

CBP Automated Export System Trade Interface Requirements

Commodity Shipment Warning Reminder

June 28, 2006



U.S. Customs and
Border Protection



PART II – AES RECORD FORMATS

SECTION 1 – AES Commodity Data Transactions

PROPRIETARY FORMATS

(b)

**COMMODITY SHIPMENT
WARNING REMINDER**

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Effective: April 2004
Version: 1.0

Summary of Changes

Version /Date	Type of Change	Description
Version 1.0 March 31, 2005	C	Line Item Commodity Detail (Output CL2 Record) Rename data element to include the Kimberley Process Certificate Number as follows: Export License Number/CFR Citation/Authorization Symbol/KPC#

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

Introduction

Until corrected, a filer will receive a 'warning reminder' for a *complete* shipment accepted 'with warnings' by AES (i.e., when the *last* returned response for a commodity shipment transaction was SHIPMENT ADDED; MUST CORRECT WARNINGS, SHIPMENT REPLACED; MUST CORRECT WARNINGS, or SHIPMENT CHANGED; MUST CORRECT WARNINGS). The reminder will initially be sent after a four *complete* calendar-day grace period (starting on the date the response was last returned) and then once every seven days thereafter. Filers **MUST** correct warnings in a timely manner. AES generates and transmits Commodity Shipment Warning Reminders for shipments in which *complete* shipment data has been accepted (i.e., for Predeparture and Postdeparture).

A returned batch of Commodity Shipment Warning Reminders will contain those commodity shipment transactions that have uncorrected, outstanding warnings. The commodity shipment transactions will be grouped by US Principal Party in Interest (USPPI) in one or more block control groups, within a batch and transmitted to the filer that established the shipments.

A warning reminder will consist of EXACTLY the same response as the *last* accepted commodity shipment transaction that returned warning conditions for that shipment (with the exception of the *final disposition*). A *final disposition* ES1 record shall conclude the transaction with the narrative text REMINDER – MUST CORRECT WARNINGS.

Note that commodity shipment transactions will be organized into batches and blocks in a manner that bears NO resemblance to the batch and/or block originally accepted by AES (i.e., an AES batch may co-mingle commodity shipment transactions that originated from different trade initiated batches). Due to technical size constraints, a filer/transmitter may receive more than one batch.

If the filer is an authorized Data Entry Center (DEC), the enclosed shipment transactions within the returned batch MAY be DEC filed shipments or forwarding agent filed shipments. The two types MAY be co-mingled in a reminder batch. In all cases, the shipments referenced require timely correction.

The output records below describe a reminder as generated and sent by AES.

See Part II, Section 1 'Commodity Shipment Filing and Response' for details regarding the establishment and correction of commodity data.

Record Layout Key

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

Data Element:

Contains the name of the returned data field.

Length:

Indicates the maximum length of the returned data element.

Class:

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

A = Alphabetic Data. Consists of characters A through Z and space.

N = Numeric Data. Consists of numerals 0 through 9.

AN = Alphanumeric Data. Consists of characters A through Z, numerals 0 through 9, and space.

X = Special Data. Consists of characters A through Z, numerals 0 through 9, space, and any special character.

Position:

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

Designation:

Indicates the reporting requirement as follows:

M = Mandatory. A value conforming to the listed class will be returned in all filing scenarios.

C = Conditional. A value conforming to the listed class may or may not be returned for a particular filing scenario.

Description / Usage:

Defines the data element and provides a further description of how it is to be returned.

Note:

Points to a further discussion regarding the return of the particular data element.

Output Record Structure Map

The following table illustrates how repeating groups are structured and returned in a proprietary format warning reminder batch generated by AES.

Record ID	Name	Designation	Loop Repeat
<u>A</u>	Batch Control Header	M	
	Block Control Grouping	M	999
<u>B</u>	Block Control Header	M	
	Commodity Shipment Transaction Grouping	M	999
	Shipment Header Grouping	M	1
<u>SC1</u>	Shipment Header	M	
<u>ES1</u>	Condition/Disposition Response	C	>1
<u>SC2</u>	Shipment Header – Continuation	C	
<u>ES1</u>	Condition/Disposition Response	C	>1
	Shipment Transportation Detail	C	999
<u>SC3</u>	Transportation Detail	M	
<u>ES1</u>	Condition/Disposition Response	C	>1
	Shipment Party Grouping	C	>4
<u>N01</u>	Party Header	M	
<u>ES1</u>	Condition/Disposition Response	C	>1
<u>N02</u>	Party Address	C	
<u>ES1</u>	Condition/Disposition Response	C	>1
<u>N03</u>	Party Address – Continuation	C	
<u>ES1</u>	Condition/Disposition Response	C	>1
	Commodity Line Item Grouping	C	999
	Line Item Detail Grouping	M	1
<u>CL1</u>	Line Item Detail	M	
<u>ES1</u>	Condition/Disposition Response	C	>1
<u>CL2</u>	Line Item Commodity Detail	C	
<u>ES1</u>	Condition/Disposition Response	C	>1
	DDTC License	C	1
<u>ODT</u>	DDTC License Detail	M	
<u>ES1</u>	Condition/Disposition Response	C	>1
	Commodity Used Vehicle Detail	C	999
<u>EV1</u>	Used Vehicle Detail	M	
<u>ES1</u>	Condition/Disposition Response	C	>1
<u>Y</u>	Block Control Trailer	M	
<u>Z</u>	Batch Control Trailer	M	

Designation: M = Always Returned C = Conditionally Returned

Commodity Shipment Warning Reminder OUTPUT Record Layouts

An AES proprietary format commodity shipment warning reminder consists of three primary components: Batch Control (i.e., the outer Transmitter/Filer’s envelope), a Block Control Grouping (i.e., the inner USPPI envelope), and a Commodity Shipment Transaction Grouping (i.e., an individual shipment).

Batch Control (Output A, Z Records).

For AES generated notifications, AES will ALWAYS transmit a syntactically valid batch consisting of an A and Z record. Each batch will enclose one or more block control groupings.

Batch Control Header (Output A Record).

The A record begins an output batch envelope and will be returned for all reminder batches. The data element values reflect AES processing.

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	Always space fill.	
Filer ID	9N	6-14	M	Identifier of the entity that established the commodity shipments contained in the batch.	1
Communication Password	6AN	15-20	M	The filer/transmitter’s current authorization password.	2
Filer ID Type	1A	21-21	M	Type of Filer ID: D =DUNS S =SSN E =EIN	1
Application Identifier	2A	22-23	M	Identifies the AES output batch type. Always XN (Commodity Shipment Warning Reminder)	
Transmitter Date	8N	24-31	M	Date the reminder batch was generated (YYYYMMDD format).	
Batch Control Number	6X	32-37	M	AES’s internal batch identifier.	3
Filler	1AN	38-38	M	Always space fill.	
Transmitter ID	9N	39-47	M	Identifier of party originally transmitting the commodity shipments contained in the batch.	1
Filler	33AN	48-80	M	Always space fill.	

- 1) AES will batch commodity shipment notifications by the filer and transmitter that originally submitted the data to AES.
- 2) The returned ‘password’ will originate from the filer’s profile established in AES.
- 3) This will be an AES generated control number. **Note: it should never be considered as a value originally submitted by the filer to AES on any batch.**

Batch Control Trailer (Output Z Record).

The Z record concludes an output batch and will be returned for all reminder batches. The data element values will reflect AES processing and will mirror the data elements in the returned A record.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	1A	1-1	M	Always Z	

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
	2AN	2-3	M	Always space fill	
Filler	2AN	4-5	M	Always space fill.	
Filer ID	9N	6-14	M	Identifier of the entity that established the commodity shipments contained in the batch.	1
Filler	6AN	15-20	M	Always space fill.	
Filer ID Type	1A	21-21	M	Type of Filer ID.	1
Application Identifier	2A	22-23	M	Identifies the AES output batch type. Always XN (Commodity Shipment Warning Reminder)	1
Transmitter Date	8N	24-31	M	Date the reminder batch was generated (YYYYMMDD format).	1
Batch Control Number	6X	32-37	M	AES's internal batch identifier.	1
Filler	1AN	38-38	M	Always space fill.	
Transmitter ID	9N	39-47	M	Identifier of party originally transmitting the commodity shipments contained in the batch.	1
Filler	33AN	48-80	M	Always space fill.	

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

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 reminder batches. A block control grouping will enclose one or more individual commodity shipment transaction.

Block Control Header (Output B Record).

The B record begins an output block and will be returned for all reminder batches.

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 for the enclosed shipments within this block.	
USPPI ID Type	1A	15-15	M	Type of USPPI ID returned: D = DUNS S = SSN E = EIN T = Foreign Entity	
Filler	10AN	16-25	M	Always space fill.	
USPPI Name	30X	26-55	M	Name of the USPPI for the enclosed reminders within this block	
Filler	25AN	56-80	M	Always space fill.	

Block Control Trailer Output (Y Record).

The Y record concludes an output block and will be returned for all reminder batches. The data element values will mirror the data elements in the preceding B record.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
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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 returned: D = DUNS S = SSN E = EIN T = Foreign Entity	1
Filler	10AN	16-25	M	Always space fill.	
USPPI Name	30X	26-55	M	Name of the USPPI for the enclosed reminders within this block	1
Filler	25AN	56-80	M	Always space fill.	

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

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

The commodity shipment transaction reminder grouping specifies the unique identity of a shipment, control data such as the requested filing ‘action’ for the shipment data, and conditionally, specific information regarding commodities, parties to the transaction, licenses, etc. declared *last* for the commodity shipment transaction. Each commodity shipment transaction begins with an SC1 record. All records that follow an SC1 and precede a subsequent SC1 (or Block Control trailer) are considered as belonging to that returned reminder. The commodity shipment transaction grouping may be returned multiple times within a single block control grouping. The shipment transaction records returned in a reminder are those that were *last* returned to the filer/transmitter, unchanged, in an output response when a data element in the record caused or contributed to a warning, verification, or compliance alert condition.

Shipment Header Grouping (Output SC1, SC2 Record).

The shipment header grouping will be returned one time only within a single commodity shipment transaction grouping.

Shipment Header (Output SC1 Record).

The SC1 record begins a specific commodity shipment reminder. The data will reflect EXACTLY the values *last* reported to AES.

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 reported.	
Mode of Transportation Code (MOT)	2AN	5-6	C	The mode of transportation by which the merchandise is exported. Space fill if NOT reported.	
Country of Ultimate Destination Code	2A	7-8	C	The country that the merchandise is to be consumed, manufactured or further processed at the time of shipment. Space fill if NOT reported.	
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. Space fill if NOT reported.	
Carrier ID (SCAC/IATA)	4X	11-14	C	The entity ultimately responsible for the transportation of the exported merchandise from the domestic port of exportation. Space fill if NOT reported.	

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Shipment Reference Number	17AN	15-31	M	Unique identifier of the shipment.	
Shipment Filing Action Request Indicator	1A	32-32	M	The last 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 and all commodity lines) C = Change. Correct 1 or more data elements of a previously accepted shipment (i.e., the shipment and/or any/all commodity lines)	
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. Space fill if NOT reported.	
Filing Option Indicator	1AN	56-56	C	An indication as to the type of filing 'option' last chosen by the filer for the commodity shipment transaction: 2 = Predeparture. Full pre-departure commodity data filing. 4 = Postdeparture. Authorized USPPI, full post-departure commodity data filing. Space fill if NOT reported.	
Filler	1AN	57-57	M	Always space fill.	
Port of Unlading Code	5AN	58-62	C	The foreign port of unlading of the shipment. Space fill if NOT reported.	
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 MOTs: the U.S. port at the actual border crossing location or the nearest U.S. port to the actual border crossing location. Space fill if NOT reported.	
Estimated Date of Export	8AN	67-74	C	Estimated date of departure from the port of exportation. (YYYYMMDD format) Space fill if NOT reported.	
Filler	1AN	75-75	M	Always space fill.	
Hazardous Material Indicator (HAZMAT)	1A	76-76	C	An indication that the shipment contains hazardous material as defined by the Department of Transportation. Y = Yes; shipment contains hazardous material. N = No; shipment does NOT contain hazardous material. Space fill if NOT reported.	
Filler	4AN	77-80	M	Always space fill.	

Shipment Header – Continuation (Output SC2 Record).

The SC2 record contains additional commodity shipment information. If returned, the data will reflect EXACTLY the values *last* reported to AES.

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	
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 zeroes: No imbedded slashes or dashes. Space fill if NOT reported.	
Foreign Trade Zone Identifier	5AN	21-25	C	Identity of the Foreign Trade Zone from which the merchandise was withdrawn. Left justify; No trailing zeroes. Space fill if NOT reported.	
Filler	15AN	26-40	M	Always 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	
Filler	39AN	42-80	M	Always space fill.	

Transportation Detail (Output SC3 Record).

The shipment transportation detail may be returned multiple times within a single commodity shipment transaction grouping.

The SC3 record contains transportation related information. If returned, the data will reflect EXACTLY the values *last* reported to AES.

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 shipping container that contains the merchandise. Left justify; space fill. Space fill if NOT reported.	
Seal Number	15AN	18-32	C	The number from the Customs and Border Protection seal on the container. Left justify; space fill. Space fill if NOT reported.	
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; space fill. Space fill if NOT reported.	
Filler	18AN	63-80	M	Always space fill.	

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

The shipment party grouping may be returned up to 4 times within a single commodity shipment transaction grouping.

Party Header (Output N01 Record).

The N01 record contains information regarding a party relevant to the shipment transaction. If returned, the data will reflect EXACTLY the values *last* reported to AES.

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 reported.	
Party ID Type	1A	15-15	C	Type of ID reported: D = DUNS S = SSN E = EIN T = Foreign Entity Space fill if NOT reported.	
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	30AN	17-46	C	Company or enterprise name. Space fill if NOT reported.	
Contact First Name	13A	47-59	C	Company contact first name/title. Space fill if NOT reported.	
Contact Last Name	20A	60-79	C	Company contact last name. Space fill if NOT reported.	
To Be Sold en Route Indicator	1A	80-80	C	A claim that the cargo reported in the shipment is to be 'sold en route': N = Ultimate consignee known and reported. Y = Cargo to be sold en route, ultimate consignee name and address to be reported for the shipment within 4 days of export. Space fill if NOT required.	

Party Address (Output N02 Record).

The N02 record contains information regarding a party relevant to the shipment transaction. If returned, the data will reflect EXACTLY the values *last* reported to AES.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3AN	1-3	M	Always N02	
Address Line 1	32AN	4-35	M	Mailing address (first line).	
Address Line 2	32AN	36-67	C	Mailing address (next line). Space fill if NOT reported.	
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 reported.	

Party Address – Continuation (Output N03 Record).

The N03 record contains information regarding a party relevant to the shipment transaction. If returned, the data will reflect EXACTLY the values *last* reported to AES.

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).	
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 code. Space fill if NOT reported.	
Country Code	2A	31 -32	C	Mailing address (country). Space fill if NOT reported.	
Postal Code	9AN	33-41	C	Mailing address (Zip Code). Space fill if NOT reported.	
USPPI IRS Number	9AN	42-50	C	IRS Identifier of the USPPI. Space fill if NOT reported.	
IRS USPPI ID Type	1A	51-51	C	Type of IRS USPPI ID reported: S = SSN E = EIN Space fill if NOT reported.	
Filler	11AN	52-80	M	Always space fill.	

Proprietary Formats

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

The commodity line item grouping may be returned multiple times within a single commodity shipment transaction grouping.

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

The line item detail grouping will be returned one time only within a single commodity line item grouping.

Line Item Detail (Output CL1 Record).

The CL1 record contains information regarding a reported commodity contained in the shipment. If returned, the data will reflect EXACTLY the values *last* reported to AES.

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. Space fill if NOT reported.	
Filler	1AN	6-6	M	Always 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. Space fill if NOT reported.	
Filler	11AN	56-66	M	Always space fill.	
Line Item Filing Action Request Indicator	1A	67-67	M	The AES action <i>last</i> 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]).	
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. Space fill if NOT reported.	
Filler	9AN	72-80	M	Always space fill.	

Line Item Commodity Detail (Output CL2 Record).

The CL2 record contains information regarding a reported commodity contained in the shipment. If returned, the data will reflect EXACTLY the values *last* reported to AES.

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 Census Bureau (Schedule B number) or the U.S. International Trade Commission (HS number). Space fill if NOT reported.	
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. Space fill if NOT reported.	
Quantity (1)	10N	17-26	C	Total number of units that correspond to the first unit (Unit of Measure 1). Zero fill if NOT reported.	
Value of Goods	10N	27-36	C	Value of the commodity reported in whole U.S. dollars. Zero fill if NOT reported.	
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. 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 reported.	
Shipping Weight	10N	50-59	C	Gross shipping weight in kilograms. Weight to include container, but exclude carrier equipment. Zero fill if NOT reported.	
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 reported.	1
Export License Number/ CFR Citation/ Authorization Symbol/KPC#	12AN	65-76	C	License number, CFR citation, authorization symbol or Kimberley Process Certificate Number assigned by the licensing agency. Space fill if NOT reported.	1
Filler	4AN	77-80	M	Always space fill.	

DDTC License Detail (Output ODT Record).

The ODT record contains specific Directorate of Defense Trade Controls (DDTC) munitions license information regarding a license reported for the commodity. If returned, the data will reflect EXACTLY the values *last* reported to AES.

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 reported.	
DDTC Registration Number	6AN	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. Space fill if NOT reported.	
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 reported.	
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'.	

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Filler	8AN	26-33	M	Always space fill.	
DDTC Unit of Measure Code	3AN	34-36	M	The unit of measure for the article being shipped. The unit of measure provided on the export authorization. See 'Appendix W – DDTC Unit of Measure Codes'.	
DDTC Quantity	7N	37-43	M	Total number of units that correspond to the DDTC measure reported.	
Filler	37AN	44-80	M	Always space fill.	

Used Vehicle Detail (Output EV1 Record).

The commodity used vehicle detail may be returned multiple times within a single commodity line item grouping.

The EV1 record contains information regarding exported used vehicles contained in the shipment. If returned, the data will reflect EXACTLY the values *last* reported to AES.

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 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). Space fill if NOT reported.	
Vehicle Title State Code	2A	45-46	C	State code of the Motor Vehicle Administration (MVA) that issued the title. Report a valid USPS state code. Report 'US' for diplomatic vehicles. Space fill if NOT reported.	
Filler	34AN	47-80	M	Always space fill.	

Condition/Disposition Response (Output ES1 Record).

The output ES1 record conveys to the filer/transmitter a single, discreet *condition* encountered by AES during validation of the incoming commodity data as *last* reported or the *final disposition* of the reminder.

Data Element	Length/ Class	Position	Desig	Description / Usage	Note
Record Identifier	3A	1-3	M	Always 'ES1'	
Response Code	3AN	4-6	M	Code that describes the condition or final disposition regarding the 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 returned shipment reminder: Space = Not a final disposition record. N = Notification ONLY.	2
Severity Indicator	1A	9-9	M	An indication as to the severity of the condition. W = Warning condition identified. Filer MUST correct the shipment data in a timely manner. 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, 7
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	M	A unique confirmation number generated by AES when the complete commodity shipment data has been accepted by AES.	8
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 discreet warning, verification request, compliance alert and informational conditions. Response code 984 denotes the *final disposition* as a reminder notification.
- 2) The data element will be space if the ES1 record is NOT a final disposition.
- 3) A *warning* condition is noted when an invalid shipment condition is encountered, yet AES accepts the information filed to facilitate the trade.
- 4) A *verification* condition is noted when shipment data conflicts with a Census parameter regarding a commodity; the data may or may NOT be correct.
- 5) A *compliance alert* condition is noted when a post-departure reporting compliance violation has likely occurred.
- 6) An *informational* condition results in a non-critical notification to the filer.

Proprietary Formats

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7) The severity of the *final disposition* will always be 'W'.

8) A returned ITN is an indication that AES has accepted the *complete* commodity shipment data (warnings and verification conditions notwithstanding).