

# CBP Automated Export System Trade Interface Requirements

Appendix R - Proof of Filing and Exemption Legends

2013



U.S. Customs and  
Border Protection



## APPENDIX R – Proof of Filing and Exemption Legends

### Proof of Filing and Exemption Legends

A proper *exemption legend* or *proof of filing citation* must be presented for an EEI transmitted electronically.

- (a) 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.
- (b) 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 carrier is responsible for transmitting the appropriate exemption legend to the CBP Port Director at the port of exportation. The exemption legend will identify that the shipment information has been transmitted and electronically filed using AES. The exemption legend must be clearly visible on the first page of the bill of lading, air waybill, or other commercial loading document.
- (c) For shipments of rough diamonds, the ITN is required to be shown on the Kimberly Process Certificate for all exports (re-exports) of rough diamonds to certify that the diamonds have been controlled through the Kimberley Process Certificate Scheme, as defined in Section 3 of Public Law 108-19 or the Clean Diamond Trade Act and implemented in the Rough Diamonds Control Regulations (31 CFR Part 592).

Failure to properly report an exemption legend can result in a delayed, detained and/or penalized export shipment.

**Table A: Acceptable AES Filing Citation, Exemption and Exclusion Legends**

AES Filing Option	Acceptable AES Proof of Filing Citations
USML Proof of Filing Citation	AES ITN Example: AES X20090101987654
AES Proof of filing Citation subpart A§ 30.7	AES ITN Example: AES X20090101987654
AES Postdeparture Citation – USPPI is filing the EEI	AESPOST USPPI EIN mm/dd/yyyy (Date of export) Example: AESPOST 12345678912 01/01/2009
Postdeparture, when filed by other than the USPPI	AESPOST USPPI EIN – FILER ID mm/dd/yyyy (Date of export) Example: AESPOST 12345678912 - 987654321 01/01/2009
AES Downtime Citation (use only when AES or AESDirect is unavailable)	AESDOWN Filer ID mm/dd/yyyy (Date of export) Example: AESDOWN 987654321 01/01/2009
Split shipments by Air “Split Shipments” should be referenced as such on the manifest in accordance with provisions contained in § 30.28, “Split Shipments by Air.” The notation should be easily identifiable on the manifest.	AES ITN SS Example: AES X20090101987654 SS

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AES Filing Option	Acceptable AES Exemption/Exclusion Legends
Goods shipped from U.S. territories	NOEEI FTR 30.2(d)(2)
Goods shipped to or from Guantanamo Bay Naval Base in Cuba and the United States	NOEEI FTR 30.2(d)(4)
Inbond shipments through the United States, Puerto Rico, and the U.S. Virgin Islands	NOEEI FTR 30.2(d)(1)
Exemption for Shipments to Canada	NOEEI FTR 30.36
Exemption for Low-Value Shipments	NOEEI FTR 30.37(a)
Miscellaneous Exemption Statements are found in 15 CFR 30 Subpart D § 30.37(b) through § 30.37(u)	NOEEI FTR 30.37 (cite corresponding alphabet)
Special Exemption for Shipments to the U.S. Armed Forces	NOEEI FTR 30.39
Special Exemptions for Certain Shipments to U.S. Government Agencies and Employees (Exemption Statements are found in 15 CFR 30 Subpart D § 30.40(a) through § 30.40(d))	NOEEI FTR 30.40 (cite corresponding alphabet)
Proof of filing citations by pipeline	NOEEI FTR 30.8(b)

**Table B: Terms and Definitions Used in Acceptable Exemption Legends**

Term	Definition
EEI	Electronic Export Information.
Filer ID	9-digit identification number of the party filing the commodity shipment information in AES as reported on the 'A' record.
ITN	Internal Transaction Number. The unique AES generated confirmation number that indicates to the filer and to CBP that the export shipment has been accepted as transmitted and electronically filed using AES.