

# Automated Export System Trade Interface Requirements

## Summary of Changes

November 2020



U.S. Customs and  
Border Protection

SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
<p>Revised November 16, 2020</p>	<p>C</p>	<p>Updated Appendix A – changes to response codes 240 &amp;242 per Census request.</p> <p>Response Code: 240                      Narrative Text: USPPI ADDR LINE 1 INELIGIBLE                      Severity: FATAL                      Proprietary Record ID/Data Elements: Input N02 Record/Address Line 1                      X.12 Segment ID/Data Elements: N301; when N101 = EX                      Reason: The Party Type was declared as ‘E’ (USPPI) and the USPPI Address Line 1 contains variations of ‘P.O. Box or UNKNOWN, UNK, UNKN’.                      Resolution: The primary address line of the USPPI must be declared in an EEI. The USPPI Address Line 1 cannot contain an ineligible value identified in AES. Verify the USPPI Address Line 1, correct the N02 record and retransmit.</p> <p>Response Code: 242                      Narrative Text: USPPI ADDR LINE 2 INELIGIBLE                      Severity: FATAL                      Proprietary Record ID/Data Elements: Input N02 Record/Address Line 2                      X.12 Segment ID/Data Elements: N302; when N101 = EX                      Reason: The Party Type was declared as ‘E’ (USPPI) and the USPPI Address Line 2 contains variations of ‘P.O. Box or UNKNOWN, UNK, UNKN’.                      Resolution: An additional address line for the USPPI may be declared in an EEI. When reported, the USPPI Address Line 2 cannot contain an ineligible value identified in AES. Verify the USPPI Address Line 2, correct the N02 record and retransmit.</p>
<p>Revised November 5, 2020</p>	<p>C</p>	<p>Updated Appendix F – per BIS request</p> <p>C35 LVS added 6B002                      C36 GBS added 6B002                      C38 TSR added 3E004                      C50 ENC added 5A004</p>
<p>Revised September 14, 2020</p>	<p>C</p>	<p>Updated Appendix U – Used Vehicle per Census request</p> <p>Add – 8426.19.0000</p>
<p>Revised August 24, 2020</p>	<p>C</p>	<p>Updated Appendix U – Used Vehicle per Census request</p> <p>Add                      8436800080                      8515800080</p>
<p>Revised July 28, 2020</p>	<p>C</p>	<p>Updated Appendix U- Used Vehicle per Census/OFO request</p> <p>Add - 8426490010</p>
<p>Revised June 26, 2020</p>	<p>C</p>	<p>Updated Appendix F per BIS request</p> <p>Removed C37/CIV</p>
<p>Revised June 16, 2020</p>	<p>C</p>	<p>Updated Appendix U – Used Vehicle Numbers per Census request.</p> <p>Added the following HTS codes</p> <p>8705100010                      8705100050                      8705200000                      8705300000                      8705400000                      8705900000                      8426410010                      8436700020</p>

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Revised June 10, 2020	C	Updated Appendix F per BIS request  Added C63 YFA  Removed ECCN 0A501 from C60
Revised May 12, 2020	C	Updated Appendix F for missing ECCNs for C35 and C60
Revised April 3, 2020	C	Updated Appendix O – DDTC/ITAR Exemptions per State request  Removed the following ITAR exemptions  123.17A1, 123.17A2, 123.17A3, 123.17B, 123.17C, 123.17D, 123.17E, 123.18A1, 123.18A2, 123.18A3, 123.18B
Revised April 1, 2020	C	Updated Appendix F per BIS request  Updated ECCN list for C35 and C60 and edits for C45
Revised March 19, 2020	C	Updated Appendix D – Export Port Codes  Removed the following ports  2770 - DHL, LOS ANGELES, CA 2870 - DHL, SAN FRANCISCO, CA 3295 - UPS, HONOLULU AIRPORT, HI
Revised March 2, 2020	C	Updated Appendix D – Export Port Codes  Add – 2401 Port of Ysleta, TX (Air) Add – 0211 Norton, VT (Fixed) Add – 1816 Port Canaveral, FL (Air)
Revised January 14, 2020	C	Updated Appendix D – Export Port Codes  Removed Port 0132 – Belfast, Maine
Revised December 17, 2019	C	Updated Appendix D – Export Port Codes  Port 0206 Beecher Falls, VT Fixed - Y
Revised October 31, 2019	C	Updated Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting per Census request.  Added 8426.41.0090 & 8428.90.0290 under Heavy Lifting and Construction (not bold)
Revised October 28, 2019	C	Updated Appendix D – Export Port Codes  Removed port 2711 Segundo, CA

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Version/Date	Type of Change	Location and Description
Revised September 9, 2019	C	Updated Appendix C – ISO Country Codes per Census request.  Burma (Myanmar) - MM
Revised September 4, 2019	C	Updated Appendix D – Export Port Codes per Census request.  Removing port 5589 Meacham Intl Aripport, TX
Revised August 13, 2019	C	Updated Appendix V – HTS numbers that cannot be reported in AES per Census request.
Revised July 10, 2019  Effective TBD	C	Updated Commodity Format (AESTIR) and Export Info Shipment (X12) for FTZ per Census request.
Revised June 28, 2019	C	Updated Appendix X for NMFS per NMFS request.  AMR – add 0304.92.0000 Toothfish (Dissostichus spp.)  HMS – add 0301.94.0100 Atlantic and Pacific bluefin tunas (Thunnus thynnus, Thunnus orientalis) 0301.95.0000 Southern bluefin tunas (Thunnus maccoyii) 0302.92.0000 Shark Fins 0303.44.0000 Bigeye Tuna (Thunnus obesus) 0303.92.0000 Shark Fins
Revised June 6, 2019	C	Updated Appendix A and Commodity Format (AESTIR)  Response Code: 341 Narrative Text: ULT CONS MUST BE REPORTED WITHIN 4 DAYS Severity: WARNING Proprietary Record ID/Data Elements: Input SC1 Record/Estimated Date of Export; Input N01 Record/Party Type, To Be Sold en Route Indicator X.12 Segment ID/Data Elements: DTM01; DTM02; N1 segment; for N101 = CN Reason: The Party Type is C for Ultimate Consignee and the To Be Sold en Route Indicator is reported as Yes. Resolution: Incomplete ultimate consignee information may be declared on an EEI when a ‘To Be Sold en Route’ declaration has been made. However, the actual ultimate consignee must be declared within 4 days of the EEI transmission and approval by AES. Verify, correct and retransmit.  On the N01 record – To Be Sold en Route Indicator for Description  Usage under ‘Y’ to read: Cargo to be sold en route, ultimate consignee name and address to be reported within 4 days of the EEI transmission and approval by AES.
Revised May 13, 2019	C	Updated notes to the Estimated Date of Export for shipments from the US to Puerto Rico per Census request.  The Estimated Date of Export should be reported as the estimated date of departure from the US port.

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Revised May 13, 2019  FTZ TBD	C	Updated Commodity Format (AESTIR) and Export Shipment Info_601 (X12) documents to reflect the FTZ change from 7 to 9 positions. AES will be able to accept 7 or 9 positions for FTZ.
Revised May 6, 2019	C	Updated Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting per OFO request  Added – 8604.00.0000 (allowed) under Heavy Lifting & Construction
Revised May 1, 2019	C	Updated New Master DEA Drug Code – HTS/Schedule B Reference  Posting new Master DEA HTS/Schedule B file per Mark Via's request from DEA
Revised April 26, 2019  Effective April 19, 2019	C	Updated Appendix O – DDTC ITAR Exemption  22 CFR 126.4 (a) Export, Re-export, Re-Transfer or Temporary Import of defense article, technical data, or defense service by agency of U.S. Government  22 CFR 126.4 (b) Export, Re-export, Re-Transfer or Temporary Import of defense article, technical data, or defense service on behalf of U.S. Government agency.  22 CFR 126.4 (c) Return of temporary, or permanent export of defense article, technical data, or defense service for end-use by U.S. Government agency in foreign country.  Removed – 22 CFR 126.5(c) (Reserved code)
Revised April 22, 2019	C	Updated Appendix A – Commodity Messages  Response Code 25A  Narrative Text: USPPID TYPE 'S' NO LONGER ACCEPTED Severity: FATAL Proprietary Record ID/Data Elements: Input N01 Record/Party ID, Party ID TYPE X.12 Segment ID/Data Elements: N103 where: 1 → D, 34 → S, 24 → E, ZZ → T, 94 → A; when: N101 = EX Reason: The USPPID Type reported on the N01 record is not E, D, or T. Resolution: The N01 record USPPID Type must be EIN, DUNS, or T (Foreign Entity). Verify the USPPID Type, correct the N01 record and retransmit.
Revised March 15, 2019	C	Updated Appendix C – ISO Codes  Republic of Macedonia changed its name to the Republic of North Macedonia on February 15, 2019.
Revised February 25, 2019	C	Updated Appendix A – Commodity Messages  Response code 55K Reason: EPA Net Quantity Units of Measurement (KG or L) and the quantity is required to be reported in the PGA/EP1 line when the UOM is 'X' or UOM1 is 'NO' and UOM2 is not 'KG'. Resolution: Check the PGA record and enter a valid EPA Net UOM and Quantity and resubmit the transaction.

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Revised January 30, 2019	C	Updated Appendix K – Unit of Measure Codes  Deleted ‘Gross Containers’ per Census request.
Revised December 20, 2018	C	Updated Appendix D – Port Code  Updated port 3703 to accept AIR as an acceptable MOT per Census request.
Revised October 11, 2018	C	Updated Appendix Q – PGA Record Format  Added NMFS Ocean Geographic Area Codes
Revised September 13, 2018	C	Updated Draft CAMIR ESN (Export Status Notifications from CBP)  Segment M7A – made Date optional to be the same as seal update date in X12.
Revised August 17, 2018	C	Updated the following documents to remove FWS references or specify TBD because FWS is not ready for exports.  Appendix Q Appendix X Remove Master FWS Schedule B reference table Commodity Format Export Shipment Info 601
Revised July 25, 2018	C	Appendix C – changed Swaziland, SZ to new name Es watini per Census request.
Revised May 15, 2018	C	Appendix Q – change for NMFS NM9 record per Dale Jones  For the re-export number, only for HMS program.
Revised April 2, 2018	C	Appendix V – HTS Numbers that Cannot be Reported in AES  Updated to match Census ‘Nots’ list per Stephen Jackson request.
Revised April 2, 2018 Effective TBD	A	Appendix A – new response code  Response code 57B – S94 License Number Unknown or Invalid
Revised March 7, 2018	C	Appendix F – License and Exemption Type Codes  Added the following ECCNs for C60 per BIS request.  9D515 9E515

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<p>Revised March 1, 2018</p>	<p>C</p>	<p>Updated Appendix X</p> <p>Added 12 new Schedule B numbers per NID between Census and CBP.</p> <p>2902.44.0000 2903.12.0000 2903.22.0000 2905.11.0000 2905.12.0010 2905.12.0050 2905.19.9095 2914.11.0000 2914.12.0000 2914.13.0000 2915.31.0000 2932.11.0000</p>						
<p>Revised February 28, 2018</p>	<p>C</p>	<p>Appendix F – License and Exemption type Codes</p> <p>Added the following ECCNs for C60 per BIS request. 7A611, 7D611, 7E611, 9A515</p> <p>Appendix A – Commodity Filing Response Messages Updated response code 007 &amp; 008</p> <p>X.12 Segment ID/Data Elements: ISA05 where: 01 → D, 24 → E</p>						
<p>Revised February 21, 2018</p>	<p>C</p>	<p>Appendix K – Unit of Measure per Census request</p> <p>Added ‘W’ for Watts. Correction - Zinc from ‘W kg’ to ‘Zn kg’.</p>						
<p>Revised February 8, 2018</p>	<p>C</p>	<p>Updated severity for the following messages to Informational</p> <p>974, 978, 97H, 97R, 982, 983</p> <p>Removed 985 &amp; 986 as they were duplicates of 97H &amp; 97R</p>						
<p>Revised January 30, 2018</p> <p>Effective TBD</p>	<p>C</p>	<p>Updated Appendix A to add two new response codes</p> <table border="1" data-bbox="581 1514 1459 1591"> <tr> <td>97H</td> <td>NOTIFICATION</td> <td>SHIPMENT ON HOLD</td> </tr> <tr> <td>97R</td> <td>NOTIFICATION</td> <td>SHIPMENT HOLD RELEASED</td> </tr> </table>	97H	NOTIFICATION	SHIPMENT ON HOLD	97R	NOTIFICATION	SHIPMENT HOLD RELEASED
97H	NOTIFICATION	SHIPMENT ON HOLD						
97R	NOTIFICATION	SHIPMENT HOLD RELEASED						
<p>Revised January 19, 2018</p>	<p>C</p>	<p>Updated Appendix D – removed port 2871 – AIRCARGO HANDLING SERVICE per Census request.</p>						
<p>Revised January 11, 2018</p>	<p>C</p>	<p>Updated the Severity for the following messages:</p> <p>690 – Fatal 695 - Informational 696 - Fatal</p>						

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		Made corrections to reason and resolution for 55H & 55I as discussed with David Garcia.
Revised January 8, 2018	C	Updated the Severity for the EPA messages back Fatal for the following response codes per David Garcia's request: 55A, 55C, 55D, 55E, 55F, 55G, 55J, 55K  Updated Appendix X to remove duplicate HTS Codes for EPA.
Revised December 12, 2017	C	Appendix K – Unit of Measure codes were updated per Census request.
Revised December 8, 2017	C	Appendix X_PGA  Updated EPA allowed HTS codes
Revised October 19, 2017	C	Appendix A - Update the severity for the following PGAs response codes to 'Informational during Pilot' per David Garcia's request.  TTB – 65A → 65G ATF – 66A → 66P EPA – 55A → 55M FWS – 677 → 689 & 68A → 68I 690 696
Revised October 11, 2017	C	Appendix Q – PGA Record Format  TTB – removed the statement that “TTB records can be reported up to three times per commodity line.”
Revised October 5, 2017	C	Appendix D – Export Port Codes per OFO request & AESTIR Export Reference Data Excel File  Port 3430 Lancaster, MN added 'Fixed' as an allowable MOT.  Port 3512 Omaha, NE – 'Rail' is not an allowable MOT – only in Appendix D
Revised September 28, 2017	C	Appendix A – Updated response code 007 for Resolution  <b>Resolution:</b> The Filer ID Type on the A record must be an EIN or DUNS. Verify the Filer ID Type, correct the A record and retransmit. If you are using X12 use the values as specified in the X12 601 Implementation Guide.  Export Shipment 601 – X12 Implementation Guide Segment ISA05 Type of Filer ID reported in ISA06. The suggested type is:  01 Duns (Dun & Bradstreet) 24 EIN



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Revised September 27, 2017 Effective Date TBD	A	<b>Appendix A – Commodity Filing Response Messages</b> <b>Added new response codes:</b>  <b>Response Code: 985</b> <b>Narrative Text:</b> SHIPMENT ON HOLD <b>Severity:</b> NOTIFICATION <b>Proprietary Record ID/Data Elements:</b> N/A <b>X.12 Segment ID/Data Elements:</b> N/A <b>Reason:</b> The shipment has been put on hold in AES. <b>Resolution:</b> Shipment is placed on hold by CBP for further inspection or missing documentation. Contact CBP port at xxx-xxx-xxxx with your ITN information for further instructions on how to resolve the issue.  <b>Response Code: 986</b> <b>Narrative Text:</b> HOLD REMOVED-SHIPMENT RELEASED <b>Severity:</b> NOTIFICATION <b>Proprietary Record ID/Data Elements:</b> N/A <b>X.12 Segment ID/Data Elements:</b> N/A <b>Reason:</b> The shipment placed on hold has been released. <b>Resolution:</b> The hold placed on the shipment has been released. The referenced shipment can be exported.
Revised September 7, 2017	C	<b>Updated AES downtime guidelines Part IV, Section 4 per Census request as follows</b>  Shipments reported in AES for which full pre-departure information is required, but not requiring an export license or license exemption (USML specific), will continue to be exported without interruption because the Government's system is unavailable. When the Government's AES is unavailable, the goods may be exported and the filer must: A) Provide the appropriate downtime filing citation as described in FTR Section 30.7(b) and Appendix D to 15 CFR Part 30, Foreign Trade Regulations (FTR) (Example: AESDOWN Filer ID mm/dd/yyyy) and B) Report the EEI at the first opportunity AES is available.
Revised August 24, 2017	C	<b>Updated Appendix D – Table A Commodity Response Code List – 695 to Verify for consistency.</b>  <b>Update ACE AESTIR Export Reference Data for Export codes to include</b> <b>3805 – Battle Creek MI</b> <b>4117 – Huron, OH</b>
Revised August 16, 2017	C	<b>Updated Appendix C – ISO country codes and removed the following per Census request.</b>  <b>American Samoa</b> <b>Wake Island</b>

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		Midway Island Northern Mariana Islands
Revised August 9, 2017	C	<p>Updated Master DEA HTS/Schedule B codes to include the following numbers per DEA request:</p> <p>3810100000 3004909225 3004909228 3004909235 3208900000 3402905050 3815905000 3910000000</p> <p>Updated Appendix A to update the reason for response code 178 per Census request.</p> <p>Reason: The license has been accepted. Filers are instructed to present the original license to CBP prior to export for DDTC S94 licenses only. All other DDTC licenses are not required to be presented to CBP.</p>
Revised August 7, 2017	C	<p>Updated Appendix D – Port Codes per Census request</p> <p>Removed ports 2813 &amp; 2872</p>
Revised July 13, 2017	C	<p>Updated Appendix Q – For NMFS Re-export number, included an example of the format.</p> <p>Updated Commodity Format and Export Shipment Information X12 601 PGA input record – alphabetized the PGAs and updated Notes 1 &amp; 2</p> <p>For AMS, the valid value allowed is AMI. For ATF, the valid value allowed is AT6. For DEA, the valid value allowed is DEA For EPA, the valid value allowed is EP1. For FWS, the valid value allowed is FW7 and FW8. For NMFS, the valid values allowed are NM7, NM8 and NM9. For TTB, the valid value allowed is TTB.</p>
Revised June 15, 2017	C	<p>Updated Appendix D – Port Codes per OFO request.</p> <p>Removed 1105 – Paulsboro, NJ 1107 – Camden, NJ</p> <p>Added back 3295 – UPS, Honolulu Airport, HI</p>
Revised June 13, 2017	C	<p>Updated Appendix D – Port Codes</p> <p>Removed 3295 – UPS, Honolulu Airport, HI</p>

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Revised June 8, 2017	C	Updated Appendix A to Change Narrative & reason for response 178 per OFO request.  New Narrative Text: S94 ONLY DOCS TO BE PRVD TO CBP New Reason "The DDTC S94 License has been accepted and the filer is instructed to present the original license to CBP prior to export"
Revised June 2, 2017	C	Updated Appendix F for C33 language per BIS request.
Revised May 18, 2017	A	Updated Export Shipment Information 601 – X12 in X114 field, added Size – 10 bytes for license value.
Revised May 3, 2017	A	Updated Appendix Q for NMFS – provided a link for DIS guidelines
Revised April 27, 2017  Effective May 2, 2017	C	Updated Appendix A to add new rules for AMS – 64B & 64C  Updated Appendix Q for AMS to add formatting of permit numbers
Revised April 25, 2017	C	Updated Appendix F – removed ECCNs listed under C59 per BIS request.
Revised April 25, 2017	C	Updated Appendix A for Original ITN 296 resolution with language from Census.  Updated Commodity Format for Original ITN to be Optional.
Revised April 18, 2017  Effective April 27, 2017	C	Updated Appendix A– added new response code 296 – Original ITN NOT FOUND.  Updated Commodity Format – Proprietary – on the SC2 record, added the Original ITN field (42-56)  Updated 601 Export Shipment Information (X12) – on the REF segment, REF01 – F8 Original ITN
Revised April 17, 2017	C	Updated AETIR CBP Proprietary Format PGA text to 74X
Revised April 13, 2017	C	Updated Appendix C – ISO Country codes to remove the following Countries per Census request.  Guam - GU

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Revised March 28, 2017  Effective April 1, 2017	C	Updated Appendix F to remove C32 license code per BIS request. CSMS#17-000170
Revised March 7, 2017	C	Updated Appendix Q – FWS eDecs from 14AN to 13AN
Revised February 16, 2017	C	Updated Appendix D – Port Codes in conjunction with the OFO and Census Identified Port Codes associated with EEI that were no longer active.
Revised February 14, 2017	C	Updated Appendix F – License and License exemptions type codes per BIS request.  Added: C35 - 1B607, 6B619, 7A611, 7B611 C59 - 1A607, 1B607, 1C607, 1D607, 1E607, 6B619, 6D619, 6E619, 7A611, 7B611, 7D611, 7E611
Revised February 6, 2017  Not posted per Census request	C	Updated Appendix C – ISO Country codes to remove the following Countries per Census request.  American Samoa - AS Guam - GU Northern Mariana Island - MP
Revised February 2, 2017	C	Updated Appendix U – to bold a couple of HTS codes identified by OFO. Updated Appendix V – HTS codes not allowed to be used in AES per Census request.
Revised January 18, 2017	C	Updated Appendix X to add 2 HTS codes for EPA per Census request.  2619.00.3000 2620.19.3000
Revised January 12, 2017	C	Updated Appendix A for changes to DEA rules per DEA request.
Revised January 6, 2017	C	Updated Appendix X to add the following HTS codes for EPA per Census request.  2620.19.0000 2807.00.0000 2815.11.0000 2815.12.0000

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		<p><b>2619.00.0000</b></p> <p><b>Also deleted 0106.15.0000 per FWS request.</b></p>
Revised January 5, 2017	C	<p><b>Updated Appendix A – added new rules</b></p> <p><b>DEA - 69A – export date &gt; permit expiration date</b></p> <p><b>NMFS</b></p> <p><b>67S - eBCD number invalid format</b></p> <p><b>67T - Re-export nbr invalid format</b></p>
Revised December 20, 2016	C	<p><b>Updated Appendix D per Census request.</b></p> <p><b>Port 3801 – Detroit, MI to allow Fixed (70) Transport Shipments.</b></p> <p><b>Updated Appendix A per Robert Rawls.</b></p> <p><b>Response code 701 needed correction from 10 calendar days to 5.</b></p>
Revised December 8, 2016 Effective January 2017	C	<p><b>Updated Appendix Q for NMFS</b></p> <p><b>For HMS program, NM7, NM8 and NM9 PGA records are required.</b></p> <p><b>For AMR program, only NM7 and NM9 PGA records are required.</b></p> <p><b>New edits are in place for LCPO Quantity, LCPO Unit of Measure, Catch Document Number and Re-Export number.</b></p> <p><b>Updated Appendix A for revised/new response messages:</b></p> <p><b>67I</b></p> <p><b>67J</b></p> <p><b>67N</b></p> <p><b>67O</b></p> <p><b>67P</b></p> <p><b>67Q</b></p>
Revised October 11, 2016	C	<p><b>Updated Appendix D per Census request.</b></p> <p><b>Deleted the following Port Codes:</b></p> <p><b>3820 Mackinac Isle, MI</b></p> <p><b>3844 Ferrysburg, MI</b></p> <p><b>3981 Waukegan Airport, IL</b></p> <p><b>3983 Chicago Executive Airport, IL (formally Pal-Waukee Mncpl Airport)</b></p> <p><b>3985 Decatur Airport, IL</b></p> <p><b>4185 Hulman Regional Airport, OH</b></p> <p><b>4506 Spirit of Saint Louis Airport, OH</b></p>
Revised September 28, 2016	C	<p><b>Removed C31 from Appendix F per BIS request</b></p>

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Revised September 26, 2016	C	Removed C49, C55 and C56 from Appendix F per BIS request.  C32 will only be valid through March 31, 2017.
Revised September 20, 2016	C	Merging all draft PGA documents in current documentations.
Revised September 8, 2016	C	Updated Appendix D per Census request.  Deleted the following Port Codes: 0181 Lebanon Airport, NH 0409 Provincetown, MA
Revised September 7, 2016	A	New rule 809 in Appendix A and format changes in Appendix F for T10.
Revised August 8, 2016	C	Activated new response codes for BIS for C30 decrementation.  800, 801, 802, 803
Revised August 2, 2016	C	Updated Appendix Z for Client Representative
Revised July 29, 2016  Effective August 1, 2016	C	Updated Appendix D per Census request.  Deleted the following Port Codes: 2772 Gateway Freight Services, LAX, CA 2773 Air Cargo Handling Services, LA, CA 2774 Virgin Atlantic Cargo, LAX, CA 2792 DHL-HUB Riverside, CA
Revised July 25, 2016	C	Updated Appendix V – HTS # that cannot be reported in AES per Census request.
Revised July 13, 2016	C	Updated Appendix D – port codes  Add new port 3910 – Chicago Midway Int'l Airport, IL – allowed MOT is AIR
Revised July 5, 2016	C	Updated Appendix D  For Port 5301 Houston, TX - Air is not allowed
Revised June 21, 2016	C	Proprietary Commodity Format

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		<p>Under the PGA record, added the new PGAs and valid codes and referenced the draft Appendix Q – PGA record formats. Made a note that only AMS &amp; EPA are currently in Production.</p> <p>Updated the CL1 record: Additional PGA Indicator to be Mandatory and ‘Y’ or ‘N’ is to be reported.</p>
Revised June 16, 2016	C	<p>Updated Appendix F</p> <p>MOT 60 (Passenger Hand-carried) is now allowed for License Codes T10 and T11 per Census request.</p>
Revised June 1, 2016	C	<p>Updated Appendix D</p> <p>Deleted the following ports per Census request.</p> <p>0907 – Utica, NY 0971 - TNT Skypark, NY 0972 - Swift Sure Courier SVC, NY 0979 – Buffalo Niagara INTL APT, NY</p>
Revised May 16, 2016	C	<p>Updated Appendix Z</p> <p>Updated the links per Census request.</p>
Revised May 5, 2016	C	<p>Changed Appendix D</p> <p>For Port 3901 – Chicago-IL not to allow Rail shipments to be reported.</p> <p>Changed Export_Ship_Info_601</p> <p>Added notes regarding delimiters that are acceptable for the 601 messages.</p>
Revised April 26, 2016	C	<p>Changed Appendix D</p> <p>For Port 0901 – Buffalo-Niagara Falls NY, allow pipeline shipments (Fixed) to be reported.</p>
Revised April 13, 2016	C	<p>Changed Appendix F</p> <p>For C45 license type code, ECCN 1A613 is the only eligible 600 series ECCN for this license type per Census request.</p>
Revised April 1, 2016	C	<p>Removed Communication Password from the A record and is now a Filler and space fill when not used in the AESTIR and will also do the same in the Export Shipment Info 601 (X12) document as it is no longer being used with Census approval.</p>

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Revised March 16, 2016	C	<b>Changed Appendix F</b>  For C32 license type code, EAR99 can no longer be reported as an ECCN per BIS request.
Revised February 8, 2016	C	<b>Changed Shipment Reference Number on SC1 record from 17AN to 17X per Census request.</b>
Revised January 8, 2016	C	<b>Updated Appendix V</b>  Added new HTS numbers that cannot be reported in AES per Census request. <ul style="list-style-type: none"> <li>• 2710190625</li> <li>• 2710190630</li> <li>• 2710190635</li> <li>• 7211236090</li> </ul> Removed the following HTS numbers from Appendix V. 3702.91.0100 3702.93.0000 3702.94.0000 3702.95.0000 7211.23.6075 7211.23.6085
Revised December 11, 2015	C	<b>Updated Appendix D</b>  Allow Pipeline Shipments (Fixed) for port 0115 (Calais, ME)
Revised November 10, 2015	C	<b>Updated Appendix U</b>  Added new Schedule B/HTS codes to allow vehicle reporting.  8426.49.0090 8432.10.0020 8432.10.0040 8432.10.0060 8432.21.0000 8432.29.0080 8432.29.0090 8432.30.0010 8432.30.0090 8432.40.0000 8432.80.0000 8432.80.0080 8479.10.0040 8479.10.0060 8479.10.0080 8703.21.0000 8703.21.0010



## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
Revised August 27, 2015	C	Eliminated references to DEC filing.
Revised August 13, 2015	C	Appendix D Allow air shipments for port code 2001 (Morgan City, LA).
Revised August 3, 2015	C	Appendix A Changed response code 368 narrative and response code 401 is now currently unassigned because both response codes were very similar.
Revised May 21, 2015  Effective Date May 21, 2015	C	Updated Appendix F  3B001 - CIV C37- Adding 3D001 - CIV C37 - Adding 3E001 - CIV C37- Adding 4D001 - TSR/STA C38/C59 - Adding 4E001 - TSR/STA C38/C59 - Adding 8E002 - TSR C38- Removed
Revised May 20, 2015	C	Updated Appendix F Added CH as an allowable EIC code for License code C30.  Updated Appendix V The HTS codes starting with zeroes (0) were missing the leading zeroes.
Revised February 13, 2015  Effective date February 18, 2015	C	Updated Appendix F  Added new ECCN (7A994) allowed for License code C58 and adding 'SD' Sudan as an acceptable country code for CCD.
Revised February 6, 2015	C	Updated Appendix A  Changed response code 399 narrative and from Informational to Verify message
Revised January 16, 2015	A	Updated Appendix V – HTS numbers that cannot be reported in AES.
Revised January 15, 2015  Effective Date January 16, 2015	A	Appendix F – added new ECCNs allowed for License Code C62

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
Revised January 9, 2015	A	Added:  Appendix D Port Code 3319 – Morgan, MT
Revised November 14, 2014	C	Appendix A - Changed contact information for the following response code for Bureau of Industry and Security (BIS): 544, 545, 546, 547, 548, 549, 666 and 667.
Revised Date November 7, 2014	A	Appendix F – Added new ECCNs allowed for License Code C35 & C60.
Revised Date September 24, 2014	C	Changed: Appendix F – for license C49 add MOT 10
Revised Date September 16, 2014  Effective Date January 2015	A	Added New Voluntary Disclosure Messages  Response Code: 673 COMMERCE DEPARTMENT LICENSE NOT OBTAINED Response Code: 674 STATE DEPARTMENT LICENSE NOT OBTAINED Response Code: 675 OTHER AGENCY LICENSE NOT OBTAINED Response Code: 676 PRIOR DATE OF EXPORT REQUIRED  APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines  VDC – COMMERCE DEPARTMENT VOLUNTARY SELF DISCLOSURE VDS – STATE DEPARTMENT VOLUNTARY DISCLOSURE VDO – OTHER PARTNER GOVERNMENT AGENCY VOLUNTARY DISCLOSURE
Revised Date September 16, 2014	C	CHANGED:  3009 Sumas, WA - Added 'Fixed' as acceptable Method of Transportation
REVISED DATE September 23, 2014  EFFECTIVE DATE TBD	A	ADDED:  NEW PGA RECORD Participants in the EPA pilot for lead acid battery hazardous waste.  For Agricultural Marketing Services – reporting export permit numbers related to apples and grapes shipments.  Segment MAN Data element 88, 87: Alternate use is to enter validation data for Participating Government Agency (PGA) related exports. Limit use to 999 instances. Do not include MAN segment when 1) “Shipment Filing Action Request Indicator” in element BA 102 is “CANCEL”, or when 2) “Line Item Filing Action Request Indicator” in element L1314 is “DELETE”.  MAN01 88 Marks and Numbers Qualifier Code specifying the application or source of Marks and Numbers (87)

SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		<p>When used for PGA data entry, always Enter ‘ZZ’</p> <p>MAN02 87 Marks and Numbers Qualifier                      Marks and numbers used to identify a shipment or parts of a shipment.                      When used for PGA data entry, always enter the 3 character PGA ID, left justified. Example: In the case of EPA enter “EP1” and for AMS enter “AM1”.</p> <p>MAN03 87 Marks and Numbers Qualifier                      Marks and numbers used to identify a shipment or parts of a shipment.                      Based on the PGA ID this data element will contain data related to the PGA as left justified concatenated text.                      When PGA ID = <b>EP1</b> fill positions as below:                          01 EPA License Required Indicator                      When EPA License Required = Y fill positions below:                      02-13 EPA Consent Number                      14-25 RCRA Hazardous Waste Manifest Tracking Number.                      26-28 EPA Net Quantity Unit of Measurement                      29-38 EPA Net Quantity                      39-48 Not used. Space fill.</p> <p>When PGA ID = <b>AM1</b> fill positions as below:                      01-13 AMS Export Certificate Number                      14-48 Not used. Space fill.</p> <p><b>Segment X1 Data element 83:</b>                      X101 83 Equivalent AESTIR Proprietary Elements: CL1 – PGA License Required Indicator.</p> <p>PGA License Required Indicator: Y (yes) or N (no)</p> <p><b>Added PGA License Required Indicator (Y or N) to CL1 record (position 72)</b></p>
<p><b>REVISED DATE</b>                      August 8, 2014</p> <p><b>EFFECTIVE</b>                      August 8, 2014</p>	<p><b>C</b></p>	<p><b>APPENDIX D – EXPORT PORT CODES</b></p> <p><b>CHANGED:</b></p> <p>3322 Added ROAD as acceptable Method of Transportation                      2504 Renamed San Ysidro                      2506 Renamed Otay Mesa</p>
<p><b>Revised</b>  <b>June 16, 2014</b></p>	<p><b>C</b></p>	<p><b>Response Code: 590</b> LICENSE VALUE EXCDS AVAIL FOR LIC  <b>Response Code: 642</b> QUANTITY 1 CANNOT EXCEED 299,999,999  <b>Response Code: 712</b> FIXED MOT (70) SHIPMENT REPORTED LATE</p>

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
<b>REVISED DATE</b> June 9, 2014  <b>EFFECTIVE</b> October 3, 2014	A   C	<b>ADDED:</b> <b>Response Code: 06H</b> AEI NOT APPROVED FOR USPP <b>Response Code: 593</b> LICENSE VALUE GREATER THAN VALUE OF GOODS  <b>Response Code: 706</b> LICENSE VALUE CHANGE POST DEPARTURE
<b>REVISED DATE</b> May 27, 2014  <b>EFFECTIVE</b> July 1, 2014	C	<b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b>  <b>CHANGED:</b> The following license types have been updated with the addition of certain “600 series” ECCNs: <ul style="list-style-type: none"> <li>• C30 (BIS license), C31 (BIS Special Comprehensive License), C40 (TMP), C41 (RPL), C42 (GOV), and C59 (STA) – All “600 series” ECCNs are eligible to the extent permitted under parts 740 and 752 of the EAR.</li> <li>• C32 (NLR with a reason for control other than or in addition to AT) – All “600 series” ECCNs are eligible if exported to Canada. Some of these “600 series” items were previously authorized under an International Traffic in Arms Regulations (ITAR) Canadian exemption (SCA).</li> <li>• C35 (LVS) – The following “600 series” ECCNs are eligible: 0A614, 0B604, 0B614, 1A613, 1B608, 1B613, 1C608, 9A604, and 9B604.</li> <li>• C45 (BAG) – The “600 series” ECCN 1A613 is eligible.</li> <li>• C60 (DY6) – The following “600 series” ECCNs are eligible: 1A613, 1D613, and 1E613.</li> </ul>
<b>REVISED DATE</b> May 27, 2014  <b>EFFECTIVE</b> June 27, 2014	C	<b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b>  <b>CHANGED:</b> The following license types have been updated with the addition of 9A515, 9D515, and 9E515 ECCNs: <ul style="list-style-type: none"> <li>• C30 (BIS license), C31 (BIS Special Comprehensive License), C40 (TMP), C41 (RPL), C42 (GOV), C45 (BAG), C46 (AVS) and C59 (STA) – 9A515, 9D515, and 9E515 are eligible to the extent permitted under parts 740 and 752 of the EAR.</li> <li>• C32 (NLR with a reason for control other than or in addition to AT) – 9A515.d is eligible if exported to Canada; 9A515.e is eligible to those destinations permitted by the EAR; 9D515 and 9E515 are eligible if exported to Canada.</li> <li>• C35 (LVS) – 9A515 is eligible, to the extent permitted under parts 740 and 774 of the EAR.</li> </ul>
<b>Revised Date</b> April 11, 2014  <b>EFFECTIVE</b> October 2, 2014	C	<b>Appendix F – License and License Exemption Type Codes and Reporting Guidelines</b>  <b>Changed:</b>

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		<b>Updated</b> the list of license codes that will <i>require a license value</i> . A license value will be required for the following license codes: C30,S05,S61,S73, S85,S94, T12.
<b>REVISED DATE</b> April 11, 2014  <b>EFFECTIVE</b> October 3, 2014	C	<b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b>  <b>CHANGED:</b> Removed “License Value Required” from License codes C31, T10, OPA and N01.
Version 1.0 EFFECTIVE October 3, 2014	C	<b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b>  <b>CHANGED:</b> Removed “License Value Required” from License codes C31, T10, OPA and N01.
Version 1.0 EFFECTIVE October 3, 2014	C	<b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b>  <b>CHANGED:</b> Removed License Value Required reference from License Codes (‘C35’, ‘C43’ and ‘C59’)
Version 1.0 EFFECTIVE October 3, 2014	C	<b>APPENDIX A – Commodity Filing Response Messages</b>  <b>CHANGED:</b> Response Code: 15A
Version 1.0 EFFECTIVE October 3, 2014	C	<b>PART II – AES RECORD FORMATS, SECTION 1 – AES Commodity Data Transactions, PROPRIETARY FORMATS, (b) COMMODITY SHIPMENT WARNING REMINDER</b>  <b>CHANGED:</b> Foreign Trade Zone Identifier in <b>Input SC2 Record</b>
Version 1.0 EFFECTIVE October 3, 2014	C  A	<b>PART II – AES RECORD FORMATS, SECTION 1 – AES Commodity Data Transactions, PROPRIETARY FORMATS, (a) COMMODITY SHIPMENT FILING AND RESPONSE</b>  <b>CHANGED:</b> Foreign Trade Zone Identifier in <b>Input SC2 Record</b>  <b>ADDED:</b> <b>Note 4 for Input SC2 Record</b>
Version 1.0 PILOT IMPLEMENTED AFTER OCTOBER 3, 2014	A	<b>PART II – AES RECORD FORMATS, SECTION 1 – AES Commodity Data Transactions, PROPRIETARY FORMATS, (a) COMMODITY SHIPMENT FILING AND RESPONSE</b>  <b>ADDED:</b> Ultimate Consignee Type to table (c) page 1a-59
Version 1.0 PILOT IMPLEMENTED AFTER	A	<b>601 Customs &amp; Border Protection (CBP) - Export Shipment Information</b>  <b>ADDED:</b> Segment YNQ Data element 1321,1073,1250,1251,933,1270,1271:

SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
OCTOBER 3, 2014		R3P Advance Export Information partial commodity shipment filing R3F Advance Export Information complete commodity shipment filing.
Version 1.0 PILOT IMPLEMENTED AFTER OCTOBER 3, 2014	A	<p><b>AES GENERAL INFORMATION - Section 1. The Automated Export System (AES) - Commodity Data Filing Options</b></p> <p><b>ADDED:</b>                      Advance Export Information (AEI)</p> <p>Environmental Protection Agency to AES and Partnership Agencies</p> <p><b>NOTE:</b>  <i>A limited number of USPPI's will be approved for participation in the pilot.</i></p> <p><i>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.</i></p>
Version 1.0 PILOT IMPLEMENTED AFTER OCTOBER 3, 2014	A  C  A  C	<p><b>PART II – AES RECORD FORMATS, SECTION 1 – AES Commodity Data Transactions, PROPRIETARY FORMATS, (a) COMMODITY SHIPMENT FILING AND RESPONSE and (b) COMMODITY SHIPMENT WARNING REMINDER</b></p> <p><b>ADDED:</b>                      AEI Filing Type to <b>Input SC1 Record</b></p> <p><b>CHANGED:</b>                      Filing Option Indicator with option 3 (AEI)</p> <p><b>APPENDIX A – Commodity Filing Response Messages</b></p> <p><b>ADDED:</b>  <b>Response Code: 63A</b> USED VEH NOT ALLOWED -OPTION 3 (AEI)  <b>Response Code: 06E</b> DDTC RECORD NOT ALLOWED – OPTION 3 (AEI)  <b>Response Code: 06F</b> SCHED B/HTS NBR NOT VALID FOR AEI FILING OPTION 3  <b>Response Code: 06G</b> ‘S’ CLASS LIC TYPE CODE NOT ALLOWED - OPTION 3 (AEI)  <b>Response Code: 06A</b> OPTION 3(AEI) FILING CURRENTLY NOT ACTIVE  <b>Response Code: 06B</b> FILING TYPE REQUIRED WHEN FILING OPT 3  <b>Response Code: 06C</b> FILING OPTION INDICATOR IS NOT ALLOWED TO CHANGE VALUE  <b>Response Code: 06D</b> AEI FULL FILING PREVIOUSLY RECEIVED, PARTIAL FILING NOT VALID  <b>Response Code: 710</b> AEI FULL SHIPMENT REPORTED LATE; OPT 3F</p> <p><b>CHANGED:</b>  <b>Response Code: 066</b> FILING OPT IND MUST BE 2, 3 OR 4</p>



## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
	C	<p><b>Response Code: 55E</b> RCRA HW MANIFEST TRCKNG # INVALID FORMAT</p> <p><b>Response Code: 55F</b> ULT DEST &amp; EPA CNSNT COUNTRIES NOT SAME</p> <p><b>Response Code: 55G</b> EST DEP DATENOT IN EPA CONSENT DATE RANGE</p> <p><b>Response Code: 55H</b> PGA ID IS REQUIRED</p> <p><b>Response Code: 55I</b> PGA ID IS INVALID</p> <p><b>Response Code: 55J</b> ONLY ONE PGA RECORD ALLOWED PER LINE</p> <p><b>Response Code: 55K</b> VALID EPA NET UOM &amp; QUANTITY REQUIRED</p> <p><b>Response Code: 55L</b> AT LEAST ONE PGA LICENSE REQUIRED</p> <p><b>CHANGED:</b></p> <p><b>Response Code: 567</b> CNTY MUST BE CA FOR CANADIAN ITAREXMPN</p> <p><b>Response Code: 637</b> Revised to clarify that used vehicles must be filed 72 hours prior to export.</p>
Version 1.0 EFFECTIVE October 3, 2014	C	<p><b>APPENDIX E – Commodity Filing Export Information Codes and Reporting Guidelines</b></p> <p><b>CHANGED:</b></p> <p>EIC codes CR, HH, and TE have been moved from Table B: Applicable EI Codes for Optional EEI Reporting to Table A: Applicable EI Codes for Mandatory EEI Reporting</p>
Version 1.0 EFFECTIVE October 3, 2014	C	<p><b>601 Customs &amp; Border Protection (CBP) - Export Shipment Information</b></p> <p><b>CHANGED:</b></p> <p><b>Segment M12 Data Element 310:</b> FOREIGN TRADE ZONE IDENTIFIER</p> <p>Identity of the Foreign Trade Zone from which the merchandise was withdrawn. Maximum size - 7 bytes.</p> <p>The first 3 positions must be numeric and represent the general purpose zone. The next 2 positions are alphanumeric and represent the sub zone. The last 2 positions are alphanumeric and represent the site. Left justify; NO trailing spaces. Insert zeros when there is no sub zone or site. Report leading zero(s) if the zone number is between 1 thru 99.</p> <p>Equivalent AESTIR Proprietary Element: SC2 - Foreign Trade Zone Identifier.</p> <p><b>Segment N1 Data Element 98:</b> ULTIMATE CONSIGNEE</p> <p>Report any of the following values as applicable:</p> <p>XT Final Customer Organization (Direct Consumer) QW Government (Government Entity) B2 Other Unlisted Type of Organizational Entity (Other/Unknown) DU Resale Dealer (Reseller)</p>



## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		<p><b>Segment X1 Data element 212:</b>  <b>LICENSE VALUE</b>            Value for a licensable shipment that will not include any overhead like insurance, domestic freight or other charges in whole US dollars.</p> <p>Equivalent AESTIR Proprietary Element: CL1 – LICENSE VALUE</p> <p>Equivalent AESTIR Proprietary Element: SC1 - Filing Option Indicator – First two characters and AEI filing Type – Third character</p> <p>B) HAZARDOUS MATERIAL INDICATOR (HAZMAT)</p> <p>Indicates that YNQ02 is being used to report whether the shipment contains hazardous material.</p> <p>A) FILING OPTION INDICATOR</p> <p>When reporting the "Filing Option" in YNQ01, report "N" here in YNQ02.</p>
Version 1.0 EFFECTIVE October 3, 2014		<p><b>Appendix E – Commodity Filing Export Information Codes and Reporting Guidelines</b></p> <p><b>CHANGED:</b>            Revised Type/Condition Description for EIC “HH.”</p>
Version 1.0 EFFECTIVE October 3, 2014	A	<p><b>Appendix O – DDTC ITAR Exemption Codes</b></p> <p><b>ADDED:</b>            123.22 (22 CFR 123.22 Exports of technical data and defense services.)</p>
Version 1.0 EFFECTIVE October 3, 2014	C	<p><b>AES GENERAL INFORMATION - Section 1. The Automated Export System (AES) - Commodity Data Filing Options</b></p> <p><b>CHANGED:</b>  <b>Postdeparture</b> from ‘ten (10) calendar days’ to no later than <b>‘five (5) calendar days’</b> from the date of exportation.</p>
Version 1.0 October 22, 2013	C	<p><b>APPENDIX D – EXPORT PORT CODES</b></p> <p><b>CHANGED:</b>            2604 Added AIR as acceptable Method of Transportation</p>
Version 1.0 EFFECTIVE July 8, 2013	A	<p><b>Appendix O – DDTC ITAR Exemption Codes</b></p> <p><b>ADDED:</b>            ITAR exemption code 123.17(A) has been amended to read as follows:            123.17A1 - 22 CFR 123.17 (a) (1) Components and parts for Category I(a) firearms not exceeding \$100 wholesale.</p>



## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		<p><b>New ECCNs to License Code C59, C35</b></p> <p><b>Added</b> “For items under 600 series ECCNs with a .y paragraph, use C60 (DY6)” to the Description of <b>License Code C32, C33</b></p> <p><b>Added</b> “Items under 600 series ECCNs are not eligible under this license type” to the Description of <b>License Code C39, C43, C45, C46, C49, C51, C57</b></p>
Version 1.0 EFFECTIVE September 26, 2008	C	<p><b>Appendix A – Commodity Response Filing Messages</b></p> <p><b>CHANGED:</b> <b>Response Code:</b> 075 SRN ON FILE; ACTION NOT ALLOWED Revised “Resolution” to clarify that reuse of the shipment reference number is prohibited.</p>
Version 1.0 EFFECTIVE March 15, 2013	D	<p><b>Appendix D – Export Port Codes</b></p> <p><b>DEACTIVATED:</b> <b>The following Port of Export Code have been deactivated:</b> 4755 – JFK Alternate 4770 - FEDERAL EXPRESS, NEWARK, NJ 4775 - DWORKIN/COSELL COURIER, NY 4776 - SWISSAIR (SKYRACER), NY 4777 - ALITALIA (ALIEXPRESS), NY</p>
Version 1.0 EFFECTIVE January 1, 2013	D	<p><b>Appendix D – Export Port Codes</b></p> <p><b>DEACTIVATED:</b> The following Port of Export Code have been deactivated: 3312 – Whitetail, MT</p>
Version 1.0 EFFECTIVE January 1, 2013	D	<p><b>Appendix A – Commodity Response Filing Messages</b></p> <p><b>DELETE:</b> Response Code 6VD</p>
Version 1.0 EFFECTIVE December 12, 2012	D  C  A	<p><b>Appendix D – Export Port Codes</b></p> <p><b>DEACTIVATED:</b> The following Port of Export Code have been deactivated: 3382 – National County International Airport</p> <p><b>CHANGED:</b> The following Port of Export Code name has been changed to: 3386 – Bozeman Yellowstone User Fee Airport</p> <p><b>ADDED:</b> The following Port of Export Code has been added: 3332 – Casper, WY</p>
Version 1.0 EFFECTIVE December 3, 2012	D  C	<p><b>Appendix D – Export Port Codes</b></p> <p><b>DEACTIVATED:</b> The following Port of Export Code have been deactivated: 1402 – Newport News, VA</p> <p><b>CHANGED:</b></p>

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		The following Port of Export Code name has been changed to: 1401 – Norfolk-Newport News, VA
Version 1.0 EFFECTIVE July 1, 2012	A	<b>Appendix A – Commodity Response Filing Messages</b>  <b>ADDED:</b> Response Code 6VD “VIN REPORTED ON ITN: %”
Version 1.0 EFFECTIVE November 29, 2012	C	<b>Appendix O – DDTC ITAR Exemption Codes</b>  <b>CHANGED:</b> The following ITAR exemption codes were changed to include the following “U.S. persons, as defined in the ITAR 120.14.”  123.17F -Temporary export of one set of "Body Armor" for personal use without a license from the United States by U.S. persons as defined in the ITAR 120.14.  123.17G -Temporary export of one set of "Body Armor" for personal use without a license by U.S. persons as defined in the ITAR 120.14 going to Afghanistan and to Iraq.
Version 1.0 EFFECTIVE October 23, 2012	C	<b>Appendix D – Export Port Codes</b>  <b>CHANGED:</b> The following Port of Export Codes have been updated to allow for <b>Air</b> as the Mode of Transportation.  2101 – Port Arthur, TX 2102 – Sabine, TX 2103 – Orange, TX 2104 – Beaumont, TX
Version 1.0 EFFECTIVE June 8, 2012	A	<b>Appendix O – DDTC ITAR Exemption Codes</b>  <b>ADDED:</b> 123.17 (H) Temporary exports of body armor, which may include a helmet, or chemical agent protective gear, which may include one additional filter canister, for personal use to Iraq.  123.17(I) Temporary exports of body armor, which may include a helmet, or chemical agent protective gear, which may include one additional filter canister, for personal use to Afghanistan.
Version 1.0 EFFECTIVE June 6, 2012	A	<b>Appendix A – Commodity Response Filing Messages</b>  <b>ADDED:</b> Response Code 57A “NORRGSTRN REQD; ITAR USED: <DDTC ITAR EXEMPTION NUMBER>”
Version 1.0 EFFECTIVE May 1, 2012	C	<b>AES Operational Certification Test Scripts: Long Test Scripts</b>  Changes have been made to the following Test Questions: Questions 3, 7, 8, 15, 17, 21, 24

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
Version 1.0 EFFECTIVE May 1, 2012	C	<b>AES Operational Certification Test Scripts: Short Test Scripts</b>  Changes have been made to the following Test Questions: Questions 7, 10, 14-18
Version 1.0 EFFECTIVE April 11, 2012	A	<b>Appendix A – Commodity Response Filing Messages</b>  <b>ADDED:</b> Response Code 549 “BIS LICENSE NBR NOT VALID FOR LICENSE CODE”
Version 1.0 EFFECTIVE March 30, 2012	A  C	<b>Appendix A – Commodity Response Filing Messages</b>  <b>ADDED:</b> Response Code 672 “GB/AU ACID NBR UNKNOWN OR INVALID”  <b>CHANGED:</b> Response Code 667 to include new license exemption codes. Response Code 563 to include new license exemption codes. Response Code 564 to include new license exemption codes.
Version 1.0 EFFECTIVE April 11, 2012	C	<b>APPENDIX F - LICENSE AND LICENSE EXEMPTION TYPE CODES</b>  <b>CHANGE:</b> C31 – Removed list of “S” licenses because they are no longer valid. “V” licenses have replaced the “S” licenses.
Version 1.0 March 5, 2012	C	<b>APPENDIX F - LICENSE AND LICENSE EXEMPTION TYPE CODES</b>  <b>CHANGE:</b> C32 - Remove “EAR99 may be reported as an ECCN.” C32 – Added “EAR99 may NOT be reported as an ECCN.”
Version 1.0 EFFECTIVE March 30, 2012	A	<b>Table 1. DDTC Licensable Shipment Reporting Requirement Matrix.</b>  ADDED: DOS/DDTC License Type SAU– Australia ITARExemptions License Code DOS/DDTC License Type SGB – United Kingdom ITARExemptions
Version 1.0 EFFECTIVE March 30, 2012	C	<b>601 Customs &amp; Border Protection (CBP) - Export Shipment Information (X12) Transaction Set</b>  CHANGED: X1 Export License Segment  <b>X102 (50 Export License Number) to include:</b> 3. DDTC ITAREXEMPTION NUMBER and APPROVED COMMUNITY MEMBER NUMBER The DDTCITARExemption Number will be followed by the ACM#. See #2 above for DDTCITARExemption Number. The first 12 characters of the field is reserved for the DDTCITARExemption. Add spaces at the end of the DDTCITARExemption, if necessary, to fill first 12 characters. The next 11 characters of the field is reserved for the ACM#. The ACM# for the United Kingdom must begin with UK followed by 9 numbers. The ACM# for Australia must begin with DTT followed by 8 numbers.  3. DDTC ITARExemption Number and Approved Community Member # - Enter “3” in X103 – Number Qualifier

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		<p>Maximum size of X102 is 23 bytes.</p> <p>Equivalent AESTIR Proprietary Elements: CL2 - Export License Number/ CFR Citation/Authorization Symbol/KPC#/ACM#, ODT - DDTC ITAR Exemption Number.</p> <p><b>X103 (51 Export License Status Code) to include:</b> 3 DDTC ITAR Exemption Number and Approved Community Member #</p>
Version 1.0 EFFECTIVE March 30, 2012	C	<p><b>PART II – AES RECORD FORMATS, SECTION 1 – AES Commodity Data Transactions, PROPRIETARY FORMATS, (a) COMMODITY SHIPMENT FILING AND RESPONSE</b></p> <p>CHANGED: <b>Line Item Commodity Detail (Input CL2 Record) Data Element to:</b> Export License Number/ CFR Citation/ Authorization Symbol/KCP#/ACM#</p> <p>Additional description to read: The Approved Community Member # for the United Kingdom must begin with UK followed by nine numbers. The Approved Community Member # for Australia must begin with DTT followed by eight numbers.</p>
Version 1.0 EFFECTIVE March 30, 2012	A	<p><b>APPENDIX O – DDTC ITAR EXEMPTION CODES</b></p> <p>ADDED: 126.16E1 - United States and Australian combined military or counter-terrorism 126.16E2 - United States and Australian cooperative security and defense research production, and support programs 126.16E3 - Mutually determined specific security and defense projects where the is the end-user 126.16E4 - U.S. Government end-use 126.17E1 - United States and United Kingdom combined military or counter-terr 126.17E2 - United States and United Kingdom cooperative security and defense r production, and support programs 126.17E3 - Mutually determined specific security and defense projects where the United Kingdom is the end-user 126.17E4 - U.S. Government end-use</p>
Version 1.0 EFFECTIVE March 30, 2012	A	<p><b>APPENDIX F - LICENSE AND LICENSE EXEMPTION TYPE CODES</b></p> <p>ADDED: License Code <b>SAU</b> – Australia ITAR Exemptions License Code <b>SGB</b> – United Kingdom ITAR Exemptions</p>
Version 1.0 February 3, 2012	A	<p><b>APPENDIX V – HTS Numbers that Cannot Be Reported in AES</b></p> <p>ADDED: 0409.00.0005 0713.39.2170 0713.39.4170 3702.91.0100</p>

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
	<b>D</b>	3702.93.0000 3702.94.0000 3702.95.0000  DELETED: 0713.39.2070 0713.39.4070 2916.36.0000
Version 1.0 January 19, 2012	<b>D</b>	<b>APPENDIX D – EXPORT PORT CODES</b>  DEACTIVATED: 3991 Nippon Courier HUB, IL
Version 1.0 January 6, 2012	<b>A</b>	<b>APPENDIX F - LICENSE AND LICENSE EXEMPTION TYPE CODES</b>  ADDED: The following ECCNs were made eligible for STA C59: 3A982 3D982 3E982
Version 1.0 November 9, 2011	<b>A</b>	<b>APPENDIX O – DDTC ITAR EXEMPTION CODES</b>  ADDED:  123.17F - 22 CFR 123.17 (f) Temporary export of one set of "Body Armor" for personal use without a license from the United States by an individual (U.S. person). Companies cannot use this exemption.  123.17G - 22 CFR 123.17 (g) Temporary export of one set of "Body Armor" for personal use without a license going to Afghanistan and to Iraq. Companies cannot use this exemption.
Version 1.0 November 8, 2011	<b>C</b>	<b>APPENDIX A – COMMODITY RESPONSE FILING MESSAGES</b>  CHANGED: Response Code 545 to include the word "INVALID"
Version 1.0 October 25, 2011	<b>A</b>	<b>APPENDIX F – LICENSE AND LICENSE EXEMPTION TYPE CODES</b>  ADDED: Special Comprehensive License (SCL) S000037 for License Code C31
Version 1.0 September 23, 2011	<b>A</b>	<b>APPENDIX D – Export Port Codes</b>  ADDED: 4503 St Louis, MO (Valid for AIR)
Version 1.0 August 17, 2011	<b>A</b>	<b>APPENDIX C – ISO Country Codes</b>  ADDED: SS South Sudan
Version 1.0 July 1, 2011	<b>U</b>	<b>APPENDIX E – Commodity Filing Export Information Codes and Reporting Guidelines</b>  UPDATED:

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		Made update to Table A EIC “ZD” description.
Version 1.0 July 1, 2011	<b>A</b>	<b>APPENDIX V – HTS Numbers that Cannot Be Reported in AES</b>  ADDED: 1701.99.1025 1701.99.1050 1701.99.5025 1701.99.5050
	<b>D</b>	DELETED: 1701.99.1020 1701.99.1030 1701.99.5020 1701.99.5030
Version 1.0 June 16, 2011	<b>A</b>	<b>APPENDIX F – LICENSE AND LICENSE EXEMPTION TYPE CODES</b>  ADDED:  C59 – Strategic Trade Authorization (STA) allows an exception to export specific controlled items to certain countries that would otherwise require a license because of CCL-based license requirements.
Version 1.0 June 14, 2011	<b>A</b>	<b>APPENDIX F – LICENSE AND LICENSE EXEMPTION TYPE CODES</b>  ADDED:  Export License Number ‘S000036’ to License Code ‘C31’
	<b>U</b>	UPDATED:  Made update to Table F (Department of Energy/National Nuclear Security Administration License Type Code “E01”) description.
Version 1.0 June 5, 2011	<b>A</b>	<b>APPENDIX F – LICENSE AND LICENSE EXEMPTION TYPE CODES</b>  ADDED:  Table F - Department of Energy/National Nuclear Security Administration License Type Code “E01.”
Version 1.0 June 3, 2011	<b>D</b>	<b>APPENDIX F – LICENSE AND LICENSE EXEMPTION TYPE CODES</b>  Deleted:  C59 – Strategic Trade Authorization (STA) allows an exception to export specific controlled items to certain countries that would otherwise require a license because of CCL-based license requirements.
Version 1.0 April 25, 2011	<b>A</b>	<b>APPENDIX F – LICENSE AND LICENSE EXEMPTION TYPE CODES</b>  ADDED:  C59 – Strategic Trade Authorization (STA) allows an exception to export specific controlled items to certain countries that would otherwise require a license because of CCL-based license requirements.



## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
Version 1.0 May 12, 2011	C	<p><b>APPENDIX D – EXPORT PORT CODES</b></p> <p>MOT change:</p> <p>1703 Added RAIL as acceptable Method of Transportation</p> <p>1703 Added ROAD as acceptable Method of Transportation</p> <p>1501 Added AIR as acceptable Method of Transportation</p> <p>2015 Deleted VESSEL as acceptable Method of Transportation</p> <p>2104 Added AIR as acceptable Method of Transportation</p> <p>2302 Deleted RAIL as acceptable Method of Transportation</p> <p>2305 Deleted RAIL as acceptable Method of Transportation</p> <p>2307 Deleted RAIL as acceptable Method of Transportation</p> <p>2309 Deleted RAIL as acceptable Method of Transportation</p> <p>2310 Deleted RAIL as acceptable Method of Transportation</p> <p>2408 Deleted RAIL as acceptable Method of Transportation</p> <p>2601 Deleted RAIL as acceptable Method of Transportation</p> <p>2602 Deleted RAIL as acceptable Method of Transportation</p> <p>2603 Deleted RAIL as acceptable Method of Transportation</p> <p>2604 Deleted AIR as acceptable Method of Transportation</p> <p>2606 Deleted RAIL as acceptable Method of Transportation</p> <p>2608 Deleted RAIL as acceptable Method of Transportation</p> <p>3002 Added AIR as acceptable Method of Transportation</p> <p>3003 Added AIR as acceptable Method of Transportation</p> <p>3007 Added AIR as acceptable Method of Transportation</p> <p>3008 Added AIR as acceptable Method of Transportation</p> <p>3011 Deleted RAIL as acceptable Method of Transportation</p> <p>3012 Deleted RAIL as acceptable Method of Transportation</p> <p>3013 Deleted RAIL as acceptable Method of Transportation</p> <p>3016 Added AIR as acceptable Method of Transportation</p> <p>3019 Added AIR as acceptable Method of Transportation</p> <p>3019 Deleted RAIL as acceptable Method of Transportation</p> <p>3020 Deleted RAIL as acceptable Method of Transportation</p> <p>3025 Deleted RAIL as acceptable Method of Transportation</p> <p>3103 Added AIR as acceptable Method of Transportation</p> <p>3104 Added AIR as acceptable Method of Transportation</p> <p>3104 Deleted RAIL as acceptable Method of Transportation</p> <p>3105 Added AIR as acceptable Method of Transportation</p> <p>3106 Added AIR as acceptable Method of Transportation</p> <p>3106 Deleted RAIL as acceptable Method of Transportation</p> <p>3115 Added AIR as acceptable Method of Transportation</p> <p>3301 Deleted RAIL as acceptable Method of Transportation</p> <p>3303 Added RAIL as acceptable Method of Transportation</p> <p>3306 Deleted RAIL as acceptable Method of Transportation</p> <p>3308 Deleted RAIL as acceptable Method of Transportation</p> <p>3309 Deleted RAIL as acceptable Method of Transportation</p> <p>3312 Deleted RAIL as acceptable Method of Transportation</p> <p>3317 Deleted RAIL as acceptable Method of Transportation</p> <p>3318 Deleted RAIL as acceptable Method of Transportation</p> <p>3323 Deleted RAIL as acceptable Method of Transportation</p> <p>3423 Deleted VESSEL as acceptable Method of Transportation</p> <p>3424 Deleted VESSEL as acceptable Method of Transportation</p> <p>3424 Deleted RAIL as acceptable Method of Transportation</p> <p>3425 Deleted RAIL as acceptable Method of Transportation</p> <p>3426 Deleted RAIL as acceptable Method of Transportation</p> <p>3512 Added RAIL as acceptable Method of Transportation</p>

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		3604 Added AIR as acceptable Method of Transportation 3613 Deleted RAIL as acceptable Method of Transportation
Version 1.0 April 7, 2011	<b>D</b>  <b>A</b>	<b>APPENDIX C – ISO Country Codes</b>  DELETED: AN Netherlands Antilles  ADDED: CW Curacao SX Sint Maarten
Version 1.0 April 19, 2011	<b>C</b>	<b>Change requested by Cheryl Bannister.</b>  Changes pertain to replacing “SED” with “EEI” throughout AES Website. See Artifacts (email with requested changes and files) in Dimensions under WR108 dated 4/15/11.
Version 1.0 April 11, 2011	<b>C</b>  <b>A</b>	<b>APPENDIX D – Export Port Codes</b>  CHANGED: 4773 Emery Worldwide to MICOM  ADDED: “FIXED” as a valid MOT for 3802
Version 1.0 March 3, 2011	<b>A</b>	<b>APPENDIX A – Commodity Filing Response Messages</b>  Response Code 5C1 – DDTC LICENSE SUSPENDED FOR COUNTRY
Version 1.0 February 1, 2011	<b>D</b>  <b>A</b>	<b>APPENDIX C – ISO Country Codes</b>  DELETED: TP East Timor  ADDED: TL Timor-Leste
Version 1.0 January 25, 2011	<b>A</b>	<b>APPENDIX V – HTS Numbers that Cannot Be Reported in AES</b>  Appendix V updated (2011 updates)  ADDED: 0701.90.5045 0701.90.5055 0701.90.5065 0702.00.2010 0702.00.2035 0702.00.2045 0702.00.2065 0702.00.2099 0702.00.4010 0702.00.4035 0702.00.4046 0702.00.4065 0702.00.4098 0702.00.6010



## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		3181 St. Paul, AK 3319 Morgan, MT 3429 Crane Lake, MN 5271 DHL, MIAMI, FL
Version 1.0 September 17, 2010	C	<b>APPENDIX E – Commodity Filing Export Information Codes and Reporting Guidelines</b>  The following 15 CFR references have been updated:  GS – added 15 CFR 30.40, deleted 15 CFR 30.53 MS - added 15 CFR 30.39, deleted 15 CFR 30.52 HH - added 15 CFR 30.37(b), deleted 15 CFR 30.56 HV - added 15 CFR 30.37(b), deleted 15 CFR 30.56(a3) UG - added 15 CFR 30.37(h), deleted 15 CFR 30.55(g) LC/LV - added 15 CFR 30.37(a), deleted 15 CFR 30.55(h) DP - added 15 CFR 30.37(i), deleted 15 CFR 30.55(a) HR - added 15 CFR 30.37(j), deleted 15 CFR 30.55(b) IC - added 15 CFR 30.37(k), deleted 15 CFR 30.55(I) SC - added 15 CFR 30.26(b), deleted 15 CFR 30.33(a) SR - added 15 CFR 30.37(m), deleted 15 CFR 30.56(c) SS - added 15 CFR 30.37(m), deleted 15 CFR 30.56
Version 1.0 September 17, 2010	A	<b>APPENDIX D – Export Port Code</b>  The following Export Port Codes were added to the Education Region of the AES Mainframe: 2792 3883 1889 2383 1681  The following Export Port Codes were deactivated in the Education and Foreign Port Region of the AES Mainframe: 3481 3614 4181 4503
Version 1.0 September 10, 2010	D  A	<b>APPENDIX D – Export Port Code</b>  Deactivated: 2816 Sacramento, CA 2831 Suisun Bay, CA  Added Vessel and Road MOT: 2835 Sacramento Int'l Airport, CA
Version 1.0 August 17, 2010	C	<b>APPENDIX U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting</b>  Cars and Heavy Lifting Other Motor & Vehicles Construction 8703.10.1000 8426.41.0005

SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description																																																																																																																																																						
		8703.10.5030 8703.10.5060																																																																																																																																																						
Version 1.0 August 2, 2010	A	<b>APPENDIX D – Export Port Code</b>  Added: 3971 TNT Express Consignment, Chicago, IL  Removed Air MOT: 2704 Los Angeles, CA 2709 Long Beach, CA																																																																																																																																																						
Version 1.0 July 14, 2010	A	<b>APPENDIX A – Commodity Filing Response Messages</b>  Response Code 856 – IMPROBABLE ISO																																																																																																																																																						
Version 1.0 EFFECTIVE June 1, 2010	A	<b>APPENDIX U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting</b> Added:  <table border="0" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Cars and Other Motor Vehicles</td> <td style="width: 25%;">Tractors</td> <td style="width: 25%;">Heavy Lifting &amp; Construction</td> <td style="width: 25%;">Heavy Lifting &amp; Construction</td> <td style="width: 20%;">Agriculture &amp; Machinery</td> </tr> <tr> <td>8703.23.0020</td> <td>8701.20.0015</td> <td>8426.41.0050</td> <td>8429.52.1040</td> <td>8433.11.00</td> </tr> <tr> <td>8703.23.0022</td> <td>8701.20.0045</td> <td>8427.10.4000</td> <td><b>8429.52.1050</b></td> <td>8433.11.00</td> </tr> <tr> <td>8703.23.0024</td> <td>8701.30.0015</td> <td>8427.10.8010</td> <td>8429.52.5010</td> <td>8433.11.00</td> </tr> <tr> <td>8703.23.0026</td> <td>8701.30.0030</td> <td>8427.10.8060</td> <td><b>8429.52.5090</b></td> <td>8433.11.00</td> </tr> <tr> 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Machinery	8703.23.0020	8701.20.0015	8426.41.0050	8429.52.1040	8433.11.00	8703.23.0022	8701.20.0045	8427.10.4000	<b>8429.52.1050</b>	8433.11.00	8703.23.0024	8701.30.0015	8427.10.8010	8429.52.5010	8433.11.00	8703.23.0026	8701.30.0030	8427.10.8060	<b>8429.52.5090</b>	8433.11.00	8703.23.0028	8701.30.0045	8427.10.8090	8429.59.1030	8433.19.00	8703.23.0032	8701.30.0060	8427.20.4000	8429.59.1060	8433.19.00	8703.23.0034	8701.30.0075	8427.20.8020	<b>8429.59.1090</b>	8433.19.00	8703.23.0036	8701.30.1015	8427.20.8040	8429.59.5020	8433.20.00	8703.23.0038	8701.30.1030	8427.90.0020	8429.59.5040	8433.30.00	8703.23.0042	8701.30.1045	8427.90.0040	8429.59.5060	8433.40.00	8703.23.0044	8701.30.1060	8429.11.0010	<b>8429.59.5080</b>	8433.51.00	8703.23.0046	8701.30.1075	<b>8429.11.0090</b>	8430.10.0000	8433.52.00	8703.23.0048	<b>8701.30.1090</b>	8429.19.0010	8430.20.0030	8433.53.00	8703.23.0052	8701.30.5015	<b>8429.19.0090</b>	8430.20.0060	8433.59.00	8703.23.0060	8701.30.5030	8429.20.0000	8430.20.0090	8433.59.00	8703.23.0062	8701.30.5045	8429.30.0020	8430.31.0000		8703.23.0064	8701.30.5060	8429.30.0040	8430.31.0040		8703.23.0066	8701.30.5075	<b>8429.30.0060</b>	8430.31.0080		8703.23.0068	8701.90.1005	8429.40.0020	8430.41.0000		8703.23.0072	8701.90.1010	8429.40.0040	8430.50.0000		8703.23.0074	8701.90.1015	<b>8429.40.0060</b>	8430.50.1000		8703.23.0075	8701.90.1030	8429.51.1005	8430.50.5000		8703.23.0076	8701.90.1035	8429.51.1015			8703.23.0078	8701.90.1040	8429.51.1025			8703.24.0032	8701.90.1045	8429.51.1030			8703.24.0034	8701.90.1050	8429.51.1035			8703.24.0036	8701.90.1055	8429.51.1040			8703.24.0038	8701.90.1060	8429.51.1045			8703.24.0042	8701.90.1065	8429.51.1050		
Cars and Other Motor Vehicles	Tractors	Heavy Lifting & Construction	Heavy Lifting & Construction	Agriculture & Machinery																																																																																																																																																				
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8703.23.0072	8701.90.1010	8429.40.0040	8430.50.0000																																																																																																																																																					
8703.23.0074	8701.90.1015	<b>8429.40.0060</b>	8430.50.1000																																																																																																																																																					
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8703.23.0076	8701.90.1035	8429.51.1015																																																																																																																																																						
8703.23.0078	8701.90.1040	8429.51.1025																																																																																																																																																						
8703.24.0032	8701.90.1045	8429.51.1030																																																																																																																																																						
8703.24.0034	8701.90.1050	8429.51.1035																																																																																																																																																						
8703.24.0036	8701.90.1055	8429.51.1040																																																																																																																																																						
8703.24.0038	8701.90.1060	8429.51.1045																																																																																																																																																						
8703.24.0042	8701.90.1065	8429.51.1050																																																																																																																																																						



## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		ECCN Information updated to include missing ECCN numbers (C36 – 3C005 and 3C006; C37 – 4A003, 3C005, 3C006)
Version 1.0 October 19, 2009	C	<b>AESTIR Part IV – AES Downtime Guidelines</b>  The AES Downtime Guidelines have been updated.
Version 1.0 September 2, 2009 <b>(EFFECTIVE September 4, 2009)</b>	A	<b>APPENDIX F - License and License Exemption Type Codes and Reporting Guidelines</b>  Added License Code C58 - Free Exchange of Information allows export and re-export of consumer products related to communications and exchange of information to Cuba
Version 1.0 September 2, 2009 <b>(EFFECTIVE October 1, 2009)</b>	C	<b>APPENDIX F - License and License Exemption Type Codes and Reporting Guidelines</b>  Information has been updated to reflect BIS new edits on ECCNs, Special Comprehensive Licenses, and Certain License Exceptions
Version 1.0 July 23, 2009	A	<b>APPENDIX D – Export Port Code</b>  Port reactivated: 4197 DHL Cincinnati, OH  <b>APPENDIX V – HTS Numbers that Cannot Be Reported in AES</b>  Appendix V updated
	A	ADDED: 1701.99.1020 1701.99.1030 1701.99.5020 1701.99.5030 8411.91.9081 8411.91.9085
	D	DELETED: 1701.99.1090 1701.99.5090 8411.91.9080 9303.30.8005
Version 1.0 May 1, 2009 (effective date)	D	<b>APPENDIX F - License and License Exemption Type Codes and Reporting Guidelines</b>  C47 Additional Permissive Re-exports ( <b>APR</b> ) Part 740.16. (Removed) C48 Key Management Infrastructure ( <b>KMI</b> ) Part 740.8 (Removed)
Version 1.0 April 2, 2009	C	<b>APPENDIX D – Export Port Code</b>  MOT change: 4503 Deleted VESSEL as acceptable Method of Transportation
Version 1.0 March 19, 2009	C	<b>APPENDIX F - License and License Exemption Type Codes and Reporting Guidelines</b>

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		IW has been added as an Export Information Code that is not allowed under License code OPA.
Version 1.0 February 24, 2009	C	<b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b>  Information has been revised pertaining to shipments of International Waters as stated in Revised FTR Letter No. 3 published January 14, 2009.
Version 1.0 December 10, 2008	C	<b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b>  Allowed Export Info Code 'IW' added to License Codes C30 and C31.
Version 1.0 November 6, 2008	A  C	<b>APPENDIX B – Transportation Filing Response Messages</b>  ADDED: Response Code 694 ACTUALDEPRT YR MUST BE > 1997  <b>Letter of Intent links</b>  References to Option 4 have been removed from the following links: <a href="http://cbp.gov/xp/cgov/trade/automated/aes/letter_intent/register.xml">http://cbp.gov/xp/cgov/trade/automated/aes/letter_intent/register.xml</a> <a href="http://cbp.gov/xp/cgov/trade/automated/aes/letter_intent/form_commodity_data.xml">http://cbp.gov/xp/cgov/trade/automated/aes/letter_intent/form_commodity_data.xml</a>
Version 1.0 October 22, 2008	A  C  A	<b>APPENDIX D – Export Port Code</b>  ADDED: 2383 Valley International Airport, TX 2792 DHL-HUB Riverside, CA  MOT change: 2006 Deleted VESSEL as acceptable Method of Transportation 4503 Deleted VESSEL as acceptable Method of Transportation  <b>APPENDIX V – HTS Numbers that Cannot Be Reported in AES</b>  Appendix V updated  ADDED: 0713.39.2070 0713.39.4070 2008.19.9090 2401.10.9510 2401.10.9560 2401.20.0500 2401.20.1800 2907.19.6100 2916.36.0000 2921.19.1100 2934.30.5000 7211.23.3000 7211.23.4500 7211.23.6030 7211.23.6060



SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
	D	<p>7211.23.6075 7211.23.6085 8527.99.1500</p> <p>DELETED: 1005.90.4040 8527.99.2010 8527.99.2020 8527.99.2030 8803.10.0015 8803.10.0030 8803.10.0060 8803.20.0015 8803.20.0030 8803.20.0060 8803.30.0015 8803.30.0030 8803.30.0060 8803.90.9015 8803.90.9030 8803.90.9060</p>
<p>Version 1.0 September 30, 2008 (effective date)</p>	C	<p><b>AESTIR</b></p> <p>The AESTIR has been updated to reflect the amended Foreign Trade Regulations (FTR) requiring the mandatory filing of export information through the Automated Export System (AES) or <i>AESDirect</i>. This includes the following changes:</p> <p style="text-align: center;">C</p> <p><b>Part II – AES Record Formats, Section 3, AES Transportation Data Transactions, Proprietary Record Formats</b></p> <p>On page 27, revisions to the Marks and Numbers (D02) Record have been made. This record is mandatory. Along with Marks and Numbers this record is also used to report ITNs and or exemptions/exclusions.</p> <p style="text-align: center;">C</p> <p><b>X12 Formats</b></p> <p>On Page 25 of 309 Customs and Border Protection (CBP) – Manifest (Post Departure), N10 (Quantity and Description Record), N1003 Data Element is revised to allow for the entry of Internal Transaction Numbers (ITNs)/Exemptions/Exclusions along with Marks and Numbers. This data element is made mandatory.</p> <p>On Page 35 of 355 Customs and Border Protection (CBP) – Acceptance/Rejection, N10 (Quantity and Description Record), N1003 Data Element is revised to allow for the entry of ITNs/Exemptions/Exclusions along with Marks and Numbers. This data element is made mandatory.</p> <p style="text-align: center;">C</p> <p><b>APPENDIX R – Exemption Legends</b></p> <p>Revisions have been made to update the Acceptable AES Filing citation, exemption, and exclusion legends as reflected in Appendix D of the amended FTR.</p> <p style="text-align: center;">C</p>

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		<p><b>Miscellaneous Revisions</b></p> <p>Shippers Export Declaration (SED) is now referred to as Electronic Export Information (EEI);</p> <p>Option 2 is now referred to as Predeparture;</p> <p>Option 4 is now referred to as Postdeparture;</p> <p>Foreign Trade Statistics Regulations (FTSR) is now Foreign Trade Regulations (FTR); and</p> <p>Citation numbers have been updated to be in concordance with the new FTR.</p>
Version 1.0 September 30, 2008	C	<p><b>Appendix S and AES General Information</b></p> <p>Information has been revised pertaining to the reuse of shipment reference numbers. The shipment reference number must remain unique, as stated in FTR Letter No. 2 published on September 26, 2008.</p>
Version 1.0 August 18, 2008	C	<p><b>APPENDIX R – Exemption Legends</b></p> <p>Revisions were made to the exemption legends to reflect the amended Foreign Trade Regulations requiring the mandatory filing of export information through the AES or AES <i>Direct</i>.</p>
Version 1.0 August 13, 2008	A	<p><b>APPENDIX B – Transportation Filing Response Messages</b></p> <p>ADDED: Response Code 693 COUNTRY OF ULT DESTINATION OUTDATED</p>
Version 1.0 July 24, 2008	C	<p><b>X.12 824 GS03 change:</b></p> <p>Current description says: M            <b>GS03</b>            124    <b>Application Receiver's Code</b> Code identifying party receiving transmission partners <b>Same Filer ID as in element ISA08.</b></p> <p>But should read: M            <b>GS03</b>            124    <b>Application Receiver's Code</b> Code identifying party receiving transmission partners <b>Same Transmitter ID as in element ISA02.</b></p>
Version 1.0 July 23, 2008	C	<p><b>Part II – AES Record Formats, Section 3</b></p> <p>Below the headings for Party Profile/Address/Phone (N02) and Party Profile City/State? Country (N03) Record, a statement has been added which reads, “If the Party ID and Party ID Type do not exist in AES or are not provided, this record is required to be sent.”</p> <p><b>309 CBP Manifest (Post Departure)</b></p> <p>Usage changed from Optional to Conditional.</p>

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		Notes added, "If the Party ID and Party ID type do not exist in AES or are not provided, this record is required to be sent."
Version 1.0 June 26, 2008	C	<b>AESTIR</b>  The AESTIR is being updated to reflect the amended Foreign Trade Regulations requiring the mandatory filing of export information through the AES or <i>AESDirect</i> .
Version 1.0 June 3, 2008	C	<b>APPENDIX F - License and License Exemption Type Codes and Reporting Guidelines</b>  Revisions made to License codes C54, C55, C56. Allowed Export Info Codes should read All, except IW.
Version 1.0 April 23, 2008	C	<b>APPENDIX F - License and License Exemption Type Codes and Reporting Guidelines</b>  The ECCN has been changed from Allowed to <u>Mandatory</u> for the following License codes.  C38-TSR, C41-RPL, C42-GOV, C43-GFT, C44-TSU, C45-BAG, C46-AVS, C47-APR C48-KMI, C49-TAPS, and C50-ENC
Version 1.0 April 14, 2008	A	<b>APPENDIX A – Commodity Filing Response Messages</b>  Added a statement to Response Code: 855 that the error would be generated only if the mode of transportation is vessel.
Version 1.0 March 20, 2008	A	<b>APPENDIX A – Commodity Filing Response Messages</b>  Added a statement to the end of Response Code: 139, pertaining to Shipments destined to International Waters  <b>APPENDIX E – Commodity Filing Export Information Codes and Reporting Guidelines</b>  EIC Code 'IW' added  <b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b>  Allowed Export Info Code 'IW' added to License Codes C30, C32 and C33.
Version 1.0 February 19, 2008	<b>D</b>  <b>A</b>	<b>APPENDIX D – Export Port Code</b>  DELETED: 2082 Tri-City User Fee Airport, Blountville, TN  ADDED: 0481 L.G. Hanscom Field, Bedford, MA 2027 Tri-Cities Airport, Blountville, TN

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
Version 1.0 December 17, 2007	C	<b>APPENDIX D – Export Port Code</b>  1104 Pittsburg, PA Deleted Vessel as acceptable Method of Transportation
Version 1.0 October 10, 2007	C	<b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b>  CHANGED: Expanded License Code C57 (VEU) to include India
Version 1.0 October 4, 2007	A	<b>APPENDIX B – Transportation Filing Response Messages</b>  ADDED: Response Code 689 F BOL/BOOKING VOYAGE NAME MISMATCH Response Code 690 F BOL/BOOKING VOYAGE NUMBER MISMATCH Response Code 691 F BOL/BOOKING PORT CODE MISMATCH Response Code 692 F BOL/BOOKING CARRIER SCAC MISMATCH
Version 1.0 September 4, 2007	A	<b>APPENDIX A – Commodity Filing Response Messages</b>  ADDED:  Response Code 671 KPC NBR NOT REQ FOR CNTY CODE
Version 1.0 August 8, 2007	A	<b>APPENDIX D – Export Port Code</b>  ADDED: 1888 Orlando Executive Airport, FL
Version 1.0 June 11, 2007	D  A	<b>APPENDIX D – Export Port Code</b>  DELETED: 2707 Port San Luis Harbor, CA  <b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b>  Added License Code C57 – Authorization for Validated End-User for Certain Authorized Exports and Reexports of Commerce Control List items to the People’s Republic of China.
Version 1.0 April 26, 2007	A  C  D	<b>APPENDIX D – Export Port Code</b>  ADDED: 2785 March Inland Airport, Riverside, CA 2786 Meadows Field Airport, Bakersfield, CA 4581 Midamerican Airport, Mascoutah, IL  CHANGED: 0131 Portsmouth, NH Added AIR as acceptable Method of Transportation  <b>Part IV Section 5. Action – Downtime Of 1 To 7 Calendar Days</b>



SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		4407.99.0072 4408.90.0105 4408.90.0110 4408.90.0115 4408.90.0121 4408.90.0131 4408.90.0137 4408.90.0145 4408.90.0151 4408.90.0156 4408.90.0161 4408.90.0166 4408.90.0171 4408.90.0176 4408.90.0181 4408.90.0187 4408.90.0195 8525.10.7025 8525.10.7045 8525.10.7065 8525.10.7085 8525.10.7090 8525.10.9025 8525.10.9045 8525.10.9065 8525.10.9085 8525.10.9090 8525.20.3010 8525.20.3015 8525.20.3025 8525.20.3065 8525.20.3070 8525.20.3080 8527.90.9530 8527.90.9540 8527.90.9550 8527.90.9560
Version 1.0 January 18, 2007	A	<b>APPENDIX D – Export Port Code</b>  ADDED: 2835 Sacramento International Airport
Version 1.0 December 18, 2006	D A A   C	<b>APPENDIX C – ISO Country Codes</b>  Serbia and Montenegro (CS) (effective 1/1/07) Serbia (RS) (effective 1/1/07) Montenegro (ME) (effective 1/1/07)  <b>APPENDIX D – Export Port Codes</b>  Name changed: 2881 – Sacramento International User Fee Airport - Changed name from Sacramento International Airport



SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
	<p>C C  D A  D</p>	<p><b>APPENDIX D – Export Port Codes</b>                      1119 Allentown, Pa added (Lehigh Valley Int'l Airport) to description                      1181 Allentown-Bethlehem, Pa added (Easton Airport) to description                       1481 New River Valley Airport, VA changed to read:                      1412 New River Valley Airport, VA                       3402 Noyes, MN (Deactivated effective July 10, 2006)</p>
<p>Version 1.0 June 6, 2006</p>	<p>A A A A A A A A  D D D</p>	<p><b>APPENDIX A – Commodity Filing Response Messages</b>                      Response Code 057 HEADER FILER ID MUST BE NUMERIC                      Response Code 058 TRAILER FILER ID MUST BE NUMERIC                      Response Code 059 HEADER USPPI ID MUST BE E, D, S, T                      Response Code 060 TRAILER USPPI ID MUST BE E, D, S, T                      Response Code 423 USPPI IRS ID MUST BE NUMERIC                      Response Code 424 USPPI IRS ID TYPE MUST BE E OR S                      Response Code 425 FWRD AGT PARTY ID MUST BE NUMERIC                      Response Code 426 FWRD AGT ID TYPE MUST BE E, D OR S   <b>APPENDIX D – Export Port Codes</b>                      4108 Ashtabula, OH (Deactivated)                      4109 Conneaut, OH (Deactivated)                      4111 Fairport Harbor, OH (Deactivated)                      Replaced by 4122 Ashtabula/Conneaut, OH</p>
<p>Version 1.0 May 22, 2006</p>	<p>C C C  C  D</p>	<p><b>APPENDIX D – Export Port Codes</b>                      3005 Bellingham, WA Added AIR as acceptable Method of Transportation                      3203 Kahului, HI Added AIR as acceptable Method of Transportation                      5101 Charlotte Amalie, VI Added AIR as acceptable Method of Transportation                       Name changed:                      3385 Eagle County Regional Airport - Changed name from Eagle County User Fee Airport                       The following port is deactivated:                      4170 Burlington Air Express, OH (Deactivated)</p>
<p>Version 1.0 May 12, 2006</p>	<p>C C C C C C C  D D D</p>	<p><b>APPENDIX D – Export Port Codes</b>                      0101 Portland, ME Added AIR as acceptable Method of Transportation                      1002 Albany, NY Added VESSEL as acceptable Method of Transportation                      1101 Philadelphia, PA Added AIR as acceptable Method of Transportation                      1103 Wilmington, DE Added AIR as acceptable Method of Transportation                      1601 Charleston, SC Added AIR as acceptable Method of Transportation                      2301 Browns ville, TX Added FIXED as acceptable Method of Transportation                      2604 Nogales, AZ Deleted FIXED as acceptable Method of Transportation                      3202 Hilo, HI Added AIR as acceptable Method of Transportation                       The following ports are not active:                      2981 Kingsley Field, OR (Deactivated)                      2982 Rogue Valley/Medford, OR (Deactivated)                      2991 Federal Express, Portland, OR (Deactivated)</p>



## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
Version 1.0 April 24, 2006		<b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b> <b>Table A: Department of Commerce/Bureau of Industry and Security (BIS) License Type Codes.</b>
	C	License Code 39 Computers (CTP) Part 740.7 renamed as License Code C53 Computers (APP) Part 740.7.
	A	License Code C53 Computers (APP) Part 740.7
		Adjusted Peak Performance (APP) replaces Composite Theoretical Performance (CTP).
	A	AES will continue to allow changes/replacements/cancellations of previously accepted shipments filed under License Exception CTP, License Code C39. However, all new shipments made under this license exception must be reported as License Code C53 with Authorization Symbol APP.
	A	License Code C54 Short Supply -Western Red Cedar (SS-WRC) Part 754.4
	A	License Code C55 Short Supply -Crude Oil Samples (SS-SAMPLE) Part 754.2
	A	License Code C56 Short Supply – Strategic Petroleum Reserves (SS-SPR) Part 754.2
Version 1.0 April 12, 2006	C	<b>APPENDIX D – Export Port Codes</b> 2719 Morrow, CA corrected to read 2719 Morro Bay, CA
Version 1.0 March 22, 2006	D	<b>APPENDIX D – Export Port Codes</b> 2783 So. Cal. Logistics Airport, CA (Deactivated)
Version 1.0 March 16, 2006	A	<b>APPENDIX A – Commodity Filing Response Messages</b> Response Code 645 QUANTITY2 NOT REQUIRED BY SCHED B/HTS Informational message returned when a value is reported in the second quantity field and the Schedule B/HTS classification does not require a second quantity.
Version 1.0 March 9, 2006	C	<b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b> <b>Table A: Department of Commerce/Bureau of Industry and Security (BIS) License Type Codes.</b> License Code C33 – Description modified for clarification to include the following: Use C33 and report the ECCN if the commodity is controlled ONLY for Anti-Terrorism.
Version 1.0 March 3, 2006	D	<b>APPENDIX D – Export Port Codes</b> 4191 Airborne Express Courier, OH (Deactivated)
Version 1.0 February 1, 2006	A	<b>APPENDIX A – Commodity Filing Response Messages</b> Response Code 855 FOREIGN ORIGIN VERSUS IN-TRANSIT Correction to X.12 Segment ID/Data Elements Reads: L1301 Corrected to Read: X109
Version 1.0 January 24, 2006	A	<b>APPENDIX A – Commodity Filing Response Messages</b> Response Code 855 FOREIGN ORIGIN VERSUS IN-TRANSIT Verify this is not an in-transit shipment.

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
Version 1.0 January 13, 2006	A  D D D	<b>APPENDIX V – HTS Numbers that Cannot Be Reported in AES</b> Updated for January 2006 as follows: ADDED: 0813.40.3000  DELETED: 2401.10.6560 2716.00.0000 8803.90.9015
Version 1.0 January 11, 2006	D  A A A  A	<b>APPENDIX A – Commodity Filing Response Messages</b> Response Code 549 CNTY MUST BE CU FOR CUBAN AGR EXEMPTN has been removed and included in new Response Code 667  Response Code 666 ECCN MUST BE FROM APPROVED LIST Response Code 667 COUNTRY NOT ALLOWED FOR LICENSE TYPE Response Code 668 EAR99 CANNOT BE REPORTED (Not currently active)  <b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b> C52 United States Persons in Libya (USPL) Part 740.19  Permits the export and re-export to U.S. persons in Libya of certain items listed on the Commerce Control List controlled for anti-terrorism (AT) reasons only.
Version 1.0 December 15, 2005	A  A A A	<b>APPENDIX B – Transportation Filing Response Messages</b> FatalError 133 INVALID EXPORT INFORMATION CODE  <b>APPENDIX D – Export Port Codes</b> 1887 Leesburg Regional Airport, FL                      AIR only 3325 Willow Creek, Havre, MT                              ROAD only 5381 Sugar Land Regional Airport, TX                      AIR only
Version 1.0 December 5, 2005	A A	<b>APPENDIX D – Export Port Codes</b> 5273 UPS Miami Airport, FL                      AIR only 5298 IBC Courier Hub, Miami, FL                      AIR only
Version 1.0 December 3, 2005	A	<b>APPENDIX A – Commodity Filing Response Messages</b> Undetermined Conditions Response Code 996 NON-STANDARD DATA FOUND: -nnnnnn/nn- Informational Response Code 996 will be generated and returned in an ES1 record with Response Code 997, Filing Contains Non-Standard Data, to identify where the first occurrence of non-standard data has been encountered.
Version 1.0 November 22, 2005	C	<b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b> <b>Table A: Department of Commerce/Bureau of Industry and Security (BIS) License Type Codes.</b>  License Code C32 - Description changed to read: “No License Required (NLR) Part 758. Those items which are covered by entries on the Commerce Control List that have a reason for control other than or in addition to Anti-Terrorism (AT).”
Version 1.0		<b>Part 1. AES GENERAL INFORMATION</b>



SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
	<p>A A A A  C</p>	<p>3510 Duluth, MN – Superior, WI      Acceptable MOT: Vessel and Air 3511 Ashland, WI      Vessel 3512 Omaha, NE      Air 3513 Des Moines, IA      Air</p> <p>5104 Christiansted, VI      Added AIR as acceptable MOT</p> <p>The following previously disabled port codes have been removed from the Appendix D: 3904 East Chicago, IL      - disabled 05/04 3906 Ohara Int'l Airport, IL      - disabled 05/04 4182 Rickenbacker Airport, OH - disabled 09/04</p>
<p>Version 1.0 October 1, 2005</p>	<p>C</p>	<p><b>APPENDIX A – Commodity Filing Response Messages</b> Response Code 076 USPPI CHANGED POST DEPARTURE Change to allow the USPPI to be corrected post departure if necessary. However, a compliance alert will be generated when the USPPI information is changed post departure.</p>
<p>Version 1.0 September 16, 2005</p>	<p>A          A          C          A</p>	<p><b>Part II Section 1(a)</b> <b>Record Layout Key</b> <b>Class</b> Added text to clarify the acceptability of data values. Characters A through Z (uppercase ONLY) Character found on a standard keyboard are accepted: ! @ # \$ % ^ &amp; * ( ) - _ = + [ { ] } \   ; : ‘ “ , &lt; . &gt; / ? ` ~ ¢</p> <p><b>Input Record Structure Map</b></p> <p><b>Transmission Notes</b> A Added a bullet as follows: Transmit ONLY displayable characters found on a standard keyboard. Do not transmit low-values, carriage return characters, or any other non-standard character.</p> <p><b>Commodity Line Item Reporting</b> C Change shipping weight for AIR shipments from 105,000 kilograms to 120,000 kilograms.</p> <p><b>APPENDIX A – Commodity Filing Response Messages</b> Undetermined Conditions A Response Code 997 FILING CONTAINS NON-STANDARD DATA</p>
<p>Version 1.0 August 15, 2005</p>	<p>A          A          A          A</p>	<p><b>Part II Section 3 – AES Transportation Data Transactions – Proprietary Record Formats</b> Effective 8/17/2005: Optional Carrier Assigned Number added for Carrier’s use. There is not editing and the number is returned as received. Manifest (M01) Record Carrier Assigned Number    Length/Class: 23 AN    Positions: 58-80 Optional</p> <p><b>Part II Section 4 – AES Transportation Data Transactions – X.12 Formats</b> A 309 CBP Manifest (Booking) Carrier Assigned Number    M1012      Positions: 1/23    AN    Optional</p> <p>A 309 CBP Manifest (Postdeparture) Carrier Assigned Number    M1012      Positions: 1/23    AN    Optional</p> <p>A 309 CBP Manifest (Receipt of Booking)</p>

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
	A	Carrier Assigned Number M1012 Positions: 1/23 AN Optional 353 CBP Event Advisory Details Carrier Assigned Number M1012 Positions: 1/23 AN Optional
	A	355 CBP Manifest Acceptance/Rejection Carrier Assigned Number M1012 Positions: 1/23 AN Optional
	A	<b>APPENDIX D – Export Port Codes</b> 4194 DHL Express, Wilmington, OH Valid for AIR
Version 1.0 July 28, 2005	A	<b>APPENDIX V – HTS Numbers that Cannot Be Reported in AES</b> Updated for July 2005 as follows: ADDED: 2401.30.2750
	D	DELETED: 0207.14.0020 0207.27.0020 2401.30.2725 8411.99.1080 9027.80.4530
Version 1.0 July 12, 2005	C	<b>Part II Section 3 – AES Transportation Data Transactions – Proprietary Record Formats</b> Manifest (M01) Record Voyage Number Added note: The Voyage Number cannot be reused within one year. If the carrier attempts to reuse the number, AES will reject with fatal condition 687.
	C	<b>Part II Section 4 – AES Transportation Data Transactions – X.12 Formats</b> 309 CBP Manifest (Booking) M1006 Voyage Number Added note: The Voyage Number cannot be reused within one year. If the carrier attempts to reuse the number, AES will reject with fatal condition 687.
	C	<b>APPENDIX D – Export Port Codes</b> 3111 Fairbanks, AK Added AIR as acceptable MOT
	C	3429 Crane Lake, MN Truck
	C	3430 Lancaster, MN Truck (Correction to port code and state)
Version 1.0 June 12, 2005	A	<b>Part II Section 1 – AES Commodity Data Transaction Proprietary Formats</b> <b>Commodity Shipment Response – Usage Notes, Part B – Response to a Proprietary Batch Component</b> Added text to indicate the USPPI ID and USPPI ID Type for each and every ‘block’ within a rejected batch would be returned to the filer in an ES1 informational message. The Shipment Reference Number will be returned in an ES1 informational message for each and every shipment within a rejected batch or block.
	A	<b>Commodity Shipment Response – Usage Notes, Part C – Response to a Proprietary Block Component</b>

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
	A A	Added text to indicate the Shipment Reference Number will be returned in an ES1 informational message for each and every shipment within a rejected block.  <b>APPENDIX A – Commodity Filing Response Messages</b> Response Code 055 USPPI ID/TYPE: - <i>USPPIID and IDTYPE</i> – Response Code 056 SHIPMENT REF NBR: - <i>ShipmentReferenceNumber</i> -
Version 1.0 May 16, 2005	A A	<b>APPENDIX A – Commodity Filing Response Messages</b> Response Code 421 ULT CONS DATA ON FILE INCOMPLETE; RESEND Response Code 422 INT CONS DATA ON FILE INCOMPLETE; RESEND
Version 1.0 April 1, 2005	A	<b>APPENDIX D – Export Port Codes</b> Port Code 5297 Federal Express, Miami, FL Valid MOT: AIR
Version 1.0 March 31, 2005	C C C A A A A C C C	<b>The Data Entry Center (DEC) program was eliminated effective April 1, 2005.</b> <b>Part 1. AES GENERAL INFORMATION</b> 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'  <b>Kimberley Process Certificate Number required for shipments of rough diamonds effective April 1, 2005.</b> <b>Part 1. AES GENERAL INFORMATION</b> 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.  <b>Part II Section 1 – AES Commodity Data Transaction Proprietary Formats</b> Part (a) Commodity Shipment Filing and Response <b>Input Batch Control Header (Input A Record):</b> Data Entry Center Indicator N=Filer is not claiming DEC privileges Y=Filer is claiming DEC privileges for shipment filed before April 1, 2005. 3. Census eliminated the Data Entry Center Program effective April 1, 2005. However, an authorized DEC filer can make corrections to shipments filed before the April 1, 2005, cut-off date and still receive DEC-related privileges. <b>Input Line Item Commodity Detail (Input CL2 Record):</b> Renamed data element to include the Kimberley Process Certificate Number Export License Number/CFR Citation/Authorization Symbol/KCP#

SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
	C	<b>Commodity Shipment Filing – Usage Notes</b> a) Grouping Commodity Shipments by USPPPI Removed the reference to ‘or DEC’
	C	d) Data Entry Center (DEC) Revised to reflect elimination of DEC filing privileges April 1, 2005.
	C	e) Establishing a Commodity Shipment Mandatory Data Elements in an ADD Transaction Renamed data elements to include the KCP# as follows: Export License Number/CFR Citation/Authorization
	C	Symbol/KCP#
	C	h) Party Reporting Forwarding Agent Reporting Requirements: A forwarding agent:
	C	Eliminated references to DEC filing Removed table (b) Renamed table (c) to read (b)
	C	l) Correcting Commodity Shipment Data Mandatory Data Elements in an Replace Transaction Renamed data elements to include the KCP# as follows: Export License Number/CFR Citation/Authorization Symbol/KCP#
	C	<b>Output Batch Control Header (Output A Record):</b> Data Entry Center Indicator N=Filer is not claiming DEC privileges Y=Filer is claiming DEC privileges for shipment filed before April 1, 2005. 3. Census eliminated the Data Entry Center Program effective April 1, 2005. However, an authorized DEC filer can make corrections to shipments filed before the April 1, 2005, cut-off date and still receive DEC-related privileges.
	C	<b>Part II Section 1 – AES Commodity Data Transaction Proprietary Formats</b> Part (b) Commodity Shipment Warning Reminder Line Item Commodity Detail (Output CL2 Record) Renamed data element to include the Kimberley Process Certificate Number as follows: Export License Number/CFR Citation/Authorization Symbol/KPC#
	C	<b>Part II Section 2 – AES Commodity Data Transaction – X.12 Formats</b> <b>601 Shipper’s Export Declaration (Commodity Shipment Filing)</b> BA1 Export Shipment Identifying Information BA107 Notes: Data Entry Center Indicator N=Filer is not claiming DEC privileges Y=Filer is claiming DEC privileges for shipment filed before April 1, 2005. Census eliminated the Data Entry Center Program effective April 1, 2005. However, an authorized DEC filer can make corrections to shipments filed before the April 1, 2005, cut-off date and still receive DEC-related privileges.
	A	X1 Export License
	D	X102 Export License Number Notes: Renamed to include the Kimberley Process Certificate Number (KPC#)
	A	





## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
Version 1.0 November 17, 2004	A	<b>APPENDIX B – Transportation Filing Response Messages</b> Response Code 688 Fatal Error CONTAINER NUMBER NOT ALLOWED If the shipment is identified as non-containerized, then a container number is not allowed to be reported.
Version 1.0 October 20, 2004	C	<b>APPENDIX A – Commodity Filing Response Messages</b> Response Code 152 ENTRY NBR MUST BE AT LEAST 9 CHARS Change from 11 characters to allow 9 character entry number.
Version 1.0 October 7, 2004	C	<b>Part II Section 1 – AES Commodity Data Transaction Proprietary Formats</b> Commodity Shipment Filing – Usage Notes h) Party Reporting – Intermediate Consignee Input N03 record: State Code Change to allow (but not require) the Mexican State Code to be reported if the Intermediate Consignee = Country Code <b>MX</b> (Mexico).
	A	<b>APPENDIX A – Commodity Filing Response Messages</b> Response Code 412 INT CONS STATE MUST BE A MX STATECD
Version 1.0 October 4, 2004	A	<b>APPENDIX A – Commodity Filing Response Messages</b> Response Code 566 CNTY MUST BE KIMBERLEY PROCESS PRTCNT
Version 1.0 September 7, 2004	A	<b>APPENDIX A – Commodity Filing Response Messages</b> FAILURE TO RESPOND TO FATAL CONDITION MESSAGES OR OTHERWISE TRANSMIT CORRECTIONS TO AES CONSTITUTES A VIOLATION OF THE PROVISIONS OF THE FOREIGN TRADE STATISTICAL REGULATIONS.
	A	Response Code 653 DDTC LICENSE DISAPPROVED: <License Code>
	A	Response Code 654 DDTC LICENSE SUSPENDED: <License Code>
	A	Response Code 655 DDTC LICENSE RETURNED: <License Code>
	A	Response Code 656 DDTC LICENSE REVOKED: <License Code>
	A	Response Code 657 DDTC LICENSE WITHDRAWN: <License Code>
	A	Response Code 658 DDTC LICENSE EXPIRED: <License Code>
	C	Text changed to highlight the importance of resolving fatal conditions and retransmitting
	C	corrected batches, blocks and shipments.
	C	Response Code 960 BATCH REJECTED; RESOLVE AND RETRANSMIT Response Code 965 BLOCK REJECTED; RESOLVE AND RETRANSMIT Response Code 970 SHIPMENT REJECTED; RESOLVE & RETRANSMIT
Version 1.0 September 1, 2004	C	<b>APPENDIX B – Transportation Filing Response Messages</b> Response Code 625 FATALERR – INVALID BILL OF LADING COUNT Correcting keying error (Read 626, should read 625)
	A	<b>APPENDIX D – Export Port Codes</b> Port Code 2304 Laredo, TX ADDED: Fixed Transport as acceptable mode of transport.
	D	Port Code 3385 Eagle County User Fee Airport Valid MOT = AIR Port Code 4182 Disabled effective 9/1/2004
	D	<b>APPENDIX V – HTS Numbers that Cannot Be Reported in AES</b> DELETED: 0304.10.4062 1005.90.4000 1209.29.0079 1701.99.1000
	A	1701.99.5000 ADDED: 1005.90.4040



## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
	C	<b>APPENDIX B – Transportation Filing Response Messages</b> Response Code 655 BOOKING NOT SENT PRIOR TO MANIF Changed from Warning to Fatal. The booking record must be sent prior to the Bill of lading.
	C	<b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b> Change to allow all Modes of Transport, including fixed pipeline shipments, under License Codes C30 and C31.
	C	<b>Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting (Input EV1 Record)</b> Added comments to indicate that the nine classifications marked in bold require the EV1 record. The other classifications listed will allow an EV1 record to be reported. If the classification is not one of those on this list, an EV1 record is not allowed to be reported.
Version 1.0 June 10, 2004	A	<b>Part II Section 2 – AES Commodity Data Transaction – X.12 Formats 601 Shipper’s Export Declaration (Commodity Shipment Filing)</b> <b>Introduction:</b> <b>Notes:</b> “Also note that each BA1 loop must be preceded by an ST segment and followed by an SE segment.” <b>BA1 Export Shipment Identifying Information</b> <b>Notes:</b> “Each BA1 loop must be preceded by an ST segment and followed by an SE segment.” <b>L13 Commodity Details</b> <b>L1302 Commodity Code</b> Added a reference to “Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting”
Version 1.0 June 2, 2004	A	<b>Part II Section 1 – AES Commodity Data Transaction Proprietary Formats Commodity Shipment Filing – Usage Notes</b> <b>f) Reporting Transportation Related Data Elements</b> Added table for Passenger, Hand-Carried shipments g) Shipments Between the US and Puerto Rico
	A	Added tables for Passenger, Hand-Carried shipments from Puerto Rico to the US and for Passenger, Hand-Carried shipments from the US to Puerto Rico
	C	<b>APPENDIX A – Commodity Filing Response Messages</b> Response Code 137 PORT OF EXPORT NOT ALLOWED FOR MOT Added ‘Passenger, Hand-Carried’ as an acceptable mode of transport for shipments from Puerto Rico to the US.
	A	Response Code 179 COUNTRY NOT ALLOWED; OPT 4 Added to prohibit Option 4 USPPIs from reporting shipments to a proscribed country.
Version 1.0 May 26, 2004	C	<b>APPENDIX D – Export Port Codes</b> 0401 Boston, MA ADDED: AIR as an acceptable mode
Version 1.0 May 20, 2004	A	<b>Appendix U – HTS/Schedule B Classifications Requiring Used Vehicle Reporting (Input EV1 Record)</b>

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		Added references to this new Appendix U in the AES General Information and in the AES Record Formats Section 1 (a) Commodity Shipment Filing and Response
Version 1.0 May 6, 2004	C	<b>APPENDIX D – Export Port Codes</b> 0102 Bangor, ME ADDED: AIR as an acceptable mode
Version 1.0 April 30, 2004	A A A C	<b>Part II Section 1 – AES Commodity Data Transaction Proprietary Formats</b> <b>Input SC3 Record/Equipment Number</b> Added ‘no imbedded spaces’ to the description <b>Input SC3 Record/Seal Number</b> Added ‘no imbedded spaces’ to the description  <b>Part II Section 2 – AES Commodity Data Transactions – X.12 Formats</b> Added a reference to refer to “Appendix F – License and License Exemption Type Codes and Reporting Guidelines”  <b>APPENDIX A – Commodity Filing Response Messages</b> Response Code 263 USPPI IRS NBR NOT ALLOWED This message will occur in X.12, therefore the X.12 Segment ID/Data Elements have been restated as follows: X.12 Segment ID/Data Elements: BA 109; when N103 = 24, 34 or ZZ, and N101 = EX
Version 1.0 April 20, 2004	C C C D D	<b>Part II Section 1 – AES Commodity Data Transaction Proprietary Formats</b> <b>Input N01 Record/Party Name</b> Changed the Length/Class from 30AN to 30X to accommodate any special characters used in the party name. <b>Input N02 Record/Address Line 1 and Address Line 2</b> Changed the Length/Class from 32AN to 32X to accommodate any special characters used in the address lines. <b>Input CL1 Record/Commodity Description</b> Changed the Length/Class from 45AN to 45X to accommodate any special characters used in the description.  <b>APPENDIX D – Export Port Codes</b> 3904 East Chicago, IN Vessel (Disabled May 1, 2004) 3906 O’Hara IntL Airport Air (Disabled May 1, 2004)
Version 1.0 April 7, 2004	C A	<b>Effective Date changed from April 2004 to June 2004</b>  <b>Part II Section 1 – AES Commodity Data Transaction Proprietary Formats</b> <b>Input CL2 Record/ Export License/CFR Citation/Authorization Symbol</b> Added a reference to refer to “Appendix F – License and License Exemption Type Codes and Reporting Guidelines”
Version 1.0 March 25, 2004	A A A A	<b>APPENDIX B – Transportation Filing Response Messages</b> The following messages were inadvertently missing and are being reinstated: Response Code 009 FATALERR – NOT AUTHORIZED TO TRANSMIT Response Code 684 FATALERR - UNMATCHED BOOKING IN A01 AND B02 Response Code 685 FATALERR – ESTIMATED DEPARTURE DATE REQUIRED Response Code 686 FATALERR – BOOKING CHANGE/UPDATE NOT ALLOWED Response Code 687 FATALERR – VOYAGE NUMBER MAY NOT BE REUSED FOR ONE YEAR



## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
February 6, 2004	C	Response Code 074 EXTRANEIOUS DATA CANNOT FOLLOW FOR DELETE <b>X.12 Segment ID/Data Elements: Will not occur in X.12</b>
	C	Response Code 093 EXTRANEIOUS DATA CANNOT FOLLOW FOR CANCEL <b>X.12 Segment ID/Data Elements: Will not occur in X.12</b>
	A	<b>APPENDIX D – Export Port Codes</b> 5204 West Palm Beach, FL      AIR
Version 1.0 January 7, 2004	A A A	<b>APPENDIX V – HTS Numbers that Cannot Be Reported in AES</b> 1005.90.4000 2710.11.1519 8108.20.0091
Version 1.0 December 12, 2003	D  A  A	<b>APPENDIX E – Commodity Filing Export Information Codes and Reporting Guidelines</b>  Table C: EI Codes No Longer Accepted by AES EIC ‘DD’ removed  Table B: Applicable EI Codes for Optional SED Reporting EIC ‘DD’ added  <b>APPENDIX F – License and License Exemption Type Codes and Reporting Guidelines</b>  Add ‘DD’ to the Allowed Export Info Codes under License Codes C33,C35, C36, C37, C40, C42, and OPA
Version 1.0 November 3, 2003	C  A  A C  D	<b>Proprietary Record Formats</b> <b>Commodity Shipment Filing and Response</b>  Clarified the size of the transmission: Under the Input Record Structure Map Transmission Notes: A single transmission cannot exceed 32,000 80-character images (i.e., 2,560,000 bytes).  Under the Output Record Structure Map Transmission Notes: A single returned batch shall not exceed 32,767 80-character images (i.e., 2,621,360 bytes.)  Clarified the reporting requirements when reporting party address in Puerto Rico: h) Party Reporting  When reporting a party address in Puerto Rico, report ‘PR’ as the State Code and ‘US’ as the Country Code.  USPPI party reporting table, Forwarding Agent party reporting tables, Ultimate Consignee party reporting tables, Intermediate Consignee reporting party tables.  <b>APPENDIX A – Commodity Filing Response Messages</b>

SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
	<p>D D D C  C  A A A A A</p>	<p>Response Code 255 USPPI POSTAL CODE UNKNOWN                      Response Code 296 FWRD AGT POSTAL CODE UNKNOWN                      Response Code 339 ULT CONS POSTAL CODE UNKNOWN                      Response Code 399 INT CONS POSTAL CODE UNKNOWN</p> <p>Response Code 408 FWRD AGT PARTY ID REPORTED W/O TYPE                      Reason and Resolution changed.</p> <p>Response Code 528 VALUE OF GDS MUST BE GT ZERO                      Narrative Text, Reason and Resolution changed.</p> <p>Response Code 647 LINE NBR CANNOT BE ZERO                      Response Code 648 MOT NOT ALLOWED FOR HH GDS                      Response Code 649 QUANTITY 1 CANNOT EXCEED SHPING WGT                      Response Code 650 QUANTITY 2 CANNOT EXCEED SHPING WGT                      Response Code 998 UNIDENTIFIED CONDITION: &lt;Condition Code&gt;</p>
<p>Version 1.0/ October 1, 2003</p>	<p>C   A  C  C   C C C C C C  D  C</p>	<p><b>Proprietary Record Formats</b>                      Commodity Shipment Filing and Response</p> <p>SC2 Record: Moved <b>Footnote 3</b> from the Entry Number to the Foreign Trade Zone Identifier.</p> <p><b>APPENDIX A – Commodity Filing Response Messages</b></p> <p><b>Response Code: 178 DOCS TO BE PRVD TO CBP: &lt;License Type/Number&gt; Severity: Informational</b></p> <p>Response Code: 341 ULT CONS MUST BE REPORTED WITHIN 4 DAYS                      Severity changed from FATAL to WARNING</p> <p>Response Code: 063 RQSTD SHPMNT ACTN MUST BE A, C, R, OR X                      Note: Text change only to avoid truncating message.</p> <p>Descriptions changed in the following messages to include condition even when the actual transaction is rejected because of some other fatality.</p> <p>702 LINE ACTIVITY ADD POST DEPARTURE                      703 LINE ACTIVITY DELETE POST DEPARTURE                      704 LICENSE TYPE CHANGE POST DEPARTURE                      705 LICENSE NUMBER CHANGE POST DEPARTURE                      706 LICENSABLE VALUE CHANGE POST DEPARTURE                      707 USED VEHICLE(S) CHANGE POST DEPARTURE</p> <p>Response Code: 079 DUPLICATE LINE NBR ENCOUNTERED</p> <p>Response Code: 150 INBOND CODE UNKNOWN                      Note: Text change only</p>

## SUMMARY OF CHANGES

Version/Date	Type of Change	Location and Description
		<b><u>APPENDIX C – ISO Country Codes</u></b>
	<b>D</b>	
	<b>A</b>	Yugoslavia (YU) Serbia and Montenegro (CS)
		<b><u>APPENDIX D – Export Port Codes</u></b>
	<b>A</b>	
	<b>A</b>	1002 Albany, NY AIR
	<b>A</b>	4671 Federal Express, Newark, NJ AIR
	<b>A</b>	4770 Federal Express, Jamaica, NY AIR
		5107 St. Croix, St. Thomas, VI VESSEL and AIR
	<b>D</b>	
	<b>D</b>	1068 Newark FEDEX ECCF, Newark, NJ
		1079 Federal Express, Jamaica, NY
	<b>C</b>	
		2809 San Francisco, CA VESSEL only
	<b>C</b>	Modified name only:
	<b>C</b>	1195 UPS, Philadelphia, PA
	<b>C</b>	2095 Federal Express, Memphis, TN
	<b>C</b>	2770 DHL, Los Angeles, CA
	<b>C</b>	2795 UPS, Ontario, CA
	<b>C</b>	2870 DHL, San Francisco, CA
	<b>C</b>	2895 Federal Express, Oakland, CA
	<b>C</b>	2991 Federal Express, Portland, OR
	<b>C</b>	3071 UPS, Seattle, WA
	<b>C</b>	3072 DHL, Seattle, WA
	<b>C</b>	3095 UPS, Seattle, WA
	<b>C</b>	3195 Federal Express, Anchorage, AK
	<b>C</b>	3196 UPS, Anchorage, AK
	<b>C</b>	3295 UPS, Honolulu Airport, HI
	<b>C</b>	4196 UPS, Louisville, KY
	<b>C</b>	4197 DHL, Cincinnati, OH
	<b>C</b>	4198 Federal Express, Indianapolis, IN
	<b>C</b>	4670 UPS, Newark, NJ
	<b>C</b>	4772 DHL, Jamaica, NY
	<b>C</b>	5271 DHL, Miami, FL
		5295 UPS, Miami Intl Airport, FL
		<b><u>APPENDIX F – License and License Exemption Type Codes</u></b>
	<b>C</b>	Correcting a typing error only: License Code: C47 Export License Nbr/CFR Citation/Authorization Symbol: Report 'APR'

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