



Jumping the Export Compliance Hurdles

Getting Your Goods Out
of The U.S.



Panel of Experts

- Jerome M. Greenwell, Chief, Regulation, Outreach & Education Branch, Foreign Trade Division, U.S. Census Bureau
- Robert Schaak, North America Customs Manager, Hewlett Packard
- Ikue Duncan, Manager, Export Controls, Toyota Motor Sales
- Beth Peterson, President, BPE, Inc



Jumping the Export Compliance Hurdles:

Getting Your Goods
Out of The U.S.

AES Filing Options

- Self-filing
 - AES
 - AES Direct
 - 3rd Party Software
 - Build you own software
- Authorized agent

Authorized Agent

- Negotiate fees.
- Execute Power of Attorney (POA).
- Provide export product matrix.
- Establish standard operating procedures.

Mandatory AES Requirements

- Complete and accurate information.
- Timely manner.
- Responding to fatal errors and warnings.
- Providing carrier with exemption statements or citations.
- Transmitting corrections or cancellations.
- Maintaining all necessary documentation related to the AES export transaction.

1a. U.S. PRINCIPAL PARTY IN INTEREST (USPPI) (Complete name and address)		2. DATE OF EXPORTATION	
		3. TRANSPORTATION REFERENCE NO.	
		ZIP CODE	
b. USPPI EIN (IRS) OR ID NO.	c. PARTIES TO TRANSACTION <input type="checkbox"/> Related <input type="checkbox"/> Non-related		
4a. ULTIMATE CONSIGNEE (Complete name and address)			
----- b. INTERMEDIATE CONSIGNEE (Complete name and address)			
5. FORWARDING AGENT (Complete name and address)			
		6. POINT (STATE) OF ORIGIN OR FTZ NO.	7. COUNTRY OF ULTIMATE DESTINATION
8. LOADING PIER (Vessel only)	9. METHOD OF TRANSPORTATION (Specify)	14. CARRIER IDENTIFICATION CODE	15. SHIPMENT REFERENCE NO.
10. EXPORTING CARRIER	11. PORT OF EXPORT	16. ENTRY NUMBER	17. HAZARDOUS MATERIALS Yes ___ No ___
12. PORT OF UNLOADING (Vessel and air only)	13. CONTAINERIZED (Vessel only) Yes ___ No ___	18. IN BOND CODE	19. ROUTED EXPORT TRANSACTION ___ Yes ___ No

20. SCHEDULE B DESCRIPTION OF COMMODITIES (Use columns 22-24)					
D/F or M (21)	SCHEDULE B NUMBER (22)	QUANTITY - SCHEDULE B UNITS (23)	SHIPPING WEIGHT (Kilograms) (24)	VIN/PRODUCT NUMBER/ VEHICLE TITLE NUMBER (25)	VALUE (U.S. dollars, omit cents) (Selling price or cost if not sold) (26)

27. LICENSE NO./LICENSE EXCEPTION SYMBOL/AUTHORIZATION	28. ECCN (When required)
29. Duly authorized officer or employee	
	The USPPI authorizes the forwarder named above to act as forwarding agent for export control and customs purposes.
30. I certify that all statements made and all information contained herein are true and correct and that I have read and understand the instructions for preparation of this document, set forth in the "Correct Way to Fill Out the Shipper's Export Declaration." I understand that civil and criminal penalties, including forfeiture and sale, may be imposed for making false or fraudulent statements herein, failing to provide the requested information or for violation of U.S. laws on exportation (15 U.S.C. Sec. 305; 22 U.S.C. Sec. 401; 18 U.S.C. Sec. 1001; 50 U.S.C. App. 2410).	
Signature	Confidential - For use solely for official purposes authorized by the Secretary of Commerce (13 U.S.C. 301 (g)).
Title	Printed name of signatory (do not include title)

SED Audit

- Are the parties to the transaction correct?
 - USPPI
 - EIN numbers
 - Related parties
- Trackable shipment reference number?
- Are the HTS/ECCN classifications accurate?

Timely Filing

- Some exporters are qualified for Post Departure filing.
- Most must file a specific number of hours prior to departure:

Vessel	24 hours (before lading)
Air	4 hours Wheels up from NAFTA and Central and South America above the equator
Rail	2 hours
Truck	1 hour non-Free and Secure Trade (FAST) 30 minutes FAST

ITN Numbers

- ITN provides a link to a create date and time for the record in AES to verify compliance with pre-departure filing requirements.

The screenshot displays a web-based interface with a light green background and orange borders. At the top, a section titled "Assistant" contains two bullet points: "The shipment you have requested has been retrieved." and "Click [View SED](#) to continue to the Shipment Viewer to view or edit this SED". Below this is a section titled "Shipment has been retrieved" with a "[Help]" link on the right. This section contains a table of shipment details:

USPPI:	KHOO/CECILIA84618
Filer ID:	112610676
Shipment Number:	TEST001
Status:	ACCEPTED/VERIFY
ITN:	X20040304000087

At the bottom of the interface, there are three buttons: "View SED", "Print SED", and "Use As A Template".

AES Daily Log

AESDirect

Shipment Reporting Center

Shipment
Status w/ITN

From Date: 06/01/06
To Date: 06/01/06

Click on Shipment Number to retrieve a shipment
Click on Status to see USCS Messages

USPPI	Depart	Carrier	Port	Shipment #	Customs Status	ITN
BAE SYSTEMS AIRCRAF	06/01/06	DHL	LOS ANGELES IN	787E0DD	REJECTED	
BAE SYSTEMS AIRCRAF	06/01/06	FDX	JOHN F. KENNED	8B134EE	REJECTED	
BAE SYSTEMS AIRCRAF	06/01/06	OZ	LOS ANGELES IN	1D95124EE	REJECTED	
LISANDRA	06/01/06	AAL	BALTIMORE WASH	ACCEPTED	ACCEPTED/VERIFY	X20060601000024
SANTIAGO BUZO	06/01/06	AA	SAN JUAN INTL.	TRAINING2	ACCEPTED	X20060601000076
SANTIAGO BUZO	06/01/06	AA	SAN JUAN INTL.	TRAINING3	ACCEPTED	X20060601000081
SANTIAGO BUZO	06/01/06	AA	SAN JUAN INTL.	TRAINING4	ACCEPTED	X20060601000082

[Daily Log](#)

[View Responses](#)

[Retrieve Shipments](#)

[Main Menu](#)

[Help](#)

Select Date

Select USPPI(s)

Select Report Type

[Today](#)
[Tomorrow](#)
[Yesterday](#)

Or Enter
Date:

06/01/06

All USPPIs

- One USPPI; Enter ID:

Shipment Status (ITN)

Authorized Agent Best Practices

- Transmit or provide your service provider with all of the AES information for each shipment:
 - EDI
 - SLI
- Request a copy of the AES filing for each shipment.
- Audit the service provider filings and review the findings with them.

Routed Transactions

- Written agreement/expressly assumes responsibility:
 - Terms and Conditions.
 - Contractual agreement.
- Responsibilities under Routed Transactions.

FOIA Requests

- First year of data is FREE. Every month after is \$125/mo.
 - EIN
 - Reason for Request
 - Time period requested
 - Agreement to pay the \$125/mo of data requested in excess of 1 year
- Excel file with all data (every data element in AES or SED).