

AES Newsletter

Volume 1, Issue 13

July 2002

AESDirect/AESPcLink Printed SED

Effective July 1, 2002, the U.S. Customs Service will accept the paper copy of the SED printed from AESDirect or AESPcLink for shipments filed in AES requiring a State Department License or Exemption. Currently, one copy of the SED is still required to be shown to Customs when filing United States Munitions List (USML) items in AES. This one copy is for the State Department and should not be turned in to the carrier along with other commercial documentation or manifests. CONT'D PAGE 2

**AUTOMATED EXPORT SYSTEM BRANCH
BUREAU OF CENSUS
FOREIGN TRADE DIVISION
WASHINGTON, DC 20233
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INSIDE THIS ISSUE

- 1 AES Mandatory Filing,
- 2 BXA Name Change, AES Statistics
- 3 Customs' Corner
- 5 Warning Error Reminder
- 6 Regulatory Notes
- 7 AESPcLink Shipments to AESDirect
- 8 AES and AESDirect on the Road

AES

Mandatory Reporting Requirements

The effective date of the electronic filing of items on the Commerce Control List and the U. S. Munitions List has changed to January, 2003.

AES participants must modify their software prior to January 2003 to comply with the new reporting requirements. The Automated Export System Trade Interface Requirements (AESTIR) October 2000 document has been updated (March 2002) to reflect the new requirements. Included are changes to the CL2 record, a **NEW** ODT License Information record (ODT record), 3 new appendices (O-ODTC ITAR Exemption Codes; L-ODTC USML Category Codes and W-ODTC Unit of Measure Codes). New error messages were also added to Appendix A, AES Common Error Messages. The X.12 601 U.S. Customs Export Shipment Information Set, Segment X1, has been updated to reflect the new data requirements. To access the revised AESTIR, please link to:

www.customs.gov/impoexpo/auto_exp.htm

Click on AES Technical Documentation.



BXA Name Change

On April 18th, the Commerce Department announced that the Bureau of Export Administration (BXA) is being renamed "Bureau of Industry and Security" (BIS) to reflect more accurately the broad scope of the agency's responsibilities.

Commerce Under Secretary Kenneth I. Juster, who heads the Bureau, explained: "The Bureau of Industry and Security serves the public in many ways where industry and national security intersect, including not just export licensing and enforcement, but also defense trade advocacy and critical infrastructure protection."

"The new name better reflects the breadth of the Bureau's activities in the spheres of national, homeland, economic, and cyber security," Juster said. For full story go to:

<http://207.96.11.93:80/press/2002/commerce/renamesagencybis.html>



AESDirect/AESPcLink Printed SED

The AESDirect/AESPcLink copy of the SED must contain the XTN and ITN number before submitting the form to U.S. Customs. AESDirect will apply these numbers automatically to the form. AESPcLink, at this time does not.

The copy of the SED printed from AESDirect or AESPcLink must conform strictly to the respective official form in size (8 ½ by 11), color (buff or golden rod), quality (weight of paper stock not less than 16 nor more than 20 pounds commercial substance), as stated in 15CFR30.3(b). **All paper SEDs not conforming to 15CFR30.3(b) will be rejected and cargo detained for appropriate documentation.** ◆

Good News
82.3%
of eligible export
shipments are filed
in AES

AES Statistics

AES –May, 2002*

Filers –	6,483
LOIs –	10,523
Shipments –	806,850
Option 4 Applicants –	2,497
Option 4 Approvals –	2,427

*Includes AESDirect

AESDirect – May, 2002

Registrants –	10,019
Operational –	6,189
Shipments –	223,327

Customs' Corner

AES Exemption Statement "Cheat Sheet"

The examples below are based on Foreign Trade Statistics Regulations (FTSR) Letter No. 168 Amendment 1. Incorrectly formatted AES exemption statements on export documents are a violation of Title 15 Code of Federal Regulations 30.65, and may subject an export shipment to verification, detention, and in some cases, seizure by U.S. Customs. Please refer to FTSR No.168 Amendment 1, 15CFR30, and the Bureau of Census website www.census.gov/foreign-trade/regulations/index.html for additional information.

- **Internal Transaction Number (ITN)** – AES returns a confirmation number when data sent by the filer is accepted by AES. The ITN has a fixed 15 position alpha-numeric format. The ITN always begins with an "X," followed by an 8-position date (century, year, month, day) and a 6-position sequential number assigned by AES. Exemption Statement example using ITN:

NDR AES X20020612000001

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- **External Transaction Number (XTN) for Options 2 and 3** – XTN's for these two Options will have **9** digits on the left side of the dash, corresponding to the filer ID. The 9 digits will NOT include any letters or symbols. The right side may include up to **17** numbers, letters, and symbols (please limit the use of symbols). Exemption Statement example using the XTN:

NDR AES 123456789 – AB123145226

XTN's for Option 4 Shipments – Option 4 exemption statements differ in that they must use an 11-position exporter ID. There are two basic formats.

AES 4 (Exporter ID) USPPI files AES directly

AES 4 (Exporter ID) – (Filer ID) Authorized agent files for the USPPI

The 11-position USPPI ID will consist of 9 digits followed by a 2-position alpha-numeric suffix. This suffix is underlined in the examples below. Option 4 Exemption Statement Examples:

NDR AES4 123456789AB

NDR AES4 1234567891B–123456789

Use of Option 4 must be noted specifically on the cargo documents. (See FTSR Letter No. 168 Amendment 1 for accepted text.)

The USPPI ID number provided must exactly match the EIN number of the USPPI approved for Option 4, even down to divisions within the same company.

Absolutely no spaces are accepted as part of the Shipment Reference Number.

AES Exemption Statement Enforcement Findings

Effective May 1, 2002, the U. S. Customs Service initiated an AES Exemption Statement enforcement operation aimed at determining the validity of the XTN or ITN with export shipments. This operation is nationwide and for all modes of transportation.

Findings identified in this operation can be categorized in three main areas of concern; general, USML, and Option 4 issues and are described in greater detail below. Currently, Customs is detaining shipments awaiting correct information, providing outreach and penalizing as appropriate.

General Issues:

- Bad XTN's representing formatting problems; missing Shipment Reference Numbers were found.
- Good XTN's but shipment was not transmitted to AES at the time of export; shipment was filed late.
- XTN's for which shipments do not correspond to the commodity being exported.
- Duplicate XTN's; XTN's must be unique for 5 years.
- AESPcLink problems with users not transmitting files to AESDirect;
See page 7 for proper AESPcLink sending procedure.

USML Issues:

- Failure to provide the proper exemption statement/failure to present an SED for the State Department.
- Numerous shipments where the filer used an incorrect USML license number and decrementation could not be made.

Option 4 Issues:

- Companies claiming AES Option 4 without official government approval.
- Companies claiming AES Option 4 without listing the Exporter Identification Number-- who the "Option 4" filing privilege was granted to (statement only lists "Option 4").
- An exemption statement not listing "Option 4", but it was an Option 4 shipment.
- Company claiming AES Option 4, which belongs to another Option 4 filer. ♦

**AESPcLink Honored
With
Census Bureau Director's Award for Innovation**

Suitland, MD, May 8, 2002 - Today, team members of the Census Bureau's Foreign Trade Division received the prestigious Director's Award for Innovation for the development and implementation of AESPcLink. This award recognizes highly regarded achievements that involve innovative solutions to business problems critical to the success of the U.S. Census Bureau.

The 18-member team showed that by enhancing the existing service AESDirect and creating AESPcLink they are increasing the service and productivity of the Census Bureau. This distinguished award shows that the group understands customer needs and is willing to take risks by implementing innovative, technological, and organizational changes. These changes have shown to be cost-effective for both the Census Bureau and the trade community. ♦

Warning Error Reminder

Beginning July 1, 2002, it will be increasingly important for filers to correct warning errors. AES filers with outstanding warnings more than 4 days old will receive a "warning reminder" to correct shipments in error.

Once the program is run, all conditions not corrected will result in the AES filer receiving another reminder based upon the day of the week the shipment was originally filed. For example, if the original filing occurred on a Tuesday, the AES filer will receive another reminder when the program runs on the next Tuesday.

During the first week of this program, AES filers can expect to receive two reminders – the first for all outstanding warning errors not corrected and a second based upon the day of the original filing. This will establish a cycle for the first time. After the first week, the AES filer will only be reminded every 7th day based upon the day of the original filing. The reminder program will generate reminder messages until they are corrected. **Do Not delay!** Correct warnings within 4 days of receiving the error message. ♦

REGULATORY NOTES

Attention! Members of the exporting community –

- Do you need special help in affecting your export shipments?
- Specifically, do you sometimes need help to determine when federal regulations governing the reporting of export data apply to your export operations?
- Are you concerned that more than one interpretation of a specific regulation could result in the detention by the U.S. Customs Service of your export shipment(s)?

The Foreign Trade Division (FTD), U.S. Census Bureau is responsible for developing and interpreting the Foreign Trade Statistics Regulations (FTSR) that govern the reporting of statistical data for goods exported from the United States. Historically and presently, the FTD serves as an ombudsman on behalf of members of the exporting community in matters involving the detention of shipments by Customs and other matters when an interpretation or application of the FTSR is in question.

The Regulations, Outreach, and Education Branch (ROEB) of the FTD is specifically charged with developing and maintaining the FTSR. A major function of members of the ROEB is to help you resolve exporting issues involving the regulations. You may contact any of the following branch members concerning regulatory issues by calling 301-457-2238. You may also contact branch members by e-mail.

Jerome Greenwell	jerome.m.greenwell@census.gov
Claudette Harris	claudette.a.harris@census.gov
Brenda Jeffries	brenda.r.jeffries@census.gov
Brigitte Kovacs	brigitte.kovacs@census.gov
Crystal Kynard-Mackall	crystal.j.mackall@census.gov
Ruth Mangaroo	ruth.d.mangaroo@census.gov
Todd Marr	todd.a.marr@census.gov
Christina Torres	christina.torres@census.gov
Steve Young	steve.e.young@census.gov

Contact any member of the ROEB if you think an incorrect interpretation or application of the export regulations has been made for your shipments. This especially includes instances when Customs has detained your shipment due to noncompliance with the FTSR and you suspect that the Customs official may have interpreted a regulation contrary to its original intent. When contacting us, it is important that you provide us with all information about the shipment(s) and the violation(s) including what happened, when it happened, where it happened, why it happened, who is involved (provide names and telephone/pager numbers). The more information you provide, the faster we will be able to respond to your request. *Please note:* Do not contact the ROEB about situations where you are obviously in violation of the FTSR. We are unable to intercede on your behalf if you are truly in violation of the regulations.

COMMON REPORTING PROBLEM

Reporting Exports to Foreign Countries Moving In-transit through Canada

Some of these shipments are not reported while others are reported with incorrect method of transportation, port of export and exporting carrier. Only shipments ultimately destined for Canada are exempt from export filing requirements (unless an export license is required). The correct carrier to be reported in AES is the carrier that enters Canada from the United States and the method of transportation is that of the carrier entering Canada. The port of export for surface carriers is the U.S. Customs port where or nearest where the carrier or person crosses the border. ♦

Submitting AESPCLink Shipments to AESDirect

All shipments completed for export using AESPcLink **MUST** be submitted to AESDirect for transmission to AES.

To submit to AESDirect from AESPcLink:

1. Complete shipment and click "Save Shipment" (at bottom of screen).
2. Under "AESDirect Functions" Click "Send to AESDirect" (upper left, white panel).
3. Click "Send Selected SEDs" or "Send all SEDs" (bottom of screen).
4. Receive message "Sending Shipments to AESDirect" which will display the number of shipments sent.
5. Receive email confirmation displaying XTN and ITN for each shipment.

AES and AESDirect on the Road

NOTICE

Effective January 2002, AESDirect Certification Workshops will no longer be FREE. Due to costs incurred for the rental of computer labs and the increased no shows for the workshops, we will charge a nominal fee per person registering in advance and any other attendees.

July 25	Lisle, IL AESDirect/AESPcLink Workshop	800-549-0595
July 25	Seattle, WA Export Regulations Seminar	301-457-2238
September	St. Louis, MO Export Regulations Seminar	301-457-2238
October	Atlanta, GA Export Regulations Seminar	301-457-2238
October	San Francisco, CA Export Regulations Seminar	301-457-2238
October 24-27	Las Vegas, NV WESCCON Exhibit	202-662-6771
November	Baltimore, MD Export Regulations Seminar	301-457-2238

If you are interested in having one of these workshops in your area or if you or any organization you know of would like to sponsor a meeting or desire our participation in a meeting, please contact:

Nan Clark
(301) 457-3787 or E-mail: nannie.m.clark@census.gov

More AES Telephone Numbers

The AES Branch has more telephone numbers. Please note the change in numbers for some of the client representatives, however, these numbers do not have voice mail. We retained all of the previous numbers so you can reach a member of the Branch and leave voice mail messages. ♦

GERRY HORNER, CHIEF, AES BRANCH (301) 457-6856
NAN CLARK, MARKETING ASSISTANT (301) 457-3787
WENDY PEEBLES, SUPERVISORY
CLIENT REPRESENTATIVE (301) 457-3540
KRISTAL BYRD, AES BRANCH
WEB COORDINATOR (301) 763-0328*

AES CLIENT REPRESENTATIVES:

KEITH JONES (301) 763-0320*
JACQUELYN MANN (301) 763-0326*
JOEY MORALES (301) 457-8012
PAUL NEWMAN (301) 457-3541
JOSE RODRIGUEZ (301) 763-0325*
LILY WONG (301) 763-0327*
OMARI WOODEN (301) 457-3829

*NO VOICE MAIL

REGULATIONS BRANCH (SED QUESTIONS): (301) 457-2238

COMMODITY ANALYSIS BRANCH (SCHEDULE B CLASSIFICATION QUESTIONS):

DURABLE GOODS: (301) 457-3259

NON-DURABLE GOODS: (301) 457-3484

BUREAU OF INDUSTRY AND SECURITY (LICENSING QUESTIONS)

WASHINGTON, DC (202) 482-4811

WESTERN REGIONAL OFFICE (714) 660-0144

We need your e-mail address

Please send your e-mail address to:

ASKAES@census.gov

Include in the message the name of the company and the name of the contact person. This helps us get information to you more timely. ♦

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KEITH.M.JONES@CENSUS.GOV

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JOEY.MORALES@CENSUS.GOV

PAUL.F.NEWMAN@CENSUS.GOV

JOSE.RODRIGUEZ@CENSUS.GOV

LILY.C.WONG@CENSUS.GOV

OMARI.S.WOODEN@CENSUS.GOV

WEB SITES

BUREAU OF CENSUS, FOREIGN TRADE DIVISION:

WWW.CENSUS.GOV/FOREIGN-TRADE

U. S. CUSTOMS SERVICE:

WWW.CUSTOMS.TREAS.GOV/AES

BUREAU OF INDUSTRY AND SECURITY:

WWW.BIS.DOC.GOV

U.S. CUSTOMS CLIENT REPRESENTATIVE LISTING

CLIENT REPRESENTATIVE		TELEPHONE #	FAX #
ALBERT, ELLEN	MIAMI	305-869-2781	305-869-2783
BURDORF, DEBBY	CLEVELAND	440-891-3814	440-891-3839
BUSIC, ALAN	CHICAGO	312-983-1340, or 1376	312-886-5106
CALAFELL, ELOISA	MIAMI	305-869-2780	305-869-2783
CLARK, KAREN	BOSTON	617-565-6342	617-565-8190
COONEY, MIKE	SEATTLE	206-553-5227	206-553-2517
DIX, ROBERT	BALTIMORE	410-962-5662	410-962-5652
DUPRE, CYNTHIA	NEW ORLEANS	504-670-2418	504-670-2435
EBY, TRISH	SEATTLE	206-553-1622	206-553-2517
FANELL, MIKE	BUFFALO	716-551-3520 X142	716-551-3066
FIKE, KAY	SAN FRANCISCO	415-782-9445	415-705-1652
FISCHER, RICK,	HOUSTON	713-387-7249	713-313-2933
FLOYD, CORA	HEADQUARTERS	202-927-0247	202-927-1344
FULKERSON, MICK	CHARLOTTE	704-329-6206	704-329-6192
HEATH, JOE	PHILADELPHIA	215-597-9920	215-597-9929
HENDERSON, KAREN	HOUSTON	713-387-7247	713-313-2933
HENRY, CONRAD	HEADQUARTERS	202-927-0332	202-927-1344
HUCK, KEVIN	NEWINGTON	703-921-7527	703-921-7561
JEGELS, JACKIE	WALDORF-TCS	301-893-6717	301-705-9834
KERSTEIN, ROBERT	LOS ANGELES	562-366-5593	562-628-7919
KORMOS, KATHY	NEWINGTON	703-921-7495	703-921-7561
KWIATHOWSKI, LORI	BUFFALO	716-551-3520 X141	716-551-3066
LALLY, BECKY	LAUREL-TCS	301-470-0567	301-362-7345
LARK, MARGARET	CHARLOTTE	704-329-6206	704-329-6192
MASKELL, SUSAN	NEWINGTON	703-921-7491	703-921-7561
MAZZARELLA, MICHAEL	JFK	718-553-2065	718-553-1760
McELHINNEY, TARA	LAX	310-215-1392	310-215-1302
MITCHELL, MIKE	JFK	718-553-2065	718-553-1760
MITCHELL, ROBERT	SAN FRANCISCO	415-782-9445	415-705-1652
MOHR, MIKE	NEWINGTON	703-921-7072	703-921-7561
NAPOLITANO, WILLIAM	BALTIMORE	410-962-5660	410-962-5652
NAVARRETE, MARIA	LOS ANGELES	562-366-5593	562-628-7919
NICKLES, PATRICIA	LAX	310-215-1392	310-215-1302
O'BRIEN, JOHN	NEWARK	201-443-0570	201-443-0575
OGLIORE, JOHN	SEATTLE	206-553-5228	206-553-2517
PENCE, JANET	NEWINGTON	703-921-7550	703-921-7561
RODIER, WALLY	JFK	718-553-2065	718-553-1760
RUBENSTEIN, PHYLLIS	CHICAGO	312-983-1342, or 1376	312-886-5106
SPARTA, STEPHEN	NEWARK	201-443-0570	201-443-0575
SPRAGUE, KATHY	NEWARK	201-443-0570	201-443-0575
STAHL, JAMES	PHILADELPHIA	215-597-9906	215-597-9929
TYSON, HOLLY	BALTIMORE	410-962-5662	410-962-5652
VAUGHN, WALTER	NEW ORLEANS	985-641-6341	985-641-6341
VILLWOCK, BLAINE	NEWINGTON	703-921-7496	703-921-7561
WASILUS, KENNETH	NEWARK	201-443-0570	201-443-0575
WELTER, PATRICIA	MIAMI	305-869-2782	305-869-2783
WILSON, DALE	HOUSTON	713-387-7248	713-313-2933
WOLFORD, JAMES	CHARLOTTE	704-329-6206	704-329-6192
WORKMAN, ALLA	CLEVELAND	440-891-3814	440-891-3839

