

# Automated Export System Trade Interface Requirement (AESTIR)

AES General Information

February 7, 2018



U.S. Customs and  
Border Protection



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## Preface

This document describes the operational usage of the Automated Export System (AES) and is comprised of several sections. Together, these sections define the Automated Export System Trade Interface Requirements (AESTIR) and serve as a reference manual for the AES process.

The AESTIR is divided into four parts. **Part I** provides the interested party with general information needed to understand why and how AES was developed and enhanced and who participates in AES. **Part II** specifies both the Customs Proprietary formats and X.12 formats accepted in AES for a commodity data and vessel transportation data filing. **Part III** contains various appendices to the AESTIR, which assist the user in programming, testing, reporting, and understanding the export requirements. **Part IV** contains the guidelines that apply during downtime of either the CBP or the participant's computer system.

Additional information on AES is available through the Internet by accessing the CBP Home Page at <http://www.cbp.gov>. Select Trade, Automated Systems and Operational Support, and then select the *Automated Export System* link.

'Appendix S - Acronyms and Definitions' contains useful information about the terms used throughout this document. 'Appendix Z - Additional Information Sources' lists a variety of related export resources.

AES allows the reporting of the Data Universal Numbering System number as one of several ways to identify a party in an export transaction. The D & B D-U-N-S™ Number is a registered trademark of The Dun and Bradstreet Corporation. DUNS is used throughout this document to refer to the D & B D-U-N-S™ Number. There is no charge to obtain a unique nine-digit D & B D-U-N-S™ Number for your company. Contact them directly online at <http://www.dnb.com> or call 800-333-0505 for more information.

## Summary of Changes

Version /Date	Type of Change	Description
<p>Version 1.0</p> <p>PILOT</p> <p>Effective</p> <p>October 3, 2014</p>	A	<p><b>ADDED:</b></p> <p><b>Advance Export Information (AEI)</b></p> <p><b>NOTE:</b></p> <p><i>A limited number of USPPPI's will be approved for participation in the pilot.</i></p> <p><i>The acceptable ECCNs for AEI are 5A002, 5B002, 5D002 and 5E002.</i></p> <p><i>The only items on the CCL that are EAR99 or ECCNs controlled for AT reasons only or for Encryption are eligible for AEI.</i></p>
<p>Version 1.0</p> <p>EFFECTIVE</p> <p>October 3, 2014</p>	<p>C</p> <p>A</p>	<p><b>AES GENERAL INFORMATION - Section 1. The Automated Export System (AES) - Commodity Data Filing Options</b></p> <p><b>CHANGED:</b></p> <p><b>Postdeparture</b> from 'ten (10) calendar days' to no later than '<b>five (5) calendar days</b>' from the date of exportation.</p> <p><b>Shipment Reference Number</b> definition</p> <p><b>Equipment Number</b> definition</p> <p><b>ADDED:</b></p> <p><b>Environmental Protection Agency</b> to AES and Partnership Agencies</p>
<p>Version 1.0</p> <p>November 15, 2005</p>	<p>D</p> <p>D</p> <p>C</p>	<p><b>Part 1. AES GENERAL INFORMATION</b></p> <p><b>Section 3. Participating in AES</b></p> <p><b>Letter of Intent (LOI) For the Commodity Module</b></p> <p>Removed "Look-a-Like Remote to copy" (as provided by vendor)</p> <p><b>Letter of Intent (LOI) For the Vessel Transportation Module</b></p> <p>Removed "Look-a-Like Remote to copy" (as provided by vendor)</p> <p>Changed mailing address for Vessel Module Letter or Intent to read:</p> <p>Customs and Border Protection</p> <p>Client Representative Branch</p> <p>Attn: Beauregard, A-314</p>

		<p>6781 Boston Blvd Springfield, VA 22153</p> <p>or FAX to: 703-650-3538</p>
<p>Version 1.0 March 31, 2005</p>	<p>C</p> <p>C</p> <p>C</p> <p>A</p> <p>A</p> <p>A</p> <p>A</p> <p>C</p>	<p><b>The Data Entry Center (DEC) program was eliminated effective April 1, 2005.</b> Part 1. AES GENERAL INFORMATION Section 1. The Automated Export System (AES) Background Commodity data ... Removed reference to 'data entry center' Section 2: Electronic Messaging in AES Commodity Data ... Removed reference to 'data entry center' Section 5: Using AES How AES Works ... Removed reference to 'data entry center'</p> <p><b>Kimberley Process Certificate Number required for shipments of rough diamonds effective April 1, 2005.</b> Part 1. AES GENERAL INFORMATION Section 1. The Automated Export System (AES) Background In early 2005, ... Added paragraph about rough diamond exports Commodity Data Filing Options Option 2 ... Added sentence about Kimberley Process Certificate Number Option 4 ... Added restriction for filing rough diamonds Section 3. Participating in AES Electronic commodity data filing using AES is mandatory... Added rough diamonds to the list of shipments that must be filed through AES. Section 6. Commodity Data Elements Export License Number/CFR Citation/Authorization Symbol/KCP# ... Added the Kimberley Process Certificate Number (KCP#) to the name of this element.</p>
<p>Version 1.0 June 2, 2004</p>	<p>A</p>	<p>Commodity Data Filing Options <u>Option 2</u> • CBP regulations require full export information pre-departure for shipments to proscribed countries. The list of proscribed countries can be found in 19 CFR 4.75 (c). <u>Option 4</u> This includes shipments to proscribed countries as identified in CBP regulations 19 CFR 4.75 (c).</p>

	<b>A</b>	
Version 1.0 May 20, 2004	<b>A</b>	Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting (Input EV1 Record) Added to the Index, referenced under Commodity Filing Options Option 2 and Option 4 and under Commodity Data Elements ‘Used Self-propelled Vehicle Information’
<b>Version 1.0</b> February 24, 2004	<b>C</b>  <b>C</b>	<b>Changed ‘working days’ to read ‘calendar days’</b> <b>Page 9 Option 4 allows...no later than ten (10) calendar days from the date of exportation.</b> Page 17 Warning ...correction to commodity data within four calendar days.
<b>1.0 April 2004</b>		<b>Initial Release</b>

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

# PART I. AES GENERAL INFORMATION

## Section 1. The Automated Export System (AES)

This section contains general information on why and how AES was developed as well as the pre- and post-departure commodity data filing ‘options’.

### Background

AES is an electronic export reporting system jointly developed by the U.S. Customs and Border Protection (CBP) of the Department of Homeland Security, the Foreign Trade Division (FTD) of the Bureau of the Census (Census) Department of Commerce, the Bureau of Industry and Security (BIS) Department of Commerce, other Federal agencies and the Trade Resource Group. The Trade Resource Group is comprised of exporters, carriers, freight forwarders, Non-Vessel Operating Common Carriers (NVOCC), port authorities and other interested parties of the exporting community. Together these parties defined the data requirements and determined the data elements to be reported electronically using AES. The data elements required in AES currently reflect the requirements of the following agencies:

- Department of Commerce (Bureau of Census and BIS),
- Department of Homeland Security (CBP),
- Department of State (Directorate of Defense Trade Controls [DDTC]),
- Department of the Treasury (Office of Foreign Assets Control [OFAC]),
- Department of Energy (Office of Arms Control and Nonproliferation),
- U. S. Nuclear Regulatory Commission (NRC).
- Environmental Protection Agency (EPA).

AES allows a U.S. Principal Party in Interest (USPPI) (i.e., the exporter) or its authorized agent to transmit **commodity data** and an ocean vessel carrier to transmit **vessel transportation data** electronically using a proprietary or public standard message format.

- **Commodity data** refers to that export information collected on the Electronic Export Information (EEI). This data is used in compiling the official U.S. export statistics and administering the requirements of the Export Administration Act as provided in the Foreign Trade Regulations (FTR) and the Export Administration Regulations (EAR) as well as other government agency requirements.

Throughout the AESTIR the commodity data is alternatively referred to as a ‘commodity shipment’ or an ‘EEI’.

- **Vessel transportation data** refers to a booking, a receipt of booking, departure notice and a vessel manifest. Vessel transportation data is transmitted by a participating ocean vessel carrier.

The U.S. Census Bureau amended the Foreign Trade Regulations to add provisions for filing shipper’s export data electronically using AES (Federal Register published July 28, 1999 Part 111 Department of Commerce, Bureau of the Census, 15 CFR Part 30 Amendment to Foreign Trade Statistics Regulations: Provisions for filing Shipper’s Export Data Electronically Using the AES). The CBP amended the CBP Regulations to make provision for AES as well as the Ocean Carrier’s Module in AES (Federal Register published July 28, 1999, Part IV, Department of the Treasury, Customs Service, 19 CFR Parts 4, 101, 178, and 192 Automated Export System).

In July 2000, the Census Bureau amended the Foreign Trade Regulations to clarify the responsibilities of the exporter as the U.S. principal party in interest and the forwarding agent or other agent in preparing AES commodity data. The FTR defines the USPPI as the person in the US that receives the primary benefit, monetary or otherwise, of the export transaction. The authorized agent is the person in the US who is authorized by power of attorney or written authorization by the USPPI or the foreign principal party in interest to prepare and file the AES commodity data.

In August 2003, the Census Bureau amended the Foreign Trade Regulations to incorporate requirements for the mandatory AES filing of items identified on the Department of Commerce's Commerce Control List (CCL) and the Department of State's US Munitions List (USML) that require the EEI. This requirement is mandated by Section 1252 of Public Law 106-113, November 29, 1999, 113 Stat. 1501.

In October 2003, the TWO-STEP Option 3, commodity data filing option was discontinued.

In early 2005, the Census Bureau amended the Foreign Trade Regulations to incorporate the requirement for reporting the Kimberley Process Certificate (KPC) number for exports (re-exports) of rough diamonds filed through AES in accordance with the Clean Diamond Trade Act.

In June 2008, the Census Bureau amended the Foreign Trade Regulations to implement provisions in the Foreign Relations Authorization Act. The Census Bureau is requiring mandatory filing of export information through the AES or through *AESDirect* for all shipments where a Shipper's Export Declaration (SED) would be required.

## **AES and Partnership Agencies**

The National Performance Review (NPR) of 1993, as well as direction from the Office of Management and Budget, called for the establishment of a single electronic system for the collection and transfer of export information from the U.S. trade community to the numerous U.S. Government Agencies which have statistical/analytical reporting and/or monitoring/enforcement responsibilities related to outbound shipments of merchandise. To this end, the following automated interfaces have been developed with Partnership Agencies using AES as the data entry point for the trade.

### *Department of Commerce*

The Census Bureau extracts data from AES to compile and publish the official U.S. export trade statistics. .

The Bureau of Industry and Security (BIS) requires certain information to be provided for shipments being exported out of the US. Depending on the type of goods being shipped, destination, end-use, etc., the USPPI may be required to report BIS license information in the commodity data transmitted to AES. In addition, an Export Control Classification Number (ECCN) may be required. See 'Appendix F - License and License Exemption Type Codes and Reporting Guidelines' for details.

H.R. 3194 (Pub. L. 106-113), Section 1252(a) of this law amends Title 13, U.S.C. Chapter 9, Section 301 to add subsection "(h)" authorizing the Secretary of Commerce to require by regulation, mandatory reporting requirements for filing export information through AES for items identified on the Commerce Control List (CCL).

### *Department of the Treasury*

The Department of the Treasury, Office of Foreign Assets Control (OFAC), requires certain information to be provided for shipments being exported out of the US which are exceptions for specific commodities going to sanctioned countries. Depending on the type of commodity, destination of the shipment, etc., the USPPI is issued a license by OFAC to export the merchandise. The USPPI must report this OFAC license information (i.e., the ‘Specific’ license number or ‘General’ license CFR citation) in the commodity data transmitted to AES. See ‘Appendix F - License and License Exemption Type Codes and Reporting Guidelines’ for details.

### *Department of State*

The Department of State, Directorate of Defense Trade Controls (DDTC) requires certain information to be provided for munitions being exported out of the US. Depending on the security classification and conditions under which the munitions are being shipped (e.g., Permanent Export of Unclassified Defense Articles and Services), the USPPI is issued a license by State/DDTC to export the merchandise. The USPPI must report this DDTC license information (i.e., the license number or exemption citation) in the commodity data transmitted to AES. See ‘Appendix F - License and License Exemption Type Codes and Reporting Guidelines’ for details.

H.R. 3194 (Pub. L. 106-113), Section 1252(a) of this law amends Title 13, U.S.C. Chapter 9, Section 301 to add subsection “(h)” authorizing the Secretary of Commerce to require by regulation, mandatory reporting requirements for filing export information through AES for items identified on the US Munitions List (USML).

### *Nuclear Regulatory Commission*

The Nuclear Regulatory Commission (NRC) requires certain information to be provided for nuclear material and equipment shipments being exported out of the US. Depending on the type of commodity, destination of the shipment, etc., the USPPI is issued a license by the NRC to export the merchandise. The USPPI must report this NRC license information in the commodity data transmitted to AES. See ‘Appendix F - License and License Exemption Type Codes and Reporting Guidelines’ for details.

### *Environmental Protection Agency*

The Environmental Protection Agency (EPA) requires certain information to be provided for hazardous waste shipments being exported out of the US. A “consent” number must be reported in the commodity data transmitted to AES.

## **Commodity Data Filing Options**

Three electronic filing options are available to the USPPI or the authorized agent to report commodity data: Predeparture, Postdeparture and Advance Export Information (AEI).

**Predeparture.** Complete commodity data reporting prior to departure. Predeparture is a ONE step filing process.

**Note:** The following specific types of shipments *always* require complete pre-departure commodity data.

Predeparture is the only electronic option for filing these type of shipments:

- Used self-propelled vehicles (except those shipped between the US and Puerto Rico) as defined in 19 CFR 192.1. See 'Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting (Input EV1 Record' for the list of used self-propelled vehicle classifications.
- Essential and precursor chemicals requiring a permit from the Drug Enforcement Administration.
- Shipments defined as 'sensitive' by Executive Order.
- CBP regulations require full export information pre-departure for shipments to proscribed countries. The list of proscribed countries can be found in 19 CFR 4.75 (c).
- Shipments where full export information is required prior to exportation by a federal government agency.

Shipments of items identified on the CCL of the EAR (15 CFR Supplement No.1 to Part 774) or the USML of the ITAR (22 CFR, Part 121) that would otherwise require the filing of an EEI, must be filed using Predeparture unless specifically approved by the licensing agency for Postdeparture filing.

Shipments of rough diamond exports subject to the Clean Diamond Trade Act and the Rough Diamonds Control Regulations (31 CFR Part 592) classified under 6-digit Harmonized subheadings 7102.10, 7102.21, and 7102.31, must be filed using AES Predeparture regardless of value, destination or mode of transportation. The Kimberley Process Certificate (KPC) number is required to be reported for these rough diamond shipments.

The USPPI or the authorized filing agent must provide the exporting carrier with the AES exemption legend prior to exportation (FTR 30.7). See 'Appendix R - Exemption Legends' for details. For USML shipments, refer to the ITAR (22 CFR, Parts 120-130) for requirements concerning the AES proof of filing citation and filing time requirements.

**Postdeparture.** For an *approved* USPPI ONLY, no commodity data reporting required prior to departure; complete commodity data reporting required after departure. Postdeparture is a ONE step filing process.

Postdeparture allows an exportation to be made with **no** prior AES commodity data filing. Complete commodity data must be reported as soon as it is known but no later than **five (5) calendar days** from the date of exportation.

The USPPI or the authorized agent must provide the exporting carrier with a USPPI Postdeparture AES exemption legend prior to exportation (FTR 30.7). See 'Appendix R - Exemption Legends' for details.

A certified AES authorized filing agent or service center may transmit information postdeparture on behalf of an approved Postdeparture USPPI.

Shipments that require a license cannot be transmitted as Postdeparture filing unless specifically approved by the licensing agency for Postdeparture filing.

Exports (re-exports) of rough diamonds subject to the Clean Diamond Trade Act and the Rough Diamond Control Regulations (31 CFR Part 121) that would otherwise require the filing of an EEI must be filed as Predeparture unless specially approved by the licensing agency for Postdeparture filing.

Used self-propelled vehicles shipped between the US and Puerto Rico by a Postdeparture approved USPPI may be reported using filing Postdeparture. However, any other used vehicle cannot be transmitted as a Postdeparture filing. For these shipments, revert to Predeparture filing. See 'Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting (Input EV1 Record)' for the list of used self-propelled vehicle classifications.

Specific shipments as noted under Predeparture *always* require complete data reported prior to departure and can not be filed in AES using Postdeparture. This includes shipments to proscribed countries as identified in CBP regulations 19 CFR 4.75 (c).

**Note:** As of August 15, 2003, a request for Postdeparture filing approval will no longer be accepted.

**Advance Export Information (AEI).** For an *approved* USPPI ONLY, A limited number of commodity data elements required prior to departure; complete commodity data reporting required within five calendar days after departure.

The AEI predeparture data consists of:

(a) Mandatory data elements are as follows:

- (1) USPPI and USPPI identification.
  - (i) Name of the USPPI.
  - (ii) Address of the USPPI.
  - (iii) USPPI identification number.
  - (iv) Contact information.
- (2) Ultimate consignee.
- (3) Schedule B/HTS Number.
- (4) Commodity description.
- (5) Port of export.
- (6) Estimated Date of Export.
- (7) Carrier ID (SCAC/IATA).
- (8) Conveyance name/carrier name.
- (9) License code/license exemption code.
- (10) Shipment reference number.

(b) Conditional data elements are as follows:

- (1) Filer ID, Authorized agent's identification number (if an authorized agent is used to prepare and file the EEI).
- (2) Export Control Classification Number (ECCN).

The acceptable ECCNs for AEI are 5A002, 5B002, 5D002 and 5E002. The only items on the CCL that are EAR99 or ECCNs controlled for AT reasons only or for Encryption are eligible for AEI.

The USPPI or the authorized agent must provide the exporting carrier with a USPPI AEI AES exemption legend prior to exportation (FTR 30.7). See 'Appendix R - Exemption Legends' for details.

A certified AES authorized filing agent or service center may transmit AEI information on behalf of an approved AEI USPPI.

Shipments that require a license cannot be transmitted as AEI filing unless specifically approved by the licensing agency for AEI filing.

Exports (re-exports) of rough diamonds subject to the Clean Diamond Trade Act and the Rough Diamond Control Regulations (31 CFR Part 121) that would otherwise require the filing of an EEI must be filed as Predeparture unless specially approved by the licensing agency for AEI filing.

Used self-propelled vehicles shipped between the US and Puerto Rico by an AEI approved USPPI may be reported using AEI filing. However, any other used vehicle cannot be transmitted as a AEI filing. For these shipments, revert to Predeparture filing. See 'Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting (Input EV1 Record)' for the list of used self-propelled vehicle classifications.

Specific shipments as noted under Predeparture *always* require complete data reported prior to departure and can not be filed in AES using AEI. This includes shipments to proscribed countries as identified in CBP regulations 19 CFR 4.75 (c).

**Note:** During the AEI approval process, you will receive more detailed instructions.

## **Section 2: Electronic Messaging in AES**

The section contains information on the data reported in AES. See Part II, AES Record Formats, Section 1-4, for details on the reporting formats accepted in AES.

### **Commodity Data**

The commodity data “module” component of AES allows a USPPI, authorized forwarding agent, port authority, service bureau, or *AESDirect* to transmit electronic commodity data directly to AES. This electronically transmitted data replaces the requirement to file a paper Shipper’s Export Declaration. Commodity data may be submitted electronically to AES using the Customs Proprietary Commodity Record Format or the ANSI X.12 Format. For details, see Part II, AES Record Formats, Section 1, AES Commodity Data Transactions – Proprietary Formats and Section 2, AES Commodity Data Transactions – X.12 Formats.

AES shall respond to each commodity data transaction with an electronic response. Included in each response is an indication of whether the commodity data has been accepted by AES. If accepted, AES additionally returns an Internal Transaction Number (ITN) to the filer as confirmation of filing.

### **Vessel Transportation Data**

The vessel transportation data “module” component of AES allows a vessel carrier to transmit booking and manifest information directly to AES. Vessel transportation data transmitted to AES includes booking data and amendments, receipt of booking data, vessel departure data, and manifest data and amendments.

Vessel transportation data may be submitted electronically to AES using the Customs Proprietary Transportation Record Format or the ANSI X.12 Format. For details, see Part II, AES Record Formats, Section 3, AES Transportation Data Transactions – Proprietary Formats and Section 4, AES Transportation Data Transactions – X.12 Formats.

AES shall respond to each vessel transportation data transaction with an electronic response. Included in each response is an indication of whether the vessel transportation data has been accepted by AES.

## Section 3. Participating in AES

This section contains information on who can participate and how to get started using AES. Sub-sections include information on communicating with AES, software, data storage and record keeping requirements.

All participation in AES is **mandatory** and is designed to use technology available to both large and small businesses.

A company may purchase a software package designed by a software vendor and certified by AES or a company may develop an AES application in-house using the record formats and other technical information provided in this document. A company that is not automated can submit data through a service center or other organization that provides the capability to electronically communicate with CBP in the same way as an automated company. The Census Bureau offers a cost-free, Web-based application, *AESDirect* that allows a USPPI, an authorized agent and others to report commodity data to AES using the Internet. For details on *AESDirect*, contact their Web site at [aesdirect.census.gov](http://aesdirect.census.gov).

Participants who may apply for AES certification include a USPPI, an authorized agent, an ocean carrier, a software vendor, or any organization acting as a service center. Once becoming certified, an AES filer (filing agent) must agree to stay in complete compliance with all export rules and regulations.

### Letter of Intent (LOI)

The first requirement for all participation in AES is to submit a complete *Letter of Intent (LOI)*. The LOI is a written statement of a company's desire to participate in AES. It must set forth a commitment to develop, maintain, and adhere to CBP and Census Bureau performance requirements and operation standards. The format and content for preparing the LOI is provided in this document. An electronic version of the LOI can be completed and submitted via the Internet. Once the LOI is received, a CBP Client Representative and a Census Client Representative will be assigned to work with the company. Census/CBP will forward additional information to prepare the company for AES participation. There is a separate LOI to participate in the AES Vessel Transportation Module (included here, as well as available on the AES Web site). Applicants interested in *AESDirect* filing must complete the online registration form at [aesdirect.census.gov](http://aesdirect.census.gov).

#### *Letters of Intent (LOI) For the Commodity Module*

The Commodity Module LOI must be submitted on company letterhead and must include:

- Company Name, Address (**no** P.O. Boxes), City, State, Postal Code
- Company Contact Person, Phone Number, Fax Number, E-mail Address
- Technical Contact Person, Phone Number, Fax Number, E-mail Address
- Corporate Office Address, City, State, Postal Code
- Computer Site Location Address, City, State, Postal Code (where transmissions will be initiated)
- Type of Business — USPPI, Freight Forwarder/Broker, Ocean Carrier, Software Vendor, Service Center, etc. (Indicate all that apply).
- If a Freight Forwarder/Broker, indicate the number of USPPIs for whom you file export information (EEIs)
- If a USPPI, indicate whether you are applying for Predeparture or Postdeparture
- U.S. Ports of Export currently used

- Average number of monthly paper EEI(s) submitted
- Average monthly dollar value of export shipments
- Filer Code (i.e., identifier) — EIN, or SCAC (indicate all that apply)
- Software Vendor Name, Contact, and Phone Number (if using vendor provided software)
- Modes of transportation used for export shipments (air, vessel, truck, rail, etc.)
- Types of merchandise exported
- Types of licenses or permits
- Anticipated implementation date

The following self-certification statement, signed by an officer of the company, must be included in your letter of intent:

*We (COMPANY NAME Inserted here), certify that all statements made and all information provided herein are true and correct. I understand that civil and criminal penalties, including forfeiture and sale, may be imposed for making false or fraudulent statements herein, failing to provide the requested information or for violation of U.S. laws on exportation (13 U.S.C. Sec. 305; 22 U.S.C. Sec. 401; 18 U.S.C. Sec. 1001; 50 U.S. C. App. 2410).*

Send Commodity Module Letter of Intent to:

Chief, Foreign Trade Division

U.S. Census Bureau

Washington, DC 20233

**Or fax to:** 301-763-6638

A copy of the Commodity Module LOI can be found on the Internet at <http://www.cbp.gov>. Select Trade, Automated Systems and Operational Support, and then select *Letter of Intent*. Select Letter of Intent (LOI) Form – Commodity Data (EEI) and complete the form on-line and submit.

*Letter of Intent (LOI) For Vessel Transportation Module*

The Letter of Intent to participate in the Vessel Transportation Module may be transmitted electronically via the Internet or written on company letterhead and faxed or mailed to CBP (see details below). The LOI must include the following items:

- Company Name, Address (**no** P.O. Boxes), City, State, Postal Code
- Company Contact Person, Phone Number, Fax Number, E-mail Address

- Corporate Office Address, City, State, Postal Code
- Computer Site Location Address, City, State, Postal Code
- Technical Contact Person, Phone Number, Fax Number, E-mail Address
- U.S. Ports of Export currently used
- Average number of monthly export voyages
- Average monthly number of bookings
- Average number of bills of lading
- Carrier SCAC code
- Software Vendor Name, Contact Person, Phone Number, Fax Number, E-mail Address (if using vendor provided software)
- If AMS carrier, provide CBP AMS Client Representative name
- Party transmitting if other than applicant, Contact Person, Phone Number, Fax Number, E-mail Address
- Anticipated implementation date
- Status of AES development (i.e., planning, programming, or ready to test)
- Type of reporting format (Customs Proprietary, ANSI X.12)

The following self-certification statement is included in the electronic LOI. If sending via FAX or mail, the following statement must be included and signed by an officer of the company:

*We, (insert the name of the company above), certify that all statements made and all information provided herein are true and correct.*

Send Vessel Module Letter of Intent to:

**Customs and Border Protection**

**Client Representative Branch**

**Attn: Beauregard, A-314**

**6781 Boston Blvd**

**Springfield, VA 22153**

Or fax to: **703-650-3538**

A copy of the Transportation Module LOI can be found on the Internet at <http://www.cbp.gov>. Select Trade, Automated Systems and Operational Support, and then select *Letter of Intent*. Select Letter of Intent (LOI) Form – Vessel Transportation Data and complete the form on-line and submit.

## **Communications**

All AES participants must procure the necessary equipment and software and are responsible for all costs. Network access is available by using an approved CBP communications option. They are as follows:

- Cisco VPN/MQ Series Solution via a client provisioned Internet Service Provider (ISP)

- Sprint Frame Relay/MQSeries Solution
- Service Center offering the AES interface for filers who are not automated or have incompatible equipment
- VPN via too free dial-up where an ISP is not accessible
- *AESDirect*, a free Internet filing application developed by Census. Contact [aesdirect.census.gov](http://aesdirect.census.gov).

All AES filers transmit data to the CBP central processor. Communications access is monitored by internal security program controls using account numbers and passwords assigned by CBP to each participant. Authorized users are further restricted to processes that permit the transmission and receipt of data files applicable only to functions that they are authorized to perform.

A filer may report data to AES using the following formats:

- Customs Proprietary Commodity Record Format (for commodity data only)
- Customs Proprietary Transportation Format (for vessel transportation data only)
- ANSI X.12 (for both commodity and vessel transportation data)

Participants must use a data transmission protocol agreed upon between the user and CBP. Specific instructions for initial data communication and testing with the CBP computer are provided to each participant on an individual basis by the CBP Client Representative. If the VAN option is chosen, a mailbox address will be provided by the CBP Client Representative.

Any data received by CBP just prior to a line drop or any other mechanical failure occurring during transmission is not retained. The filer must reinitiate the send task after resolution of the problem and retransmit the data.

## Software Requirements

Participants are responsible for developing or acquiring the software necessary to send and receive data including:

- A communications interface program.
- Complete edit and verification logic to ensure data accuracy and completeness.
- An application support program to build a file that the communications interface program will transmit to the CBP computer.

## Data Storage Capacity

An AES participant must have the data storage capacity to store valid information needed to successfully capture and submit an export transaction to AES. This information may include the Schedule B or HTS classification numbers, ISO Country Codes, U.S. Port of Export Codes, Foreign Port of Unlading Codes, License Type Codes, Export Information Codes, Units of Measure Code, and Carrier ID (SCAC and/or IATA codes). Some reference data (e.g., Schedule B) may require the maintaining of an effective and expiration date.

Another serious storage consideration is data retention of AES export transactions for a minimum of **five (5) years**. The data need not be on-line, but readily accessible if verification of a transaction is needed.

## **Record Keeping**

All parties to the export transaction (i.e., the owner and operator of the exporting carrier, the USPPI and/or the authorized agent) must retain documents or records verifying the shipment for **five (5) years** from the date of export. CBP, the Census Bureau, and other participating agencies may require that these documents be produced at any time within the 5-year time period for inspection or copying. These records may be retained in an elected format including electronic or hard copy as provided in the applicable agency's regulations. Acceptance of the documents by CBP or the Census Bureau does not relieve the USPPI or the authorized agent from providing complete and accurate information after the fact. The Department of State or other regulatory agencies may have additional recordkeeping requirements for exports.

## **Interconnectivity Security Agreement (ISA)**

In accordance with implementation of the Customs and Border Protection Information Systems Security Policy, all participants that transmit electronic data directly to CBP are required to have a signed Interconnection Security Agreement (ISA) on file with CBP. Details related to the ISA will be handled by the CBP client representative during the AES certification process.

## Section 4. AES Certification and Requirements of AES Filers

This section provides information on the filer certification process, AES filing standards and filer responsibilities.

### **Filer Certification**

Certification for AES filing will apply to any USPPI, authorized agent, ocean carrier, or any organization acting as a service center transmitting export information electronically to AES. Applicants interested in AES commodity filing must submit a *Letter of Intent* to Census in accordance with the provisions contained in FTR 30.5(a)(1) . For AES transportation filing, the Letter of Intent is submitted directly to CBP. CBP and Census will assign client representatives to work with the applicant to prepare them for AES certification.

A USPPI filing a *Letter of Intent* for Postdeparture filing privileges will be cleared through a formal review process conducted by CBP, Census and other Federal Government Agencies participating in AES (Partnership Agencies).

The AES applicant must perform an initial two-part communication test to ascertain whether the applicant's system is capable of both transmitting data to and receiving data from AES. The applicant must demonstrate specific system application capabilities. The capability to correctly handle these system applications is the prerequisite to certification for participation in AES.

The applicant must successfully transmit the AES certification test. Both the CBP and Census client representatives provide assistance during certification testing. These representatives make the sole determination as to whether or not the applicant qualifies for certification. Upon successful completion of certification testing, the applicant's status is moved from a testing status to a fully operational status.

Upon certification the filer will be required to maintain an acceptable level of performance in AES filings. The certified AES filer may be required to repeat the certification testing process at any time to ensure that operational standards for quality are maintained.

Census will provide the certified AES filer with a certification notice after the applicant has been approved for operational status. The certification notice will include:

- The date that filers may begin transmitting "live" data electronically using AES;
- Reporting instructions; and
- Examples of the required AES exemption legends.

Once an authorized filing agent has successfully completed the certification process, the USPPI using that agent need no further AES certification. The certified filing agent must have a properly executed power of attorney, a written authorization from the USPPI or foreign principal party in interest, or a EEI signed by the USPPI to transmit their data electronically using AES. The USPPI or authorized agent that utilizes a service center or port authority must complete certification testing, unless the service center or port authority has a formal power of attorney or written authorization from the USPPI to submit the export information on behalf of the USPPI.

## **Commodity Data Filing Standards**

The certified AES filer's commodity data will be monitored and reviewed for quality, timeliness, and coverage. Census will notify the AES filer if the filer fails to maintain an acceptable level of quality, timeliness, and coverage in the transmission of export commodity data or fails to maintain compliance with Census Bureau regulations contained in the Foreign Trade Regulations. The Census Bureau, if necessary, will take appropriate action to correct the specific situation(s).

## **Responsibility of a USPPI or a Filing Agent**

The USPPI and/or authorized filing agent, certified for AES filing, is responsible for:

- Transmitting complete and accurate information to AES.
- Transmitting information to AES in a timely manner in accordance with the provisions and requirements in each reporting option.
- Responding to any condition identified as a fatal error, a warning, or a verification request.
- Responding timely to an AES commodity data 'warning' reminder.
- Providing the exporting carrier with the required exemption legend or citation when an item or shipment is exempt from EEI filing requirements.
- Transmitting a correction or cancellation to information previously established in AES as soon as the need for such change is determined.
- Maintaining all necessary and proper documentation related to an AES export transaction.

## **Responsibility of a Participating Ocean Carrier**

The participating ocean carrier is responsible for:

- Transmitting timely, accurate, and complete manifests and bills of lading information to AES for all cargo being shipped.
- Responding to all notifications concerning the status of their transmissions and the detention and release of freight.
- Transmitting booking, receipt of booking, departure, and manifest messages to AES.
- Complying with record-keeping requirements.

For information on electronic filing of manifest using AES, see 19 CFR 4.76, Procedures and responsibilities of carriers filing outbound vessel manifests information via AES.

## Section 5. Using AES

This section contains an overview of how AES works; both the commodity data module and the vessel transportation module. A sub-section includes information on making corrections or amendments in AES and discusses the importance of annotating the proper exemption legend for commodity shipments filed in AES.

### How AES Works: Overview of the AES Commodity Module

The export process begins when the USPPPI decides to export merchandise. The USPPPI or the authorized forwarding agent makes shipping arrangements (i.e., a booking) with a carrier. The USPPPI or the authorized filing agent then transmits the electronic commodity data for the shipment to AES. The filing is made either directly, or through, a service center, port authority, or using *AESDirect*. Commodity data is to be transmitted for shipments made by all modes of transportation including vessel, air, rail, truck, pipeline, mail and other modes.

Once received by CPB, AES validates the transmitted commodity data and returns an electronic response to the filer.

When encountered, AES returns one or more discreet response messages that note a condition found in the transmitted data. Each condition response message is classified by a severity:

- A **fatal** condition is noted when invalid data or a critical condition has been encountered. The filer is required to immediately address the problem, correct the data, and retransmit.
- A **warning** condition is noted when certain incomplete and conflicting data reporting conditions are encountered. AES accepts the information filed to facilitate the trade. The filer is required to transmit a correction to the commodity data within four calendar days. **Note:** If left uncorrected, AES shall generate and transmit a ‘warning reminder’ message back to the filer. The filer shall continue to receive these periodic reminders until the data has been corrected.
- 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. The filer is required to transmit a correction if a correction is warranted.
- A **compliance alert** condition is noted when a reporting compliance violation has likely occurred (e.g., a late filing). The filer is required to review filing practices and take steps to conform with export reporting compliance.
- An **informational** condition results in a non-critical notification to the filer. No action is needed.

Once commodity data has been accepted for a shipment, AES generates and returns an Internal Transaction Number (ITN) as confirmation of successful filing.

Once the commodity data for a shipment has been established in AES, the filer may transmit a correction to change or amend the data previously filed. In the event that the exportation of cargo, already reported to AES, shall not occur (due to an unforeseen business event), the filer is required to transmit a ‘cancellation’ message to AES.

## How AES Works: Overview of the AES Vessel Transportation Module

AES provides four types of electronic messages for a participating vessel carrier to transmit transportation data.

These messages must be received by AES in the following order:

**Booking Message.** The Booking Message includes information on the USPPI, the cargo and the destination. A carrier must transmit a Booking Message to AES 72 hours prior to vessel departure. The carrier is encouraged to transmit a Booking Message to AES as close as possible to the 72-hour mark prior to departure of the vessel. A booking made by the carrier after the 72-hour mark, yet prior to vessel departure, must be transmitted immediately as a Booking Message. Once the initial transportation booking data has been established in AES, the carrier may transmit an amendment.

Once received by CPB, AES validates the transmitted Booking Message and returns an electronic response to the filer. A **fatal** condition will be noted when invalid data or a critical condition has been encountered; the filer is required to immediately address the problem, correct the data, and retransmit. A **warning** condition is noted when certain incomplete and conflicting data reporting conditions are encountered. AES accepts the information filed to facilitate the trade.

**Receipt of Booking Message.** Upon the carrier's receipt of the first piece of booked cargo (unless the carrier is a designated Non Vessel Operating Common Carrier [NVOCC], in which case it will be receipt of the last piece of cargo on the booking), the carrier shall transmit a Receipt of Booking Message to AES. If CBP determines that a verification examination is required, AES shall immediately return an electronic Hold Message to the carrier. When CBP has completed a required examination and determined that the cargo may be exported, a Release Message will be transmitted to the carrier. If the carrier does not receive a Hold Message, the cargo may be loaded on the vessel.

**Once received by CPB, AES validates the transmitted Receipt of Booking Message and returns an electronic response to the filer. A fatal condition will be noted when invalid data or a critical condition has been encountered; the filer is required to immediately address the problem, correct the data, and retransmit. A warning condition is noted when certain incomplete and conflicting data reporting conditions are encountered. AES accepts the information filed to facilitate the trade.**

**Departure Message.** The Departure Message notifies CBP that the vessel has departed. Data includes the date and time of departure, the vessel name, carrier's Standard Carrier Alpha Code (SCAC) and the load port. The carrier shall transmit the Departure Message no later than the first calendar day following the actual departure of the vessel.

**Once received by CPB, AES validates the transmitted Departure Message and returns an electronic response to the filer. A fatal condition will be noted when invalid data or a critical**

**condition has been encountered; the filer is required to immediately address the problem, correct the data, and retransmit. A warning condition is noted when certain incomplete and conflicting data reporting conditions are encountered. AES accepts the information filed to facilitate the trade.**

**Manifest Message.** Within ten calendar days after departure from each port, the carrier shall transmit the entire manifest (i.e., the bills of lading) in an electronic Manifest Message. For each bill of lading transmitted to AES, a booking message must have been previously accepted.

**Once received by CPB, AES validates the transmitted Manifest Message and returns an electronic response to the filer. A fatal condition will be noted when invalid data or a critical condition has been encountered; the filer is required to immediately address the problem, correct the data, and retransmit. A warning condition is noted when certain incomplete and conflicting data reporting conditions are encountered. AES accepts the information filed to facilitate the trade.**

AES will attempt to match the vessel carrier's transportation data with the filer's commodity data using the Booking Control Number (SCAC + Booking Number):

- If a match is found, AES shall deem the vessel shipment status as 'closed'. Certain information provided by the vessel carrier (Date of Export, Port of Export, Foreign Port of Unlading, SCAC Code, and Vessel Name) shall be appended to the commodity data for the vessel shipment and shall be considered as the most up-to-date.
- If no match is found, AES shall deem the vessel shipment status as 'pending' (i.e., awaiting receipt of booking from a participating vessel carrier).

**Note:** For a non-vessel shipment, for which there is no transportation data, AES shall deem the shipment as 'closed' as of the Date of Export estimated by the commodity filer. Any change to Date of Export, Port of Export, Foreign Port of Unlading, SCAC Code, and Vessel Name must be made by the commodity data filer in a correction filing.

## **Correction and Cancellation of Commodity Data**

The USPPPI or the authorized filing agent is responsible for electronically transmitting a correction or cancellation to commodity data previously accepted by AES. Corrections and cancellations should be made as soon an error or omission is discovered.

AES shall apply the same edits and validations to data transmitted in a commodity data correction as first applied when the data was initially transmitted. Similar to the initial response, AES shall return a response to the correction filing. When encountered, AES shall return one or more discreet response messages that note a condition found in the correction or cancellation. The filer is required to respond in the same manner as specified above.

## **Annotating the Proper Exemption Legend for AES Commodity Shipments**

Items identified on the USML must meet the Predeparture reporting requirements identified in the ITAR (22 CFR, Part 120-130) for the State Department requirements concerning AES proof of filing citations and time and place of filing.

For shipments other than USML, the USPPI or the authorized agent is responsible for annotating the proper exemption legend on the bill of lading, air waybill, or other commercial loading document for presentation to the carrier prior to tendering the cargo to the exporting carrier.

The exemption legend identifies that the shipment commodity information has been transmitted electronically using AES. The exemption legend must appear on the first page of the bill of lading, air waybill, or other commercial loading document and must be clearly visible. See 'Appendix R - Exemption Legends' or FTSR Letter Number 168 (Amendment 1) for the official AES exemption legends to used. Failure to provide the proper exemption legend may result in the export shipment being delayed.

## Section 6. Commodity Data Elements

This section provides an overview of the data elements that are transmitted in a commodity data filing. Detailed formats and reporting requirements and guidelines are described in Part II. The Foreign Trade Regulations (Part 30 FTR), the CBP Regulations (19CFR Parts 4, 101, 178, and 192 AES), the International Traffic in Arms Regulations (22 CFR Parts 120-130 ITAR), and the Export Administration Regulations (15 CFR Supp. No. 1 to part 774 EAR) may provide additional information.

### Shipment Reference Number (SRN)

Used to report a filer assigned, unique shipment reference number that allows for the identification of the shipment in their system. The reuse of the shipment reference number is prohibited. This shipment reference number must be unique.

### USPPI Identification and Address Information

These data elements are used to report the name, address, and company contact information of the US principal party in interest. In all export transactions, the USPPI shall report the address location from which the merchandise actually starts its journey to the port of export. If the USPPI does not have a facility (processing plant, warehouse or distribution center, retail outlet, etc.) at the location from which the goods began their export journey, report the USPPI address from which the export was directed. For shipments of multiple origins reported on a single AES commodity transaction, report the address from which the component with the greatest dollar value begins its export journey or, if such information is not known at the time of export, the address from which the export is directed.

The USPPI's Employer Identification Number (EIN) and USPPI name, address, contact, and telephone number must be reported with every shipment. If the EIN is not available to the USPPI, as in the case of a foreign entity being shown as the USPPI, the border crossing number, passport number, or any other number assigned by CBP is required to be reported.

#### Note:

***The Census Bureau has eliminated the acceptance of SSN on any new filings effective December 3, 2009. Corrections (change, replace or cancel) to SEDs filed with SSN prior to the effective date will continue to be accepted.***

### Forwarding Agent Identification and Address Information

These data elements are used to report the name, address, and company contact information of the forwarding agent if one is involved in the transaction. The forwarding agent is any person in the US or under jurisdiction of the US who is authorized by the USPPI to perform the services required to facilitate the export of merchandise out of the US or the person named in the validated export license.

The forwarding agent's identification number (EIN or DUNS) and name and address must be reported with the initial shipment that the Forwarding Agent has been used. That Forwarding Agent's identification number is the only information required on any subsequent shipment.

**Note:**

***The Census Bureau has eliminated the acceptance of SSN on any new filings effective December 3, 2009. Corrections (change, replace or cancel) to SEDs filed with SSN prior to the effective date will continue to be accepted.***

**Ultimate Consignee Identification and Address Information**

These data elements are used to report the name, address, and company contact information (if known) of the person, party, or designee on the export license that is located abroad and actually receives the export shipment. The ultimate consignee known at the time of export must be reported. For goods sold en route, report "SOLD EN ROUTE" and report corrected consignee information as soon as it is known.

**Intermediate Consignee Identification and Address Information**

These data elements are used to report the name, address, and company contact information (if known) of the intermediary (if one is involved in the transaction) who acts in a foreign country as an agent for the principal party in interest 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.

**Filing Option Indicator**

Used to indicate which filing option is being used to report the export shipment data (Predeparture, Postdeparture or AEI).

**Estimated Date of Export**

Used to report the date the merchandise is scheduled to leave the US. If the actual date is not known, report the best estimate of departure. The estimated date of arrival must be reported for shipments to Puerto Rico.

**Country of Ultimate Destination Code**

Used to report the 2-character International Standards Organization (ISO) code for the country of ultimate destination. The country of ultimate destination, as shown on the export license, or the country as known to the USPPPI in the export transaction at the time of export is the country in which the merchandise is to be consumed or further processed or manufactured. For goods sold en route, report the country of the first port of call and then report corrected country of destination information as soon as it is known.

**Mode of Transportation (MOT) Code**

Used to report the method of transportation by which the goods are being conveyed. Report one of the codes listed in 'Appendix T- Mode of Transportation Codes'.

**Carrier ID**

Used to report the 4-character Standard Carrier Alpha Code (SCAC) for vessel, rail, and truck shipments and the 2- or 3-character International Air Transport Association (IATA) Code for air shipments to identify the carrier actually transporting the merchandise out of the US.

#### Conveyance Name/Carrier Name

Used to report the name of the conveyance (for a vessel shipment) or carrier (for any other mode). A name must be reported by the USPPI or the agent as known at the time of shipment for all vessel, air, truck, or rail shipments. Terms such as “airplane,” “train,” “truck,” or “international foot bridge” are not acceptable.

#### Port of Exportation Code

Used to report the code of the CBP port of export. See ‘Appendix D - Export Port Codes’.

#### Port of Unlading Code

For vessel shipments only, used to report the code of the foreign port of unlading. See ‘Schedule K, “Classification of Foreign Ports by Geographic Trade Area and Country’.

For vessel and air shipments from the US to Puerto Rico or from Puerto Rico to the US, report the port of unlading as 4-position CBP export port code. See ‘Appendix D – Export Port Codes’.

#### U.S. State of Origin Code

Used to report a 2-character postal abbreviation for the state in which the merchandise begins its journey to the port of export.

#### Related Company Indicator

Used to indicate if the shipment is between related parties. Parties are related if, during the fiscal year, either the USPPI or foreign ultimate consignee reported owned 10% or more of the other’s voting securities.

#### Foreign/Domestic Origin Indicator

Used to indicate if the commodity is of domestic or foreign production.

#### Routed Export Transaction Indicator

Used to indicate that the export shipment is a routed export transaction. A routed export transaction is where the foreign principle party in interest authorizes the U.S. forwarding or other agent to facilitate the export of the items from the US.

#### Export Information Code (EIC)

Used to report the 2-character export information code as provided in 'Appendix E – Commodity Filing Export Information Codes and Reporting Guidelines'.

#### Line Number

Used to report a unique line number for each commodity item included in a commodity shipment transaction.

#### Schedule B/HTS Number

Used to report the 10-digit commodity classification number as provided in Schedule B, "Statistical Classification of Domestic and Foreign Commodities Exported from the US" (Schedule B). The 10- digit commodity classification number provided in the Harmonized Tariff Schedule (HTS) may be reported in lieu of the Schedule B commodity classification number except as noted in the Head Notes of the HTS. See 'Appendix V - HTS Numbers That Can Not Be Reported in AES'.

#### Commodity Description

Used to report the commercial description in sufficient detail to permit the verification of the commodity classification number.

#### Quantity/Unit of Measure (First)

Used to report the primary net quantity in the specified unit of measure and the unit of measure as prescribed in the Schedule B or HTS or as specified on the export license.

#### Quantity/Unit of Measure (Second)

Used when Schedule B requires two units of quantity to be reported. Report the second net quantity in the specified unit of measure and the unit of measure as prescribed in the Schedule B or HTS.

#### Shipping Weight

Used to report the gross shipping weight in kilograms for vessel, air, truck, and rail shipments. Include the weight of containers but exclude the weight of carrier equipment.

#### Value of Goods

Used to report the selling price or cost if not sold, including inland freight, insurance, and other charges to the U.S. port of export. Report the value in U.S. currency; omit cents. The "selling price" for goods exported pursuant to sale and the value to be reported on the AES record is the USPPI's price to the foreign principal party of interest, net any unconditional discounts from list price, but without deducting any discounts which are conditional upon a particular act or performance on the part of the customer.

#### License Code/License Exemption Code

Used to claim a type of license, permit, or license exemption, or to claim that “no license is required”. See ‘Appendix F – License and License Exemption Type Codes and Reporting Guidelines’.

#### Export Control Classification Number (ECCN)

Used to report the Export Control Classification Number (ECCN) for merchandise as required by the Bureau of Industry and Security (BIS) Regulations (15 CFR Parts 730 through 774).

#### Export License Number/CFR Citation/Authorization Symbol/KPC#

Used to report the license number or other symbol, including the Kimberley Process Certificate Number, assigned by the licensing agency.

#### Directorate of Defense Trade Controls (DDTC) ITAR Exemption Number

Used to report the specific citation (exemption number) under the International Traffic in Arms Regulations (ITAR) (22 CFR, Parts 120-130) that exempts the shipment from requirements for a license or other written authorization from DDTC. See ‘Appendix O – DDTC ITAR Exemption Codes’.

#### DDTC Registration Number

Used to report the number assigned by DDTC to persons who are required to register per Part 122 of the ITAR (22 CFR, 120-130) that has an authorization from DDTC (license or exemption) to export the article.

#### DDTC Significant Military Equipment (SME) Indicator

Used to designate articles on the USML for which special export controls are warranted because of their capacity for substantial military utility or capability. See Section 120.7 of the ITAR 22 CFR, 120-130, for a definition of SME and Section 121.1 for items designated as SME articles.

#### DDTC Eligible Party Certification Indicator

Used to certify that the U.S. exporter is an eligible party to participate in defense trade. See ITAR 22 CFR, Section 120.1(c). This certification is required only when an exemption is claimed.

#### DDTC USML Category Code

Used to report the USML category of the article being exported (22 CFR, Part 121). See ‘Appendix L – DDTC USML Category Codes’.

#### DDTC Unit of Measure (UOM)

Used to report the unit of measure covering the article being shipped as described on the export authorization or declared under the ITAR exemption. See ‘Appendix W – DDTC Unit of Measure Codes’.

#### DDTC Quantity

Used to report the quantity for the munitions article being shipped. The quantity is the total number of units that corresponds to the DDTC Unit of Measure Code.

#### Transportation Reference Number (TRN)

For a vessel shipment, used to report the reservation number assigned by the ocean carrier to hold space for cargo being exported (i.e., the a booking number). If other than vessel, report the master air waybill for an air shipment, the bill of lading for a rail shipment, and the freight or pro bill number for a truck shipment, if known.

#### Hazardous Material Indicator

Used to indicate that the shipment is hazardous as defined by the Department of Transportation.

#### Equipment Number

Used to report a container number for containerized vessel cargo.

#### Seal Number

Used to report the identifying number of the CBP seal affixed to the equipment or container.

#### In bond Code

Used to indicate that the shipment is moving in-bond. AES does not currently close out any in bond movements, however a 2-character in bond code may be reported for informational purposes.

#### Entry Number

Used to report the Import Entry Number when the export transaction is to be used as proof of export for import transactions such as In Bond, Temporary Import Bond, Drawback, and so forth. AES currently does not close out in bond movements.

#### Foreign Trade Zone Identifier

If merchandise is withdrawn from a Foreign Trade Zone for export, used to report the unique 5-character code assigned by the Foreign Trade Zone Board that identifies the Foreign Trade Zone from which the merchandise is withdrawn.

#### Used Self-propelled Vehicle Information

Used to report information regarding used self-propelled vehicles as defined in 19 CFR 192.1. Data includes Vehicle Identification Number (VIN) or Product Identification Number (PIN), Vehicle Title Number and Vehicle Title US State Code. See 'Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting (Input EV1 Record)' for the list of used self-propelled classifications.

License Value

For shipments requiring an export license, report the value designated on the export license that corresponds to the commodity being exported.

Ultimate Consignee Type

Used to identify the business function of the ultimate consignee that most often applies. The ultimate consignee will be designated as a Direct Consumer, Government Entity, Reseller, or Other/Unknown.