

APPENDIX A – Commodity Filing Response Messages

# Automated Export System Commodity Filing Response Messages

## Appendix A

September 12, 2024



U.S. Customs and  
Border Protection



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**APPENDIX A – Commodity Filing Response Messages**
**Table of Changes:**

<b>Revision Number</b>	<b>Date of Change</b>	<b>Section(s) Affected</b>	<b>Brief Description of Change</b>
<b>4.2</b>	<b>09/12/24</b>	<b>Response Code 25B</b>	<b>Updated the resolution language for response code 25B</b>
<b>4.2</b>	<b>07/02/24</b>	Response Code 25B	Added response code 25B for ULT CONS COUNTRY CANNOT BE US
<b>4.2</b>	<b>05/21/24</b>	Response Code 5C3	Added response code 5C3 for DDTC USML CATEG 55 NOT ELIG FOR LIC TYPE.
<b>4.2</b>	<b>05/21/24</b>	Response Code 66Q	Updated Response 66Q severity from Compliance Alert to Fatal.
<b>4.2</b>	<b>05/01/24</b>	Response Code 667	Added reason (3) for fatal error response.
<b>4.1</b>	<b>04/01/24</b>	Response Codes 057, 058, 059, 060, 423, 424 & 426	Removal of the APID from error response.
<b>4.1</b>	<b>04/01/24</b>	Response Codes 070, 071, 147, 148, 227, 229, 230, 231, 26A, 264, 265, 266, 267, 268, 269, 270, 271, 272, 273, 274, 275, 276, 277, 278, 279, 280, 281, 282, 283, 284, 285, 286, 287, 288, 289, 290, 291, 292, 293, 294, 295, 297, 298, 299, 300, 301, 407, 408, 409, 415, 516 & 425	Replaced ‘Forwarding Agent’ with ‘Authorized Agent’ narrative text
<b>4.0</b>	<b>11/14/2023</b>	Response Code 26C	Update Response 26C severity from Informational to Compliance Alert
<b>3.9</b>	<b>08/14/2023</b>	Response Code 97H & 97R	Update Appendix A to Show 97H & 97R Severity from Active to Informational

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<b>3.8</b>	<b>05/26/2023</b>	Response Code 97H &97R	Update codes 97H and 97R to show as Active
<b>3.7</b>	<b>04/26/2023</b>	Response Code 5C2	Update to reason as unknown or the Date of Export is greater than the superseded date in AES
<b>3.6</b>	<b>03/30/2023</b>	Response Code 321	Update Response 321 to Show X.12 Segment ID/Data Elements Will occur in X12
<b>3.6</b>	<b>03/30/2023</b>	Response Code 232	Updated Response 232 to Show X12 Segment ID/Data Element: Will occur in X12
<b>3.5</b>	<b>03/20/2023</b>	Response Code 5C2	Updated Response 5C2 severity from Fatal to Informational.
<b>3.4</b>	<b>02/2023</b>	Response Code	Updated Response Narrative Text TO CAT XXI DETERMINATION NBR UNKNOWN
<b>3.3</b>	<b>12/2022</b>	Response Code 26C	Added Response Code 26C STATE OF ORIGIN / USPPI STATE MISMATCH
<b>3.2</b>	<b>11/2022</b>	Response Code 5C2	Added Response Code 5C2 for DDTC DDTC COMMODITY JURISDICTION NBR UNKNOWN
<b>3.1</b>	<b>11/2022</b>	Response Code 066	Removal of the Option 3 from error response.

**Commodity Filing Response Messages**

A Commodity Filing response may contain one or more of the following conditions. Each condition is noted in a single ES1 output record. The output ES1 record conveys to the filer/transmitter a single, discreet *condition* regarding an input validation or the *final disposition* of the AES action. Included in each response description is:

Narrative Text. This is the exact text that is returned in the ES1 record.

Severity. The severity of the condition is returned as the Severity Indicator.

Proprietary Record ID/Data Elements. This section lists the proprietary record(s) and data element(s) that have caused or contributed to the identified condition.

X.12 Segment ID/Data Elements. When applicable, this section lists the X.12 segment(s) and data element(s) that have caused or contributed to the identified condition.

Reason. This section states the reason that the condition was identified.

Resolution. This section prescribes a resolution to the problem, if any. Additional information may be presented here as well.

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FAILURE TO RESPOND TO FATAL CONDITION MESSAGES OR OTHERWISE TRANSMIT CORRECTIONS TO AES CONSTITUTES A VIOLATION OF THE PROVISIONS OF THE FOREIGN TRADE REGULATIONS.

Conditions can be found on the following pages:

Batch and Block Conditions .....	5
Shipment Transaction Conditions .....	19
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Party Reporting Conditions .....	44
Commodity Line Item Reporting Conditions .....	92
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**Note:** Table A contains a concise listing of all response codes and returned narrative text.

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**APPENDIX A – Commodity Filing Response Messages****Batch and Block Conditions****Response Code: 001**

**Narrative Text:** BATCH CONTROL MISSING – Z RECORD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Z Record

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The proprietary Z record that indicates the conclusion of the batch is missing.

**Resolution:** A syntactically correct batch begins with an A record and ends with a Z record. Verify, correct and retransmit.

**Response Code: 002**

**Narrative Text:** HEADER FILER ID MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Filer ID

**X.12 Segment ID/Data Elements:** ISA06

**Reason:** The Filer ID reported in the A record contains non-numeric values.

**Resolution:** The Filer ID must be reported as 9 numeric digits. Verify the Filer ID, correct the A record and retransmit.

**Response Code: 003**

**Narrative Text:** TRAILER FILER ID MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Z Record/Filer ID

**X.12 Segment ID/Data Elements:** ISA06

**Reason:** The Filer ID reported in the Z record contains non-numeric values.

**Resolution:** The Filer ID must be reported as 9 numeric digits. Verify the Filer ID, correct the Z record and retransmit.

**Response Code: 004**

**Narrative Text:** FILER/TRANSMITTER NOT AUTHORIZED TO SEND

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Transmitter ID, Filer ID, Communication Password

**X.12 Segment ID/Data Elements:** ISA02; ISA04; ISA06

**Reason:** The filer/transmitter combination was not recognized by AES.

**Resolution:** The combination of Transmitter ID, Filer ID, and Communication Password reported on the A record defines the pre-established AES transmitter/filer. The Transmitter/Filer combination must be authorized to file in AES. Check for errors, correct if appropriate and retransmit. Otherwise, contact your client representative for assistance.

**Response Code: 005**

**Narrative Text:** HEADER APPLICATION ID MUST BE XP

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**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Application Identifier

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The Application Identifier on the A record was not reported as 'XP'.

**Resolution:** The Application Identifier must be reported as 'XP' on the A record. Verify the Application Identifier, correct the A record and retransmit.

**Response Code: 006**

**Narrative Text:** TRAILER APPLICATION ID MUST BE XP

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Z Record/Application Identifier

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The Application Identifier on the Z record was not reported as XP.

**Resolution:** The Application Identifier must be reported as XP on the Z record. Verify the Application Identifier, correct the Z record and retransmit.

**Response Code: 007**

**Narrative Text:** HEADER FILER ID TYPE MUST BE E or D

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Filer ID Type

**X.12 Segment ID/Data Elements:** ISA05 where: 01 → D, 24 → E

**Reason:** The Filer ID Type on the A record was not reported as E or D.

**Resolution:** The Filer ID Type on the A record must be an **EIN** or **DUNS**. Verify the Filer ID Type, correct the A record and retransmit. If you are using X12, use the values as specified in the X12 601 Implementation Guide.

**Response Code: 008**

**Narrative Text:** TRAILER FILER ID TYPE MUST BE E or D

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Z Record/Filer ID Type

**X.12 Segment ID/Data Elements:** ISA05 where: 01 → D, 24 → E

**Reason:** The Filer ID Type on the Z record was not reported as E or D.

**Resolution:** The Filer ID Type on the Z record must be an **EIN** or **DUNS**. Verify the Filer ID Type, correct the Z record and retransmit.

**Response Code: 009**

**Narrative Text:** FILER ID TYPE / PROFILE CONFLICT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Filer ID Type

**X.12 Segment ID/Data Elements:** Will not occur in X.12

**Reason:** The Filer ID Type does not match exactly the Filer ID Type of the pre-established transmitter/filer profile found for the filer.

**Resolution:** The A record Filer ID Type must match exactly the Filer ID Type of the pre-established Filer/Transmitter profile defined in AES. Verify the Filer ID

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**APPENDIX A – Commodity Filing Response Messages**

Type, correct the A record and retransmit if appropriate. Otherwise contact your client representative for assistance.

**Response Code: 010**

**Narrative Text:** DEC IND MUST BE Y OR N

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Data Entry Center Indicator

**X.12 Segment ID/Data Elements:** BA107 where: NO → N, YES → Y

**Reason:** The Data Entry Center Indicator reported on the A record was not Y (Yes) or N (No).

**Resolution:** The A record Data Entry Center Indicator must be Y if the filer is claiming DEC privileges for the shipments enclosed in the batch or N if the filer is NOT claiming DEC privileges for the shipments enclosed in the batch. Verify the Date Entry Center Indicator, correct the A record and retransmit. For further assistance, contact your client representative.

**Response Code: 011**

**Narrative Text:** DEC CLAIM NOT ALLOWED BY FILER

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Data Entry Center Indicator, Transmitter ID, Filer ID

**X.12 Segment ID/Data Elements:** ISA02; ISA06; BA107 where: NO → N, YES → Y

**Reason:** The filer is not a known/approved Data Entry Center.

**Resolution:** A Data Entry Center is an AES filer authorized by Census to transmit an EEI. A DEC claim can only be made by those filers that have a signed agreement with Census to participate as a DEC. The Data Entry Center Indicator must be reported as N (No) if the filer/transmitter is not a known DEC. Verify the Data Entry Center Indicator, correct and retransmit if appropriate. If further information is need, contact your client representative.

**Response Code: 012**

**Narrative Text:** FILER HAS BEEN INACTIVATED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Transmitter ID, Filer ID, Communication Password

**X.12 Segment ID/Data Elements:** ISA02; ISA04; ISA06

**Reason:** The pre-established filer/transmitter profile is marked as 'inactive'.

**Resolution:** Verify the transmitter/filer information, correct and retransmit if appropriate. Otherwise, contact your client representative for assistance.

**Response Code: 013**

**Narrative Text:** HEADER TRANSMITTER DATE UNKNOWN

**Severity:** FATAL

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**Proprietary Record ID/Data Elements:** Input A Record/Transmitter Date

**X.12 Segment ID/Data Elements:** ISA09

**Reason:** The A record Transmitter Date was not a known date.

**Resolution:** The A record Transmitter Date must be a known date formatted as YYYYMMDD. This date does not have to be the current system date or within any specific date range. It is intended only as an aid in identifying responses to commodity shipment filings. Verify the Transmitter Date, correct the A record and retransmit.

**Response Code: 014**

**Narrative Text:** TRAILER TRANSMITTER DATE UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Z Record/Transmitter Date

**X.12 Segment ID/Data Elements:** ISA09

**Reason:** The Z record Transmitter Date was not a known date.

**Resolution:** The Z record Transmitter Date must be a known date formatted as YYYYMMDD. This date does not have to be the current system date or within any specific date range. It is intended only as an aid in identifying responses to commodity shipment filings. Verify Transmitter Date, correct the Z record and retransmit.

**Response Code: 015**

**Narrative Text:** A –Z RECORD NO MATCH: FILER ID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A and Input Z Record/Filer ID

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The Filer ID reported in the input A record does not match exactly the Filer ID reported in the input Z record.

**Resolution:** The Filer ID reported in the input A record must match exactly the Filer ID reported in the input Z record. Verify the Filer ID, correct and retransmit.

**Response Code: 016**

**Narrative Text:** A-Z RECORD NO MATCH: FILER ID TYPE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A and Input Z Record/Filer ID TYPE

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The Filer ID Type reported in the input A record does not match exactly the Filer ID Type reported in the input Z record.

**Resolution:** The Filer ID Type reported in the input A record must match exactly the Filer ID

Type reported in the input Z record. Verify the Filer ID Type, correct and retransmit.



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**APPENDIX A – Commodity Filing Response Messages****Response Code: 017**

**Narrative Text:** A-Z RECORD NO MATCH: APPLICATION ID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A and Input Z Record/Application ID

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The Application ID reported in the input A record does not match exactly the Application ID reported in the input Z record.

**Resolution:** The Application ID reported in the input A record must match exactly the Application ID reported in the input Z record. Verify the Application ID, correct and retransmit.

**Response Code: 018**

**Narrative Text:** A-Z RECORD NO MATCH: TRANSMITTER DATE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A and Input Z Record/Transmitter Date

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The Transmitter Date reported in the input A record does not match exactly the Transmitter Date reported in the input Z record.

**Resolution:** The Transmitter Date reported in the input A record must match exactly the Transmitter Date reported in the input Z record. Verify the Transmitter Date, correct and retransmit.

**Response Code: 019**

**Narrative Text:** A –Z RECORD NO MATCH: BATCH CONTROL NBR

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A and Input Z Record/Batch Control Number

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The Batch Control Number reported in the input A record does not match exactly the Batch Control Number reported in the input Z record.

**Resolution:** The Batch Control Number reported in the input A record must match exactly the Batch Control Number reported in the input Z record. Verify the Batch Control Number, correct and retransmit.

**Response Code: 020**

**Narrative Text:** A-Z RECORD NO MATCH: TRANSMITTER ID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A and Input Z Record/Transmitter ID

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The Transmitter ID reported in the input A record does not match exactly the Transmitter ID reported in the input Z record.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The Transmitter ID reported in the input A record must match exactly the Transmitter ID reported in the input Z record. Verify the Transmitter ID, correct and retransmit.

**Response Code: 021**

**Narrative Text:** > 999 BLOCKS SUBMITTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A and Input Z Records, Input B and Y Records

**X.12 Segment ID/Data Elements:** BA1 loop

**Reason:** The block (A-Z envelope) contained more than 999 batches (B-Y envelopes).

**Resolution:** A syntactically correct proprietary block begins with a B record and ends with a Y record. The B and Y records describe the USPPI for the enclosed commodity shipment transactions. No more than 999 blocks (B-Y envelopes) may be included in a single batch (A-Z envelope). Break the transmission into smaller batches and retransmit.

**Response Code: 022**

**Narrative Text:** BLOCK CONTROL MISSING – B RECORD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record

**X.12 Segment ID/Data Elements:** N1 segment; when: N101 = EX

**Reason:** The proprietary B record that indicates the beginning of a block is missing.

**Resolution:** A syntactically correct block begins with a B record and ends with a Y record. The B record is mandatory for all commodity filings. Verify the B record, correct and retransmit.

**Response Code: 023**

**Narrative Text:** BLOCK CONTROL MISSING – Y RECORD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Y Record

**X.12 Segment ID/Data Elements:** N1 segment; when: N101 = EX

**Reason:** The proprietary Y record that indicates the end of a block is missing.

**Resolution:** A syntactically correct block begins with a B record and ends with a Y record. The Y record is mandatory for all commodity filings. Verify the Y record, correct and retransmit.

**Response Code: 024**

**Narrative Text:** HEADER USPPI ID TYPE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N103; when: N101 = EX

**Reason:** The USPPI ID Type is missing from the B record.

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**Resolution:** Verify the USPPI ID Type, correct the B record and retransmit.

**Response Code: 025**

**Narrative Text:** TRAILER USPPI ID TYPE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Y Record/USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N103; when: N101 = EX

**Reason:** The USPPPI ID Type is missing from the Y record.

**Resolution:** Verify the USPPPI ID Type, correct the Y record and retransmit.

**Response Code: 026**

**Narrative Text:** HEADER USPPI ID TYP MUST BE E, D, or T

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N103 where: 1 → D, 24 → E, ZZ → T; when: N101 = EX

**Reason:** The USPPPI ID Type reported on the B record is not E, D, or T.

**Resolution:** The B record USPPPI ID Type must be **EIN**, **DUNS**, or **T** for Foreign Entity. Verify the USPPPI ID Type, correct the B record and retransmit.

**Response Code: 027**

**Narrative Text:** TRAILER USPPI ID TYP MUST BE E, D, or T

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Y Record/USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N103 where: 1 → D, 24 → E, ZZ → T; when: N101 = EX

**Reason:** The USPPPI ID Type reported on the Y record is not E, D, or T.

**Resolution:** The Y record USPPPI ID Type must be **EIN**, **DUNS**, or **T** for Foreign Entity. Verify the USPPPI ID Type, correct the Y record and retransmit.

**Response Code: 028**

**Narrative Text:** HEADER USPPI ID MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/ USPPI ID

**X.12 Segment ID/Data Elements:** N104; when: N101 = EX

**Reason:** The USPPPI ID is missing from the B record.

**Resolution:** The identifier of the party (USPPPI ID) filing the enclosed commodity shipment information within the block must be reported on the B record. Verify the USPPPI ID, correct the B record and retransmit.

**Response Code: 029**

**Narrative Text:** TRAILER USPPI ID MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Y Record/USPPI ID

**X.12 Segment ID/Data Elements:** N104; when: N101 = EX

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**Reason:** The USPPI ID is missing from the Y record.

**Resolution:** The identifier of the party (USPPI ID) filing the enclosed commodity shipment information within the block must be reported on the Y record. Verify the USPPI ID, correct the Y record and retransmit.

**Response Code: 030**

**Narrative Text:** HEADER USPPI ID MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID, USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N104; when: N101 = EX

**Reason:** The USPPI ID reported on the B record contains non-numeric values.

**Resolution:** When the USPPI ID Type is DUNS, positions 1-11 of the USPPI ID must be numeric. When the USPPI ID Type is EIN, positions 1-9 of the USPPI ID must be numeric. Verify the USPPI ID, correct the B record and retransmit.

**Response Code: 031**

**Narrative Text:** TRAILER USPPI ID MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Y Record/USPPI ID, USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N104; when: N101 = EX

**Reason:** The USPPI ID reported on the Y record contains non-numeric values.

**Resolution:** When the USPPI ID Type is DUNS, positions 1-11 of the USPPI ID must be numeric. When the USPPI ID Type is EIN, positions 1-9 of the USPPI ID must be numeric. Verify USPPI ID, correct the Y record and retransmit.

**Response Code: 032**

**Narrative Text:** HEADER USPPI ID INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID

**X.12 Segment ID/Data Elements:** N104; when: N101 = EX

**Reason:** The USPPI ID reported on the B record is ineligible.

**Resolution:** The first nine positions of the USPPI ID must not contain an ineligible value identified in AES. Verify the USPPI ID, correct the B record and retransmit. For further information, contact your client representative.

**Response Code: 033**

**Narrative Text:** TRAILER USPPI ID INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Y Record/USPPI ID

**X.12 Segment ID/Data Elements:** N104; when: N101 = EX

**Reason:** The USPPI ID reported on the Y record is ineligible.

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**Resolution:** The first nine positions of the USPPI ID must not contain an ineligible value identified in AES. Verify the USPPI ID, correct the Y record and retransmit. For further information, contact your client representative.

**Response Code: 034**

**Narrative Text:** HEADER USPPI EIN LOCATION INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID, USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N103 where: 24 → E; N104; when: N101 = EX

**Reason:** The USPPI ID Type has been specified as EIN, yet position 10-11 of the USPPI ID on the B record contains other than numeric or non-space alphanumeric values.

**Resolution:** When the input B record USPPI ID Type is an EIN, the 10-11 position of the USPPI ID are used at the discretion of the filer to signify a 'location' of the USPPI. If used, the value must be numeric or non-space alphanumeric with no leading or trailing spaces. If this location feature is not used, positions 10-11 must be zero filled. Verify the USPPI ID, correct the B record and retransmit.

**Response Code: 035**

**Narrative Text:** TRAILER USPPI EIN LOCATION INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Y Record/USPPI ID, USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N103 where: 24 → E; N104; when: N101 = EX

**Reason:** The USPPI ID Type has been specified as EIN, yet position 10-11 of the USPPI ID on the Y record contains other than numeric or non-space alphanumeric values.

**Resolution:** When the input Y record USPPI ID Type is an EIN, the 10-11 position of the USPPI ID are used at the discretion of the filer to signify a 'location' of the USPPI. If used, the value must be numeric or non-space alphanumeric with no leading or trailing spaces. If this location feature is not used, positions 10-11 must be zero filled. Verify the USPPI ID, correct the Y record and retransmit.

**Response Code: 036**

**Narrative Text:** HEADER USPPI LOCATN NOT ALLWED FOR TYPE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID, USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N103 where: 1 → D; N104; when: N101 = EX

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**Reason:** The USPPI ID Type has been specified as DUNS, yet position 10-11 of the USPPI ID on the B record contains other than zeroes.

**Resolution:** When the input B record USPPI ID Type is **DUNS**, the 10-11 position of the USPPI must be zero filled. Verify the USPPI ID, correct the B record and retransmit.

**Response Code: 037**

**Narrative Text:** TRAILER USPPI LOCATN NOT ALLWED FOR TYPE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Y Record/USPPI ID, USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N103 where: 1 → D; N104; when: N101 = EX

**Reason:** The USPPI ID Type has been specified as DUNS, yet position 10-11 of the USPPI ID on the Y record contains other than zeroes.

**Resolution:** When the input Y record USPPI ID Type is **SNN** or **DUNS**, the 10-11 position of the USPPI ID must be zero filled. Verify the USPPI ID, correct the Y record and retransmit.

**Response Code: 038**

**Narrative Text:** HEADER USPPI CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID, USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N103 where: ZZ → T; N104; when: N101 = EX

**Reason:** The USPPI ID on the B record contains leading spaces.

**Resolution:** When the input B record USPPI ID Type is **T** for Foreign Entity, the USPPI ID cannot contain leading spaces. Verify the USPPI ID, correct the B record and retransmit.

**Response Code: 039**

**Narrative Text:** TRAILER USPPI CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Y Record/USPPI ID, USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N103 where: ZZ → T; N104; when: N101 = EX

**Reason:** The USPPI ID on the Y record contains leading spaces.

**Resolution:** When the input Y record USPPI ID Type is **T** for Foreign Entity, the USPPI ID cannot contain leading spaces. Verify the USPPI ID, correct the Y record and retransmit.

**Response Code: 040**

**Narrative Text:** HEADER USPPI NAME MISSING

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**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI NAME

**X.12 Segment ID/Data Elements:** N102; when: N101 = EX

**Reason:** The name of the USPPI for the enclosed commodity shipment information is missing on the B record.

**Resolution:** The USPPI Name must be present on the B record (i.e., not spaces). Verify the USPPI Name, correct the B record and retransmit.

**Response Code: 041**

**Narrative Text:** TRAILER USPPI NAME MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Y Record/USPPI NAME

**X.12 Segment ID/Data Elements:** N102; when: N101 = EX

**Reason:** The name of the USPPI for the enclosed commodity shipment information is missing on the Y record.

**Resolution:** The USPPI Name must be present on the Y record (i.e., not spaces). Verify the USPPI Name, correct the Y record and retransmit.

**Response Code: 042**

**Narrative Text:** HEADER USPPI NAME CONTAINS LEADING SPCS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI NAME

**X.12 Segment ID/Data Elements:** N102; when: N101 = EX

**Reason:** The USPPI Name on the input B record contains leading spaces.

**Resolution:** The USPPI Name on the input B record cannot contain leading spaces.

Verify the USPPI Name, correct the B record and retransmit.

**Response Code: 043**

**Narrative Text:** TRAILER USPPI NAME CONTAINS LEADING SPCS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Y Record/USPPI NAME

**X.12 Segment ID/Data Elements:** N102; when: N101 = EX

**Reason:** The USPPI Name on the input Y record contains leading spaces.

**Resolution:** The USPPI Name on the input Y record cannot contain leading spaces. Verify the USPPI Name, correct the Y record and retransmit.

**Response Code: 044**

**Narrative Text:** HEADER USPPI NAME INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/ USPPI NAME

**X.12 Segment ID/Data Elements:** N102; when: N101 = EX

**Reason:** The USPPI Name contains an ineligible value.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The USPPI Name on the B record must not contain an ineligible value identified in AES. Verify the USPPI Name, correct the B record and retransmit.

**Response Code: 045**

**Narrative Text:** TRAILER USPPI NAME INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Y Record/USPPI NAME

**X.12 Segment ID/Data Elements:** N102; when: N101 = EX

**Reason:** The USPPI Name contains an ineligible value.

**Resolution:** The USPPI Name on the Y record must not contain an ineligible value identified in AES. Verify the USPPI Name, correct the Y record and retransmit.

**Response Code: 046**

**Narrative Text:** HEADER USPPI ID CANNOT = FLR ID FOR DEC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Filer ID, Data Entry Center Indicator; Input B Record/USPPI ID

**X.12 Segment ID/Data Elements:** ISA06; BA107 = YES; N104; when: N101 = EX

**Reason:** The Data Entry Center Indicator is set to Yes and the Filer ID on the input A record is the same as the USPPI ID on the input B record.

**Resolution:** If the input A record Filer ID is a known/approved Data Entry Center and the filer is making a DEC claim (Data Entry Center Indicator = **Y**), the USPPI ID on the input B record must be different from the A record's Filer ID. Verify the Filer ID, the Data Entry Center Indicator and the USPPI ID, correct appropriately and retransmit.

**Response Code: 047**

**Narrative Text:** TRAILER USPPI ID CANNOT = FLR ID FOR DEC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Filer ID, Data Entry Center Indicator; Input Y Record/USPPI ID

**X.12 Segment ID/Data Elements:** ISA06; BA107 = YES; N104; when: N101 = EX

**Reason:** The Data Entry Center Indicator is set to Yes and the Filer ID on the input A record is the same as the USPPI ID on the input Y record.

**Resolution:** If the A record Filer ID is a known/approved Data Entry Center and the filer is making a DEC claim (Data Entry Center Indicator = **Y**), the USPPI ID on the input Y record must be different from the A record's Filer ID. Verify the Filer ID, the Data Entry Center Indicator and the USPPI ID, correct appropriately and retransmit.



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**APPENDIX A – Commodity Filing Response Messages****Response Code: 048**

**Narrative Text:** B – Y RECORD NO MATCH: USPPI ID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record, Input Y Record/USPPI ID

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The USPPI ID reported on the input Y record does not match the USPPI ID reported on the input B record.

**Resolution:** The Y record USPPI ID must match exactly to the equivalent value in the proceeding B record. Verify the USPPI ID on the B and Y records, correct appropriately and retransmit.

**Response Code: 049**

**Narrative Text:** B – Y RECORD NO MATCH: USPPI ID TYPE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record, Input Y Record/USPPI ID TYPE

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The USPPI ID Type reported on the input Y record does not match the USPPI ID Type reported on the proceeding input B record.

**Resolution:** The Y record USPPI ID Type must match exactly to the equivalent value in the proceeding B record. Verify the USPPI ID Type on the B and Y records, correct appropriately and retransmit.

**Response Code: 05A**

**Narrative Text:** FILER ID TYPE ‘S’ NO LONGER ACCEPTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Filer ID Type

**X.12 Segment ID/Data Elements:** ISA05 where: 01 → D, 05 → S, 06 → E

**Reason:** The Filer ID Type on the A record was an SSN. SSN’s are no longer being accepted after December 3, 2009.

**Resolution:** The Filer ID Type on the A record must be an EIN or DUNS. Verify the Filer ID Type, correct the A record and retransmit.

**Response Code: 050**

**Narrative Text:** B – Y RECORD NO MATCH: USPPI NAME

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record, Input Y Record/USPPI NAME

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The USPPI Name reported on the input Y record does not match the USPPI Name reported on the proceeding input B record.

**Resolution:** The Y record USPPI Name must match exactly to the equivalent value in the proceeding B record. Verify the USPPI Name on the B and Y records, correct appropriately and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 051**

**Narrative Text:** > 999 TRANSACTIONS SUBMITTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/Input Y Record/Input SC1 Records

**X.12 Segment ID/Data Elements:** BA1 loops

**Reason:** The block (B-Y envelope) contained more than 999 commodity shipment transactions.

**Resolution:** A syntactically correct commodity shipment transaction begins with an SC1 record. There is not specific record type that ends a commodity shipment transaction. The SC1 record and the records that follow conditionally describe a shipment, the parties of interest to the transaction, transportation data references, and details of the commodities. No more than 999 commodity shipment transactions can be reported within a block (B-Y envelope). Break the batch into smaller blocks and retransmit.

**Response Code: 052**

**Narrative Text:** MISSING SC1 RECORD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** B-Y Block Envelope/Input SC1

**X.12 Segment ID/Data Elements:** BA1 loop

**Reason:** An 'unrecognizable' commodity shipment transaction was encountered.

**Resolution:** An 'unrecognized' commodity shipment transaction occurs when a) NO records are found between a B and a Y record, or b) when the record that follows the B record is NOT an SC1, yet prior to the Y record, an SC1 is found. When an 'unrecognizable' shipment transaction is encountered, a system generated SC1 record will immediately follow the B record, the ES1 condition record will follow the system generated SC1 record and the shipment transaction will be rejected. An 'unrecognized' shipment transaction condition results in only that 'shipment' being ignored. Any subsequent SC1 grouping in the block shall be edited for validity (i.e., the disposition of a single shipment transaction has no effect on any subsequent shipment transaction filed within the same block).  
Verify, correct and retransmit

**Response Code: 053** <Reserved for internal use only>

**Response Code: 054** <Reserved for internal use only>

**Response Code: 055**

**Narrative Text:** USPPI ID/TYPE: *-USPPI ID and ID Type -*

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID, USPPI ID Type

**X.12 Segment ID/Data Elements:** N104; when: N101 = EX

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The USPPI ID and ID Type are returned because of a fatal condition encountered on the Batch Control Header (A record) or Batch Control Trailer (Z record).

**Resolution:** Informational only.

**Response Code: 056**

**Narrative Text:** SHIPMENT REF NBR: - *Shipment Reference Number* -

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Reference Number

**X.12 Segment ID/Data Elements:** BA105

**Reason:** The Shipment Reference Number is returned because of a fatal condition encountered on the Batch Control Header (A record), Batch Control Trailer (Z record), Block Control Header (B record), or Block Control Trailer (Y record).

**Resolution:** Informational only.

**Response Code: 057**

**Narrative Text:** HEADER FILER ID MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Filer ID, Filer ID Type

**X.12 Segment ID/Data Elements:** ISA06, ISA05 where: 01 → D

**Reason:** The Filer ID reported in the A record contains non-numeric values.

**Resolution:** The Filer ID must be reported as 9 numeric digits when Filer ID Type reported as E or D. Verify the Filer ID, correct the A record and retransmit.

**Response Code: 058**

**Narrative Text:** TRAILER FILER ID MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Z Record/Filer ID, Filer ID Type

**X.12 Segment ID/Data Elements:** ISA06, ISA05 where: 01 → D

**Reason:** The Filer ID reported in the Z record contains non-numeric values.

**Resolution:** The Filer ID must be reported as 9 numeric digits when Filer ID Type reported as E or D. Verify the Filer ID, correct the Z record and retransmit.

**Shipment Transaction Conditions****Response Code: 06A**

**Narrative Text:** OPT 3(AEI) FILING CURRENTLY NOT ACTIVE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request indicator, Filing Option Indicator

**X.12 Segment ID/Data Elements:** BA102; YNQ01; YNQ02 where: RZ--> 2, RX-->4

**Reason:** Filing option 3 (AEI) has not been activated for processing.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** If the Shipment Filing Action Request Indicator is not **X** for cancel, then the SC1 record must contain a known Filing Option Indicator. The known Filing Option Indicators are **2** for PreDeparture or **4** for Post departure. Verify the filing Option Indicator on the SC1 record, correct and retransmit. If you need further assistance, contact your client representative.

**Response Code: 06B**

**Narrative Text:** FILING TYPE REQUIRED WHEN FILING OPT 3.

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/AEI Filing Type

**X.12 Segment ID/Data Elements:** YNQ01

**Reason:** Filing option 3 (AEI) requires AEI Filing Type.

**Resolution:** If the Shipment Filing Action Request Indicator is 3, filing type is required to be ‘P’ for partial, or ‘F’ for Full shipment filing. Verify the AEI filing type is accurate and present when filing Option 3 PreDeparture shipments on the SC1 record, correct and retransmit. If you need further assistance, contact your client representative.

**Response Code: 06C**

**Narrative Text:** FILNG OPT IND NOT ALLOWD TO CHG

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request indicator, Filing Option Indicator

**X.12 Segment ID/Data Elements:** BA102; YNQ01; YNQ02 where: RZ--> 2, RX-->4

**Reason:** Attempting to change Filing option indicator.

**Resolution:** Filing option indicator is not allowed to change value. Set the filing option indicator back to the value the shipment was accepted under, correct and retransmit. If you need further assistance, contact your client representative.

**Response Code: 06D**

**Narrative Text:** AEI F FILNG PREV RECVD;P FILNG NOT VALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/AEI Filing Type

**X.12 Segment ID/Data Elements:** YNQ01

**Reason:** Filing type must be ‘F’.

**Resolution:** A previous FULL filing was filed for this shipment. Partial filings are not allowed after a full filing has been received. Filing type must be ‘F’, correct and retransmit. If you need further assistance, contact your client representative.

**Response Code: 06E**

**Narrative Text:** DDTC RECORD NOT ALLOWED – OPTION 3 (AEI).

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input ODT Record

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**APPENDIX A – Commodity Filing Response Messages**

**X.12 Segment ID/Data Elements:** X108;X115;X105;X113;X110

**Reason:** ODT record type not allowed on AEI filing option 3.

**Resolution:** Remove ODT record from AES EEI filing.

**Response Code: 06F**

**Narrative Text:** SCHED B/HTS NBR NOT VALID FOR AEI FILNG

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** L1301

**Reason:** The Schedule B/HTS Number has been flagged as not being allowed for AEI Option 3 filings.

**Resolution:** Check to make sure you have the correct Schedule B/HTS Number, if the number is correct; submit the filing under correct filing option.

**Response Code: 06G**

**Narrative Text:** 'S' LIC TYPE CODE NOT ALLOWD - AEI

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** X107

**Reason:** 'S' class license codes, license codes prefixed with an 'S', are not allowed to file AEI option 3.

**Resolution:** Shipment will have to be filed under another filing option.

**Response Code: 06H**

**Narrative Text:** AEI NOT APPROVED FOR USPPI

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID; SC1 Record/Filing Option Indicator

**X.12 Segment ID/Data Elements:** N104; when: N101 = EX; YNQ01 RZ → 2

**Reason:** The USPPI is not approved for AEI filing privileges.

**Resolution:** The USPPI must be approved for AEI filing privilege and an 'Approved AEI Status' must be set in AES by Census before the filer can begin reporting AEI shipments..

Change the Filing Option Indicator on the SC1 record to 2 (PreDeparture) if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 06I**

**Narrative Text:** RECORD OUT OF SEQUENCE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Proprietary Records

**X.12 Segment ID/Data Elements:** BA1 loop

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** An unexpected record was encountered.

**Resolution:** Input proprietary records received from the trade are validated to ensure their structure and sequence is in conformance as that prescribed by the AESTIR. The AESTIR prescribes that record groups are submitted in the following order: Shipment Header Grouping, Shipment Transportation Detail, Shipment Party Grouping, and Commodity Line Item Grouping. Within each grouping, the AESTIR prescribes a further order by individual Record ID. An input record is considered as ‘out of sequence’ when its position within a shipment commodity transaction violates any of these prescribed orders. Verify, correct as appropriate and retransmit.

**Response Code: 062**

**Narrative Text:** UNKNOWN RECORD ID FOUND IN GROUPING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input Proprietary Records/Record Identifier

**X.12 Segment ID/Data Elements:** N/A

**Reason:** An unknown record type was encountered.

**Resolution:** Unknown proprietary input records are not allowed. Verify, correct and retransmit.

**Response Code: 063**

**Narrative Text:** RQSTD SHPMNT ACTN MUST BE A, C, R, OR X

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** BA102 where: 1 → A, 2 → C, RX → R, C → X

**Reason:** The AES action requested for this commodity shipment transaction is not an A, C, R, or X.

**Resolution:** The Shipment Filing Action Request Indicators on the SC1 record must be Add, Replace, Change, or X for Cancel. Verify the Shipment Filing Action Request Indicator on the SC1 record, correct and retransmit. If necessary refer to the filing guidelines to determine which action applies to this commodity shipment transaction.

**Response Code: 064**

**Narrative Text:** SHIPMENT REFERENCE NBR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Reference Number

**X.12 Segment ID/Data Elements:** BA105

**Reason:** The Shipment Reference Number on the SC1 record is missing.

**Resolution:** The unique identifier of the shipment known as the Shipment Reference Number (SRN) must be reported on the input SC1 record. The filer of

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**APPENDIX A – Commodity Filing Response Messages**

the export shipment provides this unique SRN that allows for the identification of the shipment in their system. The reuse of the SRN is prohibited. Verify the SRN on the SC1 record, correct and retransmit.

**Response Code: 065**

**Narrative Text:** SHIPMENT REFERENCE NBR CONTAINS SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Reference Number, Shipment Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** BA105

**Reason:** The Shipment Reference Number (SRN) reported on the input SC1 record contains spaces.

**Resolution:** If the SC1 Shipment Filing Action Request Indicator is an Add, than the SRN must be left justified and cannot contain embedded spaces. Verify the SRN on the SC1 record, correct and retransmit

**Response Code: 066**

**Narrative Text:** FILING OPT IND MUST BE 2 OR 4.

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request indicator, Filing Option Indicator

**X.12 Segment ID/Data Elements:** BA102; YNQ01; YNQ02 where: RZ--> 2, RX-->4

**Reason:** The Filing Option Indicator on the input SC1 record was not reported as 2, 3, or 4.

**Resolution:** If the Shipment Filing Action Request Indicator is not **X** for cancel, then the SC1 record must contain a known Filing Option Indicator. The known Filing Option Indicators are **2** for Pre-Departure or **4** for Post departure. Verify the filing Option Indicator on the SC1 record, correct and retransmit. If you need further assistance, contact your client representative.

**Response Code: 067**

**Narrative Text:** LICENSE VALUE MUST BE REPORTED & GT ZERO

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 License Value Amount

**X.12 Segment ID/Data Elements:** X114

**Reason:** The license value amount reported is 'zero' and the license code reported requires the license value amount to be reported.

**Resolution:** The license code reported requires the license value to be provided and must be greater than zero. For further assistance, contact your client representative. Verify, correct and retransmit.

**Response Code: 068**

**Narrative Text:** SHIPMENT NOT ON FILE; ACTION NOT ALLOWED

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input SC1 Record/ Shipment Reference Number,

Shipment Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** BA102 where: 2 → C, RX → R; BA105

**Reason:** The shipment is not on file in AES, therefore the requested action is not allowed.

**Resolution:** When the Shipment Filing Action Request Indicator is Change, Replace or X for Cancel, an export shipment must exist on file that matches the reported Shipment Reference Number for the filer. Verify the Shipment Filing Action Indicator and the Shipment Reference Number, correct and retransmit.

**Response Code: 069**

**Narrative Text:** SHIPMENT CANCELLED; ACTION NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/ Shipment Reference Number, Shipment Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** BA102; BA105

**Reason:** The shipment was previously cancelled, therefore the requested action is not allowed.

**Resolution:** An export shipment cannot have been previously cancelled by the filer. If the Shipment Reference Number was previously reported on an export shipment that was subsequently cancelled, that Shipment Reference Number may not be reused. Verify the Shipment Request Filing Action Indicator and the Shipment Reference Number on the SC1 record, correct and retransmit.

**Response Code: 070**

**Narrative Text:** PARTY TYPE MUST BE E, F, C, OR I

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/ Shipment Filing Action Request Indicator; Input N01 Record/ Party Type

**X.12 Segment ID/Data Elements:** BA102 where: 1 → A, RX → R, 2 → C; N101 where: EX →

E, FW → F, CN → C, IC → I

**Reason:** The Party Type on the input N01 record was not reported as E, F, C, or I.

**Resolution:** When the Shipment Filing Action Request Indicator is an Add, Change or Replace, each and every N01 party header record must contain a known Party Type. The known Party Types include the USPPI (E), the Authorized Agent (F), the Ultimate Consignee (C), or the Intermediate Consignee (I). Verify the Party Type on the input N01 record, correct and retransmit.

**Response Code: 071**

**Narrative Text:** DUPLICATE PARTY TYPE ENCOUNTERED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/ Shipment Filing Action Request Indicator; Input N01 Record/ Party Type



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**APPENDIX A – Commodity Filing Response Messages**

**X.12 Segment ID/Data Elements:** BA102 where: 1 → A, 2 → C, RX → R; N101

**Reason:** More than one of the same Party Type was reported on the input N01 record.

**Resolution:** One and only one of each party type may be reported on the input N01 record. When the Shipment Filing Action Request Indicator is an Add, Change or Replace, each and every N01 party header record must contain a known Party Type. The known Party Types include the USPPI (E), the Authorized Agent (F), the Ultimate Consignee (C), or the Intermediate Consignee (I). The shipment party grouping can be reported up to four times within a single commodity shipment transaction grouping, but there can be only one of each party type. Verify the Party Type, correct and retransmit.

**Response Code: 072**

**Narrative Text:** SHIPMENT CANNOT BE CORRECTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** BA102

**Reason:** The export shipment cannot be corrected.

**Resolution:** The shipment cannot be changed or replaced. Contact CBP port of export with your ITN information for further instructions on how to resolve the issue.

**Response Code: 073**

**Narrative Text:** SHIPMENT CANNOT BE CANCELLED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** BA102 where: C → X

**Reason:** The export shipment cannot be cancelled.

**Resolution:** The commodity shipment cannot be cancelled if a CBP action is pending. Contact your client representative for further information.

**Response Code: 074**

**Narrative Text:** EXTRANEIOUS DATA CANNOT FOLLOW FOR DELETE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1Record/Line Item Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** Will not occur in X.12

**Reason:** The Line Item Filing Action Request Indicator on the input CL1 record was reported as Delete and extraneous records were included.

**Resolution:** When the Line Item Filing Action Request Indicator on the input CL1 record is reported as Delete, no line item commodity detail (CL2 record), no DDTC license detail (ODT record) or no used vehicle detail (EV1 record) is

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**APPENDIX A – Commodity Filing Response Messages**

allowed to follow the line item detail (CL1 record). Verify, correct and retransmit.

**Response Code: 075**

**Narrative Text:** SRN ON FILE; ACTION NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request Indicator, Shipment Reference Number (SRN)

**X.12 Segment ID/Data Elements:** BA102 where: 1 → A; BA105

**Reason:** The SRN is already on file in AES.

**Resolution:** When the Shipment Filing Action Request Indicator is an Add, the export shipment cannot exist on file in AES that matches the reported SRN for the filer. The reuse of the SRN is prohibited. Verify the action requested and the SRN on the SC1 record, correct and retransmit.

**Response Code: 076**

**Narrative Text:** USPPI CHANGED POST DEPARTURE

**Severity:** COMPLIANCE ALERT

**Proprietary Record ID/Data Elements:** Input A Record/Data Entry Center Indicator; Input B

Record/USPPI ID; Input SC1 Record/Shipment Filing Action Request Indicator, Estimated Date of Export

**X.12 Segment ID/Data Elements:** BA102 where: 2 → C, RX → R; BA107 where: NO → N; N104; when N101 = EX

**Reason:** The Shipment Filing Action Request Indicator was reported as Change or Replace on the input SC1 record and a change to the USPPI was detected. While AES will allow a change to the USPPI information post departure, every effort should be made to ensure the correct USPPI information is reported prior to departure.

**Resolution:** No action required. Review filing practices; take steps to ensure any necessary changes to the USPPI information is reported prior to departure if possible.

**Response Code: 077**

**Narrative Text:** COMMODITY LINE ITEM MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** BA012; L13 loop

**Reason:** No commodity line items were included in the shipment transaction.

**Resolution:** When the Shipment Filing Action Request Indicator is an Add or Replace, at least one commodity line item grouping must be included in the transaction. Verify, correct and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 078**

**Narrative Text:** LINE ACTION MUST BE ADD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request Indicator; CL1 Record/Line Item Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** BA102; L1314

**Reason:** The Line Item Filing Action Request Indicator was not Add.

**Resolution:** When the Shipment Filing Action Request Indicator is an Add or Replace on the SC1 record each and every incoming CL1 record must have a Line Item Filing Action Request Indicator of Add. Verify the shipment and line filing action requested on the SC1 and CL1, correct and retransmit.

**Response Code: 079**

**Narrative Text:** LICENSE VALUE CONTAINS NON-NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 License Value Amount

**X.12 Segment ID/Data Elements:** X114

**Reason:** The license value reported in CL1 record contains non-numeric or spaces.

**Resolution:** The license value amount must conditionally be declared on the EEI as numeric. Round to whole dollars, right justify and zero fill unused positions. Zero fill if not required. For further assistance, contact your client representative. Verify, correct and retransmit.

**Response Code: 080**

**Narrative Text:** LINE NBR NOT IN ASCENDING SEQUENCE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Line Number

**X.12 Segment ID/Data Elements:** L1307

**Reason:** Line Number was not in ascending order.

**Resolution:** With the exception of the first line, each and every incoming CL1 record Line Number must be greater than the preceding Line Number (i.e., line numbers must always be reported in an ascending order). Verify the Line Number reported on the CL1 record, correct and retransmit

**Response Code: 081**

**Narrative Text:** OPT 4 PRIVILEGE NOT YET ACTIVE FOR USPPI

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID; SC1 Record/Filing Option Indicator, Estimated Date of Export

**X.12 Segment ID/Data Elements:** N104; when: N101 = EX; YNQ01 where: RX → 4, RZ → 2

**Reason:** The Estimated Date of Export is earlier than the profile's filing status date.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The USPPI must be approved for Post Departure filing privilege and an ‘Approved Opt 4 Status’ must be set in AES by Census before the filer can begin reporting Post departure shipments.

Change the Filing Option Indicator on the SC1 record to 2 (PreDeparture) if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 082**

**Narrative Text:** USPPI NOT OPT 4 ELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID; SC1 Record/Filing Option Indicator

**X.12 Segment ID/Data Elements:** N104; when: N101 = EX; YNQ01 where: RZ → 2

**Reason:** The USPPI is not approved for Option 4 filing privilege.

**Resolution:** The USPPI must be approved for Post departure filing privilege. Change the Filing Option Indicator on the SC1 record to 2 (PreDeparture) if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 083**

**Narrative Text:** USPPI’S OPT 4 PRIVILEGE DENIED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID; SC1 Record/Filing Option Indicator

**X.12 Segment ID/Data Elements:** N104; when: N101 = EX; YNQ01 where: RZ → 2

**Reason:** The USPPI is not approved for Post departure filing.

**Resolution:** The USPPI’s Post departure filing privilege is denied. Change the Filing Option Indicator on the SC1 record to 2 (PreDeparture) if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 084**

**Narrative Text:** USPPI’S OPT 4 PRIVILEGE REVOKED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID; SC1 Record/Filing Option Indicator

**X.12 Segment ID/Data Elements:** N104; when: N101 = EX; YNQ01 where: RZ → 2

**Reason:** The USPPI is not approved for Post departure filing.

**Resolution:** The USPPI’s Post departure filing privilege is revoked. Change the Filing Option Indicator on the SC1 record to 2 (PreDeparture) if appropriate and retransmit. For further assistance, contact your client representative.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 085**

**Narrative Text:** RQSTD LINE ACTION MUST BE A, C, OR D

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Line Item Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** L1314 where: 1 → A, 2 → C, 3 → D

**Reason:** The requested line item action was not an add, change or delete.

**Resolution:** The Line Item Filing Action Request Indicator on the CL1 record must be Add, Change, or Delete. Verify the Line Item Filing Action Request Indicator, correct the CL1 record, and retransmit.

**Response Code: 086**

**Narrative Text:** LINE NBR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Line Number

**X.12 Segment ID/Data Elements:** L1307

**Reason:** The Line Number is missing from the CL1 record.

**Resolution:** Each and every incoming CL1 record must have a unique Line Number. Verify the Line Number on the CL1 record, correct and retransmit

**Response Code: 087**

**Narrative Text:** LINE NBR MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Line Number

**X.12 Segment ID/Data Elements:** L1307

**Reason:** The Line Number on the CL1 record contained a non-numeric value.

**Resolution:** Each and every incoming CL1 record must have a unique Line Number. The Line Number must be numeric. Verify the Line Number on the CL1 record, correct and retransmit

**Response Code: 088**

**Narrative Text:** LINE ON FILE; ACTION NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request Indicator; Input CL1 Record/Line Number, Line Item Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** BA102 where: 2 → C; L1314 where: 1 → A; L1307

**Reason:** The reported Line Number for the shipment already exists on the file, therefore the Add action was not allowed for the line item.

**Resolution:** When the Shipment Filing Action Request Indicator on the SC1 record is Change and the Line Item Filing Action Request Indicator on the CL1 record is Add, an export shipment commodity cannot exist on the file that matches the reported Line Number for the shipment. Verify, correct and retransmit

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 089**

**Narrative Text:** LINE NOT ON FILE; ACTION NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request Indicator; Input CL1 Record/Line Number, Line Item Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** BA102 where: 2 → C; L1314 where: 2 → C; L1307

**Reason:** The reported Line Number for the shipment was not found on file, therefore the Change action was not allowed.

**Resolution:** When the Shipment Filing Action Request Indicator on the SC1 record is a Change and the Line Item Filing Action Request Indicator on the CL1 record is a Change, an export shipment must exist on file that matches the reported Line Number for the shipment. Verify, correct and retransmit.

**Response Code: 090**

**Narrative Text:** LINE CANNOT BE CORRECTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Line Number, Line Item Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** L1307; L1314 where: 2 → C

**Reason:** The line item cannot be corrected, pending CBP action.

**Resolution:** For further assistance, contact your client representative.

**Response Code: 091**

**Narrative Text:** LINE CANNOT BE DELETED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Line Number, Line Item Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** L1307; L1314 where: 3 → D

**Reason:** The line item cannot be deleted, pending CBP action.

**Resolution:** For further assistance, contact your client representative.

**Response Code: 092**

**Narrative Text:** ACTION WOULD DELETE LAST LINE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request Indicator; Input CL1 Record/Line Number, Line Item Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** BA102; L1307; L1314

**Reason:** The requested action would delete the last line of the commodity shipment.

**Resolution:** The filer is not allowed to delete ALL of the lines from the commodity shipment using the SC1 change action. The combined line level

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**APPENDIX A – Commodity Filing Response Messages**

actions (any combination with a line ‘delete’ request) must leave the shipment with, at least, one line. Verify the action requested, correct and retransmit.

**Response Code: 093**

**Narrative Text:** EXTRANEIOUS DATA CANNOT FOLLOW FOR CANCEL

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** Will not occur in X.12

**Reason:** The requested action was X for Cancel and the SC1 was followed by other than another SC1 or a Y record.

**Resolution:** When the Shipment Filing Action Request Indicator reported on the SC1 record is X for Cancel, subsequent records are not allowed to follow the shipment header (SC1) record for the commodity shipment transaction. Only an SC1 record or a Y record can follow. Verify, correct and retransmit.

**Response Code: 094**

**Narrative Text:** > 999 TRANSPORTATION DETAILS SUBMITTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC3 Records

**X.12 Segment ID/Data Elements:** VID segment

**Reason:** More than 999 SC3 records were encountered in the transaction.

**Resolution:** No more than 999 SC3 records can be reported in a transaction. For further assistance, contact your client representative.

**Response Code: 095**

**Narrative Text:** > 999 LINE ITEM GROUPINGS SUBMITTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Records

**X.12 Segment ID/Data Elements:** L13 loop

**Reason:** More than 999 CL1 records were encountered in the transaction.

**Resolution:** No more than 999 CL1 records can be reported in a transaction. For further assistance, contact your client representative.

**Response Code: 096**

**Narrative Text:** > 999 USED VEHICLES DETAILS SUBMITTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Records

**X.12 Segment ID/Data Elements:** VEH segment

**Reason:** More than 999 EV1 records were encountered in the transaction.

**Resolution:** No more than 999 EV1 records can be reported in a commodity line item grouping. For further assistance, contact your client representative.

**Response Code: 097**

**Narrative Text:** >999 LINE ITEMS FOUND – NOT ALLOWED

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**APPENDIX A – Commodity Filing Response Messages**

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Shipment Filing Action Request Indicator; Input CL1 Record/Line Item Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** L13 loop

**Reason:** The requested Add action would have added more than 999 line items for the commodity shipment.

**Resolution:** No more than 999 commodity line items can be recorded in AES for a commodity shipment. The commodity shipment transaction is rejected if the number of *existing* commodity lines + *submitted* ‘add’ commodity lines exceed 999.

**Response Codes 098 – 099 Reserved****Response Code: 100**

**Narrative Text:** EST DATE OF EXPORT MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export

**X.12 Segment ID/Data Elements:** DTM01; DTM02

**Reason:** The Estimated Date of Departure is missing from the SC1 record.

**Resolution:** A filer’s estimated date of export (i.e., departure) from the departure port must be declared on an EEI. Estimated the date of departure if the actual date is not known at the time of filing, correct the SC1 record and retransmit.

**Response Code: 101**

**Narrative Text:** ESTIMATED DATE OF EXPORT UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export

**X.12 Segment ID/Data Elements:** DTM01; DTM02

**Reason:** The reported Estimated Date of Export was not a valid date.

**Resolution:** The Estimated Date of Departure reported on the SC1 record must be a valid date reported in YYYYMMDD format. Verify the Estimated Date of Departure, correct the SC1 record and retransmit.

**Response Code: 102**

**Narrative Text:** EST DATE OF EXPORT MUST BE GT 5/31/95

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export

**X.12 Segment ID/Data Elements:** DTM01; DTM02

**Reason:** The Estimated Date of Export reported was earlier than June 1, 1995.

**Resolution:** AES cannot accept exportations dated earlier than the start date of June 1, 1995.



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**APPENDIX A – Commodity Filing Response Messages**

Verify the Estimated Date of Export, correct the SC1 record if appropriate and retransmit. Otherwise, contact your client representative for assistance.

**Response Code: 103**

**Narrative Text:** EST DATE OF EXPORT > 120 DAYS IN FUTURE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export

**X.12 Segment ID/Data Elements:** DTM01; DTM02

**Reason:** The Estimated Date of Departure reported was more than 120 days in the future.

**Resolution:** AES cannot accept an estimated date of departure more than 120 days before the anticipated departure of the shipment. Verify the estimated date of departure, correct the SC1 record if appropriate and retransmit. Otherwise, contact your client representative for assistance.

**Response Code: 104**

**Narrative Text:** MODE OF TRANSPORTATION MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code

**X.12 Segment ID/Data Elements:** BA103

**Reason:** The Mode of Transportation Code (MOT) is missing from the SC1 record.

**Resolution:** The method of transportation by which the cargo is exported must be declared on an EEL. See 'Appendix T, Mode of Transportation Codes' for a list of acceptable methods of transportation codes used in AES. Verify the mode of transportation, select the appropriate Mode of Transportation Code from the list in Appendix T, correct the SC1 record and retransmit.

**Response Code: 105**

**Narrative Text:** MODE OF TRANSPORTATION UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code

**X.12 Segment ID/Data Elements:** BA103

**Reason:** The Mode of Transportation Code reported on the SC1 record was not an acceptable value in AES.

**Resolution:** The Mode of Transportation Code reported on the SC1 record must be one recognized in AES and listed in the 'Appendix T, Mode of Transportation Codes'. Verify the mode of transportation, select the appropriate Mode of Transportation Code from the list in Appendix T, correct the SC1 record and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 106**

**Narrative Text:** COUNTRY OF ULT DESTINATION MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code

**X.12 Segment ID/Data Elements:** BA104

**Reason:** The Country of Ultimate Destination is missing from the SC1 record.

**Resolution:** The country of ultimate destination is the one in which the goods are to be consumed, used in a manufacturing process, etc. and must be declared on an EEI. ‘Appendix C, ISO Country Codes’, provides the list of acceptable ISO country codes to be reported in AES. Verify the country of ultimate destination, select the appropriate ISO code from Appendix C, correct the SC1 record and retransmit.

**Response Code: 107**

**Narrative Text:** COUNTRY OF ULT DESTINATION UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code

**X.12 Segment ID/Data Elements:** BA104

**Reason:** The Country of Ultimate Destination reported on the SC1 record is not an acceptable value in AES.

**Resolution:** The Country of Ultimate Destination Code must be a valid ISO country code listed in the ‘Appendix C, ISO Country Codes’. Verify the country of ultimate destination, select the appropriate ISO code, correct the SC1 record and retransmit.

**Response Code: 108**

**Narrative Text:** PR TO US SHIPMENT NOT ALLOWED FOR MOT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code, Method of Transportation Code

**X.12 Segment ID/Data Elements:** BA103; BA104

**Reason:** The Mode of Transportation Code reported on the SC1 record is not allowed for shipments from Puerto Rico to the United States.

**Resolution:** Only Mode of Transportation Codes for vessel, air or mail shipments are allowed for a shipment from Puerto Rico to the United States. Verify the method of transportation; select the appropriate Mode of Transportation Code from Appendix T. Verify the country of ultimate destination and select the appropriate ISO Code from Appendix C. Correct and retransmit. For further assistance, contact your client representative.

**Response Code: 109**

**Narrative Text:** STATE OF ORIGIN MISSING

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**APPENDIX A – Commodity Filing Response Messages**

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/US State of Origin Code

**X.12 Segment ID/Data Elements:** BA108

**Reason:** The U.S. State of Origin Code is missing from the SC1 record.

**Resolution:** The U.S. state, territory or possession from which the goods began its journey to the departure port must be declared on an EEI. The U.S. Postal Service State Code is reported as the U.S. State of Origin Code. Verify the U.S. State of Origin, select the appropriate state code from the USPS, correct the SC1 record and retransmit.

**Response Code: 110**

**Narrative Text:** STATE OF ORIGIN UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/US State of Origin Code

**X.12 Segment ID/Data Elements:** BA108

**Reason:** The U.S. State of Origin Code reported on the SC1 record is not an acceptable valid in AES.

**Resolution:** The U.S. State of Origin Code must be a valid two-character U.S. state, territory, or possession code (i.e., any USPS code). Verify the US state of origin, select the appropriate USPS code, correct the SC1 record and retransmit.

**Response Code: 111**

**Narrative Text:** ST OF ORIGIN MUST BE 'PR'

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/US State of Origin Code, Country of Ultimate Destination Code

**X.12 Segment ID/Data Elements:** BA108; BA104

**Reason:** The U.S. State of Origin Code reported on the SC1 record was not 'PR' for this shipment with Country of Ultimate Destination Code 'US'.

**Resolution:** Only the U.S. State of Origin Code for Puerto Rico (PR) can be reported as the state code for a shipment with ultimate country of destination the United States. Verify the country of ultimate destination and the US State of Origin Code, correct the SC1 record and retransmit. For further assistance, contact your client representative.

**Response Code: 112**

**Narrative Text:** ST OF ORIGIN MUST BE A US ST CD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/US State of Origin Code, Country of Ultimate Destination Code

**X.12 Segment ID/Data Elements:** BA108; BA104

**Reason:** The U.S. State of Origin Code reported on the SC1 record is not a US State Code.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** When the Country of Ultimate Destination Code is Puerto Rico (PR) or the Virgin Islands (VI), the US State of Origin Code must be a US state code. Verify the Country of Ultimate Destination and the US State of Origin Code, correct the SC1 record and retransmit.

**Response Code: 113**

**Narrative Text:** ST OF ORIGIN MUST BE A US ST CD OR 'PR'

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/US State of Origin Code, Country of Ultimate Destination Code

**X.12 Segment ID/Data Elements:** BA108; BA104

**Reason:** The US State of Origin Code is not a US state code or Puerto Rico.

**Resolution:** When the Country of Ultimate Destination is the Virgin Islands (VI), the US state of origin code must be any valid two-character US state or Puerto Rico. The state of origin code cannot be 'VI'. Verify the Country of Ultimate Destination and the US State of Origin Code, correct the SC1 record and retransmit.

**Response Code: 114**

**Narrative Text:** HAZMAT INDICATOR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Hazardous Material Indicator

**X.12 Segment ID/Data Elements:** YNQ01; YNQ02

**Reason:** The Hazard Material Indicator is missing from the SC1 record.

**Resolution:** A declaration must be made on an EEI as to whether the cargo is considered as hazardous or not hazardous. Verify the Hazard Material Indicator for the goods, correct the SC1 record and retransmit.

**Response Code: 115**

**Narrative Text:** HAZMAT INDICATOR MUST BE Y OR N

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Hazardous Material Indicator

**X.12 Segment ID/Data Elements:** YNQ01; YNQ02

**Reason:** The Hazardous Material Indicator reported on the SC1 record is not 'Y' or 'N'.

**Resolution:** The Hazardous Material Indicator must be reported on the SC1 record as either Yes or No. Verify the Hazardous Material Indicator, correct the SC1 record and retransmit.

**Response Code: 116**

**Narrative Text:** RELATED COMPANY INDICATOR MISSING

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input SC1 Record/Related Company Indicator

**X.12 Segment ID/Data Elements:** BA101

**Reason:** The Related Company Indicator on the SC1 record is missing.

**Resolution:** A declaration must be made on an EEI as to whether the USPPPI and foreign ultimate consignee are ‘related’. For an explanation of related/non-related transactions, see the Foreign Trade Statistical Regulations, 30.7(v). Verify whether the parties to the transaction are related, correct the SC1 record and retransmit.

**Response Code: 117**

**Narrative Text:** RELATED COMPANY INDICATOR MUST BE Y OR N

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Related Company Indicator

**X.12 Segment ID/Data Elements:** BA101

**Reason:** The Related Party Indicator reported on the SC1 record is not ‘Y’ or ‘N’.

**Resolution:** The Related Party Indicator reported on the SC1 record must be either Yes to indicate the parties are related or No to indicate the parties are not related.

Verify the related party indicator, correct the SC1 record and retransmit.

**Response Code: 118**

**Narrative Text:** CARRIER CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Carrier ID (SCAC/IATA), Mode of Transportation Code

**X.12 Segment ID/Data Elements:** BA110; BA103

**Reason:** The Carrier ID (SCAC/IATA) is missing from the SC1 record.

**Resolution:** An industry assigned transport carrier identification must be declared on an EEI for the major methods of transportation (i.e., vessel, air, rail, truck) or an explicit disclaimer that the carrier is not known. Verify the Mode of Transportation Code and the Carrier ID (SCAC/IATA), correct the SC1 record and retransmit. For Vessel, Rail or Truck shipments, if the SCAC is not known at the time of filing, reported the Carrier ID (SCAC/IATA) as ‘UNKN’. If ‘UNKN’ is reported, it is the filer’s responsibility to correct the EEI with the true Carrier ID (SCAC/IATA) once it becomes known. For Air shipments, if the IATA is not known at the time of filing, report one of the acceptable ‘unknown’ codes as follows: \*F or 99F (Unknown foreign air), \*U or 99U (Unknown US air), or \*C or 99C (Unknown CA air). Correct the EEI when the Carrier ID (SCAC/IATA) becomes known. Report \*\* or 99O for fly-away aircraft reported under Chapter 88.

**Response Code: 119**

**Narrative Text:** CARRIER CODE NOT ALLOWED FOR MOT

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**APPENDIX A – Commodity Filing Response Messages**

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Carrier ID (SCAC/IATA), Mode of Transportation Code

**X.12 Segment ID/Data Elements:** BA110; BA103

**Reason:** A Carrier ID (SCAC/IATA) is reported in the SC1 record when the Mode of Transportation Code indicates a carrier code is not allowed to be reported.

**Resolution:** A Carrier ID (SCAC/IATA) must be reported for modes of transportation vessel, air, rail and truck. A Carrier ID (SCAC/IATA) is not allowed to be reported for Modes of Transportation other than a vessel, rail, truck, or air shipment (i.e., mail, fixed, etc.). Verify the Mode of Transportation and the Carrier ID (SCAC/IATA). If the mode of transportation is mail, fixed or other, then a Carrier ID is not allowed, report spaces. Correct the SC1 record and retransmit.

**Response Code: 120**

**Narrative Text:** CARRIER UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Carrier ID (SCAC/IATA), Mode of Transportation Code

**X.12 Segment ID/Data Elements:** BA110; BA103

**Reason:** The Carrier ID (SCAC/IATA) reported on the SC1 record is not a known value in AES.

**Resolution:** For vessel, rail or truck shipments the carrier must be identified with an active SCAC code issued by the National Motor Freight Traffic Association (NMFTA). For air shipments, the carrier must be identified with an active IATA code issued by the International Air Transport Association. If the 'code' as known at the time of filing is not valid in AES and a valid 'code' cannot be obtained from the carrier, as a last resort, report the carrier as 'UNKN' for vessel, rail or truck. For an unknown air carriers, report one of the acceptable 'unknown' codes as follows: \*F or 99F (Unknown foreign air), \*U or 99U (Unknown US air), or \*C or 99C (Unknown CA air). Report \*\* or 99O for fly-away aircraft reported under Chapter 88. Verify the Mode of Transportation Code and the Carrier ID (SCAC/IATA), correct the record and retransmit.

**Response Code: 121**

**Narrative Text:** CARRIER CODE MUST BE 2-CHAR OR 3-LETTER

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Carrier ID (SCAC/IATA), Mode of Transportation Code

**X.12 Segment ID/Data Elements:** BA110; BA103

**Reason:** The Carrier ID (SCAC/IATA) reported is not a 2-character or 3-character code.

**Resolution:** For air shipments, either the 2-character or 3-letter IATA designation code must be reported. Do not report a 1-character or 4-character code when the

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**APPENDIX A – Commodity Filing Response Messages**

Mode of Transportation is Air. Verify the Carrier ID (SCAC/IATA), correct the SC1 record and retransmit.

**Response Code: 122**

**Narrative Text:** CARRIER CODE IS OUTDATED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Carrier ID (SCAC/IATA), Mode of Transportation Code, Estimated Date of Export

**X.12 Segment ID/Data Elements:** BA110; BA103; DTM02

**Reason:** The Carrier ID (SCAC/IATA) reported is not an active code in AES at the Estimated Date of Export.

**Resolution:** For vessel, rail or truck shipments the carrier must be identified with an active SCAC code issued by the National Motor Freight Traffic Association (NMFTA). For air shipments, the carrier must be identified with an active IATA code issued by the International Air Transport Association. The Carrier ID (SCAC/IATA) must be active at the time of export. Verify the Carrier ID (SCAC/IATA) and the Estimated Date of Export, correct the SC1 record and retransmit.

**Response Code: 123**

**Narrative Text:** CONVEYANCE NAME MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Conveyance Name/Carrier Name, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** BA112; BA103

**Reason:** The Conveyance Name/Carrier Name is missing from the SC1 record when the Mode of Transportation is one that requires the Conveyance Name/Carrier Name to be reported.

**Resolution:** The name of the transport conveyance must be declared on an EEI for the major transportation modes (i.e., vessel, air, rail, truck). For Vessel shipments, declare the name of the vessel; for Rail, Truck or Air shipments declare the carrier name. Verify the Mode of Transportation and the Conveyance Name/Carrier Name, correct the SC1 record and retransmit.

**Response Code: 124**

**Narrative Text:** CONVEYANCE NAME CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Conveyance Name/Carrier Name, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** BA112; BA103

**Reason:** The Conveyance Name/Carrier Name reported contains leading spaces.

**Resolution:** The Conveyance Name/Carrier Name cannot contain leading spaces (i.e., it must be left justified). Verify the Conveyance Name/Carrier Name, correct the SC1 record and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 125**

**Narrative Text:** CONVEYANCE NAME INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Conveyance Name/Carrier Name, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** BA112; BA103

**Reason:** The Conveyance Name/Carrier Name contains an ineligible value.

**Resolution:** The Conveyance Name/Carrier Name cannot contain an ineligible value identified in AES including any generic identifier (e.g., ‘VESSEL’, ‘TRUCK’, UNKNOWN etc.). Verify the Conveyance Name/Carrier Name, correct the SC1 record and retransmit.

**Response Code: 126**

**Narrative Text:** CONVEYANCE NAME NOT ALLOWED FOR MOT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Conveyance Name/Carrier Name, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** BA112; BA103

**Reason:** A Conveyance Name/Carrier name is reported and the Mode of Transportation reported does not allow one to be reported.

**Resolution:** A Conveyance Name/Carrier Name is not allowed to be reported for modes of transportation other than vessel, air, rail or truck. Verify the Mode of Transportation Code and the Conveyance Name/Carrier Name, correct the SC1 record and retransmit.

**Response Code: 127**

**Narrative Text:** PORT OF EXPORT MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Port of Exportation Code

**X.12 Segment ID/Data Elements:** P501 = L; P502; P503

**Reason:** The Port of Exportation Code is missing from the SC1 record.

**Resolution:** The domestic port from which the merchandise is last laden for departure from the US or Puerto Rico must be declared on an EEI. ‘Appendix D, Export Port Codes’, provides the list of CBP port codes to be reported in AES. Verify the Port of Exportation Code, correct the SC1 record and retransmit.

**Response Code: 128**

**Narrative Text:** PORT OF EXPORT UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Port of Exportation Code

**X.12 Segment ID/Data Elements:** P501 = L; P502; P503

**Reason:** The Port of Exportation Code reported is an unknown value in AES.



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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The Port of Exportation Code must be valid in AES. ‘Appendix D, Export Port Codes’, provides the list of CBP port codes to be reported in AES. Verify the CBP Port of Exportation Code, correct the SC1 record and retransmit.

**Response Code: 129**

**Narrative Text:** MAIL PORT OF EXPORT NOT ALLOWED FOR MOT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Port of Exportation Code, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** P501 = L; P502; P503; BA103

**Reason:** The Port of Exportation Code is reported as ‘8000’ and the Mode of Transportation reported is not Mail.

**Resolution:** Only a mail shipment can claim Port of Exportation Code ‘8000’. Verify the Mode of Transportation Code and the Port of Exportation Code combination, correct and retransmit.

**Response Code: 130**

**Narrative Text:** PORT OF EXPORT MUST BE A VESSEL PORT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Port of Exportation Code, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** P501 = L; P502; P503; BA103

**Reason:** The Mode of Transportation Code is reported as Vessel and the Port of Exportation Code is not for a vessel port.

**Resolution:** The Port of Exportation Code declared must accommodate the transport method used to export the merchandise. ‘Appendix D, Export Port Codes’, indicates that the port reported is not valid for vessel shipments (Vessel = N). Verify the Mode of Transportation Code and the Port of Exportation Code combination, correct and retransmit.

**Response Code: 131**

**Narrative Text:** PORT OF EXPORT MUST BE A RAIL PORT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Port of Exportation Code, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** P501 = L; P502; P503; BA103

**Reason:** The Mode of Transportation Code is reported as Rail and the Port of Exportation Code is not for a rail port.

**Resolution:** The Port of Exportation Code declared must accommodate the transport method used to export the merchandise. ‘Appendix D, Export Port Codes’, indicates that the port reported is not valid for rail shipments (Rail = N). Verify the Mode of Transportation Code and the Port of Exportation Code combination, correct and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 132**

**Narrative Text:** PORT OF EXPORT MUST BE A ROAD PORT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Port of Exportation Code, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** P501 = L; P502; P503; BA103

**Reason:** The Mode of Transportation Code is reported as Road and the Port of Exportation Code is not for a road port.

**Resolution:** The Port of Exportation Code declared must accommodate the transport method used to export the merchandise. ‘Appendix D, Export Port Codes’, indicates that the port reported is not valid for road shipments (ROAD = N). Verify the Mode of Transportation Code and the Port of Exportation Code combination, correct and retransmit.

**Response Code: 133**

**Narrative Text:** PORT OF EXPORT MUST BE AN AIR PORT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Port of Exportation Code, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** P501 = L; P502; P503; BA103

**Reason:** The Mode of Transportation Code is reported as Air and the Port of Exportation Code is not airport.

**Resolution:** The Port of Exportation Code declared must accommodate the transport method used to export the merchandise. ‘Appendix D, Export Port Codes’, indicates that the port reported is not valid for air shipments (AIR = N). Verify the Mode of Transportation Code and the Port of Exportation Code combination, correct and retransmit.

**Response Code: 134**

**Narrative Text:** PORT OF EXPORT MUST BE A FIXED PORT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Port of Exportation Code, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** P501 = L; P502; P503; BA103

**Reason:** The Mode of Transportation Code is reported as Fixed and the Port of Exportation Code is not one that supports Fixed Transport.

**Resolution:** The Port of Exportation Code declared must accommodate the transport method used to export the merchandise. ‘Appendix D, Export Port Codes’, indicates that the port reported is not valid for fixed transport shipments (Fixed Transport = N). Verify the Mode of Transportation Code and the Port of Exportation Code combination, correct and retransmit.

**Response Code: 135**

**Narrative Text:** US TO PR REQUIRES US PORT OF EXPORT

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code, Port of Exportation Code

**X.12 Segment ID/Data Elements:** P501 = L; P502; P503; BA104

**Reason:** The Country of Ultimate Destination is declared as Puerto Rico and the Port of Exportation Code is not a non-Puerto Rican port in the US.

**Resolution:** A Port of Exportation Code must be declared on shipments from the United States to Puerto Rico and cannot be a Puerto Rican port. ‘Appendix D, Export Port Codes’ indicates the port codes acceptable in AES. Verify the Country of Ultimate Destination Code and the Port of Exportation Code combination, correct and retransmit

**Response Code: 136**

**Narrative Text:** PR TO US REQUIRES PR PORT OF EXPORT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code, Port of Exportation Code

**X.12 Segment ID/Data Elements:** P501 = L; P502; P503; BA104

**Reason:** The Country of Ultimate Destination is declared as the United States and the Port of Exportation Code is not a Puerto Rican port.

**Resolution:** A Port of Exportation Code must be declared on shipments from Puerto Rico to the United States and it must be a Puerto Rican port. ‘Appendix D, Export Port Codes’ includes the CBP port codes located in Puerto Rico (‘49xx’). Verify the Country of Ultimate Destination Code and the Port of Exportation Code combination, correct and retransmit

**Response Code: 137**

**Narrative Text:** PORT OF EXPORT NOT ALLOWED FOR MOT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination, Port of Exportation Code, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** P501 = L; P502; P503; BA104

**Reason:** For this shipment from Puerto Rico to the United States, the Port of Exportation Code declared does not accommodate the method of transport reported.

**Resolution:** For a shipment from Puerto Rico to the United States, only vessel, air, passenger (hand-carried) and mail transport modes are allowed and the port code reported must support the MOT claimed. Verify the Country of Ultimate Destination, the Port of Exportation Code, and the Mode of Transportation Code combination, correct and retransmit

**Response Code: 138**

**Narrative Text:** PORT OF UNLADING MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code, Port of Unlading Code, Mode of Transportation Code

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**APPENDIX A – Commodity Filing Response Messages**

**X.12 Segment ID/Data Elements:** P501 = D; P502; P503; BA104

**Reason:** The Mode of Transportation Code reported indicates a Vessel shipment and the Port of Unlading Code is missing. Or the Country of Ultimate Destination Code is Puerto Rico or the US the Port of Unlading Code is missing.

**Resolution:** The Port of Unlading Code represents the foreign port and country where the merchandise will be unlade from the exporting carrier. A foreign Port of Unlading must be declared on an EEI for all Vessel shipments to a foreign country. ‘Schedule K, Classification of Foreign Ports by Geographic Trade Area and Country’ presents the port of unlading codes accepted in AES. ‘Appendix Z, Additional Information Sources’ provides the Web site for Army Corps of Engineers responsible for Schedule K. For shipments between the United States and Puerto Rico, a domestic port must conditionally be declared as the Port of Unlading Code on an EEI. See the detailed reporting guidelines in Part II. Verify the Country of Ultimate Destination, the Mode of Transportation Code, and the Port of Unlading Code combination, correct and retransmit.

**Response Code: 139**

**Narrative Text:** PORT OF UNLADING CANNOT BE USED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Port of Unlading Code

**X.12 Segment ID/Data Elements:** P501 = D; P502; P503

**Reason:** The Port of Unlading code reported was one that cannot be used.

**Resolution:** Port of Unlading Codes ‘92001’, ‘92002’, ‘92003’, or ‘92004’ are reserved military foreign port codes and can not be used. Verify the Port of Unlading Code, correct and retransmit. For further assistance, contact your client representative. Port of Unlading Codes ‘99900’, ‘99910’, ‘99920’, ‘99930’, ‘99940’ and ‘99950’ are the only port codes that can be used when filing International Waters (EIC = “IW”).

**Response Code: 140**

**Narrative Text:** PORT OF UNLADING UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Port of Unlading Code

**X.12 Segment ID/Data Elements:** P501 = D; P502; P503

**Reason:** The Port of Unlading Code reported is not a known value in AES.

**Resolution:** ‘Schedule K, Classification of Foreign Ports by Geographic Trade Area and Country’ presents the Port of Unlading Codes accepted in AES. ‘Appendix Z, Additional Information Sources’ provides the Web site for Army Corps of Engineers responsible for Schedule K. Verify the Port of Unlading Code, correct and retransmit

**Response Code: 141**

**Narrative Text:** PORT OF UNLADING NOT ALLOWED FOR MOT

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**APPENDIX A – Commodity Filing Response Messages**

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code, Port of Unlading Code, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** P501 = D; P502; P503; BA103; BA104

**Reason:** The Port of Unlading Code is not spaces for the Mode of Transportation Code reported.

**Resolution:** For shipments from the US or Puerto Rico to a foreign country, the Port of Unlading Code is required for Vessel shipments only. For shipments between the US and Puerto Rico, the Port of Unlading is required for Vessel and Air shipments only. Verify the Country of Ultimate Destination, the Port of Unlading Code, the Mode of Transportation combination, correct and retransmit

**Response Code: 142**

**Narrative Text:** PR TO US REQUIRES US PORT OF UNLADING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code, Port of Unlading Code, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** P501 = D; P502; P503; BA103; BA104

**Reason:** The Port of Unlading Code reported was not a US port.

**Resolution:** For shipments from the Puerto Rico to the US, the Port of Unlading Code is required when the Mode of Transportation Code is for Vessel and Air shipments. For Vessel and Air shipments from Puerto Rico to the US, a non-Puerto Rican CBP port code is required as the Port of Unlading Code. See the reporting guidelines detailed in Part II for further assistance. Verify the Port of Unlading Code, correct and retransmit.

**Response Code: 143**

**Narrative Text:** PORT OF UNLADING MUST BE A VESSEL PORT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/ Country of Ultimate Destination, Port of Unlading Code, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** P501 = D; P502; P503; BA103; BA104

**Reason:** The Port of Unlading Code does not support Vessel as a mode of transport.

**Resolution:** For Vessel shipments between the United States and Puerto Rico, the Port of Unlading code must be one that accommodates Vessel as a mode of transportation. Verify the Country of Ultimate Destination, the Mode of Transportation Code, and the Port of Unlading Code combination. See the reporting guidelines detailed in Part II for further assistance. Correct and retransmit.

**Response Code: 144**

**Narrative Text:** PORT OF UNLADING MUST BE AN AIR PORT

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input SC1 Record/ Country of Ultimate Destination, Port of Unlading Code, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** P501 = D; P502; P503; BA103; BA104

**Reason:** The Port of Unlading Code does not support Air as a mode of transport.

**Resolution:** For Air shipments between the United States and Puerto Rico, the Port of Unlading code must be one that accommodates Air as a mode of transportation. Verify the Country of Ultimate Destination, the Mode of Transportation Code, and the Port of Unlading Code combination. See the reporting guidelines detailed in Part II for further assistance. Correct and retransmit.

**Response Code: 145**

**Narrative Text:** SANCTIONED COUNTRY: <Country Name>

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/ Country of Ultimate Destination

**X.12 Segment ID/Data Elements:** BA104

**Reason:** The Country of Ultimate Destination Code reported is sanctioned.

**Resolution:** Verify the Country of Ultimate Destination Code, correct if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 146**

**Narrative Text:** US TO PR REQUIRES PR PORT OF UNLADING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/ Country of Ultimate Destination, Port of Unlading Code, Mode of Transportation Code

**X.12 Segment ID/Data Elements:** P501 = D; P502; P503; BA103; BA104

**Reason:** The Port of Unlading Code reported was not a Puerto Rican port.

**Resolution:** For shipments from the US to Puerto Rico, the Port of Unlading Code is required when the Mode of Transportation Code is for Vessel or Air shipments. For Vessel and Air shipments from the US to Puerto Rico, a Puerto Rican CBP port code is required as the Port of Unlading Code. See the reporting guidelines detailed in Part II for further assistance. Verify the Port of Unlading Code, correct and retransmit.

**Response Code: 147**

**Narrative Text:** ROUTED EXPORT INDICATOR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Routed Export Transaction Indicator

**X.12 Segment ID/Data Elements:** M1204

**Reason:** The Route Export Transaction Indicator is missing from the SC2 record.

**Resolution:** A declaration must be made on an EEI as to whether the foreign principle party in interest has authorized a U.S. Authorized Agent or other agent

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to facilitate the export. Verify whether or not this is a route export transaction, correct the SC2 record and retransmit. For further assistance, contact your client representative.

**Response Code: 148**

**Narrative Text:** ROUTED EXPORT INDICATOR MUST BE Y OR N

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Routed Export Transaction Indicator

**X.12 Segment ID/Data Elements:** M1204

**Reason:** The Route Export Transaction Indicator reported on the SC2 record was not 'Y' or 'N'.

**Resolution:** A declaration must be made on an EEI as to whether the foreign principle party in interest has authorized a U.S. Authorized Agent or other agent to facilitate the export. The acceptable values are Yes, this is a routed export transaction or No, this is not a routed export transaction. Verify whether or not this is a route export transaction, correct the SC2 record and retransmit. For further assistance, contact your client representative.

**Response Code: 149**

**Narrative Text:** INBOND CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Inbond Code

**X.12 Segment ID/Data Elements:** M1201

**Reason:** The Inbond Code is missing from the SC2 record.

**Resolution:** A declaration must be made on an EEI as to whether the shipment is being 'transported under bond'. The inbond code for merchandise not shipped under bond must be reported as '70'. Other inbond codes are accepted in AES for informational purposes but do not closeout the inbond movement. Verify whether or not the shipment is an inbond movement, select the appropriate Inbond Code, correct the SC2 record and retransmit. For further assistance, contact your client representative.

**Response Code: 15A**

**Narrative Text:** FTZ MUST BE 9 CHARACTERS ALPHANUMERIC

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Foreign Trade Zone Identifier

**X.12 Segment ID/Data Elements:** M1203

**Reason:** The Foreign Trade Zone Indicator reported on the SC2 record does not have the required format of 3 numeric characters which is a valid zone followed by 6 alphanumeric characters.

**Resolution:** The Foreign Trade Zone Indicator must be specified in the required format. The first 3 positions must be numeric and represent the general purpose zone. The next 3 positions are alphanumeric and represent the subzone. The last

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3 positions are alphanumeric and represent the site. The Foreign Trade Zone Indicator must be left justified with no trailing spaces. Insert zeros when there is no sub zone or site. Report leading zero(s) when the general purpose zone is less than 3 numerics, and when the subzone or site is 1 alphanumeric. Verify the Foreign Trade Zone Indicator, correct the SC2 record and retransmit.

**Response Code: 15B**

**Narrative Text:** FTZ CANNOT HAVE TRAILING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Foreign Trade Zone Identifier

**X.12 Segment ID/Data Elements:** M1203

**Reason:** The Foreign Trade Zone Indicator reported on the SC2 record contains trailing spaces.

**Resolution:** The Foreign Trade Zone Indicator must be specified in the required format. The first 3 positions must be numeric and represent the general purpose zone. The next 2 positions are alphanumeric and represent the subzone. The last 2 positions are alphanumeric and represent the site. The Foreign Trade Zone Indicator must be left justified with no trailing spaces. Insert zeros when there is no sub zone or site. Verify the Foreign Trade Zone Indicator, correct the SC2 record and retransmit.

**Response Code: 150**

**Narrative Text:** INBOND CODE UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Inbond Code

**X.12 Segment ID/Data Elements:** M1201

**Reason:** The Inbond Code reported on the SC2 record was an unacceptable value in AES.

**Resolution:** A declaration must be made on an EEI as to whether the shipment is being ‘transported under bond’. AES accepts the following codes: 70- Merchandise NOT shipped inbond, 36- Warehouse withdrawal for Immediate Export (IE), 37- Warehouse withdrawal for Transport and Export (T&E), 67- Foreign Trade Zone withdrawal for Immediate Export (IE), 68- Foreign Trade Zone withdrawal for Transport and Export (T&E). Verify the Inbond Code, correct the SC2 record and retransmit

**Response Code: 151**

**Narrative Text:** ENTRY NBR CONTAINS LEADING/EMBED SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Entry Number

**X.12 Segment ID/Data Elements:** M1202

**Reason:** The Entry Number reported contained leading or embedded spaces.

**Resolution:** An import entry number must be declared on an EEI when the shipment is declared as being ‘transported under bond’ or an FTZ, deferred



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duty/NAFTA claim is being made. The entry number must be left justified and cannot contain leading or embedded spaces. Verify the Entry Number, correct the SC2 record and retransmit.

**Response Code: 152**

**Narrative Text:** ENTRY NBR MUST BE AT LEAST 9 CHARS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Entry Number

**X.12 Segment ID/Data Elements:** M1202

**Reason:** The Entry Number reported on the SC2 record was less than 9 characters.

**Resolution:** An import entry number must be declared on an EEI when the shipment is declared as being ‘transported under bond’ or an FTZ, deferred duty/NAFTA claim is being made. The import Entry Number must be at least 9 characters, left justified. Verify the import Entry Number, correct the SC2 record and retransmit. For further assistance, contact your client representative.

**Response Code: 153**

**Narrative Text:** ENTRY NBR INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Entry Number

**X.12 Segment ID/Data Elements:** M1202

**Reason:** The import Entry Number reported on the SC2 record contained an ineligible value.

**Resolution:** The import Entry Number must be at least 11 characters, left justified and cannot contain an ineligible value identified in AES. Verify the import Entry Number, correct the SC2 record and retransmit. For further assistance, contact your client representative.

**Response Code: 154**

**Narrative Text:** ENTRY NBR MISSING FOR INBOND MOVEMENT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Entry Number, Inbond Code; Input CL1 Record/ Export Information Code

**X.12 Segment ID/Data Elements:** M1201; M1202; L1313

**Reason:** The Inbond Code reported requires that an import entry number be reported and the Entry Number is missing from the SC2 record.

**Resolution:** An import entry number must be declared for a warehouse (Inbond Code= 36 or 37) or FTZ (Inbond Code=67 or 68) type of cargo movement. An import entry number is also required when the Export Information Code is ‘ZD’ indicating an FTZ, duty deferred/NAFTA claim, and the Inbond Code is declared as ‘70’. Verify the Inbond Code, Entry Number and Export Information Code combination, correct the SC2 record and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 155**

**Narrative Text:** FTZ CONTAINS LEADING/EMBEDDED SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Foreign Trade Zone Identifier

**X.12 Segment ID/Data Elements:** M1203

**Reason:** The Foreign Trade Zone Indicator reported on the SC2 record contains leading or embedded spaces.

**Resolution:** The Foreign Trade Zone Indicator cannot contain leading or embedded spaces. The Foreign Trade Zone Indicator must be left justified with no trailing zeros. Verify the Foreign Trade Zone Indicator, correct the SC2 record and retransmit.

**Response Code: 156**

**Narrative Text:** FTZ MISSING FOR INBOND MOVEMENT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Inbond Code, Foreign Trade Zone Identifier

**X.12 Segment ID/Data Elements:** M1201; M1203

**Reason:** The Inbond Code reported requires that the Foreign Trade Zone Indicator be reported and it is missing.

**Resolution:** A Foreign Trade Zone number must be declared for an FTZ type cargo movement (i.e., Inbond Code 67 or 68) and for a NAFTA duty deferred shipment with Inbond Code '70'. Verify the Inbond Code and the Foreign Trade Zone Indicator combination, correct and retransmit.

**Response Code: 157**

**Narrative Text:** FTZ NOT ALLOWED – NOT INBOND FROM FTZ

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Foreign Trade Zone Identifier, Inbond Code

**X.12 Segment ID/Data Elements:** M1201; M1203

**Reason:** The Inbond Code reported does not allow a Foreign Trade Zone Identifier to be declared.

**Resolution:** The Foreign Trade Zone Indicator cannot be reported when the Inbond Code is declared as '36' or '37'. Verify the Inbond Code and Foreign Trade Zone Indicator combination, correct and retransmit

**Response Code: 158**

**Narrative Text:** EQUIP NBR CONTAINS LEADING/EMBED SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC3 Record/Equipment Number

**X.12 Segment ID/Data Elements:** VID02; VID03

**Reason:** The Equipment Number declared on the SC3 record contained leading or embedded spaces.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** One or more cargo equipment or container number(s) may optionally be declared on an EEI for the major modes of transportation (i.e., vessel, air, rail, truck). When reported, the equipment/container number must be left justified and cannot contain leading or embedded spaces. Verify the Equipment Number, correct the SC3 record and retransmit.

**Response Code: 159**

**Narrative Text:** EQUIPMNET NBR INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC3 Record/Equipment Number

**X.12 Segment ID/Data Elements:** VID02; VID03

**Reason:** The Equipment Number reported on the SC3 record contained an ineligible value.

**Resolution:** One or more cargo equipment or container number(s) may optionally be declared on an EEI for the major modes of transportation (i.e., vessel, air, rail, truck). When reported, the equipment/container number must be left justified, cannot contain leading or embedded spaces, and cannot contain other ineligible value identified in AES. The Equipment Number cannot be reported as '12345678901234', UNKNOWN or variations thereof. Verify the Equipment Number, correct the SC3 record and retransmit.

**Response Code: 160**

**Narrative Text:** DUPLICATE EQUIPMENT NBR ENCOUNTERED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC3 Record/Equipment Number

**X.12 Segment ID/Data Elements:** VID02; VID03

**Reason:** The Equipment Number reported on the SC3 record is on another SC3 record reported in the grouping.

**Resolution:** Each reported Equipment Number must be unique for the shipment. Verify the Equipment Number, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 161**

**Narrative Text:** EQUIPMENT NBR NOT ALLOWED FOR MOT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input SC3 Record/Equipment Number

**X.12 Segment ID/Data Elements:** VID02; VID03; BA103

**Reason:** The Mode of Transportation Code declared does not allow an Equipment Number to be reported.

**Resolution:** One or more Equipment Numbers may be reported for vessel, air, rail or truck shipments. An Equipment Number cannot be reported for a shipment on any other transport mode and must be reported as spaces. Verify the Mode of Transportation Code and the Equipment Number, correct the SC3 record and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 162**

**Narrative Text:** SEAL NBR CONTAINS LEADING/EMBED SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC3 Record/Seal Number

**X.12 Segment ID/Data Elements:** VID04

**Reason:** The Seal Number reported on the SC3 record contained leading or embedded spaces.

**Resolution:** One or more CBP container seal number(s) may optionally be declared on an EEI for the major modes of transportation (i.e., vessel, air, rail, truck). When reported, the equipment/container number must be left justified and cannot contain leading or embedded spaces. Verify the Seal Number, correct the SC3 record and retransmit.

**Response Code: 163**

**Narrative Text:** SEAL NBR INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC3 Record/Seal Number

**X.12 Segment ID/Data Elements:** VID04

**Reason:** The Seal Number declared on the SC3 record contained an ineligible value.

**Resolution:** One or more CBP container seal number(s) may optionally be declared on an EEI for the major modes of transportation (i.e., vessel, air, rail, truck). When reported, the seal number must be left justified, cannot contain leading or embedded spaces, and cannot contain an ineligible value identified in AES. The Seal Number cannot be reported as '123456789012345', UNKNOWN or variations thereof. Verify the Seal Number, correct the SC3 record and retransmit.

**Response Code: 164**

**Narrative Text:** DUPLICATE SEAL NBR ENCOUNTERED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC3 Record/Seal Number

**X.12 Segment ID/Data Elements:** VID04

**Reason:** The Seal Number reported on the SC3 record is on another SC3 record reported in the grouping.

**Resolution:** One or more CBP container seal number(s) may optionally be declared on an EEI for the major modes of transportation (i.e., vessel, air, rail, truck). Each reported Seal Number must be unique for the shipment. Verify the Seal Number, correct the SC3 record and retransmit.

**Response Code: 165**

**Narrative Text:** SEAL NBR NOT ALLOWED FOR MOT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input SC3 Record/Seal Number

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**APPENDIX A – Commodity Filing Response Messages****X.12 Segment ID/Data Elements:** VID04; BA103

**Reason:** The Mode of Transportation Code declared does not allow a Seal Number to be reported.

**Resolution:** One or more CBP container seal number(s) may optionally be declared on an EEI for the major modes of transportation (i.e., vessel, air, rail, truck). A Seal Number cannot be reported for a shipment on any other transport mode. Verify the Mode of Transportation and the Seal Number combination, correct and retransmit

**Response Code: 166**

**Narrative Text:** TRANS REF NBR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/ Mode of Transportation Code; Input SC3 Record/Transportation Reference Number,

**X.12 Segment ID/Data Elements:** REF01; REF02; BA103

**Reason:** The Mode of Transportation is declared as Vessel and the Transportation Reference Number is missing.

**Resolution:** A number referencing the transportation booking number must be declared on a vessel shipment. Verify the booking number to be reported as the Transportation Reference Number on the SC3 record, correct and retransmit.

**Response Code: 167**

**Narrative Text:** TRANS REF NBR CONTAINS LEADING/EMBED SP

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input SC3 Record/Transportation Reference Number

**X.12 Segment ID/Data Elements:** REF01; REF02; BA103

**Reason:** The Transportation Reference Number declared on the SC3 record contains leading or embedded spaces and the Mode of Transportation is one that does not allow leading or embedded spaces.

**Resolution:** The Transportation Reference Number declared for a vessel, rail or truck shipment cannot contain leading or embedded spaces. Verify the Mode of Transportation Code and the Transportation Reference Number combination, correct and retransmit.

**Response Code: 168**

**Narrative Text:** TRANS REF NBR INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input SC3 Record/Transportation Reference Number

**X.12 Segment ID/Data Elements:** REF01; REF02; BA103

**Reason:** The Transportation Reference Number declared on the SC3 record contains an ineligible value.

**Resolution:** A Transportation Reference Number cannot contain certain ineligible value identified in AES. The Transportation Reference Number cannot be

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**APPENDIX A – Commodity Filing Response Messages**

reported as ‘UNKNOWN’ or variations thereof. Verify the Transportation Reference Number, correct the SC3 record and retransmit.

**Response Code: 169**

**Narrative Text:** > 1 TRANS REF NBR ENCOUNTERED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC3 Record/Transportation Reference Number

**X.12 Segment ID/Data Elements:** REF01; REF02

**Reason:** More than one Transportation Reference Number was encountered for this shipment.

**Resolution:** A single Transportation Reference Number is allowed per shipment. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 170**

**Narrative Text:** AIR WAYBILL FORMAT: NNN-NNNNNNNN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input SC3 Record/Transportation Reference Number

**X.12 Segment ID/Data Elements:** REF01; REF02; BA103

**Reason:** The Transportation Reference Number reported for this Air shipment was not in the correct format.

**Resolution:** A number identifying the carrier’s master air waybill may be declared on an air shipment. When reported, a master air waybill number must be reported in the following format: ‘NNN-NNNNNNNN’ (where ‘N’ = a numeric value) followed by 18 spaces. Verify the Transportation Reference Number, correct the SC3 record and retransmit.

**Response Code: 171**

**Narrative Text:** TRANS REF NBR NOT ALLOWED FOR MOT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input SC3 Record/Transportation Reference Number

**X.12 Segment ID/Data Elements:** REF01; REF02; BA103

**Reason:** The Mode of Transportation Code declared for this shipment is one that does not allow the reporting of a Transportation Reference Number.

**Resolution:** A Transportation Reference Number identifying the carrier’s transportation instrument may be declared on an EEI for the major transportation modes (i.e., vessel, air, rail, truck). A Transportation Reference Number cannot be reported for a shipment using any other mode of transport (i.e., mail, fixed or other). Verify the Mode of Transportation Code and the Transportation Reference Number combination, correct and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 172**

**Narrative Text:** AT LEAST 1 CONDITIONAL ELEMENT REQUIRED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC3 Record/Equipment Number, Seal Number, Transportation Reference Number

**X.12 Segment ID/Data Elements:** VID02; VID03; VID04; REF01; REF02

**Reason:** The SC3 record was encountered but does not contain at least one of the conditional data elements.

**Resolution:** If the SC3 record is transmitted, then at least one of the three conditional elements is required in each SC3 record (i.e., Equipment Number, Seal Number, Transportation Reference Number). Verify, correct and retransmit.

**Response Code: 173**

**Narrative Text:** COUNTRY OF ULT DESTINATION OUTDATED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination

Code, Estimated Date of Export

**X.12 Segment ID/Data Elements:** BA104; DTM01; DTM02

**Reason:** The Country of Ultimate Destination is not an active country code in AES.

**Resolution:** The Country of Ultimate Destination Code must be an active (i.e., not expired) ISO country code listed in the 'Appendix C, ISO Country Codes'. Verify the Country of Ultimate Destination Code and the Estimated Date of Export, correct the SC1 record and retransmit.

**Response Code: 174**

**Narrative Text:** UNKNOWN CARRIER NOT ALLOWED FOR MOT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Carrier ID (SCAC/IATA), Mode of Transportation Code

**X.12 Segment ID/Data Elements:** BA103; BA110

**Reason:** The Carrier ID (SCAC/IATA) is reported as an unknown Mexican truck when the Mode of Transportation Code is not Truck.

**Resolution:** Carrier 'code' \*M or 99M can only be reported to identify an unknown Mexican trucking company when the Mode of Transportation is reported as Truck. Verify the Mode of Transportation and the Carrier ID (SCAC/IATA). Correct appropriately and retransmit.

**Response Code: 175**

**Narrative Text:** FLY-AWAY MUST BE MOT = 40

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Carrier ID (SCAC/IATA), Mode of Transportation Code

**X.12 Segment ID/Data Elements:** BA103; BA110

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**Reason:** The Carrier ID (SCAC/IATA) is reported as a fly-away aircraft when the Mode of Transportation is other than non-containerized Air (MOT 40).

**Resolution:** Carrier 'code' \*\* or 99O can only be reported to identify an aircraft being exported under it's own power (fly-away) with a Mode of Transportation for non-containerized air (MOT = 40). Verify the Mode of Transportation and the Carrier ID (SCAC/IATA). Correct appropriately and retransmit.

**Response Code: 176**

**Narrative Text:** DDTC LIC NOW EXHAUSED: <License Type/Number>

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Export License Number/ CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103

**Reason:** The DDTC S05 License has been fully decremented with the acceptance of this shipment.

**Resolution:** Informational, no response necessary at this time.

**Response Code: 177**

**Narrative Text:** ORIG TO BE LODGD W/CBP: <License Type/Number>

**Severity:** INACTIVE

**Proprietary Record ID/Data Elements:** Input CL2 Record/Export License Number/ CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103

**Reason:** The DDTC S05 License has been accepted and the filer is instructed to present the original license to CBP prior to export.

**Resolution:** Informational. Paper documents to be provided to CBP.

**Response Code: 178**

**Narrative Text:** ONLY S94 LCNS TO BE PRVD TO CBP: <License Type/Number>

**Severity:** INACTIVE

**Proprietary Record ID/Data Elements:** Input CL2 Record/Export License Number/ CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103

**Reason:** The license has been accepted. Filers are instructed to present the original license to CBP prior to export for DDTC S94 licenses only. All other DDTC licenses are not required to be presented to CBP.

**Resolution:** Informational. Paper documents to be provided to CBP.

**Response Codes: 179-225 <RESERVED>****Party Reporting Conditions****Response Code: 226**

**Narrative Text:** USPPPI PARTY MISSING



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**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01, N02, and N03 Records

**X.12 Segment ID/Data Elements:** N1 loop; for N101 = EX

**Reason:** The Party Type of E for the USPPI is not reported.

**Resolution:** Complete USPPI information must be declared on every EEI. Verify the USPPI and add the N01, N02, and N03 records and retransmit.

**Response Code: 227**

**Narrative Text:** AUTHORIZED AGENT PARTY MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Filer ID; Input N01, N02, and N03 Records

**X.12 Segment ID/Data Elements:** N1 loop; for N101 = FW

**Reason:** The Party Type of F for Authorized Agent is not reported.

**Resolution:** The Filer ID Type on the batch control header (A record) does not match the USPPI ID Type on the block control header (B record) indicating an Authorized Agent is involved in the shipment. Authorized Agent information must be declared on an EEI filed by an Authorized Agent on behalf of a USPPI (for a non-DEC claimed shipment). Verify the parties involved in the transaction, correct and retransmit.

**Response Code: 228**

**Narrative Text:** ULTIMATE CONSIGNEE PARTY MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01, N02, and N03 Records

**X.12 Segment ID/Data Elements:** N1 loop; for N101 = CN

**Reason:** The Party Type of C for Ultimate Consignee is not reported.

**Resolution:** An Ultimate Consignee must be declared for every EEI. Verify the Ultimate Consignee information, correct and retransmit.

**Response Code: 229**

**Narrative Text:** SOLD EN ROUTE NOT APPLICABLE FOR PARTY

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01/Party Type, To Be Sold en Route Indicator

**X.12 Segment ID/Data Elements:** Will not occur in X.12

**Reason:** The Party Type was declared as E for USPPI, F for Authorized Agent or I for Intermediate Consignee and the To Be Sold en Route Indicator is not spaces.

**Resolution:** The 'to be sold en route' claim cannot be made in an EEI for the USPPI, Authorized Agent, or intermediate consignee. The To Be Sold en Route Indicator is reserved solely for Ultimate Consignee reporting. Verify the Party Type and the To Be Sold en Route Indicator combination, correct appropriately and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 230**

**Narrative Text:** IRS ID TYPE NOT APPLICABLE FOR PARTY

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01/Party Type, N03/USPPI IRS ID Type

**X.12 Segment ID/Data Elements:** N101; BA111 is 'E'

**Reason:** The Party Type is not E for USPPI and there is an IRS ID Type reported.

**Resolution:** The USPPI IRS ID Type cannot be reported in an EEI for the Authorized Agent, ultimate consignee or intermediate consignee. The data element's use is reserved solely for USPPI reporting. Verify the Party Type and USPPI IRS ID Type combination, correct and retransmit.

**Response Code: 231**

**Narrative Text:** IRS ID NBR NOT APPLICABLE FOR PARTY

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01/Party Type, N03/USPPI IRS Number

**X.12 Segment ID/Data Elements:** Will occur in X.12

**Reason:** The Party Type is not E for USPPI and there is an USPPI IRS Number reported.

**Resolution:** The USPPI IRS Number cannot be reported in an EEI for the Authorized Agent, ultimate consignee or intermediate consignee. The data element's use is reserved solely for USPPI reporting. Verify the Party Type and USPPI IRS Number combination, correct and retransmit.

**Response Code: 232**

**Narrative Text:** USPPI MUST MATCH BLOCK USPPI

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B record/USPPI ID, USPPI ID Type, USPPI Name; Input N01/Party ID, Party ID Type, Party Name

**X.12 Segment ID/Data Elements:** Will occur in X.12

**Reason:** The Party Type was declared as 'E' (USPPI) and the USPPI identified on the input N01 record does not match the USPPI identified on the input B record for this shipment.

**Resolution:** The Party ID, Party ID TYPE, and Party Name declared for the USPPI must match exactly the equivalent values reported on the block control header (B record) on an EEI. Verify the USPPI, correct and retransmit.

**Response Code: 233**

**Narrative Text:** USPPI CONTACT LAST NAME MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Contact Last Name

**X.12 Segment ID/Data Elements:** N201 positions 14 – 20; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the USPPI Contact Last Name is missing from the N01 record.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** A USPPI Contact Last Name must be declared on an EEI. Verify the USPPI contact's last name, correct the N01 record and retransmit.

**Response Code: 234**

**Narrative Text:** USPPI CONTACT LAST NM CNTNS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Contact Last Name

**X.12 Segment ID/Data Elements:** N201 positions 14 – 20; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the Contact Last Name for the USPPI contains leading spaces.

**Resolution:** A USPPI Contact Last Name must be declared on an EEI. The USPPI Contact Last Name cannot contain leading spaces (i.e., Contact Last Name must be left justified). Verify the USPPI contact's last name, correct the N01 record and retransmit.

**Response Code: 235**

**Narrative Text:** USPPI CONTACT LAST NM INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Contact Last Name

**X.12 Segment ID/Data Elements:** N201 positions 14 – 20; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the USPPI Contact Last Name contains an ineligible value in AES.

**Resolution:** A USPPI Contact Last Name must be declared on an EEI. The USPPI Contact Last Name cannot contain an ineligible value identified in AES. Verify the USPPI contact's last name, correct the N01 record and retransmit.

**Response Code: 236**

**Narrative Text:** USPPI CONTACT 1<sup>ST</sup> NM CNTNS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Contact First Name

**X.12 Segment ID/Data Elements:** N201 positions 1 – 13; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the USPPI Contact First Name contains leading spaces.

**Resolution:** A USPPI contact First Name may be declared on an EEI. When reported, the Contact First Name for the USPPI cannot contain leading spaces (i.e., Contact First Name must be left justified). Verify the USPPI contact's first name, correct the N01 record and retransmit.

**Response Code: 237**

**Narrative Text:** USPPI CONTACT 1<sup>ST</sup> NM INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Contact First Name

**X.12 Segment ID/Data Elements:** N201 positions 1 – 13; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the Contact First Name for the USPPI contains an ineligible value in AES.

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**Resolution:** A USPPI Contact First Name may be declared on an EEI. When reported, a USPPI Contact First Name cannot contain an ineligible value identified in AES. Verify the USPPI contact's first name, correct the N01 record and retransmit.

**Response Code: 238**

**Narrative Text:** USPPI ADDR LINE 1 MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N301; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the primary address line of the USPPI is missing.

**Resolution:** The primary address line of the USPPI must be declared in an EEI. Verify the USPPI address, add Address Line 1 on the N02 record and retransmit.

**Response Code: 239**

**Narrative Text:** USPPI ADDR LINE 1 CONTAINS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N301; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the USPPI Address Line 1 contains leading spaces.

**Resolution:** The primary address line of the USPPI must be declared in an EEI. The USPPI primary address line cannot contain leading spaces (i.e., Address Line 1 must be left justified). Verify the USPPI Address Line 1, correct the N02 record and retransmit.

**Response Code: 240**

**Narrative Text:** USPPI ADDR LINE 1 INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N301; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the USPPI Address Line 1 contains variations of 'P.O. Box or UNKNOWN, UNK, UNKN'.

**Resolution:** The primary address line of the USPPI must be declared in an EEI. The USPPI Address Line 1 cannot contain an ineligible value identified in AES. Verify the USPPI Address Line 1, correct the N02 record and retransmit.

**Response Code: 241**

**Narrative Text:** USPPI ADDR LINE 2 CONTAINS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Address Line 2

**X.12 Segment ID/Data Elements:** N302; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the USPPI Address Line 2 contains leading spaces.

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**Resolution:** An additional address line for the USPPI may be declared in an EEI. When reported, the USPPI secondary address line cannot contain leading spaces (i.e., Address Line 2 must be left justified). Verify the USPPI Address Line 2, correct the N02 record and retransmit.

**Response Code: 242**

**Narrative Text:** USPPI ADDR LINE 2 INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Address Line 2

**X.12 Segment ID/Data Elements:** N302; when N101 = EX

**Reason:** The Party Type was declared as ‘E’ (USPPI) and the USPPI Address Line 2 contains variations of ‘P.O. Box or UNKNOWN, UNK, UNKN’.

**Resolution:** An additional address line for the USPPI may be declared in an EEI. When reported, the USPPI Address Line 2 cannot contain an ineligible value identified in AES. Verify the USPPI Address Line 2, correct the N02 record and retransmit.

**Response Code: 243**

**Narrative Text:** USPPI CONTACT PHONE # MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Contact Phone Number

**X.12 Segment ID/Data Elements:** N202; when N101 = EX

**Reason:** The Party Type was declared as ‘E’ (USPPI) and the Contact Phone Number is missing from the N02 record.

**Resolution:** The phone number of the USPPI contact must be declared in an EEI. Verify the combination of Party Type on the N01 record and the USPPI Contact Phone Number on the N02 record, correct and retransmit.

**Response Code: 244**

**Narrative Text:** USPPI CONTACT PHONE # FORMAT: NNNNNNNNNN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Contact Phone Number

**X.12 Segment ID/Data Elements:** N202; when N101 = EX

**Reason:** The Party Type was declared as ‘E’ (USPPI) and the USPPI contact’s phone number is not properly formatted in AES.

**Resolution:** The USPPI contact phone number must be declared on an EEI. The USPPI Contact Phone Number must be ten numeric digits followed by three spaces (Format: NNNNNNNNNNxxx where N= area code + 7-digit number and x= 3spaces). Verify the USPPI Contact Phone Number, correct the N02 record and retransmit.

**Response Code: 245**

**Narrative Text:** USPPI CONTACT PHONE # INELIGIBLE

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**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Contact Phone Number

**X.12 Segment ID/Data Elements:** N202; when N101 = EX

**Reason:** The Party Type was declared as ‘E’ (USPPI) and the USPPI contact’s phone number contains an ineligible value in AES.

**Resolution:** The USPPI contact phone number must be declared on an EEI. The USPPI Contact Phone Number cannot contain an ineligible value identified in AES. Verify the USPPI Contact Phone Number, correct the N02 record and retransmit. For further assistance, contact your client representative.

**Response Code: 246**

**Narrative Text:** USPPI CITY MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/City

**X.12 Segment ID/Data Elements:** N401; when N101 = EX

**Reason:** The Party Type was declared as ‘E’ (USPPI) and the USPPI city is missing.

**Resolution:** The city that the USPPI resides in must be declared in an EEI. Verify the USPPI City, correct the N03 record and retransmit.

**Response Code: 247**

**Narrative Text:** USPPI CITY CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/City

**X.12 Segment ID/Data Elements:** N401; when N101 = EX

**Reason:** The Party Type was declared as ‘E’ (USPPI) and the USPPI city contains leading spaces.

**Resolution:** The city that the USPPI resides in must be declared in an EEI. The USPPI City cannot contain leading spaces (i.e., ‘City’ must be left justified). Verify the USPPI City, correct the N03 record and retransmit.

**Response Code: 248**

**Narrative Text:** USPPI CITY INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/City

**X.12 Segment ID/Data Elements:** N401; when N101 = EX

**Reason:** The Party Type was declared as ‘E’ (USPPI) and the USPPI city contains an ineligible value in AES.

**Resolution:** The city that the USPPI resides in must be declared in an EEI. The USPPI City cannot contain an ineligible value identified in AES. Verify the USPPI City, correct the N03 record and retransmit.

**Response Code: 249**

**Narrative Text:** USPPI COUNTRY MISSING

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**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/Country Code

**X.12 Segment ID/Data Elements:** N404; when N101 = EX

**Reason:** The Party Type was declared as ‘E’ (USPPI) and the USPPI country is missing from the N03 record.

**Resolution:** The country in which the USPPI resides must be declared in an EEI. The USPPI country must be the United States, ISO Country Code = US. Verify the USPPI Country Code, correct the N03 record and retransmit.

**Response Code: 25A**

**Narrative Text:** USPPI ID TYPE ‘S’ NO LONGER ACCEPTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party ID, Party ID TYPE

**X.12 Segment ID/Data Elements:** N103 where: 1 → D, 34 → S, 24 → E, ZZ → T, 94 → A;

when: N101 = EX

**Reason:** The USPPI ID Type reported on the N01 record is not E, D, or T.

**Resolution:** The N01 record USPPI ID Type must be EIN, DUNS, or T (Foreign Entity). Verify the USPPI ID Type, correct the N01 record and retransmit.

**Response Code: 25B**

**Narrative Text:** ULT CONS COUNTRY CANNOT BE US

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code;

Input N01 Record/Party Type; Input N03 Record/Country Code

**X.12 Segment ID/Data Elements:** BA104; N404; when N101 = CN

**Reason:** The Ultimate Consignee Country cannot be reported as US when the Ultimate Country of Destination is neither US or PR.

**Resolution:** The Ultimate Consignee Country should be reported as the location where the person, party or designee is located abroad. The AES only allows US as the Ultimate Consignee Country when the Ultimate Country of Destination is the US or PR, which would only apply for shipments between the US and PR. Verify the Ultimate Consignee Country, correct, and retransmit.

**Response Code: 250**

**Narrative Text:** USPPI COUNTRY MUST BE US

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/Country Code

**X.12 Segment ID/Data Elements:** N404; when N101 = EX

**Reason:** The USPPI Country is not reported as US.

**Resolution:** The country in which the USPPI resides must be declared on an EEI. The USPPI country must be the United States, ISO Country Code = US. Verify

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the USPPI Country Code, correct the N03 record and retransmit. For further assistance, contact your client representative.

**Response Code: 251**

**Narrative Text:** USPPI STATE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/State Code

**X.12 Segment ID/Data Elements:** N402; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the USPPI state is missing.

**Resolution:** The U.S. state, possession or territory where the USPPI resides must be declared in an EEI. Verify the USPPI State Code, correct the N03 record and retransmit.

**Response Code: 252**

**Narrative Text:** USPPI STATE UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/State Code

**X.12 Segment ID/Data Elements:** N402; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the USPPI state is not a valid USPS State Code.

**Resolution:** The U.S. state, possession or territory where the USPPI resides must be declared in an EEI. Verify the USPPI State Code, correct the N03 record and retransmit.

**Response Code: 253**

**Narrative Text:** USPPI POSTAL CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/Postal Code

**X.12 Segment ID/Data Elements:** N403; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the USPPI Postal Code is missing.

**Resolution:** The postal code (i.e., zip code) where the USPPI resides must be declared in an EEI. Verify the USPPI Postal Code, correct the N03 record and retransmit.

**Response Code: 254**

**Narrative Text:** USPPI POSTAL CODE MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/Postal Code

**X.12 Segment ID/Data Elements:** N403; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPI) and the USPPI Postal Code contains a string not reported as 5 numeric digits followed by spaces or as 9 numeric digits.



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**Resolution:** The postal code (i.e., zip code) where the USPPPI resides must be declared in an EEI as either 5 numeric digits followed by 4 spaces or 9 numeric digits. Verify the USPPPI Postal Code, correct the N03 record and retransmit.

**Response Code: 255**

**Narrative Text:** LIC VALUE AMT CANNOT EXCEED \$999,999,999

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record License Value Amount

**X.12 Segment ID/Data Elements:** X114

**Reason:** The license value Amount reported is greater than \$999,999,999.

**Resolution:** The license value amount cannot exceed the maximum threshold of \$999,999,999 for any one commodity line item. The license value amount must be reported in whole US dollars only. Verify the license value Amount, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 256**

**Narrative Text:** USPPPI POSTAL CODE NOT VALID FOR STATE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/ State Code, Postal Code

**X.12 Segment ID/Data Elements:** N402; N403; when N101 = EX

**Reason:** The Party Type was declared as 'E' (USPPPI) and the Postal Code does not match the State Code declared in the USPPPI address.

**Resolution:** The postal code (i.e., zip code) where the USPPPI resides must be declared in an EEI as either 5 numeric digits followed by 4 spaces or 9 numeric digits. The reported USPPPI state code must match the state associated to the postal code. Verify the State Code and Postal Code combination, correct the N03 record and retransmit.

**Response Code: 257**

**Narrative Text:** USPPPI IRS ID TYPE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPPI ID Type; Input N03 Record/USPPPI IRS ID Type,

**X.12 Segment ID/Data Elements:** BA111; when N103 = 1

**Reason:** The USPPPI ID Type is reported as **DUNS** on the block control header (B record) and the USPPPI IRS ID Type is missing on the N03 record.

**Resolution:** An IRS Number for the USPPPI must be reported on an EEI. If the USPPPI ID Type is **DUNS**, a corresponding IRS number for the USPPPI must be declared on an EEI. Verify the USPPPI ID Type and USPPPI IRS ID Type combination, correct and retransmit.

**Response Code: 258**

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**APPENDIX A – Commodity Filing Response Messages**

**Narrative Text:** USPPI IRS ID TYPE MUST BE E

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/USPPI IRS ID Type

**X.12 Segment ID/Data Elements:** Will not occur in X.12

**Reason:** The USPPI IRS ID Type declared on the N03 record is not an EIN.

**Resolution:** An IRS Number for the USPPI must be reported on an EEI. The USPPI IRS ID Type must be an EIN. Verify the USPPI IRS ID Type, correct the N03 record and retransmit

**Response Code: 259**

**Narrative Text:** USPPI IRS ID TYPE NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID Type; Input N03 Record/USPPI IRS ID Type

**X.12 Segment ID/Data Elements:** BA111

**Reason:** The USPPI ID Type is not declared as DUNS and an USPPI IRS ID Type is reported.

**Resolution:** An IRS ID Type cannot be reported if the USPPI ID Type is not DUNS. Verify the USPPI ID Type and USPPI IRS ID Type combination, correct and retransmit.

**Response Code: 26A**

**Narrative Text:** AUTH AGT ID TYPE 'S' NO LONGER ACCEPTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N104; N103; when N101 = FW

**Reason:** The Party Type is reported as Authorized Agent and the Party ID Type is not DUNS or EIN.

**Resolution:** The type of Authorized Agent ID must be a DUNS or EIN. Verify the Party ID and Party ID Type, correct the N01 record and retransmit.

**Response Code: 26B**

**Narrative Text:** USPPI IRS ID TYPE 'S' NO LONGER ACCEPTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/USPPI IRS ID TYPE

**X.12 Segment ID/Data Elements:** BA111

**Reason:** The USPPI IRS ID Type reported on the N03 record is not an EIN.

**Resolution:** The N03 record USPPI IRS ID Type must be EIN. Verify the USPPI IRS ID Type, correct the N03 record and retransmit.

**Response Code: 26C**

**Narrative Text:** STATE OF ORIGIN / USPPI STATE MISMATCH

**Severity:** COMPLIANCE ALERT

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record/Data Elements:** Input SC1 Record/U.S. State of Origin;  
Input N03 Record/USPPI State Code

**X.12 Segment ID/Data Elements:** BA108, and the USPPI State Code is N402

**Reason:** The U.S. State of Origin Code and USPPI Address State Code do not match.

**Resolution:** The State of Origin and USPPI State must match and be reported as the location from which the goods actually begin the journey to the port of export as defined in section 30.6(a)(1)(ii) and 30.6(a)(4) of the Foreign Trade Regulations. Any reporting errors must be corrected and retransmitted. For further assistance, contact the Census Bureau's Trade Regulations Branch at 1-800-549-0595, (Option 3).

**Response Code: 260**

**Narrative Text:** USPPI IRS NBR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID Type; Input N03 Record/USPPI IRS Number

**X.12 Segment ID/Data Elements:** BA109; when N103 = 1 and N101 = EX

**Reason:** The USPPI ID Type is declared as **DUNS** and the USPPI IRS Number is missing.

**Resolution:** If the USPPI ID Type is **DUNS**, a corresponding IRS Number for the USPPI must be declared on the EEI. Verify the USPPI ID Type and USPPI IRS Number combination, correct the N03 record and retransmit.

**Response Code: 261**

**Narrative Text:** USPPI IRS NBR MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/USPPI IRS Number, USPPI ID Type

**X.12 Segment ID/Data Elements:** Will not occur in X.12

**Reason:** The USPPI IRS Number contains a non-numeric value.

**Resolution:** If the USPPI ID Type is **DUNS**, a corresponding IRS Number for the USPPI must be declared on the EEI. The USPPI IRS Number must be a 9-digit number. Verify the USPPI IRS Number, correct the N03 record and retransmit.

**Response Code: 262**

**Narrative Text:** USPPI IRS NBR INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/USPPI IRS Number, USPPI ID Type

**X.12 Segment ID/Data Elements:** BA109; when N103 = 1 and N101 = EX

**Reason:** The USPPI IRS Number contains an ineligible value in AES.

**Resolution:** If the USPPI ID Type is **DUNS**, a corresponding IRS Number for the USPPI must be declared on the EEI. An IRS number cannot contain an ineligible

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**APPENDIX A – Commodity Filing Response Messages**

value identified in AES. Verify the USPPI IRS Number, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 263**

**Narrative Text:** USPPI IRS NBR NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input B Record/USPPI ID Type; Input N03 Record/USPPI IRS Number

**X.12 Segment ID/Data Elements:** BA 109; when N103 = 24, 34 or ZZ, and N101 = EX

**Reason:** The USPPI ID Type is not **DUNS** and an USPPI IRS Number is declared.

**Resolution:** If the USPPI ID Type is **EIN** or **T** for Foreign Entity, the USPPI IRS Number cannot be reported. The USPPI IRS Number is only allowed when the USPPI ID Type is **DUNS**. Verify the USPPI ID Type and USPPI IRS Number combination, correct and retransmit.

**Response Code: 264**

**Narrative Text:** AUTH AGT ID TYPE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party ID Type, Party Type

**X.12 Segment ID/Data Elements:** N103; when N101 = FW

**Reason:** The Party Type is reported as Authorized Agent and the Party ID Type is missing.

**Resolution:** The type of Authorized Agent number must be declared on an EEI when complete Authorized Agent is reported for the shipment. A Party ID cannot be reported without a Party ID Type. Verify the Party Type and Party ID Type combination, correct the N01 record and retransmit.

**Response Code: 265**

**Narrative Text:** AUTH AGT ID TYPE MUST BE E OR D

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N104; N103; when N101 = FW

**Reason:** The Party Type is reported as Authorized Agent and the Party ID Type is not **DUNS** or **EIN**.

**Resolution:** The type of Authorized Agent ID must be a **DUNS** or **EIN**. Verify the Party ID and Party ID Type, correct the N01 record and retransmit.

**Response Code: 266**

**Narrative Text:** AUTH AGT PARTY ID MISSING

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input N01 Record/Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N104; when N101 = FW

**Reason:** The Party Type is declared as Authorized Agent and the Party ID for the Authorized Agent is missing.

**Resolution:** A number identifying the Authorized Agent must be declared on an EEI when complete Authorized Agent reported. Verify the Authorized Agent's Party ID, correct the N01 record and retransmit.

**Response Code: 267**

**Narrative Text:** AUTH AGT PARTY ID MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N104; when N101 = FW

**Reason:** The Party Type is declared as Authorized Agent and the Party ID for the Authorized Agent contains a non-numeric value.

**Resolution:** When reported, if the Party ID Type for the Authorized Agent is EIN, positions 1-9 MUST be numeric. Positions 10 and 11 are used at the discretion of the filer to signify a 'location' and may be specified as alphanumeric. If this location feature is not used, positions 10-11 must be zeros. If the Party ID Type is DUNS, positions 1-9 must be numeric and positions 10-11 must be zeros. Verify the Authorized Agent's Party ID and Party ID Type combination, correct and retransmit.

**Response Code: 268**

**Narrative Text:** AUTH AGT PARTY ID INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party ID

**X.12 Segment ID/Data Elements:** N104; when N101 = FW

**Reason:** The Party Type is declared as Authorized Agent and the Party ID for the Authorized Agent contains an ineligible value in AES.

**Resolution:** An Authorized Agent ID cannot contain an ineligible value identified in AES. Verify the Authorized Agent's Party ID, correct the N01 record and retransmit. For further assistance, contact your client representative.

**Response Code: 269**

**Narrative Text:** AUTH AGT EIN LOCATION INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N104; when N103 not equal 24 and N101 = FW

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Authorized Agent ID Type has been specified as EIN, yet position 10-11 of the Authorized Agent ID on the N01 record contains other than numeric or non-space alpha numeric values.

**Resolution:** When reported, only an EIN forwarder ID can specify a ‘location’ in positions 10-11. If the Party ID Type for the Authorized Agent is EIN, positions 1-9 MUST be numeric. Positions 10 and 11 are used at the discretion of the filer to signify a ‘location’ and may be specified as alphanumeric. If this location feature is not used with the EIN then positions 10-11 must be zeros.

**Response Code: 270**

**Narrative Text:** AUTH AGT LOCATION NOT ALLOWED FOR TYPE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N104; when N103 not equal 24 and N101 = FW

**Reason:** The Authorized Agent ID Type has been specified as DUNS, yet position 10-11 of the Authorized Agent ID on the N01 record contains other than zeroes.

**Resolution:** When reported for the Authorized Agent, if the Party ID Type is DUNS, positions 1-9 must be numeric and positions 10-11 must be zeros. Verify the Authorized Agent’s Party ID and Party ID Type combination, correct and retransmit.

**Response Code: 271**

**Narrative Text:** AUTH AGT PARTY NAME MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Name

**X.12 Segment ID/Data Elements:** N102; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Party Name is missing from the N01 record.

**Resolution:** The Authorized Agent business name must be declared in an EEI when complete Authorized Agent reported if one was employed in the business transaction. Verify the Authorized Agent’s Party Name, correct the N01 record and retransmit.

**Response Code: 272**

**Narrative Text:** AUTH AGT PARTY NAME CONTAINS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Name

**X.12 Segment ID/Data Elements:** N102; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Party Name contains leading spaces.

**Resolution:** The Authorized Agent business name must be declared in an EEI when one has been employed in the business transaction. The Party Name cannot

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**APPENDIX A – Commodity Filing Response Messages**

contain leading spaces (i.e., the Party Name must be left justified). Verify the Authorized Agent's Party Name, correct and retransmit.

**Response Code: 273**

**Narrative Text:** AUTH AGT PARTY NAME INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Name

**X.12 Segment ID/Data Elements:** N102; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Party Name contains an ineligible value in AES.

**Resolution:** The Authorized Agent business name must be declared in an EEI when one has been employed in the business transaction. The Authorized Agent name cannot contain an ineligible value identified in AES. Verify the Authorized Agent's Party Name, correct the N01 record and retransmit. For further assistance, contact your client representative.

**Response Code: 274**

**Narrative Text:** AUTH AGT CNTCT LAST NM CNTNS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Contact Last Name

**X.12 Segment ID/Data Elements:** N201 positions 14 – 20; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Contact Last Name contains leading spaces.

**Resolution:** An Authorized Agent contact last name may be declared on an EEI when complete Authorized Agent reported. When reported, an Authorized Agent contact last name cannot contain leading spaces (i.e., Contact Last Name must be left justified). Verify the Authorized Agent's Contact Last Name, correct the N01 record and retransmit.

**Response Code: 275**

**Narrative Text:** AUTH AGT CONTACT LAST NM INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Contact Last Name

**X.12 Segment ID/Data Elements:** N201 positions 14 – 20; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Contact Last Name contains an ineligible value in AES.

**Resolution:** An Authorized Agent contact last name may be declared on an EEI when complete Authorized Agent reported. When reported, an Authorized Agent contact last name cannot contain an ineligible value identified in AES. Verify the Authorized Agent's Contact Last Name, correct the N01 record and retransmit. For further assistance, contact your client representative.

**Response Code: 276**

**Narrative Text:** AUTH AGT 1<sup>ST</sup> NM REPORTED W/O LAST NAME

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input N01 Record/Contact First Name, Contact Last Name

**X.12 Segment ID/Data Elements:** N201; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Contact First Name is reported without the contact's last name.

**Resolution:** An Authorized Agent's contact first name cannot be reported without a contact last name. Verify the Contact Last and First name, correct the N01 record and retransmit.

**Response Code: 277**

**Narrative Text:** AUTH AGT CNTCT 1<sup>ST</sup> NM CNTNS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Contact First Name

**X.12 Segment ID/Data Elements:** N201 positions 1 – 13; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Contact First Name contains leading spaces.

**Resolution:** When reported, an Authorized Agent contact first name cannot contain leading spaces (i.e., the Contact First Name must be left justified). Verify the Authorized Agent's Contact First Name, correct the N01 record and retransmit.

**Response Code: 278**

**Narrative Text:** AUTH AGT CNTCT 1<sup>ST</sup> NM INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Contact First Name

**X.12 Segment ID/Data Elements:** N201 positions 1 – 13; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the contact first name contains an ineligible value in AES.

**Resolution:** When reported, the Authorized Agent contact first name cannot contain an ineligible value identified in AES. Verify the Authorized Agent's Contact First Name, correct the N01 record and retransmit.

**Response Code: 279**

**Narrative Text:** AUTH AGT ADDR LINE 1 MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N301; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the primary address line is missing from the N02 record.

**Resolution:** The address of the Authorized Agent must be declared in an EEI when complete Authorized Agent reported. Verify the Authorized Agent's Address Line 1, correct the N02 record and retransmit.

**Response Code: 280**

**Narrative Text:** AUTH AGT ADDR LINE 1 CONTAINS LEAD SPACES



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**APPENDIX A – Commodity Filing Response Messages**

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N301; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the primary address line contains leading spaces.

**Resolution:** The address of the Authorized Agent must be declared in an EEI when complete Authorized Agent reported. The primary address line cannot contain leading spaces (i.e., the Address Line 1 must be left justified). Verify the Authorized Agent's Address Line 1, correct the N02 record and retransmit.

**Response Code: 281**

**Narrative Text:** AUTH AGT ADDR LINE 1 INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N301; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the primary address line contains an ineligible value in AES.

**Resolution:** The Authorized Agent's primary address line cannot contain an ineligible value identified in AES. Verify the Authorized Agent's Address Line 1, correct the N02 record and retransmit.

**Response Code: 282**

**Narrative Text:** AUTH AGT ADDR LINE 2 CONTAINS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Address Line 2

**X.12 Segment ID/Data Elements:** N302; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the secondary address line contains leading spaces.

**Resolution:** The Authorized Agent's secondary address line cannot contain leading spaces (i.e., the Address Line 2 must be left justified). Verify the Authorized Agent's Address Line 2, correct the N02 record and retransmit.

**Response Code: 283**

**Narrative Text:** AUTH AGT ADDR LINE 2 INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Address Line 2

**X.12 Segment ID/Data Elements:** N302; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the secondary address line contains an ineligible value in AES.

**Resolution:** The Authorized Agent's secondary address line cannot contain an ineligible value identified in AES. Verify the Authorized Agent's Address Line 2, correct the N02 record and retransmit.

**Response Code: 284**

**Narrative Text:** AUTH AGT CONTACT PHONE # MISSING

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**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Contact Phone Number

**X.12 Segment ID/Data Elements:** N202; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Phone Number is missing from the N02 record.

**Resolution:** The phone number of the Authorized Agent's contact must be declared in an EEI when complete Authorized Agent reported. Verify the Authorized Agent Contact Phone Number, correct the N02 record and retransmit.

**Response Code: 285**

**Narrative Text:** AUTH AGT CONTACT PH# FORMAT: NNNNNNNNNN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Contact Phone Number

**X.12 Segment ID/Data Elements:** N202; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Contact Phone Number is not formatted correctly in AES.

**Resolution:** The Authorized Agent Contact Phone Number must be declared on an EEI when complete Authorized Agent reported. The Authorized Agent contact phone number must be ten numeric digits followed by three spaces (Format: NNNNNNNNNNxxx where N=area code + 7-digit number and x= 3 spaces). Verify the Authorized Agent Contact Phone Number, correct the N02 record and retransmit. Verify the Authorized Agent Contact Phone Number, correct the N02 record and retransmit.

**Response Code: 286**

**Narrative Text:** AUTH AGT CONTACT PHONE # INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N02 Record/Contact Phone Number

**X.12 Segment ID/Data Elements:** N202; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Contact Phone Number contains an ineligible value in AES.

**Resolution:** The Authorized Agent Contact Phone Number must be declared on an EEI when complete Authorized Agent reported. The phone number of the Authorized Agent contact cannot contain an ineligible value identified in AES. Verify the Authorized Agent Contact Phone Number, correct the N02 record and retransmit.

**Response Code: 287**

**Narrative Text:** AUTH AGT CITY MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/City

**X.12 Segment ID/Data Elements:** N401; when N101 = FW

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Party Type is Authorized Agent and the City declared for the address is missing from the N03 record.

**Resolution:** The City that the Authorized Agent resides in must be declared in an EEI when complete Authorized Agent reported. Verify the Authorized Agent's City, correct the N03 record and retransmit.

**Response Code: 288**

**Narrative Text:** AUTH AGT CITY CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/City

**X.12 Segment ID/Data Elements:** N401; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the City declared in the address contains leading spaces.

**Resolution:** The Authorized Agent City cannot contain leading spaces (i.e., the City must be left justified). Verify the Authorized Agent's City, correct the N03 record and retransmit.

**Response Code: 289**

**Narrative Text:** AUTH AGT CITY INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/City

**X.12 Segment ID/Data Elements:** N401; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the City declared in the address contains an ineligible value in AES.

**Resolution:** The Authorized Agent city cannot contain an ineligible value identified in AES. Verify the Authorized Agent's City, correct the N03 record and retransmit.

**Response Code: 290**

**Narrative Text:** AUTH AGT COUNTRY MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/Country Code

**X.12 Segment ID/Data Elements:** N404; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Country Code is missing from the address declared on the N03 record.

**Resolution:** The country in which the Authorized Agent resides must be declared in an EEI when complete Authorized Agent reported. The Authorized Agent Country must be declared as the ISO code **US** for the United States. Verify the Authorized Agent's ISO country code as **US**, correct the N03 record and retransmit.

**Response Code: 291**

**Narrative Text:** AUTH AGT COUNTRY MUST BE US

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/Country Code

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**APPENDIX A – Commodity Filing Response Messages**

**X.12 Segment ID/Data Elements:** N404; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Country Code is not reported as US.

**Resolution:** The Authorized Agent country must be the US. Verify the Authorized Agent's ISO country code as US, correct the N03 record and retransmit.

**Response Code: 292**

**Narrative Text:** AUTH AGT STATE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/State Code

**X.12 Segment ID/Data Elements:** N402; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the State Code is missing from the address reported on the N03 record.

**Resolution:** The US state, possession or territory where the Authorized Agent resides must be declared in an EEI when complete Authorized Agent reported. Verify the Authorized Agent's State Code, correct the N03 record and retransmit.

**Response Code: 293**

**Narrative Text:** AUTH AGT STATE UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/State Code

**X.12 Segment ID/Data Elements:** N402; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the State Code reported on the N03 record is not a known value in AES.

**Resolution:** The US state, possession or territory where the Authorized Agent resides must be declared in an EEI when complete Authorized Agent reported. The State Code must be a valid two-character USPS State, territory or possession code. Verify the Authorized Agent State Code, correct the N03 record and retransmit.

**Response Code: 294**

**Narrative Text:** AUTH AGT POSTAL CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/Postal Code

**X.12 Segment ID/Data Elements:** N403; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Postal Code is missing from the address declared on the N03 record.

**Resolution:** The postal code (i.e., zip code) where the Authorized Agent resides must be declared in an EEI when complete Authorized Agent reported. Verify the Authorized Agent's 5-digit or 9-digit (zip+4) Postal Code, correct the N03 record and retransmit.

**Response Code: 295**

**Narrative Text:** AUTH AGT POSTAL CODE MUST BE NUMERIC

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**APPENDIX A – Commodity Filing Response Messages**

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/Postal Code

**X.12 Segment ID/Data Elements:** N403; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Postal Code reported in the address contains a string not reported as 5 numeric digits followed by spaces or as 9 numeric digits.

**Resolution:** The postal code (i.e., zip code) where the Authorized Agent resides must be declared in an EEI. The Authorized Agent postal code must be reported as 5 numeric digits followed by 4 spaces or 9 numeric digits (zip + 4). Verify the Authorized Agent's 5-digit or 9-digit (zip+4) postal code, correct the N03 record and retransmit.

**Response Code: 296**

**Narrative Text:** ORIGINAL ITN NOT FOUND

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC2 Record/Original ITN

**X.12 Segment ID/Data Elements:** REF/REF01 ORIGINAL\_ITN when Party Type = 'PV'

**Reason:** The Original ITN is specified on the SC2 but cannot be found in Export Shipments on file.

**Resolution:** The ITN associated with a previously filed shipment that is replaced or divided and for which additional shipment(s) must be filed. The original ITN field can be used in certain scenarios, such as, but not limited to, shipments sold en route or cargo split by the carrier where the succeeding parts of the shipment are not exported within the timeframes specified in § 30.28. It must match the ITN of the original shipment. Correct the SC2 and re-transmit.

**Response Code: 297**

**Narrative Text:** AUTH AGT POSTAL CODE NOT VALID FOR STATE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/Postal Code, State Code

**X.12 Segment ID/Data Elements:** N402; N403; when N101 = FW

**Reason:** The Party Type is Authorized Agent and the Postal Code does not match the State Code declared in the Authorized Agent's address.

**Resolution:** The Authorized Agent Postal Code must match the State Code associated to the USPS postal code reported in the Authorized Agent's address. Verify the Authorized Agent's 5-digit or 9-digit (zip+4) Postal Code and State Code combination, correct the N03 record and retransmit.

**Response Code: 298**

**Narrative Text:** AUTH AGT NOT PREVIOUSLY REPORTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type

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**APPENDIX A – Commodity Filing Response Messages**

**X.12 Segment ID/Data Elements:** N1 loop; when N101 = FW

**Reason:** The Party Type is Authorized Agent and only the Party ID and Party ID Type is declared. An existing Authorized Agent established by the filer is not found that matches the Party ID and Party ID Type reported.

**Resolution:** An Authorized Agent identified by the same Party ID and Party ID Type must have previously been completely reported by the filer when ‘Party ID only’ reporting. Verify the Authorized Agent Party ID, Party ID Type, correct appropriately which may require the reporting of complete N01 – N03 records. Retransmit.

**Response Code: 299**

**Narrative Text:** AUTH AGT NAME NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type, Party Name

**X.12 Segment ID/Data Elements:** N102; when N101 = FW

**Reason:** The Party Type is Authorized Agent and only the Party ID and Party ID Type is declared to identify a previously established Authorized Agent. The Party Name is not reported as spaces.

**Resolution:** The party name cannot be reported in an EEI for the Authorized Agent in a ‘Party ID only’ declaration. Verify, correct and retransmit.

**Response Code: 300**

**Narrative Text:** AUTH AGT CNTCT LAST NAME NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type, Contact Last Name

**X.12 Segment ID/Data Elements:** N201 positions 14 – 20; when N101 = FW

**Reason:** The Party Type is Authorized Agent and only the Party ID and Party ID Type is declared to identify a previously established Authorized Agent. The Contact Last Name is not reported as spaces.

**Resolution:** The Contact Last Name cannot be reported in an EEI for the Authorized Agent in a ‘Party ID only’ declaration. Verify, correct and retransmit

**Response Code: 301**

**Narrative Text:** AUTH AGT CNTCT 1<sup>ST</sup> NAME NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type, Contact First Name

**X.12 Segment ID/Data Elements:** N201 positions 1 – 13; when N101 = FW

**Reason:** The Party Type is Authorized Agent and only the Party ID and Party ID Type is declared to identify a previously established Authorized Agent. The Contact First Name is not reported as spaces.

**Resolution:** The Contact First Name cannot be reported in an EEI for the Authorized Agent in a ‘Party ID only’ declaration. Verify, correct and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 302**

**Narrative Text:** TO BE SOLD EN ROUTE IND MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator

**X.12 Segment ID/Data Elements:** N105; when N101 = CN

**Reason:** The Party Type is identified as Ultimate Consignee and the To be Sold en Route Indicator is missing.

**Resolution:** The Ultimate Consignee information must be declared on an EEI including the To Be Sold en Route Indicator. Verify the Ultimate Consignee, correct appropriately and retransmit. For further assistance, contact your client representative.

**Response Code: 303**

**Narrative Text:** TO BE SOLD EN ROUTE IND MUST BE Y OR N

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator

**X.12 Segment ID/Data Elements:** N105 not equal 01 nor 02; when N101 = CN

**Reason:** The Party Type is identified as Ultimate Consignee and the To be Sold en Route Indicator is not reported as **Yes** or **No**.

**Resolution:** The Ultimate Consignee information must be declared on an EEI including a valid To Be Sold en Route Indicator. If the Ultimate Consignee is known and reported, set the To Be Sold en Route Indicator to **No**, to indicate that the cargo is not to be sold en route. If the cargo is to be sold en route and the ultimate consignee is not known or reported for the shipment, then set the To Be Sold en Route to **Yes**. Verify the Ultimate Consignee and the To Be Sold en Route Indicator, correct and retransmit.

**Response Code: 304**

**Narrative Text:** ULT CONS ID TYPE MUST BE E, D, OR SPCE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01/Party Type, Party ID Type

**X.12 Segment ID/Data Elements:** N103; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the Party ID Type is not declared as **DUNS** or **EIN** and is not spaces.

**Resolution:** The Ultimate Consignee must be declared on every EEI. The Party ID and Party ID Type are not required as the foreign consignee party may not be identified by any number. In which case the Party ID Type must be space filled. When a Party ID Type is reported, the Consignee Party ID Type must be a **DUNS** or **EIN** number. Verify the Ultimate Consignee Party ID Type, correct and retransmit.

**Response Code: 305**

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**APPENDIX A – Commodity Filing Response Messages**

**Narrative Text:** ULT CONS PARTY ID MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01/Party Type, Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N103; N104; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the Party ID Type is declared as **DUNS**, and the Party ID contains non-numeric value.

**Resolution:** An Ultimate Consignee must be declared on every EEI. A number identifying the Ultimate Consignee may be declared on an EEI. When reported with a Party ID Type of **Duns**, positions 1-9 must be numeric. Positions 10-11 must be zeros. When reported as Party ID Type **EIN**, positions 1-9 must be numeric, positions 10-11 can be numeric or alphanumeric or zeros. Verify the Consignee Party ID and Party ID Type, correct and retransmit.

**Response Code: 306**

**Narrative Text:** ULT CONS PARTY ID INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01/Party Type, Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N104; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the Party ID declared contains an ineligible value in AES.

**Resolution:** An Ultimate Consignee must be declared on every EEI. A number identifying the Ultimate Consignee may be declared on an EEI. When reported, the Ultimate Consignee Party ID cannot contain an ineligible value identified in AES. Verify the Ultimate Consignee Party ID, correct and retransmit.

**Response Code: 307**

**Narrative Text:** ULT CONS EIN LOCATION INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01/Party Type, Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N103; N104; when N101 = CN

**Reason:** The Ultimate Consignee ID Type has been specified as **EIN**, yet position 10-11 of the Ultimate Consignee ID on the N01 record contains other than numeric or non-space alpha numeric values.

**Resolution:** An Ultimate Consignee must be declared on every EEI. A number identifying the Ultimate Consignee may be declared on an EEI. When reported, if the Ultimate Consignee Party ID Type is **EIN** then positions 9-10 must be numeric. Positions 10-11 may be used at the sole discretion of the filer to signify a 'location' of the party and, if used, may be specified as alphanumeric. If this 'location' feature is not used, positions 10-11 must be zeros.

**Response Code: 308**

**Narrative Text:** ULT CONS ID REPORTED W/O TYPE



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**APPENDIX A – Commodity Filing Response Messages**

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01/ Party ID, Party ID Type, Party Type,

**X.12 Segment ID/Data Elements:** N103; N104; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the Party ID is reported without the Party ID Type (i.e., Party ID Type reported as spaces).

**Resolution:** An Ultimate Consignee must be declared on every EEI. A number identifying the Ultimate Consignee may be declared on an EEI. When a Party ID is declared, the Party ID Type that identifies the type of number must be declared. Verify the Ultimate Consignee Party ID and Party ID Type, correct and retransmit.

**Response Code: 309**

**Narrative Text:** ULT CONS PARTY ID MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N103; N104, when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the Party ID Type is declared but the Party ID is missing.

**Resolution:** An Ultimate Consignee must be declared on every EEI. A number identifying the Ultimate Consignee may be declared on an EEI. When the Party ID Type is reported as DUNS or EIN, the Party ID cannot be reported as spaces. Verify the Party Type, Party ID Type and Party ID, correct and retransmit.

**Response Code: 310**

**Narrative Text:** ULT CONS LOCATION NOT ALLOWED FOR TYPE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type, Party ID

**X.12 Segment ID/Data Elements:** N103; N104; when N101 = CN

**Reason:** The Ultimate Consignee ID Type has been specified as SNN or DUNS, yet position 10-11 of the Ultimate Consignee ID on the N01 record contains other than zeroes.

**Resolution:** An Ultimate Consignee must be declared on every EEI. A number identifying the Ultimate Consignee may be declared on an EEI. When reported, if the Party ID Type is DUNS, positions 10-11 of the Party ID must be zeros. Verify the Party Type, Party ID Type and Party ID, correct and retransmit.

**Response Code: 311**

**Narrative Text:** ULT CONS PARTY NAME MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party Name

**X.12 Segment ID/Data Elements:** N102; when N101 = CN

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Party Type is **C** for Ultimate Consignee, and the ultimate consignee Party Name is missing (i.e., reported as spaces).

**Resolution:** An Ultimate Consignee business name must be declared on every EEI when complete ultimate consignee reported. Verify the Party Type and Party Name, correct and retransmit.

**Response Code: 312**

**Narrative Text:** ULT CONS NAME CANNOT BE ‘SOLD EN ROUTE’

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party Name, To Be Sold en Route Indicator

**X.12 Segment ID/Data Elements:** N102; N105; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the ultimate consignee Party Name is reported as ‘TO BE SOLD EN ROUTE’.

**Resolution:** An Ultimate Consignee business name must be declared on every EEI when complete ultimate consignee reported. The ultimate consignee business name cannot be reported as ‘SOLD EN ROUTE’. Verify the Party Type, Party Name and To Be Sold en Route Indicator, correct and retransmit.

**Response Code: 313**

**Narrative Text:** ULT CONS PARTY NAME CONTAINS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party Name

**X.12 Segment ID/Data Elements:** N102; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the ultimate consignee Party Name contains leading spaces.

**Resolution:** An Ultimate Consignee business name must be declared on every EEI when complete ultimate consignee reported. The ultimate consignee Party Name cannot contain leading spaces (i.e., the Party Name must be left justified). Verify the Party Name, correct and retransmit.

**Response Code: 314**

**Narrative Text:** ULT CONS PARTY NAME INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party Name

**X.12 Segment ID/Data Elements:** N102; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the Party Name contains an ineligible value in AES.

**Resolution:** An Ultimate Consignee business name must be declared on every EEI when complete ultimate consignee reported. The ultimate consignee Party Name cannot contain an ineligible value identified in AES. Verify the ultimate consignee Party Name, correct and retransmit.

**Response Code: 315**

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**APPENDIX A – Commodity Filing Response Messages**

**Narrative Text:** ULT CONS CNTCT LAST NM CNTNS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Contact Last Name

**X.12 Segment ID/Data Elements:** N201 position 14 – 20; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee Contact Last Name contains leading spaces.

**Resolution:** An Ultimate Consignee Contact Last Name may be declared on an EEI when complete ultimate consignee reported. The ultimate consignee Contact Last Name cannot contain leading spaces (i.e., the Contact Last Name must be left justified). Verify the ultimate consignee Contact Last Name, correct and retransmit.

**Response Code: 316**

**Narrative Text:** ULT CONS CONTACT LAST NM INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Contact Last Name

**X.12 Segment ID/Data Elements:** N201 position 14 – 20; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee Contact Last Name contains an ineligible value in AES.

**Resolution:** An Ultimate Consignee Contact Last Name may be declared on an EEI when complete ultimate consignee reported. The ultimate consignee Contact Last Name cannot contain an ineligible value identified in AES. Verify the ultimate consignee Contact Last Name, correct and retransmit.

**Response Code: 317**

**Narrative Text:** ULT CONS CNTCT 1<sup>ST</sup> NM CNTNS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Contact First Name

**X.12 Segment ID/Data Elements:** N201 position 1 – 13; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee Contact First Name contains leading spaces.

**Resolution:** An Ultimate Consignee Contact First Name may be declared on an EEI when complete ultimate consignee reported. The ultimate consignee Contact First Name cannot contain leading spaces (i.e., the Contact First Name must be left justified). Verify the ultimate consignee Contact First Name, correct and retransmit.

**Response Code: 318**

**Narrative Text:** ULT CONS 1<sup>ST</sup> NAME REPORTED W/O LAST NAME

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Contact Last Name, Contact First Name

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**APPENDIX A – Commodity Filing Response Messages**

**X.12 Segment ID/Data Elements:** N201; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the ultimate consignee Contact First Name is reported without the Contact Last Name.

**Resolution:** An Ultimate Consignee Contact First Name may be declared on an EEI when complete ultimate consignee reported. The ultimate consignee Contact First Name cannot be reported without the Contact Last Name. Verify the ultimate consignee Contact First Name, Contact Last Name, correct and retransmit.

**Response Code: 319**

**Narrative Text:** ULT CONS CONTACT 1<sup>ST</sup> NM INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Contact First Name

**X.12 Segment ID/Data Elements:** N201 position 1 – 13; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the ultimate consignee Contact First Name contains an ineligible value in AES.

**Resolution:** An Ultimate Consignee Contact First Name may be declared on an EEI when complete ultimate consignee reported. The ultimate consignee Contact First Name cannot contain an ineligible value identified in AES. Verify the ultimate consignee Contact First Name, correct and retransmit.

**Response Code: 320**

**Narrative Text:** ULT CONS ADDR LINE 1 MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N301; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the ultimate consignee Address Line 1 is missing (i.e. reported as spaces).

**Resolution:** The address of the ultimate consignee must be declared on an EEI when complete ultimate consignee reported. Verify the ultimate consignee Address Line 1, correct and retransmit.

**Response Code: 321**

**Narrative Text:** ULT CONS ADDR LINE 1 CONTAINS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N301; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the ultimate consignee Address Line 1 contains leading spaces.

**Resolution:** The address of the ultimate consignee must be declared on an EEI when complete ultimate consignee reported. The Address Line 1 cannot contain

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**APPENDIX A – Commodity Filing Response Messages**

leading spaces (i.e., must be left justified). Verify the ultimate consignee Address Line 1, correct and retransmit.

**Response Code: 322**

**Narrative Text:** ULT CONS ADDR LINE 1 INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N301; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the ultimate consignee Address Line 1 contains an ineligible value in AES.

**Resolution:** The address of the ultimate consignee must be declared on an EEI when complete ultimate consignee reported. The Address Line 1 cannot contain an ineligible value identified in AES. Verify the ultimate consignee Address Line 1, correct and retransmit.

**Response Code: 323**

**Narrative Text:** ULT CONS ADDR LINE 2 CONTAINS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Address Line 2

**X.12 Segment ID/Data Elements:** N302; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the ultimate consignee Address Line 2 contains leading spaces.

**Resolution:** The address of the ultimate consignee must be declared on an EEI when complete ultimate consignee reported. When reported, the Address Line 2 cannot contain leading spaces (i.e., must be left justified). Verify the ultimate consignee Address Line 2, correct and retransmit.

**Response Code: 324**

**Narrative Text:** ULT CONS ADDR LINE 2 INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Address Line 2

**X.12 Segment ID/Data Elements:** N302; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the ultimate consignee Address Line 2 contains an ineligible value in AES.

**Resolution:** The address of the ultimate consignee must be declared on an EEI when complete ultimate consignee reported. When reported, the Address Line 2 cannot contain an ineligible value identified in AES. Verify the ultimate consignee Address Line 2, correct and retransmit.

**Response Code: 325**

**Narrative Text:** ULT CONS CONTACT PH# MUST BE NUMERIC

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Contact Phone Number

**X.12 Segment ID/Data Elements:** N202; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee Contact Phone Number contains non-numeric.

**Resolution:** The Contact Phone Number of the ultimate consignee contact may be declared in an EEI when complete ultimate consignee reported. When reported, the ultimate consignee Contact Phone Number must be a minimum of eight numerals but may be up to 13 numerals. Report only the foreign country code + foreign city code (if required) + local number. Do not include the International Access Code. Space-fill any remaining positions. Verify the ultimate consignee Contact Phone Number, correct and retransmit.

**Response Code: 326**

**Narrative Text:** ULT CONS CONTACT PHONE # INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Contact Phone Number

**X.12 Segment ID/Data Elements:** N202; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee Contact Phone Number contains an ineligible value in AES.

**Resolution:** The Contact Phone Number of the ultimate consignee contact may be declared in an EEI when complete ultimate consignee reported. When reported, the ultimate consignee Contact Phone Number must be a minimum of eight numerals but may be up to 13 numerals. Report only the foreign country code + foreign city code (if required) + local number. Do not include the International Access Code. Space fill any remaining positions. The Contact Phone Number cannot contain an ineligible value identified in AES. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 327**

**Narrative Text:** ULT CONS CITY MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/City

**X.12 Segment ID/Data Elements:** N401; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee City is missing (i.e., reported as spaces).

**Resolution:** The City that the ultimate consignee resides in must be declared in an EEI when complete ultimate consignee reported. Verify the ultimate consignee City, correct and retransmit.

**Response Code: 328**

**Narrative Text:** ULT CONS CITY CONTAINS LEADING SPACES

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/City

**X.12 Segment ID/Data Elements:** N401; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee City contains leading spaces.

**Resolution:** The City that the ultimate consignee resides in must be declared in an EEI when complete ultimate consignee reported. The ultimate consignee City cannot contain leading space (i.e., must be left justified). Verify the ultimate consignee City, correct and retransmit.

**Response Code: 329**

**Narrative Text:** ULT CONS CITY INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/City

**X.12 Segment ID/Data Elements:** N401; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee City contains an ineligible value in AES.

**Resolution:** The City that the ultimate consignee resides in must be declared in an EEI when complete ultimate consignee reported. The ultimate consignee City cannot contain an ineligible value identified in AES. Verify the ultimate consignee City, correct and retransmit.

**Response Code: 330**

**Narrative Text:** ULT CONS COUNTRY MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code

**X.12 Segment ID/Data Elements:** N404; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee Country is missing from the N03 record (i.e., reported as spaces).

**Resolution:** The Country that the ultimate consignee resides in must be declared in an EEI when complete ultimate consignee reported. Verify the ultimate consignee Country, correct and retransmit.

**Response Code: 331**

**Narrative Text:** ULT CONS COUNTRY UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code

**X.12 Segment ID/Data Elements:** N404; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee Country reported on the N03 record is not an ISO Country Code found in AES.

**Resolution:** The Country that the ultimate consignee resides in must be declared in an EEI when complete ultimate consignee reported. The ultimate consignee

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**APPENDIX A – Commodity Filing Response Messages**

Country must be a valid ISO Country Code found in Appendix C, 'ISO Country Codes'. Verify the ultimate consignee Country Code, correct and retransmit.

**Response Code: 332**

**Narrative Text:** ULT CONS COUNTRY OUTDATED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export; Input N01 Record/Party Type; Input N03 Record/Country Code

**X.12 Segment ID/Data Elements:** DTM01; DTM02; N404; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee Country Code reported is not active in AES.

**Resolution:** The Country that the ultimate consignee resides in must be declared in an EEI when complete ultimate consignee reported. The ultimate consignee Country must be an active (i.e., not expired) ISO Country Code for the export period reported. See 'Appendix C, ISO Country Codes'. Verify the Estimated Date of Export and the Country Code. For further assistance, contact your client representative. Correct the Country Code and retransmit.

**Response Code: 333**

**Narrative Text:** ULT CONS STATE UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/State Code, Country Code

**X.12 Segment ID/Data Elements:** N402; N404; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee. The Country Code is the US and the ultimate consignee State Code is not a valid two-character US state, territory or possession code. Or the Country Code is MX and the ultimate consignee State Code is not a valid two-character Mexican State Code.

**Resolution:** The state that the ultimate consignee resides in must be declared in an EEI when complete ultimate consignee reported. If the US is reported as the Country Code where the consignee resides, the state must be a valid US State, territory or possession. If the Country Code is MX, the state must be a valid two-character Mexican state code. Verify the ultimate consignee State Code and Country Code, correct and retransmit.

**Response Code: 334**

**Narrative Text:** ULT CONS STATE MUST BE A US STATE CD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/State Code

**X.12 Segment ID/Data Elements:** N402; N404; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the Country Code is the US and the ultimate consignee State Code is not a valid US State, territory or possession.



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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The state that the ultimate consignee resides in must be declared in an EEI when complete ultimate consignee reported. If the US is reported as the Country Code where the consignee resides, the state must be a valid US State, territory or possession. Verify the ultimate consignee State Code, correct and retransmit.

**Response Code: 335**

**Narrative Text:** ULT CONS STATE MUST BE A MX STATE CD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/State Code

**X.12 Segment ID/Data Elements:** N402; N404; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the Country Code is MX and the ultimate consignee State Code is not a valid two-character Mexican State Code.

**Resolution:** The state that the ultimate consignee resides in must be declared in an EEI when complete ultimate consignee reported. If MX is reported as the Country Code where the ultimate consignee resides, a valid Mexican State Code must be reported. See ‘Appendix I, Mexican State Codes’. For further assistance, contact your client representative. Verify, correct and retransmit.

**Response Code: 336**

**Narrative Text:** ULT CONS STATE CANNOT BE REPORTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/State Code

**X.12 Segment ID/Data Elements:** N402; N404; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the Country Code is not the US or MX and the State Code is not spaces.

**Resolution:** The Ultimate Consignee State Code can only be reported when the Country is the US or MX. Verify the ultimate consignee Country Code and State Code, correct and retransmit.

**Response Code: 337**

**Narrative Text:** ULT CONS POSTAL CODE CNTNS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code, Postal Code

**X.12 Segment ID/Data Elements:** N403; N404; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the Postal Code contains leading spaces.

**Resolution:** The Postal Code ( i.e., zip code) where the ultimate consignee resides may be declared in an EEI when complete ultimate consignee reported. The ultimate consignee Postal Code cannot contain leading space (i.e., must be left justified). Verify the ultimate consignee Postal Code, correct and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 338**

**Narrative Text:** ULT CONS POSTAL CODE MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code, Postal Code

**X.12 Segment ID/Data Elements:** N403; N404; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the Postal Code is not reported as a string of 5 numeric digits followed by 4 spaces or 9 numeric digits.

**Resolution:** The Postal Code ( i.e., zip code) where the ultimate consignee resides may be declared in an EEI when complete ultimate consignee reported. The ultimate consignee Postal Code must be reported as 5-numeric digits followed by 4 spaces or 9 numeric digits. Verify the ultimate consignee Postal Code, correct and retransmit.

**Response Code: 339**

**Narrative Text:** ULT CONS TYPE IS MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Ultimate Consignee Type

**X.12 Segment ID/Data Elements:** When N101 = CN; N106 where: XT→D, QW→G, B2→O, DU→R

**Reason:** The Party Type is Ultimate Consignee and the Ultimate Consignee Type is missing (i.e. reported as spaces). Report one of the following Ultimate Consignee types.

- D**—Direct Consumer
- G** – Government Entity
- O** – Other/Unknown
- R** – Reseller

**Resolution:** Report the appropriate Ultimate Consignee Type for the Ultimate Consignee. For further assistance, contact your client representative. Verify, correct and retransmit.

**Response Code: 340**

**Narrative Text:** ULT CONS POSTAL CODE NOT VALID FOR STATE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/State Code, Postal Code

**X.12 Segment ID/Data Elements:** N402; N403; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee and the reported ultimate consignee Postal Code is not valid for the State Code reported.

**Resolution:** The Postal Code (i.e. zip code) where the ultimate consignee resides may be declared in an EEI when complete ultimate consignee reported. When reported, the ultimate consignee Postal Code must be reported as 5-numeric digits followed by 4 spaces or 9 numeric digits and must be valid for the State Code

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**APPENDIX A – Commodity Filing Response Messages**

reported. For further assistance, contact your client representative. Verify the ultimate consignee Postal Code, correct and retransmit.

**Response Code: 341**

**Narrative Text:** ULT CONS MUST BE REPORTED WITHIN 4 DAYS

**Severity:** WARNING

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export; Input N01 Record/Party Type, To Be Sold en Route Indicator

**X.12 Segment ID/Data Elements:** DTM01; DTM02; N1 segment; for N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the To Be Sold en Route Indicator is reported as Yes.

**Resolution:** Incomplete ultimate consignee information may be declared on an EEI when a 'To Be Sold en Route' declaration has been made. However, the actual ultimate consignee must be declared within 4 days of the EEI transmission and approval by the AES. Verify, correct and retransmit.

**Response Code: 342**

**Narrative Text:** ULT CONS ID TYPE NOT ALLWD: SOLD EN RTE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route

**X.12 Segment ID/Data Elements:** N103; N104; N105; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the To Be Sold en Route Indicator is declared as Yes and the Party ID Type is reported.

**Resolution:** Incomplete ultimate consignee information may be declared on an EEI when a 'To Be Sold en Route' declaration has been made. The Ultimate Consignee Party ID and Party ID Type cannot be reported on an EEI when a 'To Be Sold en Route' declaration is made. Verify, correct and retransmit.

**Response Code: 343**

**Narrative Text:** ULT CONS ID NOT ALLWD: SOLD EN RTE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator

**X.12 Segment ID/Data Elements:** N103; N104; N105; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the To Be Sold en Route Indicator is declared as Yes and the Party ID is reported.

**Resolution:** Incomplete ultimate consignee information may be declared on an EEI when a 'To Be Sold en Route' declaration has been made. The Ultimate Consignee Party ID and Party ID Type cannot be reported on an EEI when a 'To Be Sold en Route' declaration is made. Verify, correct and retransmit.

**Response Code: 344**

**Narrative Text:** ULT CONS PRY NM MUST BE 'SOLD EN ROUTE'

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**APPENDIX A – Commodity Filing Response Messages**

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party Name, To Be Sold en Route

**X.12 Segment ID/Data Elements:** N102; N105; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the To Be Sold en Route Indicator is declared as Yes and the Party Name is not reported as 'SOLD EN ROUTE'.

**Resolution:** 'SOLD EN ROUTE' must be reported as the Party Name on an EEI when a 'To Be Sold en Route' declaration has been made. Verify Party Name and To Be Sold en Route Indicator, correct and retransmit.

**Response Code: 345**

**Narrative Text:** ULT CONS LST NAME NOT ALLWD: SOLD EN RTE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Contact Last Name, To Be Sold en Route Indicator

**X.12 Segment ID/Data Elements:** N105; N201 positions 14-20; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the To Be Sold en Route Indicator is declared as Yes and the ultimate consignee Contact Last Name is not spaces.

**Resolution:** An ultimate consignee Contact Last Name cannot be reported on an EEI when a 'sold en route' declaration is made. Verify, correct and retransmit.

**Response Code: 346**

**Narrative Text:** ULT CONS 1<sup>ST</sup> NAME NOT ALLWD: SOLD EN RTE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Contact First Name, To Be Sold en Route Indicator

**X.12 Segment ID/Data Elements:** N105; N201 positions 1-13; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the To Be Sold en Route Indicator is declared as Yes and the ultimate consignee Contact First Name is not spaces.

**Resolution:** An ultimate consignee Contact First Name cannot be reported on an EEI when a 'sold en route' declaration is made. Verify, correct and retransmit.

**Response Code: 347**

**Narrative Text:** ULT CONS ADDR 1 NOT ALLWD: SOLD EN RTE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator; Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N105; N301; when N101 = CN

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Party Type is C for Ultimate Consignee, the To Be Sold en Route Indicator is declared as Yes and the ultimate consignee Address Line 1 is not spaces.

**Resolution:** An ultimate consignee Address Line 1 cannot be reported on an EEI when a ‘sold en route’ declaration is made. Verify, correct and retransmit.

**Response Code: 348**

**Narrative Text:** ULT CONS ADDR 2 NOT ALLWD: SOLD EN RTE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator; Input N02 Record/Address Line 2

**X.12 Segment ID/Data Elements:** N105; N302; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the To Be Sold en Route Indicator is declared as Yes and the ultimate consignee Address Line 2 is not spaces.

**Resolution:** An ultimate consignee Address Line 2 cannot be reported on an EEI when a ‘sold en route’ declaration is made. Verify, correct and retransmit.

**Response Code: 349**

**Narrative Text:** ULT CONS PHONE# NOT ALLWD: SOLD EN RTE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator; Input N02 Record/Contact Phone Number

**X.12 Segment ID/Data Elements:** N105; N202; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the To Be Sold en Route Indicator is declared as Yes and the ultimate consignee Phone Number is not spaces.

**Resolution:** An ultimate consignee Phone Number cannot be reported on an EEI when a ‘sold en route’ declaration is made. Verify, correct and retransmit.

**Response Code: 350**

**Narrative Text:** SOLD EN RTE PORT CITY MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator; Input N03 Record/City

**X.12 Segment ID/Data Elements:** N105; N401; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the first port of call City is missing (i.e., reported as spaces).

**Resolution:** The City of the first port of call must be declared in an EEI when a ‘to be sold en route’ declaration is made. Verify, correct and retransmit.

**Response Code: 351**

**Narrative Text:** SOLD EN RTE PORT CITY CNTNS LEAD SPCS

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator; Input N03 Record/City

**X.12 Segment ID/Data Elements:** N105; N401; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the first port of call City contains leading spaces.

**Resolution:** The City of the first port of call must be declared in an EEI when a ‘to be sold en route’ declaration is made. The first port of call City cannot contain leading spaces (i.e., must be left justified). Verify, correct and retransmit

**Response Code: 352**

**Narrative Text:** SOLD EN RTE PORT CITY INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator; Input N03 Record/City

**X.12 Segment ID/Data Elements:** N105; N401; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the first port of call City contains an ineligible value in AES.

**Resolution:** The City of the first port of call must be declared in an EEI when a ‘to be sold en route’ declaration is made. The first port of call City cannot contain an ineligible value identified in AES. Verify, correct and retransmit.

**Response Code: 353**

**Narrative Text:** SOLD EN RTE PORT COUNTRY MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator; Input N03 Record/Country Code

**X.12 Segment ID/Data Elements:** N105; N404; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the Country Code of the first port of call is reported missing (i.e., reported as spaces).

**Resolution:** The Country Code of the first port of call must be declared in an EEI when a ‘to be sold en route’ declaration is made. Verify, correct and retransmit.

**Response Code: 354**

**Narrative Text:** SOLD EN RTE PORT COUNTRY UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator; Input N03/Country Code

**X.12 Segment ID/Data Elements:** N105; N404; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the Country Code of the first port of call is an ISO country code known in AES.

**Resolution:** The Country Code of the first port of call must be declared in an EEI when a ‘to be sold en route’ declaration is made. See ‘Appendix C, ISO Country Codes’ to determine the appropriate country code. Verify, correct and retransmit.

**Response Code: 355**

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**APPENDIX A – Commodity Filing Response Messages**

**Narrative Text:** ULT CONS STATE CD NOT ALLWD: SOLD EN RTE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator; Input N03/State Code

**X.12 Segment ID/Data Elements:** N105; N402; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the To Be Sold en Route Indicator is declared as Yes and the ultimate consignee State Code is not spaces.

**Resolution:** The foreign state where the ultimate consignee resides cannot be reported on an EEI when a 'sold en route' declaration is made. Verify, correct and retransmit.

**Response Code: 356**

**Narrative Text:** ULT CONS POSTAL CD NOT ALLWD: SOLD EN RTE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, To Be Sold en Route Indicator; Input N03/Postal Code

**X.12 Segment ID/Data Elements:** N105; N403; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the To Be Sold en Route Indicator is declared as Yes and the ultimate consignee Postal Code is not spaces.

**Resolution:** The postal code (i.e., zip code) where the ultimate consignee resides cannot be reported on an EEI when a 'sold en route' declaration is made. Verify, correct and retransmit.

**Response Code: 357**

**Narrative Text:** ULT CONS ID TYPE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type

**X.12 Segment ID/Data Elements:** N103; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee Party ID Type is missing (i.e., reported as spaces).

**Resolution:** The type of ultimate consignee number must be declared on an EEI when 'party ID only' reporting. Verify the Party ID Type reported for the ultimate consignee, correct and retransmit.

**Response Code: 358**

**Narrative Text:** ULT CONS ID TYPE MUST BE E OR D

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type

**X.12 Segment ID/Data Elements:** N103; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee Party ID Type is not DUNS or EIN.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The type of ultimate consignee number must be declared on an EEI when ‘party ID only’ reporting. The Party ID Type for the ultimate consignee must be a DUNS or EIN number. Verify, correct and retransmit.

**Response Code: 359**

**Narrative Text:** ULT CONS NOT PREVIOUSLY REPORTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type, Party ID

**X.12 Segment ID/Data Elements:** N103; N104; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee and the ultimate consignee Party ID Type and Party ID is not one previously established in AES.

**Resolution:** An existing ultimate consignee established by the filer must match the Party ID and Party ID Type previously reported by the filer when ‘party ID only’ reporting. Verify the Party ID and Party ID Type, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 360**

**Narrative Text:** ULT CONS NAME NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type, Party ID, Party Name

**X.12 Segment ID/Data Elements:** N102; when N101 = CN

**Reason:** The Party Type is C for Ultimate Consignee, the Party ID Type and Party ID are reported and the ultimate consignee Party Name is not spaces.

**Resolution:** The Party Name cannot be reported in an EEI for the ultimate consignee in a ‘party ID only’ declaration. Verify, correct and retransmit.

**Response Code: 361**

**Narrative Text:** ULT CONS CNTCT LAST NAME NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type, Party ID, Contact Last Name

**X.12 Segment ID/Data Elements:** Will not occur in X.12

**Reason:** The Party Type is C for Ultimate Consignee, the Party ID Type and Party ID are reported and the ultimate consignee Contact Last Name is not spaces.

**Resolution:** The Contact Last Name cannot be reported in an EEI for the ultimate consignee in a ‘party ID only’ declaration. Verify, correct and retransmit

**Response Code: 362**

**Narrative Text:** ULT CONS CNTCT 1ST NAME NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type, Party ID, Contact First Name



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**APPENDIX A – Commodity Filing Response Messages**

**X.12 Segment ID/Data Elements:** N201 positions 1 – 13; when N101 = CN  
**Reason:** The Party Type is **C** for Ultimate Consignee, the Party ID Type and Party ID are reported and the ultimate consignee Contact First Name is not spaces.

**Resolution:** The Contact First Name cannot be reported in an EEI for the ultimate consignee in a ‘party ID only’ declaration. Verify, correct and retransmit.

**Response Code: 363**

**Narrative Text:** SOLD EN ROUTE CANNOT BE DECLARED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type, Party ID, To Be Sold en Route Indicator

**X.12 Segment ID/Data Elements:** N105; when N101 = CN

**Reason:** The Party Type is **C** for Ultimate Consignee, the Party ID Type and Party ID are reported and the To Be Sold en Route Indicator is declared as **Yes**.

**Resolution:** The ‘to be sold en route’ indication must be reported as **No** in an EEI for the ultimate consignee in a ‘party ID only’ declaration. Verify, correct and retransmit

**Response Code: 364**

**Narrative Text:** INT CONS ID TYPE MUST BE E, D, OR SPCE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type

**X.12 Segment ID/Data Elements:** N103; N104; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Party ID Type is not **DUNS**, **EIN** or spaces.

**Resolution:** An intermediate consignee may be declared on an EEI. The Party ID and Party ID Type are not required as the foreign consignee may not be identified by any known number. In which case the Party ID Type can be reported as spaces. However, report a number if one is known. When reported, the type of intermediate consignee ID must be a **DUNS** or **EIN**. Verify, correct and retransmit.

**Response Code: 365**

**Narrative Text:** INT CONS PARTY ID MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID

**X.12 Segment ID/Data Elements:** N104; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Party ID Type is declared and the Party ID contains non-numeric value.

**Resolution:** When reported, the type of intermediate consignee Party ID must be a **DUNS** or **EIN**. Positions 1-9 of the Party ID must be. Verify the Party ID, correct and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 366**

**Narrative Text:** INT CONS PARTY ID INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID

**X.12 Segment ID/Data Elements:** N104; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Party ID contains an ineligible value in AES.

**Resolution:** When reported, the intermediate consignee Party ID must not contain an ineligible value identified in AES. Verify the intermediate consignee Party ID, correct and retransmit.

**Response Code: 367**

**Narrative Text:** INT CONS EIN LOCATION INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type, Party ID

**X.12 Segment ID/Data Elements:** N103; N104; when N101 = IC

**Reason:** The Intermediate Consignee ID Type has been specified as EIN, yet position 10-11 of the Intermediate Consignee ID on the N01 record contains other than numeric or non-space alpha numeric values.

**Resolution:** When the intermediate consignee Party ID is EIN, positions 1-9 must be numeric. Positions 10 and 11 are used at the discretion of the filer to signify a 'location' of the party and, if used, may be specified as alphanumeric. If this feature is not used, positions 10 and 11 must be zeros. Verify, correct and retransmit.

**Response Code: 368**

**Narrative Text:** INT CONS PARTY ID TYPE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N103; N104; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Party ID Type is missing (i.e., reported as spaces).

**Resolution:** An intermediate consignee Party ID cannot be reported without a Party ID Type declared. Verify the Party ID and Party ID Type, correct and retransmit.

**Response Code: 369**

**Narrative Text:** INT CONS PARTY ID MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID

**X.12 Segment ID/Data Elements:** N104; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee, the Party ID Type is reported as **DUNS** or **EIN** and the Party ID is missing (i.e., reported as spaces).

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** When the Party ID Type is declared as **DUNS** or **EIN**, the Party ID cannot be reported as spaces. Verify the Party ID Type, report the Party ID for the intermediate consignee and retransmit.

**Response Code: 370**

**Narrative Text:** INT CONS LOCATION NOT ALLOWED FOR TYPE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type, Party ID

**X.12 Segment ID/Data Elements:** N104; N103; when N101 = IC

**Reason:** The Intermediate Consignee ID Type has been specified as SNN or DUNS, yet position 10-11 of the Intermediate Consignee ID on the N01 record contains other than zeroes.

**Resolution:** When the intermediate consignee Party ID Type is **DUNS**, positions 1-9 must be numeric. Positions 10 and 11 must be zeros. Verify, correct and retransmit

**Response Code: 371**

**Narrative Text:** ULT CONS TYPE IS UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Ultimate Consignee Type

**X.12 Segment ID/Data Elements:** When N101 = CN; N106 where: XT→D, QW→G, B2→O, DU→R

**Reason:** The Party Type is Ultimate Consignee and the reported Ultimate Consignee Type is not known to AES. Report one of the following Ultimate Consignee types.

- D**—Direct Consumer
- G** – Government Entity
- O** – Other/Unknown
- R** – Reseller

**Resolution:** Report the appropriate Ultimate Consignee Type for the Ultimate Consignee. For further assistance, contact your client representative. Verify, correct and retransmit.

**Response Code: 372**

**Narrative Text:** INT CONS PARTY NAME MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party Name

**X.12 Segment ID/Data Elements:** N102; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Party Name is missing (i.e., reported a spaces).

**Resolution:** The intermediate consignee Party Name must be declared in an EEI when complete intermediate consignee reported. Verify the Party Name for the intermediate consignee, correct and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 373**

**Narrative Text:** INT CONS PARTY NAME CONTAINS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party Name

**X.12 Segment ID/Data Elements:** N102; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Party Name contains leading spaces.

**Resolution:** The intermediate consignee Party Name must be declared in an EEI when complete intermediate consignee reported. The Party Name cannot contain leading spaces (i.e., must be left justified). Verify the Party Name for the intermediate consignee, correct and retransmit.

**Response Code: 374**

**Narrative Text:** INT CONS PARTY NAME INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party Name

**X.12 Segment ID/Data Elements:** N104; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Party Name contains an ineligible value in AES.

**Resolution:** The intermediate consignee Party Name must be declared in an EEI when complete intermediate consignee reported. The Party Name cannot contain an ineligible value identified in AES. Verify the Party Name of the intermediate consignee, correct and retransmit.

**Response Code: 375**

**Narrative Text:** INT CONS CNTCT LAST NM CNTNS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Contact Last Name

**X.12 Segment ID/Data Elements:** N201 positions 14 – 20; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Contact Last Name contains leading spaces.

**Resolution:** The intermediate consignee Contact Last Name may be declared in an EEI when complete intermediate consignee reported. When reported, an intermediate consignee Contact Last Name cannot contain leading spaces (i.e., must be left justified). Verify the Contact Last Name of the intermediate consignee, correct and retransmit.

**Response Code: 376**

**Narrative Text:** INT CONS CNTACT LAST NM INELIGIBLE

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Contact Last Name

**X.12 Segment ID/Data Elements:** N201 positions 14 – 20; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Contact Last Name contains an ineligible value in AES.

**Resolution:** The intermediate consignee Contact Last Name may be declared in an EEI when complete intermediate consignee reported. When reported, an intermediate consignee Contact Last Name cannot contain an ineligible value identified in AES. Verify the Contact Last Name of the intermediate consignee, correct and retransmit.

**Response Code: 377**

**Narrative Text:** INT CONS 1<sup>ST</sup> NAME REPORTED W/O LAST NAME

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Contact Last Name, Contact First Name

**X.12 Segment ID/Data Elements:** N201 positions 1 – 13; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Contact First Name is reported and the Contact Last Name is reported as spaces.

**Resolution:** The intermediate consignee Contact Last and First Name may be declared in an EEI when complete intermediate consignee reported. The intermediate consignee Contact First Name cannot be reported without the Contact Last Name. Verify the intermediate Contact First Name and Contact Last Name, correct and retransmit.

**Response Code: 378**

**Narrative Text:** INT CONS CONTACT 1<sup>ST</sup> NM INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Contact First Name

**X.12 Segment ID/Data Elements:** N201 positions 1 – 13; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Contact First Name contains an ineligible value in AES.

**Resolution:** The intermediate consignee Contact First Name cannot contain an ineligible value identified in AES. Verify, correct and retransmit.

**Response Code: 379**

**Narrative Text:** INT CONS CNTCT 1<sup>ST</sup> NM CNTNS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Contact First Name

**X.12 Segment ID/Data Elements:** N201 positions 1 – 13; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Contact First Name contains leading spaces.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The intermediate consignee Contact First Name cannot leading spaces (i.e., must be left justified. Verify, correct and retransmit.

**Response Code: 380**

**Narrative Text:** INT CONS ADDR LINE 1 MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N301; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and Address Line 1 is missing. (i.e., reported as spaces).

**Resolution:** The address of the intermediate consignee must be declared in an EEI when complete intermediate consignee reported. Verify the Address Line 1 for the intermediate consignee, correct and retransmit.

**Response Code: 381**

**Narrative Text:** INT CONS ADDR LINE 1 CONTAINS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N301; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and Address Line 1 contains leading spaces.

**Resolution:** The address of the intermediate consignee must be declared in an EEI when complete intermediate consignee reported. When reported, the intermediate consignee Address Line 1 cannot contain leading spaces (i.e., must be left justified). Verify the Address Line 1, correct and retransmit.

**Response Code: 382**

**Narrative Text:** INT CONS ADDR LINE 1 INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Address Line 1

**X.12 Segment ID/Data Elements:** N301; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and Address Line 1 contains an ineligible value in AES.

**Resolution:** The address of the intermediate consignee must be declared in an EEI when complete intermediate consignee reported. When reported, the intermediate consignee Address Line 1 cannot contain an ineligible value identified in AES. Verify the Address Line 1, correct and retransmit.

**Response Code: 383**

**Narrative Text:** INT CONS ADDR LINE 2 CONTAINS LEAD SPACES

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Address Line 2

**X.12 Segment ID/Data Elements:** N302; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and Address Line 2 contains leading spaces.

**Resolution:** The address of the intermediate consignee must be declared in an EEI when complete intermediate consignee reported. When reported, the intermediate consignee Address Line 2 cannot contain leading spaces (i.e., must be left justified). Verify the Address Line 2, correct and retransmit.

**Response Code: 384**

**Narrative Text:** INT CONS CONTACT PH# CNTNS LEAD SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Contact Phone Number

**X.12 Segment ID/Data Elements:** N202; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Contact Phone Number contains leading spaces.

**Resolution:** The phone number of the intermediate consignee contact may be declared in an EEI when complete intermediate consignee reported. When reported, an intermediate consignee Contact Phone Number must be between eight and thirteen numeric digits (followed by spaces). Verify the Contact Phone Number reported for the intermediate consignee, correct and retransmit.

**Response Code: 385**

**Narrative Text:** INT CONS ADDR LINE 2 INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Address Line 2

**X.12 Segment ID/Data Elements:** N302; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and Address Line 2 contains an ineligible value in AES.

**Resolution:** The address of the intermediate consignee must be declared in an EEI when complete intermediate consignee reported. When reported, the intermediate consignee Address Line 2 cannot contain an ineligible value identified in AES. Verify the Address Line 2, correct and retransmit.

**Response Code: 386**

**Narrative Text:** INT CONS CONTACT PH# MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Contact Phone Number

**X.12 Segment ID/Data Elements:** N202; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Contact Phone Number is reported not numeric.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The phone number of the intermediate consignee contact may be declared in an EEI when complete intermediate consignee reported. When reported, an intermediate consignee Contact Phone Number must be 8 to 13 numeric digits followed by spaces. Verify the Contact Phone Number, correct and retransmit.

**Response Code: 387**

**Narrative Text:** INT CONS CONTACT PH# INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Contact Phone Number

**X.12 Segment ID/Data Elements:** N202; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Contact Phone Number contains an ineligible value in AES.

**Resolution:** The phone number of the intermediate consignee contact may be declared in an EEI when complete intermediate consignee reported. When reported, an intermediate Contact Phone Number cannot contain an ineligible value identified in AES. Verify the Contact Phone Number, correct and retransmit.

**Response Code: 388**

**Narrative Text:** INT CONS CITY MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/City

**X.12 Segment ID/Data Elements:** N401; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the City is missing (i.e., reported as spaces).

**Resolution:** The City that the intermediate consignee resides in must be declared in an EEI when complete intermediate consignee reported. Verify the intermediate consignee City, correct and retransmit.

**Response Code: 389**

**Narrative Text:** INT CONS CITY CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/City

**X.12 Segment ID/Data Elements:** N401; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the City reported contains leading spaces.

**Resolution:** The City that the intermediate consignee resides in must be declared in an EEI when complete intermediate consignee reported. When reported, the City cannot contain leading spaces (i.e., must be left justified). Verify the intermediate consignee City, correct and retransmit.



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**APPENDIX A – Commodity Filing Response Messages****Response Code: 390**

**Narrative Text:** INT CONS CITY INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/City

**X.12 Segment ID/Data Elements:** N401; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the City reported contains an ineligible value in AES.

**Resolution:** The city that the intermediate consignee resides in must be declared in an EEI when complete intermediate consignee reported. When reported, the City cannot contain an ineligible value identified in AES. Verify the intermediate consignee City, correct and retransmit.

**Response Code: 391**

**Narrative Text:** INT CONS COUNTRY MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code

**X.12 Segment ID/Data Elements:** N404; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Country Code is missing (i.e., reported as spaces).

**Resolution:** The country that the intermediate consignee resides in must be declared in an EEI when complete intermediate consignee reported. Verify the Country Code of the intermediate consignee, correct and retransmit.

**Response Code: 392**

**Narrative Text:** INT CONS COUNTRY UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code

**X.12 Segment ID/Data Elements:** N404; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Country Code is not a valid ISO country code in AES.

**Resolution:** The country that the intermediate consignee resides in must be declared in an EEI when complete intermediate consignee reported. See ‘Appendix C, ISO Country Codes’ to determine the valid code, correct and retransmit.

**Response Code: 393**

**Narrative Text:** INT CONS COUNTRY OUTDATED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export; Input N01 Record/Party Type; Input N03 Record/Country Code

**X.12 Segment ID/Data Elements:** N404; when N101 = IC

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Party Type is **I** for Intermediate Consignee and the Country Code is an expired ISO country code in AES.

**Resolution:** The country that the intermediate consignee resides in must be declared in an EEI when complete intermediate consignee reported. The ISO country code reported must be active (i.e., not expired) in AES at the time of export. Verify the Country Code, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 394**

**Narrative Text:** INT CONS STATE UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/State Code

**X.12 Segment ID/Data Elements:** N402; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the State Code is either reported as spaces or it is not a known value in AES.

**Resolution:** The state where the intermediate consignee resides may be declared in an EEI when complete ultimate consignee reported. If the US is reported as the country where the intermediate consignee resides, the state must be a valid US state, territory or possession. Verify, correct and retransmit

**Response Code: 395**

**Narrative Text:** INT CONS STATE MUST BE A US STATE CD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code, State Code

**X.12 Segment ID/Data Elements:** N402; N404; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee, the Country Code is declared as **US** and the State Code is not a valid US state, territory or possession code.

**Resolution:** The state where the intermediate consignee resides may be declared in an EEI when complete ultimate consignee reported. If the US is reported as the country where the intermediate consignee resides, the state must be a valid US state, territory or possession. Verify, correct and retransmit.

**Response Code: 396**

**Narrative Text:** INT CONS STATE CANNOT BE REPORTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code, State Code

**X.12 Segment ID/Data Elements:** N402; N404; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee, the Country Code is not the US, and the State Code is not reported as spaces.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** A State Code is not allowed to be reported when the Country Code of the intermediate consignee is not the US. Verify the Country Code and State Code combination, correct and retransmit.

**Response Code: 397**

**Narrative Text:** INT CONS POSTAL CODE CONTAINS LEAD SPCS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code, Postal Code

**X.12 Segment ID/Data Elements:** N403; N404; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee, the Country Code is **US** and the Postal Code contains leading spaces.

**Resolution:** The postal code (i.e., zip code) where the intermediate consignee resides may be declared in an EEI when complete intermediate consignee reported. When reported, the Postal Code cannot contain leading spaces (i.e., must be left justified). Verify the Postal Code, correct and retransmit.

**Response Code: 398**

**Narrative Text:** INT CONS POSTAL CODE BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code, Postal Code

**X.12 Segment ID/Data Elements:** N403; N404; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee, the Country Code is **US** and the Postal Code contains non-numeric.

**Resolution:** The postal code (i.e., zip code) where the intermediate consignee resides may be declared in an EEI when complete intermediate consignee reported. When reported, the Postal Code must be 5 numeric digits followed by 4 spaces or 9 numeric digits. Verify the Postal Code, correct and retransmit.

**Response Code: 399**

**Narrative Text:** IS THE ESTIMATED DATE OF EXPORT CORRECT?

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1/ESTIMATED DATE OF EXPORT

**X.12 Segment ID/Data Elements:** DTM02

**Reason:** The Estimated Date of Export reported does not match the current year.

**Resolution:** Verify the Estimated Date of Export reported to ensure the year is correct. Any reporting errors must be corrected and retransmitted.

**Response Code: 400**

**Narrative Text:** INT CONS POSTAL CODE NOT VALID FOR STATE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code, State Code, Postal Code

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**APPENDIX A – Commodity Filing Response Messages**

**X.12 Segment ID/Data Elements:** N402; N403; N404; when N101 = IC  
**Reason:** The Party Type is **I** for Intermediate Consignee, the Country Code is **US** and the Postal Code reported does not match the State Code reported.  
**Resolution:** When reported, the Postal Code must be 5 numeric digits followed by 4 spaces or 9 numeric digits and must match the State Code. Verify the State Code and Postal Code combination, correct and retransmit.

**Response Code: 402**

**Narrative Text:** INT CONS ID TYPE MUST BE E OR D

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type

**X.12 Segment ID/Data Elements:** N103; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Party ID Type is not **DUNS** or **EIN**.

**Resolution:** The type of intermediate consignee number must be declared in an EEI when ‘party ID only’ reporting. The Party ID Type may be reported as **DUNS** or **EIN**. Verify the Party ID Type for the intermediate consignee, correct and retransmit.

**Response Code: 403**

**Narrative Text:** INT CONS NOT PREVIOUSLY REPORTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID Type, Party ID

**X.12 Segment ID/Data Elements:** N103; N104; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee, the Party ID Type and Party ID are reported but the intermediate consignee has not previously been established in AES.

**Resolution:** An intermediate consignee identified by the same Party ID and Party ID Type must have been previously reported by the filer when ‘party ID only’ reporting. Verify, correct and retransmit.

**Response Code: 404**

**Narrative Text:** INT CONS NAME NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party Name

**X.12 Segment ID/Data Elements:** N102; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Party Name is not reported as spaces.

**Resolution:** The Party Name cannot be reported in an EEI for the intermediate consignee in a ‘party ID only’ declaration. Verify, correct and retransmit

**Response Code: 405**

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**APPENDIX A – Commodity Filing Response Messages**

**Narrative Text:** INT CONS CNTCT LAST NAME NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Contact Last Name

**X.12 Segment ID/Data Elements:** Will not occur in X.12

**Reason:** The Party Type is **I** for Intermediate Consignee and the Contact Last Name is not reported as spaces.

**Resolution:** The Contact Last Name cannot be reported in an EEI for the intermediate consignee in a ‘party ID only’ declaration. Verify, correct and retransmit.

**Response Code: 406**

**Narrative Text:** INT CONS CNTCT 1<sup>ST</sup> NAME NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Contact First Name

**X.12 Segment ID/Data Elements:** N201, positions 1-13; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee and the Contact First Name is not reported as spaces.

**Resolution:** The Contact First Name cannot be reported in an EEI for the intermediate consignee in a ‘party ID only’ declaration. Verify, correct and retransmit.

**Response Code: 407**

**Narrative Text:** AUTH AGT DATA ON FILE INCOMPLETE; RESEND

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID, Party ID Type; N02 Record; N03 Record

**X.12 Segment ID/Data Elements:** N1 loop; when N101 = FW

**Reason:** The Party ID is **F** for Authorized Agent and the Authorized Agent previously established in AES contains missing or invalid data.

**Resolution:** The Authorized Agent is allowed to report an EEI using the ‘Party ID only’ reporting feature once a filer profile has been established in AES with the first transmission. However, when the Authorized Agent profile was originally established in AES, certain data fields were missing or invalid. Re-send a complete N01-N03 record grouping to re-establish the Authorized Agent. For further assistance, contact your client representative.

**Response Code: 408**

**Narrative Text:** AUTH AGT PARTY ID REPORTED W/O TYPE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type, Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N103; when N101 = FW

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Party Type is **F** for Authorized Agent, a DEC claim has been made, and the complete N01-N03 set has been submitted. The Party ID is reported and the Party ID Type is reported as spaces.

**Resolution:** The type of Authorized Agent number must be declared on an EEI when a DEC claim has been made and the Party ID has been specified. The Party ID Type cannot be spaces. Verify the Party ID Type, correct and retransmit.

**Response Code: 409**

**Narrative Text:** AUTH AGT ADDR 2 REPORTED W/O ADDR 1

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N02 Record/Address Line 1, Address Line 2

**X.12 Segment ID/Data Elements:** N300; N302; when N101 = FW

**Reason:** The Party Type is **F** for Authorized Agent and Address Line 2 is reported without Address Line 1 (i.e., Address Line 1 is spaces).

**Resolution:** The Authorized Agent Address Line 2 cannot be reported without Address Line 1. Verify the Authorized Agent's Address Line 1 and Address Line 2, correct and retransmit.

**Response Code: 410**

**Narrative Text:** ULT CONS POSTAL CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code, State Code, Postal Code

**X.12 Segment ID/Data Elements:** N403; when N101 = IC

**Reason:** The Party Type is **C** for Ultimate Consignee, the Country Code is **US**, the State Code is reported but the Postal Code is missing (i.e., reported as spaces).

**Resolution:** The Postal Code for the Ultimate Consignee must be declared when complete ultimate consignee reporting. Verify the Postal Code, correct and retransmit.

**Response Code: 411**

**Narrative Text:** INT CONS POSTAL CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code, State Code, Postal Code

**X.12 Segment ID/Data Elements:** N403; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee, the Country Code is **US** and the State Code is reported but the Postal Code is missing (i.e., reported as spaces).

**Resolution:** The Postal Code for the intermediate consignee must be reported when complete intermediate consignee reporting. Verify the Postal Code, correct and retransmit.

**Response Code: 412**

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**APPENDIX A – Commodity Filing Response Messages**

**Narrative Text:** INT CONS STATE MUST BE A MX STATE CD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party Type; Input N03 Record/Country Code, State Code

**X.12 Segment ID/Data Elements:** N404; when N101 = IC

**Reason:** The Party Type is **I** for Intermediate Consignee, the Country Code is MX and the intermediate consignee State Code is present, yet is not a valid two-character Mexican State Code.

**Resolution:** The state where the intermediate Consignee resides may be declared in an EEI when complete intermediate consignee reported. If MX (Mexico) is reported as the country where the intermediate consignee resides, no state code is required. However, if one is reported, the state must be a valid MX state. Verify the Mexican state code, correct and retransmit.

**Response Code: 413**

**Narrative Text:** USPPI POSTAL CODE NOT IN EFFECT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimate Date of Export; Input N01 Record/Party Type; Input N03 Record/State Code, Postal Code

**X.12 Segment ID/Data Elements:** DTM02; N403; when N101=EX

**Reason:** The postal code declared on the USPPI's address is not valid (not within the effective period for the postal code) compared to the reported estimated date of export.

**Resolution:** From time to time, the USPS establishes new postal codes or removes other previously acceptable postal codes from their files. AES compares the estimated date of export to the effective period for the postal code declared for the USPPI. If the postal code is not within the effective period compared to the date of export, this fatal condition results. Consult the USPS for a valid postal code, correct and retransmit.

**Response Code: 414**

**Narrative Text:** USPPI POSTAL CODE NOT IN EFFECT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimate Date of Export; Input N01 Record/Party Type; Input N03 Record/State Code, Postal Code

**X.12 Segment ID/Data Elements:** DTM02; N403; when N101=EX

**Reason:** The filer is correcting or replacing a EEI already established in AES. However, the postal code declared on the USPPI's address was not in effect at the date of export.

**Resolution:** From time to time, the USPS establishes new postal codes or removes other previously acceptable postal codes from their files. AES compares the estimated date of export to the effective period for the postal code declared for the USPPI. In this case, the postal code reported was not in effect at the declared

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**APPENDIX A – Commodity Filing Response Messages**

date of export. Consult the USPS for a valid postal code, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 415**

**Narrative Text:** AUTH AGT POSTAL CODE NOT IN EFFECT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimate Date of Export; Input N01 Record/Party Type; Input N03 Record/State Code, Postal Code

**X.12 Segment ID/Data Elements:** DTM02; N403; when N101=FW

**Reason:** The postal code declared on the Authorized Agent's address is not valid (not within the effective period for the postal code) compared to the reported estimated date of export.

**Resolution:** From time to time, the USPS establishes new postal codes or removes other previously acceptable postal codes from their files. AES compares the estimated date of export to the effective period for the postal code declared for the Authorized Agent. If the postal code is not within the effective period compared to the date of export, this fatal condition results. Consult the USPS for a valid postal code, correct and retransmit.

**Response Code: 416**

**Narrative Text:** AUTH AGT POSTAL CODE NOT IN EFFECT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimate Date of Export; Input N01 Record/Party Type; Input N03 Record/State Code, Postal Code

**X.12 Segment ID/Data Elements:** DTM02; N403; when N101=FW

**Reason:** The filer is correcting or replacing a EEI already established in AES. However, the postal code declared on the Authorized Agent's address was not in effect at the date of export.

**Resolution:** From time to time, the USPS establishes new postal codes or removes other previously acceptable postal codes from their files. AES compares the estimated date of export to the effective period for the postal code declared for the Authorized Agent. In this case, the postal code reported was not in effect at the declared date of export. Consult the USPS for a valid postal code, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 417**

**Narrative Text:** ULT CONS POSTAL CODE NOT IN EFFECT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimate Date of Export; Input N01 Record/Party Type; Input N03 Record/State Code, Postal Code

**X.12 Segment ID/Data Elements:** DTM02; N403; when N101=CN

**Reason:** The postal code declared on the ultimate consignee's address is not valid (not within the effective period for the postal code) compared to the reported estimated date of export.



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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** From time to time, the USPS establishes new postal codes or removes other previously acceptable postal codes from their files. AES compares the estimated date of export to the effective period for the postal code declared for the ultimate consignee. If the postal code is not within the effective period compared to the date of export, this fatal condition results. Consult the USPS for a valid postal code, correct and retransmit.

**Response Code: 418**

**Narrative Text:** ULT CONS POSTAL CODE NOT IN EFFECT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimate Date of Export; Input N01 Record/Party Type; Input N03 Record/State Code, Postal Code  
**X.12 Segment ID/Data Elements:** DTM02; N403; when N101=CN

**Reason:** The filer is correcting or replacing a EEI already established in AES. However, the postal code declared on the ultimate consignee's address was not in effect at the date of export.

**Resolution:** From time to time, the USPS establishes new postal codes or removes other previously acceptable postal codes from their files. AES compares the estimated date of export to the effective period for the postal code declared for the ultimate consignee. In this case, the postal code reported was not in effect at the declared date of export. Consult the USPS for a valid postal code, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 419**

**Narrative Text:** INT CONS POSTAL CODE NOT IN EFFECT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimate Date of Export; Input N01 Record/Party Type; Input N03 Record/State Code, Postal Code  
**X.12 Segment ID/Data Elements:** DTM02; N403; when N101=IC

**Reason:** The postal code declared on the intermediate consignee's address is not valid (not within the effective period for the postal code) compared to the reported estimated date of export.

**Resolution:** From time to time, the USPS establishes new postal codes or removes other previously acceptable postal codes from their files. AES compares the estimated date of export to the effective period for the postal code declared for the USPP. If the postal code is not within the effective period compared to the date of export, this fatal condition results. Consult the USPS for a valid postal code, correct and retransmit.

**Response Code: 420**

**Narrative Text:** INT CONS POSTAL CODE NOT IN EFFECT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimate Date of Export; Input N01 Record/Party Type; Input N03 Record/State Code, Postal Code  
**X.12 Segment ID/Data Elements:** DTM02; N403; when N101=IC

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The filer is correcting or replacing a EEI already established in AES. However, the postal code declared on the intermediate consignee's address was not in effect at the date of export.

**Resolution:** From time to time, the USPS establishes new postal codes or removes other previously acceptable postal codes from their files. AES compares the estimated date of export to the effective period for the postal code declared for the intermediate consignee. In this case, the postal code reported was not in effect at the declared date of export. Consult the USPS for a valid postal code, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 421**

**Narrative Text:** ULT CONS DATA ON FILE INCOMPLETE; RESEND

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party ID, Party ID Type, Party Type Input N02 Record; Input N03

**X.12 Segment ID/Data Elements:** N1; N2; N3; N4 when N101= CN

**Reason:** The Ultimate Consignee data associated to the reported Party ID, Party ID Type and Party Type has been marked as incomplete because of missing or invalid party information on file.

**Resolution:** A complete ultimate consignee party grouping is required to declare or correct the previously established ultimate consignee. The AESTIR Commodity Shipment Filing Usage Notes h) Party Reporting / Ultimate Consignee page 1a-53 provides details on reporting full Ultimate Consignee information.

**Response Code: 422**

**Narrative Text:** INT CONS DATA ON FILE INCOMPLETE; RESEND

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party ID, Party ID Type, Party Type; Input N02 Record; Input N03

**X.12 Segment ID/Data Elements:** N1; N2; N3; N4 when N101=IC

**Reason:** The Intermediate Consignee data associated to the reported Party ID, Party ID Type and Party Type has been marked as incomplete because of missing or invalid party information on file.

**Resolution:** A complete intermediate consignee party grouping is required to declare or correct the previously established ultimate consignee. The AESTIR Commodity Shipment Filing Usage Notes h) Party Reporting / Intermediate Consignee page 1a-57 provides details on reporting full Intermediate Consignee information.

**Response Code: 423**

**Narrative Text:** USPPI IRS ID MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N03 Record/USPPI IRS Number, USPPI ID Type

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**APPENDIX A – Commodity Filing Response Messages**

**X.12 Segment ID/Data Elements:** BA109; when N103 = 1 and N101 = EX  
**Reason:** The USPPI IRS ID reported in the N03 record contains non-numeric values

**Resolution:** The USPPI IRS ID must be reported as 9 numeric digits when USPPI ID Type reported as E. Verify the USPPI IRS ID, correct the N03 record and retransmit.

**Response Code: 425**

**Narrative Text:** AUTH AGT PARTY ID MUST BE NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input N01 Record/Party ID, Party ID Type

**X.12 Segment ID/Data Elements:** N104; when N101 = FW

**Reason:** The Party ID reported in the N01 record contains non-numeric values.

**Resolution:** The Party ID must be reported as 9 numeric digits when Party ID Type reported as E or D. Verify the Party ID, correct the N01 record and retransmit.

**Response Codes 427 – 499** <Reserved>**Commodity Line Item Reporting Conditions****Response Code: 5C1**

**Narrative Text:** DDTC LICENSE SUSPENDED FOR COUNTRY

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** SC1 Country of Ultimate Destination Code

**X.12 Segment ID/Data Elements:** BA104

**Reason:** The country in question has been requested to be put on an internal edit processing table and this country is currently not allowed DDTC license shipments.

**Resolution:** DDTC shipments not allowed to this country at the current time.

**Response Code: 5C2**

**Narrative Text:** CAT XXI DETERMINATION NBR UNKNOWN

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input ODT Record/DDTC Commodity Jurisdiction (CJ) Number

**X.12 Segment ID/Data Elements:** X117

**Reason:** The License Code/USML Category XXI Code declared is one that requires a DDTC Category XXI determination number on the ODT record either reported empty, unknown or the Date of Export is greater than the superseded date in AES.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The DDTC Category XXI determination number reported on the ODT record must be a known value in AES. Verify, correct, and retransmit. If DDTC has advised your commodity export is classified in Category XXI, but you do not have a unique case number, you may contact the DDTC Response Team for assistance at [ddtccustomerservice@state.gov](mailto:ddtccustomerservice@state.gov) or (202) 663-1282.

**Response Code: 5C3**

**Narrative Text:** DDTC USML CATEG 55 NOT ELIG FOR LIC TYPE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC USML Category Code

**X.12 Segment ID/Data Elements:** X105; X107

**Reason:** The DDTC USML Category Code 55 (Articles Not Listed in the International Traffic in Arms Regulations (ITAR)), may not be used with License Code/License Exemption Code entered.

**Resolution:** When the DDTC USML Category Code 55 (Articles Not Listed in the International Traffic in Arms (ITAR)) is reported, but is not available for use with the License Code/License Exemption Code entered. See ‘Appendix L- DDTC USML Category Codes’ to determine the category code to report. For further assistance, contact the licensing agency. The Response Team at the Department of State’s Directorate of Defense Trade Controls can be reached for this purpose at 202-663-1282 or [ddtccustomerservice@state.gov](mailto:ddtccustomerservice@state.gov). Correct and retransmit.

**Response Code: 500**

**Narrative Text:** LINE ITEM COMMODITY DETAIL MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1/Shipment Filing Action Request Indicator; Input CL1-CL2 Record Grouping

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The Line Filing Action Request Indicator on the CL1 record is Add or Change and the Line Item Commodity Detail CL2 record is missing.

**Resolution:** The commodity line item grouping specifies a single commodity as reported for the shipment. There must be one Line Item Commodity Detail CL2 record transmitted when the Line Action Request Indicator is Add or Change. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 501**

**Narrative Text:** EXPORT INFO CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code

**X.12 Segment ID/Data Elements:** L1313

**Reason:** The Export Information Code is missing (i.e., reported as spaces).

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** An Export Information Code must be declared on every EEI. Verify the Export Information Code, correct and retransmit.

**Response Code: 502**

**Narrative Text:** EXPORT INFO CODE UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code

**X.12 Segment ID/Data Elements:** L1313

**Reason:** The Export Information Code declared on the CL1 record is not a known value in AES.

**Resolution:** The Export Information Code must be one contained in ‘Appendix E, Export Information Code and Reporting Guidelines.’ Verify the Export Information Code, correct and retransmit.

**Response Code: 503**

**Narrative Text:** LICENSE CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** X107

**Reason:** The License Code is missing (i.e., reported as spaces).

**Resolution:** The License Code/License Exemption Code must be reported on every EEI. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. Verify the License Code/License Exemption Code, correct and retransmit.

**Response Code: 504**

**Narrative Text:** LICENSE CODE UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code

**X.12 Segment ID/Data Elements:** X107

**Reason:** The License Code reported is not a known value in AES.

**Resolution:** The License Code/License Exemption Code must be reported on every EEI. Valid License Codes reportable in AES are contained in ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. Verify the License Code/License Exemption Code, correct and retransmit.  
Verify, correct and retransmit.

**Response Code: 505**

**Narrative Text:** VALUE OF GOODS CONTAINS NON-NUMERICS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/ Value of Goods

**X.12 Segment ID/Data Elements:** Will not occur in X.12

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Value of Goods reported in the CL2 record contains non-numeric or spaces.

**Resolution:** The Value of Goods must be declared on an EEI as numeric. Round to whole dollars, right justify and zero fill unused positions. Zero fill if not required. Verify the Value of Goods, correct and retransmit.

**Response Code: 506**

**Narrative Text:** SHPING WGT CONTAINS NON-NUMERICS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Shipping Weight

**X.12 Segment ID/Data Elements:** Will not occur in X.12

**Reason:** The Shipping Weight reported in the CL2 record contains non-numeric or spaces.

**Resolution:** The Shipping Weight must conditionally be declared on an EEI as numeric. When reported, the gross weight must be kilograms. Right justify and zero fill unused positions. Zero fill if not required. Verify, correct and retransmit.

**Response Code: 507**

**Narrative Text:** QUANTITY (1) CONTAINS NON-NUMERICS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Quantity (1)

**X.12 Segment ID/Data Elements:** Will not occur in X.12

**Reason:** The Quantity (1) reported in the CL2 record contains non-numeric or spaces.

**Resolution:** The Quantity (1) must conditionally be declared on an EEI. When reported, the Quantity (1) must be whole numbers, right justified and zero fill unused positions. Zero fill if not required. Verify, correct and retransmit

**Response Code: 508**

**Narrative Text:** QUANTITY (2) CONTAINS NON-NUMERICS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Quantity (2)

**X.12 Segment ID/Data Elements:** Will not occur in X.12

**Reason:** The Quantity (2) reported in the CL2 record contains non-numeric or spaces.

**Resolution:** The Quantity (2) must conditionally be declared on an EEI. When reported, the Quantity (2) must be whole numbers, right justified and zero fill unused positions. Zero fill if not required. Verify, correct and retransmit

**Response Code: 509**

**Narrative Text:** DDTC QUANTITY CONTAINS NON-NUMERICS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input ODT Record/DDTC Quantity

**X.12 Segment ID/Data Elements:** X110

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The DDTC Quantity reported on the ODT record contains non-numeric or spaces.

**Resolution:** The DDTC Quantity must conditionally be reported on an EEL. When reported, the DDTC Quantity must be numeric, right justified and zero filled. Verify, correct and retransmit.

**Response Code: 510**

**Narrative Text:** EIC CANNOT BE CLAIMED WITH LICENSE CODE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code, License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** L1313; X107

**Reason:** The Export Information Code is not one associated with the License Code/License Exemption reported.

**Resolution:** The Export Information Code must be compatible with the reported License Code/License Exemption. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’ to determine the appropriate Export Information Code/License Code/License Exemption Code combination. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 511**

**Narrative Text:** MOT NOT ALLOWED FOR LICENSE CODE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL1 Record/License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** BA103; X107

**Reason:** The Mode of Transportation reported on the SC1 record is not one associated with the License Code/License Code Exemption Code reported.

**Resolution:** The Mode of Transportation Code must be compatible with the reported License Code/License Exemption. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’ to determine the appropriate Mode of Transportation Code/License Code/License Exemption Code combination. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 512**

**Narrative Text:** ECCN MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export Control Classification Number (ECCN)

**X.12 Segment ID/Data Elements:** X116

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The License Code/License Exemption Code declared is one that requires the Export Control Classification Code to be reported and the ECCN is missing (i.e., reported as spaces).

**Resolution:** The License Code/License Exemption Code conditionally requires the reporting of an ECCN. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’ to determine the License Code/License Exemption Code requirement related to ECCN. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 513**

**Narrative Text:** ECCN CANNOT BE REPORTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/ Export Control Classification Number (ECCN)

**X.12 Segment ID/Data Elements:** X116

**Reason:** The License Code/License Exemption Code declared is one that does not allow the Export Control Classification Code to be reported and the ECCN is reported not spaces.

**Resolution:** The License Code/License Exemption Code conditionally disallows the reporting of an ECCN. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’ to determine the License Code/License Exemption Code requirement related to ECCN. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 514**

**Narrative Text:** EAR99 ECCN REQUIRED FOR LICENSE CODE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export Control Classification Number (ECCN)

**X.12 Segment ID/Data Elements:** X116

**Reason:** The License Code/License Exemption Code declared is one that requires the Export Control Classification Code to be reported as ‘EAR99’ and the ECCN is reported not reported as ‘EAR99’.

**Resolution:** The License Code/License Exemption Code conditionally requires the reporting of ‘EAR99’ as the ECCN. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’ to determine the License Code/License Exemption Code requirement related to ECCN. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 515**

**Narrative Text:** ECCN MUST BE FORMATED NANNN

**Severity:** FATAL



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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL2 Record/Export Control Classification Number (ECCN)

**X.12 Segment ID/Data Elements:** X116

**Reason:** The Export Control Classification Number is not properly formatted.

**Resolution:** When reported as other than EAR99, the Export Control Classification Number must be formatted as NANNN where N = numeric and A = Alpha. Verify the ECCN, correct and retransmit.

**Response Code: 516**

**Narrative Text:** COMMODITY DESCRIPTION MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Commodity Description

**X.12 Segment ID/Data Elements:** L1312

**Reason:** The Commodity Description is missing (i.e., reported as spaces).

**Resolution:** The Commodity Description must conditionally be declared on every EEI. Verify the Commodity Description, correct and retransmit.

**Response Code: 517**

**Narrative Text:** COMMODITY DESC CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Commodity Description

**X.12 Segment ID/Data Elements:** L1312

**Reason:** The Commodity Description contains leading spaces.

**Resolution:** The Commodity Description must be conditionally reported on every EEI and cannot contain leading spaces (i.e., must be left justified). Verify the Commodity Description, correct and retransmit.

**Response Code: 518**

**Narrative Text:** COMMODITY DESCRIPTION INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Commodity Description

**X.12 Segment ID/Data Elements:** L1312

**Reason:** The Commodity Description contains an ineligible value in AES,

**Resolution:** The Commodity Description must be conditionally reported on every EEI and cannot contain an ineligible value identified in AES, including certain specific descriptions (i.e., FAK, Freight of All Kinds, etc.). Verify the Commodity Description, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 519**

**Narrative Text:** SHP WGT EXCEEDS MAX VESSEL THRESHOLD

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL2 Record/Shipping Weight

**X.12 Segment ID/Data Elements:** BA103; L1310; L1311

**Reason:** The Mode of Transportation is declared as Vessel and the Shipping Weight reported for the shipment exceeds the maximum threshold allowed for a vessel shipment.

**Resolution:** The maximum Shipping Weight allowed for a vessel shipment is 200,000,000 kilograms. Check for possible input keying errors, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 520**

**Narrative Text:** SHP WGT EXCEEDS MAX TRUCK THRESHOLD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL2 Record/Shipping Weight

**X.12 Segment ID/Data Elements:** BA103; L1310; L1311

**Reason:** The Mode of Transportation is declared as Truck and the Shipping Weight reported for the shipment exceeds the maximum threshold allowed for a truck shipment.

**Resolution:** The maximum Shipping Weight allowed for a truck shipment is 25,000,000 kilograms. Check for possible input keying errors, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 521**

**Narrative Text:** SHP WGT EXCEEDS MAX RAIL THRESHOLD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL2 Record/Shipping Weight

**X.12 Segment ID/Data Elements:** BA103; L1310; L1311

**Reason:** The Mode of Transportation is declared as Rail and the Shipping Weight reported for the shipment exceeds the maximum threshold allowed for a rail shipment.

**Resolution:** The maximum Shipping Weight allowed for a rail shipment is 30,000,000 kilograms. Check for possible input keying errors, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 522**

**Narrative Text:** SHG WGT EXCEEDS MAX AIR THRESHOLD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL2 Record/Shipping Weight

**X.12 Segment ID/Data Elements:** BA103; L1310; L1311

**Reason:** The Mode of Transportation is declared as AIR and the Shipping Weight reported for the shipment exceeds the maximum threshold allowed for an air shipment.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The maximum Shipping Weight allowed for an air shipment is 150,000 kilograms (for other than fly-away aircraft). Check for possible input keying errors, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 523**

**Narrative Text:** SCHED B/HTS NBR NOT ALLOWED FOR HH GDS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** L1301; L1302; L1313

**Reason:** The Export Information Code is **HH** for household goods and the Schedule B/HTS Number is not spaces.

**Resolution:** The Schedule B/HTS Number is not allowed to be reported when the Export Information Code is **HH** identifying the shipment as household goods. Verify the Export Information Code and Schedule B/HTS Number combination, correct and retransmit.

**Response Code: 524**

**Narrative Text:** 1<sup>ST</sup> UOM CODE NOT ALLOWED FOR HH GDS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input CL2 Record/Unit Of Measure (1)

**X.12 Segment ID/Data Elements:** L1303; L1313

**Reason:** The Export Information Code is **HH** for household goods and the Unit of Measure (1) is not spaces.

**Resolution:** The Unit of Measure (1) is not allowed to be reported when the Export Information Code is **HH** identifying the shipment as household goods. Verify the Export Information Code and Unit of Measure (1) combination, correct and retransmit.

**Response Code: 525**

**Narrative Text:** 2<sup>ND</sup> UOM CODE NOT ALLOWED FOR HH GDS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input CL2 Record/ Unit of Measure (2)

**X.12 Segment ID/Data Elements:** L1303; L1313

**Reason:** The Export Information Code is **HH** for household goods and the Unit of Measure (2) is not spaces.

**Resolution:** The Unit of Measure (2) is not allowed to be reported when the Export Information Code is **HH** identifying the shipment as household goods. Verify the Export Information Code and Unit of Measure (2) combination, correct and retransmit.

**Response Code: 526**

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**APPENDIX A – Commodity Filing Response Messages**

**Narrative Text:** QUANTITY 1 NOT ALLOWED FOR HH GDS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input CL2 Record/Quantity (1)

**X.12 Segment ID/Data Elements:** L1304; L1313

**Reason:** The Export Information Code is **HH** for household goods and the Quantity (1) is not zeros.

**Resolution:** The Quantity (1) is not allowed to be reported when the Export Information Code is **HH** identifying the shipment as household goods. Verify the Export Information Code and Quantity (1) combination, correct and retransmit.

**Response Code: 527**

**Narrative Text:** QUANTITY 2 NOT ALLOWED FOR HH GDS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input CL2 Record/Quantity (2)

**X.12 Segment ID/Data Elements:** L1309; L1313

**Reason:** The Export Information Code is **HH** for household goods and the Quantity (2) is not zeros.

**Resolution:** The Quantity (2) is not allowed to be reported when the Export Information Code is **HH** identifying the shipment as household goods. Verify the Export Information Code and Quantity (2) combination, correct and retransmit.

**Response Code: 528**

**Narrative Text:** VALUE OF GDS MUST BE GT ZERO

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code, License Code/License Exemption Code; Input CL2 Record/Value of Goods

**X.12 Segment ID/Data Elements:** L1305; L1306; L1313

**Reason:** The Value of Goods is reported as ‘zero’ and the Export Information Code is declared as ‘HH’ (Household Goods) or the Value of Goods is reported as ‘zero’ and the License Code/License Exemption Code is not ‘S05’.

**Resolution:** The U.S. dollar value must be declared on an EEI commodity line when the Export Information Code is ‘HH’ (Household Goods). The U.S. dollar value must be declared on an EEI commodity line when the License code/License Exemption Code is other than ‘S05’ (Permanent Export of Munitions). Technical documentation reported under ‘S05’ may be declared as zero. Verify the Export Information Code and/or the License Code/License Exemption Code and the Value of Goods, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 529**

**Narrative Text:** SHPING WGT MUST BE GT ZERO FOR HH GDS

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input CL2 Record/Shipping Weight

**X.12 Segment ID/Data Elements:** L1310; L1311; L1313

**Reason:** The Export Information Code is **HH** for household goods and the Shipping Weight is missing (i.e., reported as zeros).

**Resolution:** The Shipping Weight must be reported regardless of Mode of Transportation when the Export Information Code is **HH** identifying the shipment as household goods. Verify the Export Information Code and the Shipping Weight, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 530**

**Narrative Text:** VALUE OF GDS CANNOT EXCEED \$499,999,999

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Value of Goods

**X.12 Segment ID/Data Elements:** L1301; L1302; L1310; L1311

**Reason:** The Schedule B/HTS Number is not one found in Chapter 88 and the Value of Goods is \$500,000,000 or greater.

**Resolution:** The Value of Goods cannot be greater than \$499,999,999 for any one commodity line item unless the Schedule B/HTS Number is in Chapter 88. The Value of Goods must be reported in whole US dollars only. Verify the Value of Goods, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 531**

**Narrative Text:** FOR/DOM ORIGIN IND NOT ALLOWED FOR HH GDS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code, Domestic/Foreign Indicator

**X.12 Segment ID/Data Elements:** X109; L1313

**Reason:** The Export Information Code is **HH** for household goods and the Domestic/Foreign Indicator is not space.

**Resolution:** The Domestic/Foreign Indicator is not allowed to be reported when the Export Information Code is **HH** for household goods. Verify, correct and retransmit.

**Response Code: 532**

**Narrative Text:** FLY-AWAY AIRCRAFT NOT ALLOWED FOR HH GDS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Carrier ID (SCAC/IATA); Input CL1 Record/Export Information Code; Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** BA110; L1313

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Export Information Code is **HH** for household goods and the Carrier ID (SCAC/IATA) identifies the shipment as a fly-away aircraft.

**Resolution:** The Export Information Code **HH** for household goods is not allowed to be reported when the Carrier ID (SCAC/IATA) is ‘\*\*’ or ‘990’ for fly-away aircraft. Verify, correct and retransmit.

**Response Code: 533**

**Narrative Text:** FOR/DOM ORIGIN IND MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Domestic/Foreign Indicator

**X.12 Segment ID/Data Elements:** X109

**Reason:** The Domestic/Foreign Indicator is missing (i.e., reported as spaces).

**Resolution:** The Domestic/Foreign Indicator must conditionally be reported on an EEI. Verify the origin of the goods, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 534**

**Narrative Text:** FOR/DOM ORIGIN IND MUST BE F OR D

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Domestic/Foreign Indicator

**X.12 Segment ID/Data Elements:** X109

**Reason:** The Domestic/Foreign Indicator is declared as other than Foreign or Domestic.

**Resolution:** The Domestic/Foreign Indicator must conditionally be reported on an EEI as either Foreign origin or Domestic origin. Verify the origin of the goods, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 535**

**Narrative Text:** NAFTA DEFERRED DUTY REQS ENTRY NBR

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input SC2 Record/Entry Number

**X.12 Segment ID/Data Elements:** M1202; L1313

**Reason:** The Export Information Code is reported as **ZD** and the Entry Number is missing (i.e., reported as spaces).

**Resolution:** The Entry Number must be declared when the NAFTA Deferred Duty claim is made using Export Information Code **ZD**. Verify, correct and retransmit.

**Response Code: 536**

**Narrative Text:** NAFTA DEFERRED DUTY REQS FTZ NBR

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input SC2 Record/Foreign Trade Zone Identifier

**X.12 Segment ID/Data Elements:** M1203; L1313

**Reason:** The Export Information Code is reported as **ZD** and the Foreign Trade Zone Identifier is missing (i.e., reported as spaces).

**Resolution:** The Foreign Trade Zone Indicator must be declared when the NAFTA Deferred Duty claim is made using Export Information Code **ZD**. Verify, correct and retransmit.

**Response Code: 537**

**Narrative Text:** NAFTA DEFERRED DUTY REQS CNTRY CA OR MX

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input SC1 Record/Country of Ultimate Destination Code

**X.12 Segment ID/Data Elements:** BA104; L1313

**Reason:** The Export Information Code is reported as **ZD** and the Country of Ultimate Destination Code is not **CA** (Canada) or **MX** (Mexico).

**Resolution:** The NAFTA Deferred Duty claim made using Export Information Code **ZD** can only be declared when the Country of Ultimate Destination is Canada or Mexico. Verify the Export Information Code and Country of Ultimate Destination Code combination, correct and retransmit.

**Response Code: 538**

**Narrative Text:** SHPING WGT MUST BE GT ZERO FOR MOT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL2 Record/Shipping Weight

**X.12 Segment ID/Data Elements:** BA103; L1310; L1311

**Reason:** The Mode of Transportation Code is one that identifies a Vessel, Rail, Truck or Air shipment and the Shipping Weight is missing (i.e., reported as zeros).

**Resolution:** When the Mode of Transportation is Vessel, Rail, Truck or Air, a Shipping Weight must be declared. Verify the Mode of Transportation and Shipping Weight, correct and retransmit.

**Response Code: 539**

**Narrative Text:** SHPING WGT MUST BE ZERO FOR MOT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL1 Record/Export Information Code; Input CL2 Record/Shipping Weight

**X.12 Segment ID/Data Elements:** BA103; L1310; L1311

**Reason:** The Mode of Transportation Code is not Vessel, Rail, Truck or Air and the Shipping Weight is not reported as zeros.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** When the Mode of Transportation is other than Vessel, Rail, Truck or Air, and the Export Information Code is not **HH** for household good, the Shipping Weight is not allowed to be reported (i.e., must be zeros). Verify the Mode of Transportation and Shipping Weight, correct and retransmit.

**Response Code: 540**

**Narrative Text:** VALUE OF GDS CANNOT EXCEED \$999,999,999

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Value of Goods

**X.12 Segment ID/Data Elements:** L1301; L1302; L1305; L1306

**Reason:** The Schedule B/HTS Number is in Chapter 88 and the Value of Goods reported is greater than \$999,999,999.

**Resolution:** The Value of Goods cannot exceed the maximum threshold of \$999,999,999 for any one commodity line item regardless of the Schedule B/HTS Number. The Value of Goods must be reported in whole US dollars only. Verify the Value of Goods, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 541**

**Narrative Text:** DDTC DATA NOT ALLOWED FOR NON-DDTC CLAIM

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record

**X.12 Segment ID/Data Elements:** X1 segment

**Reason:** The License Code/License Exemption Code declared does not indicate a State Department shipment.

**Resolution:** An ODT record can only be filed when the License Code/License Code Exemption reported on the CL1 record is **SAG, SCA, S00, S05, S61, S73, S85, or S94**. Verify the License Code/License Exemption Code, correct and retransmit. For further assistance, contact your client representative or the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 542**

**Narrative Text:** LICENSABLE SHPMT NOT PERMITD/OPT 4 USSPI

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Filing Option Indicator; Input CL1 Record/License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** YNQ01; YNQ02; X107

**Reason:** The Filing Option Indicator is declared as **4** and the shipment requires an export license or license exemption to export.

**Resolution:** An Post Departure filer is not permitted to file licensable shipments. Verify the Filing Option Indicator and the License Code/License Exemption Code



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**APPENDIX A – Commodity Filing Response Messages**

combination, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 543**

**Narrative Text:** LICENSABLE SHPMT NOT PERMITD/DEC FILER

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input A Record/Data Entry Center Indicator; Input CL1 Record/License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** BA107; X107

**Reason:** The Data Entry Center Indicator on the A record is declared as Yes and the shipment requires an export license or license exemption to export.

**Resolution:** A Data Entry Center is not permitted to file licensable shipments. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 544**

**Narrative Text:** BIS LICENSE NBR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code declared on the CL1 record indicates a Bureau of Industry and Security (BIS) license number is required and the license number is missing.

**Resolution:** The License Number must be reported when a BIS licensable shipment claim is made. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. Verify the BIS license number, correct and retransmit. For further assistance, contact the licensing agency. The Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation can be reached at 202-482-4933.

**Response Code: 545**

**Narrative Text:** BIS LICENSE NBR UNKNOWN OR INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code declared on the CL1 record indicates a Bureau of Industry and Security (BIS) license number is required and the license number reported is not a known valid value in AES.

**Resolution:** The License Number must be reported for a BIS licensable shipment. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. The BIS License Number must be one that is valid in AES. Verify

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**APPENDIX A – Commodity Filing Response Messages**

the BIS license number, correct and retransmit. For further assistance, contact the licensing agency. The Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation can be reached at 202-482-4933.

**Response Code: 546**

**Narrative Text:** BIS LICENSE NO LONGER ACTIVE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export; Input CL1 Record/License Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107; DTM01; DTM02

**Reason:** The License Code/License Exemption Code declared on the CL1 record indicates a Bureau of Industry and Security (BIS) license number is required and the license number reported is not active in AES at the time of export.

**Resolution:** The License Number must be reported for a BIS licensable shipment. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. The BIS License Number must be one that is active in AES at the time of export. Verify the BIS license and date of export, correct and retransmit. For further assistance, contact the licensing agency. The Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation can be reached at 202-482-4933.

**Response Code: 547**

**Narrative Text:** BIS EXEMPTION CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** X107

**Reason:** The Bureau of Industry and Security (BIS) exemption code is missing (i.e., reported as spaces).

**Resolution:** Every EEI must conditionally have a License Code/License Exemption Code declared that identifies the type of license, exemption, permit or other authorization to export even if no license is required. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. Verify the BIS code, correct and retransmit. For further assistance, contact the licensing agency. The Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation can be reached at 202-482-4933.

**Response Code: 548**

**Narrative Text:** BIS EXEMPTION CODE UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** X107

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Bureau of Industry and Security (BIS) exemption code declared is not a known value in AES.

**Resolution:** Every EEI must conditionally have a License Code/License Exemption Code declared that identifies the type of license, exemption, permit or other authorization to export even if no license is required. The License Code/License Exemption Code must be valid in AES. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. Verify the BIS exemption code, correct and retransmit. For further assistance, contact the licensing agency. The Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation can be reached at 202-482-4933.

**Response Code: 549**

**Narrative Text:** BIS LICENSE NBR NOT VALID FOR LICENSE CODE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The BIS License Number reported on the CL1 record is not a valid BIS License Number for the reported BIS License Code.

**Resolution:** The BIS License Number must be reported for a BIS licensable shipment. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. The BIS License Number must be one that is valid for the reported BIS License Code. Verify the BIS License Number and Code, correct and retransmit. For further assistance, contact the licensing agency. The Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation can be reached at 202-482-4933.

**EPA****Response Code: 55A**

**Narrative Text:** EPA CONSENT NUMBER MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/PGA Text EPA Consent Number

**X.12 Segment ID/Data Elements:** MAN segment/MAN03 EPA Consent Number

**Reason:** The required EPA Consent Number is missing in the PGA record.

**Resolution:** The EPA Consent Number must be specified in the required format with no leading, trailing or embedded spaces. Correct the PGA record and retransmit.

**Response Code: 55C**

**Narrative Text:** EPA CONSENT NUMBER NOT FOUND

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input PGA Record/ PGA Text EPA Consent Number

**X.12 Segment ID/Data Elements:** MAN segment/ MAN03 EPA Consent Number

**Reason:** The EPA Consent Number reported was not a valid EPA Consent Number in the EPA Reference file.

**Resolution:** The EPA Consent Number reported must be a valid EPA Consent Number in the EPA Reference file.

**Response Code: 55D**

**Narrative Text:** RCRA HW MANIFEST TRACKING NUMBER MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/ PGA Text RCRA HW Manifest Tracking Number

**X.12 Segment ID/Data Elements:** MAN segment/ MAN03 RCRA HW Manifest Tracking Number

**Reason:** The required RCRA HW Manifest Tracking Number is missing in the PGA record.

**Resolution:** The RCRA HW Manifest Tracking Number must be specified in the required format (first 9 characters must be numeric and the last 3 characters must be alphabetic) with no leading, trailing or embedded spaces. Correct the PGA record and retransmit.

**Response Code: 55E**

**Narrative Text:** RCRA HW MANIFEST TRCKNG # INVALID FORMAT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/ PGA Text RCRA HW Manifest Tracking Number

**X.12 Segment ID/Data Elements:** MAN segment/ MAN03 RCRA HW Manifest Tracking Number

**Reason:** The required RCRA HW Manifest Tracking Number is not in the required format in the PGA record.

**Resolution:** The RCRA HW Manifest Tracking Number must be specified in the required format (first 9 characters must be numeric and the last 3 characters must be alphabetic) with no leading, trailing or embedded spaces. Correct the PGA record and retransmit.

**Response Code: 55F**

**Narrative Text:** ULT DEST & EPA CNSNT COUNTRIES NOT SAME

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code and Input PGA Record/PGA Text EPA Consent Number

**X.12 Segment ID/Data Elements:** BA1 segment/ Country of Ultimate Destination Code

and MAN03 EPA Consent Number

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Country of Ultimate Destination entered in the SC1 record in the filing is not the same as the Final Destination Country specified for the EPA Consent Number entered in the PGA record.

**Resolution:** Specify an EPA Consent Number in the PGA record which has the Final Destination

Country same as the Country of Ultimate Destination entered in the SC1 record for the shipment and retransmit.

**Response Code: 55G**

**Narrative Text:** EST DEP DTE NOT IN EPA CONSENT DTE RANGE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export and Input PGA Record/PGA Text EPA Consent Number

**X.12 Segment ID/Data Elements:** DTM segment/ Estimated Date Of Export and MAN03 EPA Consent Number

**Reason:** The Estimated Date Of Export entered in the SC1 record in the filing is not within the date range of First Allowed Departure Date and Last Allowed Departure Date specified for the EPA Consent Number entered in the PGA record.

**Resolution:** Specify an EPA Consent Number in the PGA record which has the First Allowed Departure Date and the Last Allowed Departure Date valid for the Estimated Date of Export reported in the SC1 Record of the filing and retransmit.

**Response Code: 55H**

**Narrative Text:** PGA ID IS REQUIRED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/PGA ID

**X.12 Segment ID/Data Elements:** MAN segment/MAN02

**Reason:** A valid PGA ID must be entered. It cannot be spaces.

**Resolution:** Enter a valid value specified in the AES Proprietary/X12 formats and retransmit.

**Response Code: 55I**

**Narrative Text:** PGA ID IS INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/PGA ID

**X.12 Segment ID/Data Elements:** MAN segment/MAN02

**Reason:** A valid PGA ID must be entered. It cannot be spaces.

**Resolution:** Enter a valid value specified in the AES Proprietary/X12 formats and retransmit.

**Response Code: 55J**

**Narrative Text:** ONLY ONE PGA RECORD PER LINE PER AGENCY

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input PGA Record/PGA ID

**X.12 Segment ID/Data Elements:** MAN segment/MAN02

**Reason:** Only one PGA record can be specified per commodity line per agency.

**Resolution:** Check the PGA record and remove the duplicate PGA record type and resubmit the transaction. If multiple PGA licenses are used, report them on different commodity lines.

**Response Code: 55K**

**Narrative Text:** VALID EPA NET UOM & QUANTITY REQUIRED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/PGA ID

**X.12 Segment ID/Data Elements:** MAN segment/MAN03

**Reason:** EPA Net Quantity Units of Measurement (KG or L) and the quantity is required to be reported in the PGA/EP1 line when the UOM is 'X' or UOM1 is 'NO' and UOM2 is not 'KG'.

**Resolution:** Check the PGA record and enter a valid EPA Net UOM and Quantity and resubmit the transaction.

**Response Code: 55L**

**Narrative Text:** ADDITIONAL PGA INFO IS REQUIRED

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input CL1 Record/ Additional PGA Indicator

**X.12 Segment ID/Data Elements:** X101

**Reason:** Additional PGA information is required based on the 'Y' indicator provided.

**Resolution:** When CL1 Record/Additional PGA Indicator is 'Y', at least one PGA information required. Verify and retransmit with either PGA information on the PGA record or set 'N' for the Additional PGA Indicator.

**Response Code: 55M**

**Narrative Text:** ADDITIONAL PGA INFO IS NOT ALLOWED

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input CL1 Record/ Additional PGA Indicator

**X.12 Segment ID/Data Elements:** X101

**Reason:** No additional PGA information is required based on the 'N' indicator provided.

**Resolution:** When CL1 Record/Additional PGA Indicator is 'N', PGA information is not allowed. Verify and retransmit with PGA information or set 'Y' for Additional PGA Indicator.

**Response Code: 550**

**Narrative Text:** NRC LICENSE NBR MISSING

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code declared indicates a Nuclear Regulatory Commission (NRC) license type that requires a license number to export and the NRC Export License Number is missing.

**Resolution:** See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. Verify the NRC license number, correct and retransmit. For further assistance, contact the licensing agency. The Nuclear Regulatory Commission can be reached at 301-415-2342.

**Response Code: 551**

**Narrative Text:** NRC LIC NBR CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The Nuclear Regulatory Commission license number declared contains leading spaces.

**Resolution:** The NRC license number cannot contain leading spaces (i.e., left justify and leave unused spaces blank). Verify the NRC license number, correct and retransmit. For further assistance, contact the licensing agency. The Nuclear Regulatory Commission can be reached at 301-415-2342.

**Response Code: 552**

**Narrative Text:** NRC LIC NBR INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The Nuclear Regulatory Commission license number declared contains an ineligible value in AES.

**Resolution:** The NRC license number cannot contain an ineligible value identified in AES. Verify the NRC license number, correct and retransmit. For further assistance, contact the licensing agency. The Nuclear Regulatory Commission can be reached at 301-415-2342.

**Response Code: 553**

**Narrative Text:** OFAC LICENSE NBR MISSING

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code declared indicates an Office of Foreign Assets Control license type that requires a license number to export and the OFAC License Number is missing.

**Resolution:** See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. Verify the OFAC license number, correct and retransmit. For further assistance, contact the licensing agency. The Department of the Treasury/Office of Foreign Assets Control can be reached at 202-622-2520.

**Response Code: 554**

**Narrative Text:** OFAC LIC NBR CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The Office of Foreign Assets Control (OFAC) license number declared contains leading spaces.

**Resolution:** The OFAC license number cannot contain leading spaces (i.e., left justify and leave unused spaces blank). Verify the OFAC license number, correct and retransmit. For further assistance, contact the licensing agency. The Department of the Treasury/Office of Foreign Assets Control can be reached at 202-622-2520.

**Response Code: 555**

**Narrative Text:** OFAC LIC NBR INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The Office of Foreign Assets Control (OFAC) license number declared contains an ineligible value in AES.

**Resolution:** The OFAC license number cannot contain an ineligible value identified in AES. Verify OFAC license number, correct and retransmit. For further assistance, contact the licensing agency. The Department of the Treasury/Office of Foreign Assets Control can be reached at 202-622-2520.

**Response Code: 556**

**Narrative Text:** OPA LICENSE NBR MISSING

**Severity:** FATAL



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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** An Other Partnership Agency (OPA) license type code is declared and the license number or other authorization symbol is missing.

**Resolution:** See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. Verify the OPA requirement, correct and retransmit. For further assistance, contact the licensing agency.

**Response Code: 557**

**Narrative Text:** OPA LIC NBR CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** An Other Partnership Agency (OPA) license type code is declared and the license number or other authorization symbol contains leading spaces.

**Resolution:** The OPA license number or authorization symbol cannot contain leading spaces (i.e., left justify and leave unused spaces blank). Verify the OPA license number or authorization symbol, correct and retransmit. For further assistance, contact the licensing agency.

**Response Code: 558**

**Narrative Text:** OPA LIC NBR INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** An Other Partnership Agency (OPA) license type code is declared and the license number or other authorization symbol contains an ineligible value in AES.

**Resolution:** The OPA license number or authorization symbol cannot contain an ineligible value identified in AES. Verify the OPA license number or authorization symbol, correct and retransmit. For further assistance, contact the licensing agency.

**Response Code: 559**

**Narrative Text:** DDTC DATA REQUIRED FOR DDTC CLAIM

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#; Input ODT Record

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**APPENDIX A – Commodity Filing Response Messages****X.12 Segment ID/Data Elements:** X1 segment

**Reason:** The License Code/License Exemption Code declared is one that requires the ODT record to be filed and the ODT record is missing.

**Resolution:** The ODT record contains specific Directorate of Defense Trade Controls (DDTC) munitions license information regarding a reported commodity contained in the shipment. When the License Code/License Exemption Code is reported as **SAG, SCA, S00, S05, S61, S73, S85, or S94**, the ODT record must be transmitted. Verify, correct and retransmit. For further assistance, contact your client representative or the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 560**

**Narrative Text:** DDTC LICENSE NBR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code declared is one that requires a Department of State/Directorate of Defense Trade Controls (DDTC) license number and the DDTC license number is missing for the CL1 record.

**Resolution:** DDTC License Codes **S05, S61, S73, S85, and S94** require the DDTC license number to be reported on the CL2 record. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. For further assistance, contact your client representative or the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 561**

**Narrative Text:** DDTC LICENSE NBR UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code declared is one that requires a Department of State/Directorate of Defense Trade Controls (DDTC) license number and the DDTC license number reported is one unknown in AES.

**Resolution:** The DDTC license number reported on the CL2 record must be a known value in AES. Verify, correct and retransmit. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 562**

**Narrative Text:** DDTC LIC NBR NOT ALLOWED FOR EXEMPTION

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**APPENDIX A – Commodity Filing Response Messages**

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#; Input ODT Record/DDTC ITAR Exemption Number

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code declared as **SAG, SCA**, or **S00** and a Department of State/Directorate of Defense Trade Controls (DDTC) license number is reported.

**Resolution:** When the DDTC License Code/License Exemption Code is declared as **SAG, SCA** or **S00**, an exemption from the requirement for a license number applies. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 563**

**Narrative Text:** DDTC ITAR EXEMPTION NBR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC ITAR Exemption Number

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code declared as **SAG, SCA, S00, SAU** or **SGB** and a Department of State/Directorate of Defense Trade Controls (DDTC) exemption number is missing.

**Resolution:** When the DDTC License Code/License Exemption Code is declared as **SAG, SCA, S00, SAU** or **SGB** an exemption number must be reported. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. See ‘Appendix O, DDTC ITAR Exemption Codes for a list of these codes. For further assistance, contact your client representative or the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 564**

**Narrative Text:** DDTC ITAR EXEMPTION NBR UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC ITAR Exemption Number

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code declared as **SAG, SCA, S00, SAU** or **SGB** and a Department of State/Directorate of Defense Trade Controls (DDTC) exemption number is reported but is an unknown value in AES.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** When the DDTC License Code/License Exemption Code is declared as **SAG, SCA, S00, SAU or SGB**, an exemption number must be reported. See ‘Appendix O, DDTC ITAR Exemption Codes for a list of valid codes and their reporting formats. For further assistance, contact your client representative or the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 565**

**Narrative Text:** DDTC EXEMPTION NBR NOT ALLOWED FOR LIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC ITAR Exemption Number

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code declared is one that requires a Department of State/Directorate of Defense Trade Controls (DDTC) license number and an exemption number is reported.

**Resolution:** When the DDTC License Code/License Exemption Code is declared as **S05, S61, S73, S85 or S94**, an exemption number cannot be reported. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. For further assistance, contact your client representative or the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 566**

**Narrative Text:** CNTY MUST BE KIMBERLEY PROCESS PRTCNT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code; Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** BA104; L1302

**Reason:** Public Law 108-19 Clean Diamond Trade Act prohibits the export of any rough diamond to any country that is not a participant in the Kimberley Process Certification Scheme.

**Resolution:** Verify the Schedule B/HTS Number. If the shipment is correctly classified as ‘rough diamond’, then verify the Country of Ultimate Destination. The complete list of participating countries is included in Federal Register/Vol. 69, No. 151/August 6, 2004. Correct and retransmit if appropriate. For further assistance, contact your client representative.

**Response Code: 567**

**Narrative Text:** CNTY MUST BE CA FOR CANADIAN ITAR EXMPTN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code; Input CL1 Record/License Code/License Exemption Code;

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**APPENDIX A – Commodity Filing Response Messages**

Input N03 Record/Country Code; Input ODT Record/DDTC ITAR Exemption Number

**X.12 Segment ID/Data Elements:** BA104; X102; X103; X107; N404

**Reason:** The License Code/License Exemption Code reported is **SCA** and the Country of Ultimate Destination or Party Address Country Code of the Intermediate or Ultimate Consignee is not declared as Canada.

**Resolution:** The Canadian ITAR exemption requires that the Country of Ultimate Destination, Ultimate Consignee or Intermediate Consignee is Canada. Verify the License Code/License Exemption and the Ultimate Country of Destination combination, correct appropriately and retransmit. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 568**

**Narrative Text:** DSP-94 MUST BE FORMATTED AA-A-AAA

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption is reported is **S94** and the Export License Number/CFR Citation/Authorization Symbol is not properly formatted.

**Resolution:** The License Code/License Exemption Code **S94** requires that the reported Export License Number be formatted as 'AA-A-AAA' where the A = alphanumeric character, include the dashes, left justify and leave unused positions blank. Verify the License Code/License Exemption and the Export License Number, correct and retransmit. For further assistance, contact your client representative or the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 569**

**Narrative Text:** FRGN MIL SALE MUST BE DOMESTIC ORIGIN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/ Export Information Code, Foreign/Domestic Origin Indicator, License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** L1313; X107; X109

**Reason:** The Export Information Code is declared as **FS**, the License Code/License Exemption Code is declared as **S94**, and the Domestic/Foreign Origin Indicator is not **D** for domestic origin.

**Resolution:** When the License Code/License Exemption Code is declared as **DSP-94** for Foreign Military Sales, the origin of the goods must be domestic. Verify the Export Information Code, License Code/License Exemption Code and the Domestic/Foreign Origin Indicator combination, correct and retransmit. For further assistance, contact your client representative or the licensing agency. The

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**APPENDIX A – Commodity Filing Response Messages**

Department of State/Directorate of Defense Trade Controls/Licensing Division  
can be reached at 202-663-2700.

**Response Code: 57A**

**Narrative Text:** NO RGSTRTN REQD; ITAR USED: < DDTC ITAR  
Exemption Number>

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input ODT Record/DDTC Registration  
Number /DDTC ITAR Exemption Number

**X.12 Segment ID/Data Elements:** X102; X103; X108

**Reason:** Registration Number is missing in the ODT record. When DDTC ITAR  
Exemption Numbers 22 CFR 123.17( a thru g) are claimed Registration Number  
is not required.

**Resolution:** Informational, no response necessary at this time.

**Response Code: 57B**

**Narrative Text:** S94 LICENSE NUMBER UNKNOWN OR INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License  
Code/License Exemption, Input CL2 Record/Export License Number/CFR  
Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption reported is **S94** and the Export  
License Number/CFR Citation/Authorization Symbol is not a known value is  
AES.

**Resolution:** The License Code/License Exemption Code **S94** requires that the  
reported Export License Number must be valid in AES at the time of  
export. Verify the License Code/License Exemption and the Export License  
Number, correct and retransmit. For further assistance, contact your client  
representative or the licensing agency. The Department of State/Directorate of  
Defense Trade Controls/Licensing Division can be reached at 202-663-2700 or  
email at [dscn.ncr.dscn-spp.mbx.fms-exports@mail.mil](mailto:dscn.ncr.dscn-spp.mbx.fms-exports@mail.mil).

**Response Code: 570**

**Narrative Text:** DDTC REGISTRANT MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License  
Code/License Exemption Code; Input ODT Record/DDTC Registration Number

**X.12 Segment ID/Data Elements:** X107; X108

**Reason:** The License Code/License Exemption Code declared is one that requires  
a DDTC Registration Number and the DDTC Registration Number is missing  
from the ODT record.

**Resolution:** When the License Code/License Exemption Code indicates a DDTC  
license claim (**SAG, SCA, S00, S05, S61, S73, S85, or S94**), the registration  
identifier assigned by DDTC must be reported on the ODT record. Verify,

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**APPENDIX A – Commodity Filing Response Messages**

correct and retransmit. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 571**

**Narrative Text:** DDTC REGISTRANT UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC Registration Number

**X.12 Segment ID/Data Elements:** X107; X108

**Reason:** The Registration Number reported is not a known value in AES.

**Resolution:** When the License Code/License Exemption Code indicates a DDTC license claim (**SAG, SCA, S00, S05, S61, S73, S85, or S94**), the registration identifier assigned by DDTC must be reported on the ODT record. The Registration Number must valid in AES at the time of export. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 572**

**Narrative Text:** DDTC REGISTRANT EXPIRED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export; Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC Registration Number

**X.12 Segment ID/Data Elements:** DTM01; DTM02; X107; X108

**Reason:** The Registration Number reported is not active at the time of export (i.e., DDTC Registration Number is expired).

**Resolution:** When the License Code/License Exemption Code indicates a DDTC license claim (**SAG, SCA, S00, S05, S61, S73, S85, or S94**), the registration identifier assigned by DDTC must be reported on the ODT record. The Registration Number must be a known value in AES and cannot be expired at the time of export. The Registration Number expiration month and year are compared to the Estimated Date of Export. Verify, correct and retransmit. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 573**

**Narrative Text:** DDTC LICENSE NOT ISSUED TO REGISTRANT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC Registration Number

**X.12 Segment ID/Data Elements:** X107; X108

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The License Code/License Exemption Code indicates a DDTC license claim and the DDTC Registration Number does not match the Export License Number reported.

**Resolution:** When the License Code/License Exemption Code indicates a DDTC license claim (**S05, S61, S73, or S85**), the registration identifier assigned by DDTC must match the Export License Number. Verify the DDTC license code and registration number, correct and retransmit. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 574**

**Narrative Text:** DDTC SME IND MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC Significant Military Equipment (SME) Indicator

**X.12 Segment ID/Data Elements:** X107; X115

**Reason:** A DDTC license claim is declared and the Significant Military Equipment (SME) Indicator is missing (i.e., reported as spaces).

**Resolution:** When the License Code/License Exemption Code indicates a DDTC license claim (**SAG, SCA, S00, S05, S61, S73, S85, or S94**), the Significant Military Equipment (SME) Indicator must be reported. Verify, correct and retransmit. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 575**

**Narrative Text:** DDTC SME IND MUST BE Y OR N

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC Significant Military Equipment (SME) Indicator

**X.12 Segment ID/Data Elements:** X107; X115

**Reason:** A DDTC license claim is declared and the Significant Military Equipment (SME) Indicator is reported as other than **Y** for yes or **N** for no.

**Resolution:** When the License Code/License Exemption Code indicates a DDTC license claim (**SAG, SCA, S00, S05, S61, S73, S85, or S94**), the Significant Military Equipment (SME) Indicator must be reported as either **Y** or **N**. Verify whether or not the articles being reported warrant special export controls because of their capacity for substantial military utility of capability (see 22 CFR 121.1 for SME articles). For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700. Correct and retransmit.



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**APPENDIX A – Commodity Filing Response Messages****Response Code: 576**

**Narrative Text:** DDTC ELIG PARTY IND MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC Eligible Party Certification Indicator

**X.12 Segment ID/Data Elements:** X106; X107

**Reason:** A DDTC license claim is declared and the DDTC Eligible Party Indicator is missing (i.e., reported as spaces).

**Resolution:** When the License Code/License Exemption Code indicates a DDTC license claim **SCA, S00, SAU or SGB**, the DDTC Eligible Party Indicator is required (see 22 CFR 120.1 (c)). For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700. Correct and retransmit.

**Response Code: 577**

**Narrative Text:** DDTC ELIG PARTY IND MUST BE Y OR N

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC Eligible Party Certification Indicator

**X.12 Segment ID/Data Elements:** X106; X107

**Reason:** A DDTC license claim is declared and the DDTC Eligible Party Indicator is not reported as **Y** for yes and **N** for no.

**Resolution:** When the License Code/License Exemption Code indicates a DDTC license claim **SCA or S00**, the DDTC Eligible Party Indicator is required (see 22 CFR 120.1 (c)). Valid values are **Y** for yes or **N** for no. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700. Correct and retransmit.

**Response Code: 578**

**Narrative Text:** DDTC ELIG PARTY IND NOT ALLOWED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC Eligible Party Certification Indicator

**X.12 Segment ID/Data Elements:** X106; X107

**Reason:** The DDTC license claim is not **SCA** or **S00** and the DDTC Eligible Party Indicator is reported as other than spaces.

**Resolution:** The DDTC Eligible Party Indicator is required (see 22 CFR 120.1 (c)) when the License Code/License Exemption Code is reported as **SCA or S00**. The DDTC Eligible Party Indicator is not allowed to be reported with any other DDTC license claim. For further assistance, contact the licensing agency. The

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**APPENDIX A – Commodity Filing Response Messages**

Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700. Correct and retransmit.

**Response Code: 579**

**Narrative Text:** DDTC USML CATEGORY MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC USML Category Code  
**X.12 Segment ID/Data Elements:** X105; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC license claim (SAG, SCA, S00, S05, S61, S73, S85, or S94), and the USML Category Code is missing (i.e., reported as spaces).

**Resolution:** When the License Code/License Exemption Code indicates a DDTC license claim (SAG, SCA, S00, S05, S61, S73, S85, or S94), the USML Category Code must be reported. See 'Appendix L- DDTC USML Category Codes' to determine the category code to report. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700. Correct and retransmit.

**Response Code: 580**

**Narrative Text:** DDTC USML CATEGORY UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC USML Category Code  
**X.12 Segment ID/Data Elements:** X105; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC license claim (SAG, SCA, S00, S05, S61, S73, S85, or S94), and the USML Category Code is a known value in AES.

**Resolution:** When the License Code/License Exemption Code indicates a DDTC license claim (SAG, SCA, S00, S05, S61, S73, S85, or S94), the USML Category Code must be reported. See 'Appendix L- DDTC USML Category Codes' to determine the category code to report. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700. Correct and retransmit.

**Response Code: 581**

**Narrative Text:** DDTC UOM MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC Unit of Measure Code  
**X.12 Segment ID/Data Elements:** X107; X113

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The License Code/License Exemption Code indicates a DDTC license claim (**SAG, SCA, S00, S05, S61, S73, S85, or S94**), and the DDTC Unit of Measure is missing (i.e., reported as spaces).

**Resolution:** When the License Code/License Exemption Code indicates a DDTC license claim (**SAG, SCA, S00, S05, S61, S73, S85, or S94**), the DDTC Unit of Measure must be reported. See ‘Appendix W- DDTC Unit of Measure Codes’ to determine the proper code to report. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700. Correct and retransmit.

**Response Code: 582**

**Narrative Text:** DDTC UOM UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC Unit of Measure Code

**X.12 Segment ID/Data Elements:** X107; X113

**Reason:** The License Code/License Exemption Code indicates a DDTC license claim (**SAG, SCA, S00, S05, S61, S73, S85, or S94**), and the DDTC Unit of Measure reported is not a known value in AES.

**Resolution:** When the License Code/License Exemption Code indicates a DDTC license claim (**SAG, SCA, S00, S05, S61, S73, S85, or S94**), the DDTC Unit of Measure must be reported. See ‘Appendix W- DDTC Unit of Measure Codes’ to determine the proper code to report. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700. Correct and retransmit.

**Response Code: 583**

**Narrative Text:** DDTC QUANTITY MUST BE GT ZERO

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input ODT Record/DDTC Quantity

**X.12 Segment ID/Data Elements:** X107; X110

**Reason:** The License Code/License Exemption Code indicates a DDTC license claim (**SAG, SCA, S00, S05, S61, S73, S85, or S94**), and the DDTC Quantity is missing (i.e., reported as zeros).

**Resolution:** When the License Code/License Exemption Code indicates a DDTC license claim (**SAG, SCA, S00, S05, S61, S73, S85, or S94**), the DDTC Quantity must be reported and must be greater than zero. Report the DDTC Quantity in the unit of measure required (see ‘Appendix W- DDTC Unit of Measure Codes’). For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700. Correct and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 584**

**Narrative Text:** S05 LIC NOT DECREMNTD - DISAPPROVED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC S05 license claim. The Export License Number was not approved.

**Resolution:** The DSP-05 license has not been decremented. The Export License Number reported is not approved. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 585**

**Narrative Text:** S05 LIC NOT DECREMNTD - SUSPENDED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC S05 license claim. The Export License Number declared is suspended.

**Resolution:** The DSP-05 license has not been decremented. The Export License Number reported is suspended. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700. Verify, correct and retransmit.

**Response Code: 586**

**Narrative Text:** S05 LIC NOT DECREMNTD - RETURNED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC S05 license claim. The Export License Number was returned without action.

**Resolution:** The DSP-05 license has not been decremented. The Export License Number declared is returned without action. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 587**

**Narrative Text:** S05 LIC NOT DECREMNTD - REVOKED

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**APPENDIX A – Commodity Filing Response Messages**

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC S05 license claim. The Export License Number was revoked.

**Resolution:** The DSP-05 license has not been decremented. The Export License Number reported is revoked. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 588**

**Narrative Text:** S05 LIC NOT DECREMNTD - WITHDRAWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC S05 license claim. The Export License Number is withdrawn.

**Resolution:** The DSP-05 license has not been decremented. The Export License Number reported is withdrawn. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 589**

**Narrative Text:** S05 LIC NOT DECREMNTD - EXPIRED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export; Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** DTM01; DTM02; X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC S05 license claim. The Export License Number is expired.

**Resolution:** The DSP-05 license has not been decremented. The Export License Number reported is expired. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 590**

**Narrative Text:** LICENSE VALUE EXCDS AVAIL FOR LIC

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL1 Record/ License Value, License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** L1305; L1306; X102; X103; X107;X114

**Reason:** The License Code/License Exemption Code indicates a DDTC **S05** license claim. The License Value reported for the shipment exceeds the value remaining on the license.

**Resolution:** The DSP-05 license has not been decremented. The License Value reported for the shipment exceeds the export value remaining on the license reported. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 591**

**Narrative Text:** AVAIL S05 LIC VALUE=\$ <Available Balance>

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/ Value of Goods, License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** L1305; L1306; X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC **S05** license claim. The available value remaining on the license is \$ <available balance> .

**Resolution:** For your information, the value remaining on the export license is \$<available value>. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 592**

**Narrative Text:** HH GDS NOT PERMITD/OPT 4 USPPI

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Filing Option Indicator; Input CL1 Record/Export Information Code

**X.12 Segment ID/Data Elements:** BA102; L1313

**Reason:** The Export Information Code indicates **HH** for household goods and the Filing Option Indicator indicates an Post Departure filing.

**Resolution:** Shipments of household goods cannot be reported as Post Departure. Verify the Export Information Code and Filing Option Indicator combination, correct and retransmit.

**Response Code: 593**

**Narrative Text:** DECREMENTED VALUE >VALUE OF GOODS

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL1 Record/ Value of Goods, License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** L1305; L1306; X102; X103; X107:X114

**Reason:** The decremented value reported in the License Value exceeds the Value of Goods.

**Resolution:** Verify the License Value and Value of Goods declared, correct the shipment and resubmit. The License has not been decremented. For further assistance, contact the licensing agency.

**Note that the Value of Goods should include any freight, insurance and other charges to bring the goods to the U.S. Port of Export. Thus, the license value should never exceed the Value of Goods, and normally is less than the Value of Goods.**

**Response Code: 594**

**Narrative Text:** S05 LIC NOT DECREMNTD - EXHAUSTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/ Value of Goods, License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** L1305; L1306; X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC S05 license claim. The license is exhausted.

**Resolution:** The DSP-05 license has not been decremented. The Export License Number reported is exhausted. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 595**

**Narrative Text:** VEHICLE INFO REQ FOR SCHED B/HTS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number; Input EV1 Record

**X.12 Segment ID/Data Elements:** L1301; L1302; VEH segment

**Reason:** The Schedule B/HTS Number reported identifies a used vehicle shipment. At least one EV1 record must be included and the EV1 record is missing.

**Resolution:** When the Schedule B/HTS Number is one that identifies a used vehicle shipment, the used vehicle details must be reported in the EV1 record. Verify the Schedule B/HTS classification and include the Used Vehicle Detail Record (EV1) if appropriate. Retransmit.

**Response Code: 596**

**Narrative Text:** VEHICLE INFO NOT ALLOWED FOR SCHED B/HTS

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number; Input EV1 Record

**X.12 Segment ID/Data Elements:** L1301; L1302; VEH segment

**Reason:** The Schedule B/HTS Number reported does not identify a used vehicle shipment. The EV1 record is not allowed to be included on a non-used vehicle shipment.

**Resolution:** The Used Vehicle Detail Record (EV1) cannot be included when the Schedule B/ HTS Number is not one that identifies the commodity as a used vehicle export. Verify the Schedule B/HTS Number, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 597**

**Narrative Text:** VEHICLE INFO NOT ALLOWED FOR HH GDS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input CL2 Record/Schedule B/HTS Number; Input EV1 Record

**X.12 Segment ID/Data Elements:** L1301; L1302; L1313; VEH segment

**Reason:** The Export Information Code is declared as **HH** and the Used Vehicle Detail Record (EV1) is included for the shipment.

**Resolution:** A used vehicle cannot be reported as household goods under Export Information Code **HH**. Personal used vehicles may be reported under Export Information Code **HV** in which case an EV1 record is required. See ‘Appendix E, Commodity Filing Export Information Codes and Reporting Guidelines’. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 598**

**Narrative Text:** VIN/PIN NBR ALREADY REPORTED FOR LINE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02

**Reason:** The Vehicle Identification Number (VIN)/Product ID declared is one that is already on file in AES for the line.

**Resolution:** The Vehicle Identification Number (VIN)/Product ID must be unique. Verify, correct and retransmit.

**Response Code: 599**

**Narrative Text:** VEHICLE ID QUALIFIER MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier

**X.12 Segment ID/Data Elements:** VEH05

**Reason:** The Vehicle ID Qualifier is missing (i.e., reported as spaces).

**Resolution:** The Vehicle ID Qualifier identifies the type of used vehicle number reported and must be declared on an EEI. Verify, correct and retransmit.



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**APPENDIX A – Commodity Filing Response Messages****Response Code: 600**

**Narrative Text:** VEHICLE ID QUALIFIER MUST BE V OR P

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier

**X.12 Segment ID/Data Elements:** VEH05

**Reason:** The Vehicle ID Qualifier is missing (i.e., reported as spaces).

**Resolution:** The Vehicle ID Qualifier identifies the type of used vehicle number, either the Vehicle Identification Number (VIN) or the Product Identification Number (PIN), reported on the EEI. The Vehicle ID Qualifiers are either **V** for VIN or **P** for PIN. Verify, correct and retransmit.

**Response Code: 601**

**Narrative Text:** NBR OF VEHICLES REPORTD MUST MATCH QTY

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Quantity (1); Input EV1 Record

**X.12 Segment ID/Data Elements:** L1301; L1302; L1303; L1304; VEH02

**Reason:** The Schedule B/HTS Number identifies used vehicles, the Unit of Measure is '**NO**' for number of vehicles and the Quantity (1) reported does not match the number of reported VIN/PIN numbers.

**Resolution:** When the Schedule B/HTS Number identifies used vehicles and the Unit of Measure is '**NO**' for number of vehicles included in the shipment, then one EV1 record must be reported for each of the used vehicle (i.e., there must be one EV1 record with unique VIN/PIN for each used vehicle included in the reported Quantity (1) for the commodity line). Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 602**

**Narrative Text:** VIN NBR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier, Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier declares **V** for the Vehicle Identification Number (VIN) and the VIN is missing (i.e., reported as spaces).

**Resolution:** When the Vehicle ID Qualifier indicates that a Vehicle Identification Number (VIN) is included for the commodity line, the VIN must be reported. Verify, correct and retransmit.

**Response Code: 603**

**Narrative Text:** VIN NBR CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Record/ Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Vehicle ID Qualifier indicates **V** for the Vehicle Identification Number (VIN) and the VIN contains leading spaces.

**Resolution:** The Vehicle Identification Number (VIN) cannot contain leading spaces. Verify the VIN, correct and retransmit.

**Response Code: 604**

**Narrative Text:** VIN NBR INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Record/ Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **V** for the Vehicle Identification Number (VIN) and the VIN contains an ineligible value in AES.

**Resolution:** The Vehicle Identification Number (VIN) cannot contain an ineligible value identified in AES. Verify the VIN, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 605**

**Narrative Text:** VIN CHECK DIGIT FAILURE

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input EV1 Record/ Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **V** for the Vehicle Identification Number (VIN) and the VIN check digit failed.

**Resolution:** Verify the Check Digit of the reported Vehicle Identification Number (VIN). Correct if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 606**

**Narrative Text:** VIN CONTAINS INVALID CHARACTERS

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input EV1 Record/ Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **V** for the Vehicle Identification Number (VIN) and the VIN contains invalid characters.

**Resolution:** Verify the reported Vehicle Identification Number (VIN). Correct if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 607**

**Narrative Text:** VIN PREFIX UNKNOWN

**Severity:** VERIFY

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input EV1 Record/ Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **V** for the Vehicle Identification Number (VIN) and the VIN prefix is an unknown value in AES.

**Resolution:** Verify the Prefix of the reported Vehicle Identification Number (VIN). Correct if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 608**

**Narrative Text:** VIN CONTAINS INVALID WORLD MAKE ID

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input EV1 Record/ Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **V** for the Vehicle Identification Number (VIN) and the VIN contains an invalid World Make ID.

**Resolution:** Verify the World Make ID of the reported Vehicle Identification Number (VIN). Correct if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 609**

**Narrative Text:** VIN TOO SHORT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **V** for the Vehicle Identification Number (VIN) and the VIN is too short as reported.

**Resolution:** Verify the length of the reported Vehicle Identification Number (VIN). Correct if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 610**

**Narrative Text:** VIN IS TOO LONG

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **V** for the Vehicle Identification Number (VIN) and the VIN is too long as reported.

**Resolution:** Verify the length of the reported Vehicle Identification Number (VIN). Correct if appropriate and retransmit. For further assistance, contact your client representative.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 611**

**Narrative Text:** VIN PRODUCTION SEQUENCE TOO LOW

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **V** for the Vehicle Identification Number (VIN) and the VIN production sequence is too low.

**Resolution:** Verify the Production Sequence of the reported Vehicle Identification Number (VIN). Correct if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 612**

**Narrative Text:** VIN PRODUCTION SEQUENCE TOO HIGH

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input EV1 Record/ Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **V** for the Vehicle Identification Number (VIN) and the VIN production sequence is too high.

**Resolution:** Verify the Production Sequence of the reported Vehicle Identification Number (VIN). Correct if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 613**

**Narrative Text:** VIN CONTAINS INVALID YEAR

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **V** for the Vehicle Identification Number (VIN) and the VIN contains an invalid year.

**Resolution:** Verify the Year of the reported Vehicle Identification Number (VIN). Correct if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 614**

**Narrative Text:** PIN NBR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **P** for the Product Identification Number (PIN) and the PIN is missing.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The Product Identification Number must be reported. Verify the Product Identification Number (PIN). Correct the PIN and retransmit. For further assistance, contact your client representative.

**Response Code: 615**

**Narrative Text:** PIN NBR CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **P** for the Product Identification Number (PIN) and the PIN contains leading spaces.

**Resolution:** The Product Identification Number (PIN) cannot contain leading spaces. Correct the PIN and retransmit. For further assistance, contact your client representative.

**Response Code: 616**

**Narrative Text:** PIN NBR INELIGIBLE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier; Vehicle Identification Number (VIN)/Product ID

**X.12 Segment ID/Data Elements:** VEH02; VEH05

**Reason:** The Vehicle ID Qualifier indicates **P** for the Product Identification Number (PIN) and the PIN contains an ineligible value in AES.

**Resolution:** The Product Identification Number (PIN) cannot contain an ineligible value identified in AES. Correct the PIN and retransmit. For further assistance, contact your client representative.

**Response Code: 617**

**Narrative Text:** VEH TITLE STATE CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier; Vehicle Title State Code

**X.12 Segment ID/Data Elements:** VEH05; VEH10

**Reason:** The Vehicle ID Qualifier is reported a **V** or **P** and the Vehicle Title State Code is missing (i.e., reported as spaces).

**Resolution:** The Vehicle Title State Code must be included on an EEI when the Vehicle ID Qualifier is reported as **V**. The Vehicle Title State Code must conditionally be reported when the Vehicle ID Qualifier is reported as **P**. Verify the State Code of the Motor Vehicle Administration that issued the title, correct and retransmit.

**Response Code: 618**

**Narrative Text:** VEH TITLE STATE CODE UNKNOWN

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier; Vehicle Title State Code

**X.12 Segment ID/Data Elements:** VEH05; VEH10

**Reason:** The Vehicle ID Qualifier is reported a **V** or **P** and the Vehicle Title State Code is an unknown value in AES.

**Resolution:** The Vehicle Title State Code must be included on an EEI when the Vehicle ID Qualifier is reported as **V**. The Vehicle Title State Code must conditionally be reported when the Vehicle ID Qualifier is reported as **P**. The State Code of the Motor Vehicle Administration that issued the title must be reported as a valid USPS State Code. Verify, correct and retransmit.

**Response Code: 619**

**Narrative Text:** VEH TITLE NBR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier; Vehicle Title State Code, Vehicle Title Number

**X.12 Segment ID/Data Elements:** VEH05; VEH09; VEH10

**Reason:** The Vehicle ID Qualifier is reported a **V** or **P**, the Vehicle Title State Code is not the **US** and the Vehicle Title Number is missing.

**Resolution:** Vehicle Title Number must be declared on an EEI when the Vehicle ID Qualifier is reported as **V** and the Vehicle Title State Code is not **US** (i.e., not a diplomatic vehicle claim). The Vehicle Title State Code must conditionally be reported when the Vehicle ID Qualifier is reported as **P**. Verify the vehicle title number, correct and retransmit.

**Response Code: 620**

**Narrative Text:** VEH TITLE NBR CONTAINS LEADING SPACES

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input EV1 Record/Vehicle ID Qualifier; Vehicle Title State Code, Vehicle Title Number

**X.12 Segment ID/Data Elements:** VEH05; VEH09; VEH10

**Reason:** The Vehicle ID Qualifier is reported a **V** or **P**, the Vehicle Title State Code is not the **US** and the Vehicle Title Number declared contains leading spaces.

**Resolution:** Vehicle Title Number must be declared on an EEI when the Vehicle ID Qualifier is reported as **V** and the Vehicle Title State Code is not **US** (i.e., not a diplomatic vehicle claim). The Vehicle Title State Code must conditionally be reported when the Vehicle ID Qualifier is reported as **P**. The Vehicle Title Number cannot contain leading spaces (i.e., must be left justified). Verify the vehicle title number, correct and retransmit.

**Response Code: 621**

**Narrative Text:** VEH TITLE NBR INELIGIBLE

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input EV1 Record/ Vehicle ID Qualifier; Vehicle Title State Code, Vehicle Title Number

**X.12 Segment ID/Data Elements:** VEH05; VEH09; VEH10

**Reason:** The Vehicle ID Qualifier is reported a **V** or **P**, the Vehicle Title State Code is not the **US** and the Vehicle Title Number declared contains an ineligible value in AES.

**Resolution:** Vehicle Title Number must be declared on an EEI when the Vehicle ID Qualifier is reported as **V** and the Vehicle Title State Code is not **US** (i.e., not a diplomatic vehicle claim). The Vehicle Title State Code must conditionally be reported when the Vehicle ID Qualifier is reported as **P**. The Vehicle Title Number cannot contain an ineligible value identified in AES. Verify the vehicle title number, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 622**

**Narrative Text:** SCHED B/HTS NBR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code, Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** L1301; L1302; L1313

**Reason:** The Export Information Code is not **HH** for household goods and the Schedule B/HTS Number is missing (i.e., reported as spaces).

**Resolution:** A Schedule B/HTS Number must be declared on an EEI with the exception of household goods reported with Export Information Code **HH**. Verify the Schedule B/HTS Number, correct and retransmit.

**Response Code: 623**

**Narrative Text:** SCHED B/HTS NBR UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code, Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** L1301; L1302; L1313

**Reason:** The Export Information Code is not **HH** for household goods and the Schedule B/HTS Number declared is not a known value in AES.

**Resolution:** A valid Schedule B/HTS Number must be declared on an EEI when adding or replacing a commodity line item unless the Export Information Code is **HH** for household goods. Verify the Schedule B/HTS Number, correct and retransmit.

**Response Code: 624**

**Narrative Text:** SCHED B/HTS NBR OUTDATED – CANNOT BE USED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export; Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** DTM01; DTM02; L1301; L1302

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Schedule B/HTS Number declared is no longer valid in AES.

**Resolution:** The Schedule B/HTS Number declared on an EEI cannot be outdated (i.e., expired). Compare the Estimated Date of Export to the Begin/End date of the Schedule B/HTS Number reported, correct and retransmit.

**Response Code: 625**

**Narrative Text:** SCHED B/HTS NBR OUTDATED-IN GRACE PERIOD

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export; Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** DTM01; DTM02; L1301; L1302

**Reason:** The Schedule B/HTS Number declared is no longer active/valid in AES.

**Resolution:** The Schedule B/HTS Number declared on an EEI cannot be outdated (i.e., expired). AES allows a 30-day grace period during which time an outdated Schedule B/HTS Number continues to be accepted. This gives the filer notice to update their Schedule B/HTS Number file before AES issues a fatal error against the outdated number. Compare the Estimated Date of Export to the Begin/End date of the Schedule B/HTS Number reported, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 626**

**Narrative Text:** 1<sup>ST</sup> UOM CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Unit of Measure (1)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1303

**Reason:** The Schedule B/HTS Number reported requires a Unit of Measure (1) to be reported and Unit of Measure (1) is missing.

**Resolution:** The Schedule B/HTS Number reported requires a Unit of Measure (1) to be reported. Verify the first unit of measure code required by the particular Schedule B/HTS Number declared for the shipment, correct and retransmit.

**Response Code: 627**

**Narrative Text:** 1<sup>ST</sup> UOM CODE UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Unit of Measure (1)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1303

**Reason:** The Schedule B/HTS Number reported requires a Unit of Measure (1) to be reported and Unit of Measure (1) is declared as an unknown value in AES.

**Resolution:** The Unit of Measure (1), based on the Schedule B/HTS Number reported, must be a valid code contained in 'Appendix K – Units of Measure Codes'. Verify the first unit of measure code required to describe the Unit of Measure (1) for the particular Schedule B/HTS Number, correct and retransmit.



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**APPENDIX A – Commodity Filing Response Messages****Response Code: 628****Narrative Text:** 1<sup>ST</sup> UOM CODE / SCHED B/HTS MISMATCH**Severity:** FATAL**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Unit of Measure (1)**X.12 Segment ID/Data Elements:** L1301; L1302; L1303**Reason:** The Unit of Measure (1) reported does not match the Unit of Measure (1) required for the Schedule B/HTS Number reported.**Resolution:** The Unit of Measure (1) must match exactly the Unit of Measure (1) prescribed by the Schedule B/HTS Number reported. See 'Appendix K – Units of Measure Codes'. Verify the Unit of Measure (1) required for the particular Schedule B/HTS Number, correct and retransmit. For further assistance, contact your client representative.**Response Code: 629****Narrative Text:** SCHED B/HTS REQUIRES 1<sup>ST</sup> UOM: <UOM Code>**Severity:** INFORMATIONAL**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Unit of Measure (1)**X.12 Segment ID/Data Elements:** L1301; L1302; L1303**Reason:** The Unit of Measure (1) reported does not match the Unit of Measure (1) required for the Schedule B/HTS Number reported.**Resolution:** The Unit of Measure (1) must match exactly the Unit of Measure (1) prescribed by the Schedule B/HTS Number reported as stated in the message. Report the Schedule B/HTS Number Unit of Measure (1) in terms of <UOM code>, correct and retransmit. For further assistance, contact your client representative.**Response Code: 630****Narrative Text:** 2<sup>ND</sup> UOM CODE MISSING**Severity:** FATAL**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Unit of Measure (2)**X.12 Segment ID/Data Elements:** L1301; L1302; L1308**Reason:** The Schedule B/HTS Number reported requires a Unit of Measure (2) to be reported and Unit of Measure (2) is missing.**Resolution:** The Schedule B/HTS Number reported requires a Unit of Measure (2) to be reported. Verify the second unit of measure code required by the particular Schedule B/HTS Number declared for the shipment, correct and retransmit.**Response Code: 631****Narrative Text:** 2<sup>ND</sup> UOM CODE UNKNOWN**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Unit of Measure (2)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1308

**Reason:** The Schedule B/HTS Number reported requires a Unit of Measure (2) to be reported and Unit of Measure (2) reported is an unknown value in AES.

**Resolution:** The Unit of Measure (2), based on the Schedule B/HTS Number reported, must be a valid code contained in ‘Appendix K – Units of Measure Codes’. Verify the second unit of measure code required to describe the Unit of Measure (2) for the particular Schedule B/HTS Number, correct and retransmit.

**Response Code: 632**

**Narrative Text:** 2<sup>ND</sup> UOM CODE / SCHED B/HTS MISMATCH

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Unit of Measure (2)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1308

**Reason:** The Unit of Measure (2) reported does not match the Unit of Measure (2) required for the Schedule B/HTS Number reported.

**Resolution:** The Unit of Measure (2) must match exactly the Unit of Measure (2) prescribed by the Schedule B/HTS Number reported. See ‘Appendix K – Units of Measure Codes’. Verify the Unit of Measure (2) required for the particular Schedule B/HTS Number, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 633**

**Narrative Text:** SCHED B/HTS REQUIRES 2<sup>ND</sup> UOM: <UOM Code>

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Unit of Measure (2)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1308

**Reason:** The Unit of Measure (2) reported does not match the Unit of Measure (2) required for the Schedule B/HTS Number reported.

**Resolution:** The Unit of Measure (2) must match exactly the Unit of Measure (2) prescribed by the Schedule B/HTS Number reported as stated in the message. Report the Schedule B/HTS Number Unit of Measure (2) in terms of <UOM code>, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 634**

**Narrative Text:** VALUE OF GDS EXCEEDS \$249,999,999

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Value of Goods

**X.12 Segment ID/Data Elements:** L1301; L1302; L1305; L1306

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Value of Goods reported for the individual Schedule B/HTS Number exceeds the maximum value normally allowed for this data element.  
**Resolution:** Normally, the maximum Value of Goods allowed for an individual Schedule B/HTS Number should not exceed \$250,000,000. A value this large often indicates a keying error on the part of the filer. The Value of Goods should be reported in whole US dollars only. Verify the Value of Goods, correct if appropriate and retransmit. For further assistance, contact your client representative.

**Response Code: 635**

**Narrative Text:** US GDS RTRND REQUIRES US AS DESTINATN  
**Severity:** FATAL  
**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination, Input CL1 Record/Export Information Code; Input CL2 Record/Schedule B/HTS Number  
**X.12 Segment ID/Data Elements:** L1301; L1302; BA104  
**Reason:** The Schedule B/HTS Number reported is one that requires that the Country of Ultimate Destination be declared as the US (i.e., US goods returned).  
**Resolution:** US goods returned under Schedule B/HTS Numbers 0000.00.0001 through 0000.00.0009 must have the Country of Ultimate Destination Code reported as the US. Verify, correct and retransmit.

**Response Code: 636**

**Narrative Text:** INVALID SCHED B/HTS NBR FOR TIB CLAIM  
**Severity:** FATAL  
**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input CL2 Record/Schedule B/HTS Number  
**X.12 Segment ID/Data Elements:** L1301; L1302; L1313  
**Reason:** The Export Information Code reported as **IR** and the Schedule B/HTS Number declared is not 9801.10.0000.  
**Resolution:** For shipments of merchandise imported under a Temporary Import Bond (TIB) to be repaired or altered in the US, the Schedule B/HTS Number must be reported as 9801.10.0000 and the Export Information Code is reported as **IR**. Verify, correct and retransmit.

**Response Code: 63A**

**Narrative Text:** USED VEH NOT ALLOWED - OPTION 3 (AEI)  
**Severity:** FATAL  
**Proprietary Record ID/Data Elements:** Input SC1 Record/Filing Option Indicator  
**X.12 Segment ID/Data Elements:** YNQ01; YNQ02;  
**Reason:** The Filing Option Indicator is declared as AEI (Advanced Export Information Program), Option 3. Used vehicles are not allowed on AEI filings.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** AEI cannot be used to report a used vehicle shipment. Used vehicle shipments must be filed option 2. For further assistance, contact your client representative.

**Response Code: 637**

**Narrative Text:** USED VEH NOT ALLOWED – OPT 4

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Filing Option Indicator, Country of Ultimate Destination; Input CL2 Record/Schedule B/HTS Number; Input EV1 Record

**X.12 Segment ID/Data Elements:** YNQ01; YNQ02; BA104; L1301; L1302

**Reason:** The Filing Option Indicator is declared as Post Departure, the Schedule B/HTS Number indicates a used vehicle.

**Resolution:** Post Departure cannot be used to report a used vehicle. Used vehicle shipments must be filed 72 hours prior to export. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 638**

**Narrative Text:** USED VEH NOT ALLOWED FOR LIC CODE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/ License Code/License Code Exemption; Input CL2 Record/Schedule B/HTS Number; Input EV1 Record

**X.12 Segment ID/Data Elements:** L1301; L1302; X107; VEH segment

**Reason:** The License Code/License Exemption Code reported is reported as **C48**.

**Resolution:** A used vehicle shipment cannot be declared with a License Code/License Exemption Code of **C48** (covers encryption items). Verify the License Code/License Exemption Code, correct and retransmit.

**Response Code: 639**

**Narrative Text:** USED VEH NOT ALLOWED FOR MOT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL2 Record/Schedule B/HTS Number; Input EV1 Record

**X.12 Segment ID/Data Elements:** L1301; L1302; BA103; VEH segment

**Reason:** The Schedule B/HTS Number declared requires the reporting of a used vehicle and the Mode of Transportation Code reported is not compatible with used vehicle shipment.

**Resolution:** When the Schedule B/HTS Number requires used vehicle reporting; the Mode of Transportation Code declared for the shipment cannot be reported as **33** (Pedestrian), **50** (Mail), **60** (Passenger, hand-carried) or **70** (Fixed transport). Verify, correct and retransmit.

**Response Code: 640**

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**APPENDIX A – Commodity Filing Response Messages**

**Narrative Text:** SCHED B/HTS MUST BE USED VEH FOR EI CD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input CL2 Record/Schedule B/HTS Number; Input EV1 Record

**X.12 Segment ID/Data Elements:** L1301; L1302; L1313; VEH segment

**Reason:** The Export Information Code declared is **HV** and the Schedule B/HTS Number is not one for used vehicle reporting.

**Resolution:** When the Export Information Code is declared as **HV** for personal vehicle, a Schedule B/HTS Number for a used vehicle and the Used Vehicle Detail Record (EV1) is required. See ‘Appendix E, Commodity Filing Export Information Codes and Reporting Guidelines’. Verify, correct and retransmit.

**Response Code: 641**

**Narrative Text:** QUANTITY 1 MUST BE GT ZERO

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Quantity (1)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1304

**Reason:** The Schedule B/HTS Number requires Quantity (1) to be reported and Quantity (1) is missing (i.e., reported as zero).

**Resolution:** When the Schedule B/HTS Number requires a Quantity (1) the reported Quantity (1) must be greater than zero. Verify, correct and retransmit.

**Response Code: 642**

**Narrative Text:** QUANTITY 1 CANNOT EXCEED 299,999,999

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Quantity (1)

**X.12 Segment ID/Data Elements:** L1304

**Reason:** The reported Quantity (1) exceeds the maximum allowed for the data element.

**Resolution:** The maximum quantity reported for any single commodity line item cannot exceed 299,999,999. Quantities this large are very unlikely and may indicate a keying error. Quantities are to be reported in whole units only. Verify the Quantity (1) reported, correct if appropriate and retransmit. Otherwise, contact your client representative for assistance.

**Response Code: 643**

**Narrative Text:** QUANTITY 2 MUST BE GT ZERO

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Quantity (2)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1309

**Reason:** The Schedule B/HTS Number requires Quantity (2) to be reported and Quantity (2) is missing (i.e., reported as zero).

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** When the Schedule B/HTS Number requires a Quantity (2) the reported Quantity (2) must be greater than zero. Verify, correct and retransmit.

**Response Code: 644**

**Narrative Text:** QUANTITY 2 CANNOT EXCEED 99,999,999

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/ Quantity (2)

**X.12 Segment ID/Data Elements:** L1309

**Reason:** The reported Quantity (2) exceeds the maximum allowed for the data element.

**Resolution:** The maximum quantity reported for any single commodity line item cannot exceed 99,999,999. Quantities this large are very unlikely and may indicate a keying error. Quantities are to be reported in whole units only. Verify the Quantity (2) reported, correct if appropriate and retransmit. Otherwise, contact your client representative for assistance.

**Response Code: 645**

**Narrative Text:** QUANTITY 2 NOT REQUIRED BY SCHED B/HTS

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Quantity (2)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1309

**Reason:** The Schedule B/HTS Number declared does not require Quantity (2) and Quantity (2) is not reported as zeros.

**Resolution:** The Schedule B/HTS Number reported does not require a second unit of quantity to be reported. Quantity (2) should be zero filled when not required. Verify, correct and retransmit.

**Response Code: 646**

**Narrative Text:** INELIG SCHED B/HTS NBR FOR FLY-AWAY AIR

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Carrier ID (SCAC/IATA); Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** L1301; L1302; BA110

**Reason:** The Carrier ID (SCAC/IATA) declared is \*\* or 990 indicating a fly-away aircraft and the Schedule B/HTS Number is not 8802.

**Resolution:** The Schedule B/HTS Number must be from Chapter 8802 when the Carrier ID (SCAC/IATA) reported is \*\* or 990 indicating a fly-away aircraft. Verify, correct and retransmit.

**Response Code: 647**

**Narrative Text:** LINE NBR CANNOT BE ZERO

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Line Number

**X.12 Segment ID/Data Elements:** L1307

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Line Number must be greater than zero.

**Resolution:** Verify the Line Number. Correct and retransmit.

**Response Code: 648**

**Narrative Text:** MOT NOT ALLOWED FOR HH GDS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL1 Record/Export Information Code

**X.12 Segment ID/Data Elements:** BA103; L1313

**Reason:** The Mode of Transportation is declared as 'Fixed Transport' and the Export Information Code is declared as 'HH' for household goods.

**Resolution:** Household goods do not move by fixed transport. Verify the Export Information Code and the Mode of Transportation. Correct and retransmit.

**Response Code: 649**

**Narrative Text:** QUANTITY 1 CANNOT EXCEED SHPING WGT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/ Mode of Transportation; Input CL2 Record/Quantity 1, Unit of Measure 1, Shipping Weight

**X.12 Segment ID/Data Elements:** BA103; L1304; L1303; L1310; L1311

**Reason:** Shipping weight is reported in kilograms for the major modes of transport. When the Unit of Measure 1 required is KG (kilograms), the first net quantity cannot exceed the shipping weight.

**Resolution:** Verify the Unit of Measure 1, the Quantity 1 reported and the Shipping Weight. Correct and retransmit.

**Response Code: 650**

**Narrative Text:** QUANTITY 2 CANNOT EXCEED SHPING WGT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/ Mode of Transportation; Input CL2 Record/Quantity 2, Unit of Measure 2, Shipping Weight

**X.12 Segment ID/Data Elements:** BA103; L1309; L1308; L1310; L1311

**Reason:** Shipping weight is reported in kilograms for the major modes of transport. When the Unit of Measure 2 required is KG (kilograms), the second net quantity cannot exceed the shipping weight.

**Resolution:** Verify the Unit of Measure 2, the Quantity 2 reported and the shipping weight. Correct and retransmit.

**Response Code: 651**

**Narrative Text:** VEHICLE INFO REQ FOR EI CD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/Export Information Code; Input CL2 Record/Schedule B/HTS Number; Input EV1 Record

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**APPENDIX A – Commodity Filing Response Messages**

**X.12 Segment ID/Data Elements:** L1301; L1302 L1313; VEH segment

**Reason:** The Export Information Code is declared as **HV** and the Used Vehicle Detail Record (EV1) is not included for the shipment.

**Resolution:** A used vehicle must be reported under Export Information Code **HV**. See 'Appendix E, Commodity Filing Export Information Codes and Reporting Guidelines'. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 652**

**Narrative Text:** INVALID SCHED B/HTS FOR PGA <PGA ID>

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** L1302

**Reason:** The Schedule B/HTS Number declared on the CL2 record for this PGA is not allowed to be reported for this PGA.

**Resolution:** The Schedule B/HTS number must be on the allowed list for the PGA. Verify, correct and retransmit.

**Response Code: 653**

**Narrative Text:** DDTC LICENSE DISAPPROVED: <License Code>

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC **S61**, **S73**, or **S85** license claim. The Export License Number was not approved.

**Resolution:** The Export License Number reported is not approved. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 654**

**Narrative Text:** DDTC LICENSE SUSPENDED: <License Code>

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC **S61**, **S73**, or **S85** license claim. The Export License Number declared is suspended.

**Resolution:** The Export License Number reported is suspended. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.



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**APPENDIX A – Commodity Filing Response Messages****Response Code: 655**

**Narrative Text:** DDTC LICENSE RETURNED: <License Code>

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC **S61**, **S73**, or **S85** license claim. The Export License Number was returned without action.

**Resolution:** The Export License Number declared is returned without action. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 656**

**Narrative Text:** DDTC LICENSE REVOKED: <License Code>

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC **S61**, **S73**, or **S85** license claim. The Export License Number was revoked.

**Resolution:** The Export License Number reported is revoked. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 657**

**Narrative Text:** DDTC LICENSE WITHDRAWN: <License Code>

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC **S61**, **S73**, or **S85** license claim. The Export License Number is withdrawn.

**Resolution:** The Export License Number reported is withdrawn. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 658**

**Narrative Text:** DDTC LICENSE EXPIRED: <License Code>

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input SC1 Record/ Estimated Date of Export; Input CL1 Record/License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** DTM01; DTM02; X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a DDTC S61, S73, or S85 license claim. The Export License Number is expired.

**Resolution:** The Export License Number reported is expired. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 659**

**Narrative Text:** ECCN MUST BE 'EAR99' OR BLANK

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/ Schedule B/HTS Number; Export Control Classification Number (ECCN)

**X.12 Segment ID/Data Elements:** X107; X116; L1301; L1302

**Reason:** The License Code/License Exemption Code is declared as 'T12' and the ECCN is not reported as 'EAR99' or as spaces.

**Resolution:** For shipments of rough diamonds the License Code/License Exemption Code of 'T12' requires that the ECCN be either 'EAR99' or else left blank. See 'Appendix F, License and License Exemption Type Codes and Reporting Guidelines' for details. Verify the Schedule B/HTS Number, the License Code/License Exemption Code and the ECCN reported, correct appropriately and retransmit.

**Response Code: 660**

**Narrative Text:** 'T12' REQUIRED FOR ROUGH DIAMONDS

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** X107; L1301; L1302

**Reason:** The Schedule B/HTS number reported was for rough diamonds (7102.10, 7102.21, or 7102.31) and the License Code declared was not 'T12'.

**Resolution:** Shipments of rough diamonds reported under Schedule B/HTS number 7102.10, 7102.21, or 7102.31, must be declared under OFAC License Type 'T12'. See 'Appendix F, License and License Exemption Type Codes and Reporting Guidelines' for details. Verify the Schedule B/HTS Number and the License Code/License Exemption Code reported, correct appropriately and retransmit.

**Response Code: 661**

**Narrative Text:** SCHED B/HTS NBR NOT ALLOWED FOR LIC CODE

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/ Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** L1301; L1302; X107

**Reason:** The License Code/License Exemption Code was reported as ‘T12’ and the Schedule B/HTS Number declared was not 7102.10, 7102.21 or 7102.31 (rough diamonds).

**Resolution:** License Code/License Exemption Code ‘T12’ can only be reported for exports (reeports) of rough diamonds under Schedule B/HTS Numbers 7102.10, 7102.21 or 7102.31. Verify the Schedule B/HTS Number and the License Code/License Exemption Code reported, correct appropriately and retransmit.

**Response Code: 662**

**Narrative Text:** KPC NBR MUST BE AT LEAST 4 NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/ Schedule B/HTS Number; Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** L1302; L1302; X102; X103

**Reason:** The Kimberley Process Certificate Number (KPC#) declared was less than four (4) numeric digits.

**Resolution:** For shipments of rough diamonds (7102.10, 7102.21 or 7102.31) exported under OFAC License Type Code ‘T12’, the Kimberley Process Certificate Number must be reported. The KPC# must be at least four (4) numeric digits. Verify the KPC# reported, correct appropriately and retransmit.

**Response Code: 663**

**Narrative Text:** KPC NUMBER CONTAINS NON-NUMERIC

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/ Schedule B/HTS Number; Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** L1302; L1302; X102; X103

**Reason:** The Kimberley Process Certificate Number (KPC#) declared contained non-numeric characters.

**Resolution:** For shipments of rough diamonds (7102.10, 7102.21 or 7102.31) exported under OFAC License Type Code ‘T12’, the Kimberley Process Certificate Number must be reported. The KPC# must be numeric. Exclude the 2-digit U.S. ISO country code. Verify the KPC# reported, correct appropriately and retransmit.

**Response Code: 664**

**Narrative Text:** KPC NUMBER CONTAINS LEADING SPACES

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/ Schedule B/HTS Number; Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** L1302; L1302; X102; X103

**Reason:** The Kimberley Process Certificate Number (KPC#) declared contained leading spaces.

**Resolution:** For shipments of rough diamonds (7102.10, 7102.21 or 7102.31) exported under OFAC License Type Code ‘T12’, the Kimberley Process Certificate Number must be reported. The KPC# must be at least four (4) numeric, must exclude the 2-digit U.S. ISO country code and the number must be left justified. Leave unused spaces blank. Verify the KPC# reported, correct appropriately and retransmit.

**Response Code: 665**

**Narrative Text:** KPC NUMBER MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/ Schedule B/HTS Number; Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** L1302; L1302; X102; X103

**Reason:** The Kimberley Process Certificate Number (KPC#) is the unique identifying number of the KPC issued by the United States Kimberley Process Authority that must accompany any export (reexport) shipment of rough diamonds. The KPC# was not declared for this shipment.

**Resolution:** For shipments of rough diamonds (7102.10, 7102.21 or 7102.31) exported under OFAC License Type Code ‘T12’, the Kimberley Process Certificate Number must be reported. The KPC# must be at least four (4) numeric, must exclude the 2-digit U.S. ISO country code and the number must be left justified. Leave unused spaces blank. Verify that the shipment is in fact rough diamonds classified correctly as one of the specified Schedule B/HTS numbers (7102.10, 7102.21, 7102.31) reported under OFAC License Type Code ‘T12’. Declare the KPC# or otherwise correct as appropriate and retransmit. Contact your client representative for further assistance.

**Response Code: 666**

**Narrative Text:** ECCN MUST BE FROM APPROVED LIST

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export Control Classification Number (ECCN)

**X.12 Segment ID/Data Elements:** X107; X116

**Reason:** The Export Control Classification Number (ECCN) reported is not on the list of codes allowed for the License Code/License Exemption declared.

**Resolution:** See “Appendix F, License and License Exemption Type Codes and Reporting Guidelines,” for a list of approved ECCN codes for the License

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**APPENDIX A – Commodity Filing Response Messages**

Code/License Exemption. For further assistance, contact the licensing agency. The Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation can be reached at 202-482-4933.

**Response Code: 667**

**Narrative Text:** COUNTRY NOT ALLOWED FOR LICENSE TYPE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination; Input CL2 Record/License Code/License Exemption/Approved Community Member Number

**X.12 Segment ID/Data Elements:** BA104; X107 or X102

**Reasons:** One of the following:

1. If the License Code/License Exemption Code is declared as BIS **C51**, the Country of Ultimate Destination is not **CU** (Cuba). If the License Code/License Exemption Code is declared as BIS **C52**, the Country of Ultimate Destination is not **LY** (Libya).
2. If the License Code is declared as **SGB** or **SAU** (UK & AU Defense Trade Treaty License Exemptions), the Country of Ultimate Destination entered in the SC1 record or X102 **is not GB** (U.K.) in the case of **SGB** or **AU** (Australia) in the case of **SAU**.
3. If the License Code is declared as **C69** (License Exception Medical Devices), the Country of Ultimate Destination entered in the SC1 record X102 is not **UA** (Ukraine) or not **BY** (Belarus) or not **RU** (Russia).

**Resolution:** See “Appendix F, License and License Exemption Type Codes and Reporting Guidelines.” Verify the BIS/DDTC exemption code and the country of ultimate destination, correct and retransmit. For further assistance, contact the licensing agency. The Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation can be reached at 202-482-4933. For DDTC, The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 668** <Not currently active >

**Narrative Text:** EAR99 CANNOT BE REPORTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination; Input CL1 Record/License Code/License Exemption

**X.12 Segment ID/Data Elements:** BA104; X107

**Reason:** The License Code/License Exemption Code declared is one that requires the Export Control Classification Code to be reported yet the ECCN has been reported as ‘EAR99’.

**Resolution:** The License Code/License Exemption Code conditionally requires the reporting of an ECCN, however, ‘EAR99’ is not allowed to be reported. See “Appendix F, License and License Exemption Type Codes and Reporting Guidelines,” to determine the License Code/License Exemption Code requirement

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related to ECCN. Verify, correct and retransmit. For further assistance, contact your client representative.

**Response Code: 669**

**Narrative Text:** LICENSE CODE CANNOT BE USED FOR ADD

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code

**X.12 Segment ID/Data Elements:** X107

**Reason:** The License Code specified has been ‘retired’ and is no longer being accepted on any new EEI line item (i.e., when the AES action requested for this commodity shipment transaction is an A or when the AES action requested is a C or R and a new line is being added to the existing EEI). In all likelihood, another License Code has been established that replaces this ‘retired’ code and should be used instead for any new EEI.

**Resolution:** See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’ for a further discussion (e.g., ‘C39’).

**Response Code: 670**

**Narrative Text:** LICENSE CODE CORRECTION MISMATCH

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code

**X.12 Segment ID/Data Elements:** X107

**Reason:** The ‘retired’ License Code claimed does NOT match the License Code previously established for the EEI line item. The License Code specified can be used ONLY to correct a previously established EEI line item with the SAME License Code.

**Resolution:** See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’ for a further discussion (e.g., ‘C39’).

**Response Code: 671**

**Narrative Text:** KPC NBR NOT REQ FOR CNTY CODE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input SC1Record/Country of Ultimate Destination Code

**X.12 Segment ID/Data Elements:** X107; BA104

**Reason:** The License Code/License Exemption Code is declared as T12 and the Country of Ultimate Destination Code is reported as either Puerto Rico (PR) or the Virgin Islands of the U.S. (VI).

**Resolution:** The License Code/License Exemption Code of T12 for shipments of rough diamonds does not require a KPC Number when the Country of Ultimate Destination is PR or VI. Correct appropriately and retransmit. For further assistance, contact your client representative.

**Response Code: 672**

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**Narrative Text:** GB/AU ACID NBR UNKNOWN OR INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#/Approved Community Member Number

**X.12 Segment ID/Data Elements:** X102; X103

**Reason:** The Approved Community Member Number declared on the CL2 record or X102 element must meet the following requirements when filing shipments under the UK & AU Defense Trade Treaty Exemptions.

1. Must have an active Approved Community Member Number.
2. Must not be spaces.

**Resolution:** The Approved Community Member No. must be reported when declaring a UK & AU Defense Trade Treaty Exemption for a DDTC shipment. See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’. Verify the Approved Community Member Number, correct and retransmit. For further assistance, contact the licensing agency. The Department of State/Directorate of Defense Trade Controls/Licensing Division can be reached at 202-663-2700.

**Response Code: 673**

**Narrative Text:** COMMERCE DEPARTMENT LICENSE NOT OBTAINED

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** X102; X103

**Reason:** The filer selected License Type VDC indicating the export of a licensable good without a valid Commerce Department license. This License Code may be used only when:

- A party believes a violation of the Export Administration Regulations has occurred;
- A Voluntary Self-Disclosure (VSD) has been submitted to both the Bureau of Industry and Security and U.S. Census Bureau; and
- The AES does not allow the filer to enter or correct Electronic Export Information (EEI) with the original license type.

While a VSD may serve as a mitigating factor, it does not exempt the parties from any enforcement action.

**Resolution:** See “Appendix F, License and License Exemption Type Codes and Reporting Guidelines” for further guidance.

**Response Code: 674**

**Narrative Text:** STATE DEPARTMENT LICENSE NOT OBTAINED

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** X102; X103

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**Reason:** The filer selected License Type VDS indicating the export of a licensable good without a valid State Department license. This License Code may be used only when:

- A party believes a violation of the International Traffic in Arms Regulations has occurred;
- A Voluntary Disclosure has been submitted to both the State Department and U.S. Census Bureau; and
- The AES does not allow the filer to enter or correct Electronic Export Information (EEI) with the original license type.

While a Voluntary Disclosure may serve as a mitigating factor, it does not exempt the parties from any enforcement action.

**Resolution:** See “Appendix F, License and License Exemption Type Codes and Reporting Guidelines” for further guidance.

**Response Code: 675**

**Narrative Text:** OTHER AGENCY LICENSE NOT OBTAINED

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** X102; X103

**Reason:** The filer selected License Type VDO indicating the export of a controlled good without a valid license, permit, or authorization prior to export. This License Code may be used only when:

- A party believes a violation of the export regulations of a federal government agency has occurred;
- A disclosure of the suspected violation has been submitted to the U.S. Census Bureau and the other agency involved, if applicable; and
- The AES does not allow the filer to enter or correct Electronic Export Information (EEI) with the original license type.

VDO may not be used for shipments involving violations of the International Traffic in Arms Regulations or Export Administration Regulations. While a disclosure may serve as a mitigating factor, it does not exempt the parties from any enforcement action.

**Resolution:** See “Appendix F, License and License Exemption Type Codes and Reporting Guidelines” for further guidance.

**Response Code: 676**

**Narrative Text:** PRIOR DATE OF EXPORT REQUIRED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export; Input CL1 Record/License Code/License Exemption Code

**X.12 Segment ID/Data Elements:** DTM02; X102; X103

**Reason:** The reported Date of Export is the current or future date. The selected License Type may be used only when:



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**APPENDIX A – Commodity Filing Response Messages**

- A party believes a violation of the export regulations of federal government agency has occurred;
- A disclosure of the suspected violation has been submitted to the U.S. Census Bureau and the other federal agency involved, if applicable; and
- The AES does not allow the filer to correct previously reported Electronic Export Information (EEI) or submit new EEI.

As a result, the Date of Export must be prior to the current date.

**Resolution:** Verify the Date of Export, correct the SC1 record and retransmit.

**FWS****Response Code: 677**

**Narrative Text:** eDECs NUMBER UNKNOWN OR INVALID

**Severity:** INFORMATIONAL (only during pilot)

**Proprietary Record ID/Data Elements:** Input PGA Record/eDECs Confirmation Number

**X.12 Segment ID/Data Elements:** MAN03 (position 1-14)

**Reason:** The eDECs number declared on the PGA record is not a known valid value in AES.

**Resolution:** The eDECs number reported must be one that is valid in AES and eDecs number cannot be reused. Verify the eDECs number, correct and retransmit. If no eDecs Number, contact FWS.

**Response Code: 678**

**Narrative Text:** TAXONOMIC SERIAL NO. UNKNOWN OR INVALID

**Severity:** INFORMATIONAL (only during pilot)

**Proprietary Record ID/Data Elements:** Input PGA Record/Taxonomic Serial Number (TSN)

**X.12 Segment ID/Data Elements:** MAN03 (position 15-33)

**Reason:** The Taxonomic Serial number declared on the PGA record is not a known valid value in AES.

**Resolution:** The Taxonomic Serial number reported must be one that is valid in AES. Verify the Taxonomic Serial number (TSN), correct and retransmit.

**Response Code: 679**

**Narrative Text:** FWS PURPOSE CODE UNKNOWN OR INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/FWS Purpose Code

**X.12 Segment ID/Data Elements:** MAN03 (position 34)

**Reason:** The FWS Purpose Code declared on the PGA record is not a known valid value in AES.

**Resolution:** The FWS Purpose Code reported must be one that is valid in AES. Verify the FWS Purpose Code, correct and retransmit.

**Response Code: 680**

**Narrative Text:** FWS DESCRIPTION CODE UNKNOWN OR INVALID

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**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/FWS Description Code

**X.12 Segment ID/Data Elements:** MAN03 (position 35-37)

**Reason:** The FWS Description Code declared on the PGA record is not a known valid value in AES.

**Resolution:** The FWS Description Code reported must be one that is valid in AES. Verify the FWS Description Code, correct and retransmit.

**Response Code: 681**

**Narrative Text:** INVALID COUNTRY CODE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/ISO Country Code

**X.12 Segment ID/Data Elements:** MAN03 (position 38-39)

**Reason:** The ISO country code declared on the PGA record is not an acceptable value in AES.

**Resolution:** The ISO country code must be a valid ISO country code listed in Appendix C, ISO Country Codes'. Verify the country code, select the appropriate ISO code, correct and retransmit..

**Response Code: 682**

**Narrative Text:** FWS SOURCE CODE UNKNOWN OR INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/FWS Source Code

**X.12 Segment ID/Data Elements:** MAN03 (position 40)

**Reason:** The FWS Source Code declared on the PGA record is not a known valid value in AES.

**Resolution:** The FWS Source Code reported must be one that is valid in AES. Verify the FWS Purpose Code, correct and retransmit.

**Response Code: 683**

**Narrative Text:** EXEMPTION CODE UNKNOWN OR INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/Exemption Code

**X.12 Segment ID/Data Elements:** MAN03 (position 41-43)

**Reason:** The reported Exemption Code declared on the PGA record is not a known valid value in AES.

**Resolution:** The Exemption code reported must be one that is valid in AES. Verify the exemption code, correct and retransmit.

**Response Code: 684**

**Narrative Text:** FWS CATEGORY CODE UNKNOWN OR INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/FWS Wildlife Category Code

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**APPENDIX A – Commodity Filing Response Messages**

**X.12 Segment ID/Data Elements:** MAN03 (position 44-46)

**Reason:** The FWS Wildlife Category Code declared on the PGA record is not a known valid value in AES.

**Resolution:** The FWS Wildlife Category Code reported must be one that is valid in AES. Verify the FWS Wildlife Category Code, correct and retransmit.

**Response Code: 685**

**Narrative Text:** STATE UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/State Code

**X.12 Segment ID/Data Elements:** MAN03 (position 47-48)

**Reason:** The State code declared is not a valid US State Code.

**Resolution:** The state declared must be a valid US State Code. Verify the State Code, correct and retransmit.

**Response Code: 686**

**Narrative Text:** eDecs # REQUIRED

**Severity:** Informational during Pilot

**Proprietary Record ID/Data Elements:** Input PGA record/eDecs Confirmation #

**X.12 Segment ID/Data Elements:** MAN03 (position 1-14)

**Reason:** eDecs confirmation number was not reported for the commodity. An eDecs # is required for the commodity reported based on the HTS code.

**Resolution:** Verify that the commodity code reported is correct. Report the shipment with the correct eDecs confirmation number and retransmit. If no eDecs Number, contact FWS.

**Response Code: 687**

**Narrative Text:** eDecs # MAY BE REQUIRED

**Severity:** Verification

**Proprietary Record ID/Data Elements:** Input PGA record/eDecs Confirmation #

**X.12 Segment ID/Data Elements:** MAN03 (position 1-14)

**Reason:** eDecs confirmation number was not reported for the commodity. An eDecs # is required for the commodity reported based on the HTS code.

**Resolution:** No action required if the information submitted is correct and no eDec # is required. If no eDecs Number, contact FWS.

**Response Code: 688**

**Narrative Text:** TSN # REQUIRED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/Taxonomic Serial #

**X.12 Segment ID/Data Elements:** MAN03 (position 15-33)

**Reason:** Taxonomic Serial number is required for the commodity instead of eDecs #.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** Verify that the commodity code reported is correct. Report the Taxonomic Serial number and retransmit.

**Response Code: 689**

**Narrative Text:** FW8 IS REQUIRED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/FW8 record

**X.12 Segment ID/Data Elements:** MAN03

**Reason:** When line action is Add/Change and an FW7 record is specified, FW8 record is required.

**Resolution:** Verify that the filing includes an FW7 and FW8 record for an Add/Change and retransmit.

**Response Code: 68A**

**Narrative Text:** TAXONOMIC SERIAL NO. MISSING

**Severity:** INFORMATIONAL (only during pilot)

**Proprietary Record ID/Data Elements:** Input PGA Record/Taxonomic Serial Number (TSN)

**X.12 Segment ID/Data Elements:** MAN03 (position 15-33)

**Reason:** The Taxonomic Serial number is missing on the PGA record.

**Resolution:** The Taxonomic Serial number must be reported and must be one that is valid in AES; correct and retransmit.

**Response Code: 68B**

**Narrative Text:** FWS PURPOSE CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/FWS Purpose Code

**X.12 Segment ID/Data Elements:** MAN03 (position 34)

**Reason:** The FWS Purpose Code is missing on the PGA record.

**Resolution:** The FWS Purpose Code must be reported and one that is valid in AES. Verify the FWS Purpose Code, correct and retransmit.

**Response Code: 68C**

**Narrative Text:** FWS DESCRIPTION CODE MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/FWS Description Code

**X.12 Segment ID/Data Elements:** MAN03 (position 35-37)

**Reason:** The FWS Description Code is missing on the PGA record.

**Resolution:** The FWS Description Code must be reported and one that is valid in AES. Verify the FWS Description Code, correct and retransmit.

**Response Code: 68D**

**Narrative Text:** COUNTRY CODE MISSING

**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input PGA Record/ISO Country Code  
**X.12 Segment ID/Data Elements:** MAN03 (position 38-39)  
**Reason:** The ISO country code is missing on the PGA record.  
**Resolution:** The ISO country code must be reported and valid ISO country code. Verify the country code, correct and retransmit.

**Response Code: 68E**

**Narrative Text:** FWS SOURCE CODE MISSING  
**Severity:** FATAL  
**Proprietary Record ID/Data Elements:** Input PGA Record/FWS Source Code  
**X.12 Segment ID/Data Elements:** MAN03 (position 40)  
**Reason:** The FWS Source Code is missing on the PGA record.  
**Resolution:** The FWS Source Code must be reported and one that is valid in AES. Verify the FWS Purpose Code, correct and retransmit.

**Response Code: 68F**

**Narrative Text:** EXEMPTION CODE MISSING  
**Severity:** FATAL  
**Proprietary Record ID/Data Elements:** Input PGA Record/Exemption Code  
**X.12 Segment ID/Data Elements:** MAN03 (position 41-43)  
**Reason:** The Exemption Code is missing on the PGA record.  
**Resolution:** The Exemption code must be reported and one that is valid in AES. Verify the exemption code, correct and retransmit.

**Response Code: 68G**

**Narrative Text:** FWS CATEGORY CODE MISSING  
**Severity:** FATAL  
**Proprietary Record ID/Data Elements:** Input PGA Record/FWS Wildlife Category Code  
**X.12 Segment ID/Data Elements:** MAN03 (position 44-46)  
**Reason:** The FWS Wildlife Category Code is missing on the PGA record.  
**Resolution:** The FWS Wildlife Category Code must be reported and one that is valid in AES. Verify the FWS Wildlife Category Code, correct and retransmit.

**Response Code: 68H**

**Narrative Text:** STATE MISSING  
**Severity:** FATAL  
**Proprietary Record ID/Data Elements:** Input PGA record/State Code  
**X.12 Segment ID/Data Elements:** MAN03 (position 47-48)  
**Reason:** The State code is missing on the PGA record.  
**Resolution:** The state declared must be reported and a valid US State Code. Verify the State Code, correct and retransmit.

**Response Code: 68I**

**Narrative Text:** DESCRIPTION MISSING  
**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input PGA record/Commercial Description

**X.12 Segment ID/Data Elements:** MAN03 (position 1-48) & MAN05 (1-22)

**Reason:** The Commercial Description is missing on the PGA record.

**Resolution:** The Commercial Description must be reported; correct and retransmit.

**DEA**

**Response Code: 690**

**Narrative Text:** NET EXCEEDS QUANTITY AUTHORIZED BY DEA

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/Quantity

**X.12 Segment ID/Data Elements:** MAN03 (Position 5-18)

**Reason:** The Quantity exceeds the amount DEA's permit/transaction allowed.

**Resolution:** The Quantity declared on PGA record must not exceed what was reported on DEA Permit. Verify the Quantity, correct and retransmit.

**Response Code: 691**

**Narrative Text:** INVALID UOM REPORTED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/Unit of Measure

**X.12 Segment ID/Data Elements:** MAN03 (Position 19- 21)

**Reason:** The UOM must be reported in G, MG, KG, MCG

**Resolution:** The Unit of Measure declared on PGA record must be reported in G, MG, KG, MCG to AES. Verify the Unit of Measure, correct and retransmit.

**Response Code: 692**

**Narrative Text:** TRANSACTION TYPE INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/Transaction Type

**X.12 Segment ID/Data Elements:** MAN03 (Positions 22)

**Reason:** The Transaction Type must be reported as Export or Transient.

**Resolution:** The Transaction Type declared on PGA record must be reported as Export or Transient. Verify the Transaction Type, correct and retransmit.

**Response Code: 693**

**Narrative Text:** DEA PERMIT #/TRANSACTION ID # INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/Permit #/Transaction ID #

**X.12 Segment ID/Data Elements:** MAN03 (Positions 23 – 35)

**Reason:** The Permit Number or Transaction ID Number declared on the PGA record is not a known valid number or has been expired in AES

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The Permit Number or Transaction ID Number reported must be one that is valid in AES. Verify Permit Number or Transaction ID Number matches the assigned number given by Registrant, correct and retransmit.

**Response Code: 694**

**Narrative Text:** ENTITY NO. INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/Entity #

**X.12 Segment ID/Data Elements:** MAN03 (Positions 30 – 38)

**Reason:** The Entity Number declared on the PGA record is not a known valid number in AES. DEA assigns identification numbers to companies that are not registrants.

**Resolution:** The Entity Number reported must be one that is valid in AES. The entity number is ??? number given to you by DEA and listed in your DEA permit. Verify Entity Number, correct and retransmit.

**Response Code: 695**

**Narrative Text:** PERMIT #/TRANSACTION # MAY BE REQUIRED

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input PGA/ Permit #

**X.12 Segment ID/Data Elements:** MAN03 (Position 23-35)

**Reason:** DEA permit was not reported for the commodity. A DEA permit may be required for the commodity reported based on the HTS code.

**Resolution:** Verify that the commodity code reported is correct and DEA permit is not required. If no DEA permit is required, then no action is necessary. Otherwise, correct the shipment with the DEA permit.

**Response Code: 696**

**Narrative Text:** DEA PERMIT #/TRANSACTION ID # REQUIRED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA/ Permit #

**X.12 Segment ID/Data Elements:** MAN03 (Position 23-35)

**Reason:** DEA Permit/Transaction ID was not reported for the commodity. A DEA permit/Transaction ID is required for the commodity reported based on the HTS code.

**Resolution:** Verify that the commodity code reported is correct. Report shipment with the correct DEA permit/Transaction ID information.

**Response Code: 697**

**Narrative Text:** PERMIT #/TRANSACTION ID # ALREADY USED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/Permit #

**X.12 Segment ID/Data Elements:** MAN03 (Position 23-35)

**Reason:** DEA permit/Transaction ID declared has already been used.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** The DEA permit/Transaction ID can only be used in a single shipment. Verify the DEA permit/Transaction ID, correct and retransmit.

**Response Code: 698**

**Narrative Text:** DRUG CODE UNKNOWN OR INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA Record/Drug Code

**X.12 Segment ID/Data Elements:** MAN03 (Position 1-4)

**Reason:** The Drug Code declared on the PGA record is not a known valid value in AES

**Resolution:** The DEA issued Drug Code reported must be one that is valid in AES. Verify the Drug Code, correct and retransmit.

**Response Code: 69A**

**Narrative Text:** EXP DATE > PERMIT/TRANS EXPIRATION DATE

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1/Estimated date of export/PGA Record/Permit Number

**X.12 Segment ID/Data Elements:** DTM02/MAN03 (Position 23-29)

**Reason:** The expiration date on the permit/Transaction cannot be greater than the estimated date of export.

**Resolution:** The Permit number/Transaction ID must be a known value in AES and cannot be expired at the time of export. Verify the permit number/transaction id number, correct and retransmit.

**AMS****Response Code: 64B**

**Narrative Text:** AMS EXPORT CERTIFICATE NBR INVALID FORMAT

**Severity:** INFORMATIONAL (only during pilot)

**Proprietary Record ID/Data Elements:** Input PGA record/AMS Export Certificate Number

**X.12 Segment ID/Data Elements:** MAN03 (Position 1-13)

**Reason:** The correct format for AMS Export Certificate number is 'X' or 'C', followed by 7 or 12 digits without any hyphens (i.e. 'C1234567' or 'C123456789022').

**Resolution:** For AMS Export Certificate number, enter the AMS Export Certificate number in correct format and retransmit.

**Response Code: 64C**

**Narrative Text:** AMS EXPORT CERTIFICATE NBR MISSING

**Severity:** INFORMATIONAL (only during pilot)

**Proprietary Record ID/Data Elements:** Input PGA record/AMS Export Certificate Number

**X.12 Segment ID/Data Elements:** MAN03 (Position 1-13)



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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The AMS Export Certificate number missing.

**Resolution:** Report the entry number to USDA-AMS for review. Product may be released, as current regulatory authority does not require the importer to provide the Export Certificate number to USDA or CBP. Correct and retransmit.

**TTB****Response Code: 65A**

**Narrative Text:** DATE CANNOT BE > EXPORT DATE

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA record/Date; Input SC1 record/Estimated Date of Export.

**X.12 Segment ID/Data Elements:** MAN03 (16-23)

**Reason:** This date cannot be greater than the estimated date of export.

**Resolution:** The date declared cannot be greater than estimated date of export. Verify the date, correct and retransmit.

**Response Code: 65B**

**Narrative Text:** DATE UNKNOWN

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/Date

**X.12 Segment ID/Data Elements:** MAN03 (position 16-23)

**Reason:** The date was not a known date.

**Resolution:** The date specified on the PGA record must be a known date formatted as YYYYMMDD. Verify the date, correct and retransmit.

**Response Code: 65C**

**Narrative Text:** UNKNOWN FORMAT FOR TTB

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/TTB Permit#, Brewers Notice, EIN

**X.12 Segment ID/Data Elements:** MAN03 (position 1-15)

**Reason:** The TTB Permit, Brewers Notice or EIN does not have the required format.

**Resolution:** The TTB Permit, Brewers Notice or EIN declared does not have the required format. Correct formats are: Left justified: XX-XXX-XX-XXXXX or XX-XX-XXXXX or XXX-XX-XXXXX or XX-XXXXXXXXXX. Verify, correct and retransmit.

**Response Code: 65D**

**Narrative Text:** SERIAL NUMBER REQUIRED

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/Serial Number

**X.12 Segment ID/Data Elements:** MAN03 (position 24-34)

**Reason:** The Serial number is missing on the PGA record.

**Resolution:** The Serial number must be entered on the PGA record.

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**APPENDIX A – Commodity Filing Response Messages**

Correct format - Left Justified: XXXXXXXXXXXX. Verify the Serial number, correct and retransmit.

**Response Code: 65E**

**Narrative Text:** TTB DISCLAIMER INVALID

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/TTB Disclaimer

**X.12 Segment ID/Data Elements:** MAN03 (35)

**Reason:** The TTB disclaimer must be '1' or space fill if not used.

**Resolution:** The TTB disclaimer valid values '1' or space fill if not used. Verify the TTB disclaimer, correct and retransmit.

**Response Code: 65F**

**Narrative Text:** TTB DISCLAIMER DECLARED

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/TTB Disclaimer

**X.12 Segment ID/Data Elements:** MAN03 (35)

**Reason:** TTB disclaimer declared.

**Resolution:** When TTB disclaimer is declared, other fields on the TTB PGA record must be blank. Verify the TTB disclaimer, correct and retransmit.

**Response Code: 65G**

**Narrative Text:** ONLY DISCLAIMER OR TTB PGA ALLOWED

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/TTB Disclaimer

**X.12 Segment ID/Data Elements:** MAN03 (35)

**Reason:** TTB disclaimer declared and only one TTB PGA record allowed.

**Resolution:** When TTB disclaimer is declared, other fields on the TTB PGA record must be blank. When TTB disclaimer is claimed, only one TTB PGA record can be reported for a given commodity. Verify the TTB disclaimer, correct and retransmit.

**ATF****Response Code: 66A**

**Narrative Text:** EITHER FFL # OR EXEMPTION CODE ALLOWED

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/FFL Number/FFL Exemption Code

**X.12 Segment ID/Data Elements:** MAN03 (position 1-21)

**Reason:** Either FFL number or FFL Exemption Code can be specified, but not both.

**Resolution:** Either FFL number or FFL Exemption Code can be specified, but not both. Verify the FFL # or Exemption code, correct and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 66B**

**Narrative Text:** EITHER PERMIT # OR EXEMPTN CD ALLOWED

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/Permit #/Permit Exemption Code

**X.12 Segment ID/Data Elements:** MAN03 (position 22-33)

**Reason:** Either Permit number or Permit Exemption Code can be specified, but not both.

**Resolution:** Either Permit number or Permit Exemption Code can be specified, but not both. Verify the Permit # or Permit Exemption Code, correct and retransmit.

**Response Code: 66C**

**Narrative Text:** FFL NUMBER UNKNOWN OR INVALID

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/FFL Number

**X.12 Segment ID/Data Elements:** MAN03 (position 1-20)

**Reason:** The FFL Number declared on the PGA record is not a known valid value in AES.

**Resolution:** The FFL Number reported must be one that is valid in AES. Verify the Permit number, correct and retransmit.

**Response Code: 66E**

**Narrative Text:** FFL EXEMPTION CODE INVALID

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/FFL Exemption Code

**X.12 Segment ID/Data Elements:** MAN03 (position 21)

**Reason:** The FFL Exemption code declared on the PGA record is not an acceptable value in AES.

**Resolution:** The FFL Exemption code must be 1 or 2. Select the appropriate FFL Exemption code, correct and retransmit.

**Response Code: 66F**

**Narrative Text:** FFL NUMBER EXPIRED

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/FFL Number

**X.12 Segment ID/Data Elements:** MAN03 (position 1-20)

**Reason:** The FFL Number declared on the PGA record is expired in AES.

**Resolution:** The FFL Number must be a known value in AES and cannot be expired at the time of export. Verify the FFL number, correct and retransmit.

**Response Code: 66G**

**Narrative Text:** FFL # NOT A MATCH WITH PERMIT NUMBER

**Severity:** INFORMATIONAL DURING PILOT

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input PGA Record/FFL Number/Permit Number

**X.12 Segment ID/Data Elements:** MAN03 (position 1-20 & 22-32)

**Reason:** The FFL Number does not match the Permit Number declared on the PGA record.

**Resolution:** The FFL Number and Permit number has to match up AES. Verify the FFL number and Permit number, correct and retransmit.

**Response Code: 66H**

**Narrative Text:** PERMIT NUMBER UNKNOWN OR INVALID

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/FFL Number

**X.12 Segment ID/Data Elements:** MAN03 (position 22-32)

**Reason:** The Permit number declared on the PGA record is not a known valid value in AES.

**Resolution:** The Permit number reported must be one that is valid in AES. Verify the Permit number, correct and retransmit.

**Response Code: 66I**

**Narrative Text:** PERMIT NUMBER EXPIRED

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/FFL Number

**X.12 Segment ID/Data Elements:** MAN03 (position 22-32)

**Reason:** The Permit number declared on the PGA record is expired in AES.

**Resolution:** The Permit number must be a known value in AES and cannot be expired at the time of export. Verify the Permit number, correct and retransmit.

**Response Code: 66J**

**Narrative Text:** PERMIT NUMBER ALREADY USED

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/FFL Number

**X.12 Segment ID/Data Elements:** MAN03 (position 22-32)

**Reason:** The Permit number declared on the PGA record can only be used once in AES.

**Resolution:** The Permit number can only be used once in AES. Verify the Permit number, correct and retransmit.

**Response Code: 66K**

**Narrative Text:** PERMIT EXEMPTION CODE INVALID

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/Permit Exemption Code

**X.12 Segment ID/Data Elements:** MAN03 (position 33)

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The Permit Exemption Code declared on the PGA record is not an acceptable value in AES.

**Resolution:** The Permit Exemption code must be 1 or 2. Select the appropriate Permit Exemption code, correct and retransmit.

**Response Code: 66L**

**Narrative Text:** CATEGORY CODE INVALID

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/Permit Quantity

**X.12 Segment ID/Data Elements:** MAN03 (position 44-47)

**Reason:** The Category Code declared on the PGA record is not a known value in AES.

**Resolution:** The Category code must be a valid code for exports. Verify, correct and retransmit.

**Response Code: 66M**

**Narrative Text:** QUANTITY MUST BE SPECIFIED

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/Quantity

**X.12 Segment ID/Data Elements:** MAN03 (position 34-42)

**Reason:** The quantity is missing on the PGA record.

**Resolution:** The quantity must be specified on the PGA record, must be whole numbers, right justified and zero fill. Verify, correct and retransmit.

**Response Code: 66N**

**Narrative Text:** QUANTITY MUST NOT EXCEED PERMIT

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/Quantity

**X.12 Segment ID/Data Elements:** MAN03 (position 34-42)

**Reason:** The quantity declared exceeds the Permit.

**Resolution:** The quantity must not exceed the Permit. Verify, correct and retransmit.

**Response Code: 66O**

**Narrative Text:** QUANTITY MUST MATCH THE PERMIT

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/Quantity

**X.12 Segment ID/Data Elements:** MAN03 (position 34-42)

**Reason:** For each Permit declared, the cumulative quantity (across this single Filing) must exactly match the Permit.

**Resolution:** The cumulative quantity (across this single Filing) must exactly match the Permit. Verify, correct and retransmit.

**Response Code: 66P**

**Narrative Text:** QUANTITY CONTAINS NON-NUMERICS

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**APPENDIX A – Commodity Filing Response Messages**

**Severity:** INFORMATIONAL DURING PILOT

**Proprietary Record ID/Data Elements:** Input PGA Record/Quantity

**X.12 Segment ID/Data Elements:** MAN03 (position 34-42)

**Reason:** The quantity declared contains non-numeric or spaces.

**Resolution:** The quantity must be whole numbers, right justified and zero fill. Verify, correct and retransmit.

**Response Code: 66Q**

**Narrative Text:** ECCN & CTRY OF DEST NOT ALLOWED FOR NLR

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code; Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** BA104; X102; X116

**Reason:** One or more lines contain an ECCN that is ineligible for export to the country of destination under a No License Required (NLR) authority.

**Resolution:** ECCN and Country of Destination is not allowed for C33 (NLR). Review and correct filing. Review the Export Administration Regulations (15 CFR Parts 700-799). Contact the Bureau of Industry and Security at (202) 482-4811 with further questions.

**NMFS**

**Response Code: 67A**

**Narrative Text:** PRODUCT DESCRIPTION MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/Description

**X.12 Segment ID/Data Elements:** MAN03 (Position 1-48)

**Reason:** The Description of product declared for HMS and AMR is missing from record.

**Resolution:** The description of product must be entered for **AMR** (Antarctic Marine Living Resources) or **HMS** (Highly Migratory Species). Verify the Product Description, correct and retransmit.

**Response Code: 67B**

**Narrative Text:** AGENCY PROGRAM CODE INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/Government Agency Program Code

**X.12 Segment ID/Data Elements:** MAN05 (Position 23-25)

**Reason:** The Government Agency Program Code declared is not a valid value in AES.

**Resolution:** Only **AMR** (Antarctic Marine Living Resources) or **HMS** (Highly Migratory Species) can only be declared. Verify the Government Agency

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**APPENDIX A – Commodity Filing Response Messages**

Program Code, correct and retransmit. Verify the Agency Program Code, correct and retransmit.

**Response Code: 67C**

**Narrative Text:** PROCESSING TYPE CODE UNKNOWN OR INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/Processing Type Code

**X.12 Segment ID/Data Elements:** MAN03 (Position 1-3)

**Reason:** The Processing Type Code declared is not a valid code based in Code List.

**Resolution:** Only for **HMS** (Highly Migratory Species) can be declared. Verify the Processing Type Code, correct and retransmit.

**Response Code: 67D**

**Narrative Text:** PERMIT NBR. UNKNOWN OR INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/Permit Number

**X.12 Segment ID/Data Elements:** MAN03 (Position 1-14)

**Reason:** The Permit Number declared on PGA record is unknown or not a valid number.

**Resolution:** Both **HMS** (Highly Migratory Species) and **AMR** (Antarctic Marine Life Resources) programs require exporters to have an International Fisheries Trade Permit that will need to be validated. Verify the Permit Number, correct and retransmit.

**Response Code: 67E**

**Narrative Text:** DOCUMENT IDENTIFIER INVALID/MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/Document Identifier

**X.12 Segment ID/Data Elements:** MAN03 (Position 4-6)

**Reason:** The Document Identifier declared is unknown or missing.

**Resolution:** Verify the Document Identifier is valid for exports, correct and retransmit.

**Response Code: 67F**

**Narrative Text:** DOCUMENT NBR. MISSING

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input PGA record/Document Number

**X.12 Segment ID/Data Elements:** MAN03 (Position 14-43)

**Reason:** The Document Image Indicator is 'Y' and the Document Number is missing on the PGA record.

**Resolution:** Enter the Document Number and retransmit.

**Response Code: 67G**

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**APPENDIX A – Commodity Filing Response Messages**

**Narrative Text:** DOCUMENT IMAGE INDICATOR UNKNOWN

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/Document Image Indicators

**X.12 Segment ID/Data Elements:** MAN03 (Position 44)

**Reason:** The Document Image Indicator area declared must be entered in the PGA record as ‘Y’ (Yes) or ‘N’ (No).

**Resolution:** Verify the Document Image Indicator, correct and retransmit.

**Response Code: 67H**

**Narrative Text:** SOURCE OF COUNTRY CODE INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/Source-Country

**X.12 Segment ID/Data Elements:** MAN03 (Position 45)

**Reason:** The Source Country Code area declared must be one that is valid in AES.

**Resolution:** Only for HMS (Highly Migratory Species) can be declared. Verify the Source of Country Code, correct and retransmit.

**Response Code: 67I**

**Narrative Text:** ONLY NM7 & NM9 REQUIRED FOR AMR PROGRAM

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA recordNM7/NM9

**X.12 Segment ID/Data Elements:** MAN03/MAN04/MAN05

**Reason:** For AMR (Antarctic Marine Living Resources) program, NM7 & NM9 must be reported in the PGA record.

**Resolution:** For AMR (Antarctic Marine Living Resources) program, NM7 record should always be followed by an NM9 record. Verify, correct and retransmit.

**Response Code: 67J**

**Narrative Text:** RE-EXPORT NBR MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/NM9/Re-Export Number

**X.12 Segment ID/Data Elements:** MAN05 (Position 13-24)

**Reason:** The Re-Export number is missing on the PGA record.

**Resolution:** For AMR (Antarctic Marine Living Resources) program, the Re-Export Number must be specified on the PGA record. Verify, correct and retransmit.

**Response Code: 67K**

**Narrative Text:** CMTY HRVSTNG VSSL CNTRY RGISTRY CD INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/Source-Country



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**APPENDIX A – Commodity Filing Response Messages****X.12 Segment ID/Data Elements:** MAN05 (Positions 4-5)

**Reason:** The Commodity Harvesting Vessel Country of Registry Code declared is not known in AES.

**Resolution:** The Commodity Harvesting Vessel Country of Registry Code area declared must be one that is valid in AES. Verify the Commodity Harvesting vessel Country of Registry, correct and retransmit.

**Response Code: 67L**

**Narrative Text:** OCEAN GEOGRAPHIC AREA CODE INVALID

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/Geographic Location

**X.12 Segment ID/Data Elements:** MAN05 (Position 6-8)

**Reason:** The Ocean Geographic area declared is not a known value in AES.

**Resolution:** The Ocean Geographic area declared must be one that is valid in AES. Verify the Ocean Geographic area, correct and retransmit.

**Response Code: 67M**

**Narrative Text:** PERMIT NUMBER EXPIRED

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/Permit Number

**X.12 Segment ID/Data Elements:** MAN03 (Position 1-14)

**Reason:** The Permit number is expired in AES.

**Resolution:** The Permit number is expired. Verify the Permit Number, correct and retransmit.

**Response Code: 67N**

**Narrative Text:** LPCS QTY INVALID/MISSING

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/LPCS Qty

**X.12 Segment ID/Data Elements:** MAN03 (Position 15-29)

**Reason:** The LPCS Qty is mandatory for AMR program and must be reported on the PGA record.

**Resolution:** The LPCS Qty must be specified on the PGA record. Verify the LPCS Quantity, correct and retransmit.

**Response Code: 67O**

**Narrative Text:** LPCO UOM MUST BE KG

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Input PGA record/LPCO Unit of Measure

**X.12 Segment ID/Data Elements:** MAN03 (Position 30-31)

**Reason:** The LPCO Unit of Measure is mandatory for AMR program and must be reported in KG on the PGA record.

**Resolution:** The LPCO Unit of measure must be specified in KG on the PGA record. Verify the LPCO Unit of Measure, correct and retransmit.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 67P****Narrative Text:** CATCH DOCUMENT NBR MISSING**Severity:** VERIFY**Proprietary Record ID/Data Elements:** Input PGA Record/Catch Document Number**X.12 Segment ID/Data Elements:** MAN05 (Position 1-12)**Reason:** The Catch Document Number is mandatory for AMR program and must be reported on the PGA record.**Resolution:** Enter the Catch Document Number, correct and retransmit.**Response Code: 67Q****Narrative Text:** BOTH NM8/NM9 REQUIRED FOR HMS PROGRAM**Severity:** FATAL**Proprietary Record ID/Data Elements:** Input PGA Record/NM8/NM9**X.12 Segment ID/Data Elements:** MAN03/MAN04/MAN05**Reason:** For HMS (Highly Migratory Species) program, NM7, NM8 & NM9 must be reported in PGA record.**Resolution:** For HMS (Highly Migratory Species) program, NM7 record should always be followed by NM8 and NM9. The NM7, Nm8 and NM9 sequence can be repeated up to 999 times per commodity line. Verify, correct and retransmit.**Response Code: 67R****Narrative Text:** MISSING DOCUMENT**Severity:** WARNING**Proprietary Record ID/Data Elements:** Input PGA record/Document Image Indicator**X.12 Segment ID/Data Elements:** MAN03**Reason:** The Document Image Indicator = 'N' and no document number declared in the PGA record.**Resolution:** Provide document number at earliest possible time.**Response Code: 67S****Narrative Text:** eBCD NUMBER INVALID FORMAT**Severity:** FATAL**Proprietary Record ID/Data Elements:** Input PGA record/Document Number**X.12 Segment ID/Data Elements:** MAN03 (Position 14-43)**Reason:** The correct format for eBCD number is 'US', followed by two digit year, then always a '9' and followed by 5 numbers (i.e. 'US16912345').**Resolution:** For HMS (Highly Migratory Species) program, enter the eBCD number in correct format and retransmit.**Response Code: 67T****Narrative Text:** RE-EXPORT NBR INVALID FORMAT**Severity:** FATAL

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input PGA record/NM9/Re-Export Number

**X.12 Segment ID/Data Elements:** MAN05 (Position 13-24)

**Reason:** The correct format for re-export number is ‘US’, followed by two digit year, then always an ‘R’ and 5 numbers (i.e. ‘US16R12345’).

**Resolution:** For AMR (Antarctic Marine Living Resources) program, the Re-Export Number must be specified and in correct format on the PGA record. Verify, correct and retransmit.

**Response Code: 64A**

**Narrative Text:** <PGA ID> PGA REQUIRED FOR HTS

**Severity:** INFORMATIONAL (only during pilot)

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** L1302

**Reason:** The Schedule B/HTS Number declared on the CL2 record for this PGA is required to be reported for this PGA.

**Resolution:** The Schedule B/HTS number requires PGA to be reported. Verify, correct and retransmit.

**Compliance Alert Conditions****Response Code: 700**

**Narrative Text:** SHIPMENT REPORTED LATE; OPT 2

**Severity:** COMPLIANCE ALERT

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export, Shipment Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** YNQ01; YNQ02; DTM01; DTM02; BA102

**Reason:** During an ADD action, an PreDeparture filing is considered late if the date AES receives and accepts the complete data is greater than the reported Estimated Date of Export. During the REPLACE or CHANGE action, an PreDeparture filing is considered late if the Estimated Date of Export is changed to a date earlier than the original filing action.

**Resolution:** No action required. Review filing practices; take steps to ensure export information reporting compliance.

**Response Code: 701**

**Narrative Text:** SHIPMENT REPORTED LATE; OPT 4

**Severity:** COMPLIANCE ALERT

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export, Shipment Filing Action Indicator

**X.12 Segment ID/Data Elements:** YNQ01; YNQ02; DTM01; DTM02; BA102

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** During an ADD action, a Post Departure filing is considered late if the date AES receives and accepts the complete data is greater than the reported Estimated Date of Export plus 5 calendar days. During the REPLACE or CHANGE action, a Post Departure filing is considered late if the Estimated Date of Export is changed to a date 5 or more days greater than the original filing action.

**Resolution:** No action required. Review filing practices; take steps to ensure export information reporting compliance.

**Response Code: 702**

**Narrative Text:** LINE ACTIVITY ADD POST DEPARTURE

**Severity:** COMPLIANCE ALERT

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export; Input CL1 Record/Line Number, Line Item Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** DTM01; DTM02; L1307; L1314

**Reason:** A filer is non-compliant when a line is added post departure.

**Resolution:** No action required. Review filing practices; take steps to ensure export information reporting compliance.

**Response Code: 703**

**Narrative Text:** LINE ACTIVITY DELETE POST DEPARTURE

**Severity:** COMPLIANCE ALERT

**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export; Input CL1 Record/Line Number, Line Item Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** DTM01; DTM02; L1307; L1314

**Reason:** A filer is non-compliant when a line is deleted post departure.

**Resolution:** No action required. Review filing practices; take steps to ensure export information reporting compliance.

**Response Code: 704**

**Narrative Text:** LICENSE TYPE CHANGE POST DEPARTURE

**Severity:** COMPLIANCE ALERT

**Proprietary Record ID/Data Elements:** SC1 Record/Estimated Date of Export, Shipment

Filing Action Request Indicator; Input CL1 Record/License Code or License Exemption Code, Line Item Filing Action Request Indicator

**X.12 Segment ID/Data Elements:** DTM01; DTM02; BA102; X107; L1314

**Reason:** A filing is non-complaint when the license type code is changed post departure. The previous filing reported BIS, State, OFAC, NRC, or OPA type and the correction filing reports a license type different than previously reported.

**Resolution:** No action required. Review filing practices; take steps to ensure export information reporting compliance.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 705**

**Narrative Text:** LICENSE NUMBER CHANGE POST DEPARTURE

**Severity:** COMPLIANCE ALERT

**Proprietary Record ID/Data Elements:** SC1 Record/Estimated Date of Export, Shipment

Filing Action Request Indicator; Input CL1 Record/License Code/License Exemption Code; Line Item Filing Action Request Indicator; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** DTM01; DTM02; BA102; X102; X103; X107; L1314

**Reason:** A filing is non-compliant when the actual license identifier (number) is changed post departure.

**Resolution:** No action required. Review filing practices; take steps to ensure export information reporting compliance.

**Response Code: 706**

**Narrative Text:** LICENSE VALUE CHANGE POST DEPARTURE

**Severity:** COMPLIANCE ALERT

**Proprietary Record ID/Data Elements:** SC1 Record/Estimated Date of Export, Shipment

Filing Action Request Indicator; Input CL1 Record/License Code/License Exemption Code; Line Item Filing Action Request Indicator, License Value; Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** DTM01; DTM02; BA102; X102; X103; X107; L1305; L1306

**Reason:** A filing is non-compliant when the declared license of the commodity was changed on licensable shipment post departure.

**Resolution:** No action required. Review filing practices; take steps to ensure export information reporting compliance.

**Response Code: 707**

**Narrative Text:** USED VEHICLE(S) CHANGE POST DEPARTURE

**Severity:** COMPLIANCE ALERT

**Proprietary Record ID/Data Elements:** SC1 Record/Estimated Date of Export, Shipment

Filing Action Request Indicator; Input CL1/Line Item Filing Action Request Indicator; Input EV1 Record/Vehicle ID Number, Vehicle ID Qualifier

**X.12 Segment ID/Data Elements:** DTM01; DTM02; BA102; L1314; VEH02; VEH05

**Reason:** A filing is non-compliant when a used vehicle is changed post departure.

**Resolution:** No action required. Review filing practices; take steps to ensure export information reporting compliance.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 708****Narrative Text:** DEC PROGRAM ELIMINATED**Severity:** COMPLIANCE ALERT**Proprietary Record ID/Data Elements:** Input A Record/Data Entry Center Indicator, Input SC1 Record/Shipment Reference Number, Shipment Filing Action Request Indicator**X.12 Segment ID/Data Elements:** BA 107 where: YES=Y, BA 102 where: 1=A, 2=C, RX=R; BA105**Reason:** The Data Entry Center Indicator is Yes and the Shipment Filing Action Request Indicator is Add. Or the Data Entry Center Indicator is Yes, the Shipment Filing Action Request Indicator is Replace or Change, and the shipment on file in AES is not a DEC shipment. AES shall accept a shipment as requested and establish or correct the shipment. The DEC program, however, has been eliminated and no DEC filing privileges have been extended to this shipment.**Resolution:** No action required. Review filing practices; future attempts to Add shipments should not be marked as DEC-claimed shipments.**Response Code: 709****Narrative Text:** VALUE OF GOOD OVER LIMIT VALUE SHPMNT**Severity:** COMPLIANCE ALERT**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Value of Goods/Export Control Clarification Number (ECCN)**X.12 Segment ID/Data Elements:** X107;X116;L1306**Reason:** The License Code/ECCN and value of goods reported exceeds the maximum limit value shipment.**Resolution:** No action required. Review filing practices; take steps to ensure export information reporting is compliant.**Response Code: 710****Narrative Text:** AEI FULL SHIPMENT REPORTED LATE; OPT 3F**Severity:** COMPLIANCE ALERT**Proprietary Record ID/Data Elements:** Input SC1 Record/Estimated Date of Export, Shipment Filing Action Request Indicator**X.12 Segment ID/Data Elements:** YNQ01; YNQ02; DTM01; BA102**Reason:** During a REPLACE or CHANGE action for a filing option 3 Full Filing Shipment (AEI filing type is a 'F'), a Post Departure filing is considered late if the EEI filing received date is greater than the Estimated Date of Export + 5 days.**Resolution:** No action required. Review filing practices; take steps to ensure export information reporting compliance.**Response Code: 711****Narrative Text:** PREDEPARTURE FILING REQ FOR RPRTED CMDTY**Severity:** COMPLIANCE ALERT

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input CL1 Record/License Code/License Exemption Code; Input CL2 Record/Export Control Classification Number (ECCN)

**X.12 Segment ID/Data Elements:** X107; X116

**Reason:** The Export Control Classification Number (ECCN) or HS/Schedule B Number reported is not eligible for the AES filing option because of the sensitivity of the commodity. Predeparture filing is required.

**Resolution:** Change the filing option indicator to Predeparture filing. In future transactions, be sure that the AES Predeparture filing option indicator is reported for items having an ECCN, except those controlled for Anti-terrorism only or encryption reasons, or sensitive commodities classified by the HS/Schedule B number. For further assistance, contact the Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation at 202-482-4933.

**Response Code: 712**

**Narrative Text:** FIXED MOT (70) SHIPMENT REPORTED LATE

**Severity:** COMPLIANCE ALERT

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code (MOT), Date of Export

**X.12 Segment ID/Data Elements:** BA103;DTM02

**Reason:** The Mode of Transportation Code is '70' and the shipment(s) are reported late. The operator of a pipeline may transport goods to a foreign country without the prior filing of the proof of filing citations, exemption, or exclusion legends on the condition that within four calendar days following the end of each calendar month, the operator will deliver to CBP Port Director the proof of filing citations, exemption or exclusion legends covering all exports through the pipeline to each consignee during the month.

**Resolution:** No action required. Review filing practices; take steps to ensure export information reporting compliance.

**Response Codes 713-799 reserved**

**Statistical Verification Conditions**

**Response Code: 8H1**

**Narrative Text:** VALUE/QUANTITY 1 OUT OF RANGE - HIGH

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Value of Goods, Quantity (1)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1304; L1305; L1306

**Reason:** For the reported Schedule B/HTS Number, the Value of Goods/Quantity (1) ratio is outside of the expected range. The ratio is too high.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared, the value of the goods divided by the first quantity should fall within a certain parameter based on historical statistical averages for that goods. Ratios outside this pre-determined parameter might indicate either a keying error

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**APPENDIX A – Commodity Filing Response Messages**

or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify the Value of Goods reported, checking conversion from foreign currency to whole US dollars. Verify the Quantity (1) reported, checking that the proper metric unit of measure is used and verifying any conversions made to metric units such as pounds to kilograms. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

**Response Code: 8H2**

**Narrative Text:** VALUE/QUANTITY 2 OUT OF RANGE - HIGH

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Value of Goods, Quantity (2)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1305; L1306; L1309

**Reason:** For the reported Schedule B/HTS Number, the Value of Goods/Quantity (2) ratio is outside of the expected range. The ratio is too high.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared, the value of the goods divided by the second quantity should fall within a certain parameter based on historical statistical averages for that goods. Ratios outside this pre-determined parameter might indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify the Value of Goods reported, checking conversion from foreign currency to whole US dollars. Verify the Quantity (1) reported, checking that the proper metric unit of measure is used and verifying any conversions made to metric units such as pounds to kilograms. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

**Response Code: 8L1**

**Narrative Text:** VALUE/QUANTITY 1 OUT OF RANGE - LOW

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Value of Goods, Quantity (1)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1304; L1305; L1306

**Reason:** For the reported Schedule B/HTS Number, the Value of Goods/Quantity (1) ratio is outside of the expected range. The ratio is too low.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared, the value of the goods divided by the first quantity should fall within a certain parameter based on historical statistical averages for that goods. Ratios outside this pre-determined parameter might indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify the Value of Goods reported, checking conversion from foreign currency to whole US dollars. Verify the Quantity (1) reported, checking that the proper metric unit of measure is used and verifying any conversions made to metric units such as pounds to kilograms.



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**APPENDIX A – Commodity Filing Response Messages**

Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

**Response Code: 8L2**

**Narrative Text:** VALUE/QUANTITY 2 OUT OF RANGE - LOW

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Value of Goods, Quantity (2)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1305; L1306; L1309

**Reason:** For the reported Schedule B/HTS Number, the Value of Goods/Quantity (2) ratio is outside of the expected range. The ratio is too low.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared, the value of the goods divided by the second quantity should fall within a certain parameter based on historical statistical averages for that goods. Ratios outside this pre-determined parameter might indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify the Value of Goods reported, checking conversion from foreign currency to whole US dollars. Verify the Quantity (2) reported, checking that the proper metric unit of measure is used and verifying any conversions made to metric units such as pounds to kilograms. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

**Response Code: 8PI**

**Narrative Text:** IMPROBABLE COMMODITY FOR FIXED TRANSPORT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** BA103; L1301; L1302

**Reason:** The Schedule B/HTS Number declared indicates a product that is not accommodated by a fixed mode of transport.

**Resolution:** Census has determined that only particular goods are likely to be exported by a fixed mode of transportation (i.e., pipeline, electrical energy, etc.). Verify the Schedule B/HTS Number and the Mode of Transportation Code. The filer should correct the mode of transportation and retransmit, if appropriate. For further assistance, contact your client representative.

**Response Code: 8QR**

**Narrative Text:** QUANTITY RELATIONSHIP OUT OF RANGE

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B /HTS Number, Quantity (1), Quantity (2)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1304; L1309

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** For the reported Schedule B/HTS Number, both Quantity (1) and Quantity (2) are required and reported. However, the relationship between Quantity (1) and Quantity (2) is outside of the expected range.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared, there is a relationship between the first quantity and the second quantity based on historical statistical averages for that goods. Ratios outside this pre-determined parameter might indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify that both Quantity (1) and Quantity (2) are reported accurately in the proper metric unit of measures. Verify that any conversions made to metric units such as pounds to kilograms are accurate. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

**Response Code: 8SR**

**Narrative Text:** SHPING WGT TOO HIGH FOR RAIL SHPMNT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL2 Record/Shipping Weight

**X.12 Segment ID/Data Elements:** BA103; L1310; L1311

**Reason:** The Mode of Transportation is declared as RAIL and the reported shipping weight is too high for a rail shipment.

**Resolution:** Based on historical statistical data and industry input, Census has determined the gross shipping weight in kilograms that can be accommodated when the mode of transportation is reported as rail. Gross shipping weights outside this established parameter might indicate a keying error or an invalid mode of transportation code. The filer should verify that the gross Shipping Weight is accurately reported in kilograms and that the Mode of Transportation is rail. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

**Response Code: 8ST**

**Narrative Text:** SHPING WGT TOO HIGH FOR TRUCK SHPMNT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL2 Record/Shipping Weight

**X.12 Segment ID/Data Elements:** BA103; L1310; L1311

**Reason:** The Mode of Transportation is declared as TRUCK and the reported shipping weight is too high for a truck shipment.

**Resolution:** Based on historical statistical data and industry input, Census has determined the gross shipping weight in kilograms that can be accommodated when the mode of transportation is reported as truck. Gross shipping weights outside this established parameter might indicate a keying error or an invalid mode of transportation code. The filer should verify that the gross Shipping

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**APPENDIX A – Commodity Filing Response Messages**

Weight is accurately reported in kilograms and that the Mode of Transportation is truck. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

**Response Code: 8VW**

**Narrative Text:** VALUE/SHPING WGT OUT OF RANGE

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Value of Goods, Shipping Weight

**X.12 Segment ID/Data Elements:** L1301; L1302; L1305; L1306; L1310; L1311

**Reason:** For the reported Schedule B/HTS Number, the Value of Goods/Shipping Weight ratio is outside of the expected range.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared, the value of the goods divided by the shipping weight should fall within a certain parameter based on historical statistical averages for that goods. Ratios outside this established parameter might indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify the Value of Goods reported, checking conversion from foreign currency to whole US dollars. Verify the reported gross shipping weight, checking that the proper metric unit of measure (kilograms) is used and verifying any conversions made to metric units such as pounds or tons to kilograms. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

**Response Code: 8W1**

**Narrative Text:** SHPING WGT/QUANTIY 1 OUT OF RANGE

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Quantity (1), Shipping Weight

**X.12 Segment ID/Data Elements:** L1301; L1302; L1304; L1310; L1311

**Reason:** For the reported Schedule B/HTS Number, the Shipping Weight/Quantity (1) ratio is outside of the expected range.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared, the shipping weight divided by the first quantity should fall within a certain parameter based on historical statistical averages for that goods. Ratios outside this established parameter might indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify the Quantity (1) reported, checking that the proper metric unit of measure is used and verifying any conversions made to metric units such as pounds to kilograms. Verify the gross shipping weight in kilograms. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 8W2**

**Narrative Text:** SHPING WGT/QUANTITY 2 OUT OF RANGE

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Quantity (2), Shipping Weight

**X.12 Segment ID/Data Elements:** L1301; L1302; L1309; L1310; L1311

**Reason:** For the reported Schedule B/HTS Number, the Shipping Weight/Quantity (2) ratio is outside of the expected range.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared, the shipping weight divided by the second quantity should fall within a certain parameter based on historical statistical averages for that goods. Ratios outside this established parameter might indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify the Quantity (2) reported, checking that the proper metric unit of measure is used and verifying any conversions made to metric units such as pounds to kilograms. Verify the gross shipping weight in kilograms. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

**Response Code: 800**

**Narrative Text:** BIS LIC VAL EXCD PRIOR: <ITN>

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL1 Record/ License Value, License Code/License Exemption Code, Input CL2 Record/Export License Number/ CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103

**Reason:** The License Code/License Exemption Code indicates a BIS license claim. The license value reported on a PRIOR CL1 record meets or exceeds the original BIS license value. The ITN of the PRIOR transaction is displayed by this alert.

**Resolution:** The BIS license has been decremented. Verify your proprietary export records and BIS license documentation to ensure no keying errors have been made. For further assistance, the Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation can be reached at 202-482-4933.

**Response Code: 801**

**Narrative Text:** BIS LIC VAL EXCD CURRENT: <License Number >

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL1 Record/ License Value, License Code/License Exemption Code, Input CL2 Record/Export License Number/ CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** The License Code/License Exemption Code indicates a BIS license claim. The license value reported on the CL1 record exceeds the original BIS license value. Note: BIS shipping tolerance limits may not yet be exceeded – no action may be necessary at this time.

**Resolution:** The BIS license has been decremented. Verify your proprietary export records and BIS license documentation to ensure no keying errors have been made. For further assistance, the Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation can be reached at 202-482-4933.

**Response Code: 802**

**Narrative Text:** BIS LIC TOLERANCE EXCEEDED: <License Number >  
**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL1 Record/ License Value, License Code/License Exemption Code, Input CL2 Record/Export License Number/ CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** X102; X103

**Reason:** The License Code/License Exemption Code indicates a BIS license claim. The license value reported on the CL1 record exceeds 110% of the BIS license value. BIS shipping tolerance limit has been exceeded by a prior transaction or the current transaction. Review other alerts issued for further information.

**Resolution:** The BIS license has been decremented. Verify your proprietary export records and BIS license documentation to ensure no keying errors have been made. For further assistance, the Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation can be reached at 202-482-4933.

**Response Code: 803**

**Narrative Text:** AVAIL BIS LIC VALUE=\$ <Available Balance>  
**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Input CL1 Record/ License Value, License Code/License Exemption Code, Input CL2 Record/Export License Number/CFR Citation/Authorization Symbol/KPC#

**X.12 Segment ID/Data Elements:** L1305; L1306; X102; X103; X107

**Reason:** The License Code/License Exemption Code indicates a BIS license claim. AES is providing the available value remaining on the BIS license.

**Resolution:** For your information only. If the balance provided is in error, please contact the Department of Commerce/Bureau of Industry and Security/Office of Technology Evaluation at 202-482-4933.

**Response Code: 808**

**Narrative Text:** IMPROBABLE DESTINATION FOR COMMODITY  
**Severity:** VERIFY

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**APPENDIX A – Commodity Filing Response Messages**

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code; Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** BA104; L1301; L1302

**Reason:** For the reported Schedule B/HTS Number, the Country of Ultimate Destination Code is improbable.

**Resolution:** Based on historical data and industry input, Census has determined that certain products are highly unlikely to be exported to certain ultimate countries of destination. For example, an export shipment of crude oil from the US to Saudi Arabia is not likely to occur. More likely, the filer has made a reporting error. Verify the Schedule B/HTS classification and the Ultimate Country of Destination Code. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action to the filing is necessary. However, the filer is requested to notify their Census client representative so that the parameter can be adjusted. This will prevent the same verify message from generating on similar future shipments.

**Response Code: 809**

**Narrative Text:** INVALID LICENSE NUMBER FORMAT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2/Export License Number

**X.12 Segment ID/Data Elements:** X102

**Reason:** The license number format for T10 is invalid.

**Resolution:** The case id number format is invalid. For T10 case id must be specified in the required format (CC-two character country code, YYYY-Year, CASENO – case number assigned by OFAC, AMEND- amendment number if the license was amended. Report IA2016123456). See ‘Appendix F, License and License Exemption Type Codes and Reporting Guidelines’.

**Response Code: 821**

**Narrative Text:** SHPING WGT TOO HIGH FOR VESSEL SHPMNT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL2 Record/Shipping Weight

**X.12 Segment ID/Data Elements:** BA103; L1310; L1311

**Reason:** The Mode of Transportation is declared as VESSEL and the reported shipping weight is too high for a vessel shipment.

**Resolution:** Based on historical statistical data and industry input, Census has determined the gross shipping weight in kilograms that can be accommodated when the mode of transportation is reported as vessel. Gross shipping weights outside this established parameter might indicate a keying error or an invalid mode of transportation code. The filer should verify that the gross Shipping Weight is accurately reported in kilograms and that the Mode of Transportation is vessel. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 826**

**Narrative Text:** SHPING WGT TOO HIGH FOR AIR SHPMNT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL2 Record/Shipping Weight

**X.12 Segment ID/Data Elements:** BA103; L1310; L1311

**Reason:** The Mode of Transportation is declared as AIR and the reported shipping weight is too high for an air shipment.

**Resolution:** Based on historical statistical data and industry input, Census has determined the gross shipping weight in kilograms that can be accommodated when the mode of transportation is reported as air. Gross shipping weights outside this established parameter might indicate a keying error or an invalid mode of transportation code. The filer should verify that the gross Shipping Weight is accurately reported in kilograms and that the Mode of Transportation is air. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action is necessary.

**Response Code: 835**

**Narrative Text:** VALUE OF GOODS TOO HIGH FOR COMMODITY

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Value of Goods

**X.12 Segment ID/Data Elements:** L1301; L1302; L1305; L1306

**Reason:** For the reported Schedule B/HTS Number, the Value of Goods is too high for the commodity reported.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared, the value of the goods is higher than expected for the commodity based on historical statistical values for the particular goods. Value of Goods higher than this established parameter may indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify the Value of Goods reported, checking conversion from foreign currency to whole US dollars. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action to the filing is necessary. However, the filer is requested to notify their Census client representative so that the parameter can be adjusted. This will prevent the same verify message from generating on similar future shipments.

**Response Code: 836**

**Narrative Text:** VALUE OF GOODS TOO LOW FOR COMMODITY

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Value of Goods

**X.12 Segment ID/Data Elements:** L1301; L1302; L1305; L1306

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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** For the reported Schedule B/HTS Number, the Value of Goods is too low for the commodity reported.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared, the value of the goods is lower than expected for the commodity based on historical statistical values for the particular goods. Value of Goods lower than this established parameter may indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify the Value of Goods reported, checking conversion from foreign currency to whole US dollars. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action to the filing is necessary. However, the filer is requested to notify their Census client representative so that the parameter can be adjusted. This will prevent the same verify message from generating on similar future shipments.

**Response Code: 837**

**Narrative Text:** QUANTITY 1 TOO HIGH FOR COMMODITY

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Quantity (1)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1304

**Reason:** For the reported Schedule B/HTS Number, the Quantity (1) is too high for the commodity reported.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared; the Quantity (1) is higher than expected for the commodity based on historical statistical data for the particular goods. Quantity (1) higher than this established parameter may indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify that the Quantity (1) is reported in the correct unit of measure and check any conversions to metrics that may have been necessary. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action to the filing is necessary. However, the filer is requested to notify their Census client representative so that the parameter can be adjusted. This will prevent the same verify message from generating on similar future shipments.

**Response Code: 838**

**Narrative Text:** QUANTITY 1 TOO LOW FOR COMMODITY

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Quantity (1)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1304

**Reason:** For the reported Schedule B/HTS Number, the Quantity (1) is too low for the commodity reported.



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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared the Quantity (1) is lower than expected for the commodity based on historical statistical data for the particular goods. Quantity (1) lower than this established parameter may indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify that the Quantity (1) is reported in the correct unit of measure and check any conversions to metrics that may have been necessary. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action to the filing is necessary. However, the filer is requested to notify their Census client representative so that the parameter can be adjusted. This will prevent the same verify message from generating on similar future shipments.

**Response Code: 839**

**Narrative Text:** QUANTITY 2 TOO HIGH FOR COMMODITY

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Quantity (2)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1309

**Reason:** For the reported Schedule B/HTS Number, the Quantity (2) is too high for the commodity reported.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared the Quantity (2) is higher than expected for the commodity based on historical statistical data for the particular goods. Quantity (2) higher than this established parameter may indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify that the Quantity (2) is reported in the correct unit of measure and check any conversions to metrics that may have been necessary. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action to the filing is necessary. However, the filer is requested to notify their Census client representative so that the parameter can be adjusted. This will prevent the same verify message from generating on similar future shipments.

**Response Code: 840**

**Narrative Text:** QUANTITY 2 TOO LOW FOR COMMODITY

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL2 Record/Schedule B/HTS Number, Quantity (2)

**X.12 Segment ID/Data Elements:** L1301; L1302; L1309

**Reason:** For the reported Schedule B/HTS Number, the Quantity (2) is too low for the commodity reported.

**Resolution:** Census has determined that for the particular Schedule B/HTS Number declared the Quantity (2) is lower than expected for the commodity based on historical statistical data for the particular goods. Quantity (2) lower than this

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**APPENDIX A – Commodity Filing Response Messages**

established parameter may indicate either a keying error or misclassification of the product. The filer should verify that the product is classified in the proper Schedule B/HTS Number. Verify that the Quantity (2) is reported in the correct unit of measure and check any conversions to metrics that may have been necessary. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action to the filing is necessary. However, the filer is requested to notify their Census client representative so that the parameter can be adjusted. This will prevent the same verify message from generating on similar future shipments.

**Response Code: 850**

**Narrative Text:** IMPROBABLE FOREIGN/DOMESTIC ORIGIN

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL1 Record/ Foreign/Domestic Origin Indicator; Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** L1301; L1302; X109

**Reason:** For the reported Schedule B/HTS Number, the Domestic/Foreign Origin Indicator is improbable for this commodity.

**Resolution:** Based on historical data and industry input, Census has determined that certain products are highly unlikely to be either of domestic origin or of foreign origin. For example, an export shipment of ‘foreign’ American pima cotton is highly improbable. More likely, the filer has made a reporting error. Verify the Schedule B/HTS classification and the Domestic/Foreign Origin Code. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action to the filing is necessary.

**Response Code: 851**

**Narrative Text:** IMPROBABLE COMMODITY FOR AIR SHPMNT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code, Country of Ultimate Destination Code; Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** BA103; BA104; L1301; L1302

**Reason:** For the reported Schedule B/HTS Number, a Mode of Transportation of AIR is improbable for this commodity.

**Resolution:** Based on historical data and industry input, Census has determined that certain products are highly unlikely to be exported with a mode of transportation air. For example, an export shipment of coal is highly improbable to be transported by air. More likely, the filer has made a reporting error. Verify the Schedule B/HTS classification and the Mode of Transportation Code. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action to the filing is necessary.

**Response Code: 853**

**Narrative Text:** IMPROBABLE DESTINATION FOR MILITARY GDS

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**APPENDIX A – Commodity Filing Response Messages**

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination Code; Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** BA104; L1301; L1302

**Reason:** For the reported Schedule B/HTS Number, the Country of Ultimate Destination Code for this commodity is improbable.

**Resolution:** Based on historical data and industry input, Census has determined that certain military goods are highly unlikely to be exported to certain ultimate countries of destination. Export shipments of these types of commodities to this particular country of destination is not probable. More likely, the filer has made a reporting error. Verify the Schedule B/HTS classification and the Ultimate Country of Destination Code. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action to the filing is necessary.

**Response Code: 854**

**Narrative Text:** IMPROBABLE COMMODITY FOR MAIL SHPMNT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input SC1 Record/Mode of Transportation Code; Input CL2 Record/Schedule B/HTS Number

**X.12 Segment ID/Data Elements:** BA103; L1301; L1302

**Reason:** For the reported Schedule B/HTS Number, a Mode of Transportation of MAIL is improbable for this commodity.

**Resolution:** Based on historical data and industry input, Census has determined that certain products are highly unlikely to be exported with a mode of transportation mail. For example, an export shipment of coal is highly improbable to be transported by mail. More likely, the filer has made a reporting error. Verify the Schedule B/HTS classification and the Mode of Transportation Code. Any reporting errors must be corrected and retransmitted. If the line item is verified correct as reported, no action to the filing is necessary.

**Response Code: 855**

**Narrative Text:** FOREIGN ORIGIN VERSUS IN-TRANSIT

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** Input CL1 Record/Foreign/Domestic Origin Indicator

**X.12 Segment ID/Data Elements:** X109

**Reason:** The Domestic/Foreign Origin Indicator has been declared as 'F', indicating that merchandise reported on the EEI is of foreign origin. Historically, filers have erroneously reported a EEI (Commerce Form 7525-V, Electronic Export Information) or an AES EEI, marking a commodity as foreign origin when in fact the shipment was an in-transit shipment and NOT ALLOWED to be filed in AES. This error will be generated only if the mode of transportation is vessel.

**Resolution:** If your merchandise is an in-transit export that is NOT ALLOWED to be filed in AES, cancel the EEI using the 'cancel' filing action code. Your

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shipment is an in-transit export that is NOT ALLOWED to be filed in AES if it is: 1) exempt from filing under FTR 30.37 (e) or 2) reportable to the U.S. Army Corps of Engineers on ENG Form 7513, Shipper's Export Declaration for In-transit Goods.

If your merchandise is an in-transit that is ALLOWED to be filed in AES or otherwise verified to be of foreign origin, no further action is necessary. Your shipment is an in-transit export that is ALLOWED to be filed in AES *if and only if* the shipment was first entered into the United States on a formal entry (either Customs Form 7501 or an ABI filing) and the entered merchandise is then exported. If the line item is not foreign origin merchandise, change the Domestic/Foreign Indicator to 'D' and resubmit as a correction.

**Response Code: 856**

**Narrative Text:** IMPROBABLE ISO

**Severity:** VERIFY

**Proprietary Record/ID/Data Elements:** Input SC1 Record/Country of Ultimate Destination

**X.12 Segment ID/Data Elements:** BA104

**Reason:** The ISO reported may or may not be valid for the country of destination.

**Resolution:** Verify the ISO code entered is the correct ISO code for the country of destination. Consult Appendix C of the AESTIR to determine the appropriate ISO code. For further assistance, contact your client representative.

To read FTR 30.37(e) go to:

<http://www.census.gov/foreign-trade/regulations/regs/regulations20080602-federalregister.pdf>

For complete instructions and an electronic version of the ENG Form 7513 go to: <http://www.iwr.usace.army.mil/ndc/usforeign/index.htm> or contact 703-428-6495 for assistance.

**Response Codes 857-899** <Reserved>

**Final Dispositions**

**Response Codes 901-959** <Reserved>

**Response Code: 900**

**Narrative Text:** WARN; AEI FILNG NOTRCVD 5 DAYS OF XPRT.

**Severity:** WARNING

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** A full filing must be received within 5 days of date of export.

**Resolution:** A FULL filing is required to be filed 5 days of the date of export to be allowed to file AEI (Advanced Export Information Program).

**Response Code: 960**

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**APPENDIX A – Commodity Filing Response Messages**

**Narrative Text:** BATCH REJECTED, RESOLVE AND RETRANSMIT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** A-Z Batch Envelope

**X.12 Segment ID/Data Elements:** ISA segment

**Reason:** An invalid batch condition was encountered. See the ES1 record(s) for details on the specific error condition(s) encountered.

**Resolution:** When an invalid batch condition is encountered, only batch related conditions are returned. An invalid batch condition results in ALL enclosed B-Y envelopes (and ALL commodity shipment transaction enclosed within each B-Y envelop) being ignored. The validity of any B-Y envelope (and any data enclosed within) is NOT determined. **MUST resolve the batch conditions and retransmit. If filing PreDeparture shipments, batch conditions must be resolved and retransmitted prior to export.** Failure to respond to batch condition messages or otherwise transmit corrections to AES constitutes a violation of the provisions of the Foreign Trade Statistical Regulations and could result in delayed shipments or penalties. For assistance, contact your client representative.

**Response Code: 965**

**Narrative Text:** BLOCK REJECTED; RESOLVE AND RETRANSMIT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** B-Y Envelope

**X.12 Segment ID/Data Elements:** N1 segment

**Reason:** An invalid block condition was encountered. See the ES1 record(s) for details on the specific error condition(s) encountered.

**Resolution:** When an invalid block condition is encountered, only block related conditions are returned. An invalid block condition results in ALL enclosed commodity shipment transactions being ignored. Any subsequent ‘block’ however, will be edited for validity (i.e., the disposition of a single block has NO effect on any subsequent block filed within the same batch). **MUST resolve the block conditions and retransmit. If filing PreDeparture shipments, block conditions must be resolved and retransmitted prior to export.** Failure to respond to block condition messages or otherwise transmit corrections to AES constitutes a violation of the provisions of the Foreign Trade Statistical Regulations and could result in delayed shipments or penalties. For assistance, contact your client representative.

**Response Code: 970**

**Narrative Text:** SHIPMENT REJECTED; RESOLVE & RETRANSMIT

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Commodity Shipment Transaction (begins with SC1 Record)

**X.12 Segment ID/Data Elements:** BA1 loop

**Reason:** An ‘unrecognized’ shipment transaction was encountered. See the ES1 record(s) for specific details on the error condition(s) encountered.

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**APPENDIX A – Commodity Filing Response Messages**

**Resolution:** An ‘unrecognized’ commodity shipment transaction condition results in only that ‘shipment’ being ignored. Any subsequent SC1 groupings in the block shall be edited for validity. (i.e., the disposition of a single shipment transaction has NO effect on any subsequently shipment transactions filed within the same block). **All shipment transaction conditions MUST be resolved and retransmitted. If filing PreDeparture shipments, all shipment transaction conditions must be resolved and retransmitted prior to export.** Failure to respond to shipment condition messages or otherwise transmit corrections to AES constitutes a violation of the provisions of the Foreign Trade Statistical Regulations and could result in delayed shipments or penalties. For assistance, contact your client representative.

**Response Code: 971**

**Narrative Text:** SHIPMENT ADDED; MUST CORRECT WARNINGS

**Severity:** WARNING

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** One or more data elements reported for the shipment are incomplete or conflicting. AES accepts the information reported to accommodate the timely export of cargo.

**Resolution:** Correct the warning condition and retransmit the shipment data within 4 days.

**Response Code: 972**

**Narrative Text:** SHIPMENT ADDED; MUST VERIFY

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** One or more data values reported for the shipment fall outside of parameters normally expected for the data element(s). AES accepts the information reported to accommodate the timely export of cargo.

**Resolution:** Verify the information identified by the condition message. Correct if appropriate and retransmit the shipment. If the data element(s) in question are verified correct as reported, no action is required.

**Response Code: 973**

**Narrative Text:** SHIPMENT ADDED; COMPLIANCE ALERT

**Severity:** COMPLIANCE ALERT

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** A possible reporting compliance violation has occurred. AES accepts the information reported to accommodate the timely export of cargo.

**Resolution:** No action required. Review filing practices and take steps to ensure future export information reporting compliance.

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**APPENDIX A – Commodity Filing Response Messages****Response Code: 974****Narrative Text:** SHIPMENT ADDED**Severity:** INFORMATIONAL**Proprietary Record ID/Data Elements:** N/A**X.12 Segment ID/Data Elements:** N/A**Reason:** The shipment has been accepted without condition(s).**Resolution:** N/A**Response Code: 975****Narrative Text:** SHIPMENT REPLACED; MUST CORRECT WARNINGS**Severity:** WARNING**Proprietary Record ID/Data Elements:** N/A**X.12 Segment ID/Data Elements:** N/A**Reason:** One or more data elements reported for the shipment are incomplete or conflicting. AES accepts the information reported to accommodate the timely export of cargo.**Resolution:** Correct the warning condition and retransmit the shipment data within 4 days.**Response Code: 976****Narrative Text:** SHIPMENT REPLACED; MUST VERIFY**Severity:** VERIFY**Proprietary Record ID/Data Elements:** N/A**X.12 Segment ID/Data Elements:** N/A**Reason:** One or more data values reported for the shipment fall outside of parameters normally expected for the data element(s). AES accepts the information reported to accommodate the timely export of cargo.**Resolution:** Verify the information identified by the condition message. Correct if appropriate and retransmit the shipment. If the data element(s) in question are verified correct as reported, no action is required.**Response Code: 977****Narrative Text:** SHIPMENT REPLACED; COMPLIANCE ALERT**Severity:** COMPLIANCE ALERT**Proprietary Record ID/Data Elements:** N/A**X.12 Segment ID/Data Elements:** N/A**Reason:** A possible reporting compliance violation has occurred. AES accepts the information reported to accommodate the timely export of cargo.**Resolution:** No action required. Review filing practices and take steps to ensure future export information reporting compliance.**Response Code: 978****Narrative Text:** SHIPMENT REPLACED**Severity:** INFORMATIONAL**Proprietary Record ID/Data Elements:** N/A

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**APPENDIX A – Commodity Filing Response Messages**

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The shipment has been accepted without condition(s).

**Resolution:** N/A

**Response Code: 979**

**Narrative Text:** SHIPMENT CHANGED; MUST CORRECT WARNINGS

**Severity:** WARNING

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** One or more data elements reported for the shipment are incomplete or conflicting. AES accepts the information reported to accommodate the timely export of cargo.

**Resolution:** Correct the warning condition and retransmit the shipment data within 4 days.

**Response Code: 97H**

**Narrative Text:** SHIPMENT ON HOLD

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The shipment has been put on HOLD in AES.

**Resolution:** The shipment is placed on hold by CBP for further inspection or missing documentation. Contact the CBP port at xxx-xxx-xxxx with your ITN information for further instructions on how to resolve the issue.

**Response Code: 97R**

**Narrative Text:** SHIPMENT HOLD RELEASED

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The shipment on hold has been released.

**Resolution:** The hold placed on the shipment has been released. The referenced shipment can be exported.

**Response Code: 980**

**Narrative Text:** SHIPMENT CHANGED; MUST VERIFY

**Severity:** VERIFY

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A



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**APPENDIX A – Commodity Filing Response Messages**

**Reason:** One or more data values reported for the shipment fall outside of parameters normally expected for the data element(s). AES accepts the information reported to accommodate the timely export of cargo.

**Resolution:** Verify the information identified by the condition message. Correct if appropriate and retransmit the shipment. If the data element(s) in question are verified correct as reported, no further action is required.

**Response Code: 981**

**Narrative Text:** SHIPMENT CHANGED; COMPLIANCE ALERT

**Severity:** COMPLIANCE ALERT

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** A possible reporting compliance violation has occurred. AES accepts the information reported to accommodate the timely export of cargo.

**Resolution:** No action required. Review filing practices and take steps to ensure future export information reporting compliance.

**Response Code: 982**

**Narrative Text:** SHIPMENT CHANGED

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The shipment has been accepted without condition(s).

**Resolution:** N/A

**Response Code: 983**

**Narrative Text:** SHIPMENT CANCELLED

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The shipment has been cancelled in AES.

**Resolution:** N/A

**Response Code: 984**

**Narrative Text:** REMINDER – MUST CORRECT WARNINGS

**Severity:** WARNING

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** The filer is reminded that one or more data elements reported for the shipment were incomplete or conflicting. AES accepted the information reported to accommodate the timely export of cargo. However, the warning condition(s) must be corrected and the shipment retransmitted.

**Resolution:** Correct the warning condition(s) and retransmit the shipment data.

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**APPENDIX A – Commodity Filing Response Messages****Undetermined Condition****Response Code: 996**

**Narrative Text:** NON-STANDARD DATA FOUND: nnnnnn / nn

**Severity:** INFORMATIONAL

**Proprietary Record ID/Data Elements:** Any input record

**X.12 Segment ID/Data Elements:** Any segment

**Reason:** AES has encountered data that does not conform to the data classes specified in the Record Layout Key in the AESTIR, Part II, Section 1 (a) at the specific offset identified. ‘nnnnnn’ is the relative position of the 80-byte proprietary record found in the batch that the first instance of non-standard data was encountered. ‘nn’ is the relative position within that 80-byte proprietary record that the first instance of non-standard data was encountered.

**Resolution:** Ensure that all data values (including filler if using the proprietary record format) are characters that can be found on a standard keyboard. In a proprietary filing, do not transmit low-values, carriage return characters, or any other non-displayable character.

**Response Code: 997**

**Narrative Text:** FILING CONTAINS NON-STANDARD DATA

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** Any input record

**X.12 Segment ID/Data Elements:** Any segment

**Reason:** AES has encountered data that does not conform to the data classes specified in the Record Layout Key in the AESTIR, Part II, Section 1 (a). AES shall no longer accept any character not found on a standard keyboard in a filing.

**Resolution:** Ensure that all data values (including filler if using the proprietary record format) are characters that can be found on a standard keyboard. In a proprietary filing, do not transmit low-values, carriage return characters, or any other non-displayable character.

**Response Code: 998**

**Narrative Text:** UNIDENTIFIED CONDITION: <Condition Code>

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** Unidentified condition.

**Resolution:** Contact your client representative.

**Response Code: 999**

**Narrative Text:** UNDETERMINED ERR CONTACT CBP CLIENT REP

**Severity:** FATAL

**Proprietary Record ID/Data Elements:** N/A

**X.12 Segment ID/Data Elements:** N/A

**Reason:** Undetermined.

## APPENDIX A – Commodity Filing Response Messages

**Resolution:** Contact your CBP client representative.

**Table A: Commodity Response Code List**

Response Code	Severity	Narrative Text
		<b>Batch and Block Conditions</b>
001	FATAL	BATCH CONTROL MISSING - Z RECORD
002	FATAL	HEADER FILER ID MUST BE NUMERIC
003	FATAL	TRAILER FILER ID MUST BE NUMERIC
004	FATAL	FILER/TRANSMITTER NOT AUTHORIZED TO SEND
005	FATAL	HEADER APPLICATION ID MUST BE XP
006	FATAL	TRAILER APPLICATION ID MUST BE XP
007	FATAL	HEADER FILER ID TYPE MUST BE E, D
008	FATAL	TRAILER FILER ID TYPE MUST BE E, D
009	FATAL	FILER ID TYPE / PROFILE CONFLICT
010	FATAL	DEC IND MUST BE Y OR N
011	FATAL	DEC CLAIM NOT ALLOWED BY FILER
012	FATAL	FILER HAS BEEN INACTIVATED
013	FATAL	HEADER TRANSMITTER DATE UNKNOWN
014	FATAL	TRAILER TRANSMITTER DATE UNKNOWN
015	FATAL	A-Z RECORD NO MATCH: FILER ID
016	FATAL	A-Z RECORD NO MATCH: FILER ID TYPE
017	FATAL	A-Z RECORD NO MATCH: APPLICATION ID
018	FATAL	A-Z RECORD NO MATCH: TRANSMITTER DATE
019	FATAL	A-Z RECORD NO MATCH: BATCH CONTROL NBR
020	FATAL	A-Z RECORD NO MATCH: TRANSMITTER ID
021	FATAL	> 999 BLOCKS SUBMITTED
022	FATAL	BLOCK CONTROL MISSING - B RECORD
023	FATAL	BLOCK CONTROL MISSING - Y RECORD
024	FATAL	HEADER USPPI ID TYPE MISSING
025	FATAL	TRAILER USPPI ID TYPE MISSING
026	FATAL	HEADER USPPI ID TYP MUST BE E, D, T
027	FATAL	TRAILER USPPI ID TYP MUST BE E, D, T
028	FATAL	HEADER USPPI ID MISSING
029	FATAL	TRAILER USPPI ID MISSING
030	FATAL	HEADER USPPI ID MUST BE NUMERIC
031	FATAL	TRAILER USPPI ID MUST BE NUMERIC
032	FATAL	HEADER USPPI ID INELIGIBLE
033	FATAL	TRAILER USPPI ID INELIGIBLE
034	FATAL	HEADER USPPI EIN LOCATION INVALID
035	FATAL	TRAILER USPPI EIN LOCATION INVALID
036	FATAL	HEADER USPPI LOCATN NOT ALLWED FOR TYPE
037	FATAL	TRAILER USPPI LOCATN NOT ALLWED FOR TYPE
038	FATAL	HEADER USPPI CONTAINS LEADING SPACES
039	FATAL	TRAILER USPPI CONTAINS LEADING SPACES
040	FATAL	HEADER USPPI NAME MISSING
041	FATAL	TRAILER USPPI NAME MISSING
042	FATAL	HEADER USPPI NAME CONTAINS LEADING SPCS
043	FATAL	TRAILER USPPI NAME CONTAINS LEADING SPCS
044	FATAL	HEADER USPPI NAME INELIGIBLE
045	FATAL	TRAILER USPPI NAME INELIGIBLE
046	FATAL	HEADER USPPI ID CANNOT = FLR ID FOR DEC

## APPENDIX A – Commodity Filing Response Messages

Response Code	Severity	Narrative Text
047	FATAL	TRAILER USPPI ID CANNOT = FLR ID FOR DEC
048	FATAL	B-Y RECORD NO MATCH: USPPI ID
049	FATAL	B-Y RECORD NO MATCH: USPPI ID TYPE
05A	FATAL	FILER ID TYPE 'S' NO LONGER ACCEPTED
050	FATAL	B-Y RECORD NO MATCH: USPPI NAME
051	FATAL	> 999 TRANSACTIONS SUBMITTED
052	FATAL	MISSING SC1 RECORD
053		<Reserved for internal use only>
054		<Reserved for internal use only>
055	INFORMATIONAL	USPPI ID/TYPE: -USPPI ID/Type-
056	INFORMATIONAL	SHIPMENT REFERENCE NBR:-Shipment Ref Number-
057	FATAL	HEADER FILER ID MUST BE NUMERIC
058	FATAL	TRAILER FILER ID MUST BE NUMERIC
<b>Shipment Transaction Conditions</b>		
06A	FATAL	OPT 3 (AEI) FILING CURRENTLY NOT ACTIVE
06B	FATAL	FILING TYPE REQUIRED WHEN FILING OPT 3
06C	FATAL	FILNG OPT IND NOT ALLOWD TO CHG
06D	FATAL	AEI F FILNG PREV RECVD;P FILNG NOT VALID
06E	FATAL	DDTC RECORD NOT ALLOWED - OPTION 3 (AEI)
06F	FATAL	SCHED B/HTS NBR NOT VALID FOR AEI FILNG
06G	FATAL	'S' LIC TYPE CODE NOT ALLOWD - AEI
06H	FATAL	AEI PRIVILEGE NOT YET ACTIVE FOR USPPI
06I	FATAL	RECORD OUT OF SEQUENCE
06J	FATAL	UNKNOWN RECORD ID FOUND IN GROUPING
06K	FATAL	RQSTD SHPMNT ACTN MUST BE A, C, R, OR X
06L	FATAL	SHIPMENT REFERENCE NBR MISSING
06M	FATAL	SHIPMENT REFERENCE NBR CONTAINS SPACES
06N	FATAL	FILING OPT IND MUST BE 2 OR 4
06P	FATAL	LICENSE VALUE AMOUNT MUST BE REPORTED & GT ZERO
06Q	FATAL	SHIPMENT NOT ON FILE; ACTION NOT ALLOWED
06R	FATAL	SHIPMENT CANCELLED; ACTION NOT ALLOWED
06S	FATAL	PARTY TYPE MUST BE E, F, C, OR I
06T	FATAL	DUPLICATE PARTY TYPE ENCOUNTERED
06U	FATAL	SHIPMENT CANNOT BE CORRECTED
06V	FATAL	SHIPMENT CANNOT BE CANCELLED
06W	FATAL	EXTRANEIOUS DATA CANNOT FOLLOW FOR DELETE
06X	FATAL	SRN ON FILE; ACTION NOT ALLOWED
06Y	COMPLIANCE	USPPI CHANGED POST DEPARTURE
06Z	FATAL	COMMODITY LINE ITEM MISSING
070	FATAL	LINE ACTION MUST BE ADD
071	FATAL	LICENSE VALUE CONTAINS NON-NUMERICS
072	FATAL	LINE NBR NOT IN ASCENDING SEQUENCE
073	FATAL	OPT 4 PRIVILEGE NOT YET ACTIVE FOR USPPI
074	FATAL	USPPI NOT OPT 4 ELIGIBLE
075	FATAL	USPPI'S OPT 4 PRIVILEGE DENIED
076	FATAL	USPPI'S OPT 4 PRIVILEGE REVOKED
077	FATAL	RQSTD LINE ACTION MUST BE A, C, OR D
078	FATAL	LINE NBR MISSING
079	FATAL	LINE NBR MUST BE NUMERIC
080	FATAL	LINE ON FILE; ACTION NOT ALLOWED

## APPENDIX A – Commodity Filing Response Messages

Response Code	Severity	Narrative Text
089	FATAL	LINE NOT ON FILE; ACTION NOT ALLOWED
090	FATAL	LINE CANNOT BE CORRECTED
091	FATAL	LINE CANNOT BE DELETED
092	FATAL	ACTION WOULD DELETE LAST LINE
093	FATAL	EXTRANEIOUS DATA CANNOT FOLLOW FOR CANCEL
094	FATAL	> 999 TRANSPORTATION DETAILS SUBMITTED
095	FATAL	> 999 LINE ITEM GROUPINGS SUBMITTED
096	FATAL	> 999 USED VEHICLES DETAILS SUBMITTED
097	FATAL	> 999 LINE ITEMS FOUND - NOT ALLOWED
	FATAL	<b>Shipment EEI Reporting Conditions</b>
100	FATAL	EST DATE OF EXPORT MISSING
101	FATAL	EST DATE OF EXPORT UNKNOWN
102	FATAL	EST DATE OF EXPORT MUST BE GT 5/31/1995
103	FATAL	EST DATE OF EXPORT > 120 DAYS IN FUTURE
104	FATAL	MODE OF TRANSPORTATION MISSING
105	FATAL	MODE OF TRANSPORTATION UNKNOWN
106	FATAL	COUNTRY OF ULT DESTINATION MISSING
107	FATAL	COUNTRY OF ULT DESTINATION UNKNOWN
108	FATAL	PR TO US SHIPMENT NOT ALLOWED FOR MOT
109	FATAL	STATE OF ORIGIN MISSING
110	FATAL	STATE OF ORIGIN UNKNOWN
111	FATAL	ST OF ORIGIN MUST BE 'PR'
112	FATAL	ST OF ORIGIN MUST BE A US ST CD
113	FATAL	ST OF ORIGIN MUST BE A US ST CD OR 'PR'
114	FATAL	HAZMAT INDICATOR MISSING
115	FATAL	HAZMAT INDICATOR MUST BE Y OR N
116	FATAL	RELATED COMPANY INDICATOR MISSING
117	FATAL	RELATED COMPANY INDICATOR MUST BE Y OR N
118	FATAL	CARRIER CODE MISSING
119	FATAL	CARRIER CODE NOT ALLOWED FOR MOT
120	FATAL	CARRIER UKNOWN
121	FATAL	CARRIER CODE MUST BE 2-CHAR OR 3-LETTER
122	FATAL	CARRIER CODE IS OUTDATED
123	FATAL	CONVEYANCE NAME MISSING
124	FATAL	CONVEYANCE NAME CONTAINS LEADING SPACES
125	FATAL	CONVEYANCE NAME INELIGIBLE
126	FATAL	CONVEYANCE NAME NOT ALLOWED FOR MOT
127	FATAL	PORT OF EXPORT MISSING
128	FATAL	PORT OF EXPORT UNKNOWN
129	FATAL	MAIL PORT OF EXPORT NOT ALLOWED FOR MOT
130	FATAL	PORT OF EXPORT MUST BE A VESSEL PORT
131	FATAL	PORT OF EXPORT MUST BE A RAIL PORT
132	FATAL	PORT OF EXPORT MUST BE A ROAD PORT
133	FATAL	PORT OF EXPORT MUST BE AN AIR PORT
134	FATAL	PORT OF EXPORT MUST BE A FIXED PORT
135	FATAL	US TO PR REQUIRES US PORT OF EXPORT
136	FATAL	PR TO US REQUIRES PR PORT OF EXPORT
137	FATAL	PORT OF EXPORT NOT ALLOWED FOR MOT
138	FATAL	PORT OF UNLADING MISSING
139	FATAL	PORT OF UNLADING CANNOT BE USED
140	FATAL	PORT OF UNLADING UNKNOWN

## APPENDIX A – Commodity Filing Response Messages

Response Code	Severity	Narrative Text
141	FATAL	PORT OF UNLADING NOT ALLOWED FOR MOT
142	FATAL	PR TO US REQUIRES US PORT OF UNLADING
143	FATAL	PORT OF UNLADING MUST BE A VESSEL PORT
144	FATAL	PORT OF UNLADING MUST BE AN AIR PORT
145	VERIFY	SANCTIONED COUNTRY: -Country Name-
146	FATAL	US TO PR REQUIRES PR PORT OF UNLADING
147	FATAL	ROUTED EXPORT INDICATOR MISSING
148	FATAL	ROUTED EXPORT INDICATOR MUST BE Y OR N
149	FATAL	INBOND CODE MISSING
15A	INFORMATIONAL	FTZ MUST BE 3 NUM (VALID ZONE) & 4 ANUM
15B	FATAL	FTZ CANNOT HAVE TRAILING SPACES
150	FATAL	INBOND CODE UNKNOWN
151	FATAL	ENTRY NBR CONTAINS LEADING/EMBED SPACES
152	FATAL	ENTRY NBR MUST BE AT LEAST 9 CHARS
153	FATAL	ENTRY NBR INELIGIBLE
154	FATAL	ENTRY NBR MISSING FOR INBOND MOVEMENT
155	FATAL	FTZ CONTAINS LEADING/EMBEDDED SPACES
156	FATAL	FTZ MISSING FOR INBOND MOVEMENT
157	FATAL	FTZ NOT ALLOWED - NOT INBOND FROM FTZ
158	FATAL	EQUIP NBR CONTAINS LEADING/EMBED SPACES
159	FATAL	EQUIPMENT NBR INELIGIBLE
160	FATAL	DUPLICATE EQUIPMENT NBR ENCOUNTERED
161	FATAL	EQUIPMENT NBR NOT ALLOWED FOR MOT
162	FATAL	SEAL NBR CONTAINS LEADING/EMBED SPACES
163	FATAL	SEAL NBR INELIGIBLE
164	FATAL	DUPLICATE SEAL NBR ENCOUNTERED
165	FATAL	SEAL NBR NOT ALLOWED FOR MOT
166	FATAL	TRANS REF NBR MISSING
167	FATAL	TRANS REF NBR CONTAINS LEADING/EMBED SP
168	FATAL	TRANS REF NBR INELIGIBLE
169	FATAL	> 1 TRANS REF NBR ENCOUNTERED
170	FATAL	AIR WAYBILL FORMAT: NNN-NNNNNNNN
171	FATAL	TRANS REF NBR NOT ALLOWED FOR MOT
172	FATAL	AT LEAST 1 CONDITIONAL ELEMENT REQUIRED
173	FATAL	COUNTRY OF ULT DESTINATION OUTDATED
174	FATAL	UNKNOWN CARRIER NOT ALLOWED FOR MOT
175	FATAL	FLY-AWAY MUST BE MOT = 40
176	INFORMATIONAL	DDTC LIC NOW EXHAUSTED: -License Type/Number-
177	INFORMATIONAL	ORIG TO BE LODGD W/CBP: -License Type/Number-
178	INFORMATIONAL	S94 ONLY DOCS TO BE PRVD TO CBP: -License Type/Number-
179		< RESERVED >
		<b>Party Reporting Conditions</b>
226	FATAL	USPPI PARTY MISSING
227	FATAL	AUTHORIZED AGENT PARTY MISSING
228	FATAL	ULTIMATE CONSIGNEE PARTY MISSING
229	FATAL	SOLD EN ROUTE NOT APPLICABLE FOR PARTY
230	FATAL	IRS ID TYPE NOT APPLICABLE FOR PARTY
231	FATAL	IRS ID NBR NOT APPLICABLE FOR PARTY
232	FATAL	USPPI MUST MATCH BLOCK USPPI

## APPENDIX A – Commodity Filing Response Messages

Response Code	Severity	Narrative Text
233	FATAL	USPPI CONTACT LAST NAME MISSING
234	FATAL	USPPI CONTACT LAST NM CNTNS LEAD SPACES
235	FATAL	USPPI CONTACT LAST NM INELIGIBLE
236	FATAL	USPPI CONTACT 1ST NM CNTNS LEAD SPACES
237	FATAL	USPPI CONTACT 1ST NM INELIGIBLE
238	FATAL	USPPI ADDR LINE 1 MISSING
239	FATAL	USPPI ADDR LINE 1 CONTAINS LEAD SPACES
240	FATAL	USPPI ADDR LINE 1 INELIGIBLE
241	FATAL	USPPI ADDR LINE 2 CONTAINS LEAD SPACES
242	FATAL	USPPI ADDR LINE 2 INELIGIBLE
243	FATAL	USPPI CONTACT PHONE# MISSING
244	FATAL	USPPI CONTACT PHONE# FORMAT: NNNNNNNNNN
245	FATAL	USPPI CONTACT PHONE# INELIGIBLE
246	FATAL	USPPI CITY MISSING
247	FATAL	USPPI CITY CONTAINS LEADING SPACES
248	FATAL	USPPI CITY INELIGIBLE
249	FATAL	USPPI COUNTRY MISSING
25A	FATAL	USPPI ID TYPE 'S' NO LONGER ACCEPTED
25B	FATAL	ULT CONS COUNTRY CANNOT BE US
250	FATAL	USPPI COUNTRY MUST BE US
251	FATAL	USPPI STATE MISSING
252	FATAL	USPPI STATE UNKNOWN
253	FATAL	USPPI POSTAL CODE MISSING
254	FATAL	USPPI POSTAL CODE MUST BE NUMERIC
255	FATAL	LICENSE VALUE AMT CANNOT EXCEED \$999,999,999
256	FATAL	USPPI POSTAL CODE NOT VALID FOR STATE
257	FATAL	USPPI IRS ID TYPE MISSING
258	FATAL	USPPI IRS ID TYPE MUST BE E
259	FATAL	USPPI IRS ID TYPE NOT ALLOWED
26A	FATAL	AUTH AGT ID TYPE 'S' NO LONGER ACCEPTED
26B	FATAL	USPPI IRS ID TYPE 'S' NO LONGER ACCEPTED
26C	COMPLIANCE ALERT	STATE OF ORIGIN / USPPI STATE MISMATCH
260	FATAL	USPPI IRS NBR MISSING
261	FATAL	USPPI IRS NBR MUST BE NUMERIC
262	FATAL	USPPI IRS NBR INELIGIBLE
263	FATAL	USPPI IRS NBR NOT ALLOWED
264	FATAL	AUTH AGT ID TYPE MISSING
265	FATAL	AUTH AGT ID TYPE MUST BE E OR D
266	FATAL	AUTH AGT PARTY ID MISSING
267	FATAL	AUTH AGT PARTY ID MUST BE NUMERIC
268	FATAL	AUTH AGT PARTY ID MUST BE NUMERIC
269	FATAL	AUTH AGT EIN LOCATION INVALID
270	FATAL	AUTH AGT LOCATION NOT ALLOWED FOR TYPE
271	FATAL	AUTH AGT PARTY NAME MISSING
272	FATAL	AUTH AGT PARTY NAME CONTAINS LEAD SPACES
273	FATAL	AUTH AGT PARTY NAME INELIGIBLE
274	FATAL	AUTH AGT CNTCT LAST NM CNTNS LEAD SPACES
275	FATAL	AUTH AGT CONTACT LAST NM INELIGIBLE
276	FATAL	AUTH AGT 1ST NM REPORTED W/O LAST NAME
277	FATAL	AUTH AGT CNTCT 1ST NM CNTNS LEAD SPACES

## APPENDIX A – Commodity Filing Response Messages

Response Code	Severity	Narrative Text
278	FATAL	AUTH AGT CNTCT 1ST NM INELIGIBLE
279	FATAL	AUTH AGT ADDR LINE 1 MISSING
280	FATAL	AUTH AGT ADDR LINE 1 CONTAINS LEAD SPACES
281	FATAL	AUTH AGT ADDR LINE 1 INELIGIBLE
282	FATAL	AUTH AGT ADDR LINE 2 CONTAINS LEAD SPACES
283	FATAL	AUTH AGT ADDR LINE 2 INELIGIBLE
284	FATAL	AUTH AGT CONTACT PHONE # MISSING
285	FATAL	AUTH AGT CONTACT PH# FORMAT: NNNNNNNNNN
286	FATAL	AUTH AGT CONTACT PHONE # INELIGIBLE
287	FATAL	AUTH AGT CITY MISSING
288	FATAL	AUTH AGT CITY CONTAINS LEADING SPACES
289	FATAL	AUTH AGT CITY INELIGIBLE
290	FATAL	AUTH AGT COUNTRY MISSING
291	FATAL	AUTH AGT COUNTRY MUST BE US
292	FATAL	AUTH AGT STATE MISSING
293	FATAL	AUTH AGT STATE UNKNOWN
294	FATAL	AUTH AGT POSTAL CODE MISSING
295	FATAL	AUTH AGT POSTAL CODE MUST BE NUMERIC
296	FATAL	Original ITN NOT FOUND
297	FATAL	AUTH AGT POSTAL CODE NOT VALID FOR STATE
298	FATAL	AUTH AGT NOT PREVIOUSLY REPORTED
299	FATAL	AUTH AGT NAME NOT ALLOWED
300	FATAL	AUTH AGT CNTCT LAST NAME NOT ALLOWED
301	FATAL	AUTH AGT CNTCT 1ST NAME NOT ALLOWED
302	FATAL	TO BE SOLD EN ROUTE IND MISSING
303	FATAL	TO BE SOLD EN ROUTE IND MUST BE Y OR N
304	FATAL	ULT CONS ID TYPE MUST BE E, D, OR SPCE
305	FATAL	ULT CONS PARTY ID MUST BE NUMERIC
306	FATAL	ULT CONS PARTY ID INELIGIBLE
307	FATAL	ULT CONS EIN LOCATION INVALID
308	FATAL	ULT CONS ID REPORTED W/O TYPE
309	FATAL	ULT CONS PARTY ID MISSING
310	FATAL	ULT CONS LOCATION NOT ALLOWED FOR TYPE
311	FATAL	ULT CONS PARTY NAME MISSING
312	FATAL	ULT CONS NAME CANNOT BE 'SOLD EN ROUTE'
313	FATAL	ULT CONS PARTY NAME CONTAINS LEAD SPACES
314	FATAL	ULT CONS PARTY NAME INELIGIBLE
315	FATAL	ULT CONS CNTCT LAST NM CNTNS LEAD SPACES
316	FATAL	ULT CONS CONTACT LAST NM INELIGIBLE
317	FATAL	ULT CONS CNTCT 1ST NM CNTNS LEAD SPACES
318	FATAL	ULT CONS 1ST NAME REPORTED W/O LAST NAME
319	FATAL	ULT CONS CONTACT 1ST NM INELIGIBLE
320	FATAL	ULT CONS ADDR LINE 1 MISSING
321	FATAL	ULT CONS ADDR LINE 1 CONTAINS LEAD SPACES
322	FATAL	ULT CONS ADDR LINE 1 INELIGIBLE
323	FATAL	ULT CONS ADDR LINE 2 CONTAINS LEAD SPACES
324	FATAL	ULT CONS ADDR LINE 2 INELIGIBLE
325	FATAL	ULT CONS CONTACT PH# MUST BE NUMERIC
326	FATAL	ULT CONS CONTACT PHONE# INELIGIBLE
327	FATAL	ULT CONS CITY MISSING
328	FATAL	ULT CONS CITY CONTAINS LEADING SPACES



## APPENDIX A – Commodity Filing Response Messages

Response Code	Severity	Narrative Text
329	FATAL	ULT CONS CITY INELIGIBLE
330	FATAL	ULT CONS COUNTRY MISSING
331	FATAL	ULT CONS COUNTRY UNKNOWN
332	FATAL	ULT CONS COUNTRY OUTDATED
333	FATAL	ULT CONS STATE UNKNOWN
334	FATAL	ULT CONS STATE MUST BE A US STATE CD
335	FATAL	ULT CONS STATE MUST BE AN MX STATE CD
336	FATAL	ULT CONS STATE CANNOT BE REPORTED
337	FATAL	ULT CONS POSTAL CODE CNTNS LEAD SPACES
338	FATAL	ULT CONS POSTAL CODE MUST BE NUMERIC
339	FATAL	ULT CONS TYPE IS MISSING
340	FATAL	ULT CONS POSTAL CODE NOT VALID FOR STATE
341	WARNING	ULT CONS MUST BE REPORTED WITHIN 4 DAYS
342	FATAL	ULT CONS ID TYPE NOT ALLWD: SOLD EN RTE
343	FATAL	ULT CONS ID NOT ALLWD: SOLD EN RTE
344	FATAL	ULT CONS PRTY NM MUST BE 'SOLD EN ROUTE'
345	FATAL	ULT CONS LST NAME NOT ALLWD: SOLD EN RTE
346	FATAL	ULT CONS 1ST NAME NOT ALLWD: SOLD EN RTE
347	FATAL	ULT CONS ADDR 1 NOT ALLWD: SOLD EN RTE
348	FATAL	ULT CONS ADDR 2 NOT ALLWD: SOLD EN RTE
349	FATAL	ULT CONS PHONE# NOT ALLWD: SOLD EN RTE
350	FATAL	SOLD EN RTE PORT CITY MISSING
351	FATAL	SOLD EN RTE PORT CITY CNTNS LEAD SPCS
352	FATAL	SOLD EN RTE PORT CITY INELIGIBLE
353	FATAL	SOLD EN RTE PORT COUNTRY MISSING
354	FATAL	SOLD EN RTE PORT COUNTRY UNKNOWN
355	FATAL	ULT CONS STATE CD NOT ALLWD: SOLD EN RTE
356	FATAL	ULT CONS POSTL CD NOT ALLWD: SOLD EN RTE
357	FATAL	ULT CONS ID TYPE MISSING
358	FATAL	ULT CONS ID TYPE MUST BE E OR D
359	FATAL	ULT CONS NOT PREVIOUSLY REPORTED
360	FATAL	ULT CONS NAME NOT ALLOWED
361	FATAL	ULT CONS CNTCT LAST NAME NOT ALLOWED
362	FATAL	ULT CONS CNTCT 1ST NAME NOT ALLOWED
363	FATAL	SOLD EN ROUTE CANNOT BE DECLARED
364	FATAL	INT CONS ID TYPE MUST BE E, D, OR SPCE
365	FATAL	INT CONS PARTY ID MUST BE NUMERIC
366	FATAL	INT CONS PARTY ID INELIGIBLE
367	FATAL	INT CONS EIN LOCATION INVALID
368	FATAL	INT CONS PARTY ID TYPE MISSING
369	FATAL	INT CONS PARTY ID MISSING
370	FATAL	INT CONS LOCATION NOT ALLOWED FOR TYPE
372	FATAL	INT CONS PARTY NAME MISSING
371	FATAL	ULT CONS TYPE IS UNKNOWN
373	FATAL	INT CONS PARTY NAME CONTAINS LEAD SPACES
374	FATAL	INT CONS PARTY NAME INELIGIBLE
375	FATAL	INT CONS CNTCT LAST NM CNTNS LEAD SPACES
376	FATAL	INT CONS CONTACT LAST NM INELIGIBLE
377	FATAL	INT CONS 1ST NAME REPORTED W/O LAST NAME
378	FATAL	INT CONS CONTACT 1ST NM INELIGIBLE
379	FATAL	INT CONS CNTCT 1ST NM CNTNS LEAD SPACES

## APPENDIX A – Commodity Filing Response Messages

Response Code	Severity	Narrative Text
380	FATAL	INT CONS ADDR LINE 1 MISSING
381	FATAL	INT CONS ADDR LINE 1 CONTAINS LEAD SPACES
382	FATAL	INT CONS ADDR LINE 1 INELIGIBLE
383	FATAL	INT CONS ADDR LINE 2 CONTAINS LEAD SPACES
384	FATAL	INT CONS CONTACT PH# CONTAINS LEAD SPACES
385	FATAL	INT CONS ADDR LINE 2 INELIGIBLE
386	FATAL	INT CONS CONTACT PH# MUST BE NUMERIC
387	FATAL	INT CONS CONTACT PHONE# INELIGIBLE
388	FATAL	INT CONS CITY MISSING
389	FATAL	INT CONS CITY CONTAINS LEADING SPACES
390	FATAL	INT CONS CITY INELIGIBLE
391	FATAL	INT CONS COUNTRY MISSING
392	FATAL	INT CONS COUNTRY UNKNOWN
393	FATAL	INT CONS COUNTRY OUTDATED
394	FATAL	INT CONS STATE UNKNOWN
395	FATAL	INT CONS STATE MUST BE A US STATE CD
396	FATAL	INT CONS STATE CANNOT BE REPORTED
397	FATAL	INT CONS POSTAL CODE CONTAINS LEAD SPACES
398	FATAL	INT CONS POSTAL CODE MUST BE NUMERIC
399	VERIFY	IS THE ESTIMATED DATE OF EXPORT CORRECT?
400	FATAL	INT CONS POSTAL CODE NOT VALID FOR STATE
402	FATAL	INT CONS ID TYPE MUST BE E OR D
403	FATAL	INT CONS NOT PREVIOUSLY REPORTED
404	FATAL	INT CONS NAME NOT ALLOWED
405	FATAL	INT CONS CNTCT LAST NAME NOT ALLOWED
406	FATAL	INT CONS CNTCT 1ST NAME NOT ALLOWED
407	FATAL	AUTH AGT DATA ON FILE INCOMPLETE; RESEND
408	FATAL	AUTH AGT PARTY ID REPORTED W/O TYPE
409	FATAL	AUTH AGT ADDR 2 REPORTED W/O ADDR 1
410	FATAL	ULT CONS POSTAL CODE MISSING
411	FATAL	INT CONS POSTAL CODE MISSING
412	FATAL	INT CONS STATE MUST BE A MX STATE CD
413	FATAL	USPPI POSTAL CODE NOT IN EFFECT
414	VERIFY	USPPI POSTAL CODE NOT IN EFFECT
415	FATAL	AUTH AGT POSTAL CODE NOT IN EFFECT
416	VERIFY	AUTH AGT POSTAL CODE NOT IN EFFECT
417	FATAL	ULT CONS POSTAL CODE NOT IN EFFECT
418	VERIFY	ULT CONS POSTAL CODE NOT IN EFFECT
419	FATAL	INT CONS POSTAL CODE NOT IN EFFECT
420	VERIFY	INT CODE POSTAL CODE NOT IN EFFECT
421	FATAL	ULT CONS DATA ON FILE INCOMPLETE; RESEND
422	FATAL	INT CONS DATA ON FILE INCOMPLETE; RESEND
423	FATAL	USPPI IRS ID MUST BE NUMERIC
425	FATAL	AUTH AGT PARTY ID MUST BE NUMERIC
		<b>Commodity Line Item Reporting Conditions</b>
5C1	FATAL	DDTC LICENSE SUSPENDED FOR COUNTRY
5C2	INFORMATIONAL	CAT XXI DETERMINATION NBR UNKNOWN
5C3	FATAL	DDTC USML CATEG 55 NOT ELIG FOR LIC TYPE
500	FATAL	LINE ITEM COMMODITY DETAIL MISSING
501	FATAL	EXPORT INFO CODE MISSING

### APPENDIX A – Commodity Filing Response Messages

502	FATAL	EXPORT INFO CODE UNKNOWN
503	FATAL	LICENSE CODE MISSING
504	FATAL	LICENSE CODE UNKNOWN
505	FATAL	VALUE OF GOODS CONTAINS NON-NUMERICS
506	FATAL	SHPING WGT CONTAINS NON-NUMERICS
507	FATAL	QUANTITY (1) CONTAINS NON-NUMERICS
508	FATAL	QUANTITY (2) CONTAINS NON-NUMERICS
509	FATAL	DDTC QUANTITY CONTAINS NON-NUMERICS
510	FATAL	EIC CANNOT BE CLAIMED WITH LICENSE CODE
511	FATAL	MOT NOT ALLOWED FOR LICENSE CODE
512	FATAL	ECCN MISSING
513	FATAL	ECCN CANNOT BE REPORTED <not active>
514	FATAL	EAR99 ECCN REQUIRED FOR LICENSE CODE <not active>
515	FATAL	ECCN MUST BE FORMATED NANNN
516	FATAL	COMMODITY DESCRIPTION MISSING
517	FATAL	COMMODITY DESC CONTAINS LEADING SPACES
518	FATAL	COMMODITY DESCRIPTION INELIGIBLE
519	FATAL	SHP WGT EXCEEDS MAX VESSEL THRESHOLD
520	FATAL	SHP WGT EXCEEDS MAX TRUCK THRESHOLD
521	FATAL	SHP WGT EXCEEDS MAX RAIL THRESHOLD
522	FATAL	SHP WGT EXCEEDS MAX AIR THRESHOLD
523	FATAL	SCHED B/HTS NBR NOT ALLOWED FOR HH GDS
524	FATAL	1ST UOM CODE NOT ALLOWED FOR HH GDS
525	FATAL	2ND UOM CODE NOT ALLOWED FOR HH GDS
526	FATAL	QUANTITY 1 NOT ALLOWED FOR HH GDS
527	FATAL	QUANTITY 2 NOT ALLOWED FOR HH GDS
528	FATAL	VALUE OF GDS MUST BE GT ZERO
529	FATAL	SHPING WGT MUST BE GT ZERO FOR HH GDS
530	FATAL	VALUE OF GDS CANNOT EXCEED \$499,999,999
531	FATAL	FOR/DOM ORIGIN IND NOT ALLOWED FOR HH GDS
532	FATAL	FLY-AWAY AIRCRAFT NOT ALLOWED FOR HH GDS
533	FATAL	FOR/DOM ORIGIN IND MISSING
534	FATAL	FOR/DOM ORIGIN IND MUST BE F OR D
535	FATAL	NAFTA DEFERRED DUTY REQS ENTRY NBR
536	FATAL	NAFTA DEFERRED DUTY REQS FTZ NBR
537	FATAL	NAFTA DEFERRED DUTY REQS CNTRY CA OR MX
538	FATAL	SHPING WGT MUST BE GT ZERO FOR MOT
539	FATAL	SHPING WGT MUST BE ZERO FOR MOT
540	FATAL	VALUE OF GDS CANNOT EXCEED \$999,999,999
541	FATAL	DDTC DATA NOT ALLOWED FOR NON-DDTC CLAIM
542	FATAL	LICENSABLE SHPMT NOT PERMITD/OPT 4 USPPI
543	FATAL	LICENSABLE SHPMT NOT PERMITD/DEC FILER
544	FATAL	BIS LICENSE NBR MISSING
545	FATAL	BIS LICENSE NBR UNKNOWN
546	FATAL	BIS LICENSE NO LONGER ACTIVE
547	FATAL	BIS EXEMPTION CODE MISSING
548	FATAL	BIS EXEMPTION CODE UNKNOWN
549	FATAL	BIS LICENSE NBR NOT VALID FOR LICENSE CODE
55A	FATAL	EPA CONSENT NUMBER MISSING
55C	FATAL	EPA CONSENT NUMBER NOT FOUND
55D	FATAL	RCRA HW MANIFEST TRACKING NUMBER MISSING

### APPENDIX A – Commodity Filing Response Messages

55E	FATAL	RCRA HW MANIFEST TRCKNG # INVALID FORMAT
55F	FATAL	ULT DEST & EPA CNSNT COUNTRIES NOT SAME
55G	FATAL	EST DEP DATE NOT IN EPA CONSENT DATE RANGE
55H	FATAL	PGA ID IS REQUIRED
55I	FATAL	PGA ID IS INVALID
55J	FATAL	ONLY ONE PGA RECORD ALLOWED PER LINE
55K	FATAL	VALID EPA NET UOM & QUANTITY REQUIRED
55L	INFORMATIONAL	AT LEAST ONE PGA LICENSE REQUIRED
55M	INFORMATIONAL	ADDITIONAL PGA INFO IS NOT ALLOWED
550	FATAL	NRC LICENSE NBR MISSING
551	FATAL	NRC LIC NBR CONTAINS LEADING SPACES
552	FATAL	NRC LIC NBR INELIGIBLE
553	FATAL	OFAC LICENSE NBR MISSING
554	FATAL	OFAC LIC NBR CONTAINS LEADING SPACES
555	FATAL	OFAC LIC NBR INELIGIBLE
556	FATAL	OPA LICENSE NBR MISSING
557	FATAL	OPA LIC NBR CONTAINS LEADING SPACES
558	FATAL	OPA LIC NBR INELIGIBLE
559	FATAL	DDTC DATA REQUIRED FOR DDTC CLAIM
560	FATAL	DDTC LICENSE NBR MISSING
561	FATAL	DDTC LICENSE NBR UNKNOWN
562	FATAL	DDTC LIC NBR NOT ALLOWED FOR EXEMPTION
563	FATAL	DDTC ITAR EXEMPTION NBR MISSING
564	FATAL	DDTC ITAR EXEMPTION NBR UNKNOWN
565	FATAL	DDTC EXEMPTION NBR NOT ALLOWED FOR LIC
566	FATAL	CNTY MUST BE KIMBERLEY PROCESS PRTCNT
567	FATAL	CNTY MUST BE CA FOR CANADIAN ITAR EXMPTN
568	FATAL	DSP-94 MUST BE FORMATTED AA-A-AAA
569	FATAL	FRGN MIL SALE MUST BE DOMESTIC ORIGIN
57A	INFORMATIONAL	NO RGSTRN REQD; ITAR USED: < DDTC ITAR Exemption Number>
57B	FATAL	S94 LICENSE NUMBER UNKNOWN OR INVALID
570	FATAL	DDTC REGISTRANT MISSING
571	FATAL	DDTC REGISTRANT UNKNOWN
572	FATAL	DDTC REGISTRANT EXPIRED
573	FATAL	DDTC LICENSE NOT ISSUED TO REGISTRANT
574	FATAL	DDTC SME IND MISSING
575	FATAL	DDTC SME IND MUST BE Y OR N
576	FATAL	DDTC ELIG PARTY IND MISSING
577	FATAL	DDTC ELIG PARTY IND MUST BE Y OR N
578	FATAL	DDTC ELIG PARTY IND NOT ALLOWED
579	FATAL	DDTC USML CATEGORY MISSING
580	FATAL	DDTC USML CATEGORY UNKNOWN
581	FATAL	DDTC UOM MISSING
582	FATAL	DDTC UOM UNKNOWN
583	FATAL	DDTC QUANTITY MUST BE GT ZERO
584	FATAL	S05 LIC NOT DECREMNTD - DISAPPROVED
585	FATAL	S05 LIC NOT DECREMNTD - SUSPENDED
586	FATAL	S05 LIC NOT DECREMNTD - RETURNED
587	FATAL	S05 LIC NOT DECREMNTD - REVOKED
588	FATAL	S05 LIC NOT DECREMNTD - WITHDRAWN

## APPENDIX A – Commodity Filing Response Messages

589	FATAL	S05 LIC NOT DECREMNTD - EXPIRED
590	FATAL	LICENSE VALUE EXCDS AVAIL FOR LIC
591	INFORMATIONAL	AVAIL S05 LIC VALUE=\$ -Available Balance-
592	FATAL	HH GDS NOT PERMITD/OPT 4 USPPI
593	FATAL	DECREMENTED VALUE > VALUE OF GOODS
594	FATAL	S05 LIC NOT DECREMNTD - EXHAUSTED
595	FATAL	VEHICLE INFO REQ FOR SCHED B/HTS
596	FATAL	VEHICLE INFO NOT ALLOWED FOR SCHED B/HTS
597	FATAL	VEHICLE INFO NOT ALLOWED FOR HH GDS
598	FATAL	VIN/PIN NBR ALREADY REPORTED FOR LINE
599	FATAL	VEHICLE ID QUALIFIER MISSING
600	FATAL	VEHICLE ID QUALIFIER MUST BE V OR P
601	FATAL	NBR OF VEHICLES REPORTD MUST MATCH QTY
602	FATAL	VIN NBR MISSING
603	FATAL	VIN NBR CONTAINS LEADING SPACES
604	FATAL	VIN NBR INELIGIBLE
605	VERIFY	VIN CHECK DIGIT FAILURE
606	VERIFY	VIN CONTAINS INVALID CHARACTERS
607	VERIFY	VIN PREFIX UNKNOWN
608	VERIFY	VIN CONTAINS INVALID WORLD MAKE ID
609	VERIFY	VIN IS TOO SHORT
610	VERIFY	VIN IS TOO LONG
611	VERIFY	VIN PRODUCTION SEQUENCE TOO LOW
612	VERIFY	VIN PRODUCTION SEQUENCE TOO HIGH
613	VERIFY	VIN CONTAINS INVALID YEAR
614	FATAL	PIN NBR MISSING
615	FATAL	PIN NBR CONTAINS LEADING SPACES
616	FATAL	PIN NBR INELIGIBLE
617	FATAL	VEH TITLE STATE CODE MISSING
618	FATAL	VEH TITLE STATE CODE UNKNOWN
619	FATAL	VEH TITLE NBR MISSING
620	FATAL	VEH TITLE NBR CONTAINS LEADING SPACES
621	FATAL	VEH TITLE NBR INELIGIBLE
622	FATAL	SCHED B/HTS NBR MISSING
623	FATAL	SCHED B/HTS NBR UNKNOWN
624	FATAL	SCHED B/HTS NBR OUTDATED-CANNOT BE USED
625	VERIFY	SCHED B/HTS NBR OUTDATED-IN GRACE PERIOD
626	FATAL	1ST UOM CODE MISSING
627	FATAL	1ST UOM CODE UNKNOWN
628	FATAL	1ST UOM CODE / SCHED B/HTS MISMATCH
629	INFORMATIONAL	SCHED B/HTS REQUIRES 1ST UOM: -UOM Code-
630	FATAL	2ND UOM CODE MISSING
631	FATAL	2ND UOM CODE UNKNOWN
632	FATAL	2ND UOM CODE / SCHED B/HTS MISMATCH
633	INFORMATIONAL	SCHED B/HTS REQUIRES 2ND UOM: -UOM Code-
634	VERIFY	VALUE OF GDS EXCEEDS \$249,999,999
635	FATAL	US GDS RTRND REQUIRES US AS DESTINATN
636	FATAL	INVALID SCHED B/HTS NBR FOR TIB CLAIM
637	FATAL	USED VEH NOT ALLOWED - OPT 4
638	FATAL	USED VEH NOT ALLOWED FOR LIC CODE
639	FATAL	USED VEH NOT ALLOWED FOR MOT
640	FATAL	SCHED B/HTS MUST BE USED VEH FOR EI CD
641	FATAL	QUANTITY 1 MUST BE GT ZERO

### APPENDIX A – Commodity Filing Response Messages

642	FATAL	QUANTITY 1 CANNOT EXCEED 299,999,999
643	FATAL	QUANTITY 2 MUST BE GT ZERO
644	FATAL	QUANTITY 2 CANNOT EXCEED 99,999,999
645	INFORMATIONAL	QUANTITY 2 NOT REQUIRED BY SCHED B/HTS
646	FATAL	INELIG SCHED B/HTS NBR FOR FLY-AWAY AIR
647	FATAL	LINE NBR CANNOT BE ZERO
648	FATAL	MOT NOT ALLOWED FOR HH GDS
649	FATAL	QUANTITY 1 CANNOT EXCEED SHPING WGT
650	FATAL	QUANTITY 2 CANNOT EXCEED SHPING WGT
651	FATAL	VEHICLE INFO REQ FOR EI CD
652	FATAL	INVALID SCHED B/HTS FOR PGA <PGA ID>
653	FATAL	DDTC LICENSE DISAPPROVED: <License Code>
654	FATAL	DDTC LICENSE SUSPENDED: <License Code>
655	FATAL	DDTC LICENSE RETURNED: <License Code>
656	FATAL	DDTC LICENSE REVOKED: <License Code>
657	FATAL	DDTC LICENSE WITHDRAWN: <License Code>
658	FATAL	DDTC LICENSE EXPIRED: <License Code>
659	FATAL	ECCN MUST BE 'EAR99' OR BLANK
660	FATAL	'T12' REQUIRED FOR ROUGH DIAMONDS
661	FATAL	SCHED B/HTS NBR NOT ALLOWED FOR LIC CODE
662	FATAL	KPC NBR MUST BE AT LEAST 4 NUMERICS
663	FATAL	KPC NUMBER CONTAINS NON-NUMERICS
664	FATAL	KPC NUMBER CONTAINS LEADING SPACES
665	FATAL	KPC NUMBER MISSING
666	FATAL	ECCN MUST BE FROM APPROVED LIST
667	FATAL	COUNTRY NOT ALLOWED FOR LICENSE TYPE
668	FATAL	EAR99 CANNOT BE REPORTED <Not currently active>
669	FATAL	LICENSE CODE CANNOT BE USED FOR ADD
670	FATAL	LICENSE CODE CORRECTION MISMATCH
671	FATAL	KPC NBR NOT REQ FOR CNTY CODE
672	FATAL	GB/AU ACID NBR UNKNOWN OR INVALID
673	INFORMATIONAL	COMMERCE DEPARTMENT LICENSE NOT OBTAINED
674	INFORMATIONAL	STATE DEPARTMENT LICENSE NOT OBTAINED
675	INFORMATIONAL	OTHER AGENCY LICENSE NOT OBTAINED
676	FATAL	PRIOR DATE OF EXPORT REQUIRED
677	INFORMATIONAL	eDecs NUMBER UNKNOWN OR INVALID
678	INFORMATIONAL	TAXONOMIC SERIAL NO UNKNOWN OR INVALID
679	INFORMATIONAL	FWS PURPOSE CODE UNKNOWN OR INVALID
680	INFORMATIONAL	FWS DESCRIPTION CODE UNKNOWN OR INVALID
681	INFORMATIONAL	INVALID COUNTRY CODE
682	INFORMATIONAL	FWS SOURCE CODE UNKNOWN OR INVALID
683	INFORMATIONAL	EXEMPTION CODE UNKNOWN OR INVALID
684	INFORMATIONAL	FWS CATEGORY CODE UNKNOWN OR INVALID
685	INFORMATIONAL	STATE UNKNOWN
686	INFORMATIONAL	eDecs # REQUIRED
687	INFORMATIONAL	eDecs # MAY BE REQUIRED
688	INFORMATIONAL	TSN # REQUIRED
689	INFORMATIONAL	FW8 IS REQUIRED
68A	INFORMATIONAL	TAXONOMIC SERIAL NO. MISSING
68B	INFORMATIONAL	FWS PURPOSE CODE MISSING
68C	INFORMATIONAL	FWS DESCRIPTION CODE MISSING
68D	INFORMATIONAL	COUNTRY CODE MISSING

### APPENDIX A – Commodity Filing Response Messages

68E	INFORMATIONAL	FWS SOURCE CODE MISSING
68F	INFORMATIONAL	EXEMPTION CODE MISSING
68G	INFORMATIONAL	FWS CATEGORY CODE MISSING
68H	INFORMATIONAL	STATE MISSING
68I	INFORMATIONAL	DESCRIPTION MISSING
690	FATAL	NET EXCEEDS QUANTITY AUTHORIZED BY DEA
691	FATAL	INVALID UOM REPORTED
692	FATAL	TRANSACTION TYPE INVALID
693	FATAL	DEA PERMIT#/TRANSACTION ID # INVALID
694	FATAL	ENTITY NO. INVALID
695	INFORMATIONAL	PERMIT #/TRANSACTION # MAY BE REQUIRED
696	FATAL	DEA PERMIT #/TRANSACTION ID # REQUIRED
697	FATAL	PERMIT#/TRANSACTION ID # ALREADY USED
698	FATAL	DRUG CODE UNKNOWN OR INVALID
69A	FATAL	EXP DATE > PERMIT/TRANS EXPIRATION DATE
64A	FATAL	<PGA ID> PGA REQUIRED FOR HTS
64B	INFORMATIONAL	AMS EXPORT CERTIFICATE NBR INVALID FORMAT
64C	INFORMATIONAL	AMS EXPORT CERTIFICATE NBR MISSING
65A	INFORMATIONAL	DATE CANNOT BE > EXPORT DATE
65B	INFORMATIONAL	DATE UNKNOWN
65C	INFORMATIONAL	UNKNOWN FORMAT FOR TTB
65D	INFORMATIONAL	SERIAL NUMBER REQUIRED
65E	INFORMATIONAL	TTB DISCLAIMER INVALID
65F	INFORMATIONAL	TTB DISCLAIMER DECLARED
65G	INFORMATIONAL	ONLY DISCLAIMER OR TTB PGA ALLOWED
66A	INFORMATIONAL	EITHER FFL # OR EXEMPTION CODE ALLOWED
66B	INFORMATIONAL	EITHER PERMIT # OR EXEMPTN CD ALLOWED
66C	INFORMATIONAL	FFL NUMBER UNKNOWN OR INVALID
66E	INFORMATIONAL	FFL EXMPTION CODE INVALID
66F	INFORMATIONAL	FFL NUMBER EXPIRED
66G	INFORMATIONAL	FFL # NOT A MATCH WITH PERMIT NUMBER
66H	INFORMATIONAL	PERMIT NUMBER UNKNOWN OR INVALID
66I	INFORMATIONAL	PERMIT NUMBER EXPIRED
66J	INFORMATIONAL	PERMIT NUMBER ALREADY USED
66K	INFORMATIONAL	PERMIT EXEMPTION CODE INVALID
66L	INFORMATIONAL	CATEGORY CODE INVALID
66M	INFORMATIONAL	QUANTITY MUST BE SPECIFIED
66N	INFORMATIONAL	QUANTITY MUST NOT EXCEED PERMIT
66O	INFORMATIONAL	QUANTITY MUST MATCH THE PERMIT
66P	INFORMATIONAL	QUANTITY CONTAINS NON-NUMERICS
66Q	FATAL	ECCN & CTRY OF DEST NOT ALLOWED FOR NLR
67A	FATAL	PRODUCT DESCRIPTION MISSING
67B	FATAL	AGENCY PROGRAM CODE INVALID
67C	FATAL	PROCESSNG TYPE CODE UNKNOWN OR INVALID
67D	FATAL	PERMIT NBR. UNKNOWN OR INVALID
67E	FATAL	DOCUMENT IDENTIFIER INVALID/MISSING
67F	FATAL	DOCUMENT NBR. MISSING
67G	FATAL	DOCUMENT IMAGE INDICATOR UNKNOWN
67H	FATAL	SOURCE OF COUNTRY CODE INVALID
67I	FATAL	ONLY NM7 & NM9 REQUIRED FOR AMR PROGRAM
67J	FATAL	RE-EXPORT NBR MISSING
67K	FATAL	CMTY HRVSTING VSSL CNTRY RGISTRY CD INVALID
67L	FATAL	OCEAN GEOGRAPHIC AREA CODE INVALID

### APPENDIX A – Commodity Filing Response Messages

67M	FATAL	PERMIT NUMBER EXPIRED
67N	FATAL	LPCS QTY INVALID/MISSING
67O	FATAL	LPCO UOM MUST BE KG
67P	FATAL	CATCH DOCUMENT NBR MISSING
67Q	FATAL	BOTH NM8/NM9 REQUIRED FOR HMS PROGRAM
67R	FATAL	MISSING DOCUMENT
67S	FATAL	eBCD NUMBER INVALID FORMAT
67T	FATAL	RE-EXPORT NBR INVALID FORMAT
<b>Compliance Alert Conditions</b>		
700	COMPLIANCE	SHIPMENT REPORTED LATE; OPT 2
701	COMPLIANCE	SHIPMENT REPORTED LATE; OPT 4
702	COMPLIANCE	LINE ACTIVITY ADD POST DEPARTURE
703	COMPLIANCE	LINE ACTIVITY DELETED POST DEPARTURE
704	COMPLIANCE	LICENSE TYPE CHANGE POST DEPARTURE
705	COMPLIANCE	LICENSE NUMBER CHANGE POST DEPARTURE
706	COMPLIANCE	LICENSE VALUE CHANGE POST DEPARTURE
707	COMPLIANCE	USED VEHICLE(S) CHANGE POST DEPARTURE
708	COMPLIANCE	DEC PROGRAM ELIMINATED
709	COMPLIANCE	VALUE OF GOOD OVER LIMIT VALUE SHPMNT
710	COMPLIANCE	AEI FULL SHIPMENT REPORTED LATE; OPT 3F
711	COMPLIANCE	PREDEPARTURE FILING REQ FOR RPRDTE CMDTY
712	COMPLIANCE	FIXED MOT (70) SHIPMENT REPORTED LATE
<b>Statistical Validation Conditions</b>		
8H1	VERIFY	VALUE/QUANTITY 1 OUT OF RANGE - HIGH
8H2	VERIFY	VALUE/QUANTITY 2 OUT OF RANGE - HIGH
8L1	VERIFY	VALUE/QUANTITY 1 OUT OF RANGE - LOW
8L2	VERIFY	VALUE/QUANTITY 2 OUT OF RANGE - LOW
8PI	VERIFY	IMPROBABLE COMMODITY FOR FIXED TRANSPORT
8QR	VERIFY	QUANTITY RELATIONSHIP OUT OF RANGE
8SR	VERIFY	SHPING WGT TOO HIGH FOR RAIL SHPMNT
8ST	VERIFY	SHPING WGT TOO HIGH FOR TRUCK SHPMNT
8VW	VERIFY	VALUE/SHPING WGT OUT OF RANGE
8W1	VERIFY	SHPING WGT/QUANTITY 1 OUT OF RANGE
8W2	VERIFY	SHPING WGT/QUANTITY 2 OUT OF RANGE
800	VERIFY	BIS LIC VAL EXCD PRIOR: <ITN>
801	VERIFY	BIS LIC VAL EXCD CURRENT: <License Number >
802	VERIFY	BIS LIC TOLERANCE EXCEEDED:<License Number >
803	VERIFY	AVAIL BIS LIC VALUE=\$ <Available Balance>
808	VERIFY	IMPROBABLE DESTINATION FOR COMMODITY
821	VERIFY	SHPING WGT TOO HIGH FOR VESSEL SHPMNT
826	VERIFY	SHPING WGT TOO HIGH FOR AIR SHPMNT
835	VERIFY	VALUE OF GOODS TOO HIGH FOR COMMODITY
836	VERIFY	VALUE OF GOODS TOO LOW FOR COMMODITY
837	VERIFY	QUANTITY 1 TOO HIGH FOR COMMODITY
838	VERIFY	QUANTITY 1 TOO LOW FOR COMMODITY
839	VERIFY	QUANTITY 2 TOO HIGH FOR COMMODITY
840	VERIFY	QUANTITY 2 TOO LOW FOR COMMODITY
850	VERIFY	IMPROBABLE FOREIGN/DOMESTIC ORIGIN
851	VERIFY	IMPROBABLE COMMODITY FOR AIR SHPMNT
853	VERIFY	IMPROBABLE DESTINATION FOR MILITARY GDS
854	VERIFY	IMPROBABLE COMMODITY FOR MAIL SHPMNT
855	VERIFY	FOREIGN ORIGIN VERSUS IN-TRANSIT
856	VERIFY	IMPROBABLE ISO



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**APPENDIX A – Commodity Filing Response Messages**

		<b>Final Dispositions</b>
960	FATAL	BATCH REJECTED; RESOLVE AND RETRANSMIT
965	FATAL	BLOCK REJECTED; RESOLVE AND RETRANSMIT
970	FATAL	SHIPMENT REJECTED; RESOLVE & RETRANSMIT
971	WARNING	SHIPMENT ADDED; MUST CORRECT WARNINGS
972	VERIFY	SHIPMENT ADDED; MUST VERIFY
973	COMPLIANCE	SHIPMENT ADDED; COMPLIANCE ALERT
974	INFORMATIONAL	SHIPMENT ADDED
975	WARNING	SHIPMENT REPLACED; MUST CORRECT WARNINGS
976	VERIFY	SHIPMENT REPLACED; MUST VERIFY
977	COMPLIANCE	SHIPMENT REPLACED; COMPLIANCE ALERT
978	INFORMATIONAL	SHIPMENT REPLACED
979	WARNING	SHIPMENT CHANGED; MUST CORRECT WARNINGS
97H	INFORMATIONAL	SHIPMENT ON HOLD
97R	INFORMATIONAL	SHIPMENT HOLD RELEASED
980	VERIFY	SHIPMENT CHANGED; MUST VERIFY
981	COMPLIANCE	SHIPMENT CHANGED; COMPLIANCE ALERT
982	INFORMATIONAL	SHIPMENT CHANGED
983	INFORMATIONAL	SHIPMENT CANCELLED
984	WARNING	REMINDER – MUST CORRECT WARNINGS
		<b>Undetermined Condition</b>
996	INFORMATIONAL	NON-STANDARD DATA FOUND: -nnnnnn / nn-
997	FATAL	FILING CONTAINS NON-STANDARD DATA
998	FATAL	UNIDENTIFIED CONDITION: <Condition Code>
999	FATAL	UNDETERMINED ERR CONTACT CBP CLIENT REP