

## ***Welcome to AESDirect and AESPcLink***

***AESDirect is a service provided by the U.S. Census Bureau to facilitate the electronic filing of SED (Shipper's Export Declaration) information. It is the fastest, easiest, least expensive, and most helpful way for U.S. Principal Parties in Interest (USPPIs) and their agents to comply with the regulations governing this filing.***

- *AESDirect* is free – The Census Bureau maintains this web site to facilitate the timely filing of SED information both to assist the trade community and to ensure accurate trade statistics – at no cost to you.
- *AESDirect* requires no investment in specialized hardware, software or peripherals – you can use your current Internet connection to participate.
- *AESDirect* is secure – it has been certified to U.S. Government standards for data security and encryption – and, by law, the data you submit is totally confidential and will not be released for any reason without your permission.
- *AESDirect* meets the record keeping requirements of the Bureau of the Census – your data is accessible online for the statutory five-year period.

***AESPcLink is the desktop connection to AESDirect. It allows you to work offline to create your SEDs and then submit them electronically. The Census Bureau recommends AESPcLink as the preferred way to create and submit your SED information. Using AESPcLink, you can:***

- Complete SEDs at your own pace, without tying up your phone line or incurring the additional expense of extensive telephone connections.
- Save USPPI, Consignee, and Freight Forwarder profiles as well as SED templates to eliminate re-keying information for shipments to your regular customers.
- Exchange profiles with other systems or other *AESPcLink* installations.
- File your SEDs in batches, not one at a time.
- Retrieve, amend, and delete shipments from *AESDirect*.
- Automatically retrieve AES responses for your SED filings.

This User Guide will introduce you to the key features of *AESDirect* and *AESPcLink*; show you the screens you will see when you use them; give you an explanation of how they work; and provide a brief summary of the regulations governing the filing of SEDs including definitions of the data elements required.

## ***About the AESDirect and AESPcLink User Guide***

The *AESDirect* and *AESPcLink* User Guide is based on input from hundreds of filers, both large and small, including USPPs and transportation intermediaries. We've used their experience to tell you everything you need to know to get started and get the most out of using the system once you begin to file. The User Guide:

- Explains the features of *AESDirect* and *AESPcLink* and gives you step-by-step directions for using them.
- Provides detailed explanations of all the information required to file error free SEDs.
- Highlights areas that might cause a problem and explains how to avoid them.
- Points out helpful tips and techniques for getting the most out of the system.

The User Guide has been designed to make it easy for you to find the information you need:

- The Table of Contents includes a complete listing of all topics covered in the guide.
- Questions are used as topic headings in each section to make it easy to find solutions to specific problems or issues.
- Bold italic is used to point out things that might cause a problem as well as tips and techniques others have found useful.
- The opening page of each section summarizes the topics covered there.
- Cross-references to specific pages are used as an aid to finding your way around the guide.
- The Index provides a complete listing with page references of all topics covered in the guide.

# **Table of Contents**

## **AESDirect and AESPcLink User Guide**

### **Web Version 2.4**

**November 19, 2003**

#### **Introduction, 5**

*What is the relationship between AES, AESDirect, and AESPcLink? Page 6*

*When must I file an SED for a shipment? Page 7*

*What shipments must be filed through AES or AESDirect? Page 8*

*What filing options do I have when using AESDirect? Page 9*

*How do I prepare my shipping documents when using AESDirect? Page 10*

*What are U.S. Customs and Border Protection AES responses and what do they mean? Page 12*

#### **Getting Started with AESDirect, 14**

*How do I complete the AESDirect online registration and certification process? Page 15*

*What security procedures are in place for using AESDirect? Page 17*

*What are the duties and responsibilities of the AESDirect Account Administrator? Page 18*

*How do I create an SED for a shipment using AESDirect? Page 19*

## **Completing the SED Data Fields in AESDirect, 20**

*How do I complete the Shipment Information section? Page 21*

*How do I complete USPPI section? Page 25*

*How do I complete Ultimate/Intermediate Consignee section(s)? Page 27*

*How do I complete the Commodity Line Item section? Page 29*

*How do I complete the Freight Forwarder section? Page 34*

*How do I complete the Equipment Details section? Page 36*

## **Getting Started with AESPcLink, 37**

*Why should I use AESPcLink? Page 38*

*How do I complete AESPcLink registration and log in process? Page 39*

*What tools does AESPcLink give me to manage my accounts? Page 41*

*How do I use AESPcLink to create my shipment information? Page 42*

*What data entry and item selection conventions are used in AESPcLink?  
Page 61*

## **Appendix, 63**

*USPPI Overview, Page 64*

*Routed Export Transactions, Page 67*

*SED Units of Measure, Page 69*

*SED Export Codes, Page 69*

*SED License Types, Page 69*

*Mexican State Codes, Page 69*

*Government Links, Page 70*

*Contact Information, Page 71*

*Index, Page 72*

## **Introduction**

***AES, AESDirect, and AESPcLink, page 6***

***SED Filing Requirements, page 7***

***Mandatory Filing, 8***

***Filing Options, page 9***

***Shipping Documents, page 10***

***Customs Response Messages, page 12***

## ***What is the relationship between AES, AESDirect, and AESPcLink?***

**AES** is the U.S. Bureau of Customs and Border Protection's Automated Export System that collects and retains electronic Shipper's Export Declaration (SED) records.

**AESDirect** is the U. S. Census Bureau's free, Internet-based system for filing SED information. *AESDirect* edits the SED information you enter for accuracy and completeness before it is accepted and forwarded to the AES mainframe.

**AESPcLink** is the desktop component of *AESDirect*. It was designed to let you work offline to create SEDs and then submit them electronically to *AESDirect*.

Here's how the three work together:

1. If you are using *AESPcLink*, you complete one or more SEDs on your desktop computer.
2. Before your shipment is saved, *AESPcLink* verifies that all data elements are correct and then puts the SED in a queue to be sent to *AESDirect*.
3. When connected to the Internet, you submit one or more of the SEDs saved in your queue to *AESDirect*. Alternately, you can log in to *AESDirect* and complete an SED online.
4. *AESDirect* checks every SED submitted (whether by *AESPcLink* or directly from the web site) for accuracy and completeness.
5. *AESDirect* submits your SEDs to the AES mainframe. You receive an email confirming that your shipments have been processed and accepted by AES.
6. The AES computer verifies the data and sends a confirming response including the ITN\* to *AESDirect*. If you are filing a State Department licensed shipment, you must wait for the ITN as your license is decremented before the ITN is issued.
7. *AESDirect* emails the detailed AES response to the email addresses included in the SED along with the XTN\*. The message also appears in the Shipment Reporting Center under "USCS Status." See page 12 for more information on AES responses.
8. You, as the filer, must include an appropriate proof of filing citation\* or exemption statement\* on your shipping documentation. This is used by the Customs Inspector at the port of export to access the information you filed.

***\*For details on the ITN, XTN, proof of filing citation and exemption statement, see "How do I prepare my shipping documents when using AESDirect?" on page 10.***

## ***When must I file an SED for a shipment?***

For purposes of filing your SED information through AESDirect, an export shipment is defined as “all merchandise shipped from one U.S. Principal Party in Interest (USPPI) to one ultimate consignee, on one exporting carrier, to the same country, on the same day.”

A separate SED filing is required for:

- All export shipments valued over \$2,500 per individual Schedule B number from the United States to foreign countries or areas excluding Canada, except as noted below.
- All licensed shipments regardless of value, including those to Canada.
- All exports over \$2,500 from the United States through Canada destined to a country other than Canada, i.e., transshipments.
- All export shipments over \$2,500 to and from Puerto Rico and to the U.S. Virgin Islands.

Shipments involving multiple invoices, packages, or containers should be reported on the **same** SED.

For consolidated/containerized exports, current regulations require a **separate** SED filing for each Schedule B number over \$2,500. Note that if a shipment is split between containers, the SED is based on the total shipment to a consignee, not the individual container.

An SED is **not** required for in-bond (in-transit) shipments, and they cannot be closed out by AES. File using form 7513, downloadable from the U.S. Army Corps of Engineers web site at [www.iwr.usace.army.mil/ndc/usforeign/index.htm](http://www.iwr.usace.army.mil/ndc/usforeign/index.htm). Note that regulations require this form be filed on pink paper.

***Important: The above information is intended as a brief summary of when an SED/AES record is required for an export shipment. It is in no way intended as a substitute for the Foreign Trade Statistics Regulations, the Export Administration Regulations, or the regulations of any other agency. For full information on this filing, please contact the appropriate Federal agency.***

## ***What shipments must be filed through AES or AESDirect?***

Effective October 18, 2003, all items identified on the State Department's U.S. Munitions List (USML) and the Commerce Department's Commerce Control List (CCL) that previously required an SED must be filled electronically via AES or *AESDirect*.

USML items are identified by license codes beginning with the letter "S". These codes are:

- SAG – Agreements
- SCA – Canadian ITAR Exemption
- S00 – License Exemption Citation
- S05 – DSP-5: Permanent export of unclassified defense articles and services.
- S73 – DSP-73: Temporary export of unclassified articles.
- S85 – DSP-85: Temporary or permanent import or export of classified articles.
- S94 – DSP-94: Foreign Military Sales

These license codes require filing specific data elements as described in the "How do I complete the Commodity Line Item section(s)" on pages 32-33.

For all the codes, the Registration Number, Significant Military Equipment Indicator, Category Code, Unit of Measure and Quantity are required. For the SAG, SCA, and S00 Exemption Number also is required. For the SCA and S00 an Eligible Party Certification Indicator also is required. Depending on the license type selected, these will be enabled as follows:

- In *AESDirect*, once the License Code is selected, the screen will be refreshed and only the required data fields for that license type will be shown.
- In *AESPcLink*, once the License Code is selected, only the data fields required for that license type will be enabled.

The State Department will provide regulations on the time of filing and the structure of exemption statements. These can be found on the web site of the Directorate of Defense Trade Controls at <http://pmdtc.org>.

The reporting of CCL items requires no additional filing requirements. Note, however, that the Export Control Classification Number (ECCN) must be reported in the correct format for license codes C30, C31m C35, C36, and C37. The correct format is NANNN where N is numeric and A is alphanumeric. As well, the license number is required for license types C30 and C 31.

Any party filing items on the USML or CCL on behalf of a USPPPI must have a Power of Attorney or written authorization to do so.



## ***What filing options do I have when using AESDirect?***

You have two options when submitting your SED information through *AESDirect*:

### **Option 2: Pre-departure Filing**

When you register for *AESDirect* and become certified, you are automatically authorized to use the system to file your SED information pre-departure under Option 2. This filing option requires you to complete an accepted SED filing before you ship your cargo.

### **Option 4: Post-departure Filing**

The AES system also includes an Option 4 privilege that allows a USPPI to send complete data up to 10 days after exportation. At the time this User Guide was published, the Census Bureau's Foreign Trade Division was no longer accepting applications for Option 4. Check their web site for updates from the links provided on *AESDirect* or *AESPcLink*.

## ***How do I prepare my shipping documents when using AESDirect?***

Because no paper SED accompanies your shipment, ***you must include a proof of filing citation or exemption statement*** on your shipping documentation (e.g., bill of lading, air waybill, or other commercial documents) so Customs can access and review the information you submitted.

***Note that if the Customs Inspector cannot find an accepted transmission, the shipment may be delayed or the filer may be fined.***

In order to understand how to create the proof of filing citation or exemption statement, you need to first understand the two different types of numbers that can be used – the **ITN** and the **XTN**.

- **THE ITN – INTERNAL TRANSACTION NUMBER**

The ITN is generated by the U.S. Customs AES system. It is the filer's "receipt" that the information submitted has been accepted by AES and resides in the system. The ITN is a 15-digit code with three parts:

1. The letter "X"
2. The year, month, and day of export (taken from the SED data filed)
3. A six digit sequential number generated by the system and linked to your shipment information.

An example of an ITN for a shipment on November 5, 2003 would be:

**X20031105000099**

Note that ***the ITN changes every time*** you amend or change data in an SED that has already been accepted. The new ITN is your "receipt" that the new data has replaced that in your former submission. As a result, one shipment may have several ITNs issued by AES.

Note also that when AES becomes mandatory for all shipments in 2004, all the ITNs issued for a shipment will be maintained in AES.

- **THE XTN – EXTERNAL TRANSACTION NUMBER**

The XTN is a unique number that is assigned by you for each SED filed. It has two parts:

1. The ID Number (***EIN or SSN***) of the filer i.e., the USPPPI or the freight forwarder filing on behalf of a USPPPI.
2. The ***Shipment Reference Number*** created by the filer for that shipment.

The Shipment Reference Number can be any alphanumeric combination up to 17 digits. We advise against using special characters and spaces in the XTN because they make it difficult for Customs Inspectors to read and verify in AES.

***Important: The Shipment Reference Number can be any combination the filer chooses up to 17 alphanumeric characters, but it must be unique for five years.***

Note that for a particular SED ***the XTN never changes***. Even if you must amend or change data for the SED once it has been accepted, the XTN remains the same.

AESDirect filers must provide the proper AES proof of filing citation or exemption statement on the bill of lading, air waybill, or other commercial documentation in accordance with Foreign Trade Statistics Regulations Letter Number 168 (Amendment 2). You can access this regulation from the Census link on AESDirect or AESPcLink.

## ***What are U.S. Customs and Border Protection AES responses and what do they mean?***

Once *AESDirect* has submitted your shipment information and it has been accepted, the Customs AES computer sends a confirming response to *AESDirect*.

*AESDirect* then emails this detailed Customs response to the email addresses included in the SED you filed. The email message includes the following information:

- One or more 3-digit code and the associated message narrative
- The USPPI for the shipment
- The XTN number for the shipment for use in the AES Exemption Statement
- The ITN number for the transaction issued by AES

This information is also displayed for all shipments in the Shipment Reporting Center. To view the 3-digit “USCS Response,” click on the status shown, e.g. “Accepted”.

### **What the AES Responses Mean**

Because *AESDirect* has accepted your shipment, you will always get a shipment acceptance response. Note, however, that you may receive one or more of the following “warning” or “verify” messages that have proved confusing to some users. The meaning of these messages and actions required on your part are explained below.

### **Late Shipment Message**

335 INFO ERR - SHIPMENT REPORTED LATE

This message indicates that a shipment was accepted by AES after the departure date listed on the shipment.

***Important: If you receive this error, you should check the shipment to ensure that the departure date is correct. If the departure date is correct you need do nothing. If the departure date is incorrect, amend the information, and resubmit the shipment to AESDirect.***

Users of [aesdirect.gov](http://aesdirect.gov) are required to file corrections, cancellations, or amendments to previously filed shipper’s export information as soon as the need for such is determined. When a correction, amendment, or cancellation is

reported after the required filing time, the user will receive the information message above, indicating that the shipment was reported late. However, such messages will not be counted in determining the 95 percent error free rate that must be maintained as part of the Terms and Conditions of filing through AESDirect.

## Commodity Data Verify Messages

### (996) SHIPMENT ACCEPTED – MUST VERIFY DATA

This message indicates that the commodity data submitted appears inconsistent. The second part of the error message specifies the data item that is likely to be invalid, e.g.:

8L1 VERIFY - VAL/QUANT 1 OUT OF RANGE LOW  
8L2 VERIFY - VAL/QUANT 2 OUT OF RANGE LOW  
8H1 VERIFY - VAL/QUANT 1 OUT OF RANGE HIGH  
8H2 VERIFY - VAL/QUANT 2 OUT OF RANGE HIGH  
8QR VERIFY - QUANT RELATION OUT OF RANGE  
8VW VERIFY - VALUE/SHIP WEIGHT OUT OF RANGE  
8W1 VERIFY - SHIP WGHT/QUANT 1 OUT OF RANGE  
8W2 VERIFY - SHIP WGHT/QUANT 2 OUT OF RANGE

AES maintains tables of typical relationships between the quantities that are reported in AES, i.e., 1<sup>st</sup> Quantity, 2<sup>nd</sup> Quantity, Gross Weight, and Value. These relationships reflect the Census Bureau's export parameters or statistical averages.

When the relationships among these quantities fall outside the ranges Census usually finds for a particular commodity, one or more of the above messages will be generated to alert you to the fact that this data *may* have been entered incorrectly.

***Important: When you receive one of these messages you should check that all of the information for the commodity in question has been reported correctly. If the information reported is correct you need do nothing. If you find that the commodity data has been reported incorrectly, you should amend the information and resubmit the shipment to AESDirect.***

## **Getting Started with AESDirect**

*Registration and Certification, page 15*

*Security Procedures, page 17*

*Account Administrator, page 18*

*Using AESDirect, page 19*

## ***How do I complete the AESDirect online registration and certification process?***

### **Step 1: Read the Terms and Conditions for Using AESDirect**

You can review these on the web site by clicking on the link at the *AESDirect* Home Page.

### **Step 2: Complete the Online AESDirect Registration Form**

You can access the form by clicking on the link at the *AESDirect* Home Page.

### **Step 3: Complete the Security Log In Process**

This is explained in detail on page 17.

### **Step 4: Pass A Certification Quiz**

In order to become a fully authorized user of *AESDirect* (and begin to file shipment information to AES) someone with access to the company's account must pass either the *AESDirect* or *AESPcLink* certification quiz.

Preparation for the *AESDirect* Quiz should include taking the *AESDirect* Tutorial and reviewing the information in this User Guide.

The *AESPcLink* Quiz is recommended for individuals who have attended an *AESPcLink* workshop or participated in an online training session. You may also prepare for this quiz by reviewing the *AESPcLink* section of this User Guide.

To take a quiz, click on Certification Quizzes under Log In on the Home Page and then select one of the two quizzes. When prompted, enter the company's user name and password.

A quiz may be taken at any time, and as many times as needed to pass. Each quiz consists of a series of multiple choice and true/false questions. At least 27 (of 30) questions must be answered correctly to pass the quiz.

If you feel your staff would benefit from more hands-on training before taking a quiz and/or submitting real shipment information, we recommend the Online Training and Workshops. Both have proved very effective in familiarizing new filers with *AESDirect* and *AESPcLink*.

### **Step 5: Receive Authorization to File through AESDirect**

Note that once you have passed a quiz, your user name and password will be activated. You will be notified by email within three days of passing a quiz that you can begin to file your shipment information through *AESDirect*.

### **Step 6: Log In to AESDirect and/or Activate AESPcLink**

When your account has been activated, your user name and password will permit you to log in to *AESDirect* to begin filing your SED information or activate *AESPcLink* for creating your SEDs offline.

- To file from the web page, click on *AESDirect* under Log In on the Home Page, enter your user name and password when prompted, and you will be taken to the *AESDirect* Main Menu.
- To active *AESPcLink*, you can either download the software from the Home Page or request a CD-ROM. In either case, once the software has been installed, you will have a Launch AESPcLink icon on your desktop. When you click on the icon for the first time, you will be prompted to enter your user name and password. Then follow the instructions to finish activating the software as explained on page 39 of the “Getting Started with *AESPcLink*” section.



## ***What security procedures are in place for using AESDirect?***

When your company's *AESDirect* account has been set up, the Account Administrator designated on the registration will receive three emails within 24 to 48 hours. These are sent separately for security reasons. The first contains the company's user name; the second, the temporary administrator code; and the third, the temporary password. These provide the three data elements needed to log in to *AESDirect* for the first time.

The security process requires that when the Account Administrator logs in to *AESDirect* for the first time, he or she must change the temporary administrator code sent in the second email to a permanent one and replace the temporary password sent in the third email with a new one.

Once this process is completed, the Account Administrator has the three data elements required to keep the company's *AESDirect* account secure.

### ***Security Element #1: User Name***

This is the user name needed to log in to *AESDirect* to file SEDs to AES. The user name for the company account never changes and is always in lower case letters. Everyone in a company using the account to file shipment information through *AESDirect* uses the same user name.

### ***Security Element #2: Password***

This is the second data element needed to log in to *AESDirect*. Everyone in a company using the account to file shipment information through *AESDirect* uses the same password. Note, however, that the password can be changed at any time and must be changed every 180 days for security reasons. Only the company's Account Administrator can change the password, and he or she is responsible for advising all company filers when the password has been changed.

### ***Security Element #3: Administrator Code***

This is the code that allows the Account Administrator to change the company's password. Only the Administrator has this code and only he or she can change it. The code is never used to log in to the system. Its only purpose is to act as a security measure for the company's account.

## ***What are the duties and responsibilities of the AESDirect Account Administrator?***

The Account Administrator is responsible for obtaining the company's authorization to file through *AESDirect* and maintaining the security of the company's account. This encompasses:

1. Logging in to *AESDirect* for the first time and selecting a permanent administrator code and new password.
2. Keeping the permanent administrator code secure.
3. Ensuring that one of the certification quizzes is passed.
4. Distributing the user name and password to the company's authorized filers with contact information (including the Account Administrator's email address and phone number), once the *AESDirect* account has been authorized for filing shipment information.
5. Keeping the password current, i.e.:
  - Changing the password at least every 180 days.
  - Changing the password if an employee with access to the password leaves the company or otherwise is no longer an authorized user.
  - Advising all authorized company filers when the password has been changed.
6. Reviewing all emails received from *AESDirect* and Census and taking appropriate action and/or circulating them to the company's *AESDirect* filers.
7. If leaving the company, notifying senior management and faxing a request to the *AESDirect* support staff as detailed in the Support Center, Change Your Administrative Contact section, accessible off the *AESDirect* Home Page. Once in place, the new Administrator must select a new administrator code, change the password, and notify the company's authorized filers of the new password and Administrator contact information.

## ***How do I create an SED for a shipment using AESDirect?***

The *AESDirect* Tutorial will introduce you to the basics of using *AESDirect* and give you an opportunity to practice creating the mandatory sections of an SED using the system.

From the link on the Home Page, you can download the five lessons that comprise the tutorial. We recommend that you take the lessons in order, as they are designed to build on each other. You can go through the tutorial at your own pace; you need not do all the lessons in one session.

All the tutorial lessons include the screens you will see when you use *AESDirect* as well as explanations of what you are seeing.

- ***Lesson 1 – Introduction to AESDirect*** gives you an overview of the features of *AESDirect*, including the Help functions.
- ***Lesson 2 – USPPI Profile Maintenance*** demonstrates how forwarders can create profiles for their USPPIs and how both USPPIs and forwarders can create multiple cargo origination points linked to a USPPI ID number. In this lesson, you create a new USPPI profile and two cargo origin points.
- ***Lesson 3 – Consignee Profile Maintenance*** demonstrates how to create a consignee profile linked to a USPPI profile. In this lesson, you create a new consignee profile linked to the USPPI created in Lesson 2.
- ***Lesson 4 – Forwarder Profile Maintenance*** demonstrates how to create a forwarder profile if you are a USPPI using an intermediary for a shipment.
- ***Lesson 5 – Creating a Shipment*** demonstrates how shipment information is created in *AESDirect* and submitted to AES. In this lesson, you use the features demonstrated in Lesson 1 to create much of your shipment information; select the USPPI profile and cargo origin point created in Lesson 2; and select the consignee profile created in Lesson 3.

Detailed instructions for completing each section of the SED are given in the “Completing SED Data Fields in *AESDirect*” section beginning on page 20.

In addition to taking the tutorial, you should also review the information in the Support Center. The Support Center is accessible from the *AESDirect* Home Page and provides details on all aspects of completing your SED filing, including Contact Information, AES Codes, User Name/Password Assistance, Frequently Asked Questions, AES Responses, and Technical Information.

## **Completing SED Data Fields in AESDirect**

*Shipment Information, page 21*

*USPPI, 25*

*Ultimate/Intermediate Consignee, page 27*

*Commodity Line Items, page 29*

*Freight Forwarder, page 34*

*Equipment Details, page 36*

## ***How do I complete the Shipment Information section of my SED?***

The Shipment Information section is mandatory for **all** SED filings. As explained below, some fields in the Shipment Information section of the SED are mandatory for all shipments, some are conditional depending on the nature of the shipment, and others are optional and are completed at the discretion of the filer. Field labels are color coded as follows: fields labeled in red are mandatory; those in blue are conditional; and those in black are optional. If an (L) is shown next to a field name below, it means a Lookup is available.

### **Email Response Address**

Mandatory field. The default for this field is the email address you gave when you registered for *AESDirect*. In this field you can enter email addresses for other parties you want to receive the response from the U.S. Customs AES system.

***Important: You may overwrite your email address if you do not wish to be notified on this shipment. You can also enter other email addresses, but be sure to separate them by commas.***

### **Shipment Number**

Mandatory field. This is **your** reference number for the shipment. It can be any alpha/numeric combination up to 17 characters

***Important: The only requirement is that the shipment numbers for an USPPI must be unique for five years.***

### **Transportation Reference Number**

Conditional field. The transportation reference number is **mandatory** for all vessel shipments. Use the booking number issued by the ocean carrier to complete the Transportation Reference Number field.

### **Origin State**

Mandatory field. Lookup is by state name. Select from the drop-down list. Note that state of origin is defined as “the state in which the merchandise actually starts its journey to the port of export; or the state of the commodity of the greatest value; or the state of consolidation.”

### **Foreign Trade Zone**

Optional field. If the point of origin for the shipment is a foreign trade zone, enter the 5-character code assigned by the Foreign Trade Zone Board.

### **Port of Export (L)**

Mandatory field. Lookup is by port name for the 4-digit Schedule D code for port of export or border crossing point.

***Important: For transshipments through Canada, the port of export is the port where the shipment crosses the U.S./Canadian border, not the port from which the goods are shipped to the country of ultimate destination.***

### **Country of Destination (L)**

Mandatory field. Lookup is by country name for the 2-digit ISO code for country of ultimate destination.

### **Port of Unlading (L)**

Conditional field. Lookup is by port name. The Schedule K or D code is required for ***all*** vessel shipments and for ***air*** shipments between the United States and Puerto Rico. If you do not know the port, try searching on the country name to see all ports in that country.

### **Departure Date**

Mandatory field. Date of departure from the United States or date of clearance if date of departure is not known.

***Important: If you do not know the exact date of export, AESDirect allows you to provide your best estimate. When you know the date, retrieve your shipment, amend the data, and resubmit to AESDirect.***

### **Mode of Transport**

Mandatory field. Drop-down list for selection. Click on the correct mode for this shipment from the options in the drop-down list and the correct two-digit code will be entered in this field.

***Important: Note that for transshipments through Canada, the mode of transport should be that of the border-crossing carrier, not that of the carrier that transports the goods to the country of ultimate destination.***

### **Carrier SCAC/IATA (L)**

Mandatory field. Lookup is by carrier name. When you click on the name, *AESDirect* will enter the 2-, 3-, or 4-digit SCAC code for vessel, rail, and truck shipments or the 2 -or-3-digit IATA code for air shipments.

***Important: If you are using an NVOCC and have entered their booking number, you must enter their SCAC code in this field, not that of the ocean carrier.***

***Note also that for transshipments through Canada, the carrier code should be that of the border-crossing carrier, not that of the carrier that transports the goods to the country of ultimate destination.***

The following exceptions apply to this field:

- For certain modes of transport, there is no carrier. Enter **UNKN** for: 32-Auto, 33-Pedestrian, 34-Road, Other, 60-Passenger, Hand Carried, 70-Fixed Transport Installation: Pipeline & Powerhouse.
- If the carrier's SCAC or IATA code is not listed in Lookup and you cannot obtain the code from the carrier, as a last resort, you may still file your SED using the following codes:
  - UNMT** Unknown Mexican Trucker
  - UNFA** Unknown Foreign Air Carrier
  - UNUA** Unknown U.S. Air Carrier
  - UNCA** Unknown Canadian Air Carrier
  - UNKN** Other Unknown Carriers (All Modes)

***Important: For complete details on unlisted SCAC or IATA codes, click on the Help link next to the field.***

### **Conveyance Name**

Mandatory field. The conveyance name is the **vessel** name for ocean shipments and the **carrier** name for air, truck, and rail shipments. Enter **UNKNOWN** for: 32-Auto, 33-Pedestrian, 34-Road, Other, 60-Passenger, Hand Carried, 70-Fixed Transport Installation: Pipeline & Powerhouse.

### **Vessel Flag (L)**

Optional field. Lookup is by vessel name for 2-character ISO Country Code.

### **Entry Number**

Conditional field. The entry number from the 7501 must be reported for the export transaction as proof of export for import transactions.

### **Routed Transaction**

Mandatory field. There is no default. You must select **Yes** or **No**.

A routed transaction is defined as “an export transaction where the foreign principal party in interest (consignee) authorizes a U.S. forwarding or other agent to facilitate export of items from the United States.” In a routed transaction the U.S. Principal Party in Interest remains the entity in the United States that receives the primary benefit monetary or otherwise of the export transaction. For complete details see the Appendix, pages 67-68.

### **Related Company**

Mandatory field. **No** is the default. Click the **Yes** button if the companies are related.

Note that a related party transaction is defined as “one between a domestic USPPI and a foreign consignee (e.g., parent company or sister company), where there is at least a ten percent ownership of each by the same U.S. or foreign person or business enterprise.”

### **Hazardous**

Mandatory field. **No** is the default. Click the **Yes** button if the shipment is classified as hazardous by the Department of Transportation.



## ***How do I complete the USPPI section of my SED?***

The USPPI section is mandatory for all SED filings and must contain:

- The address location from which the merchandise actually starts its journey to the port of export, *or*;
- If the USPPI does not have a facility (processing plant, warehouse or distribution center, retail outlet, etc.) at the location from which the goods began their export journey, the address from which the export was directed, *or*;
- If shipments of multiple origins are reported on a single AES record, the USPPI address from which the greatest value begins its journey or, if that information is not known at the time of export, the address from which the export is directed.

As explained below, ***all*** fields in this section of the SED are mandatory except for Middle Initial and Address Line 2.

### **Company Information**

#### **Name**

Mandatory field. Note that you must ***not*** use the ampersand (&) character in the company name. You must spell out “and” instead. Putting an ampersand in a field will cause the data to be cut off at the “&”.

#### **ID Number**

Mandatory field. Enter the USPPI’s IRS Tax ID Number (EIN or SSN) without hyphens. If neither the EIN nor SSN is available (as in the case of a foreign entity being shown as the USPPI) enter the border crossing number, passport number, or any other number assigned by Customs and Border Protection.

#### **ID Type**

Mandatory field. Select from the drop-down list.

## Contact Information

### **First Name**

Mandatory field.

### **Middle Initial**

Optional field.

### **Last Name**

Mandatory field.

### **Phone**

Mandatory field.

## Cargo Origin Information

### **Address 1**

Mandatory field.

### **Address 2**

Optional field.

### **City**

Mandatory field.

### **State**

Mandatory field. Select from the drop-down list.

### **Postal Code**

Mandatory field. Enter 5-digit ZIP Code.

## ***How do I complete the Ultimate/Intermediate Consignee sections of my SED?***

The Ultimate Consignee section is mandatory for all SED filings. The Intermediate Consignee is optional at the discretion of the filer. Both consignee sections use the same data fields.

Note the following definitions:

- ***Ultimate Consignee*** is defined as “the party actually receiving the merchandise for designated end use or the party so designated on the validated export license.”
- ***Intermediate Consignee*** is defined as “the party in a foreign country who makes delivery of the merchandise to the ultimate consignee or the party so named on the export license.”

As explained below, some fields in the Consignee sections of the SED are mandatory for all shipments, some are conditional depending on the nature of the shipment, and others are optional and are completed at the discretion of the filer. If an (L) is shown next to a field name below, it means a Lookup is available.

***Important: If you do not know the ultimate consignee because your cargo will be sold while at sea or in the air, use the “cargo sold en route” procedure noted below. You must update this consignee information within three months of export.***

### **Company Information**

#### **Name**

Mandatory field. Note that you must ***not*** use the ampersand (&) character in the company name. You must spell out “and” instead. Putting an ampersand in a field will cause the data to be cut off at the “&”.

For cargo “sold en route” enter SOLD EN ROUTE as the name of the ultimate consignee.

### **Contact Information**

#### **Name**

Optional field

#### **Phone**

Optional field

## Company Address

### **Address 1**

Mandatory field. For cargo “sold en route” enter SEA or AIR in this field.

### **Address 2**

Optional field.

### **City**

Mandatory field. For cargo “sold en route” enter the city name of the first port of call.

### **State (L)**

Conditional field. Note that state codes are required for consignees located in Mexico.

### **Country (L)**

Mandatory field. Enter the two-digit ISO Country Code or use Lookup. For cargo “sold en route” enter the code of the country of first port of call.

### **Postal Code**

Optional field.

## ***How do I complete the Commodity Line Item section(s) of my SED?***

You must complete a Commodity Line Item section for each Schedule B commodity in your shipment that is valued at \$2,500 or more. **All** SED filings must include at least one line item.

***Note that when two or more items are classified under the same Schedule B number, they should be reported as one line item with a single quantity, shipping weight, and value unless a validated license requires otherwise or the shipment consists of a combination of foreign and domestic merchandise classified under the same Schedule B number.***

As explained below, some fields in the Line Item sections of the SED are mandatory for all shipments, some are conditional depending on the nature of the shipment, and others are optional and are completed at the discretion of the filer. If an (L) is shown next to the field name below, it means a Lookup is available.

### **Schedule B/HTS (L)**

Conditional field. Enter the 10-digit commodity code. This field is mandatory for all commodities except those covered by limited reporting export codes. You may use either the Schedule B or the HTS number.

***Important: You must enter the full 10 digits without periods or hyphens for either the Schedule B or HTS. Be aware that some HTS numbers are not valid for export. An up-to-date list of invalid HTS codes can be found in the Support Center and also by a link next to the Schedule B/HTS field.***

AESDirect gives you two ways to find the Schedule B codes for your commodities:

1. Use Lookup and then enter up to the first 10 letters of the commodity name. Note that many codes use the singular, not the plural, form of the noun – e.g., printer, not printers. When you select the appropriate commodity from the drop-down list, the 10-digit Schedule B number will be automatically entered in the field as will the correct unit(s) of measure for that commodity.

***Important: If the commodity descriptions for Schedule B in Lookup are very long, you will not see the drop-down arrow. In that case, simply click on the first entry to highlight it and the full list will be displayed.***

2. Use the link to the U.S. Census Bureau's web site. Select "Search" and enter the name of the commodity. When results are displayed, click on the correct list to review full information including unit of measure. This is the unit of measure that you need to select in the drop-down list for that field.

***Note that the Commodity Selection procedures in AESPcLink differ from those on the AESDirect web site. See pages 50-51 for details.***

### **Description**

Mandatory field. Enter a short commercial description of the commodity that will permit verification of the Schedule B number or the description shown on the validated export license.

### **Marks & Numbers**

Optional field. You may enter any relevant information that appears on the merchandise or shipment packaging that can identify the entire shipment or a portion of it.

### **1st Quantity**

Conditional field. Required for all commodities except those covered by limited reporting export codes. The quantity entered should always be measured in the units indicated in the 1st Unit field below.

***Important: AESDirect allows you to provide your best estimate of the quantity for the commodity. As soon as you know the actual value you should retrieve the shipment, amend the data, and resubmit to AESDirect.***

### **1st Unit**

Conditional field. This field is automatically populated based on the Schedule B/HTS you selected in the Lookup.

### **2nd Quantity**

Conditional field. Required for all commodities with two units of measure specified in the Schedule B and HTS manuals. Note that the need for second quantity is very rare and applies primarily to textiles, pharmaceuticals, or mineral/ore shipments. If required, the second quantity entered should be measured in the units indicated in the 2nd Unit field below.

***Important: AESDirect allows you to provide your best estimate of the quantity for the commodity. As soon as you know the actual value you should retrieve the shipment, amend the data, and resubmit to AESDirect.***

## 2nd Unit

Conditional field. This field is automatically populated based on the Schedule B/HTS that you entered.

## Value

Mandatory field. Enter the value rounded to the nearest whole U.S. dollar. Do not use the dollar sign or commas.

Value is defined as “selling price or cost if not sold, including freight, insurance, and other charges to the U.S. port of export, but excluding unconditional discounts and commissions of the USPPI to the foreign PPI.”

***Important: AESDirect allows you to provide your best estimate of the value of the commodity. As soon as you know the actual value you should retrieve the shipment, amend the data, and resubmit to AESDirect.***

## Gross Weight

Mandatory field. Enter the gross weight in kilograms rounded to the nearest whole number without periods, commas, or quotation marks. To calculate kilograms, multiply the weight in pounds by 0.4536.

Note that you must include the weight of packaging, but not outer containers in the gross weight for all modes – Air, Vessel, Truck and Rail. Note also that if the 1st Unit of Measure for the quantity is kilograms, then the gross weight must be greater than or equal to the quantity.

## Export Code

Mandatory field. Select the proper code from the drop-down list. Note that the most common export code is **OS: All other exports**.

## Origin

Conditional field. The default for this field is **Not Selected**. Change the indicator if needed, based on definitions below:

***Domestic exports*** are defined as “merchandise grown, produced, or manufactured in the United States (including imported merchandise which has been enhanced in value or changed from the form in which imported by further manufacture or processing in United States).”

***Foreign exports*** are defined as “merchandise that has entered the United States and is being re-exported in the same condition as when imported.”

### **License Type**

Mandatory field. Select the proper code from the drop-down list. Note that the most common license type is: C33: No License Required (NLR).

### **License Number**

Conditional field. If shipment is licensed and License Type requires it, enter the validated license number. This field is enabled when it is required.

### **ECCN**

Conditional field. If required by the License Type, enter the ECCN (Export Control Classification Number) of the commodity listed on the Commerce Control List in the Bureau of Industry and Security Regulations. This field is enabled when it is required.

***Important: If you need help completing the DDTC data fields below, review the “Mandatory AES Frequently Asked Questions (FAQs)” on the Census web site at <http://www.census.gov/foreign-trade/aes/documentlibrary/mandatoryaesfaqs.html>***

### **DDTC Exemption Number**

Conditional field. If required by the License Type, the exemption number is the specific citation from the International Traffic in Arms Regulations (ITAR) (22 CFR 120 -130) that exempts the shipment from the requirements for a license or other written authorization from DDTC. Select the proper exemption from the drop-down list. For a description of the DDTC ITAR Exemption Codes find Appendix O of the AESTIR at: <http://www.cbp.gov/xp/cgov/export/aes/> under AES Technical Documentation. This field is enabled when it is required.

### **DDTC Registration Number**

Conditional field. If required by the License Type, the number assigned by DDTC to persons who are required to register per Part 122 of the ITAR (22 CFR, 120-130), that has an authorization from DDTC (license or exemption) to export the article. This field is enabled when it is required.

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

Conditional field. If required by the License Type, a term used to designate articles on the United States Munitions List (USML) for which special export controls are warranted because of their capacity for substantial military utility or capability. See Section 120.7 of the ITAR (22 CFR, 120-130), for a definition of SME and Section 121.1 for items designated as SME articles. This field is enabled when it is required.



### **DDTC Eligible Party Certification Indicator**

Conditional field. If required by the License Type, certification by the U.S. exporter that the exporter is an eligible party to participate in defense trade. See ITAR (22 CFR 120.1(c)). This certification is required only when an exemption is claimed. This field is enabled when it is required.

### **DDTC USML Certification Code**

Conditional Field. If required by the License Type, the USML category of the article being exported (22 CFR 121). Select the proper exemption from the drop-down list. This field is enabled when it is required.

### **DDTC Quantity**

Conditional field. If required by the License Type, this quantity is for the article being shipped. The quantity is the total number of units that corresponds to the DDTC Unit of Measure Code. This field is enabled when it is required.

### **DDTC Unit of Measure**

Conditional field. If required by the License Type, this quantity is for the article being shipped. The quantity is the total number of units that corresponds to the DDTC Unit of Measure Code. Select the proper exemption from the drop-down list. This field is enabled when it is required.

### **Used Vehicle**

Mandatory field. The default for this field is **No**. Change the indicator to **Yes** for used vehicles except those being shipped to Puerto Rico.

### **VIN/Product ID**

Conditional field. Required if Used Vehicle is **Yes**. Select either VIN (Vehicle Identification Number) or Product ID from the drop-down menu.

### **ID Type**

Conditional field. Required if Used Vehicle is **Yes**.

### **Vehicle Title**

Conditional field. Required if Used Vehicle is **Yes**. Enter the unique title number issued by the State Motor Vehicle Administration.

### **Vehicle Title State**

Conditional field. Required if Used Vehicle is **Yes**. Enter the two-digit state code for the state in which the Vehicle Title was issued.

## ***How do I complete the Freight Forwarder section of my SED?***

If you are the USPPI reporting SED information on your own behalf, you must complete this section if you use a freight forwarder located in the United States or in Puerto Rico to move your cargo.

If you are filing as a freight forwarder, your profile has been created by *AESDirect* based on the information you submitted when you registered. As a result, you do not need to complete the Freight Forwarder section:

- When you log in to the system, *AESDirect* uses your user name and password to identify your profile.
- *AESDirect* automatically adds your profile information to your SED prior to submitting it to AES.

***Important: If you are a forwarder and wish to have a location other than that under which you registered your company filed with your SED information, complete the Freight Forwarder section of the SED with the address and contact information you want attached to your shipment information.***

### **Company Information**

#### **Name**

Mandatory field. Note that you must ***not*** use the ampersand (&) character in the company name. You must spell out “and” instead. Putting an ampersand in a field will cause the data to be cut off at the “&”.

#### **ID Number**

Mandatory field. Enter the forwarder’s EIN, SSN or D-U-N-S without hyphens.

#### **ID Type**

Mandatory field. Select from the drop-down list.

### **Contact Information**

#### **Name**

Mandatory field.

#### **Phone**

Mandatory field.

## Company Address

### **Address 1**

Mandatory field.

### **Address 2**

Optional field.

### **City**

Mandatory field.

### **State**

Mandatory field. Select one of the 50 states or Puerto Rico from the drop-down list.

### **Postal Code**

Mandatory field. Enter 5-digit ZIP Code.

### **Country**

Mandatory field. Default is Select a Country. You must select UNITED STATES from the drop down menu.

### ***How do I complete the Equipment Details section of my SED?***

The Equipment Details section is optional for all SED filings as are all the fields in the section. However if you choose to complete this section you must include at least one equipment number.

#### **Equipment Number**

Optional field. Use the container number for containerized shipments.

#### **Seal Number**

Optional field. Use the security number of the seal placed on the equipment.

## **Getting Started with AESPcLink**

*About AESPcLink, page 38*

*Registration and Log In, page 39*

*Managing Your Accounts, page 41*

*Using AESPcLink, page 42*

*Data Entry and Item Selection Conventions, page 61*

## ***Why should I use AESPcLink?***

AESPcLink is the desktop component of AESDirect. It was designed to let you work offline to create SEDs and then submit them electronically to AESDirect.

***The Census Bureau recommends AESPcLink as the preferred way to create and submit your SED information.***

Using AESPcLink, you can:

- Complete SEDs at your own pace, without tying up your phone line or incurring the additional expense of extensive telephone connections.
- Save SEDs as templates on your desktop (even if they are incomplete) and never lose any information you have entered.
- Save USPPI, Consignee, and Freight Forwarder profiles as well as SED templates to eliminate re-keying information for shipments to your regular customers.
- Exchange Party Profiles with other systems or other AESPcLink installations.
- File your SEDs in batches, not one at a time.
- Retrieve, amend, and delete shipments from AESDirect.
- Automatically retrieve AES responses for your SED filings.
- Access the Shipment Reporting Center of AESDirect to review the status of all your SED filings.

## ***How do I complete the AESPcLink registration and log in process?***

To begin using *AESPcLink*, you will need to download the software from the *AESDirect* web site or load it from a CD-ROM. Once you have installed the software on your desktop, you will need to register with the user name and password that were activated by *AESDirect* once a certification quiz was passed. You must be connected to the Internet to register.

**Note:** *If your Internet connection is through a proxy server, you will need to log into it before registering as explained below.*

When your *AESPcLink* registration has been confirmed, you will be prompted to download the SED code tables from *AESDirect* or, if you are using a CD-ROM, from the disc. If connecting to *AESDirect*, this process can take from 6 to 30 minutes depending on the speed of your *AESDirect* connection. If you choose not to proceed, you will have to repeat the registration process and download the tables at a later time to use *AESPcLink*.

Once you have downloaded the code tables, you can launch *AESPcLink* from your desktop when you are offline.

### **Multiple Accounts**

If you have multiple *AESDirect* accounts, you may register any or all of them for use with *AESPcLink*. Each account you register sets up a separate database of profiles, templates, and shipments within *AESPcLink*. Each is linked to the appropriate *AESDirect* filing account. You can register a new account in two ways:

- Quit *AESPcLink*, re-launch, and log in with the new information.
- Use the *AESDirect* Accounts option in Tools as explained on page 41.

You must be connected to the Internet for both options, but you may switch between registered user names while offline in *AESPcLink* Accounts.

### **Proxy Server Access**

If you access the Internet through a proxy server, you will need to log in to it before being able to use the following *AESPcLink* functions:

- Register an *AESDirect* Account
- Submit Shipments to *AESDirect*
- Retrieve Shipments from *AESDirect*
- Delete Shipments from *AESDirect*
- Review Shipment Status in *AESDirect*

When you attempt to initiate any of these functions, *AESPcLink* will detect the need to log in and will prompt you for your proxy server user name and password.

If these are accepted by the proxy server, you will be connected to *AESDirect*. However, if the proxy server does not accept the user name and password you entered, *AESPcLink* will prompt you to reenter it.

If your attempt to log in to your proxy server is being rejected, you should click "Cancel" instead of re-entering the user name and password. You will need to contact your company's network administrator to resolve your access to the proxy server.

***Note: You may keep using AESPcLink locally, but you will not be able to connect to AESDirect until you resolve your proxy server log in problem.***



## ***What tools does AESPcLink give me to manage my accounts?***

AESPcLink has nine utilities that help you manage your accounts. These are all accessible from the Tools menu on the gray bar at the top of your screen. Clicking on <F1> when you are viewing any of the following selections, will give you complete information on that utility and how to use it.

- ***Update AESPcLink Software*** lets you determine if you need to update your AESPcLink software and, if necessary, to download the most updated version of the software.
- ***Change Language/ Cambiar Lenguaje*** lets you use either the English or Spanish version of AESPcLink.
- ***AESDirect Accounts*** lets you switch between registered accounts or change your default email address from your desktop. However, to register a new account, you must be connected to the Internet.
- ***AES Code Tables*** lets you review and update the tables AESPcLink uses to validate your entries. You may update offline from a CD-ROM or from the AESDirect web site when you are online.
- ***View Log*** gives you a two-week record of your shipment transmissions to AESDirect.
- ***Clean Files*** lets you compact the profile and template databases resident on your hard drive as well as the shipments in your Send to AESDirect queue.
- ***Transfer Profiles*** lets you export or import party profiles from or into your AESPcLink installation.
- ***Commodity Code Selection*** allows you to select either Schedule B or HTS commodity codes when classifying your cargo.
- ***Automated Responses*** allows AESDirect to deliver shipment responses directly back to the specific AESPcLink installation that submitted the shipments.

## ***How do I use AESPcLink to create and file my shipment information?***

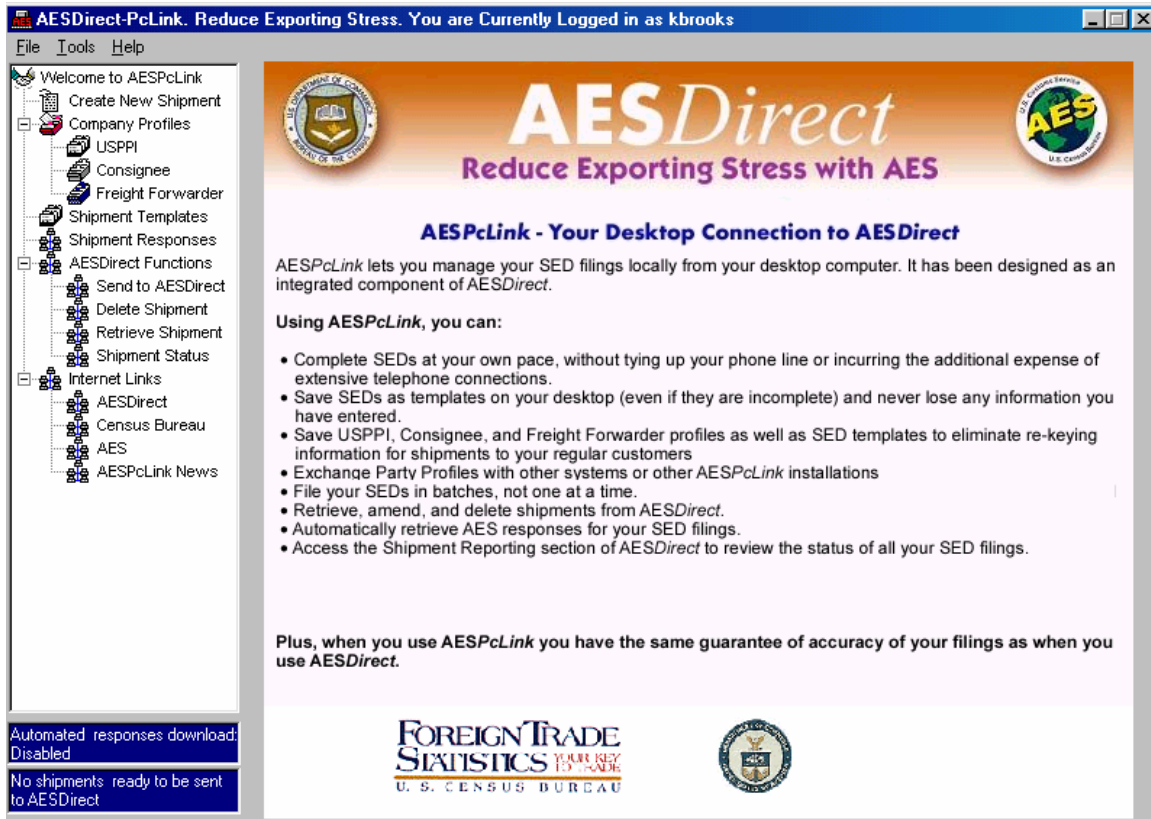
Because *AESPcLink* is the desktop component of *AESDirect*, it lets you work offline to create your SEDs and then submit them electronically to *AESDirect*. *AESPcLink* speeds up the keying of SED information by providing local data entry independent of the Internet.

Here's how it works:

1. You complete one or more SEDs on your desktop computer using *AESPcLink*.
2. Before your shipment is saved, *AESPcLink* verifies that all data elements are correct and then puts the SED in a queue to be sent to *AESDirect*.
3. When connected to the Internet, you submit one or more of the SEDs saved in your queue to *AESDirect*.
4. *AESDirect* verifies and accepts your SEDs.
5. *AESPcLink* notifies you immediately that your SEDs have been successfully sent to *AESDirect*.
6. *AESDirect* submits your SEDs to the U.S. Customs and Border Protection AES computer. You receive an email confirming that your shipments have been processed and accepted by AES. If you choose, you may also receive confirmation via the Shipment Responses feature in *AESPcLink* as explained on page 57.

The *AESPcLink* software is free and can be downloaded from *AESDirect* or installed directly from a CD-ROM. *AESPcLink* has full local validation of keyed SEDs to maintain AES data quality. The only elements that *AESPcLink* cannot check are license numbers, VIN numbers, and SCAC codes. However, once you have sent your shipment(s), *AESDirect* sends all the data to AES for full editing. Also, reference tables can be easily downloaded to minimize client maintenance and maximize AES submission accuracy.

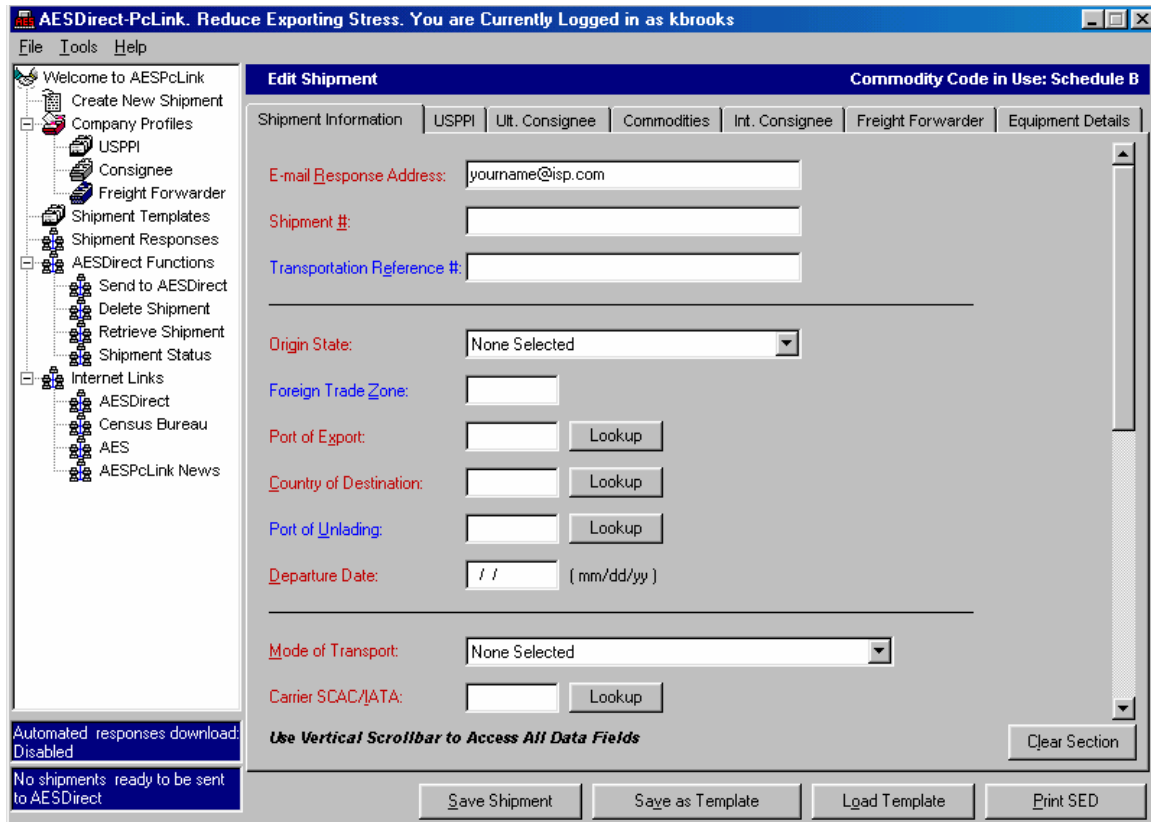
This section of the User Guide will introduce you to the key features of *AESPcLink*, show you the screens you will see when you use the software, and give you an explanation of how each function works.



This is the first screen you will see when you open *AESPcLink* from your desktop. The right side of the screen highlights the benefits of using *AESPcLink*; the left side of the screen displays the *AESPcLink* main menu which is divided as follows:

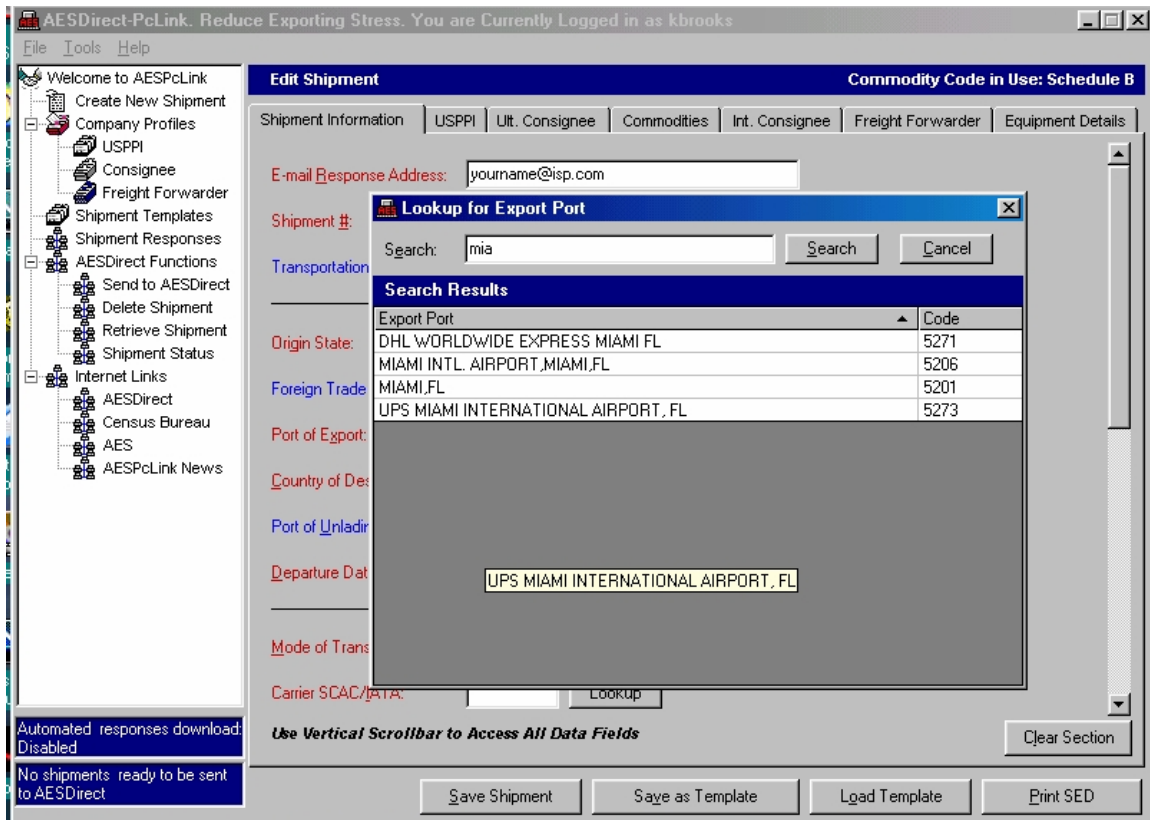
- All the functions from Create New Shipment through Shipment Templates can be done on your desktop. You do not need to be connected to the Internet to use them.
- To use Shipment Responses and the AESDirect Functions, you must be connected to the Internet. This is where you go to retrieve responses; send, delete, or retrieve shipments; and review the status of shipments you have submitted.
- Internet Links provides access to three AES-related web sites – *AESDirect*, the Census Bureau, and AES at Customs and Border Protection – and to *AESPcLink* News. The *AESDirect* link opens in a separate browser window independent from *AESPcLink*. The others open within the *AESPcLink* window

This section of the User Guide will take you through the menu items in the first two bullets above and explain the Help features and functions available.



This is the first screen you see when you click on Create New Shipment on the main menu. This is the Edit Shipment function, and it contains all the sections of the SED. The one displayed here is Shipment Information. In all sections of the SED, *AESPCLink* has several features that make the system easy to use.

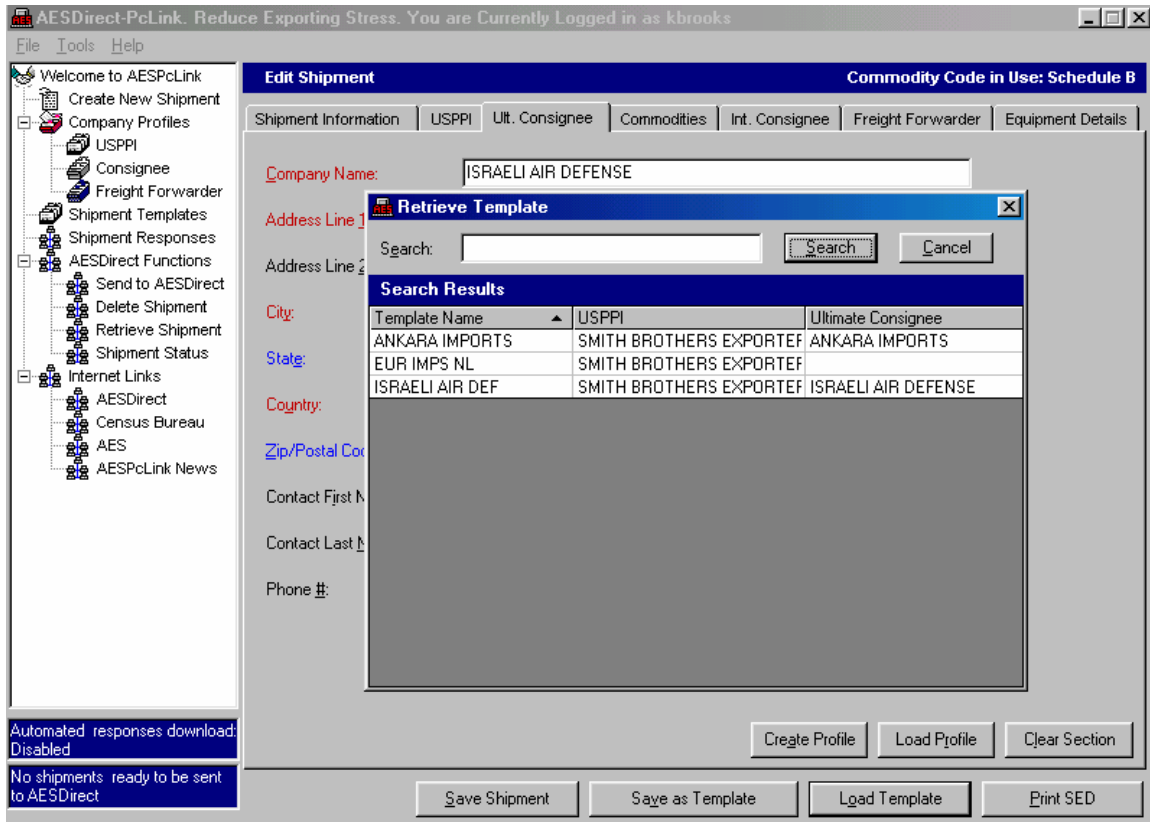
- *AESPCLink* follows the same color-coding system as *AESDirect* for data entry fields: mandatory fields are in red, conditional fields in blue, and optional fields in black.
- The tabs at the top of the screen allow you to move quickly from one section of the SED to another with only one mouse click.
- When you press the <F1> key on any page in the system, a pop-up help screen with detailed information about that page and its data fields is displayed.
- To look up a code, simply click on the Lookup button, enter a few letters of the name you are looking for, and select from the displayed list. As an example, a Lookup for the Port of Export code for Miami is shown on the next page.



As you can see, once we entered “mia” and clicked the Search button, the four export ports for Miami were displayed. To select, double click on either the port name or the code, and the code will be automatically entered in the Port of Export field.

Notice the four buttons at the bottom of the screen. You have these four options for every screen in the Edit Shipment Section.

- Save Shipment puts the shipment in the queue to be sent to *AESDirect*. The shipment information is automatically checked for accuracy and completeness. If you need to make any changes, they will be explained in the response message.
- Save as Template lets you save partial or complete shipment information so that it can be retrieved later to eliminate re-keying. You chose your own names for your templates and select them from an alphanumeric list.
- Load Template lets you select from your templates to avoid re-keying of multiple sections of an SED.
- Print SED lets you print a hard copy of your SED for your files or to use for State Department licensing requirements. Only complete shipments can be printed. You may print a complete shipment before it is validated or you can save the shipment, retrieve it from your queue, and then print.



This is an example of the screen you would see when you select the Load Template button in any section of the SED and click Search. All your templates are displayed in alphabetical order. Double click on a template name to retrieve it. This will populate the Edit Shipment sections with all the information in the template.

AESPcLink allows you to create and save up to 1,000 shipment templates on your desktop. You may save an incomplete shipment as a template, as long as at least one data field has been completed (option buttons are not counted).

**Note:** Data in the Shipment Number, Departure Date, Transportation Reference No., Value, Quantity 1, Quantity 2, Shipping Weight and Origin State fields are not saved so that you will not inadvertently overwrite an existing shipment in AESDirect with a retrieved template.

When you save a template, you will be asked to name it so it can be easily identified when you want to retrieve or delete it. You may use any alphanumeric name up to 18 characters.

The screenshot shows the AESDirect-PcLink application window. The title bar reads "AESDirect-PcLink. Reduce Exporting Stress. You are Currently Logged in as kbrooks". The main window is titled "Edit Shipment" and has a "Commodity Code in Use: Schedule B" indicator. The "USPPI" tab is selected, showing the following fields:

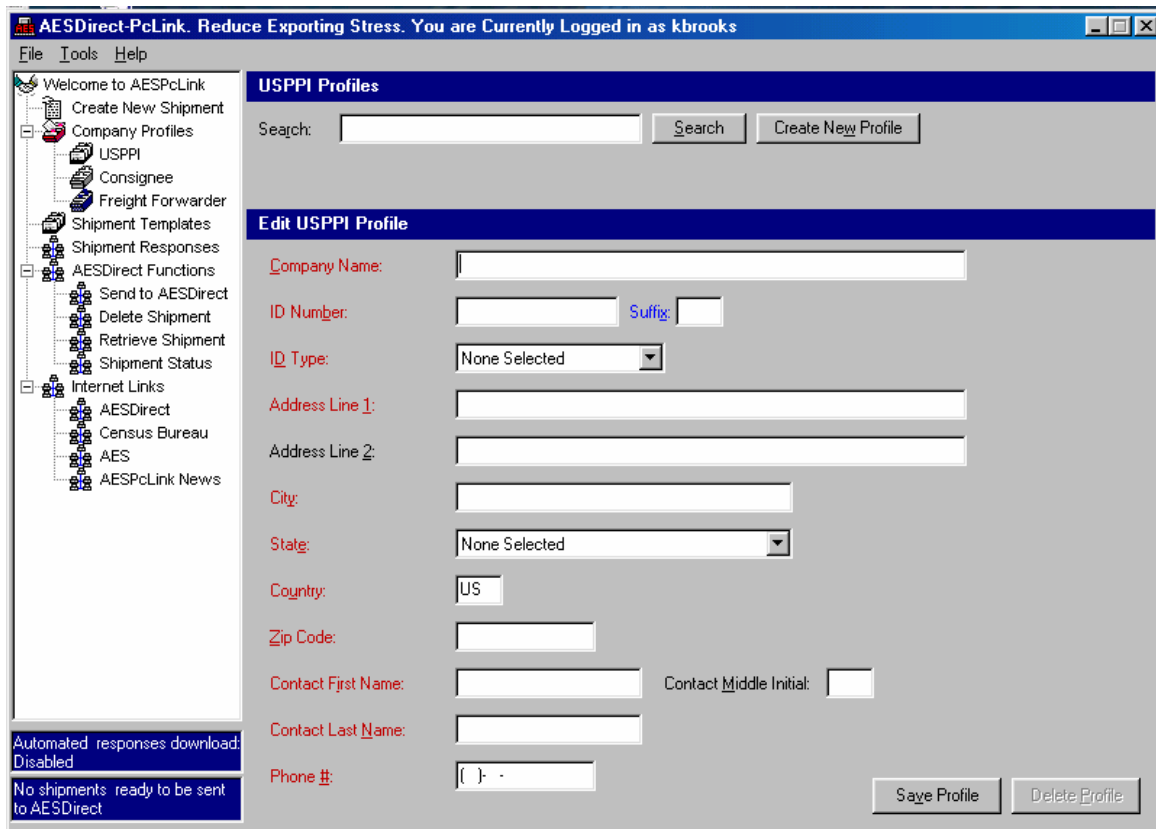
- Company Name:
- ID Number:  Suffix:
- ID Type:
- Address Line 1:
- Address Line 2:
- City:
- State:
- Country:
- Zip Code:
- Contact First Name:  Contact Middle Initial:
- Contact Last Name:
- Phone #:

Buttons at the bottom include "Create Profile", "Load Profile", "Clear Section", "Save Shipment", "Save as Template", "Load Template", and "Print SED". A status bar at the bottom left shows "Automated responses download Disabled" and "No shipments ready to be sent to AESDirect".

This is the USPPI section of the Edit Shipment. It contains all the data elements required for USPPIs under current regulations.

You may complete this and other profiles including Ultimate Consignee, Intermediate Consignee, or Freight Forwarder as part of creating a shipment, or you may load a profile you have created in the Company Profiles section.

If you are creating the information here, click Create Profile to save the information. The process for creating Company Profiles is explained on the next page.



On the main menu, Company Profiles lets you create and edit profiles for USPPIs, Consignees, and Freight Forwarders and then retrieve them into an SED you are creating or changing. *AESPCLink* lets you create and store up to 10,000 company profiles.

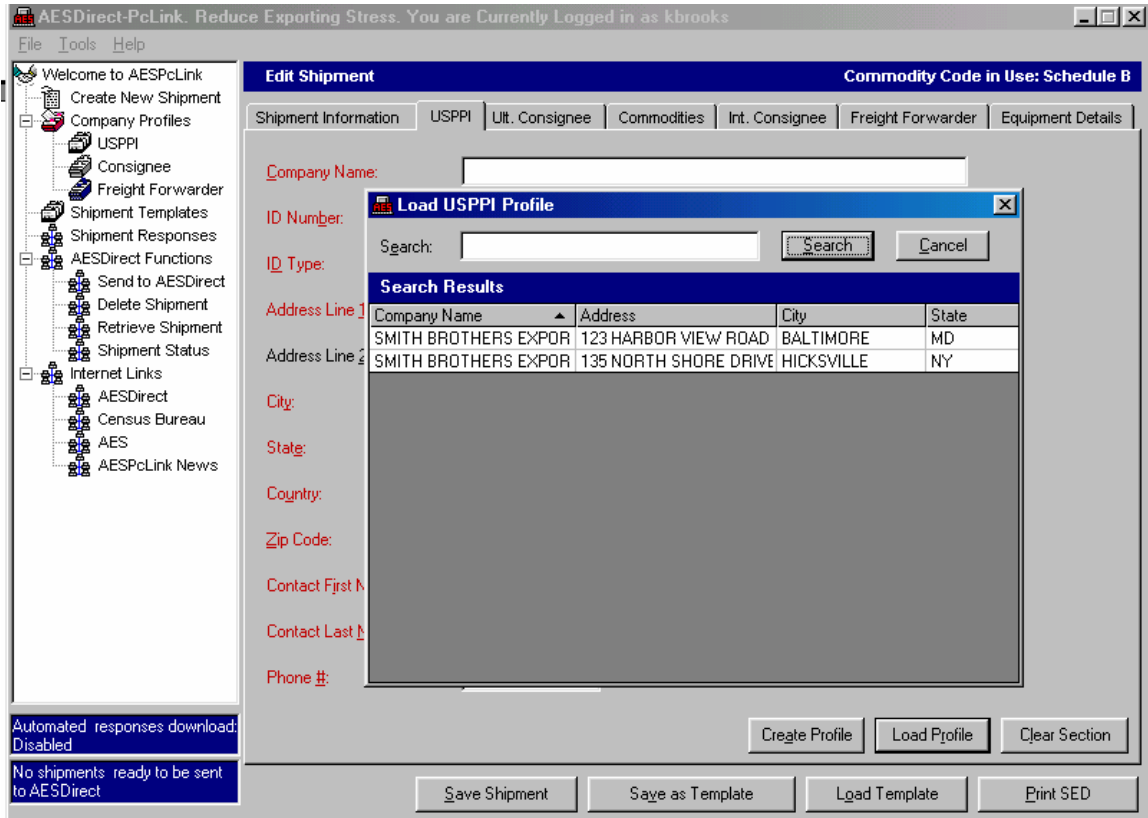
The screen shown above is that for the USPPI, but the process for creating all three types of profiles is the same. When you have finished entering the profile information, click on the Save Profile button in the lower right-hand corner. If any mandatory fields are incomplete or inaccurate, you will be prompted to correct them.

To create another profile, click on that button in the upper right-hand corner. To delete a profile, click on that button in the lower right-hand corner.

Note that USPPI and Ultimate Consignee information is mandatory for all shipments. Freight Forwarder information is mandatory for USPPIs using a U.S. or Puerto Rican based forwarder as a transportation intermediary.

Create New Profile should be used to meet the regulations governing changes to the address of the USPPI. An example is shown on the following page.

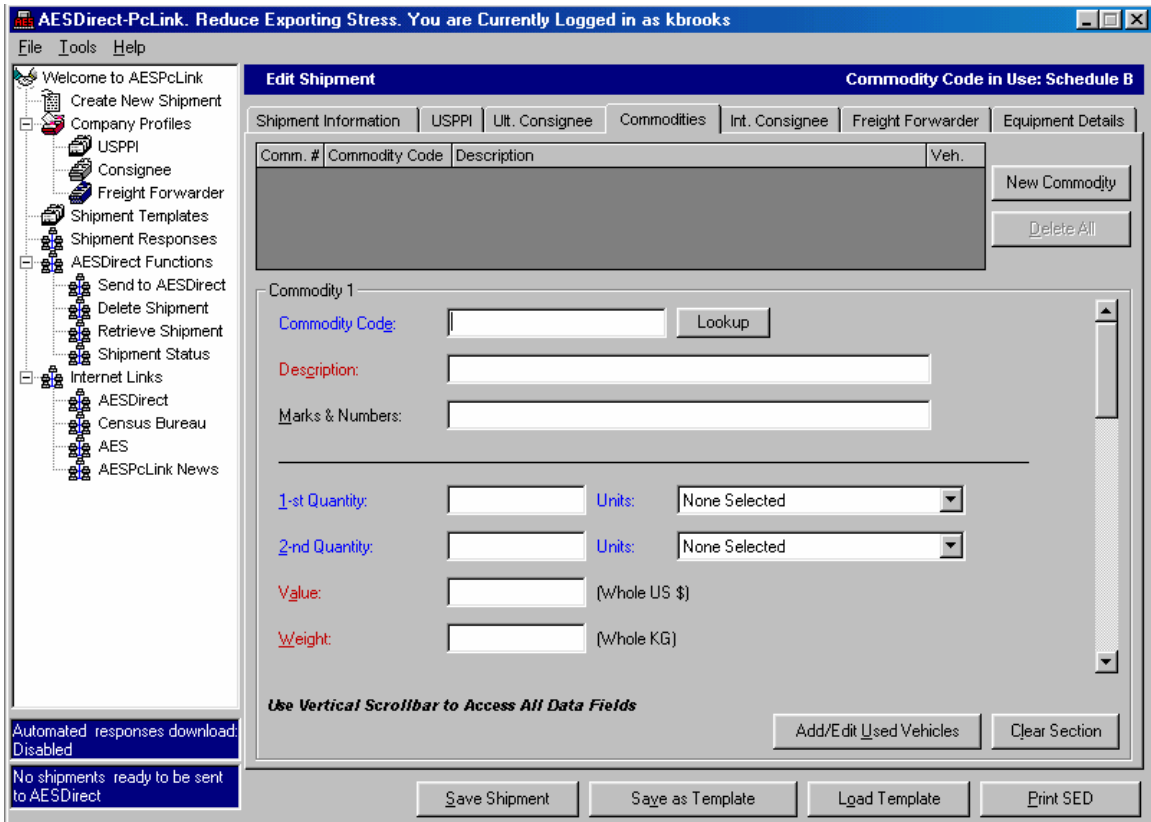




This is an example of the screen you will see if you click on the Load Profile button on the bottom of the USPPi screen and then click Search. The results will be displayed in alphanumeric order. You could also enter the first letters of the profile you want to retrieve and then click Search to display those results.

You will notice that there are two profiles for this one USPPi, each showing a different address. This feature makes it easy to comply with the current regulations which require that:

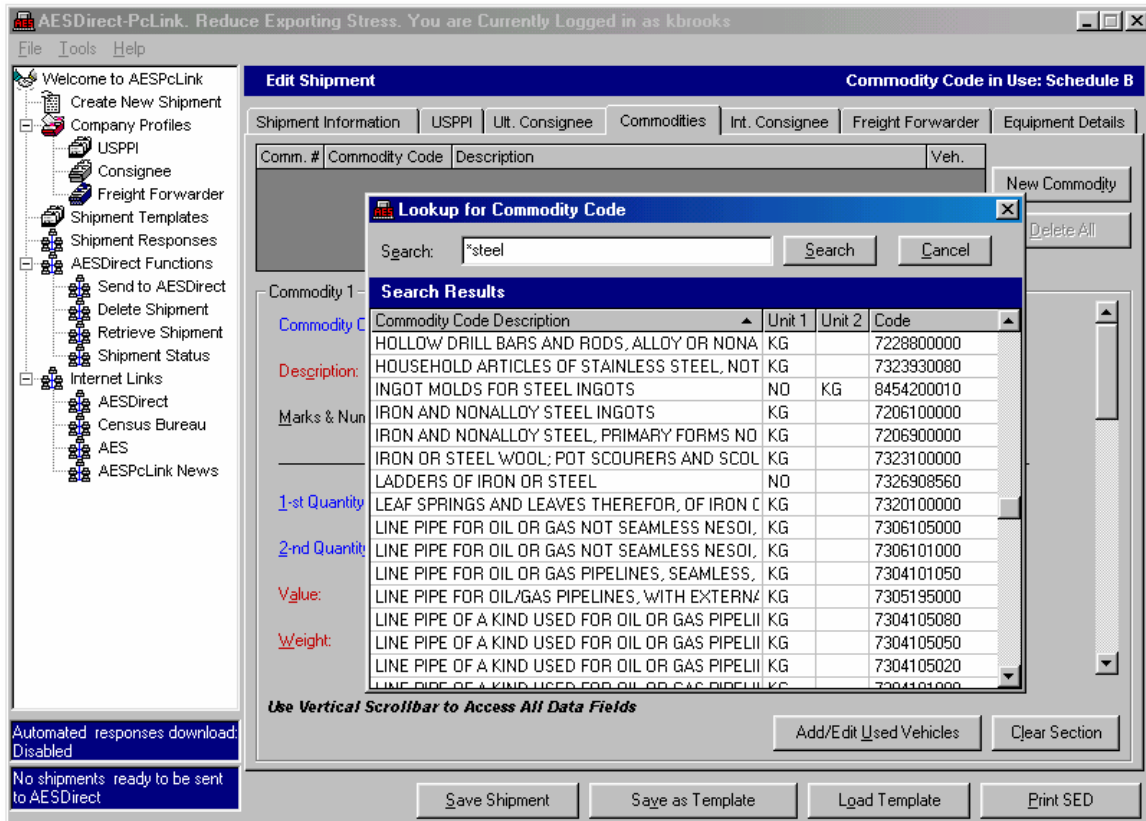
- The USPPi address shown on the SED must be that from where the merchandise actually starts its journey to the port of export, *or*,
- If the USPPi does not have a facility (processing plant, warehouse distribution center, or retail outlet, etc.) at the location from which the goods begin their journey, the USPPi address from which the export was directed, *or*,
- If the shipment has multiple origins, the USPPi address from which the greatest value begins its export journey *or*, if such information is not known at the time of export, the address from which the export is directed.



This is the Commodities section of the SED. For almost every commodity line item, either a Schedule B or HTS Number is required. AESPcLink allows you to select the type of code you wish to use in the Lookup for the Commodity Code field. Make your selection in Tools (in the gray bar at the top of your screen), under Commodity Code on the screen shown below:



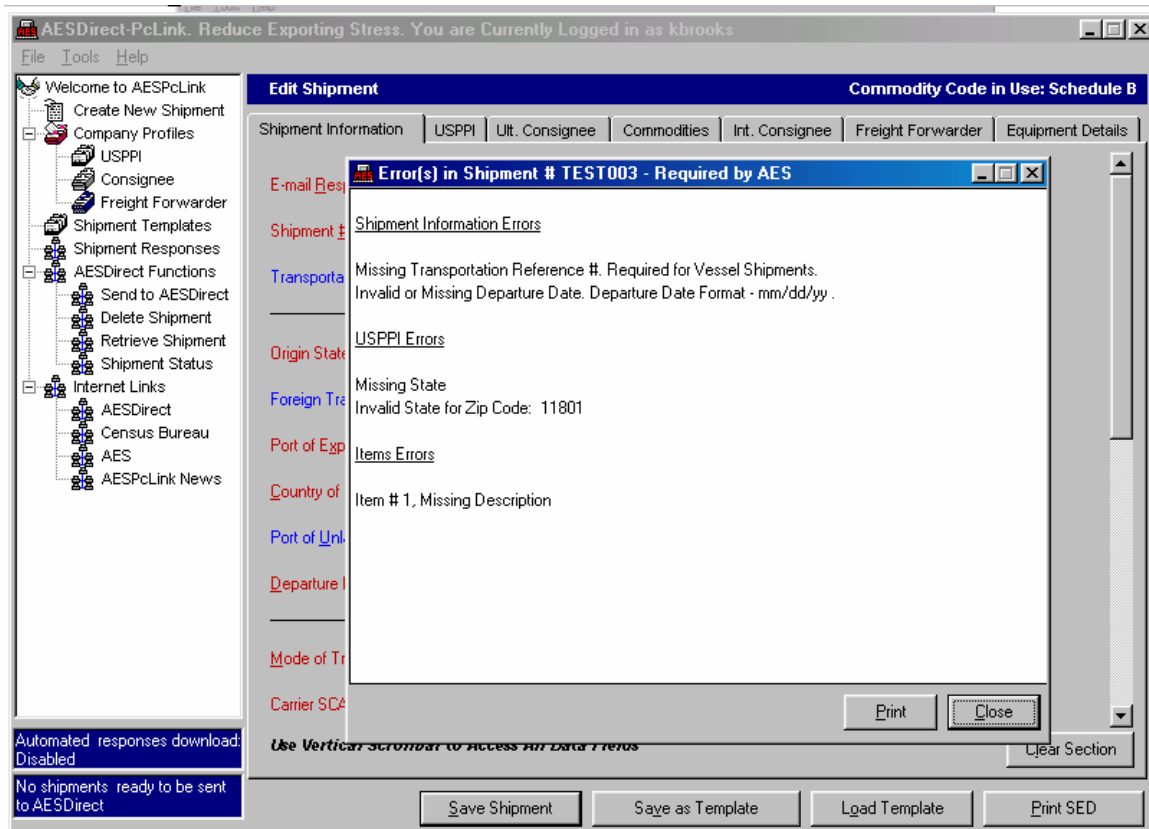
Note that in the upper right-hand corner of the screen, the system indicates for this user: Commodity Code in Use: Schedule B. Note also that you must use either the Schedule B or HTS for all commodity line items; you cannot use both in the same SED.



To look up the Schedule B or HTS Code, click on the Lookup button and then enter an asterisk (\*) and the word you want to search on. The asterisk acts as a “wildcard” so that when you click Search, AESPcLink will display all the entries in the table that contain those letters.

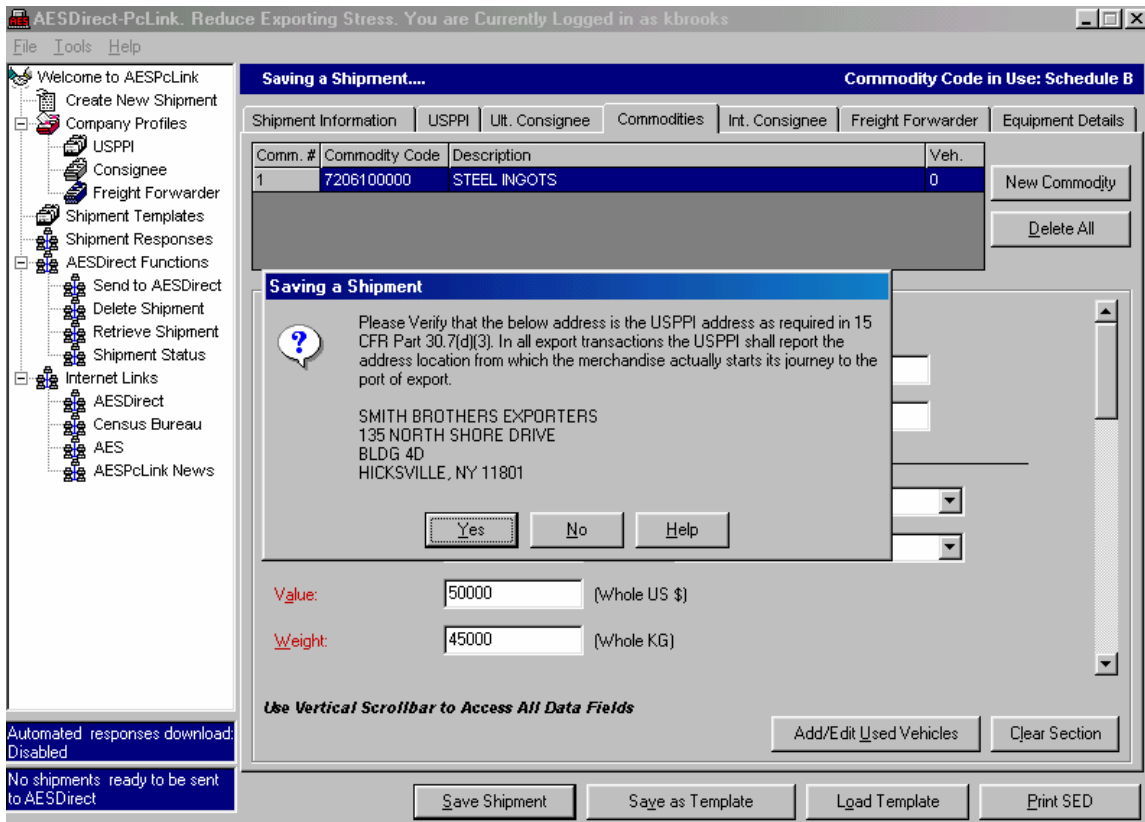
Scroll down to the entry you want, and double click on it to select it. In this case we will select IRON AND NONALLOY STEEL INGOTS.

When the commodity has been selected, the code number and the unit(s) of measure will be automatically entered in the SED.

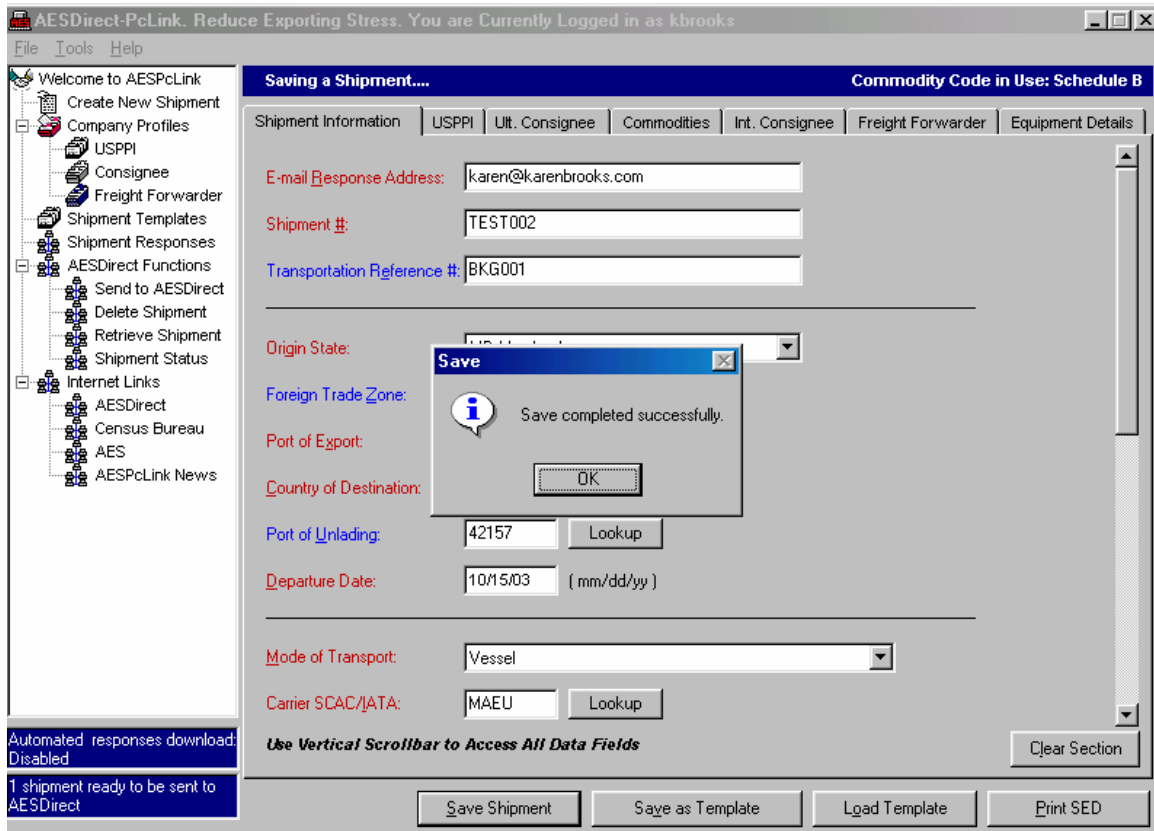


When you have completed the mandatory sections of your SED, click on Save Shipment. If you have any errors, you will receive an immediate response indicating which fields need to be corrected.

Notice that the error message shown above gives you the section of the SED in which the error can be found and also the specific data element involved. In the case of the Transportation Reference Number, it also gives you the reason that this conditional data element is mandatory for this shipment.



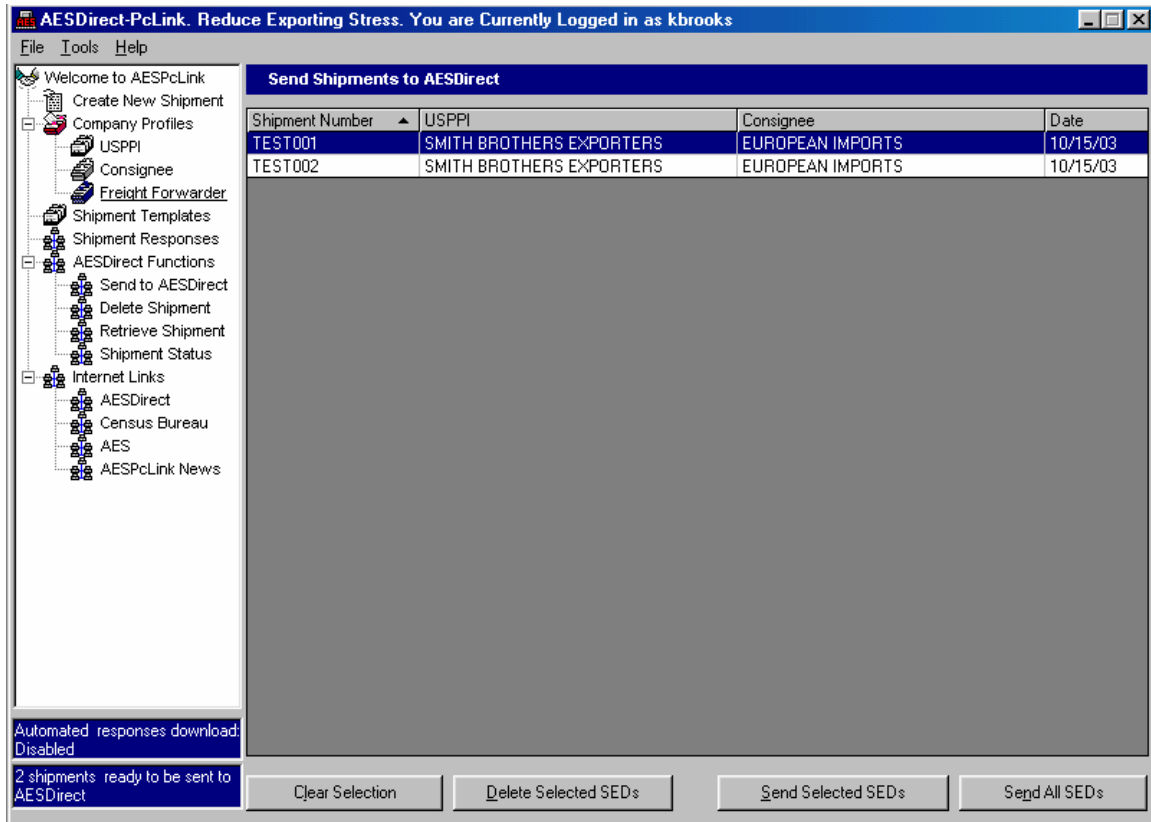
Before a shipment can be saved, you will always be asked to verify that the address shown for the USPPi complies with the current regulations. If it does, you will see the acceptance screen shown on the next page.



This is your shipment acceptance screen. Once your shipment has been saved, you can go to Send to AESDirect and submit it, or you can continue to create and save shipments and send them later as a batch file.

Shipments in the queue are resident on your hard drive and will not be removed until you submit them to *AESDirect*.

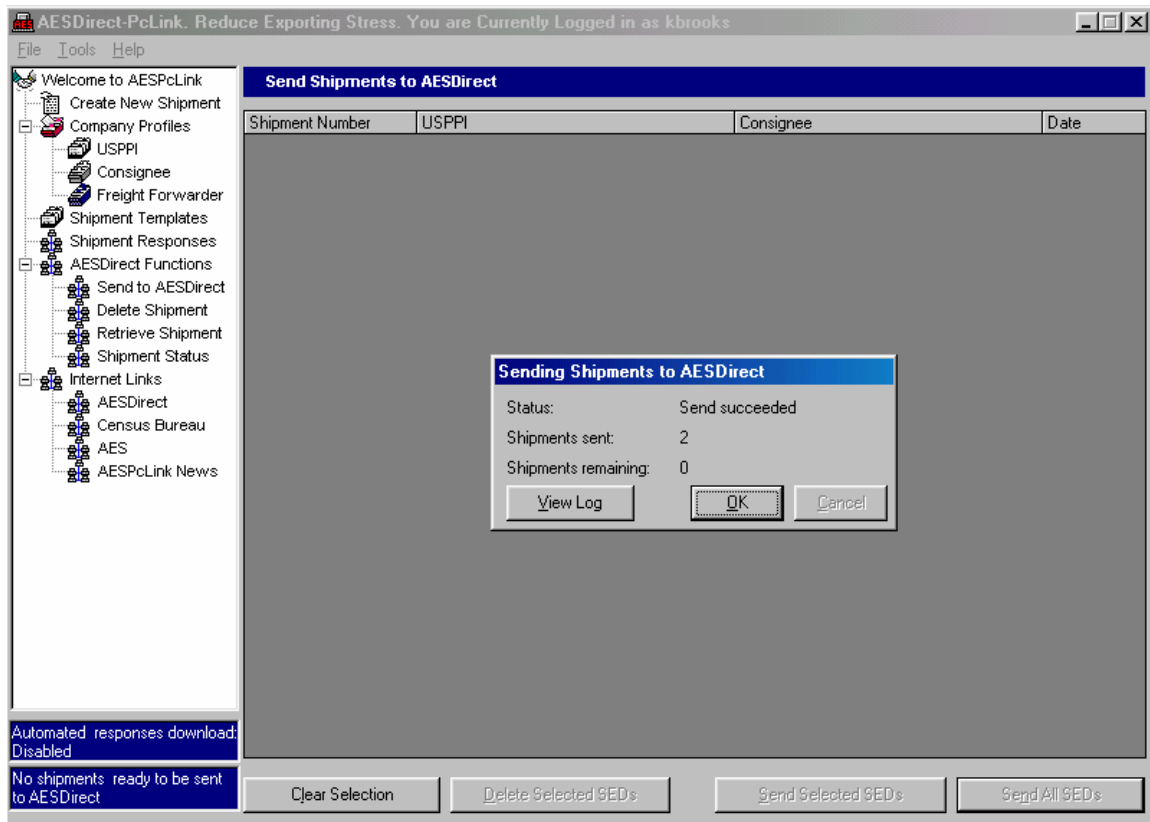
You do not need to be connected to the Internet to retrieve a shipment from your queue. You may edit, delete, or print a retrieved shipment, or you can save it as a template. Be aware, however, that when you delete a shipment, it is erased from your hard drive and cannot be restored.



When you select Send to AESDirect from the main menu, you will see the screen above displaying a list of all the SEDs in your queue. Refer to the blue box on the bottom left-hand side of the screen to see the number of SEDs you have waiting in the queue. *AESPCLink* will allow up to 2,000 SEDs to be saved in the queue at any one time.

You have four options on your Send Shipments to AESDirect screen.

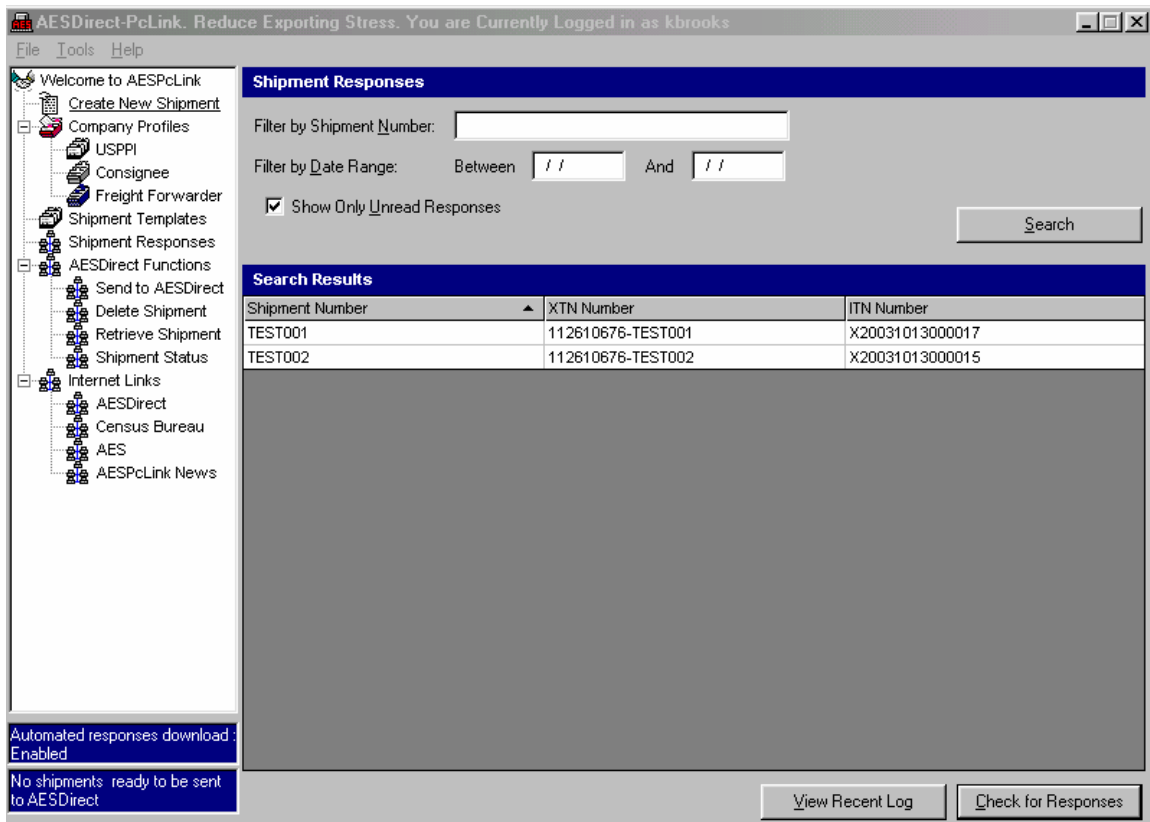
- Send All SEDs will send all your SEDs as a batch file if you are connected to the Internet. Once they have been uploaded, they are no longer resident on your hard drive unless you have saved them as templates. They will, however, be available permanently on *AESDirect* for retrieval.
- Send Selected SEDs lets you highlight the files you wish to upload to *AESDirect* while you are online.
- Delete Selected SEDs lets you permanently remove one or more SEDs from the queue. Be aware, however, as noted above, that unless you first save an SED as a template, it will be deleted from your *AESPCLink* files and cannot be restored.
- Clear Selection lets you deselect a file you have decided not to upload.



As shown above, when you submit your SEDs to *AESDirect*, you will receive an immediate confirmation message from *AESPcLink* stating the number of shipments sent successfully and the number of shipments remaining to be sent. If a shipment cannot be uploaded to *AESDirect* for any reason, it will remain in your *AESPcLink* queue and uploading will stop.

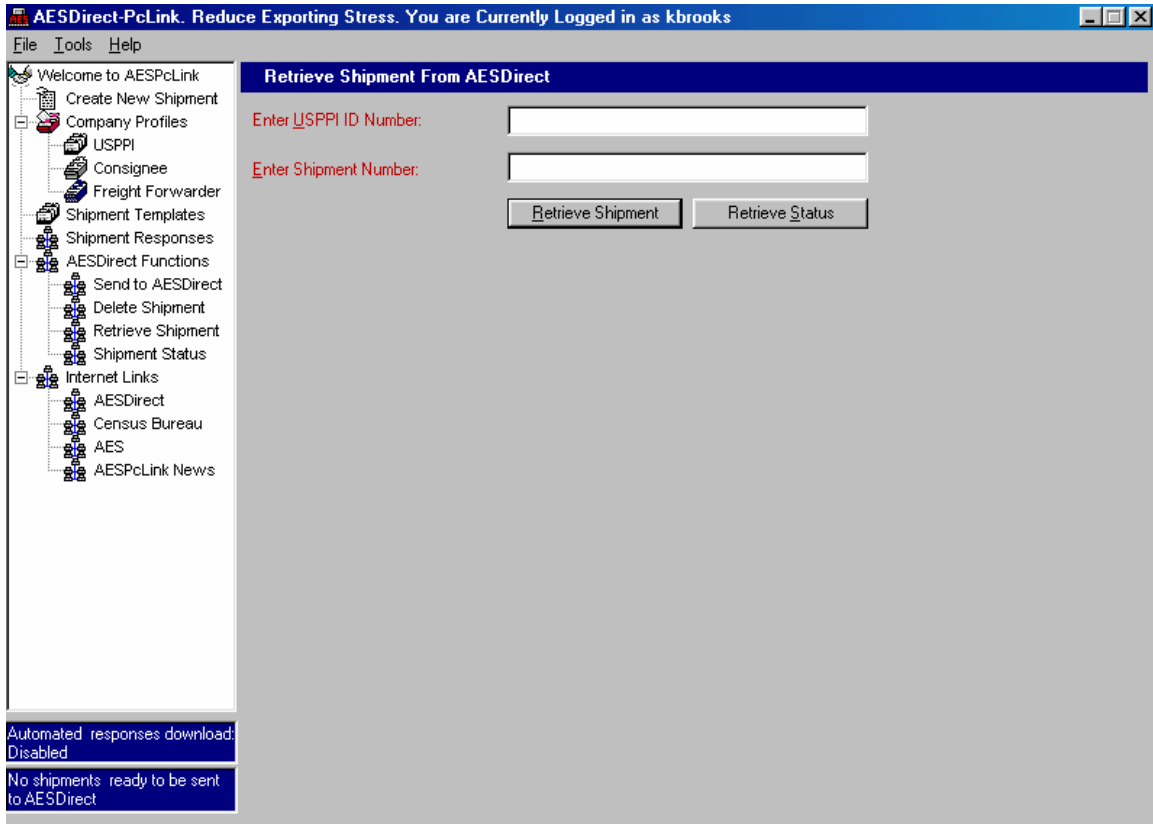
To review the record of your transmission session, click [View Log](#).





Accessing the Shipment Responses function on the main menu lets you retrieve your *AESDirect* and AES responses through a secure Internet communication with *AESPCLink*. You can have your responses retrieved automatically by selecting Automated Responses from the Tools menu on the gray bar at the top of your screen, or, if you choose, you may retrieve your responses on request. For either option, you must be connected to the Internet.

When you select Shipment Responses from the main menu, *AESPCLink* will display the screen shown above which allows you to review any or all shipment responses that have been received from *AESDirect*. To obtain the full Customs response click on the shipment you would like to review.



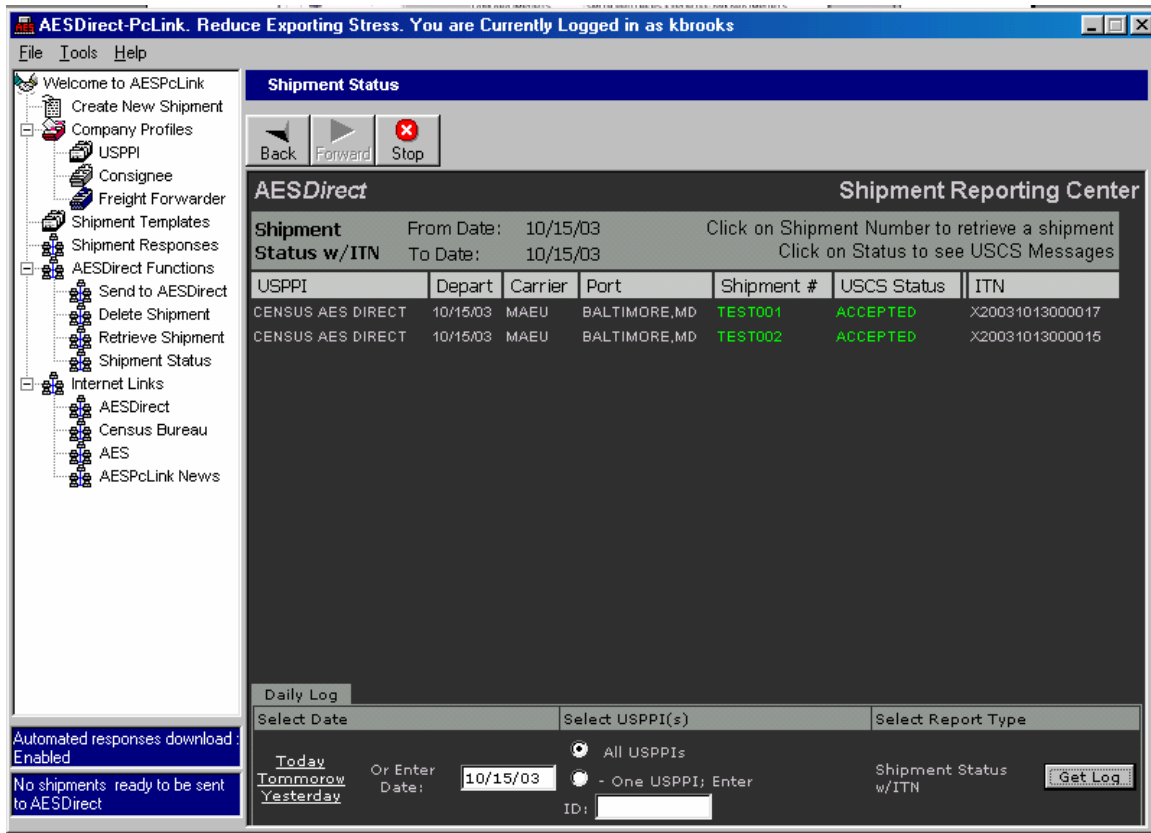
If you select either the Delete Shipment or the Retrieve Shipment from the main menu, you will need to enter the USPPI ID Number and the Shipment Number.

If you are deleting a shipment and it is found in *AESDirect*, it will be deleted from AES and shown as "Deleted" in the *AESDirect* Shipment Reporting Center. If it is not found, you will receive an error message.

If you are retrieving a shipment, you will use the screen shown above to do so. You will be able to retrieve either:

- An SED that has been accepted by *AESDirect*, or
- The Customs status message for that shipment.

A retrieved shipment can be corrected if needed and save for resubmission to *AESDirect* or it can be saved as a template.



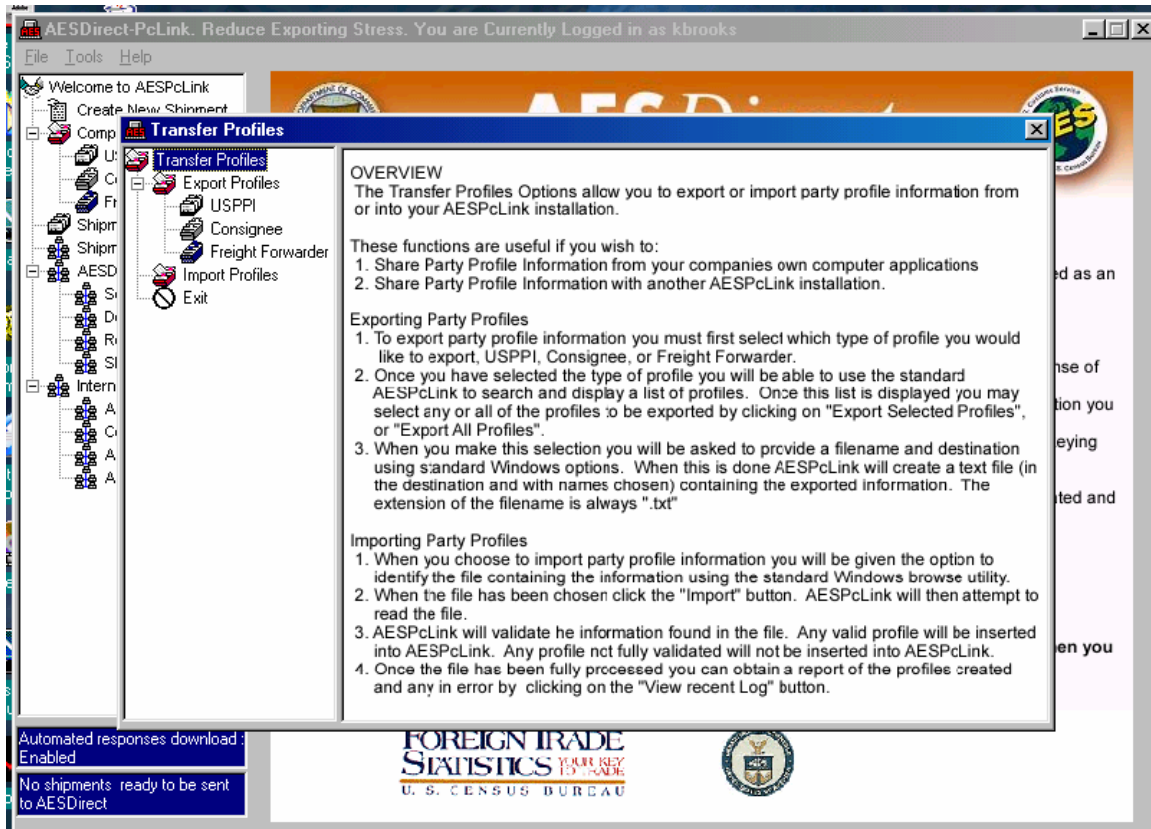
This is the Shipment Status option. It lets you view the status of your company's *AESDirect* account(s). All shipments for an account are displayed, not just those filed through *AESpCLink*

*Note: You cannot retrieve a shipment or open a Customs status message from within the Shipment Status function. You must use Retrieve Shipment instead.*

As shown above, when you open Shipment Status from the main menu, the *AESDirect* Shipment Reporting Center daily log will open in your *AESpCLink* window and display the shipments for your default USPPI for the current day. If you are a USPPI, these will be your shipments. If you are a forwarder, these will be the shipments for your default USPPI.

To view shipments for another day, select from the options shown on the control panel in the lower left-hand corner of the screen. Simply click Today, Tomorrow, Yesterday or enter the date in the text box and click Get Log.

You have the option of displaying all USPPIs or a particular USPPI by entering their 9- or 11-digit USPPI ID. Click on Get Log to retrieve the daily log for that USPPI from *AESDirect*.



Transfer Profiles lets you export or import party profiles from or into *AESPCoLink*. This permits you to share them with other filers in your company to eliminate re-keying. When you select this option from the Tools menu on the gray bar at the top of your screen, the pop-up window shown above will appear. It provides step-by-step instructions on how to complete this process. You can also import profiles from your company's existing database. Press <F1> when you are on the screen above for complete instructions.

## ***What data entry and item selection conventions are used in AESPcLink?***

AESPcLink uses the following conventions:

### **Color Coding**

AESPcLink follows the same color-coding system as AESDirect for data entry fields: mandatory fields are red, conditional fields in blue, and optional fields in black.

### **Help**

To access Help on any screen in AESPcLink press <F1>. You will see complete details on what to enter in a data field or how to use the function you have accessed. For example, all the details on completing the SED data fields given in this user guide can be accessed by pressing <F1> in any Edit Shipment section of AESPcLink.

### **Navigating**

To move between fields, use <Enter> or <Tab> or position your cursor in the field using your mouse. Alternately, you can hold down the <Alt> key and press the underlined letter to move to that field or button.

### **Lookups**

When the search box appears, enter the word or alpha string on which you wish to search. AESPcLink will search the first letters of the table based on the letters you entered. To search all the words in the table, use the “wildcard” procedure explained below.

### **Wildcards**

To use a wildcard to search a table or list, simply enter an asterisk (\*) before or in the alpha string you wish to search on in the search box. AESPcLink will display all entries in the table that include those letters. You do not have to enter the asterisk after the string because AESPcLink does it automatically.

***Note: Using a wildcard is important when searching the Schedule B table, because the first alpha string in an entry is usually not the one you will want to search on.***

When the matching list is displayed, double click on the entry you wish to select and the code will be automatically entered in the data field. You may also use a wildcard when using Search to retrieve a template or profile list.

## List Searches

List searches work like Lookups. When prompted, enter an alphanumeric string for the template or profile you wish to retrieve. You may use a “wildcard” to search as described above. When you click Search, a list of all matching entries will be displayed.

Alternately, do not enter any data in the search box, click Search, and a list of all entries will be displayed in alphanumeric order. To reverse the order of a display, click on the first field heading. To load an entry, double click on it.

## Item Selection

To select or deselect entries, follow the procedures below:

- **Select a single entry**  
Left click with your mouse on the desired entry.
- **Deselect a single entry**  
Left click on a previously selected item while holding down the <Control> key.
- **Select multiple contiguous entries**  
Hold down the <Shift> key, and click on the first entry to highlight it. Keep <Shift> pressed and click on the last item you wish to select to highlight the entire list.
- **Select a single entry, without deselecting highlighted entries**  
Left click on the new item while pressing <Control>.

## **Appendix**

*USPPI Overview, page 64*

*Routed Export Transactions, page 67*

*SED Units of Measure, page 69*

*SED Export Codes, page 69*

*SED License Types, page 69*

*Mexican State Codes, page 69*

*Government Links, page 70*

*Contact Information, page 71*

*Index, page 72*

## ***USPPI (U.S. Principal Party in Interest) Overview***

This document is an overview of the Foreign Trade Statistics Regulations (15 CFR Part 30) covering U.S. Principal Party in Interest and Forwarding Agent Responsibilities, and Power of Attorney.

### **Exporter of Record Replaced by U.S. Principal in Interest (USPPI)**

***The U.S. Principal Party in Interest*** - The person in the United States that receives the primary benefit, monetary or otherwise, of the export transaction.

#### ***Generally That Person Can Be The:***

- ***U.S. Seller*** (wholesaler/distributor) of the merchandise for export.
- ***U.S. Manufacturer*** if selling the merchandise for export.
- ***U.S. Order Party*** - Party who directly negotiated between the U.S. seller and foreign buyer and received the order for the export of the merchandise.
- ***Foreign Entity if in the U.S.*** when items are purchased or obtained for export.

### **Responsibility of USPPI and Forwarding Agent in a *Normal* Export Transaction**

#### ***USPPI***

- Prepare the SED/AES record OR authorize a forwarding or other agent to prepare and file the SED/AES record, with a power of attorney, written authorization, or signing the authorization on the paper SED.
- If authorizing a forwarding or other agent, provide information to such agent for completing the SED/AES record.
- Maintain documentation to support the information reported on the SED/AES record.



### ***Forwarding Agent***

- Prepare the SED/AES record based on information received from the USPPI or other parties to the transaction.
- Obtain a power of attorney, written authorization, or signed authorization on the paper SED from a principal party in interest.
- Provide the USPPI with a copy of the export information filed in the form of a completed SED, electronic facsimile, or in a manner prescribed by the USPPI.
- Maintain documentation to support information reported on the SED/AES record.

### **Responsibility of USPPI and Forwarding Agent in a *Routed Export Transaction* (see also pages 67-68)**

#### ***USPPI***

- Provide basic commodity information to the forwarding or other agent for completing the SED/AES record, including name, EIN or SSN, Schedule B number, and value, excluding ultimate consignee.
- Maintain documentation to support information provided to the forwarding or other agent.

***NOTE: In a routed export transaction, the USPPI is not required to provide the forwarding or other agent with a power of attorney or written authorization. For complete details see page 67.***

#### ***Forwarding Agent***

- Prepare, sign, and file the SED or prepare and submit the AES record based on information obtained from the USPPI and/or other parties to the transaction.
- Obtain a power of attorney or written authorization from the foreign principal party in interest to act on its behalf in the export transaction.
- Maintain documentation to support information reported on the SED/AES record.
- Upon request, provide the USPPI with documentation that the information provided by the USPPI was accurately reported on the SED/AES record.

## **Key Definitions**

### ***Principal Parties In Interest***

Those persons in a transaction that receive the primary benefit, monetary or otherwise, of the transaction. Generally the principals in a transaction are the seller and buyer. In most cases, the forwarding agent is not a principal party in interest.

### ***Routed Export Transaction***

A transaction where the foreign principal party in interest authorizes a U.S. forwarding or other agent to facilitate export of items from the United States.

### ***Ultimate Consignee***

The principal party located abroad that receives the exported or re-exported items. The ultimate consignee is not a forwarding agent or intermediary but may be the end user.

### ***USPPI***

The person in the United States that receives the primary benefit, monetary or otherwise of the transaction.

### ***Intermediate Consignee***

The person that acts as an agent for a principal party in interest for the purpose of effecting delivery of items to the ultimate consignee. The intermediate consignee may be a bank, forwarding agent, or other person who acts as an agent for a principal party in interest.

### ***Forwarding Agent***

The person in the United States who is authorized by a principal party in interest to perform the services required to facilitate the export of items from the United States. This may include air couriers or carriers. In routed export transactions, the forwarder and USPPI may be the same for compliance purposes under the EAR.

### ***Order Party***

The person in the United States who conducted the direct negotiations or correspondence with the foreign purchaser or ultimate consignee and who, as a result of these negotiations received the order from the foreign purchaser or the ultimate consignee.

**For Further Clarification of these regulations call the  
U.S. Census Bureau — Regulations, Outreach and  
Education Branch (301) 763-2238**

## ***Responsibilities of Parties in a Routed Export Transaction***

A routed export transaction is one in which the foreign principal party in interest authorizes a U.S. forwarding or other agent to prepare and file the SED or AES record. In such a transaction, the USPPI and forwarding agent have distinct responsibilities as explained below.

***Important: If the USPPI in a routed export transaction refuses to cooperate by proving their EIN or SSN, the Foreign Trade Division Regulations Branch will assist you in obtaining this information.***

### **USPPI Responsibilities**

In a routed export, the USPPI must maintain documentation to support the information provided to the forwarding or other agent for preparing the SED or AES record as specified in 15 CFR 30.11 of the Foreign Trade Statistics Regulations. The USPPI must also provide such forwarding or other agent with the following information to assist in preparing the SED or AES record:

1. Name and address of the USPPI
2. USPPI's EIN or SSN
3. Parties to Transaction (Related or Not-related)
4. Point of origin (State or FTZ)
5. Hazardous Materials (Yes or No)
6. Schedule B description of commodities
7. Domestic (D), foreign (F), or FMS (M) code
8. Schedule B number
9. Quantity/unit of measure
10. Value
11. Upon request from the foreign principal party in interest or its agent, the Export Control Classification Number (ECCN) or sufficient technical information to determine the ECCN
12. Any information that it knows will affect the determination of license authority.

*Note to above paragraph: For items in 11 and 12, where the foreign principal party in interest has assumed responsibility for determining and obtaining license authority, the EAR sets forth the information sharing requirements that apply at 15 CFR 758.3(c) of the EAR.*

## Forwarding or Other Agent Responsibilities

In a routed export transaction, the forwarding or other agent is responsible for:

- Obtaining a power of attorney or written authorization from the foreign principal party in interest to prepare and file the SED or AES record on its behalf.
- Preparing, signing, and filing the SED or AES record based on information obtained from the USPPPI or other parties involved in the transaction.
- Maintaining documentation to support the information reported on the SED or AES record, and upon request by the USPPPI provide appropriate documentation to the USPPPI verifying that the information provided by the USPPPI was accurately reported on the SED or AES record.

The forwarding or other agent must also provide the following export information on the SED or AES record:

1. Date of exportation
2. Transportation Reference Number, if vessel shipment
3. Bill of lading/air waybill number
4. Ultimate consignee
5. Intermediate consignee
6. Forwarding or other agent name and address
7. Forwarding or other agent EIN, DUNS, or SSN
8. Country of ultimate destination
9. Loading pier
10. Method of transportation
11. Exporting carrier
12. Port of export
13. Port of unloading, if vessel shipment
14. Containerized (Yes or No), if vessel shipment
15. Carrier Identification Code
16. Shipment Reference Number
17. Routed Export Transaction = Yes
18. Shipping Weight
19. ECCN, if required and not provided by USPPPI
20. License Authority, if not provided by USPPPI
21. Signature in the certification block on the paper SED (block 30 on Commerce Form 7525-V).

In a routed export transaction the USPPPI must be listed as the USPPPI on the AES record.

*Note to above paragraph: For items 19 and 20 (and where the foreign principal party in interest has assumed responsibility for determining and obtaining license authority), the EAR sets forth the information sharing requirements that apply at 15 CFR 758.3(c) of the EAR.*

### ***SED: Units of Measure***

The Unit of Measure for a given commodity is determined by the Schedule B or Harmonized Tariff Schedule classification of the commodity. In both *AESDirect* and *AESPCLink*, when you enter the classification of the commodity, the correct Unit of Measure will be automatically input for you. You must then input the Quantity of the commodity, stated in terms of the correct Unit of Measure.

For a description of the AES Units of Measure, find Appendix K of the AESTIR at: <http://www.cbp.gov/xp/cgov/export/aes/> under AES Technical Documentation

### ***SED: Export Information Codes***

AES Export Information Codes are used to categorize shipments and to indicate how much shipment information is required to be filed. For a description of the AES Export Information Codes, find Appendix E of the AESTIR at: <http://www.cbp.gov/xp/cgov/export/aes/> under AES Technical Documentation

### ***SED: License Types***

For a listing of license codes and descriptions for Commerce, Nuclear Regulatory Commission and State Department, find Appendix F of the AESTIR at: <http://www.cbp.gov/xp/cgov/export/aes/> under AES Technical Documentation

### ***Mexican State Codes***

State codes are required for shipments to ultimate consignees located in Mexico. For a listing of Mexican state codes, find Appendix F or the AESTIR at <http://www.cbp.gov/xp/cgov/export/aes/> under AES Technical Documentation

## ***Links to Government Web Sites***

From Government Sites under Links on the AES*Direct* Home Page, you can access the web sites for the following:

### **Census Bureau – Foreign Trade Division (FTD)**

<http://www.census.gov/foreign-trade/www/>

Provides information on foreign trade statistics, regulations, reference materials, and extensive details on AES.

### **Customs and Border Protection (CBP)**

<http://www.cbp.gov/xp/cgov/export/aes/>

Provides access to the Customs Export section, including information on AES; blocked, denied and debarred persons lists: and export documents, licenses and requirements.

### **Department of Commerce – Bureau of Industry and Security (BIS)**

<http://www.bis.doc.gov>

Provides information on export control basics, export administration policies and regulations, compliance and enforcement, seminars and training, and links to Export Administration Regulations (EAR), including the Commerce Control List (CCL).

### **Department of the Treasury – Office of Foreign Assets Control (OFAC)**

<http://www.treas.gov/offices/eotffc/ofac/>

Provides access to specially designated nationals (SDN) and blocked persons lists and sanction programs and country summaries.

### **Department of State – Directorate of Defense Trade Controls (DDTC)**

<http://pmdtc.org>

Provides information for registering with the DDTC and applying for a license to ship items on the U. S. Munitions List (USML). Includes a link to the International Traffic in Arms Regulations (ITAR).

### **Export.gov – U.S. Government Export Portal, International Trade Administration (ITA)**

[http://www.export.gov/comm\\_svc](http://www.export.gov/comm_svc)

Provides access to all export-related assistance and market information offered by the federal government.

## **Contact Information**

### **AESDirect Help Desk**

Hours: 7 Days a Week, 7:00 AM to 7:00 PM, EST

### **AESDirect and AESPcLink Technical Assistance**

Toll Free: 877-715-4433

Email: [boc-support@tradegate2000.com](mailto:boc-support@tradegate2000.com)

### **U.S. Census Bureau**

Hours: Monday to Friday, 7:30 AM to 5:00 PM, EST

### **Automated Export System (AES) Questions**

Toll Free: 800-549-0595

Email: [AskAES@census.gov](mailto:AskAES@census.gov)

### **Regulations on Filing Export Data**

Phone: 301- 763-2238

Email: [fdregs@census.gov](mailto:fdregs@census.gov)

### **Commodity Classifications**

Nondurable Goods (Sch. B Ch. 1-71) 301-763-3483

Durable Goods (Sch. B Ch. 72-98) 301-763-3259

### **USML and CCL Licensing Issues**

For licensing issues or information contact one of the appropriate licensing agencies:

#### **State Department Licenses**

Directorate of Defense Trade Controls: 202-663-2700

#### **Bureau of Industry and Security Licenses**

Washington, DC: 202-482-4811

Western Regional Office: 949-660-0144

### **Assistance in Exporting Worldwide**

#### **U.S. Commercial Service**

1-800-USA-TRADE

For questions, comments, corrections, or suggestions for improvements to this User Guide contact the author:

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International Trade Consultant

Phone: 212-666-3330

Email: [karen@karenbrooks.com](mailto:karen@karenbrooks.com)

# Index

## **AES - Automated Export System**

ITN - Internal Transaction Number, 10  
Relationship to *AESDirect*, 6  
System Responses, 12-13, 56, 57  
Web Site Link, 70

## **AESDirect Basics**

Account Activation, 16  
Account Administrator Responsibilities, 18  
Administrator Code, 17  
Certification Process, 15  
Contact Information, 71  
Create and File Shipment, 6, 19  
Filing Options, 9  
Password, 17  
Quizzes, 15  
Registration Process, 15  
Relationship to AES and *AESPCLink*, 6  
Security Procedures, 17  
Tutorial, 19  
User Name, 17

## **AESPCLink Basics**

Account Activation, 16, 39-40  
Benefits, 38  
Create and File Shipment, 6, 42  
Registration Process, 39  
Software Download and Upload, 39

## **AESPCLink Desktop Functions**

*AESDirect* Accounts, 41  
Change Language (English/Spanish), 41  
Clean Files, 41  
Commodity Code Lookup, 51  
Commodity Code Selection, 41, 50  
Company Profiles, 47-49  
Create New Shipment Options, 45  
Default Email, 41

Help Features, 44, 61-62  
Multiple Accounts, 39, 41  
Print SED, 45  
Save Shipment to Queue, 52-54  
Shipment Templates, 45-46  
System Messages, 52-54  
Transfer Profiles, 60  
Update Code Tables from CD-ROM, 41  
View Log, 41

## **AESPCLink Internet-Enabled Functions**

Automated Responses, 41, 57  
Create and File Shipments, 6, 42  
Delete Shipment, 58  
Retrieve Shipment, 58  
Send SEDs to *AESDirect*, 55-56  
Shipment Responses, 57  
Shipment Status, 59  
Update Code Tables from *AESDirect*, 41  
Update Software from *AESDirect*, 41

## **Definitions**

Domestic Export, 31  
Export Shipment, 7  
Foreign Export, 31  
Forwarding Agent, 66  
Intermediate Consignee, 27, 66  
ITN - Internal Transaction Number, 10  
Order Party, 66  
Origin, Country of, 31  
Origin, State of, 21  
Principal Parties in Interest, 66  
Related Company/Party, 24  
Routed Export Transaction, 24, 66, 67  
Shipment Reference Number, 10-11, 21  
State of Origin, 21  
Ultimate Consignee, 27, 66



## **Definitions, continued**

USPPI, 64, 66  
USPPI Address, 25, 49  
Value, 31  
XTN - External Transaction Number, 10

## **Department of Commerce - Bureau of Industry and Security (BIS)**

Contact Information, 71  
Commerce Control List (CCL)  
License Codes, 69  
Mandatory Filing, 8  
Web Site Link, 70

## **Department of State - Directorate of Defense Trade Controls (DDTC)**

Contact Information, 71  
U.S. Munitions List (USML)  
DDTC Data Fields, 32-33  
License Codes, 8, 69  
Mandatory Filing, 8  
Web Site Link, 70

## **Exception Procedures**

Cargo sold en route, 27-28  
Departure date unknown, 22  
Quantity unknown, 30  
SCAC/IATA code unknown, 23  
Ultimate consignee unknown, 27-28  
Value unknown, 31

## **SED - Data Fields**

1st and 2nd Quantity, 30  
1st and 2nd Unit, 30-31, 69  
Carrier SCAC/IATA, 23  
Commodity Description, 30  
Conveyance Name, 23  
Country of Destination, 22

DDTC Data Fields, 32-33  
Eligible Party Certification Indicator, 33  
Exemption Number, 32  
Quantity, 33  
Registration Number, 32  
Significant Military Equipment (SME) Indicator, 32  
Unit of Measure, 33  
USML Certification Code, 33  
Departure Date, 22  
ECCN, 32  
Email Response Address, 21  
Entry Number, 23  
Equipment Number, 36  
Export Code, 31, 69  
Foreign Trade Zone, 21  
Gross Weight, 31  
Hazardous, 24  
License Number, 32  
License Type, 32, 69  
Marks & Numbers, 30  
Mexican State Code, 28, 69  
Mode of Transport, 22  
Origin, Country of, 31  
Origin, State of, 21  
Port of Export, 22  
Port of Unlading, 22  
Related Company, 24  
Routed Transaction, 24  
SCAC/IATA Code, 23  
Schedule B/HTS, 29-30  
Seal Number, 36  
Shipment Number, 21  
Transportation Reference Number, 21  
Used Vehicle, 33  
Value, 31  
Vessel Flag, 23