# CBP and Trade Automated Interface Requirements

## NAFTA Duty Deferral Create/Update

**December 2016**

U.S. Customs and Border Protection

# NAFTA Duty Deferral Create/Update

*This chapter provides record formats and processing instructions to submit NAFTA Duty Deferral and related information to ACE.*

The reader should be advised that this technical document is considered final. However, the document retains the DRAFT designation in the footer until such time that an official OPA (Office of Public Affairs) publication number has been assigned to the new "ACE ABI CATAIR" publication. For your information, subsequent revisions to this document will be controlled through the official CBP document amendment process.

***Be Advised:***

A filer who transmits data or information through any electronic means to CBP certifies, by the act of transmitting such data or information, that the data or information transmitted is true and correct to the best of the filer's knowledge and belief. The filer also declares that all statements in an electronically transmitted entry, entry summary, invoice, claim, other filing, and all other information or data filed with the entry are true and correct to the best of the filer's knowledge and belief, and that the filer will produce at once any data or information showing that the statements are not true and correct.

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# Table of Changes

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| 1.0 | December 12, 2016 | 61-Record, 87-Record,Usage Note (c): 'NAFTA Duty Deferral Entry (Part I) and Claim (Part II) Considerations' | Clarified how to submit Parts I (with or without Part II) and how to indicate to CBP that the filing is complete and ready to be reviewed / processed. |
| 0.0 | June 23, 2016 | 61-Record | Clarify formatting requirements of the NAFTA Country Duty Rate. |
| 0.0 | May 23, 2016 | All | DRAFT - Initial Release for Review |

## Introduction

This *chapter* is intended to provide the conventional trade interface information for the ACE-version of a NAFTA Duty Deferral filing. Therefore, this document should be used as the only implementation guide when programming the data elements required for reporting an ACE NAFTA Duty Deferral filing.

Presented in this document are the NAFTA Duty Deferral input transaction *proprietary* records used by the importing trade to establish and maintain an electronic NAFTA Duty Deferral and the output transaction *proprietary* records returned in response.

Input records are those that are used to report specific business data. The input record layouts describe the mandatory, conditional, and optional data elements required by the automated EDI interface. While data element specific directions for input filing are noted throughout, following the input format definitions is a sub-section that provides various clarifications regarding a NAFTA Duty Deferral filing.

The output record layouts describe a response to a filing as generated and returned by the automated EDI interface. Following the output format definitions is a sub-section that provides various clarifications regarding a NAFTA Duty Deferral response.

## Record Layout Key

The following key describes the columns of the record layout definitions that follow.

**Data Element:**
Contains the name of the reported data field.

**Length:**
Indicates the maximum, allowed length of the reported data element.

**Class:**
Defines the domain of values accepted for the data element. The class definition represents the accepted domain to be used in **all** filing scenarios. Class codes are as follows:

**S** = Space ONLY.
**A** = Alphabetic Data. Consists of characters A through Z (uppercase ONLY).
**N** = Numeric Data Only. Consists of numerals 0 through 9.
**(S)N** = Numeric Data Variation. May contain '**Numeric Data Only**' **or** may consist of one or more spaces followed by numerals 0 through 9. Must consist of at least one right justified numeral. This variation of numeric class may be used for amounts, rates, and counts (where specified).
**AN** = Alphanumeric Data. Consists of characters A through Z (uppercase ONLY), numerals 0 through 9, and space.
**D** = Known Date. Consists of numerals 0 through 9 (format MMDDYY).
**X** = Special Data. Consists of characters A through Z (uppercase ONLY), numerals 0 through 9, space, and any other character found on a standard keyboard. The following characters are accepted:

**! @ # $ % ^ & * ( ) - _ = + [ { ] } \ | ; : ' " , < . > / ? ` ~**

Generally, the numeric data class is reserved for a data element used as an integer. It may also include a data element used as a sequencer (e.g., a line number).

Generally, any identifier or code is classed as alphanumeric. Note that this would include an identifier or code that may be required to be reported as all numerals.

**Position:**
Indicates the beginning and ending position, respectively, of the reported data element within the 80-character record.

**Designation:**
Indicates the reporting requirement as follows:

**M** = Mandatory. A value conforming to the listed class is required in all filing scenarios.
**C** = Conditional. A value conforming to the listed class may or may not be required for a particular filing scenario. The usage notes will describe the specific cases in which the data element is required or not allowed to be reported.
**O** = Optional. A value conforming to the listed class will be conditionally accepted if provided. An optional data element may be subject to validation, however.

**Description:**

Defines the data element and provides a further description of how it is to be reported. May include a list of acceptable values, an exception or further specification of the data class, and/or various rules regarding format, justification, and truncation.

**Note:**

Points to a further discussion regarding the reporting of the particular data element.

## Input Record Structure Maps

### Input Structure Map Submission Notes

- Spaces must be transmitted in a data element marked 'filler'.
- Transmit ONLY uppercase alphabetic characters A through Z. CBP will routinely convert all Transaction Grouping lowercase alphabetic characters to uppercase alphabetic characters during its processing.
- Transmit ONLY displayable characters found on a standard keyboard. Do not transmit low-values, carriage return characters, or other non-standard character.
- CBP will routinely discard leading spaces in a Transaction Grouping data element when the class is A=Alphabetic, AN=Alphanumeric, or X=Special Data

The following table illustrates how the automated interface expects repeating groups to be structured in a proprietary format Block Control Grouping where Batch Control Header (A-Record) Application Identifier Code = NE

### Block Control Input Structure Map

| Control ID | Name | Designation | Loop Repeat |
|---|---|---|---|
| | Block Control Grouping | M | 1 |
| B | Block Control Header | M | |
| | NAFTA Duty Deferral Transaction Grouping | M | > 1 |
| | (…documented below…) | | |

**Note:** See the *ABI Batch & Block Control* chapter of the ACE CATAIR for a complete description of the Block Control envelope (B-, Y-Records and Batch Control envelope A-, Z-Records).

The following tables illustrate how the automated interface expects repeating groups to be structured in a proprietary format NAFTA Duty Deferral Transaction Grouping.

**NAFTA Duty Deferral Transaction Input Structure Map**

| Control ID | Name | Designation | Loop Repeat |
|---|---|---|---|
| | NAFTA Duty Deferral Transaction Grouping | | |
| | NAFTA Duty Deferral Header Grouping | M | 1 |
| 10 | NAFTA Duty Deferral Header Control | M | |
| 11 | NAFTA Duty Deferral Header Content | M | |
| | Export Reference Grouping | O | 99 |
| 20 | Export Reference Information | M | |
| | Bond Grouping | C | 2 |
| 31 | Bond Detail | M | |
| | NAFTA Duty Deferral Line Item Grouping | C | 999 |
| | (…documented below…) | M | |
| | NAFTA Duty Deferral Revenue Control Totals | C | 1 |
| 87 | NAFTA Duty Deferral Payment Handling Detail | M | |
| 88 | AD/CVD Duty Totals | C | |
| | NAFTA Duty Deferral Revenue Total Grouping | M | 6 |
| 89 | NAFTA Duty Deferral Revenue Total Detail | M | |
| 90 | NAFTA Duty Deferral Grand Totals | M | |

Designation: **M** = Reporting Mandatory; **C** = Reporting Conditional; **O** = Reporting Optional

## NAFTA Duty Deferral Line Grouping Input Structure Map

| Control ID | Name | Designation | Loop Repeat |
|---|---|---|---|
| | NAFTA Duty Deferral Line Item Grouping | C | 999 |
| 40 | Line Item Header | M | |
| 41 | FTZ Status Information | C | |
| | Article Party Grouping | C | 2 |
| 47 | Article Party | M | |
| | Tariff Grouping | M | 8 |
| 50 | Tariff/Value/Quantity Detail | M | |
| | AD/CVD Case Grouping | C | 2 |
| 51 | AD/CVD Case Detail | M | |
| | NAFTA Duty Deferral Line Revenue Grouping | M | 6 |
| 60 | NAFTA Duty Deferral Line Revenue Detail | M | |
| | NAFTA Country Claim Grouping | C | 99 |
| 61 | NAFTA Country Claim Line Detail | M | |

Designation: **M** = Reporting Mandatory; **C** = Reporting Conditional; **O** = Reporting Optional

## NAFTA Duty Deferral Filing INPUT Record Layouts

### NAFTA Duty Deferral Transaction Grouping

The NAFTA Duty Deferral Transaction Grouping specifies the unique identity of a NAFTA Duty Deferral, control data such as a requested filing action, and conditionally, specific information regarding articles, parties to the transaction, estimations of duties, taxes & fees, etc. It further contains the underlying Warehouse, TIB or FTZ Entry Summary data as well as the NAFTA country entry lines data and finally, payment instructions, and control totals. Each NAFTA Duty Deferral transaction begins with a NAFTA Duty Deferral Header Control (10-Record) record. All records that follow a 10-Record and precede a subsequent 10-Record (or Y-Record Block Control Trailer) record are considered as belonging to that reported NAFTA Duty Deferral. The NAFTA Duty Deferral Transaction Grouping can be reported multiple times within a single block control grouping.

### NAFTA Duty Deferral Header Grouping

The NAFTA Duty Deferral Header Grouping consists of information that applies to all articles reported for the NAFTA export. The NAFTA Duty Deferral Header Grouping can be reported one time only within a single NAFTA Duty Deferral Transaction Grouping.

### NAFTA Duty Deferral Header Control (Input 10-Record)

The 10-Record identifies the NAFTA Duty Deferral, specifies an action request, and clarifies the type of deferral being claimed. It is MANDATORY for each transaction.

| ***10-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **10** | |
| Filing Action Request Code | 1A | 3-3 | M | The action requested for this NAFTA Duty Deferral transaction:<br><br>**A** = Add a NAFTA Duty Deferral<br>**R** = Replace a NAFTA Duty Deferral<br>**D** = Delete/remove a NAFTA Duty Deferral | 1 |
| Filer Code | 3AN | 4-6 | M | Entry Filer's identification code (as assigned by CBP). | |
| Filler | 2S | 7-8 | M | Space fill. Reserved filler for possible future expansion of Entry Filer Code and/or Entry Number. | |
| Entry Number | 8AN | 9-16 | M | Unique identifying number assigned to the NAFTA Duty Deferral Entry by the Filer.<br><br>The check digit must be computed using the formula found in '*NE Table 1 – Check Digit Computation Formula*'. | |
| Claim Type Code | 1AN | 17-17 | C | An indication as to the type of NAFTA Duty Deferral claim being made.<br><br>**1** = **Warehouse**. Claim pertains to merchandise that was entered into a bonded warehouse for | 2, 3 |

| *10-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| | | | | manufacturing, smelting, refining (Classes 6 & 7) and/or manipulation (Class 8) and withdrawn for exportation to Canada or Mexico.<br>**2** = **FTZ**. Claim pertains to merchandise that was manufactured or changed in condition in a foreign trade zone and then withdrawn from the zone for exportation to Canada or Mexico.<br>**3** = **TIB**. Claim pertains to merchandise entered under HTS subheading 9813.00.05 for repair, alteration and subsequently exported to Canada or Mexico.<br><br>The Claim Type Code is MANDATORY if the 10-Record Filing Action Request Code is an **A** (Add) or **R** (Replace). | |
| District/Port of Claim | 4AN | 18-21 | M | The code for the U.S. port where the claim is being filed/processed.<br><br>The District/Port of Claim is MANDATORY if the 10-Record Filing Action Request Code is an **A** (Add) or **R** (Replace). | 2 |
| Broker Reference Number | 9X | 22-30 | C | Filer/Preparer's internal NAFTA Duty Deferral identifier.<br><br>Space fill if not used. | 2 |
| Filler | 7S | 31-37 | M | Space fill | |
| Electronic Signature | 1AN | 38-38 | C | A filer who transmits data or information through any electronic means to CBP certifies, the data or information transmitted is true and correct to the best of the filer's knowledge and belief. The filer also declares that all statements in an electronically transmitted entry, NAFTA Duty Deferral, claim, or other filing, are true and correct to the best of the filer's knowledge and belief. The filer will produce at once any data or information showing that the statements are not true and correct.<br><br>**X** = Filer's Electronic Signature.<br><br>The Electronic Signature is MANDATORY if the 10-Record Filing Action Request Code is an **A** (Add) or **R** (Replace). | 2 |
| Filler | 42S | 39-80 | M | Space fill | |

## Note 1

The **A** (Add) and **R** (Replace) action can conditionally be used **interchangeably** to both create/establish a **new** NAFTA Duty Deferral and to update/correct an **existing** NAFTA Duty Deferral. See Usage Notes '*(a) NAFTA Duty Deferral Filing Actions'*.

## Note 2

The Data element is **not allowed** if the Filing Action Request Code is a **D** (Delete) and must be space filled. If a Delete action has been requested AND data is provided in the data element it will be **REJECTED**. See Usage Notes '*(a) NAFTA Duty Deferral Filing Actions'*, and *'(b) Data Elements Required in Every Filing Scenario'* for more information.

## Note 3

See Usage Notes *'(c) NAFTA Duty Deferral Entry (Part I) and Claim (Part II) Considerations*' for further guidelines for a one- or two-part filing.

**NAFTA Duty Deferral Header Content (Input 11-Record)**

The 11-Record contains additional NAFTA Duty Deferral *content* and is CONDITIONAL for a NAFTA Duty Deferral HEADER Grouping. The 11-Record may be reported one time per summary. If reported, an 11-Record MUST immediately follow the 10-Record (NAFTA Duty Deferral Header Control). Do NOT transmit if NOT required. An 11-Record is MANDATORY if the 10-Record Filing Action Request Code is an **A** (Add) or **R** (Replace). An 11-Record is NOT ALLOWED if the 10-Record Summary Filing Action Request Code is a **D** (Delete).

| ***11-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **11** | |
| Importer of Record Number | 12X | 3-14 | M | Identification of the U.S. party or other entity (individual or firm) liable for payment of all duties and meeting all statutory and regulatory requirements incurred as a result of importation. | 1 |
| Ultimate Consignee Number | 12X | 15-26 | C | Identification of the U.S. party or other entity (individual or firm) on whose account the merchandise is shipped.<br><br>Space fill if not required/not reported. | 2 |
| Designated Notify Party (4811) Number | 12X | 27-38 | C | Identification of the U.S. party or other entity (individual or firm) to whom refunds, bills, or notices of extension of suspension of liquidation are to be sent (if other than the Importer of Record).<br><br>Space fill if not used. | 3 |
| NAFTA Country Entry List Disclaimer | 1AN | 39-39 | C | An indication that NAFTA country entry data associated with the claim is provided:<br><br>**Y** = Associated NAFTA country entry data is provided; at least one NAFTA Country Claim Line Detail (61-Record) submitted.<br><br>Space fill if Associated NAFTA country entry data is not provided. | |
| NAFTA Duty Deferral Country | 2A | 40-41 | M | The country where the goods are being imported into by means of exportation from the US.<br><br>**CA** = Canada.<br>**MX** = Mexico. | |
| Location of Goods Code | 4AN | 42-45 | C | The Facilities Information and Resources Management System (FIRMS) code that identifies the known location of the merchandise at the time of filing.<br><br>If Claim Type Code = 1 (Warehouse) or 2 (FTZ) then a FIRMS code is required. | |

| *11-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| | | | | Space fill if not required/not reported. | |
| Filler | 35S | 46-80 | M | Space fill. | |

## Note 1

The Importer of Record must be formatted in one of the following ways:

- As a SSN: '**NNN-NN-NNNNb**' (Where 'N' is numeric and 'b' is a space).
- As an IRS Number with NO suffix: '**NN-NNNNNNNbb**' (Where 'N' is numeric and 'b' is a space).
- As an IRS Number with a suffix: '**NN-NNNNNNNss**' (Where 'N' is numeric and 's' is A-Z, 0-9 [neither of the positions of the suffix can be space]).
- As a CBP assigned identifier: '**YYDDPP-NNNNN**' (Where 'YY' is calendar year when the number was assigned, 'DDPP' is the district/port where the number was assigned, and 'N' is numeric).

## Note 2

When present on the Ultimate Consignee Number must be formatted in one of the following ways:

- As a SSN: '**NNN-NN-NNNNb**' (Where 'N' is numeric and 'b' is a space).
- As an IRS Number with NO suffix: '**NN-NNNNNNNbb**' (Where 'N' is numeric and 'b' is a space).
- As an IRS Number with a suffix: '**NN-NNNNNNNss**' (Where 'N' is numeric and 's' is A-Z, 0-9 [neither of the positions of the suffix can be space]).
- As a CBP assigned identifier: '**YYDDPP-NNNNN**' (Where 'YY' is calendar year when the number was assigned, 'DDPP' is the district/port where the number was assigned, and 'N' is numeric).

## Note 3

When present Designated Notify (4811) Number must be formatted in one of the following ways:

- As a SSN: '**NNN-NN-NNNNb**' (Where 'N' is numeric and 'b' is a space).
- As an IRS Number with NO suffix: '**NN-NNNNNNNbb**' (Where 'N' is numeric and 'b' is a space).
- As an IRS Number with a suffix: '**NN-NNNNNNNss**' (Where 'N' is numeric and 's' is A-Z, 0-9 [neither of the positions of the suffix can be space]).
- As a CBP assigned identifier: '**YYDDPP-NNNNN**' (Where 'YY' is calendar year when the number was assigned, 'DDPP' is the district/port where the number was assigned, and 'N' is numeric).

The Designated Notify (4811) Party is never required; it is allowed to be reported on any Add or Replace action.

**Export Reference Grouping**

The NAFTA Duty Deferral Export Reference Grouping consists of transportation movement information as it applies to articles reported for the NAFTA export. The NAFTA Duty Deferral Export Reference can be reported up to 99 times within a single NAFTA Duty Deferral HEADER Grouping.

**Export Reference Information (Input 20-Record)**

The 20-Record contains information regarding the Immediate Export/Transport and Export (IE/TE) for the NAFTA export and is OPTIONAL for a NAFTA Duty Deferral HEADER Grouping. If reported, a 20-Record MUST immediately follow the 11-Record (NAFTA Duty Deferral Header Content). A 20-Record is ALLOWED if the 10-Record Filing Action Request Code is an **A** (Add) or **R** (Replace). A 20-Record is NOT ALLOWED if the 10-Record Filing Action Request Code is a **D** (Delete).

| ***20-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **20** | |
| IE/TE Number | 12AN | 3-14 | M | The identifier of the IE/TE related to the NAFTA export. | |
| IE/TE Date | 6D | 15-20 | M | Date that the IE/TE movement referenced by the IE/TE Number took place. | |
| IE/TE Quantity | 8(S)N | 21-28 | M | Total quantity as reported on the IE/TE; total number of units that correspond to the IE/TE Unit of Measure Code. | |
| IE/TE Unit of Measure | 5X | 29-33 | M | A unit of measure code that corresponds to the IE/TE quantity.<br><br>Left justify; trailing spaces. | |
| Filler | 47S | 34-80 | M | Space fill. | |

**Bond Grouping**

The Bond Grouping contains reference to **BOTH** continuous and single transaction bond (STB) information and is CONDITIONAL for a NAFTA Duty Deferral Entry Summary HEADER Grouping. The Bond Detail (31-Record) may be reported up to two times per summary. Do NOT transmit if NOT required. The grouping is MANDATORY if the 10-Record Filing Action Request Code is an **A** (Add) or **R** (Replace). The grouping is NOT ALLOWED if the 10-Record Filing Action Request Code is a **D** (Delete).

**Bond Detail (Input 31-Record)**

The 31-Record contains reference to a *single* Bond. The 31-Record is MANDATORY for a Bond Grouping.

| ***31-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **31** | |
| Bond Type Code | 1AN | 3-3 | M | An indication of the type of bond coverage required for the payment of duties, fees, and taxes, when required.<br><br>**8** = A continuous (multiple transaction) bond.<br>**9** = A single transaction bond (STB). | 1 |
| Bond Designation Type Code | 1AN | 4-4 | M | An indication as to the general purpose of the bond.<br><br>**B** = The basic bond; the bond that secures the NAFTA Duty Deferral requirements.<br>**A** = An additional bond; the bond that secures an AD/CVD or any other aspect not covered by the basic bond requirement.<br>**U =** Substitution single transaction bond; this bond is a substitute for the bond presented at time of entry.<br>**E =** Superseding single transaction bond; this bond supersedes the bond presented at time of entry. | |

| *31-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Continuous Bond Indicator | 1AN | 5-5 | C | An indication that the continuous bond cited here supersedes or is a substitute for the bond presented at time of entry.<br><br>**Y** = Continuous bond supersedes the bond presented at time of entry.<br>**S =** Substitution continuous bond replaces the bond presented at the time of entry.<br><br>Space fill if continuous yet not superseding, substitution, or if STB. | |
| Surety Company Code | 3AN | 6-8 | M | Identification of the Surety company that has underwritten the bond. | |
| Single Transaction Bond Amount | 10(S)N or 10S | 9-18 | C | STB coverage amount in whole U.S. dollars. Right justified with leading spaces and no hyphens allowed.<br><br>Space fill if continuous bond. | |
| Single Transaction Bond Producer Account Number | 10AN | 19-28 | O | The Surety Reference Number from CBP form 301 as assigned by the Surety company of the STB.<br><br>Left justified; trailing spaces. Space fill if continuous bond. | |
| Filler | 52S | 29-80 | M | Space Fill. | |

## Note 1

The Bond Details may be submitted in any order.

**NAFTA Duty Deferral Line Item Grouping**

The NAFTA Duty Deferral LINE ITEM Grouping contains information regarding a single import/export combination and is MANDATORY for a NAFTA Duty Deferral Transaction Grouping. The Line Item Header (40-Record) may be reported up to 999 times per NAFTA Duty Deferral. The grouping is MANDATORY if the 10-Record Filing Action Request Code is an **A** (Add) or **R** (Replace). The grouping is NOT ALLOWED if the 10-Record Filing Action Request Code is a **D** (Delete).

**Line Item Header (Input 40-Record)**

The 40-Record contains information regarding a single import/export and is MANDATORY for a NAFTA Duty Deferral LINE ITEM Grouping.

| ***40-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **40** | |
| Import Entry Filer Code | 3AN | 3-5 | C | The filer code of the Entry Summary for which the NAFTA Duty Deferral is being submitted.<br><br>Mandatory for TIB and Warehouse. | |
| Filler | 2S | 6-7 | M | Space fill. Reserved filler for possible future expansion of Entry Filer Code and/or Entry Number. | |
| Import Entry Number | 8AN | 8-15 | C | The Entry Summary for which the NAFTA Duty Deferral is being submitted.<br><br>Required when Claim Type Code = 1 (Warehouse) or 3 (TIB). Allowed but not required when Claim Type Code = 2 (FTZ). | |
| Import FTZ Number | 7AN | 16-22 | C | The identifying number of the FTZ.<br><br>Required when Claim Type Code = 2 (FTZ). Not allowed when Claim Type code = 1 (Warehouse) or 3 (TIB). | |
| Line Item Identifier | 5N | 23-27 | M | Unique, sequential number identifying the line item within the NAFTA Duty Deferral entry summary.<br><br>Line Item Identifier should start with 1 (‘00001’) and ascend by +1 thereafter. Format with leading zeroes. | |
| Warehouse Entry Process Type Code | 1AN | 28-28 | C | An indication as to the type of processing that took place in the warehouse.<br><br>**1** = Manipulation<br>**2** = Smelting or Manufacturing<br><br>Required when Claim Type Code = 1 (Warehouse). Not allowed when Claim Type Code = 2 (FTZ) or 3 (TIB). | |

| *40-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Date of Exportation to NAFTA Country | 6D | 29-34 | M | Date of the Canadian or Mexican importation.<br><br>If there is more than one importation date (due to multiple Canadian or Mexican entries identified on this NAFTA Duty Deferral), report the earliest importation date. | |
| Quota Indicator | 1AN | 35-35 | C | An indication that the article is subject to quota.<br><br>**Y** = subject to quota<br><br>Space fill if not subject to quota. | |
| AD Case Non-Reimbursement Statement | 1AN | 36-36 | C | For a line with an antidumping case, the Importer's disclosure statement.<br><br>**Y** = "I hereby certify that I have not entered into any agreement or understanding for the payment or for the refunding to me, by the manufacturer, producer, seller, or exporter, of all or any part of the antidumping duties or countervailing duties assessed upon merchandise entered under this AD/CVD line of this entry summary. I further certify that U.S. Customs and Border Protection will be notified if there is any reimbursement of antidumping or countervailing duties by the manufacturer, producer, seller, or exporter to the importing company at any time in the future for this AD/CVD line."<br><br>Specify '**Y**' only if the line includes an AD case.<br><br>Space fill if:<br>• No cases are being reported on this line<br>• Only a CVD case is being reported for this line<br>• An AD case is being reported, yet no declaration is being made. | |
| Export Tariff Number | 10AN | 37-46 | M | A numeric code from the Harmonized Tariff Schedule that describes/classifies the exported article. | |
| Filler | 34S | 47-80 | M | Space fill. | |

**FTZ Status Information (Input 41-Record)**

The 41-Record is CONDITIONAL for a NAFTA Duty Deferral LINE ITEM Grouping. The 41-Record is required when Claim Type Code = 2 (FTZ); not allowed when Claim Type Code = 1 (Warehouse) or 3 (TIB). The 41-Record may be reported one time per line item. Do not submit if not required.

| ***41-Record*** **Data Element** | **Length /Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **41** | |
| FTZ Merchandise Status Code | 1AN | 3-3 | M | An indication as to the 'status' of the FTZ merchandise:<br><br>**P** = Privileged Foreign<br>**N** = Non-Privileged Foreign<br>**D** = Domestic | |
| Privileged FTZ Merchandise Filing Date | 6D or 6S | 4-9 | C | For Privileged Foreign (i.e., that merchandise that has not been manipulated or manufactured so as to effect a change in tariff), the date the merchandise entered the zone.<br><br>Space fill if NOT Privileged Foreign. | |
| Country of Origin Code | 2X | 10-11 | M | The country from which the article originated.<br><br>Report standard ISO Country Code or '**' if the country of origin is not known. | |
| Country of Export Code | 2AN | 12-13 | C | The country from which the article was shipped to the U.S. having last been a part of the commerce of that country. Report standard ISO Country Code.<br><br>Space fill if not required/not reported. | |
| Trade Agreement/Special Program Claim Code | 2AN | 14-15 | C | A code that specifies an applicable trade agreement or applicable program that may reduce or eliminate duty and/or MPF.<br><br>See 'NE Table 2 – Trade Agreement / Special Program Claim Codes' for a list of codes. Space fill if not used. | |
| Product Claim Code | 1AN | 16-16 | C | A code that further identifies a product. The code may exempt a visa reporting requirement.<br><br>**F =** A 'folklore product' (hand-loomed fabric, hand-made articles made of hand-loomed fabric and traditional products of the cottage industry).<br><br>**G =** A 'made to measure' suit of Hong Kong origin. The Category Codes associated with suits are 443, 444, 643, 644, 843 and 844. | |

| *41-Record* Data Element | Length /Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| | | | | **H** = Certain garments in chapter 61 or 62 of the HTS which may be eligible for entry under a special access program.<br><br>**M** = A textile fashion sample.<br><br>Space fill if not used. | |
| Filler | 64S | 17-80 | M | Space fill. | |

**Article Party Grouping**

The Article Party Grouping contains party identifiers relevant to the article and is CONDITIONAL for a NAFTA Duty Deferral LINE ITEM Grouping. The grouping is required when Claim Type Code = 2 (FTZ); not allowed when Claim Type Code = 1 (Warehouse) or 3 (TIB). The Article Party (47-Record) may be reported up to two times per Line Item.

**Article Party (Input 47-Record)**

The 47-Record contains information about a single article level business entity. The 47-Record is MANDATORY for an Article Party Grouping. Do not submit if not required.

| ***47-Record*** **Data Element** | **Length /Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **47** | |
| Article Party Type Code | 1AN | 3-3 | M | The type of Party reported in the Article Party Identifier:<br><br>**M** = Manufacturer/Supplier<br>**E** = Foreign Exporter | 1 |
| Article Party Identifier | 15AN | 4-18 | M | The identifying code of the party.<br><br>Required when Type Code = **M**:<br><br>Manufacturer / Supplier Code.<br><br>Identification of the manufacturer/supplier. See CBP Directive 3500-13 (November 1986) for algorithm directions.<br><br>When reported, left justify, space fill.<br><br>Required when Type Code = **E**<br><br>Foreign Exporter Code.<br><br>Identification of the foreign exporter. See CBP Directive 3500-13 (November 1986) for algorithm directions.<br><br>When reported, left justify, space fill. | 2, 3 |
| Filler | 62S | 19-80 | M | Space fill. | |

## Note 1

Article parties may be reported in any order.

## Note 2

When present, the Manufacturer/Supplier Code (or MID) should be formatted in a manner consistent with the algorithm described in CBP Directive 3500-13 (November 1986).

- The ID must be at least eight characters in length, must consist of uppercase characters A-Z and numerals 0-9, and must not contain any embedded spaces.
- The first two characters must be a known ISO Country Code (or a Canadian Province code).

## Note 3

When present, the Foreign Exporter Code should be formatted in a manner consistent with the algorithm described in CBP Directive 3500-13 (November 1986).

- The ID must be at least eight characters in length, must consist of uppercase characters A-Z and numerals 0-9, and must not contain any embedded spaces.
- The first two characters must be a known ISO Country Code (or a Canadian Province code).

**Tariff Grouping**

The Tariff Grouping contains classification information of the article as used in the export and is MANDATORY for a NAFTA Duty Deferral LINE ITEM Grouping. The Tariff/Value/Quantity Detail (50-Record) may be reported up to 8 times per Line Item.

**Tariff/Value/Quantity Detail (Input 50-Record)**

The 50-Record contains the exported value, quantities and units of measures, and duty for a single tariff classification and is MANDATORY for a Tariff Grouping.

| ***50-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **50** | |
| Import HTS Number | 10AN | 3-12 | M | A numeric code from the Harmonized Tariff Schedule that fully or partially describes/classifies the imported article.<br><br>Report the full 10-digit classification number unless a legitimate 8-digit-ONLY classification number applies. | |
| Filler | 1S | 13-13 | M | Space fill. | |
| Export Duty Amount | 10(S)N | 14-23 | M | The duty amount estimated for the article as used in the export and/or specifically the HTS Number reported in U.S. dollars.<br><br>Two decimal places are implied. Report zero if no duty applies. | 1 |
| Filler | 1S | 24-24 | M | Space fill. | |
| Export Value of Goods Amount | 10(S)N | 25-34 | M | Value of the article as used in the export, as associated to the HTS Number, reported in whole U.S. dollars.<br><br>Report zero if not required/not reported. | |
| Filler | 1S | 35-35 | M | Space fill. | |
| Export Quantity (1) | 12(S)N or 12S | 36-47 | C | Total number of primary units as used in the export, associated with the HTS Number that corresponds to UOM Code (1).<br><br>Two decimal places are implied. Space fill if quantity not required/does not apply. | |
| Unit of Measure Code (1) | 3AN | 48-50 | M | A unit of measure code that corresponds to the Quantity (1) as prescribed by the HTS Number reported.<br><br>The unit of measure must match exactly the unit of measure as listed in the Harmonized Tariff Schedule for the tariff number shown in positions 3-12 of this record. | |

| *50-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Export Quantity (2) | 12(S)N or 12S | 51-62 | C | Total number of secondary units, associated with the HTS Number as used in the export that corresponds to UOM Code (2).<br><br>Two decimal places are implied. Space fill if quantity not required/does not apply. | |
| Unit of Measure Code (2) | 3AN | 63-65 | C | A unit of measure code that corresponds to the Quantity (2) as prescribed by the HTS Number reported.<br><br>Space fill if not required. | |
| Export Quantity (3) | 12(S)N or 12S | 66-77 | C | Total number of tertiary units, associated with the HTS Number as used in the export that corresponds to UOM Code (3).<br><br>Two decimal places are implied. Space fill if quantity not required/does not apply. | |
| Unit of Measure Code (3) | 3AN | 78-80 | C | A unit of measure code that corresponds to the Quantity (3) as prescribed by the HTS Number reported.<br><br>Space fill if not required. | |

## Note 1

Report zeroes if duty required, yet computes to less than $0.01.

**AD/CVD Case Grouping**

The AD/CVD Case Grouping contains antidumping and countervailing case information and is CONDITIONAL for a NAFTA Duty Deferral LINE ITEM Grouping. The AD/CVD Case Detail (51-Record) may be reported up to 2 times per Line Item.

**AD/CVD Case Detail (Input 51-Record)**

The 51-Record contains a reference to a *single* antidumping or countervailing case. The 51-Record is MANDATORY for an AD/CVD Case Grouping. Do not submit if not required.

| ***51-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **51** | |
| Case Number | 10AN | 3-12 | M | The identifying number of the case. Do not include hyphens ('-'). | 1 |
| Bond/Cash Claim Code | 1AN | 13-13 | M | An indication as to whether the duty amount is to be collected as a cash deposit or considered as under a bond as prescribed by the case.<br><br>**B** = The duty amount is to be covered under a surety bond.<br>**C** = The duty amount is to be collected as a cash deposit. | |
| Case Deposit Rate | 8(S)N | 14-21 | M | The applicable deposit rate, prescribed by the case, which corresponds to the Case Rate Type Qualifier Code.<br><br>Two decimal places are implied. | 2 |
| Case Rate Type Qualifier Code | 1AN | 22-22 | M | The 'type' of rate prescribed by the case, which corresponds to the applicable deposit rate.<br><br>**A** = The case rate is an *ad valorem* rate.<br>**S** = The case rate is a *specific* rate. | |
| Filler | 2S | 23-24 | M | Space fill. | |
| AD/CVD Value of Goods Amount | 10(S)N | 25-34 | C | Value of the article, to be used exclusively and in lieu of any other article value for the specific purpose of calculating any estimated antidumping or countervailing duty (when an *ad valorem* rate applies), reported in whole U.S. dollars. Right justified with leading spaces and no hyphens allowed.<br><br>Zero fill if there is no deposit value/does not apply. | 3 |

| *51-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| AD/CVD Quantity | 12(S)N | 35-46 | C | Total number of primary units (which corresponds to the UOM Code prescribed by the case) to be used for calculating the estimated antidumping or countervailing duty (when a *specific* rate applies).<br><br>Four decimal places are implied. Zero fill if quantity not required/does not apply. | 4 |
| AD/CVD Duty Amount | 10(S)N | 47-56 | M | The duty amount estimated relevant to the case reported in U.S. dollars.<br><br>Two decimal places are implied. | 5 |
| AD/CVD Non-Reimbursement Declaration Identifier | 10AN | 57-66 | C | Identifier of the blanket AD/CVD Non-Reimbursement Declaration that includes this Case Number.<br><br>Space fill if no declaration is made. | |
| Filler | 14S | 67-80 | M | Space fill. | |

## Note 1

Cases may be reported in any order.

## Note 2

The applicable deposit rate, prescribed by the case.

If the deposit rate is an ad valorem rate, indicated by an “A” in the Case Rate Type Qualifier Code, the Case Deposit Rate is a percentage to be reported with 2 implied decimals. Examples:

- If the rate is 10.17%, report the Case Deposit Rate as 00001017.
- If the rate is 25%, report the Case Deposit Rate as 00002500.
- If the rate is 200%, report the Case Deposit Rate as 00020000.

If the deposit rate is a specific rate, indicated by an “S” in the Case Rate Type Qualifier Code, the Case Deposit Rate is a dollar (and cents) value with 2 implied decimals. For example, if the specific rate is $110.25 per unit, report the Case Deposit Rate as 00011025.

## Note 3

Only report and use the AD/CVD Value of Goods Amount when the Department of Commerce indicates that a value different from the value of goods amount (as reported in the 50-record) for the tariff should be used to calculate the AD/CVD duty.

## Note 4

Only report and use the AD/CVD Quantity when the Department of Commerce indicates that a specific rate applies for the case being reported and, therefore, must be used to calculate the AD/CVD duty.

## Note 5

Report zeroes if duty is required/applies, yet computes to less than $0.01.

**NAFTA Duty Deferral Line Item Revenue Grouping**

The Line Item Revenue Grouping contains revenue amounts for each class of revenue applicable to the NAFTA Duty Deferral line. The grouping is MANDATORY for a NAFTA Duty Deferral Line Item Grouping. The Line Revenue Detail (60-Record) may be reported up to 6 times per NAFTA Duty Deferral Line Item.

**NAFTA Duty Deferral Line Item Revenue Detail (Input 60-Record)**

The 60-Record is MANDATORY for the NAFTA Duty Deferral Line Item Revenue Grouping. And contains up to 5 class code/revenue amount pairs. A class code/revenue amount pair should be created to account for the reported 50-records and 51-records.

| ***60-Record*** **Data Element** | **Length/ Class** | **Position** | **Design** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **60** | |
| Accounting Class Code (1) | 3AN | 3-5 | M | CBP accounting classification code representing a specific revenue type. | 1,2 |
| Line Revenue Amount (1) | 8(S)N | 6-13 | M | The applicable revenue amount reported in U.S. dollars.<br><br>Two decimal places are implied. | |
| Filler | 1S | 14-14 | M | Space fill. | |
| Accounting Class Code (2) | 3AN | 15-17 | C | An additional revenue code and amount for the line. | 1,2 |
| Line Revenue Amount (2) | 8(S)N | 18-25 | C | Space fill if not used. | |
| Filler | 1S | 26-26 | M | Space fill. | |
| Accounting Class Code (3) | 3AN | 27-29 | C | An additional revenue code and amount for the line. | 1,2 |
| Line Revenue Amount (3) | 8(S)N | 30-37 | C | Space fill if not used. | |
| Filler | 1S | 38-38 | M | Space fill. | |
| Accounting Class Code (4) | 3AN | 39-41 | C | An additional revenue code and amount for the line. | 1,2 |
| Line Revenue Amount (4) | 8(S)N | 42-49 | C | Space fill if not used. | |
| Filler | 1S | 50-50 | M | Space fill. | |
| Accounting Class Code (5) | 3AN | 51-53 | C | An additional revenue code and amount for the line. | 1,2 |
| Line Revenue Amount (5) | 8(S)N | 54-61 | C | Space fill if not used. | |
| Filler | 19S | 62-80 | M | Space fill. | |

## Note 1

See 'NE Table 3 –Accounting Class Codes' for a list those codes supported in this transaction.

## Note 2

ALWAYS report NAFTA Duty Deferral (Accounting Class Code = 014) as the first revenue amount on the first 60-Record. Report the duty amount as $0.00 if no duty applies.

ALWAYS report formal MPF (Accounting Class Code = 499) as the second revenue amount on the first 60-Record. Report the formal MPF amount as $0.00 if no MPF applies.

All other revenue amounts (other than duty and MPF) may be reported in any Accounting Class Code order, if more than one additional class applies.

**NAFTA Country Claim Grouping**

The NAFTA Country Claim Grouping contains information regarding the NAFTA Country line level information and is OPTIONAL for a NAFTA Duty Deferral LINE ITEM Grouping.

**NAFTA Country Claim Line Detail (Input 61-Record)**

The 61-Record contains the NAFTA Country Claim details for the line grouping and is OPTIONAL for a NAFTA Country Claim Line Grouping and can be repeated up to 99 times.

The NAFTA Country Claim Line Detail is considered as the NAFTA Duty Deferral Claim portion (Part II).

See Usage Notes '(c) NAFTA Duty Deferral Entry (Part I) and Claim (Part II) Considerations' for further guidelines for a one- or two-part filing.

| ***61-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **61** | |
| NAFTA Country Entry Number | 20AN | 3-22 | M | The number/identifier assigned to the NAFTA country's export entry. | |
| NAFTA Country Entry Date | 6D | 23-28 | M | The entry date of the NAFTA country's export entry.<br><br>May not be later than the submission date of the NAFTA Deferred Duty filing. | |
| NAFTA Country Harmonized Tariff Number | 10AN | 29-38 | M | The NAFTA country's HS tariff number. | 1 |
| NAFTA Country Duty Rate | 12(S)N | 39-50 | M | The duty rate associated with the HS tariff number.<br><br>Eight decimal places are implied. | 2 |
| NAFTA Country Paid Duty Foreign Amount | 8(S)N | 51-58 | M | The amount of paid duty to the NAFTA country in the NAFTA Country's currency for the HS tariff.<br><br>Two decimal places are implied. | |
| NAFTA Country Paid Duty US Amount | 8(S)N | 59-66 | M | The amount of NAFTA country paid duty in U.S. dollars for the HS tariff.<br><br>Two decimal places are implied. | |
| Filler | 24AN | 67-80 | M | Space fill. | |

## Note 1

For Mexico, use the HS number found on the Pedimento. When the number reported is 6 or 8-digits, left justify and space fill the remaining positions with zeroes.

For Canada, a full 10-digit number must be reported.

## Note 2

Report as a decimal equivalent of the rate found in the foreign HTS schedule.

Examples:

- If the rate is 10.17%, report the NAFTA Country Duty Rate as '000010170000'.
- If the rate is 25%, report the NAFTA Country Duty Rate as '000025000000'.
- If the rate is 280%, report the NAFTA Country Duty Rate as '000280000000'.

**NAFTA Duty Deferral Revenue Control Totals Grouping**

The NAFTA Duty Deferral Revenue Control Totals Grouping contains the payment/handling instructions, revenue subtotals and grand totals and is CONDITIONAL for a NAFTA Duty Deferral TRANSACTION Grouping. Do NOT transmit if NOT required. The grouping is MANDATORY if the 10-Record Filing Action Request Code is an **A** (Add) or **R** (Replace). The grouping is NOT ALLOWED if the 10-Record Filing Action Request Code is a **D** (Delete).

**NAFTA Duty Deferral Payment Handling Detail (Input 87-Record)**

The 87-Record contains the NAFTA Duty Deferral payment / handling instructions.

Specification of the Payment Type Code in the 87-Record is the sole indication that Part I and, if included, Part II are complete and ready to be recognized/processed by CBP. See Usage Notes '(c) NAFTA Duty Deferral Entry (Part I) and Claim (Part II) Considerations' for further guidelines for a one- or two-part filing.

| ***87-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **87** | |
| Payment Type Code | 1AN | 3-3 | C | A code that specifies the intended payment method for the NAFTA Duty Deferral. If statement is the chosen method, the code further specifies the type of payment (Daily or Periodic) and how the system will batch the entry summaries for statement processing.<br><br>**1** = Individual payment (NOT on a statement).<br><br>**DAILY STATEMENT CODES**<br><br>**2** = NAFTA Duty Deferral will be batched by preliminary statement print date and filer code.<br>**3** = NAFTA Duty Deferral will be batched by preliminary statement print date, filer code, and full importer of record number.<br>**5** = NAFTA Duty Deferral will be batched by preliminary statement print date, filer code, and importer of record number without suffix.<br><br>Note: If the Statement Client Branch Identifier is included, the system will further sort/group the statement batch by the identifier.<br><br>Note: A NAFTA Duty Deferral cannot be scheduled on a Periodic Monthly Statement (PMS). | 1 |

| *87-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Filler | 1S | 4-4 | M | Space fill. | |
| Preliminary Statement Print Date | 6D or 6S | 5-10 | C | The date that the NAFTA Duty Deferral is to appear on the Preliminary Statement.<br><br>Space fill if not on Statement or if statement fields not allowed. | 1 |
| Filler | 1S | 11-11 | M | Space fill. | |
| Statement Client Branch Identifier | 2AN | 12-13 | C | A Filer assigned code that further groups Entry Summaries on a statement.<br><br>Space fill if the participant does not use or if statement fields not allowed. | 1 |
| Filler | 64S | 14-80 | M | Space fill. | |

## Note 1

If the filing is to correct a NAFTA Duty Deferral ES that is in CBP Reject status, payment/handling intent information is not allowed. Submit the 87-Record; however, leave all of the data elements blank/space.

**AD/CVD Duty Totals (Input 88-Record)**

The 88-Record contains AD/CVD duty subtotals and is CONDITIONAL for a NAFTA Duty Deferral TOTALS Grouping. Required is any AD/CVD Case Detail (51-Record) submitted for the claim. Do not submit if not required.

| ***88-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **88** | |
| Total Bonded AD Duty Amount | 11(S)N | 3-13 | C | Total bonded AD duty amount for NAFTA Duty Deferral.<br><br>Two decimal places are implied. Zero fill if not applicable. | |
| Filler | 1S | 14-14 | M | Space fill. | |
| Total Cash Deposit AD Duty Amount | 11(S)N | 15-25 | C | Total cash deposit AD duty amount for NAFTA Duty Deferral.<br><br>Two decimal places are implied. Zero fill if not applicable. | |
| Filler | 1S | 26-26 | M | Space fill. | |
| Total Bonded CV Duty Amount | 11(S)N | 27-37 | C | Total bonded CV duty amount for NAFTA Duty Deferral.<br><br>Two decimal places are implied. Zero fill if not applicable. | |
| Filler | 1S | 38-38 | M | Space fill. | |
| Total Cash Deposit CV Duty Amount | 11(S)N | 39-49 | C | Total cash deposit CV duty amount for NAFTA Duty Deferral.<br><br>Two decimal places are implied. Zero fill if not applicable. | |
| Filler | 31S | 50-80 | M | Space fill. | |

**NAFTA Duty Deferral Revenue Total Grouping**

The NAFTA Duty Deferral Revenue Total Grouping contains revenue subtotals and is mandatory in the NAFTA Duty Deferral Revenue Control Totals. The NAFTA Duty Deferral Revenue Total Detail (89-Record) may be reported up to 6 times in the NAFTA Duty Deferral Revenue Control Totals.

**NAFTA Duty Deferral Revenue Total Detail (Input 89-Record)**

The 89-Record contains Class Code and revenue subtotals for all revenue and is MANDATORY for a NAFTA Duty Deferral Revenue Total Grouping.

| ***89-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **89** | |
| Accounting Class Code (1) | 3AN | 3-5 | M | CBP accounting classification code representing a specific fee type previously reported at the NAFTA Duty Deferral Line Item Revenue Detail (60-Record) level. | 1, 2 |
| Total Revenue Amount (1) | 11(S)N | 6-16 | M | Total estimated revenue amount that corresponds to Accounting Class Code (1) reported in U.S. dollars.<br><br>Two decimal places are implied. | |
| Filler | 1S | 17-17 | M | Space fill. | |
| Accounting Class Code (2) | 3AN | 18-20 | C | An additional revenue total class and total estimated revenue amount.<br><br>Space fill if not required/not reported. | 1, 2 |
| Total Revenue Amount (2) | 11(S)N or 11S | 21-31 | C | | |
| Filler | 1S | 32-32 | M | Space fill. | |
| Accounting Class Code (3) | 3AN | 33-35 | C | An additional revenue total class and total estimated revenue amount.<br><br>Space fill if not required/not reported. | 1, 2 |
| Total Revenue Amount (3) | 11(S)N or 11S | 36-46 | C | | |
| Filler | 1S | 47-47 | M | Space fill. | |
| Accounting Class Code (4) | 3AN | 48-50 | C | An additional revenue total class and total estimated revenue amount.<br><br>Space fill if not required/not reported. | 1, 2 |
| Total Revenue Amount (4) | 11(S)N or 11S | 51-61 | C | | |
| Filler | 1S | 62-62 | M | Space fill. | |
| Accounting Class Code (5) | 3AN | 63-65 | C | An additional revenue total class and total estimated revenue amount.<br><br>Space fill if not required/not reported. | 1, 2 |
| Total Revenue Amount (5) | 11(S)N or 11S | 66-76 | C | | |
| Filler | 4S | 77-80 | M | Space fill. | |

## Note 1

See '*NE Table 3 – Accounting Class Codes*' for a list those codes supported in this transaction.

## Note 2

When required, ALWAYS report NAFTA Duty Deferral duty (Accounting Class Code = 014) as the first revenue amount on the first 89-Record. Report the duty amount as $0.00 if no duty applies.

When required, ALWAYS report formal MPF (Accounting Class Code = 499) as the second revenue amount on the first 89-Record. Report the formal MPF amount as $0.00 if no MPF applies.

All other revenue amounts (other than duty and MPF) may be reported in any Accounting Class Code order, if more than one additional class applies.

**NAFTA Duty Deferral Grand Totals (Input 90-Record)**

The 90-Record contains revenue grand duty totals. The 90-Record is MANDATORY in a NAFTA Duty Deferral Revenue Control Totals group. The 90-Record may be reported one time.

| ***90-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **90** | |
| Grand Total NAFTA Country Duty Paid Amount | 11(S)N | 3-13 | C | NAFTA country paid duty for the claim reported in U.S. dollars.<br><br>Two decimal places are implied. | 1 |
| Filler | 1S | 14-14 | M | Space fill. | |
| Grand Total Duty Owed Amount | 11(S)N | 15-25 | M | Total duty owed to CBP for the claim reported in U.S. dollars.<br><br>If no duty is owed, report zeroes.<br><br>Two decimal places are implied. | 2 |
| Filler | 55S | 26-80 | M | Space fill. | |

## Note 1

Report the sum of all 61-Record NAFTA Country Paid Duty US Amount data elements.

## Note 2

This figure is the difference between the duty amount that would have been paid to the U.S. and the Grand Total NAFTA Country Duty Paid.

If the amount that would have been paid to the U.S. is GREATER THAN the Grand Total NAFTA Country Duty Paid report the difference.

If the amount that would have been paid to the U.S. is LESS THAN or EQUAL TO the Grand Total NAFTA Country Duty Paid report $0.00.

## NAFTA Duty Deferral Filing - Usage Notes

The following sub-sections contain information regarding the filing and correction of a NAFTA Duty Deferral.

### a) NAFTA Duty Deferral Filing Actions

To establish and maintain a NAFTA Duty Deferral, three 'actions' are provided (Filing Action Request Code). With one exception, the **A** (Add) and **R** (Replace) actions can be used interchangeably.

Use the **A** (Add) action to:

- Establish an initial NAFTA Duty Deferral.
- To replace (i.e., re-add) an existing NAFTA Duty Deferral when the initial filing of the NAFTA Duty Deferral included a Broker Reference Number (10-Record). The Broker Reference Number specified in the replace transaction MUST match exactly that reported in the initial filing.

Use the **R** (Replace) action to:

- Establish an initial NAFTA Duty Deferral.
- To replace an existing NAFTA Duty Deferral without checking that the initial Broker Reference Number, if any, matches the replacement Broker Reference Number, if any.

Use the **D** (Delete) action to:

- Delete/remove an existing NAFTA Duty Deferral.

A NAFTA Duty Deferral ES that has been formally 'accepted' by CBP can be neither replaced nor deleted.

- After payment has been made and a CBP Officer has placed the Entry Summary in a 'rejected' state.

Otherwise, a NAFTA Duty Deferral ES that has been formally 'accepted' by CBP can be neither replaced nor deleted.

### b) Data Elements Required in Every Filing Scenario

The following 10-Record data elements are required in **EVERY** filing scenario (Add, Replace, or Delete):

| Control ID | Data Element | Reporting |
|---|---|---|
| 10 | Filing Action Request Code | M |
| 10 | Entry Filer Code | M |
| 10 | Entry Number | M |
| 10 | Claim Type Code | M |
| 10 | District/Port of Claim | M |

Reporting Key: **M** = Mandatory

### c) NAFTA Duty Deferral Entry (Part I) and Claim (Part II) Considerations

A NAFTA Duty Deferral entry summary consists of up to two parts:

- The **Entry portion (Part I)**, which is mandatory, consists of the U.S. import/export information setting forth the filer's obligation for U.S. duties due and payable. Part I should be submitted within 10 working days after the date of export. In this NE transaction, all of the data records, with the exception of the 'NAFTA Country Claim Line Detail' (61-Record), are considered as the Entry portion (Part I).

- The **Claim portion (Part II)**, which is optional, consists of the required satisfactory evidence, i.e., the Canadian or Mexican entry information, submitted to claim a waiver or reduction of U.S. duties owed along with any payment of any duties and fees. In this NE transaction, inclusion of the 'NAFTA Country Claim Line Detail' (61-Record) is considered as the 'optional' Claim portion (Part II). If the 'optional' Claim portion is to be submitted, the 61-Records should be included in/added to a Part I filing within 60 calendar days from the date of export. Note that the Part II 61-Records may be included in the initial filing if the information is available/known; it is not a requirement that two separate filings occur.

In this NE transaction, specification of the Payment Type Code in the 87-Record is the sole indication that Part I and, if included, Part II are complete and ready to be recognized/processed by CBP. Regardless of whether Part II has been included, the summary will remain in a 'Trade Control' status if no Payment Type Code is specified. Specifying 'payment intent' starts the process of transitioning the summary (and its provided parts) to a CBP Control status. Changes cannot be made to a summary in CBP Control Status unless the summary has been specifically 'rejected' (by an Import Specialist) back to the Filer for a correction.

## Output Record Structure Map

The following table illustrates how repeating groups are structured and returned in a proprietary format NAFTA Duty Deferral filing response by ACE (when Batch Control Header - A-Record - Application Identifier Code = NX).

| Control ID | Name | Designation | Loop Repeat |
|---|---|---|---|
| | NAFTA Duty Deferral Response Transaction Grouping | | |
| E0 | NAFTA Duty Deferral Condition Reference (NAFTAD) | M | |
| | Condition Reference Grouping | C | > 1 |
| E0 | NAFTA Duty Deferral Condition Reference | M | |
| | Condition Grouping | C | > 1 |
| E1 | NAFTA Duty Deferral **Condition**/Disposition Response | M | |
| E1 | NAFTA Duty Deferral Condition/**Disposition** | M | |

**Note:** Alphabetic characters in any Transaction Grouping data element received from CBP in the response will be uppercase.

# NAFTA Duty Deferral Response OUTPUT Record Layout

### NAFTA Duty Deferral Response Transaction Grouping

A NAFTA Duty Deferral Condition Reference (type: **NAFTAD**) will unconditionally be returned to the Filer/Transmitter in an output response.

Other NAFTA Duty Deferral Condition Reference types may also conditionally be returned to the Filer/Transmitter in an output response, as well, as an aid to identify which data element in the submission has caused or contributed to a fatal or informational condition.

### NAFTA Duty Deferral Condition Reference (Output E0).

The NAFTA Duty Deferral Condition Reference may be returned in the output multiple times within a single response NAFTA Duty Deferral Response Transaction Grouping.

The output record conveys to the Filer/Transmitter which data grouping component in the submission has caused or contributed to a fatal or informational condition.

| ***E0-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **E0** | |
| Filler | 1S | 3-3 | M | Always space. | |
| Reference Data Type Code | 6AN | 4-9 | | An indication as to the type of reference information returned.<br><br>See table below '*Returned NAFTA Duty Deferral Reference Data*' for a list of codes. | |
| Filler | 1S | 10-10 | M | Always space fill. | |
| Occurrence Position | 6N | 11-16 | M | If a repeating group, the relative position of the submitted input detail within the grouping, otherwise zero. | |
| Filler | 1S | 17-17 | M | Always space fill. | |
| Reference ID Constant | 7X | 18-24 | M | Always '**REF ID:**'. | |
| Filler | 1S | 25-25 | M | Always space fill. | |
| Reference Data Text | 55X | 26-80 | M | Identifying data extracted from the submitted input that corresponds to the Reference Data Type Code.<br><br>See table below '*Returned NAFTA Duty Deferral Reference Data*' for details of the returned data. | |

**Returned NAFTA Duty Deferral Reference Data**

<table>
<tr><th>Reference Data Type Code</th><th>Description / Usage</th><th>Returned ‘Reference Data Text’ Content</th></tr>
<tr><td>NAFTAD</td><td><u>Description:</u> NAFTA Duty Deferral Identifier.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the NAFTA Duty Deferral Transaction within the Block Control Grouping (10-Record). Type will unconditionally be returned.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>1-3</td><td>Entry Filer Code</td></tr><tr><td>4-5</td><td>Space.</td></tr><tr><td>6-13</td><td>Entry Summary Number</td></tr><tr><td>14-14</td><td>Space.</td></tr><tr><td>15-26</td><td>Broker Reference Number</td></tr><tr><td>27-55</td><td>Space.</td></tr></table></td></tr>
<tr><td>EXPORT</td><td><u>Description:</u> Export Reference Information grouping.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Export Reference Information (20-Record) within the NAFTA Duty Deferral Header Grouping.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>1-12</td><td>IE/TE Number</td></tr><tr><td>13-13</td><td>Space.</td></tr><tr><td>14-21</td><td>IE/TE Quantity</td></tr><tr><td>22-22</td><td>Space.</td></tr><tr><td>23-37</td><td>IE/TE Quantity Unit of Measure Code</td></tr><tr><td>38-55</td><td>Space.</td></tr></table></td></tr>
<tr><td>BNDDTL</td><td><u>Description:</u> Bond grouping.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Bond Detail (31-Record) within the NAFTA Duty Deferral Header Grouping.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>1-1</td><td>Bond Type Code</td></tr><tr><td>2-2</td><td>Space.</td></tr><tr><td>3-3</td><td>Bond Designation Type Code</td></tr><tr><td>4-4</td><td>Space.</td></tr><tr><td>5-7</td><td>Surety Company Code</td></tr><tr><td>8-55</td><td>Space.</td></tr></table></td></tr>
<tr><td>LINITM</td><td><u>Description:</u> Line item grouping.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Line Item Header (40-Record) within the NAFTA Duty Deferral Transaction Grouping.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>1-5</td><td>Line Item Identifier</td></tr><tr><td>6-55</td><td>Space.</td></tr></table></td></tr>
<tr><td>ARPART</td><td><u>Description:</u> Article Party grouping.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Article Party (47-Record) within the NAFTA Deferred Duty Line Item Grouping.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>1-1</td><td>Article Party Identifier Type Code</td></tr><tr><td>2-2</td><td>Space.</td></tr><tr><td>3-17</td><td>Article Party Identifier</td></tr><tr><td>18-55</td><td>Space.</td></tr></table></td></tr>
</table>

<table>
<tr><th>Reference Data Type Code</th><th>Description / Usage</th><th>Returned ‘Reference Data Text’ Content</th></tr>
<tr><td>TARIFF</td><td><u>Description:</u> Harmonized tariff number grouping.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Tariff/Value/Quantity Detail (50-Record) within the NAFTA Duty Deferral Line Item Grouping.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>1-10</td><td>HTS Number</td></tr><tr><td>11-55</td><td>Space.</td></tr></table></td></tr>
<tr><td>TARQTY</td><td><u>Description:</u> Harmonized tariff quantity/UOM grouping.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Quantity / Unit of Measure Code (1, 2, or 3) within the relevant Tariff / Value/ Quantity Detail (50-Record).</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>1-12</td><td>Quantity</td></tr><tr><td>13-13</td><td>Space.</td></tr><tr><td>14-16</td><td>Unit of Measure Code</td></tr><tr><td>17-55</td><td>Space.</td></tr></table></td></tr>
<tr><td>ADDCVD</td><td><u>Description:</u> AD/CVD case grouping.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the AD/CVD Case Detail (51-Record) within the NAFTA Duty Deferral Line Item Grouping.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>1-10</td><td>Case Number</td></tr><tr><td>11-80</td><td>Space.</td></tr></table></td></tr>
<tr><td>NDDREV</td><td><u>Description:</u> NAFTA Duty Deferral Line Revenue Detail.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Line Revenue Detail (60-Record) within the NAFTA Duty Deferral Line Item Grouping.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>1-3</td><td>Accounting Class Code</td></tr><tr><td>4-4</td><td>Space.</td></tr><tr><td>5-12</td><td>Revenue Amount</td></tr><tr><td>13-55</td><td>Space.</td></tr></table></td></tr>
<tr><td>NDDCLM</td><td><u>Description:</u> NAFTA Country Claim Line Grouping identifier.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the NAFTA Country Claim Line Detail (61-Record) within the NAFTA Duty Deferral Line Item Grouping.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>1-14</td><td>NAFTA Country Entry Number</td></tr><tr><td>15-55</td><td>Space.</td></tr></table></td></tr>
</table>

<table>
<tr><th>Reference Data Type Code</th><th>Description / Usage</th><th>Returned ‘Reference Data Text’ Content</th></tr>
<tr><td>TOTALS</td><td><u>Description:</u> Payment Handling Detail Identifier<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Payment Handling (87-Record) within the NAFTA Duty Deferral Transaction Grouping. Type will unconditionally be returned when ANY condition found in the NAFTA Duty Deferral Totals.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>1-1</td><td>Payment Type Code</td></tr><tr><td>2-2</td><td>Space.</td></tr><tr><td>3-8</td><td>Preliminary Statement Print Date</td></tr><tr><td>9-9</td><td>Space.</td></tr><tr><td>10-11</td><td>Statement Client Branch Identifier</td></tr><tr><td>12-55</td><td>Space.</td></tr></table></td></tr>
<tr><td>REVTOT</td><td><u>Description:</u> NAFTA Duty Deferral Revenue Total Detail<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Fee Total Detail (89-Record) within the NAFTA Duty Deferral Revenue Control Totals.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>1-3</td><td>Accounting Class Code</td></tr><tr><td>4-4</td><td>Space.</td></tr><tr><td>5-15</td><td>Total Revenue Amount</td></tr><tr><td>16-55</td><td>Space.</td></tr></table></td></tr>
</table>

**NAFTA Duty Deferral Condition/Disposition Response (Output E1)**

The NAFTA Duty Deferral Condition/Disposition Response may be returned in the output multiple times within a single response NAFTA Duty Deferral Response Transaction Grouping.

The output record conveys to the Filer/Transmitter a single, discreet *condition* regarding an input validation or the *final disposition* of the requested action.

| ***E1-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **E1** | |
| Disposition Type Code | 1AN | 3-3 | M | An indication as to CBP's final disposition of action requested.<br><br>**Space** = Not a final disposition record.<br><br>**A** = Final disposition; the transaction has been **ACCEPTED** by CBP; the action requested was successfully performed.<br>**R** = Final disposition; the transaction has been **REJECTED** by CBP; the action requested was NOT performed. | 1 |
| Severity Code | 1AN | 4-4 | M | An indication as to the severity of the condition (if any):<br><br>• **F =** 'Fatally' invalid data or critical error.<br>• **I** = Informational notice ONLY.<br>• **Space** = No condition(s) encountered. | 2 |
| Condition Code | 3AN | 5-7 | M | Code that identifies the condition or final disposition regarding a NAFTA Duty Deferral filing. | |
| Reason Code | 3AN | 8-10 | C | A further identification of the condition for CBP internal use ONLY. | |
| Narrative Text | 40AN | 11-50 | M | Text description that corresponds to the Condition Code. | |
| Entry Filer Code | 3AN | 51-53 | C | Filer's identification code as reported on the input 10-Record. | |
| Filler | 2S | 54-55 | M | Space fill. Reserved filler for possible future expansion of Entry Filer Code and/or Entry Number | |

| *E1-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Entry Summary Number | 8AN | 56-63 | C | Unique identifying number assigned to the Entry by the Filer as reported on the input 10-Record. | |
| Broker Reference Number | 9X | 64-72 | C | Conditionally, the Filer/Preparer's internal NAFTA Duty Deferral identifier as reported on the input, if any. | 3 |
| Filler | 38 | 73-80 | M | Space fill until expanded length fully supported. Reserved filler for future expansion of the Broker Reference Number when fully ACE compatible. | |

## Note 1

The data element will be space if the record is NOT a final disposition.

## Note 2

An *informational* condition results in a non-critical notification to the filer. No action is expected from the trade participant. If a *final disposition* Entry Summary response is not fatal, yet one or more informational notations are found, the Severity Indicator will be 'I'.

## Note 3

In the event that the Broker Reference Number is required to match, yet does not match the value on file, this data element shall be the Filer/Preparer's internal NAFTA Duty Deferral identifier previously established.

## NAFTA Duty Deferral Response - Usage Notes

The following sub-sections contain information regarding a returned filing response.

### a) NAFTA Duty Deferral Batch Syntax Evaluation

Prior to the evaluation of the NAFTA Duty Deferral transaction content, an assessment will be made to determine if the ENTIRE BATCH (and all enclosed blocks and transactions) is suitable for NAFTA Duty Deferral transaction business data validations.

**Response to an 'Unrecognizable' NAFTA Duty Deferral Transaction**

If the record that…

- Immediately follows a B-Record **or**
- Immediately follows a NAFTA Duty Deferral Grand Totals – 90-Record (other than a Y-Record)

..is NOT a NAFTA Duty Deferral Header Control – 10-Record, then that 'NAFTA Duty Deferral Transaction' and the ENTIRE BATCH will be rejected:

When **REJECTED**, a fatal condition E1-Record (narrative text NAFTA DD ES HEADER MISSING) will be returned followed immediately by the final disposition E1-Record (narrative text BATCH REJECTED).

**Response to a Syntactically Incorrect Batch, Block, or NAFTA Duty Deferral Transaction**

If the input does not conform to the structure, record sequence, item repeat, and grouping rules described in this document then the ENTIRE BATCH will be rejected. Validation of the BATCH shall immediately cease upon the discovery of a syntax problem.

When **REJECTED**, a fatal condition E1-Record that describes the syntax problem will be returned followed immediately by the final disposition E1-Record (narrative text BATCH REJECTED).

### b) NAFTA Duty Deferral Final Dispositions

A disposition response will be returned with each NAFTA Duty Deferral transaction. A NAFTA Duty Deferral disposition response is an E1-Record in which the Disposition Type Code is set to **A** (Accepted) or **R** (Rejected). The disposition response also includes the *severity* of the most severe condition found. The table below can be used to determine the filing action required.

| Disposition Type Code | Severity Code | Description | NAFTA Duty Deferral Filing Action Required | Filer Action Required |
|---|---|---|---|---|
| R | F | **Rejected.** An indication that one or more NAFTA Duty Deferral data elements reported in the transaction contain invalid or conflicting data or the NAFTA Duty Deferral already exists and cannot and is not eligible to be updated. | If the NAFTA Duty Deferral already exists and is not eligible to be updated, no further action required. Otherwise correct immediately and retransmit to CBP. | Review filing practices and software to ensure conformance with the interface. |
| A | I | **Accepted with an Informational Notice.** An indication that a non-critical condition has been encountered. | None required. | Verify the information reported. Review filing practices to ensure conformance with regulation and CBP policy. |
| A | | **Unconditionally Accepted.** An indication that no condition has been encountered. | None required. | None required. |

### c) Response to a 'Recognizable' NAFTA Duty Deferral Transaction Component

The data returned for a NAFTA Duty Deferral transaction will reflect the 'Filing Action Request Code' specified in the NAFTA Duty Deferral Header Control – 10-Record.

When **ADD** or **REPLACE** (Filing Action Request Code = **A** or **R**):

When **REJECTED**: fatal condition E1-Records will be returned. All condition E1-Records will correspond to and follow one or more E0-Records that shall convey to the Filer/Transmitter which data grouping component in the submission has caused, or contributed to, that condition. The final disposition E1-Record narrative text is TRANSACTION DATA REJECTED. If not previously filed, the NAFTA Duty Deferral is NOT established in CBP's automated system. Generally, if the NAFTA Duty Deferral has already been established, yet has not undergone any CBP acceptance process, the *previous* accepted NAFTA Duty Deferral is deleted. If, however, the NAFTA Duty Deferral has already been established, and has undergone CBP processing, the *previously* accepted NAFTA Duty Deferral is left intact.

**A further note about the DELETION of a NAFTA Duty Deferral**: If there is a NAFTA Duty Deferral on file in the ACE system and that summary is in a 'Trade Control' status, if a trade filing (to 'correct' the NAFTA Duty Deferral on file) is fatally rejected, that original NAFTA Duty Deferral will be deleted from the ACE system. The ACE system does this to ensure that the un-successfully changed summary is not placed on a Statement – as the intent of the rejected transaction may have been to change revenue amounts. The ACE system will only retain the last accepted NAFTA Duty Deferral submitted by the filer until the NAFTA Duty Deferral first transitions to 'CBP Control'.

When **ACCEPTED**: informational notice E1-Records may be returned, if found. All condition E1-Records will correspond to and follow one or more E0-Records that shall convey to the Filer/Transmitter which data grouping component in the submission has caused, or contributed to, that condition. The final disposition E1-Record record narrative text will reflect the condition under which CBP has accepted the data:

- If the NAFTA Duty Deferral information is being established in the automated system for the first time, the returned E1-Record narrative text shall be: NAFTA DD SUMMARY HAS BEEN ADDED. The NAFTA Duty Deferral is initially established in CBP's automated system.

- If the NAFTA Duty Deferral information is being replaced in the automated system (regardless of the Filing Action Request Code value), the returned E1-Record narrative text shall be: NAFTA DD SUMMARY HAS BEEN REPLACED. The previously accepted NAFTA Duty Deferral is totally replaced with the Filer's latest submission in CBP's automated system.

When **DELETE** (Filing Action Request Code = **D**):

When **REJECTED**: fatal condition E1-Records will be returned. However, Informational notice E1-Records may also be returned. All condition E1-Records will correspond to and follow one or more E0-Records that shall convey to the Filer/Transmitter which data grouping component in the submission has caused, or contributed to, that condition. The final disposition E1-Record narrative text is TRANSACTION DATA REJECTED. If the NAFTA Duty Deferral had previously been accepted, the NAFTA Duty Deferral is left intact.

When **ACCEPTED**: No condition E1-Records will be returned. The final disposition E1-Record narrative text is NAFTA DD SUMMARY HAS BEEN DELETED. The NAFTA Duty Deferral is removed from CBP's automated system.

### d) How to Respond to an ACE System Failure

In the unlikely event that an NX response returns an indication of ACE system failure (E1-Record Condition Code = `ZZZ`; Narrative Text = `** ACE SYSTEM FAILURE **`) the transmitter/receiver of the message should take the following actions:

1. Wait a few minutes and retry/retransmit the transaction. It is possible that a system resource was temporarily unavailable. If the retry/retransmit does not reproduce the system failure then no further action is needed.

2. If a retry/retransmit continues to result in an ACE system failure, scan/search the Cargo Systems Messaging Service (CSMS) for a recent trade notification that outlines the reason and resolution for the problem encountered.

3. If no CSMS notification has been published, within one hour, call your CBP Client Representative to report the problem and/or receive further instructions.

**Note**: When an ACE system failure has occurred, the transaction has NOT successfully been processed. Once the system failure reason has been resolved, the transaction must be retransmitted and successfully accepted.

## Table 1 – Check Digit Computation Formula

The check digit formula that follows is used for:

The Entry Number (and consists of two portions):

- *Filer Identifier* portion (using the *NAFTA Duty Deferral Header Control* record's Entry Filer Code). This value may be both alphabetic and numeric.
- *Sequence Number* portion (using positions 1-7 of the *NAFTA Duty Deferral Header Control* record's Entry Number). This value is required to be ALL numeric.

**Step ONE** – Derive a 'Numeric Base Value' by converting the EACH and EVERY alphabetic value in the alphabetic portion(s) of the 'number' to a numeric value using the following table:

| | | |
|---|---|---|
| A = 1 | J = 1 | S = 2 |
| B = 2 | K = 2 | T = 3 |
| C = 3 | L = 3 | U = 4 |
| D = 4 | M = 4 | V = 5 |
| E = 5 | N = 5 | W = 6 |
| F = 6 | O = 6 | X = 7 |
| G = 7 | P = 7 | Y = 8 |
| H = 8 | Q = 8 | Z = 9 |
| I = 9 | R = 9 | |

The result is a 10-position number:

```
1   2   3   4   5   6   7   8   9  10
N   N   N   N   N   N   N   N   N   N
```

**Step TWO** – Multiply positions 2, 4, 6, 8, and 10 of the 'Numeric Base Value' each by +2. For each, if the product (P) is greater than +9, add +1 to adjust the product (AP).

```
1   2   3   4   5   6   7   8   9  10
N   N   N   N   N   N   N   N   N   N
  x 2     x 2     x 2     x 2     x 2
  ---     ---     ---     ---     ---
    P       P       P       P       P
 (+1)    (+1)    (+1)    (+1)    (+1)  (only when value +9 or greater)
  ---     ---     ---     ---     ---
   AP      AP      AP      AP      AP
```

**Step THREE** - Disregarding the 'tens' positions for each product (or adjusted product), compute the 'Adjusted Even Sum Value' by adding the five products (or adjusted products) together.

```
1   2   3   4   5   6   7   8   9  10
N   N   N   N   N   N   N   N   N   N

   AP      AP      AP      AP      AP
   NN      NN      NN      NN      NN
  ---     ---     ---     ---     ---
    N   +   N   +   N   +   N   +   N  = Adjusted Even Sum Value (NN)
```

**Step FOUR** – Compute the 'Odd Sum Value' by adding positions 1, 3, 5, 7, and 9 of the 'Numeric Base' together.

```
1   2   3   4   5   6   7   8   9  10
```

```
N   N   N   N   N   N   N   N   N   N
-       -       -       -       -
N   +   N   +   N   +   N   +   N       = Odd Sum Value (NN)
```

**Step FIVE** – Compute a ‘Check Digit Base Value’ by adding the ‘Adjusted Even Sum Value’ and the ‘Odd Sum Value’ together.

```
Adjusted Even Sum Value NN
        + Odd Sum Value NN
                        --
                        NN = Check Digit Base Value
```

**Step SIX** – Determine the ‘Computed Check Digit’ by subtracting the ‘ones’ position of the ‘Check Digit Base Value’ from +10.

```
                                                 +10
- Check Digit Base Value (ones position ONLY) NN
                                              --
                                               N = Computed Check Digit
```

The result is the check digit.

## Table 2 – Trade Agreement / Special Program Claim Codes

*…tbd… (The CBP Policy Branch is reviewing which Trade Agreement / Special Program Claim Codes are eligible to be reported.)*

## Table 3 – Accounting Class Codes

| Accounting Class Code | Description |
|---|---|
| 012 | Antidumping Duty |
| 013 | Countervailing Duties |
| 014 | NAFTA Deferred Duty |
| 016 | Distilled Spirits |
| 017 | Wines |
| 018 | Tobacco Products |
| 022 | Other IR Tax |
| 053 | Beef Fee |
| 054 | Pork Fee |
| 055 | Honey Fee |
| 056 | Cotton Fee |
| 057 | Raspberry Fee |
| 079 | Sugar Fee |
| 090 | Potato Fee |
| 102 | Lime Fee |
| 103 | Mushroom Fee |
| 104 | Watermelon Fee |
| 105 | Sheep Fee |
| 106 | Blueberry Fee |
| 107 | Avocado Fee |
| 108 | Mango Fee |
| 109 | Sorghum Fee |
| 499 | Formal Merchandise Processing Fee |