

# CBP and Trade Automated Interface Requirements

Courtesy Notice

May 30, 2012



U.S. Customs and  
Border Protection



# Courtesy Notice

*This chapter provides output records related to courtesy notices of liquidation/extension/suspension.*

## RECORD DESCRIPTIONS

- Record Identifier N1 (Output)** ..... **CTN-4**  
A mandatory courtesy notice of liquidation output record that provides data pertaining to total paid duty, total paid tax, liquidated duty, and liquidated tax.
- Record Identifier N2 (Output)** ..... **CTN-6**  
A mandatory courtesy notice of liquidation output record pertaining to the change liquidation code.
- Record Identifier N3 (Output)** ..... **CTN-9**  
A mandatory courtesy notice of extension/suspension output record pertaining to the extension/suspension code and date and the number of times extended.
- Record Identifier N4 (Output)** ..... **CTN-11**  
A mandatory courtesy notice of liquidation output record pertaining to liquidated antidumping or countervailing duty.

# Courtesy Notice

Courtesy notice of liquidation is provided on a weekly basis. The notice of extension/ suspension is provided on a weekly basis for entries suspended or extended the previous week.

If an ABI user has summaries containing old broker numbers (numbers assigned before October 1, 1986), courtesy notices on the old numbers can be obtained by contacting the U.S. Customs and Border Protection (CBP) Client Representative.

Drawback entries are included in the output records. The liquidation amount is the dollar amount of the drawback paid by CBP to the filer.

Informal entries are not included on the courtesy notice.

If an ABI user files entries at more than one district/port or uses more than one module of ACS, a separate block of records is constructed for each affiliated port.

**Note:** If the National Importer Liquidation (NIL) Indicator in positions 23-25 of the output transaction control header record, Record Identifier A, is NIL, the transaction file that follows will consist of the importer's national courtesy notice of liquidation/extension/suspension. Importers wishing to use this feature should submit a written request to:

**U.S. Customs and Border Protection  
Office of International Trade  
ACE Business Office  
7681 Boston Blvd.  
ATTN: Beauregard, A-314  
Springfield, VA 20598-1350**

The request should specify that all of the importer's liquidations (regardless of the entry filer or filing location) should be routed to a particular ABI user.

In addition, importers wishing to use this service must submit a Hold Harmless Agreement to the Director, Cargo Systems Processing Office (CSPO). A sample of this agreement appears in Appendix I of this publication.

It is essential that the agreement be signed by a person who has authority to legally bind the importer. In this regard, evidence of the signer's authority must be provided in either the form of a corporate seal, corporate resolution, or other written document.

***Input:*** There are no courtesy notice input records.

***Output:*** Record Identifiers N1, N2 and N4 are mandatory courtesy notice of liquidation output records. Record Identifier N3 is a mandatory courtesy notice of extension/suspension output records.

The application identifier on Record Identifier B is NR. For additional information on Record Identifier B, refer to the Application Control chapter of this publication.

## Record Identifier N1 (Output)

This is a mandatory courtesy notice of liquidation output record that provides data pertaining to the district/port of entry/summary, broker number/entry filer code, entry number, entry type, importer of record number, total paid duty, total paid tax, liquidated duty, and liquidated tax.

<b>Record Identifier N1 (Output)</b>					
<b>Data Element</b>	<b>Length/Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	1A	1	M	Must always equal N.	
Record Type	1N	2	M	Must always equal 1.	
District/Port of Entry/Summary	4N	3-6	M	A code representing the district/port of entry/summary. Valid district/port codes can be queried through the Extract Reference File Chapter of this publication.	
Broker Number/Entry Filer Code	3AN	7-9	M	A unique code assigned by CBP to all active entry document preparers. The Entry Filer Code occupies the first three positions of an entry number regardless of where the entry is filed. This code must be the same as the Entry Filer Code in the block control header record (Record Identifier B).	
Entry Number	9AN	10-18	M	The number assigned to the entry. For additional information or valid entry number formats, refer to Appendix E of this publication.	
Entry Type	2N	19-20	M	A code representing the entry type. Valid entry type codes are listed in Appendix B of this publication.	
Importer of Record Number	12X	21-32	M	A code representing the importer of record.	1
Total Paid Duty	11N	33-43	M	The total amount of duty paid. Two decimal places are implied. If the total duty is a whole number, the two low-order (cents) positions contain zeros.	
Total Paid Tax	11N	44-54	C	The total amount of taxes paid. Two decimal places are implied. If the total tax is a whole number, the two low-order (cents) positions contain zeros.	
Liquidated Duty	11N	55-65	M	The total amount of liquidated duty. Two decimal places are implied. If the total liquidated duty is a whole number, the two low-order (cents) positions contain zeros.	
Liquidated Tax	11N	66-76	C	The total amount of liquidated taxes. Two decimal places are implied. If the total liquidated tax is a whole number, the two low-order (cents) positions contain zeros.	
Negative Interest Amount Indicator	1N	77	C	1 = The interest amount in position 72-80 of the N2 record is a negative amount.	

<b>Record Identifier N1 (Output)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Filler	3AN	78-80	M	Space fill.	

**Note 1**

Valid formats for the Importer of Record Number are:

<b>NN-NNNNNNNXX</b>	Internal Revenue Service (IRS) Number
<b>YYDDPP-NNNNN</b>	CBP Assigned Number
<b>NNN-NN-NNNN</b>	Social Security Number

In these codes, *N* = number, *X* = alphanumeric, *YY* = the last two digits of the calendar year when the number is assigned, and *DDPP* = the district/port code where the number is assigned.

If the Importer of Record Number is in IRS number format and the last two positions are blank, ACS converts the blanks to zeros so that the file search argument is consistent with the CBP Importer file. ACS output data may show the last two positions of the Importer of Record Number as zeros when two blanks were input.

## Record Identifier N2 (Output)

This is a mandatory courtesy notice of liquidation output record that provides data pertaining to the district/port of entry/summary, broker number/entry filer code, entry number, liquidation date, change liquidation reason code, broker reference number, CBP document filing location, liquidation type, entry date, and total paid antidumping duty.

<b>Record Identifier N2 (Output)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	1A	1	M	Must always equal N.	
Record Type	1N	2	M	Must always equal 2.	
District/Port of Entry Summary	4N	3-6	M	A code representing the district/port. Valid district/port codes can be queried through the Extract Reference File Chapter of this publication.	
Broker Number/Entry Filer Code	3AN	7-9	M	A unique code assigned by CBP to all active entry document preparers. The Entry Filer Code occupies the first three positions of an entry number regardless of where the entry is filed. This code must be the same as the Entry Filer Code in the block control header record (Record Identifier B).	
Entry Number	9AN	10-18	M	The number assigned to the entry. For additional information on valid entry number formats, refer to Appendix E of this publication.	
Liquidation Date	6N	19-24	M	A numeric date in MMDDYY (month, day, year) format representing the liquidation date.	
Change Liquidation Reason Code	2N	25-26	M	A code representing the change liquidation reason code.	1
Broker Reference Number	9X	27-35	C	An optional code provided by the participant. This field is not edited during ACS processing. It is for internal users system control in entry summary processing.	
CBP Document Filing Location	18AN	36-53	C	The actual location where CBP documents are filed.	
Liquidation Type	1N	54	M	A code representing the liquidation type.	2
Entry Date	6N	55-60	M	A numeric date in MMDDYY (month, day, year) format representing the entry date.	
Total Paid Antidumping Duty	11N	61-71	C	The total antidumping duty paid. Two decimal places are implied. If the total duty is a whole number, the two low-order (cents) positions contain zeros.	
Interest Amount	9N	72-80	C	The total interest amount. Two decimal places are implied.	

**Note 1**

Valid Change Liquidation Reason Codes are:

<i>Code</i>	<i>Description</i>	<i>Code</i>	<i>Description</i>
<b>00</b>	Change Liquidation	<b>27</b>	Vessel Repair
<b>01</b>	Valuation	<b>28</b>	Reserved
<b>02</b>	Classification	<b>29</b>	Reserved
<b>03</b>	Quantity	<b>30</b>	Reserved
<b>04</b>	Antidumping Duties	<b>31</b>	Reserved
<b>05</b>	Countervailing Duties	<b>32</b>	Reserved
<b>06</b>	Special Trade Programs	<b>33</b>	Reserved
<b>07</b>	Interest Only	<b>34</b>	Reserved
<b>08</b>	Non-Revenue Change Liquidation	<b>35</b>	GSP - Retroactive Renewal
<b>09</b>	Other	<b>36</b>	Reserved
<b>10</b>	Reserved	<b>37</b>	Filer Request to Refund Less than \$50
<b>11</b>	Valuation (Post Entry Amendment)	<b>38</b>	Reserved
<b>12</b>	Classification (Post Entry Amendment)	<b>39</b>	NAFTA Reconciliation
<b>13</b>	Quantity (Post Entry Amendment)	<b>40</b>	Other Reconciliation
<b>14</b>	Antidumping Duties (Post Entry Amendment)	<b>41</b>	Reserved
<b>15</b>	Countervailing Duties (Post Entry Amendment)	<b>42</b>	No Change Liquidation (2 week)
<b>16</b>	Special Trade Programs (Post Entry Amendment)		
<b>17</b>	Interest Only (Post Entry Amendment)		
<b>18</b>	Non-Revenue Change Liquidation (Post Entry Amendment)		
<b>19</b>	Other (Post Entry Amendment)		
<b>20</b>	Reserved		
<b>21</b>	Accelerated Drawback/Overclaimed		
<b>22</b>	Drawback Clerical Error		
<b>23</b>	Drawback Refund/Non- Accelerated Claim		
<b>24</b>	Accelerated Drawback/Underclaimed		
<b>25</b>	Drawback/No Change/Full Accelerated Paid		
<b>26</b>	No Drawback/No Change		



**Note 2**

Valid Liquidation Type Codes are:

<b>Code</b>	<b>Description</b>
<b>1</b>	No change
<b>2</b>	Bill
<b>3</b>	Refund
<b>4</b>	Reliquidation bill
<b>5</b>	Reliquidation refund
<b>6</b>	Auto liquidation
<b>7</b>	Deemed liquidation
<b>8</b>	Reliquidation, no change

## Record Identifier N3 (Output)

This is a mandatory courtesy notice of extension/suspension output record that provides data pertaining to the district/port of entry/summary, broker number/entry filer code, entry number, entry type code, importer of record number, entry date, extension/suspension code, number of times extended, extension/suspension notice date, and broker reference number.

<b>Record Identifier N3 (Output)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	1A	1	M	Must always equal N.	
Record Type	1N	2	M	Must always equal 3.	
District/Port of Entry Summary	4N	3-6	M	A code representing the district/port of entry/summary. Valid District/Port Codes can be queried through the Extract Reference File Chapter of this publication.	
Broker Number/Entry Filer Code	3AN	7-9	M	A unique code assigned by CBP to all active entry document preparers. The Entry Filer Code occupies the first three positions of an entry number regardless of where the entry is filed. This code must be the same as the Entry Filer Code in the block control header record (Record Identifier B).	
Entry Number	9AN	10-18	M	The number assigned to the entry. For additional information on valid entry number formats, refer to Appendix E of this publication.	
Entry Type Code	2N	19-20	M	A code representing the entry type code. Valid Entry Type Codes are listed in Appendix B of this publication.	
Importer of Record Number	12X	21-32	M	A code representing the importer of record.	1
Entry Date	6N	33-38	M	A numeric date in MMDDYY (month, day, year) format representing the entry date.	
Extension/Suspension Code	2N	39-40	M	A code representing the type of extension/suspension.	2
Number of Times Extended	1N	41	C	The number of times an entry liquidation date is extended.	
Extension/Suspension Notice Date	6N	42-47	M	A numeric date in MMDDYY (month, day, year) format representing the extension/suspension notice date.	
Broker Reference Number	9X	48-56	C	An optional code provided by the participant. This field is not edited during ACS processing. It is for internal users system control in entry summary processing.	
Filler	24AN	57-80	M	Space fill.	

**Note 1**

Valid formats for the importer of record number are:

<b>NN-NNNNNNNXX</b>	Internal Revenue Service (IRS) Number
<b>YYDDPP-NNNNN</b>	CBP Assigned Number
<b>NNN-NN-NNNN</b>	Social Security Number

In these codes, *N* = number, *X* = alphanumeric, *YY* = the last two digits of the calendar year when the number is assigned, and *DDPP* = the district/port code where the number is assigned.

If the Importer of Record Number is in IRS number format and the last two positions are blank, ACS converts the blanks to zeros so that the file search argument is consistent with the CBP Importer file. ACS output data may show the last two positions of the Importer of Record Number as zeros when two blanks were input.

**Note 2**

Valid Extension/Suspension Codes are:

<b>Code</b>	<b>Description</b>
<b>01</b>	Extension, CBP
<b>02</b>	Extension, Importer
<b>03</b>	Extension, Other
<b>04</b>	Suspension, Countervailing and/or Antidumping
<b>05</b>	Suspension, Countervailing and/or Antidumping
<b>06</b>	Suspension, Court Order
<b>07</b>	Suspension, Actual Use
<b>08</b>	Suspension, Statute, or Court Order

## Record Identifier N4 (Output)

This is a mandatory courtesy notice of liquidation output record that provides data pertaining to the district/port of entry/summary, broker number/entry filer code, entry number, total paid countervailing duty, total paid fees, liquidated antidumping duty, liquidated countervailing duty, and liquidated fees.

<b>Record Identifier N4 (Output)</b>					
<b>Data Element</b>	<b>Length/ Class</b>	<b>Position</b>	<b>Status</b>	<b>Description</b>	<b>Note</b>
Control Identifier	1A	1	M	Must always equal N.	
Record Type	1N	2	M	Must always equal 4.	
District/Port of Entry Summary	4N	3-6	M	A code representing the district/port of entry/summary. Valid District/Port Codes can be queried through the Extract Reference File Chapter of this publication.	
Broker Number/ Entry Filer Code	3AN	7-9	M	A unique code assigned by CBP to all active entry document preparers. The Entry Filer Code occupies the first three positions of an entry number regardless of where the entry is filed. This code must be the same as the Entry Filer Code in the block control header record (Record Identifier B).	
Entry Number	9AN	10-18	M	The number assigned to the entry. For additional information on valid entry number formats, refer to Appendix E of this publication.	
Total Paid Countervailing Duty	11N	19-29	C	The total countervailing duty paid. Two decimal places are implied. If the total duty is a whole number, the two low-order (cents) positions contain zeros.	
Total Paid Fees	11N	30-40	C	The total fees paid. Two decimal places are implied. If the total fees paid are a whole number, the two low-order (cents) positions contain zeros.	
Liquidated Antidumping Duty	11N	41-51	C	The total liquidated antidumping duty. Two decimal places are implied. If the total duty is a whole number, the two low-order (cents) positions contain zeros.	
Liquidated Countervailing Duty	11N	52-62	C	The total liquidated countervailing duty. Two decimal places are implied. If the total duty is a whole number, the two low-order (cents) positions contain zeros.	
Liquidated Fees	11N	63-73	C	The total liquidated fees. Two decimal places are implied. If the total fees is a whole number, the two low-order (cents) positions contain zeros.	
Filler	7AN	74-80	M	Space fill.	