Header (Output SC1 Record).

An SC1 will conditionally be returned for all commodity shipment filings.

For a SC1 record returned in response to an implicitly accepted block of an input commodity shipment filing, the response will mirror the input SC1 record (see *Shipment Header (Input* SC1 *Record) in 'Commodity Shipment Filing INPUT Record Layouts').*

In the event no SC1 record was submitted in the input block, an AES *generated* SC1 record will be returned. With the exception of the 'Record Identifier' and the 'AES Generated Record Indicator', all AES *generated* SC1 record data elements will contain *spaces*.

AES Generated Output SC1 Record.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note

Proprietary Formats

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3A	1-3	M	Always **SC1**	
Filler	76AN	4-79	M	Always space fill.	
AES Generated Record Indicator	1N	80-80	M	Always **1**	

Shipment Header – Continuation (Output SC2 Record).

The SC2 input record is conditionally returned as an output record, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition. The SC2 output record definition is identical to the input record definition (see Shipment Header Continuation *(Input* SC2 *Record) in 'Commodity Shipment Filing INPUT Record Layouts').*

Transportation Detail (Output SC3 Record).

The SC3 input record is conditionally returned as an output record, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition. The SC3 output record definition is identical to the input record definition (see Transportation Detail *(Input* SC3 *Record) in 'Commodity Shipment Filing INPUT Record Layouts').*

Party Header (Output N01 Record).

The N01 input record is conditionally returned as an output record, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition. The N01 output record definition is identical to the input record definition (see Party Header *(Input* N01 *Record) in 'Commodity Shipment Filing INPUT Record Layouts').*

The N01 may also conditionally be returned as an output record, unchanged, as an aid to identify the party in which a fatal, warning, compliance alert, or verification condition occurred in a subsequent N02 or N03 record considered as 'belonging' to the reported party.

Party Address (Output N02 Record).

The N02 input record is conditionally returned as an output record, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition. The N02 output record definition is identical to the input record definition (see Party Address *(Input* N02 *Record) in 'Commodity Shipment Filing INPUT Record Layouts').*

Party Address – Continuation (Output N03 Record).

The N03 input record is conditionally returned as an output record, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition. The N03 output record definition is identical to the input record definition (see *Party Header Continuation (Input* N03 *Record) in 'Commodity Shipment Filing INPUT Record Layouts').*

Line Item Detail (Output CL1 Record).

The CL1 input record is conditionally returned as an output record, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification

condition. The CL1 output record definition is identical to the input record definition (see Line Item Detail *(Input* CL1 *Record) in 'Commodity Shipment Filing INPUT Record Layouts').*

The CL1 may also conditionally be returned as an output record, unchanged, as an aid to identify the commodity line in which a fatal, warning, compliance alert, or verification condition occurred in a subsequent CL2, ODT, or EV1 record considered as 'belonging' to the reported line.

In a CHANGE transaction, in the event that a *previously* established line item, not accounted for in the input filing, has a warning, compliance alert, or verification condition, an AES *generated* CL1 record will be returned. With the exception of the 'AES Generated Record Indicator' the values returned in the CL1 record will reflect EXACTLY, those *last* reported by the filer for the line item. An AES generated CL1 record will be returned to identify the line in which an outstanding condition remains.

AES Generated Output CL1 Record.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always **CL1**	
Export Information Code	2A	4-5	C	A code that indicates the reporting requirements and/or exemptions from reporting.	
Filler	1AN	6-6	M	Space fill.	
Line Number	4N	7-10	M	A number that identifies the specific commodity line item within a shipment.	
Commodity Description	45AN	11-55	C	A commercial description of the commodity reported for the line item.	
Filler	11AN	56-66	M	Space fill.	
Line Item Filing Action Request Indicator	1A	67-67	M	The action *last* requested for this commodity line item: **A** = Initial/replacement commodity line item filing. **C** = Correct/change a previously filed commodity line item.	
License Code/License Exemption Code	3AN	68-70	M	A type of other government agency export license, permit, license exemption or an indication that NO license is required.	
Foreign/Domestic Origin Indicator	1A	71-71	C	An indication as to the origin of the commodity: **D** = Domestic origin. **F** = Foreign origin.	
Filler	8AN	72-79	M	Space fill.	
AES Generated Record Indicator	1N	80-80	M	Always **1**	

Line Item Commodity Detail (Output CL2 Record).

The CL2 input record is conditionally returned as an output record, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition. The CL2 output record definition is identical to the input record definition (see Line Item Commodity Detail *(Input* CL2 *Record) in 'Commodity Shipment Filing INPUT Record Layouts').*
In a CHANGE transaction, in the event that commodity detail of a *previously* established line item, not accounted for in the input filing, has a warning, compliance alert, or verification condition, an AES *generated* CL2 record will be returned. The AES generated CL2 output record definition is identical to the input record definition (See *'Commodity Shipment Filing INPUT Record Layouts').* The values returned

in the CL2 record will reflect EXACTLY, those *last* reported by the filer for the line item. An AES generated CL2 output record will always follow an AES generated CL1 output record (or its ES1 records).

DDTC License Detail (Output ODT Record).

The ODT input record is conditionally returned as an output record, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition. The ODT output record definition is identical to the input record definition (see DDTC License Detail *(Input* ODT *Record) in 'Commodity Shipment Filing INPUT Record Layouts').*

In a CHANGE transaction, in the event that license detail of a *previously* established line item, not accounted for in the input filing, has a warning, compliance alert, or verification condition, an AES *generated* ODT record will be returned. The AES generated ODT output record definition is identical to the input record definition (See *'Commodity Shipment Filing INPUT Record Layouts').* The values returned in the ODT record will reflect EXACTLY, those *last* reported by the filer for the line item. An AES generated ODT output record will always follow a system generated CL1 or CL2 output record (or its ES1 records).

Used Vehicle Detail (Output EV1 Record).

The EV1 input record is conditionally returned as an output record, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition. The EV1 output record definition is identical to the input record definition (see Used Vehicle Detail *(Input* EV1 *Record) in 'Commodity Shipment Filing INPUT Record Layouts').*

In a CHANGE transaction, in the event that a used vehicle detail of a *previously* established line item, not accounted for in the input filing, has a warning, compliance alert, or verification condition, an AES *generated* EV1 record will be returned. The AES generated EV1 output record definition is identical to the input record definition (See *'Commodity Shipment Filing INPUT Record Layouts').* The values returned in the EV1 record will reflect EXACTLY, those *last* reported by the filer for the line item. An AES generated EV1 output record will always follow an AES generated CL1, CL2, ODT, or EV1 output record (or its ES1 records).

Participating Government Agency Detail (Output PGA Record).

The PGA input record is conditionally returned as an output record, unchanged, in an output response when a data element in the record has caused or contributed to a fatal, warning, compliance alert, or verification condition. The PGA output record definition is identical to the input record definition (see Participating Government Agency Detail *(Input* PGA *Record) in 'Commodity Shipment Filing INPUT Record Layouts').*

In a CHANGE transaction, in the event that a used vehicle detail of a *previously* established line item, not accounted for in the input filing, has a warning, compliance alert, or verification condition, an AES *generated* PGA record will be returned. The AES generated PGA output record definition is identical to the input record definition (See *'Commodity Shipment Filing INPUT Record Layouts').* The values returned in the PGA record will reflect EXACTLY, those *last* reported by the filer for the line item. An AES generated PGA output record will always follow an AES generated CL1, CL2, ODT, EV1 or PGA output record (or its ES1 records).

Condition/Disposition Response (Output ES1 Record).

Proprietary Formats

The output ES1 record conveys to the filer/transmitter a single, discreet *condition* regarding an input validation or the *final disposition* of the AES action.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always '**ES1**'	
Response Code	3AN	4-6	M	Code that describes the condition or final disposition regarding a commodity shipment filing. See '*Appendix A – Commodity Filing Response Messages*'.	1
Filler	1AN	7-7	M	Always space fill.	
Final Disposition Indicator	1A	8-8	M	An indication as to AES's final disposition of the transmitted data component: **Space** = Not a final disposition record. **A** = Final disposition; component **ACCEPTED** by AES. For a commodity shipment transaction, the action requested was successfully performed. **R** = Final disposition; component **REJECTED** by AES. For a commodity shipment transaction, the action requested was NOT performed.	2
Severity Indicator	1A	9-9	M	An indication as to the severity of the condition. **F =** 'Fatally' invalid data or critical error condition identified. Data MUST be corrected and re-transmitted immediately. **W** = Warning condition identified. Filer MUST correct the shipment data within 4 days. **V** = Verification of condition/data reported requested by the Census Bureau. Please correct the shipment if data reported is incorrect. **C** = Compliance Alert condition identified. A potential reporting compliance violation may have occurred. **I** = Informational notice ONLY. **Space** = No conditions encountered.	3, 4, 5, 6
Filler	1AN	10-10	M	Always space fill.	
Narrative Text	40X	11-50	M	Text that corresponds to the Response Code. See '*Appendix A – Commodity Filing Response Messages*'.	
AES Internal Transaction Number (ITN)	15AN	51-65	C	A unique confirmation number generated by AES when the commodity shipment data has been accepted by AES.	
Filler	1AN	66-66	M	Always space fill.	
Reason Code	2AN	67-68	C	For AES internal use ONLY.	
Filler	12AN	69-80	M	Always space fill.	

1) Response codes 001 through 899 denote fatal, warning, verification, compliance alert, and informational conditions. Response code 960 denotes the *final disposition regarding* a rejected batch. Response

code 965 denotes the *final disposition* regarding a rejected block. Response codes 970 through 983 denote the *final disposition* of an individual commodity shipment transaction.

2) The data element will be space if the ES1 record is NOT a final disposition.

3) A *warning* condition is noted when certain incomplete and conflicting data reporting conditions are encountered. AES accepts the information filed to facilitate the trade. In a *final disposition* response, if no fatal conditions are found, yet one or more warnings are found, the Severity Indicator will be 'W'.

4) A *verification* condition is noted when shipment data conflicts with a Census parameter regarding a commodity or another unlikely condition is found; the data may or may NOT be correct. In a *final disposition* response, if neither fatal nor warning conditions are found, yet one or more verify condition is found, the Severity Indicator will be 'V'.

5) A *compliance alert* condition is noted when a reporting compliance violation has likely occurred. In a *final disposition* response, if no fatal, warning, or verify conditions are found, yet one or more compliance alerts are noted, the Severity Indicator will be 'C'.

6) An *informational* condition results in a non-critical notification to the filer. If a *final disposition* response, if no fatal, warning, verification, or compliance alert conditions are found, yet one or more informational notations are found, the Severity Indicator will be 'I'.

Proprietary Formats

Commodity Shipment Response - Usage Notes.

The following sub-sections contain information regarding a returned commodity shipment filing response.

a) Proprietary Responses

As a general rule, input records will be returned to the filer/transmitter, unchanged, in the output response to a commodity shipment filing when a data element in the record has caused or contributed to a fatal, warning, verification, or compliance alert condition. Exceptions to the general rule are as follows:

- Any input record in which the 'Record Identifier' data element is unknown will **NEVER BE RETURNED** in an output response.
- Any input record considered as belonging to an 'unrecognizable' block (neither a block control header nor a block control trailer) or 'incomplete' block (missing block control header or trailer) will **NEVER BE RETURNED** in an output response.
- Any input record considered as belonging to an 'unrecognizable' shipment transaction (i.e., no preceding shipment header record) will **NEVER BE RETURNED** in an output response.
- Any input record considered as belonging to a recognizable shipment transaction yet is illogically sequenced will **NEVER BE RETURNED** in an output response.

b) Response to a Proprietary Batch Component

When **REJECTED**: fatal condition ES1 records will be returned. All condition ES1 records will follow an AES *generated* B record. The final disposition ES1 record narrative text is <u>BATCH REJECTED</u>. An AES *generated* Y record immediately follows. A fatal batch condition shall result in ALL input block control groupings (and ALL input commodity shipment transactions enclosed within each block control grouping) to be IGNORED. The validity of any input block (and any data enclosed within) will NOT be determined. The returned rejected batch will enclose one and only one AES *generated* block control grouping. In the event no Z record was submitted in the input batch, an AES *generated* Z record will be returned. With the exception of the 'Record Identifier' and the 'AES Generated Record Indicator', all AES *generated* Z record data elements will contain *spaces*.

The response shall include, for EACH and EVERY 'block' enclosed within a rejected batch, an 'informational' ES1 record identifying the USPPI(s) within. The text of such an ES1 record shall read:

'USPPI ID/TYPE - USPPI ID, USPPI ID Type –'

(where the -USPPI ID and ID Type- are the value of the enclosed B record, position 4-15).

In addition, the response shall include, for EACH and EVERY 'shipment' enclosed within a rejected batch or block, an 'informational' ES1 record identifying the shipment(s) within. The text of such an ES1 record shall read:

'SHIPMENT REF NBR: -Shipment Ref Nbr-'

(where the -Shipment Ref Nbr- is the value of the enclosed SC1 record, position 15-31).

The 'USPPI' and 'SHIPMENT REF NBR' informational ES1 records shall be returned in the same order that their respective B and SC1 records appeared in the input.

When **ACCEPTED**: No explicit final disposition ES1 record will be returned; the acceptance is implicit. Each and every enclosed block control grouping will be validated.

Proprietary Formats

c) Response to a Proprietary Block Component

For all block control groupings:

When **REJECTED**: fatal condition ES1 records will be returned. All condition ES1 records will correspond to and follow the B record. The final disposition ES1 record narrative text is BLOCK REJECTED. A Y record immediately follows. A fatal block condition shall result in ALL enclosed input commodity shipment transaction groupings to be IGNORED. The validity of any input commodity shipment transaction within that input block will NOT be determined. The returned rejected block control grouping will NOT enclose any commodity shipment transaction. The rejection of a block control grouping has NO effect on any subsequently filed block control grouping within the same batch, however. In the event no B record was submitted in the input batch, an AES *generated* B record will be returned. In the event no Y record was submitted in the input batch, an AES *generated* Y record will be returned. With the exception of the 'Record Identifier' and the 'AES Generated Record Indicator', all AES *generated* B and Z record data elements will contain *spaces*.

The response shall include, for EACH and EVERY 'shipment' enclosed within a rejected block, an 'informational' ES1 record identifying the shipment(s) within. The text of such an ES1 record shall read:

'SHIPMENT REF NBR: -Shipment Ref Nbr-'

(where the -Shipment Ref Nbr- is the value of the enclosed SC1 record, position 15-31).

The 'SHIPMENT REF NBR' informational ES1 records shall be returned in the same order that their respective SC1 records appeared in the input.

When **ACCEPTED**: No explicit final disposition ES1 record will be returned; the acceptance is implicit. Each and every enclosed commodity shipment transaction will be validated.

d) Response to an 'Unrecognizable' Commodity Shipment Transaction Component

In the event the record that immediately follows a B record is NOT an SC1 record, that 'commodity shipment transaction' will be rejected:

When **REJECTED**: fatal condition ES1 records will be returned. All condition ES1 records will correspond to and follow a *system generated* SC1 record. The final disposition ES1 record narrative text is SHIPMENT TRANSACTION REJECTED. The rejection of the 'unrecognizable' commodity shipment transaction grouping has NO effect on any subsequently filed commodity shipment transaction grouping within the same block, however. With the exception of the 'Record Identifier' and the 'AES Generated Record Indicator', all AES *generated* SC1 record data elements will contain *spaces*.

e) Commodity Shipment Final Dispositions

A disposition response will be returned with each commodity shipment transaction. A disposition response is an ES1 record in which the 'final disposition indicator' is set to A (Accepted) or R (Rejected). The disposition response also includes a *severity indicator* for the conditions found that can be cross-referenced with the ES1 record or the table below to determine the filing action required.

The following table details the actions required on the part of the filer for each disposition.

Proprietary Formats

Final Disposition Indicator	Severity Indicator	Description	Filing Action Required	Filer Action Required
R	F	**Fatally Rejected.** An indication that one or more data elements reported in the transaction contain invalid or conflicting data.	**Correct Immediately.** Change the data elements as suggested by the resolution in Appendix A and retransmit to AES.	Review filing practices and software to ensure conformance with the interface.
A	W	**Accepted with Warnings.** An indication that one or more data elements reported for the shipment are incomplete or conflicting. AES accepts the information reported to accommodate the timely export of cargo. Failure to timely correct the data will result in an electronic 'reminder' message being issued. See Part II, Section 1(b), 'Commodity Shipment Warning Reminder' for details.	**Correct within 4 days.** Change the data elements as suggested by the resolution in Appendix A and retransmit to AES	Review filing practices and software to ensure conformance with the interface.
A	V	**Accepted with a Verification Request.** An indication that one or more data values reported for the shipment fall outside of parameters normally expected for the data element(s).	**Correct timely, if needed.**	Verify the information reported timely. Review filing practices and software to ensure conformance with the interface.
A	C	**Accepted with a Compliance Alert.** An indication that a possible reporting compliance violation has occurred.	None required.	Review filing practices; take steps to ensure export information reporting compliance as suggested by the resolution in Appendix A.
A	I	**Accepted with an Informational Notice.** An indication that a non-critical condition has been encountered.	None required.	Use the information as suggested in Appendix A.
A		**Unconditionally Accepted.** An indication that no condition has been encountered.	None required.	None required.

f) The Internal Transaction Number (ITN)

A returned ITN indicates that AES has accepted commodity shipment **data** (warnings and verification conditions notwithstanding).

The ITN is a 15-position alphanumeric string that begins with an 'X' followed by the 8-position date that AES accepted the data and a 6-position AES generated number. The ITN format is:

XYYYYMMDDnnnnnn.

For a predeparture shipment, the ITN can be used to annotate the exemption legend on the bill of lading, air waybill, or other commercial loading document for presentation to the carrier. See 'Appendix R, Exemption Statements' for details.

Any subsequent correction or deletion of the commodity shipment (by using a REPLACE, CHANGE, or CANCEL action) will result in the initially established ITN being returned.

g) Response to a 'Recognizable' Commodity Shipment Transaction Component

The data returned for a commodity shipment transaction will reflect the 'Shipment Filing Action Request Indicator' specified in the input shipment header.

When **ADD** (Shipment Filing Action Request Indicator = **A** [report the shipment to AES for the first time]):

When **REJECTED**: fatal condition ES1 records will be returned. Warning condition, verify condition, compliance alert condition and/or informational notice ES1 records may also be returned, if found. All condition ES1 records will correspond to and follow the input record in which the condition was found. The final disposition ES1 record narrative text is SHIPMENT TRANSACTION REJECTED. The shipment is NOT established in AES.

When **ACCEPTED**: warning condition, verify condition, compliance alert condition and/or informational notice ES1 records may be returned, if found. All condition ES1 records will correspond to and follow the input record in which the condition was found. The final disposition ES1 record narrative text will reflect the condition under which AES has accepted the data: SHIPMENT ADDED, SHIPMENT ADDED; MUST CORRECT WARNINGS, SHIPMENT ADDED; MUST VERIFY DATA or SHIPMENT ADDED; W/COMPLIANCE ALERT. The shipment is initially established in AES.

When **REPLACE** (Shipment Filing Action Request Indicator = **R**' [replace ENTIRELY a previously established shipment]):

When **REJECTED**: fatal condition ES1 records will be returned. Warning condition, verify condition, and/or informational notice ES1 records may also be returned, if found. All condition ES1 records will correspond to and follow the input record in which the condition was found. The final disposition ES1 record narrative text is SHIPMENT TRANSACTION REJECTED. The previously accepted shipment remains UNCHANGED in AES.

When **ACCEPTED**: warning condition, verify condition, and/or informational notice ES1 records may be returned, if found. All condition ES1 records will correspond to and follow the input record in which the condition was found. The final disposition ES1 record narrative text will reflect the condition under which AES has accepted the data: SHIPMENT REPLACED, SHIPMENT REPLACED; MUST CORRECT WARNINGS, SHIPMENT REPLACED; MUST VERIFY DATA, or SHIPMENT REPLACED; W/COMPLIANCE ALERT. The shipment in its ENTIRETY (including ALL commodity line items) is replaced in AES.

Proprietary Formats

When **CHANGE** (Shipment Filing Action Request Indicator = **C** [correct/change 1 or more data elements of a previously accepted shipment]):

When **REJECTED**: fatal condition ES1 records will be returned. Warning condition, verify condition, and/or informational notice ES1 records may also be returned, if found. Output may consist of the following:

- Condition ES1 records may correspond to and follow an *input* record in which the condition was found.

- Condition ES1 records may correspond to and follow an *AES generated commodity line item grouping* in which the condition was found. These AES generated records conform to the CL1, CL2, ODT, and EV1 input definitions defined above. AES will return a single CL1 or a CL1 followed by line item records for EACH and EVERY previously established commodity line item in which a warning, or verification condition is STILL OUTSTANDING. AES will also return a single CL1 or a CL1 followed by line item records for EACH and EVERY previously established commodity line that is now deemed fatal due to the requested change. In both cases, the returned CL1 'Line Number' data element will contain the identification of the commodity line item previously established in AES. The 'AES Generated Record Indicator' will be marked to indicate the grouping as being system generated. All other line data elements will contain the values of the commodity line as known to AES at the time the correction is attempted.

The final disposition ES1 record narrative text is SHIPMENT TRANSACTION REJECTED. The previously accepted shipment remains UNCHANGED in AES.

When **ACCEPTED**: warning condition, verification condition, and/or informational notice ES1 records may be returned, if found. Output may consist of the following:

- Condition ES1 records may correspond to and follow the *input* record in which the condition was found.

- Condition ES1 records may correspond to and follow an *AES generated commodity line item grouping* in which the condition was found. These AES generated records conform to the CL1, CL2, ODT, and EV1 input definitions defined above. AES will return a single CL1 or a CL1 followed by line item records for EACH and EVERY previously established commodity line item in which a warning, or verification condition is STILL OUTSTANDING. The returned CL1 'Line Number' data element will contain the identification of the commodity line item previously established in AES. The 'AES Generated Record Indicator' will be marked to indicate the grouping as being system generated. All other line data elements will contain the values of the commodity line as known to AES at the time the correction is attempted.

The final disposition ES1 record narrative text will reflect the condition under which AES has accepted the data: SHIPMENT CHANGED, SHIPMENT CHANGED; MUST CORRECT WARNINGS, SHIPMENT CHANGED; MUST VERIFY DATA, or SHIPMENT CHANGED; W/COMPLIANCE ALERT. The previously accepted shipment is changed in AES.

Note: For a 'change' action, AES will validate the transmitted input and its *effect* on the data previously established for the shipment. Conditions accepted on a previously established shipment may prevent a requested change from being accepted. AES will return, as a response, ALL notable conditions for the shipment as a whole.

When **CANCEL** (Shipment Filing Action Request Indicator = **X** [cancel the shipment]):

Proprietary Formats

When **REJECTED**: fatal condition ES1 records will be returned. All condition ES1 records will correspond to and follow the input SC1 record only. The final disposition ES1 record narrative text is SHIPMENT TRANSACTION REJECTED. The previously accepted shipment remains UNCHANGED in AES.

When **ACCEPTED**: No condition ES1 records will be returned. The final disposition ES1 record narrative text is SHIPMENT CANCELLED. The shipment is considered as canceled in AES.