BUSINESS RULES AND PROCESS DOCUMENT (*Trade – External*)

ACE Entry Summary (*Version 9.75*)

June 2019

U.S. Customs and Border Protection

Version 9.75 Changes

Date: 06/17/2019

Section	Changes Summary

General update	The following section number changes have occurred:
	• Sections 1, 2, 3, 5, and 8 are now:
	  o 1.0 Entry Summary
	• Section 4 (*Non-ABI*) is now:
	  o 2.0 Non-ABI/Manual Entry Summary
	• Section 6 (*Single Transaction Bond*) is now:
	  o 3.0 Single Transaction Bonds (For eBonds)
	• Section 7 (*Remote Location Filing Process*) is now:
	  o 4.0 Remote Location Filing Process
	• Section 9 (*Blanket Declarations*) is now:
	  o 5.0 Blanket Declarations
	• Section 10 (*TIB*) is now:
	  o 6.0 Temporary Importation Under Bond (TIB)
	• Section 11 (*PSC*) is now:
	  o 7.0 Post Summary Correction (PSC)
	• Section 12 (*Quota*) is now:
	  o 8.0 Quota
	• Section 13 (*AD/CVD*) is now:
	  o 9.0 Antidumping and Countervailing (AD/CVD)
	• Section 14 (*Liquidation*) is now:
	  o 10.0 Liquidation
	• Section 15 (*Reconciliation*) is now:
	  o 11.0 Reconciliation
	• Section 16 (*Protests and 520(D) Claims*) is now:
	  o 12.0 Protests and 520(D) Claims
	• Section 17 (*Warehouse Entries*) is now:
	  o 13.0 Warehouse Entries and Withdrawals
	• Section 18 (*TFTEA Drawback*) is now:
	  o 14.0 TFTEA Drawback
	• Section 19 (*ACE Reports*) is now:
	  o 15.0 ACE Reports
	• Section 20 (*DCMA*) is now:
	  o 16.0 DCMA Entries
	• Section 21 (*NAFTA Duty Deferral*) is now:
	  o 17.0 NAFTA Duty Deferral
	• Section 22 (*Foreign Trade Zones*) is now:
	  o 18.0 Foreign Trade Zones (FTZs)

Section	Changes Summary

General update
(*Continued*)
	• Section 23 (*Trade Fair Foreign Exhibits*) is now:
	  ○ 19.0 Trade Fair Foreign Exhibit (Entry Type 24)
	• Section 24 (*Collections*) is now:
	  ○ 20.0 Collections
	• Section 25 (*Informal Entries*) is now:
	  ○ 21.0 Informal Entries
	• Section 26 (*HTS Reporting*) is now:
	  ○ 22.0 HTS Reporting For Multiple Classifications
	• Section 27 (*Downtime procedures*) is now:
	  ○ 23.0 Downtime Procedures

Section 1 (*Entry Summary*)	Sections 1 (*Entry Summary Transmission*), 2 (*Entry Summary Record Creation*), 3(*Entry Summary Cancellation*), 5 (*System-Generated Notification*), and 8 (*Entry Summary Team Review*) have been revised and combined into 1 section, which has been renamed "Entry Summary". Edits have also been made to the content the combined section 1 to make it clearer and flow better.
Section 2 (*Non-ABI/Manual Entry Summary*)	Section 2, previously section 4, has been completely overhauled and a number of new subsections have been added for content such as Non-ABI/manual entry summary lineless processing, filer codes, etc.
Section 7 (*Post Summary Correction*)	Section 7, previously section 11, has been reorganized and its language has been revised to make the section clearer and flow better.
Section 9 (*Antidumping and Countervailing Duties (AD/CVD)*)	Section 9's , previously section 13, content has been updated to include the latest acronyms, additional AD/CVD related definitions, and revised language.
Section 11 (*Reconciliation*)	Section 11, previously section 15, has had a number of new subsections, such as Reconciliation collections, Reconciliation interest calculations, etc., and language edits have been made to the section to make it clearer.
Section 24 (*Create/Update Importer Identification form (cbpf 5106)*)	Added a new section that provides guidance for the CBP Form 5106 and Importer of Record processing.
Section 25 (*Consolidated Express Filings (CEF)*)	Added a new section that provides guidance on Consolidated Express Filing in ACE.

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Summary Processing

Overview

The purpose of this document is to outline entry summary processing in the Automated Commercial Environment (ACE). ACE is the system of record for all entry summaries. This change moves the import process from a paper-based system to a true electronic system of recordkeeping, please see Recordkeeping in ACE. A change this significant requires revised operational policies and procedures, which this document addresses. This document is a living document and will be updated as additional ACE functionality is added.

This document has been updated to clarify several processes and procedures related to ACE entry summary business rules.

If you have any comments or questions about this document please email:
ACEBUSINESSRULES@CBP.DHS.GOV

For the latest information on the ACE Mandatory Dates, go to:
https://www.cbp.gov/trade/automated/ace-mandatory-use-dates

ACE Background

The importation of goods into the United States, is generally a two-part process consisting of:

1.) Filing the cargo release documents necessary to determine whether merchandise may be released from U.S. Customs and Border Protection (CBP) custody, and

2.) Filing the entry summary documents that pertain to merchandise classification, duty, taxes, and fees.

Currently, over 99 percent of all entry summaries are filed electronically using the Electronic Data Interchange (EDI). The interface system that allows EDI transmissions to CBP's automated systems is the Automated Broker Interface (ABI). Entry summaries are categorized by "entry type" to facilitate more effective processing of these transactions. Ninety-six percent of all entry summaries filed are type 01-consumption and type 11-informal. Consumption entries are generally filed for commercial shipments and are supported by a surety bond to ensure compliance and payment of duties, taxes, and fees. Informal entries are typically low-value commercial and personal imports entered into the U.S. for consumption. In general, informal entries are valued at $2,500 or less unless the goods are subject to import restrictions for which other rules apply.

ICON KEY

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1.0 Entry Summary	
1.1 Entry Summary Transmission	ACE is an integrated system for tracking information on imports and exports. It enables the Trade to electronically submit forms, data and electronic documents. It enables CBP to electronically retrieve and review Trade information and CBP documentation. ACE is used by CBP, Trade, and Partner Government Agencies (PGAs). The interface system that allows Electronic Data Interchange (EDI) transmissions to ACE is the Automated Broker Interface (ABI). The Client Representatives are the first point of contact for the trade community when it relates to automating their systems for interactions with CBP, system-related problems after automation and any questions on transmitting data to CBP.
1.2 System-Generated Notification	If a census warning occurs when the filer is transmitting the Entry Summary, the filer may correct or override the Census Warning and retransmit. If the filer receives a "documents required" message upon entry submission in ACE, that is an indicator that CBP and/or a PGA is requesting supporting documentation for further review.
1.3 Entry Summary Record	Once ACE accepts the transmission, the control status remains in Trade control and the filer can delete the entry summary record, remove the entry summary from a daily statement or reschedule the entry summary on a future daily statement until the entry summary is in CBP control. Control status types and trade action conditions include: • Trade-The entry summary has been accepted in ACE and has not been paid. • CBP-The entry summary has been accepted in ACE and has been fully paid or on statement
1.4 Data changes	All data changes should be made by the filer, CBP will reject the entry summary if data changes are needed. Filers have the ability to revise transmitted entry summary data until the entry summary is in fully paid status and under CBP control.

1.5 Center ID	If a Center ID is assigned to an importer, ACE will automatically populate the Center ID field in the entry summary.
1.6 Entry Summary Versions	Filers can view the entry summary versions if there are more than one, through an ACE entry summary query or an ACE Report.
1.7 Entry Summary Rejections	If the entry was initially submitted to CBP and rejected before the 10th day of filing entry summary, the filer has the remainder of the 10th working day deadline to resubmit the entry summary but not less than (2) working days to resubmit entry summary. When CBP rejects an entry summary, the filer will receive an ABI notification message "entry summary rejected." Rejected entry summaries must be returned to CBP with any additional payment (if applicable) within (2) working days from the date of rejection or a no-file liquidated damage case could be issued. If the rejected entry summary is received after (2) working days from the date of rejection, a late-file liquidated damage case could be issued. If CBP requires supporting documents to be submitted when the rejected entry summary is re-transmitted, a CBP-F 28 will be sent to the Importer. **Exception:** Antidumping and Countervailing Duty (AD/CVD), review section 9 AD/CVD for additional information.
1.8 Entry Summary Review	For questions about entry summary review, please contact the Center team assigned to your entry.
1.9 Collections	To expedite the collection process, CBP recommends that payments for entry summaries be filed at the Port of Entry designated on the entry summary. Payments made at another Port of Entry may slow down the collection process.
1.10 Liquidated Damages	If paying by check, the filer should include the Reconciliation entry summary number on the check along with a copy of a 7501 or equivalent document. Liquidated damages could be initiated if the entry summary is filed without payment, filed late, not filed at all or other conditions of the basic importation and entry bond are not met.

1.11 Entry Summary Cancellation	It is the filer's responsibility to provide supporting information for an entry summary cancellation. CBP could request additional supporting documents to support the claim for cancellation via a CBP Form 28. If payment was made on the entry summary prior to the cancellation request and the entry summary is not liquidated, the filer should request an administrative refund. Once an entry summary is liquidated, it cannot be cancelled.
1.12 Liquidation	For questions about liquidation, please contact the Center team assigned to your entry.
1.13 Status updates	Status updates for the entry summary by the filer should be sent to the Center of Excellence and Expertise that is processing the entry summary.
1.14 References	• For additional information regarding the Collection process, please review the ACE Business Rules section on "Collections". • For information regarding the Liquidation process, please review the ACE Business Rules section on "Liquidation". • 19 CFR 141 for the legal citations on Entry of Merchandise. • 19 CFR 142 for the legal citations on Entry Process. • 19 CFR 163 for recordkeeping requirement ACE CATAIR Entry Summary Query: https://www.cbp.gov/document/technical-documentation/ace-catair-entry-summary-query

2.0 Non-ABI / Manual Entry Summary

2.1 Non-ABI Overview	Non-ABI means the entry summary was not transmitted electronically through the Automated Broker Interface (ABI).

	Non-ABI entry summary document and timeliness requirements are the same as ABI entry summary requirements The Trade can submit their Non-ABI entry summary via paper through the Document Imaging System (DIS). CBP will review the documents and manually place the entry/entry summary information in ACE. If the documents are submitted to CBP in person, the invoice can serve as the release notification when given back to the filer. If the documents are submitted to CBP electronically, an electronic notification of the release is sufficient. The Client Representatives are the first point of contact for the trade community when it relates to automating their systems for interactions with CBP, system-related problems after automation and any questions on transmitting data to CBP.
2.2 Filer Codes	CBP assigns a unique (3) three character entry filer code to all licensed brokers and to self-filing Importers based on qualifications. , such as, frequency of entry filing. The Importer or filer willshall place an 11 character entry number they assigned on the entry/entryy and corresponding Entry S summary documentation. Note: If the Importer or filer does not have an assigned filer code, the importer or filer can obtain CBP assigned entry numbers with a computed check digit at a cost to the Importer or filer. These entry numbers must be obtained and used before the merchandise may be released from CBP custody. The filer must submit their request in writing on their company letterhead to their Center or Port of Entry assigned.
2.3 Non-ABI/Manual Entry Summary *Lineless* Processing	Questions about Non-ABI/manual entry summary lineless processing should sent to the Center team that CBP has assigned to your entry.
2.4 Non- ABI/Manual Entry Summary Lineless Restrictions	All ports may use lineless Non-ABI entry summary input for the following entry types: 01, 04, 05, 08, 11 (consolidated transactions only), 21, 22, 24, 25, and 31. U.S. Virgin Island ports only may use lineless Non-ABI entry summary input for the following entry types; 01, 06, 08, 11, 21, 22, 23, 24, 25, 31, 51, and 52. Excluding Quota, AD/CVD, Reconciliation, Drawback and Vessel Repair.

2.5 Non-ABI/Manual Entry Summary Processing in ACE **2.6 References**	Questions about Non-ABI/manual entry summary processing in ACE should sent to the Center team that CBP has assigned to your entry. • 19 CFR 142.3a for Entry Numbers. • 19 CFR 142.48 for Release Procedures. Non-ABI/Manual Entry Summary: https://www.cbp.gov/trade/programs-administration/entry-summary/non-abimanual-entry-summary

3.0 Single Transaction Bonds (for eBond)

3.1 Single Transaction Bonds (eBonds)	An eBond is required as of January 3, 2015 where a single transaction bond (STB) is used. ACE will implement validations on these inbound transactions. Where a bond is referenced on a transaction and no matching bond is found on file in ACE, that transaction will be rejected. In the limited circumstances that an STB has been given in error, the STB may be voided. The action to void the STB must occur prior to being matched to an entry in Cargo Release. In addition, the amount of an eBond STB may be changed, such as obtaining a lower bond amount for an unconditionally duty free entry, but may only occur between Cargo Release and Entry Summary. If a Superseding or Substitution STB is filed as part of the Entry Summary (at Entry Summary filing or after the submission of the Entry Summary), that filing will be subject to eBond validations. The Substitution or Superseding STB must be present in ACE in order for that Entry Summary to be accepted. CBP can receive and validate STBs either received electronically from a Surety or Surety Agent, or received from a Surety or Surety Agent emailing a copy of the STB to bondquestions@cbp.dhs.gov for input into ACE. CBP will monitor eBond STBs and when CBP finds the bond amount is insufficient for the transaction, CBP will contact the entry filer and Surety/Surety Agent to provide proper bonding.

4.0 Remote Location Filing Process

4.1 Participation in the National Customs Automation Program (NCAP) test for ACE Remote Location Filing (RLF) Entry Summaries

Remote Location Filing (RLF) entries will now be accepted in ACE. The effective date of this test will be determined at the time of posting of the Federal Register Notice. The following are the RLF Test Eligibility Requirements:

- ACE entries can be certified for cargo release from summary.
- Filers can file a separate ACE RLF cargo release and subsequently file an ACE RLF entry summary (*commonly called ACE RLF 2-Step process*).
- Only ACE 01, 02, 03, 06, 07, 11, 12, 21, 22, 23, 31, 32, 34, 38, 51, 52 are eligible to be filed RLF.
- Customs brokers must possess a valid national permit as required by 19 C.F.R. § 111.19(f) (*this requirement does not apply to individuals filing as importer of record for their own transactions*).
- All invoices required or requested by CBP, including pro forma invoices, must be submitted using the Document Image System (DIS).
- Participants must also participate in the DIS test.
- Participants must also participate in the eBond test if submitting single transaction bonds.
- RLF entries may be filed at all Ports of Entry.
- Any party who wishes to participate in this test should contact their assigned client representative and request to participate.

Please contact your local CBP port if you have operational questions, contact your assigned CBP client representative for ABI transmission issues. Other questions regarding the RLF program can be emailed to: OT-remotelocationfiling@cbp.dhs.gov

4.2 Filer Submits ACE Entry Summary with Intent to Submit

If the ACE entry summary is selected for examination or team review, the filer will receive a system-generated notification. The only methods of response to this message are the transmission of supporting documentation (excluding CBP Forms 3461 and

Supporting Documentation via DIS	7501.) via DIS.

5.0 Blanket Declarations

Authorized ACE users have the ability to create certain blanket declaration records in the ACE Secure Data Portal at an importer account level:

- CBP users and authorized trade participants may view and cancel declaration records in ACE
- Brokers with an ACE Portal account may create declaration records for their non- portal accounts; however, brokers whose clients have an importer portal account may not create declaration records on behalf of those clients. In these cases, the importer must grant access to the broker as a "user."
- The following declaration records are currently permitted:
  - Affidavit of Manufacture: AM
  - Importer Certifying Statement: ICS
  - North American Free Trade Agreement Certificate of Origin: NAFTA CO
  - Non-Reimbursement Blanket Statements

The user may also attach documents to the declaration record, which ACE will date/time stamp and record as part of the electronic declaration file.

Trade users remain responsible for the recordkeeping requirements under 19 CFR § 163. Currently, there are no ACE reports available for blanket declaration records.

5.1 Create Blanket Affidavit of Manufacture Record

5.1.1 This document is provided by the producer of the raw materials used in a finished article for which a duty preference claim is made. It is not intended for use with 9802 claims. For CBP verification guidelines see TBT-07-019. The affidavit can be from either a U.S. party or a foreign party that is a party to the agreement. For NAFTA claims, affidavits can be accepted from raw material producers in Canada, Mexico or the United States. Affidavits are not accepted from converters or agents.

	5.1.2 The following fields are mandatory to create an Affidavit of Manufacture declaration in the ACE portal: 1. Date Valid From 2. HTS # 3. MID #; MID Name will be auto-populated (*Cannot select MID ALL*) 4. Filer code and importer of record number (*if the broker is creating the blanket affidavit of manufacturer record on behalf of an importer without an ACE Portal account*)
5.2 Opening a Validation Activity	This is a statement by an importer to declare that they qualify for a Free Trade Agreement or tariff preference program. This is not a requirement of entry, but can be posted to the ACE portal to cover multiple shipments of identical goods over a period of time, not to exceed 12 months. **5.2.1** The following fields are mandatory to create an Importer Certifying Statement in the ACE portal: 1. Date Valid From 2. HTS # 3. MID #; MID Name will be auto-populated (*Cannot select MID ALL*) 4. Filer code and importer of record number (*if the broker is creating the blanket importer certifying statement record on behalf of an importer without an ACE Portal account*).
5.3 Working the Validation Activity	**5.3.1** In order to make a NAFTA preference claim, the NAFTA Certificate of Origin (*CBP Form 434*) or a substantially similar alternate document must be in the importer's possession at the time of the preference claim. The blanket NAFTA Certificate of Origin must be signed by the exporter or his agent and may be based upon the producer's NAFTA Certificate of Origin or affidavit. See also the CD 3550-085 Claims under the North American Free Trade Agreement Tariff Preference Levels Program. **5.3.2** The following fields are mandatory to create a NAFTA Certificate of Origin in the ACE Portal: 1. Date Valid From

2. Date Valid To

3. HTS #

4. Filer code and importer of record number (*if the broker is creating the blanket NAFTA Certificate of Origin record on behalf of an importer without an ACE Portal account*)

5.3.3 This blanket declaration record requires the actual NAFTA Certificate of Origin to be uploaded to complete the declaration posting.

5.3.4 The importer may cancel and replace a blanket NAFTA Certification of Origin declaration in order to make the following amendments:

- Description change
- Classification change
- Criterion change
- Name change of exporter, producer, or importer
- Address, email, telephone change for exporter, importer, or signer
- Net cost indicator from "No" to "NC

5.3.5 Upon discovery that the goods in block 5 do not originate, the importer may cancel the blanket NAFTA Certificate of Origin declaration record. When cancelling a blanket certificate, the importer must file a prior disclosure to pay the duties and fees due on the subject goods.

5.3.6 A CBP user may cancel a blanket NAFTA certificate of origin declaration record if the good(s) in block 5 do not originate or if the uploaded certificate is invalid.

5.3.7 All cancelled blanket NAFTA Certificate of Origin records remain visible in ACE to CBP users.

5.4 Create Blanket Non-Reimbursement Statement Record in the ACE Portal

Pursuant to 19 CFR § 351.402(b), the importer must file, prior to liquidation of the entry, a certificate stating that the importer has not been reimbursed by the manufacturer, producer, seller, or exporter for antidumping (AD). The importer has the option of filing a blanket non-reimbursement statement (NRBS) record

through the ACE Portal to cover both ACS and ACE entry summaries.

Guidance: AD/CVD Reimbursement Statement

Guidance: Blanket Reimbursement Certificates

5.4.1 Once trade user selects the NRBS record type, the following fields are mandatory to complete creation of the declaration record in the ACE portal:

1. Case #
2. Date Valid From
3. Date Valid To
4. MID # or MID ALL; MID Name will be auto-populated
5. AD/CVD Statement Check Box
6. If the broker is creating the NRBS record on behalf of an importer without an ACE Portal account, the broker's filer code and the importer's importer of record number are required

5.4.1 The case number as input is validated against the ACE case file and can be seven or ten digits. Up to 50 case numbers can be included in an NRBS record. The NRBS record can contain multiple seven digit cases, multiple ten digit cases, or multiple seven and ten digit cases. However, seven and ten digits cannot be of the same seven digit case.

5.4.2 Up to 50 Manufacturer Identification (MID) numbers can be included in the NRBS record. MID numbers will be validated against the MID file and the MID name will be auto-populated in the NRBS record. Anytime a seven digit case is used, including use of a combination of seven and ten digit case numbers, MID # ALL must be selected.

5.4.3 The trade is not required to scan and attach a signed copy of a blanket AD/CVD Non- Reimbursement Certificate; however, CBP reserves the right to request a copy.

5.4.4 Once the trade submits a NRBS record in ACE, it is considered to be submitted according to CBP regulations and filed at every port of entry; ACE NRBS records apply to both

	ACE and ACS entries. **5.4.5** The time period for a NRBS record or certificate is 12 months, or the administrative review period, whichever is longer. **5.4.6** If the importer has been reimbursed for AD/CV duties by the manufacturer, producer seller, or exporter, the importer is required to cancel the NRBS record in the ACE portal and notify the AD/CVD Branch Chief (at *Declarations mailbox*). **5.4.7** If reimbursement has not occurred, the trade should check the "MID# All" box rather than enter MID numbers to protect against inadvertent/clerical errors. If reimbursement has occurred, then the trade should enter only ten digit case numbers making sure not to include those case numbers where reimbursement has occurred; the trade should also enter specific MID numbers.
5.5 Recording Determination Details	An importer can also comply with 19 CFR 351.402(b) by declaring a NRBS on an ACE type 03 AD/CVD entry summary line. However, CBP reserves the right to request a signed paper copy of an AD/CVD Non-Reimbursement Certificate. **5.5.1** The filer has two options to declare the NRBS on the ACE entry summary line: **5.5.2** **Option 1:** a one-time single transaction declaration, by inputting a Y on the transmission record to declare "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 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." **5.5.3** **Option 2:** declare the ACE NRBS record number (*the number from the importer's ACE portal NRBS record).* **5.5.4** If the importer has been reimbursed for AD/CV duties by the manufacturer, producer/seller, or exporter, and declared the AD/CVD NRBS using option 1 at the entry summary line level, the importer is required to notify the port where the entry

	summary was filed. See 9.4.7 for instructions when the blanket NRBS record number was used.
5.6 Closing the Validation Activity	A search may be performed by authorized CBP and trade users for declarations created in the ACE portal based on all applicable fields.

6.0 Temporary Importation Under Bond (TIB)

6.1 Temporary Importation Under Bond (TIB)	CBP deployed ACE capability to accept and process Entry and Entry Summary Type 23-Temporary Importation Under Bond (TIB) in October 2015. The following capabilities are available in ACE for the processing of type 23-Temporary Importation Under Bond Entries: • Temporary Importations Under Bond (TIB) Expiration Notice • Temporary Importations Under Bond (TIB) Extensions • Temporary Importations Under Bond (TIB) Closures
6.2 Processing	**6.2.1** All entries are deemed to be "Export Examination Not Required" at the time of release unless designated otherwise. Designation of export examination is not a condition of entry and shipments should not be held while the determination is made. **6.2.2** To maintain the paperless process, fully electronic entries will be designated for examination using the text message "Export Examination Required" via the public remarks functionality available in ACE Cargo Release. This will be sent to the filer post release. **6.2.3** It is the responsibility of the filer to ensure TIB supporting documents are submitted via DIS or the ACE Portal at the time of filing the electronic entry summary data. Supporting documents may include, but are not limited to, the commercial invoice with the TIB HTSUS subheading and alternate classification under which the entry is claimed, a statement of use, and a declaration that articles are not put to any other use and not imported for sale or sale on approval. If upon review of the TIB entry Center personnel determines no documents were

	submitted via DIS or the ACE Portal, Center personnel will create a VA and add an Action to request supporting documents. **Note:** Trade users will receive the "Docs Required" message through an SO60 message in their system. **6.2.4** If the goods are exported prior to CBP notification of exam requirements, CBP should be notified and provided proof with the request to close the TIB. **6.2.5** If exam notification received, Per 19 CFR §10.38, a completed CBP form 3495 must accompany the goods to the designated examination location at the time of export. **6.2.6** The importer or their agent must contact the CBP CEE to arrange location for the exam. Importer or agent must then contact local CBP port to make them aware of the arrangements prior to the examination and schedule a date and time.
6.3 Closure Procedures	When goods have been exported, proof of export documents may be submitted either via paper documents to a port or center or via Document Imaging System (DIS). When goods have been exported, proof of export documents, and any other relevant documents must be submitted in DIS or in paper documents if submitting to a port. If documents are submitted via DIS, the filer MUST notify CBP that the documents are in DIS and ready for review. This notification may be in the form of an email or a written letter in paper form. To locate a CEE Team, please utilize the following link to access the Centers of Excellence and Expertise Directory: https://www.cbp.gov/trade/centers-excellence-and-expertise-information/cee-directory
6.3 Extensions	TIB Extensions that are requested by the Trade filers will automatically be accepted in ACE, but CBP will have the ability to deny an extension as necessary. Per 19 CFR 10.37, TIB's may be extended for not more than two further periods of 1 year each. As a matter of law no extension is possible after the three year period has run.

6.4 Anticipatory Breach	Prior to the bond period expiring, the importer/filer must submit written notification on a company letterhead to CBP of the anticipatory breach along with the entry summary package and a check in the full bond amount. Upon submission of payment of the anticipatory breach, the importer has waived his right to receive a notice of claim for liquidated damages and will not have the right to petition for a mitigated amount. The calculation of liquidated damages for an anticipatory breach includes all duties plus the MPF Fees. The amount is two times or 110 percent of what would have been applicable to the entry had an entry for consumption been filed, with the exception of non-conforming vehicles, which is three times the value of the vehicles. Under 19 CFR 10.39(g), the importer has the responsibility for notifying the surety for the breach of bond.

7.0 Post Summary Correction (PSC)

7.1 Post Summary Correction (PSC) Overview	PSC's operate under the 19 CFR 101.9(b), ACE Prototypes and allows importers to amend entry summaries (***not informal entries***) prior to liquidation. A participant amending entries under the test procedures will be subject to the usual penalties, liquidated damages, and other administrative sanctions for any Customs law violations. A Post Summary Correction (PSC) allows filers to electronically correct entry summary data submitted to CBP. An authorized filer may submit a PSC for an ACE entry summary originally submitted by another filer if authorized by the same importer of record or if the filer of the PSC is a self-filing importer and they are the importer of record on the previous entry summary. If the PSC is filed by someone other than the original entry summary filer, ownership of the entry summary moves to the PSC filer. The original entry summary filer will receive a notification message when a PSC has been filed, but will not have visibility to the new filing. Only the PSC filer will be able to view the specific entry summary that was corrected. Each individual filer is responsible for the accuracy and content in their separate submissions. Each filer has record keeping obligations for the records on which their filing is based; therefore entry filers and PSC filers are not responsible for any submission not made by them.

A filer is legally obligated to correct an entry per 19 U.S.C. § 1484 and 1485.

PSC's typically address data elements that could have been determined at the time of entry, so filers that excessively use PSC's may be penalized for failing to exercise reasonable care.

If the entry summary is liquidated, the filer's options are to file a prior disclosure or protest.

7.2 PSC Transmission

The Client Representatives are the first point of contact for the trade community when it relates to automating their systems for interactions with CBP, system-related problems after automation and any questions on transmitting data to CBP.

A PSC transaction contains all of the data elements in the original entry summary and constitutes a complete replacement of that entry summary, as well as a replacement of any prior PSC that may have been made to the original entry summary.

If the filer receives a system reject message upon transmission, the PSC failed ACE validations. The filer should reach out to their ABI Representative to assist them on PSC error messages.

7.3 PSC Filings

In order for a filer to submit a PSC, the original entry summary or previously filed PSC must meet the following criteria:

- Entry summary must be in accepted status
- Entry summary cannot be under a CBP review
- Entry summary must be in CBP control
- Entry summary must be fully paid
- Entry summary cannot be liquidated

An entry summary that has been flagged for Reconciliation may only be corrected by a Post Summary Correction (PSC) that does not affect the issue flagged for Reconciliation.

All PSC's for a Reconciliation flagged entry summary must be filed (transmitted ABI) before the Reconciliation flag issue is reconciled through a Reconciliation entry summary type 09 otherwise it will reject with error code:

	"B52 - PSC Not Allowed - Summary Reconciled –" A PSC is not permitted for a conventional entry summary that has been accepted with either a FTA or non-FTA Reconciliation issue. There are no limitations to the number of PSC's that can be submitted for any one entry as long as the PSC is within the allowed timeframe and all other requirements are met. PSC's can be submitted within 300 days from the date of entry and up to 15 days of the scheduled liquidated date, whichever date is earlier. A PSC is permitted to be used for the submission of invoice(s) omitted at the time of the original entry summary filing.
7.4 PSC data changes	Both revenue related and non-revenue related changes should be reported through the PSC test program. Revenue related are those that affect the amount of duties, taxes, and or fees applicable to an entry of merchandise, regardless of the de Minimis rule. Non-revenue changes are those that pertain to information that must be provided in the entry summary, such as: • Country of origin • Quantity of the merchandise • Description of that merchandise • Quota visa number • Value of the merchandise • Tariff number under the Harmonized Tariff Schedule of the United States (HTSUS). • Census Bureau data that must be reported • Other charges and information regarding the merchandise (19 C.F.R. 141.61).
7.5 In- eligible changes	**Data elements that <u>cannot</u> be changed for any entry type:** • Importer of Record (The importer or broker must submit a CBP Form 3347 and CBP will make the appropriate changes in ACE. Once completed, the filer may transmit a PSC to correct any necessary entry summary data.) • Consolidated summary indicator • Port of Entry • Cargo release certification request indicator (including DOT grouping, FDA grouping and PGA Grouping

	• Live entry indicator • NAFTA Indicator 19 U.S.C § 1520(d) indicator for specific special programs (see Special Program/Trade Agreement Indicator section) • Reconciliation issue code • Preliminary statement print date • Periodic Monthly Statement (PMS) • Statement client branch identifier • Location of goods code • Date of Entry The filer may **not** submit a PSC to amend an entry summary for Trade Preference Programs covered under 19 USC 1520(d) i.e. NAFTA, CAFTA, DR, Chile, Columbia, Korea, Oman, Panama and Peru. Agricultural fees cannot be adjusted or removed in ACE through the transmission of a PSC. CBP does not issue refunds for agricultural fees. It is the filer's responsibility to contact USDA's Agricultural Marketing Service (AMS) for a refund. However, in order for the importer to receive the refund they must submit the original entry summary showing the original weight/quantity and the corrected entry summary showing the corrected weight/quantity in order to receive the refund. Therefore, changing the net quantity through a PSC filing would be necessary in order for the importer to receive their refund from AMS.
7.6 Eligible Entry Types	The only permissible changes to entry types that can be made via a PSC are a change from entry type 01 to 03, and a change from entry type 03 to 01. When a PSC results in a type 01 entry being changed/corrected to indicate it is a type 03 entry, or if a PSC for a change/correction to a type 03 entry results in additional AD/CVD duties due, the importer of record must deposit the associated AD/CVD duties (or bond, if allowed) at the same time the PSC is filed. The failure to make the deposit (or bond, if allowed) may result in a claim for liquidated damages. **Note:** The de Minimis rule does not apply to AD/CVD duties. PSC ***data element*** changes may be filed on the following entry types:

	01 – Consumption 02 – Consumption (Quota/Visa) 06 – Consumption (FTZ) 07 – Consumption (AD/CVD & Quota Visa Combination) 21 – Warehouse 22 – Re-Warehouse 23 – Temporary Importation Bond (TIB) 31 – Warehouse Withdrawal – Consumption 32 – Warehouse Withdrawal – Quota 34 – Warehouse Withdrawal – AD/CVD 38 – Warehouse Withdrawal – AD/CVD & Quota/Visa combo 51 – Defense Contract Administration Service Region (DCSAR) 52 – Government – Dutiable If the PSC has quota lines, please refer to the ACE Business Rules Quota Section.
7.7 Request for Accelerated Request	Filers can request an Accelerated Liquidation Request via an ABI indicator requesting the PSC to be reviewed and processed in the weekly liquidation cycle. This indicator is usually used for a refund request less than $20.00 (de Minimis). **Exemption:** AD/CVD If a filer submits an accelerated liquidation request on a PSC, CBP shall process this request within 60 calendar days.
7.8 Rejection	For questions about PSC rejects, please contact the Center team assigned to your entry.
7.9 Collections	To expedite the collection process, CBP recommends that payments for Post Summary Corrections be filed at the Port of Entry designated on the entry summary. Payments made at another Port of Entry may slow down the collection process. Filers that fail to file timely deposit duties or fees, including any applicable AD/CVD cash deposits (or bond, if allowed), may be subject to civil and criminal penalties, administrative sanctions, liquidated damages, and/or suspension from this test program. When a PSC is filed declaring an increase in liability for AD/CVD duties and other associated fees and taxes, the importer must mail or

	deliver a check to the CBP port of entry with those additional AD/CVD duties and associated fees and taxes within three business days of submitting the PSC.
7.10 Liquidation	For questions about liquidations, please contact the Center team assigned to your entry.
7.11 Status Updates	Status updates for a PSC should be sent to the Center of Excellence and Expertise that is processing the PSC.
7.12 References	19 U.S.C. § 1504(a) Federal Register Notices: 76 FR 37136 76 FR 89482 78 FR 69434 82 FR 2385 ACE CATAIR Entry Summary Query: https://www.cbp.gov/document/technical-documentation/ace-catair-entry-summary-query

Note: *Additional edits will be made to this section (Section 8- Quota) soon.*

8.0 Quota

8.1 Entry Summary Submitted Date	The "Entry Submitted Date" is the date that the entry summary was submitted into ACE. **8.1.1** Entry Summary subsystem determines this date bas ed on when the batch is first received. The following entry types will be sent to the quota subsystem. **Entry type 02**, Consumption entry - Quota/Visa **Entry type 06,** Consumption entry – Foreign Trade Zone, (if quota), **Entry type 07,** Consumption entry Quota/Visa and AD/CVD **Entry type 12,** Informal Entry – Quota other than textiles **Entry type 23,** TIB – Quota **Entry type 32,** Warehouse withdrawal – Quota /Visa **Entry type 38,** Warehouse withdrawal – Quota/Visa and AD/CVD

Note: *Additional edits will be made to this section (Section 8- Quota) soon.*

	Entry type 51 (*if quota*)**,** Government Entry- Defense Contract (*DCMAO NY*) **Entry type 52** (*if quota*), Government Entry- Any U.S Federal Government Agency **Entry Type 53** (*if quota*) Government Entry When an ACE submissions certified from summary, this ensures quota eligibility. Quota is based on is first come , first serve and to establish quota priority the trade is advised to certify from summary for absolute quota and when quota is threshold and/or close to filling. CBP will process the entry summary for quota, and the entry will be processed for CBP and Partner Government Agency (PGA) release requirements. Any reject on the entry or entry summary portion at that point should be refiled independently. CBP manually, not system, rejected entry summaries do not need to be filed as Certified from Summary. Warehouse withdrawals for entry types 32 and 38 should not be Certified from Summary, since there is no cargo entry involved. **8.1.2** The date and time stamp is being automated by ACE and no longer requires manual input by CBP ACE electronic summaries. **8.1.3** The entry Summary date and time of presentation is based on Eastern Standard Time (EST). **8.1.4** For ACE entry summary transaction (record code: AE) processing, ACE will check if the entry number already exists in the Quota Staging Table. If it does the old entry version will be replaced with the most recent one. **8.1.5** After validations are complete, any old lines associated with that entry number will be deleted from the Quota Staging Table. This will be done for all entry numbers regardless of the entry type or whether the new AE has accepted or rejected quota lines.
8.2 Payment Date	**8.2.1** The date that the entry summary was paid (single payment/check) if it is not scheduled for statement.

	8.2.2 If it is scheduled for statement, use the Entry Summary Submitted Date as per 12.1 of this section.
8.3 Arrival Date	**8.3.1** The "Arrival Date" is the actual date that cargo conveyance arrives in Customs territory from the Manifest subsystem. **Note:** Warehouse Withdrawal Entry Summaries (Entry Type 31, 32, 34 and 38) will not have an arrival date. ACE assumes the goods have arrived prior to the submittal of the entry summary since they are in a warehouse. Warehouse withdrawals are summary only, not Cargo Entry, and are not certified from Summary. **8.3.2** Ocean and Rail arrival dates derived from the manifest. In Mode of Transportation (MOT) for Air cargo is manually arrived by the Customs officer (CBPO). **8.3.3** Truck dates are entered into a database for processing by CBP. **8.3.4** If time is recorded in EST, it will be consistent across all ports for opening moment entries. It is converted by ACE at the confirmation and will show 12 (EST).
8.4 Export Date	**8.4.1** The export date is identified on the quota line. This is used if Quota Processing Date = Export Date. Export date is only needed for an absolute quota. Currently there are a limited number of commodities subject to absolute quotas.
8.5 Estimated Arrival Date	**8.5.1** The "Estimated Arrival Date" is the estimated date of cargo arrival. Used for initial validations if actual arrival date is not available, but is not used for quota reporting.
8.6 Time and Date of Presentation for Quota Eligibility	Time of presentation, refers to the time of physical delivery or ACE transmission, in proper form, of either an entry summary, entry/entry summary (LIVE) or warehouse withdrawal for consumption with duties attached or scheduled for payment of duties via the Automated Clearinghouse (ACH). If all three dates are present; entry summary, manifest date of arrival and payment or scheduled payment each Quota request records converts status to ready. **Presentation Date:** Quota presentation date is based on the date the payment was scheduled (transaction done) and not the day that it will actually be paid.

The latest of three date and times determines the quota priority. Quota entry summary may reflect pending status, if all three conditions are not met.

If the Entry Summary is not subject to Opening Moment quota, and the latest date and time is during regular business hours (8:30 am - 4:30 pm local time), the Presentation Date is the latest of the three dates and times: date that goods arrive, date -entry summary was transmitted and the date in which payment is scheduled or paid. Entry summaries that use a warehouse withdrawal entry type, the presentation date will be derived using the following criteria: date entry summary was transmitted, or date in which payment is scheduled or paid (latter of these will be used as presentation date).

If the latest date and time is between closing (4:30 pm local time) and opening (8:30 am local time), the Presentation Date to 8:30 am local time the next day.

All Quota request records will be sorted by Presentation Date by the minute.

When all applicable Quota request records are sorted by Presentation Date, records are ready for further Quota processing.

Paper Documents: CBP will not require paper entries for filing of quota in ACE. An ABI transmission is sufficient for processing of most quotas. Trade filers will receive response messages from ACE as the entry is accepted and quota is processed. Non-ABI submissions are acceptable, but will be subject to manual processing by CBP, and may result in delays in quota processing. Supporting documents, licenses, permits, or certificates may be transmitted via the Document Image System (DIS), provided policy or other directives allow.

Filers should verify Entry receives a "Quota Processed/Accepted" message to ensure quota has been allocated. The Quota Processed/Accepted Message may not occur at time of E/S filing if quota is in a QUOTA PROCESS PENDING status (CATAIR).

Quota Line Status ABI Messages: After Quota Processing

Code	Description
Q01	Quota Processed / Accepted
Q02	Quota Apportioned

Note: Please see below section 12.7.2 for further information.

Q03	Quota Filled
Q04	Quota Filled or Expired
Q05	Banned Import
Q25	Licenses Filled
Q26	License Expired
Q27	Licenses Processed / Accepted

8.7 Quota Batch Processing

If the Entry Summary associated with a Quota request is resubmitted, a new Quota request record is created and the prior record's Processing Status is no longer pending.

Quota Allocation: The Quota Allocation is a proration based on a comparison of the total quantity presented in relation to the quantity available. Proration is necessary primarily when the quantities of all entry summaries or withdrawals for consumption presented exceeds the restraint limit for a popular quota that oversubscribes at opening. The calculation of this percentage ensures that each importer receives an equal share of the quota relative to what they properly presented. An importer may not request more than the total allocation by presenting a quantity in excess of the quota limit (prohibited per 19 CFR 132.4).

CBP may be able to manually allocate quotas when needed. This may include protests, post summary corrections (PSC), systems issues, and specials cases that may occur.

8.7.1 In the event that a status response message with Quota decision instructions (i.e. Reject), is transmitted via UC Message (CATAIR) to the Entry Summary Filer and the Filer never resubmits their response, the Filer may receive a liquidated damage.

8.7.2 Apportioned quota is when a filer request an excess from the total quota remaining and the filer will be granted the amount left and/or when two or more filers request the full quota remaining at the same time and it will be split in equal quantity for both filers.

8.7.3 ACE quota entries will be filed as entry type 02 or other quota entry type with quota Harmonized Tariff Schedule (HTS) number until the quota is filled. Once quota has filled, closed or is

otherwise unavailable, entries should be filed in ACE using entry type 01 or other non-quota entry type, with the high rate of duty. When an ACE Quota entry summary is not successfully accepted in the systems, the filer may receive a "Quota not Processed" message.

8.8 Oversubscribed Quota/Opening Moment

A quota oversubscribes when the demand is greater than the quota limit, i.e., if the total quantity presented at opening moment by all importers is greater than the amount of quota available. When Headquarters Quota Branch (HQ Quota) expects the quota to oversubscribe (based on the previous year history) HQ quota will issue instructions to all CBP field personnel, as well as other brokers, importers and interested parties outlining opening moment procedures. [19 CFR 132.12]. Instructions will be posted via Quota Bulletin(QB), and it can be found on the following link: https://www.cbp.gov/trade/quota

8.8.1 The filer should submit their entry/entry summaries between 12:00am (local time) and 12:00pm (EST) date of opening moment. These requests will then be prorated if the sum of the requested quantities during this timeframe is greater than the quota limit.

Opening Moment Quotas: Special rules will apply to quotas that are expected to fill at opening. In these instances, quota entries with presentation dates between 12:00 midnight (Local) and 12:00 noon (EST) on the quota opening date will receive a presentation time of 12 noon (EST) to ensure all filers are treated the same in terms of quota priority. Quota processing for opening moment can be held so that CBP Headquarters personnel can review lines subject to opening moment prior to issuing proration via ACE. Once ready for processing, ACE will reject the entry summary, and the filer will be notified via UC message of the amount of proration they receive. The filer may then resubmit the rejected entry summary for quota allocation up to the amount of the proration, or take other action as appropriate (leave in warehouse, allotment transfer, etc.)

8.8.2 For all successfully transmitted entry summaries, ACE will provide a date and time of presentation if the following data elements are present:

- Date of Entry Summary was transmitted
- Date goods arrived
- Date on which payment made or scheduled to be paid

Note: Quota will be using the same arrival date as cargo conveyance arrives.

The latest of the three dates will be used as the presentation date. If one of the dates is **not** received, the quota will be held in a "pending status" until the condition is met.

8.8.3 For electronic entry summaries using a warehouse withdrawal entry type, the "presentation date and time" will be derived using the following criteria:

The **latest** date:

- Date the entry summary was transmitted.
- Date in which payment is scheduled or paid

8.8.4.1 The latest of these two dates will be used as the presentation date. If one of the dates has not been received, the quota line will be held in a "pending" status until the condition is met.

8.8.4 When the ACE submission is successfully transmitted and received by CBP, the entries will be batched and timestamped for 12:00pm (EST) opening moment timeframe.

8.8.5 For entry summaries submitted unsuccessfully with existing issues, the Headquarters Quota Branch will have a pre-allocation review timeframe of 72 hours (3 business days) after opening moment for the readdress of any concerns prior to allocation. CBP will work collaboratively with any filer to resolve data transmission issues.

Note: Once the 72-hour (3 business days) CBP Headquarters review period has elapsed, the filer will receive an ACE message with the prorated quantity.

8.8.6 Non-ABI entry summaries and warehouse withdrawals for consumption may be submitted to the CBP Port or Center office prior to the opening moment (12:00pm noon EST), in proper form and may be considered for the opening, subject to port or center policy.

8.8.7 Quota goods that exceed the prorated amount may at the importers discretion be: exported to another country, imported into the United States at over quota high rate of duty (tariff rate quota only),

placed in a bonded warehouse, placed in Foreign trade Zone (FTZ) or destroyed.

8.8.8 ACE entry summaries submitted for opening moment quota using statement processing for payment of duties, fees etc.; should be scheduled for payment ten (10) days from opening day, this allows for the maximum amount of days to allow for proration.

8.8.9 Non-ABI entry summaries for opening moment quotas may be transmitted (Presented) starting 12:01am opening day and continue through 12:00pm (noon EST) same opening day. This must be presented opening day to a local customs facility before noon EST.

Note: All entries after verification, if accepted will indicate a 12:00pm noon (EST) presentation date and time regardless of port location. Any statements not transmitted for the minimum amount of 10 days cannot be added to another statement and must be paid, by check, to CBP within 1 business day.

8.8.10 The ACE proration is performed at the line level and filers must submit proration amounts based on the original line number(s). For example, if line 001 is prorated by the system the adjustment must be made to line 001. Additional lines may be added.

Re-filing of an entry summary should be done with the same line order as originally submitted, in the amounts indicated by the UC message. Line adjustments without approval for an allotment transfer may result in a loss of some or all of a filer's quota.

Lines may be added to the entry summary beyond what was originally submitted, such as in the case where any non-prorated amount will be entered at the high rate of duty. Original line order must be maintained if a proration is being claimed. You may add new lines for high rate after the original lines, but do not change the original line order or mix and match amounts differently than what was prorated, unless approval is granted for an allotment transfer.

8.8.10.1 Warehouse entry types are excluded from this line level correction process. Prorated warehouse withdrawals may be substituted for the original withdrawal amount(s).

8.8.10.2 The file should advise CBP what option will be used (barring other release issues, e.g. PGA requirements) for the balance of the goods subject to the "over quota" high rate. This information should be provided to CBP when low rate proration is submitted.

8.8.11 For electronic submitted entries, the filer may contact a local Port or Center or HQ Quota to request a Transfer of Allotment. HQ Quota will review the information and HQ "may" approve the transfer. The transfer allotment should be processed within the 5 working days [19CFR 132.13 (A)].

8.8.12 When the filer submits a completed transfer allotment request to the Port or Center for review via email, the Port or Center will forward the information to HQ for approval. Center of Excellence and Expertise (center) email address may be found on cbp.gov website.

8.8.13 The request should include the original port of submission, entry number(s), original quantity, transfer quantity and receiving port, (if different). Transfer quantity may only be allotted to same importer.

8.8.14 For ACE manually submitted entries, filer contacts local Port or Center or HQ Quota, to request a Transfer of Allotment, the Port or Center HQ Quota will review the information and HQ "may" approve the transfer. The transfer allotment should be processed within the 5 working days after headquarters authorizes release. [19CFR 132.13 (A)].

Absolute Quota: Absolute Quota permits a limited number of units of specified merchandise to be entered or withdrawn for consumption during a specified period. Once the quantity permitted under quota is filled, no further entries or withdrawals for consumption of subject merchandise is permitted.

In order to obtain the quota priority and establish date and time of presentation entry summary must have:

1) Arrival date
2) Entry summary date
3) Valid payment or payment scheduled

The latest of the three dates will provide date and time of presentation.

Note: shipments for absolute quota will not receive cargo release until quota is processed and accepted. Entry summary may show quota pending status and require additional action by the filer.

Current quota fill status may be found in ACE quota or commodity status report posted to cbp.gov. Filers may contact the local port or center for additional quota information.

8.9 Cargo Release Holds

8.9.1 "Quota Opening" process, entry summaries submitted timely and in proper form should go on manifest hold. This hold will apply to entry types 02, 06, 07, 12, 23, and 52. Warehouse entry types are excluded.

8.9.2 It is important to note the hold is not enforcement driven, but solely for the purpose of allowing the importer options when the quota oversubscribes at the "opening moment". As described in 19 CFR [132.13], when the quota oversubscribes and the entered quantity is prorated this process will allow the importer to choose one of the options listed below:

- Enter the merchandise at the "over quota" rate (high rate)
- Warehouse high rate goods in a bonded warehouse
- Export the merchandise out of the U.S. to a foreign country
- Request destruction for a portion or all entered merchandise (*At CBP's discretion*)

8.9.3 A quota entry type is initially submitted/accepted "Certified" from "Summary", the flier should not *recertify* for purposes of updating the releasable quantity, for all quota entry types.

8.9.4 An entry-level intensive exam hold is in place cargo release the **"Replace"** transaction will automatically become a correction request, which must be accepted by the Port before taking effect on the entry. The intensive exam status is an independent entry state, which, in this quota scenario, should "Override" after the correction request s accepted or rejected.

8.9.5 If the "Override" occurs before the request is accepted, the initially entered amount will be released. If this happens the importer would pay the original estimated duty, amount and be entitled to a refund of duties. The refund may be processed as administrative refund or post summary correction (PSC). Filer should contact the appropriate center or port for specific instructions.

8.10 Writing to the Quota staging Table	**8.10.1** An Entry Summary (AE) has been submitted. The quota requests associated with the AE have passed quota specific validations. **Relevant Tariff-Rate or Tariff Preference Level (TPL) Quota has been identified based on input AE data elements.** The AE is processed and the appropriate message reply AX response is transmitted to the Entry Summary subsystem. **8.10.2** The Quota System will record a quota request to the Quota Request Staging table. The Quota System will also apply quantity conversions if applicable under quota. Record the Entry Number associated to the quota request in the quota request-staging table. Record the Line Ordinal Number in the quota request-staging table. Record the Internal ES Line Number in the quota request-staging table. Record the Trade Line Item Identifier in the quota request-staging table. **Record the Presentation Date and time in the quota request-staging table if available.** Record the Quota Processing Status Code of Pending in the quota request-staging table. If there is no Presentation date and time the quota request stays in pending and is rejected to the filer after 30 days. **8.10.3 Record the Entry Summary Received Date and time in the quota request-staging table. Record the Arrival Date and time in the quota request-staging table. Record the Payment Date and time in the quota request-staging table. Record the Export Date in the quota request-staging table.** Please see: Business Rules - Entry Summary, Payment, and Arrival Dates. **8.10.4** Record the appropriate Requested Quantity to the quota request-staging table.
8.11 Transfer of Allotment	**8.11.1** Filer contacts HQ Quota, requests a Transfer of Allotment. HQ Quota may approve this transfer. Only HQ Quota can approve transfer requests. **8.11.2** Transfer allotment information must be provided to CBP within five (5) days of authorized release of the shipment per [19 CFR 132]. For electronic submitted entries, the Filer may contact local Port, Center or HQ Quota to request a Transfer of Allotment. The Port, Center or HQ Quota will review the Information and HQ "may" approve the transfer. The transfer allotment should be processed within the 5 working days [19CFR 132.13 (A)]. **8.11.3** Filer may update the reserved quantities in accordance to the requested transfer. Cancel the quota request associated to the reserved quantity. When the filer submits a completed transfer allotment

	request to the port or center for review, the port or center will forward the information to HQ for approval. **8.11.4** The request should at minimum Include the original port of submission, Entry number(s), original quantity, transfer quantity and the receiving port, (if different). Transfer quantity may only be allotted to the same importer. **8.11.5** ACE manually submitted entries, a filer contacts a Port, Center or OT's Quota Branch to request a Transfer of Allotment which the Port, Center or OT's Quota Branch will review the information and OT "may" approve the transfer. The transfer allotment should be processed within the 5 working days [19CFR 132.13 (A)]. **8.11.6** HQ Quota instructs the Filer to resubmit the AE entry summary. Filer resubmits the AE entry summary. This AE is now subject to the above process.
8.12 Changes After Allocation - After ES Rejected through VA	**8.12.1** ES is rejected through ACE and the filer resubmits the ES. **8.12.2** Quota Validations. Quota requests are recorded in the Quota Request Staging table with a new presentation date. Once certified from summary, to make changes, the filer must ask CBP to place the entry in reject status manually. **8.12.3** Filer should reach out to the Port or Center to request quota cancelations and have the entry placed in reject status. If entry is rejected by CBP without canceling the quota portion, the entry retransmission will return an error. The port can cancel the quota – does not have to be HQ. The entry should have a future scheduled liquidation date from the filer requesting reject and customs rejecting the entry summary. **8.12.4** Batch processing. Previous allocations are removed from the Quota Master Data. Reallocate quota with new presentation date and time. The filer should carefully monitor an entry's quota status if a rejection is involved, especially if that quota has since filled or is close to filling as entry summary resubmission after rejection will set a new presentation date. **8.12.5** Headquarters or Field may accept the ES and process is complete. Filer should verify Quota Accepted message is received Quota Processed / Accepted.

8.13 Post Summary Corrections	**8.13.1** Trade submits a Post Summary Correction (PSC). **8.13.2** Quota Validations are run through the ACE module. **8.13.3** Quota requests are recorded in Quota Request Staging table with a new presentation date and time. Batch Processing will occur after the end of the business day. **8.13.4** PSC acceptance for quota will set a new presentation date if the quota is still open. If the quota is not open the commodities must be entered under the high HTS rate, placed in a warehouse, re-exported, or destroyed. **Post Summary Corrections (PSC):** For entries and entry summaries filed in ACE with quota, the electronic PSC procedures will continue to be followed. PSCs do not need to be Certified from Summary. Note that a PSC will be considered a new quota submission. The trade filer should carefully monitor quota status if a PSC is involved, especially if that quota has since filled. In that case, after backing out the quota to accept the PSC, quota will no longer be available even if previously allocated, and the quota will remain closed. Headquarters, Port, or Center personnel may provide additional guidance in this area.
8.14 Cancel Quota Request	**8.14.1** Filer contacts HQ Quota to cancel their Quota request (*associated with a reserved quantity*). This process may be required to provide supporting information when requesting cancellation and approval may be required by assigned port or center in some cases. **8.14.2** HQ Quota cancels the entry summary at the filer request or accepts it and may instruct field to cancel. **8.14.3** HQ Quota changes the Quota Processing Status to cancel.
8.15 Validation	**8.15.1** After receiving the Entry message or Summary message, the ACE Quota system performs preliminary data validations on each message to determine if the request should be accepted for quota processing. **8.15.2** The Entry or Entry Summary is rejected and an SX message (*for Entry*) or AX message (*for Entry Summary*) is transmitted to the filer with a REJECT status if any of the following events occur: • The Entry Type is not for Quota and there is at least one

Quota line

- The Quota is full, expired, or closed
- The Quota is banned
- The merchandise's licenses, visas, and certificates are incorrect.

8.15.3 If the Quota is at or past threshold, an SX message (*for Entry*) or AX message (*for Entry Summary*) is transmitted to the filer to indicate a WARNING that Quota is almost full.

8.15.4 If the Entry passes the validations above, the SX is transmitted to Trade and the cargo can be released (*subject to other cargo release conditions*).

8.15.5 In the event the Entry Summary passes the validations above, an AX is transmitted to the filer indicating the AE is accepted with an indication Quota is waiting to be processed. Please contact HQ quota for completion of the process.

8.15.6 **Quota Query:** will provide a status of allocated quota at the time of query, but will not include unprocessed quota or quota pending allocation, similar to what was provided in ACS Quota Query. Port or Center personnel may be consulted for guidance on the status of particular quotas if near filling.

8.15.7 **Visa, eCERT and other Licenses, Permits and Certificate Reporting (LPCs):** LPC/Visa/eCERT/Quota requirements are driven by the HTS, country and/or textile category depending on the circumstance. The need to file with a Visa, eCERT or other LPC and which entry type to use will be determined by the combination of these factors, and are specified in quota policy and directives. These programs should be reported electronically in the entry summary AE ABI transmission following the formats in the Entry Summary CATAIR.

Quota Resources:
CBP.Gov Quota Page
Quota Bulletins
Commodity Status Report
CBP.Gov Directives

8.16 ACE Definitions

Agency: Values are CBP or USDA. If CBP is selected, Search Results will only display CBP Quota master data. If USDA is selected, Search Results will only display USDA master data. Please check the USDA website for USDA Agriculture License information.

Note: *Additional edits will be made to this section (Section 8- Quota) soon.*

Quota ID: ID number that identifies the master quota record.

Quota Type: The type of quota indicated in the quota master record. Values include Tariff Rate, Trade Preference, and Statistical. Values include:

- TRQ- Tariff Rate Quota
- TPL- Tariff Preference Quota
- STA- Statistical Quota.

Quota Status: Indicates the status of the quota (**Values include:** *Open*, *Filled*, and *Expired*).

Quota Period: Period for the master quota record. Formatted as YYYYPP: i.e. 201501 - first period in 2015, 201502 - second period in 2015, etc.

Tariff (HTS): HTS number which is subject to quota.

Country of Origin: The country in which the commodity is manufactured, grown, or produced. It has a quota quantity limit or minimum access quantity.

Importer of Record: Identification of the importer of record associated to a Quota request. Search will filter through both Quota Staging and Quota Allocation tables.

Entry Number: Unique identifying number assigned to the Entry by the Filer.

Description: Description of the master qu ota record.

Start Date: Starting effective date of the quota master record.

End Date: Ending effective date of the quota master record.

Search: Displays quota search results.

Reset: Clears Search Quota fields.

Note: If there are two HTS #s, the first one should be a chapter 98 or 99 (*not enforced by system*). It should also be noted that Quota commodities are currently not identified by more than two HTS numbers.

Note: *Additional edits will be made to this section (Section 8- Quota) soon.*

8.17 Search Fields Results	**Filter:** Input text used to filter the fields in this section. **Quota ID/License Number:** ID number that identifies the master quota record. **Quota/License Limit (UOM):** Quota limit quantity and its associated UOM. Quota limit is the sum of region minimum access quantity and region maximum quantity. **Quota Allocated:** Quota allocated from the Quota Limit to a Quota request. Quota allocated is the sum of all of the region allocated quantities from the Quota region table. **Last Transaction Date:** Latest processing date and time from the quota allocation table. **Filter Menu:** Selectable record values include 5, 10, 25, and all. If the user selects 5, only 5 HTS records should display. If the user selects 10, only 10 HTS records should display, and so on. **Previous Button:** These buttons will be selectable when there are more than 5 records. This table will display 5 records at a time, so the previous and next buttons will be used to scroll through records. **Quota Inbox:** The quota inbox alerts indicating entry summaries that need to be checked daily to determine their status. Items include pending more than 10 days, reserved, reservation expired, and failed.

9.0 Antidumping and Countervailing Duties (AD/CVD)

ACE is the system of record for all AD/CVD case information and Department of Commerce, Enforcement and Compliance (formerly known as Import Administration (DOC/EC)DOC/ECmessages. The AD/CVD Cases Search and AD/CVD Messages Search can be found in the Task Selector under the References tab. These searches provide access to comprehensive AD/CVD case and message information that can be used by trade portal users to identify entry summary and liquidation requirements.

ACE, does not require the filing of "03" entry summaries. The responsibility for properly filing the entry summary remains with the importer or their authorized agent. Trade users accessing the

	AD/CVD case and message information should consult the CATAIR as needed for guidance. For disclosure purposes, DOC/EC is the agency responsible for the input and update of most of the information contained in the AD/CVD case management and message files.
9.1 View AD/CVD Case Information	AD/CVD case information can be reached by navigating to the Reference tab and selecting AD/CVD Cases Search from the Task Selector. The trade should notify the client representative if any discrepancies are identified within the AD/CVD case files.
9.2 Rates Information	The "Rates" sub-tab provides the trade portal user with rate information. The first column is the effective date, which indicates the date upon which a particular rate went into effect. The effective date is the equivalent of the entry date or the date of warehouse withdrawal. Trade portal users should be aware that the effective date may precede the "Added Date." **9.2.1** Trade portal users are responsible for the correct deposit of AD/CVD and should promptly submit any additional cash deposit when the rate(s) have been retroactively updated. **9.2.2** DOC/EC will transmit message for each instance of a rate change effective on a particular date. Trade portal users with questions on an applicable rate should research the DOC/EC messages to determine whether previously transmitted instructions resolve the question. **9.2.3** The second column reflects the ad valorem rate. The ad valorem rate is the percentage applied to the entered value of merchandise subject to AD/CVD. ACE calculates the duty amount owed based on the entered value and ad valorem rate input. The entry summary AD/CVD calculations must be correct or the entry summary will be placed in reject status. **9.2.4** The third column reflects the specific rate of duty, that is, a set dollar amount for a given unit of measure. Units of measure (UOM) for products vary with the nature of the product and normal terms of sale. ACE provides a UOM field and a description of that field. Common UOM are kg for kilograms, pcs for pieces, etc. When DOC/EC determines a specific rate of duty for a 10-digit case number, entry summary lines subject to the case will need to include the UOM for that rate. ACE

	calculates the duty amount based on the entered value and specific rates of duty input. The entry summary AD/CVD calculations must be correct or the entry summary will be placed in reject status. **9.2.5** The fourth column reflects the Added Date. This is the date that DOC/EC added the rate information to the Rates sub-tab. It should not be confused with the effective date. Trade portal users should be aware that the added date may precede the effective date. **9.2.6** The final column on the rates sub-tab is the "Inactivated Date." When an inactivated date appears for a rate, the associated rate and effective date are no longer valid on or after that date. However, if an inactivated date appears, trade portal users should identify whether it is followed by a retroactive update of a rate.
9.3 Events Information	The "Events" sub-tab makes it much easier for trade portal users to identify when changes in suspension of entry summaries and cash deposits are likely to occur. Data fields common to all events are the effective date, the name of the event, the determination, the FR Cite, the added date, and the inactivated date. As with rate details, the effective date and the added date may differ. Normally, the effective date will be the same as the date of the FR Cite.
9.4 Bond/Cash Requirements	DOC/EC previously allowed importers at certain times to provide a bond in lieu of an AD/CVD cash deposit. The bond/cash sub-tab provides the trade portal user with enhanced information on the current requirement for the AD/CVD case as well as clear information of these requirements for previously filed entry summaries. **9.4.1** Trade portal users are responsible for the correct bonding and deposit of AD/CVD and should promptly submit any additional bond or cash deposit when this indicator has been retroactively updated. **9.4.2** Trade portal users with questions on the applicable bond/cash requirement should research the DOC/EC messages to determine whether previously transmitted instructions resolve the question. See Section 3.0 for more information regarding filing a Single Transaction Bond

9.5 Administrative Review	The information contained in the Administrative Review (AR) sub-tab are the POR #, the Period of Review, Event, Event Effective Date, Added Date, Event FR Cite, and Message #. Information on each of these data fields is set forth below. The AR sub-tab is designed to easily identify entry summaries which should be liquidated by providing an entry summary date range with a hyperlink to associated liquidation instruction messages. Trade portal users must not rely solely on the absence of a hyperlinked message in this sub-tab since this is a manual input process. When portal users expect a liquidation instruction should be present based on the stage of the AD/CVD case, they should perform a search of messages. DOC/IA began completing the AR sub-tab for AD/CVD cases after ACE A2.3.1a was released. As a result, historical information is not included, except as DOC/IA determines is necessary for clarity on and AD/CVD case.
9.6 HTS Sub-tab	**9.6.1** The HTS sub-tab contains 3 data fields: HTS number, added date and inactivated date. ACE validates HTS numbers that are added to the case file to ensure the HTS number exists and that it is an active number at the time it is added. New HTS numbers may be may be added to and/or inactivated for an AD/CVD case from the time of the preliminary determination to the time of the order (see "Events" sub-tab).The "added date" identifies the date that DOC/EC added the HTS number to the case file. The inactivated date should be interpreted in the same manner as for inactivated rates dates and events. **9.6.2** Written Description Dispositive— Trade portal users must always remember that the HTS number(s) in the AD/CVD case file are present to facilitate the filing of AD/CVD entry summaries in compliance with AD/CVD orders. The written description of the AD/CVD order is always dispositive as to whether any given product is within the scope of an order. Trade users should not conclude that a product is within or is not within the scope of an order based on the presence or absence of an HTS in the AD/CVD case file. Trade users are reminded of their responsibilities under the Mod Act to properly file entry summaries.

	9.6.3 Addition of HTS — DOC/IA may add HTS numbers to an AD/CVD case file after a case has gone to order for reasons such as, changes in the HTS, CBP change in classification of a product, results of a changed circumstances review, and results of an anti-circumvention determination.
9.7 Susp ES Sub-tab	**9.7.1** Susp ES — ACE greatly simplifies the identification of entry summaries within a time period that are subject to suspension of liquidation. The Susp ES sub-tab contains only 4 data fields: Effective Date, Suspend ES, Added Date and Inactivated Date. **9.7.2** Maintenance of ACE Data— When the DOC/EC creates an AD/CVD case in ACE (published in the FR and INI instruction message issued), the DOC/EC will input the date of initiation of investigation on the Events sub- tab and the "N/A" indicator and effective date on the Susp ES sub-tab because entry summaries are not subject to the suspension of liquidation at the initiation of an investigation. When the DOC/EC makes an affirmative preliminary or final determination that entry summaries are subject to suspension of liquidation, the DOC/EC and the "Start" indicator. When the DOC/EC makes a determination that entry summaries should no longer be suspended, for example, the exclusion of a company from an AD/CVD investigation, the revocation of a company after an order, or the revocation of an AD/CVD case resulting from a Sunset Review, the DOC/EC will complete the effective date field and insert the "Stop" indicator. CBP and trade portal users should be mindful that DOC/EC updates the Susp ES sub- tab separately from the Events, B/C and other sub-tabs. The N/A indicator in the Susp ES sub-tab means that entry summaries are not subject to the suspension of liquidation. ACE will notify the importer and sureties of the suspension of liquidation.
9.8 AD/CVD Messages	Public messages will be available to the trade via ACE, and unofficial copies of public messages will be available on the ADDCVD Search Application on cbp.gov. ACE enhancements allow CBP and trade portal users to more readily identify actions that need to be taken with respect to unliquidated entry summaries subject to AD/CVD.

9.8.1 DOC/EC messages now contain not only the 10-digit case number but also the party name and role (i.e. manufacturer and/or foreign exporter).

Trade portal users are reminded that ACE entry summaries for named manufacturers and foreign exporters must only be made in accordance with DOC/EC's instructions. Where the instructions state that a particular manufacturer and exporter combination have been given a 10-digit case number, both of those firms must be present and acting in the role named in order to declare the case and rate on an entry summary line. Importers and filers should indicate the manufacturers and/or exporters in the MID and AD/CVD Foreign Exporter entry summary fields corresponding to the 10-digit case numbers.

9.9 AD/CVD Terms

The following ACE terms are found in the Search AD/CVD Case "Company Status" field (*i.e.*, 10-digit level company case page). The Department of Commerce (Commerce) populates this information through the AD/CVD Case Reference File (CRF) within ACE. In the definitions below, unless otherwise specified, "company" may refer to a single company (or group-entity) designated as an exporter, a producer, or a specific producer/exporter combination.

Note: This information is used for cash deposit purposes only. Merchandise may be entered under a specific case number with an assigned cash deposit rate, but may be liquidated at a different AD or CVD rate.

Active: *This case number is active and entries may be made under it.*

9.9.1 When Commerce adds a 10-digit company-specific case number (including the -000 case number) in ACE, the company status field will indicate "Active." This indicates that the company has an active company-specific case number under that AD/CVD proceeding. With respect to the -000 case number, that means there is an active "all others" case number in a market economy proceeding and an active "country-wide entity" case number in a nonmarket economy proceeding.

a. For all active 10-digit company case-numbers, Commerce directs CBP to suspend liquidation of the entry, and separately directs CBP regarding the amount of the cash deposit required for entries under that case

number. AD/CVD should be reported at the time of entry.[1]

b. A zero percent cash deposit rate for an active case number is not an indicator that the merchandise is not subject to the respective AD/CVD order. Rather it means that the last calculated cash deposit rate for that company was zero, and AD/CVD should be reported at the time of entry. Should a positive rate be determined at the end of an administrative review, the importer will receive a bill for the difference between its zero cash deposit and the final margin.

Inactive - company revoked: *Order does not apply to this company.*

9.9.2 Commerce typically applies "Inactive – company revoked" when it issues a determination to revoke a producer, exporter, or a specific producer/exporter combination from an order, meaning that merchandise from that revoked producer/exporter combination (when not sold through a third party reseller) is no longer subject to the AD/CVD order.[2] As a result, entries of merchandise from the excluded producer/exporter may not be entered under this 10-digit case number.

Note: Commerce's revocation determination does not apply to a reseller's exports to the United States of merchandise sourced from the revoked producer, exporter or producer/exporter combination. Accordingly, the importer should enter merchandise sourced from the reseller under the reseller's 10-digit case number (or where the reseller does not have its own 10-digit case number, the merchandise should enter under the case number ending in -000). Under the reseller scenario, AD/CVD should be reported for merchandise from the reseller at the time of entry.

Inactive - termination: *Investigation terminated, no duties on this product from any company in this particular AD or CVD investigation.*

9.9.3 Commerce typically applies "Inactive – termination" when it terminates an AD/CVD investigation because the U.S. International Trade Commission determines no injury or no threat of injury, or Commerce determines there is no dumping or

[1] Bonding, in lieu of cash deposit, is no longer allowed for any entries subject to AD/CVD.

[2] The regulatory provision that allowed for company specific revocations was rescinded on 5/21/2012, thus company-specific revocations from an order no longer occur effective 6/20/2012, (see 77 FR 29875). Accordingly, there are generally no new company-specific revocations from an order after rescission of the regulation.

subsidization. It may also occur if the Petitioners withdraw the petition. In such instances, the investigation is usually terminated and the termination carries through from the principal (i.e., 7-digit) case number to all of the 10-digit company case numbers. As a result, no AD/CVD is reported at the time of entry.

Inactive – company deactivated: *The order likely still applies to this company, but this case number does not.*

9.9.4 Commerce typically applies "Inactive – company deactivated" when there has been a change in status for the company. Note, however, that a "company deactivated" status does not mean that the company is not subject to the AD/CVD order; rather it means that this particular case number is no longer active for the company and merchandise can no longer be entered under this 10-digit case number. The appropriate 10-digit case number for the company will be identified in the AD/CVD cash deposit instructions. If the company is given a different 10-digit company number, that will be noted in the ACE AD/CVD case reference file. Otherwise if the company is still subject to the order but does not have its own case number, its entries should be made under the "all others" or "country-wide" "000" case number. AD/CVD must be reported at the time of entry using the case number that replaced the deactivated case number for that company.

Commerce generally updates the CRF's AD/CVD Company events tab to reflect "company deactivated" under the following circumstances:

a. ***Nonmarket economy AD proceedings*:**
   i) when Commerce issues a final result of administrative review that a company is no longer entitled to separate rate status, and therefore becomes part of the country-wide entity, Commerce will deactivate the 10-digit case number previously applicable to that company, as subsequent shipments from that company should be entered under the country-wide entity case number (i.e., -000).

   ii) when Commerce issues a final results of administrative review that an exporter that previously was part of an exporter/producer combination separate rate is entitled to an exporter separate rate (meaning the rate is applicable to the exporter regardless of what

company manufactured the merchandise), Commerce will establish a new 10-digit case number for the exporter and deactivate the 10-digit case number(s) applicable to the exporter/producer combination.

b. ***Market economy (AD and CVD) and non-market economy (AD and CVD) proceedings:***

i) When Commerce makes an affirmative successor-in-interest determination, Commerce will establish a new 10-digit case number for the company determined to be the successor-in-interest and deactivate the 10-digit case number of the original company.

c. ***Market economy (AD and CVD) and non-market economy (AD and CVD) new shipper reviews***:

i) When Commerce issues a final results of new shipper review finding that the new shipper's sales were not bona fide, or when Commerce rescinds a new shipper review, Commerce will deactivate the 10-digit case number that was set up to allow bonding for imports of merchandise shipped by that new shipper exporter/producer combination. Subsequently, entries of shipments from this exporter/producer combination should be made under the country-wide entity case number (i.e., -000).

Inactive – final exclusion: *Order does not apply to this company.*

9.9.5 Commerce typically applies "Inactive – final exclusion" when it issues a final determination that merchandise from a particular producer/exporter combination (when not sold through a third party reseller) is excluded from the AD/CVD order as a result of a De Minimis or zero margin determination in the underlying investigation. As a result, entries of merchandise from the excluded producer/exporter are not subject to AD/CVD and merchandise may not be entered under this AD/CVD case number.

Note: Commerce's final exclusion determination does not apply to a resellers' exports to the United States of merchandise sourced from the excluded producer/exporter chain. Accordingly, the importer should enter merchandise sourced from the reseller under the reseller's 10-digit case number (or where it does not have its own 10-digit case number, it should

enter merchandise under the case number ending in -000). Under the reseller scenario, AD/CVD should be reported for merchandise from the reseller at the time of entry.

Inactive – deactivated: *This case number no longer applies to any company.*

9.9.6 When Commerce updates the AD/CVD Case Reference File's AD/CVD Case events tab to "Deactivated," ACE automatically revises the CRF AD/CVD Case and Company status fields to "Inactive – deactivated." Commerce generally uses this designation when it is making a correction to a previously inactivated or deactivated case number. To make the correction, Commerce has to first reactivate the case number and so uses this designation to deactivate after the correction is completed. As a result, no entries may be made under this case number. However, entries of merchandise from the exporter or producer formerly associated with that case number may still be subject to AD/CVD and, in such case, should be entered under the appropriate AD/CVD case number.

Inactive – order revoked: *Order no longer applies to any company.*

9.9.7 Commerce typically applies "Inactive – order revoked" when it issues a determination to revoke the order, for example, pursuant to an AD/CVD sunset proceeding. As a result, no AD/CVD is reported at the time of entry.

9.9.8 Critical Circumstances: Critical circumstances is a provision in both the AD/CVD laws that allows for the limited retroactive imposition of duties if certain conditions are met.

Notes: Importers should be aware that entries of subject merchandise made after the initiation of an AD/CVD investigation may retroactively be subject to AD/CVD.

A finding of critical circumstances is an important tool for the Department of Commerce (Commerce) and the U.S. International Trade Commission (ITC) to offset possible import surges during the early period of an AD/CVD investigation.

The petitioner in an AD/CVD investigation may allege critical circumstances during an investigation up to 21 days before the date of Commerce's final determination.

If Commerce makes a determination that critical circumstances exist, it has the statutory authority to order the retroactive suspension of liquidation and posting of a cash deposit for entries made before the issuance of a Preliminary and/or Final AD/CVD determination.

Commerce's authority to suspend entries retroactively for AD/CVD is limited to those entries made on or after the later of: (1) 90 days before the effective date the suspension of liquidation was first ordered, or (2) the date on which the determination to initiate the investigation is published in the Federal Register.

Note: In either case, entries of subject merchandise made after the initiation of an AD/CVD investigation would retroactively be subject to AD/CVD. AD/CVD cash deposits are due on entries subject to critical circumstances determinations.

If, following a preliminary determination by Commerce that critical circumstances exist, both Commerce and the International Trade Commission reach a final affirmative determination of dumping or subsidization, but either agency makes a negative final determination of critical circumstances, Commerce will instruct CBP to lift suspension from the entries made during the 90 day critical circumstances period and refund cash deposits made with respect to those entries. Interest is **not** payable on refunds of cash deposits at this stage in the AD/CVD case.

For more information, see the Federal Register for Commerce and ITC critical circumstances determination;, and Commerce AD/CVD instructions to CBP in ACE and ADDCVD Search at https://aceservices.cbp.dhs.gov/adcvdweb .

10.0 Liquidation

10.1 Liquidation

Liquidation processing and notification have been streamlined to fit into the ACE concept. CBP's liquidation processing cycle has decreased, while the public will be gaining access to liquidation disposition through CBP's bulletin notice website.

10.2 New Weekly Processing	Liquidations will process weekly, with entry summaries liquidating every Friday. Once an entry summary liquidation is processed, ACE will automatically populate a liquidation date equal to the next immediate Friday – for liquidations processed before **11:59:59 PM Wednesday ET**, liquidations will post Friday of the same week; liquidations occurring after this timeframe will post the following Friday. Manual liquidations are posted 365 days a year, including holidays.
10.3 Extensions, Suspension Deemed Liquidation	**10.3.1** The electronic bulletin referenced in section 14.1 will serve as the official notice for extensions and suspensions. Extensions and suspensions will post same day to the bulletin, within 90 minutes of the extension and suspension action. Sureties and filers will continue to receive extension and suspension courtesy notices, which will be sent via ABI. Non-ABI filers are only given one option for receiving notice, and this is viewing the electronic bulletin. Filers may choose to submit an extension request via paper or electronic format, through the team's email inbox or other established procedure that their assigned Center follows. If necessary, a liquidation may be extended up to three years. Reports will be available for CBP and the trade to view extension and suspension records. **10.3.2** TIB Extensions requested by Trade will automatically be accepted in ACE, but CBP will have the ability to deny an extension as necessary. TIBs may only be extended for up to two years. Please defer to the TIB chapter for further TIB processing information. **Note:** As of January 2017, entry summaries that are deem liquidated will be displayed on the electronic bulletin as "deemed liquidation" for the basis of liquidation. If no action has been taken to extend or suspend, an entry summary will deem liquidate at 365 days. The deemed liquidation notice should also be populated in ACE as described in 14.2.

11.0 Reconciliation

11.1 Reconciliation Participation	There is no application process to participate for Reconciliation filing; all importers are eligible if they have a valid continuous bond and a valid Reconciliation bond rider on file for each importer of record that wishes to participate.

	Filers no longer have to submit an application to CBP headquarters nor do they need to update any information regarding importer numbers and bond changes to CBP. The recon bond rider has to be in valid status on the eligible entry types when flagged. **Note:** Reconciliation is commonly known as Recon. Entries filed in Puerto Rico or the U.S. Virgin Islands must be addressed on separate Reconciliations. The Client Representatives are the first point of contact for the trade community when it relates to automating their systems for interactions with CBP, system-related problems after automation and any questions on transmitting data to CBP.
11.2 Entry Types Eligible	A Reconciliation claim can only be made on entry types 01, 02, and 06: • **Entry type 01:** Free and dutiable formal consumption entries. • **Entry type 02:** Quota/Visa consumption entries. **Except for Classification**. • **Entry type 06:** Foreign Trade Zone (FTZ) consumption entries. **Except AD/CVD**.
11.3 Recon flagging	A flagged entry summary is also known as an associated entry summary and an underlying entry summary. The Reconciliation flag indicates that the importer is alerting CBP that the entry summary is subject to reconciliation. There are four issues that could be flagged on an entry summary for Reconciliation; Value, Classification, 9802, NAFTA/FTA: • **Value:** This Reconciliation flag is open to all value issues (assists, royalties, computed value, and any other factors affecting CBP valuation, such as indirect payments). • **Classification:** This flag is eligible for Reconciliation only when the following issues have been established; pending

administration ruling (including pre-classification rulings), protest, and pending a court action.

- **9802:** Subheadings 9802.00.60-9802.00.90, permits for a reduced duty treatment for the value of components manufactured in the U.S. and assembled abroad. The focus is on the value aspect of the 9802, from estimates to actual figures.

- **NAFTA/FTA:** This flag is subject to the obligations of 19 USC 1520(d). The importer must possess a valid certificate of origin when making a NAFTA/FTA claim and present it to CBP upon request.

Recon Entry Summaries could have a combination of issues that exist on *each* underlying entry summary. The combinations are:

- 9802 & NAFTA/FTA
- Value & Classification
- Value & 9802
- Classification & 9802

OR ALL 3

- Value & Classification & 9802

<u>All of the NAFTA/FTA claims that are 520(d) eligible can be flagged for a post-importation claim via Recon</u>:

- NAFTA
- Chile FTA
- CAFTA-DR
- Colombia TPA
- KORUS
- Oman FTA
- Panama TPA
- Peru TPA

If an entry is flagged for NAFTA/FTA Reconciliation, no individual 520(d) claim will be allowed. A refund is requested at the time of Recon filing.

11.4 Double Flagging

An entry can be flagged for "OTHER" and "FTA". This is called Double Flagging.

	Double flagging requires two separate recons to be filed because the FTA recon entry summary must be filed separately. If an underlying entry is flagged for both FTA and "OTHER", CBP recommends that the FTA reconciliation be filed before the "OTHER" Reconciliation so the SPI can be established.
11.5 Reconciliation Filing	Reconciliations are filed electronically in ACE, no paper will be accepted. Reconciliation allows up to 9,999 associated underlying entries to be filed at once. Reconciliation filing allows CBP to issue one refund or one bill for all qualifying entries, rather than issuing individual checks for each associated entry. NAFTA/FTA Reconciliations must be filed within 12 months from the date of import of the oldest entry summary flagged. The flag will automatically be removed by ACE if this claim is not filed timely on the 13th month. Recon entries claiming NAFTA/FTA must include electronic certifications required by regulation. If a NAFTA/FTA is not reconciled within the timeframe, the importer cannot make a 520(d) claim on that entry. Value, Classification, and 9802 Reconciliations must be filed within 21 months of the summary date of the oldest entry summary flagged. If elements of Value, Classification, and 9802 remain unknown when the Reconciliation is due, the importer must submit a timely filed Reconciliation with the best available information or file a no changes Recon. Any additional duties, taxes, fees and interest owed by the importer must be deposited at the time the Reconciliation is filed. There are no extensions allowed on the deadlines for filing a Reconciliation.
11.6 Reconciliation types (change/no change)	A Reconciliation is either a change or a no-change recon type.

	A change recon indicates there was a change in the information; it could be an increase or a decrease. A no change recon indicates there are no changes and the estimates given were accurate when flagged. However, the Reconciliation must still be filed to close each flagged entry summary. Exception: NAFTA/FTA The aggregate method must be used when filing the Reconciliation if there are truly no changes to any of the flagged entries. A "True" no change means that every single flagged entry has no changes. The Entry-by-Entry method will not be allowed if there are no changes to any of the flagged entries.
11.7 Reconciliation Method (aggregate and entry-by-entry)	There are two methods of filing Reconciliation: Aggregate and Entry-by-Entry. An Aggregate recon consolidates all entries covered in the recon. It will include a list of all underlying entries but will not require the revenue adjustment to be broken down for each entry. An Entry-by-Entry Reconciliation requires the revenue adjustment for each underlying entry summary.
11.8 Reconciliation Review	Reconciliation entry summaries may be transmitted to any port and they are processed by the Centers of Excellence and Expertise (Centers): • If the importer is assigned to a Center, ACE will assign the Reconciliation to that Center. • If the importer has not been assigned to a Center but has previously filed Reconciliation before deployment in ACE, the importer will continue filing their Reconciliation entry summaries at their previously assigned Reconciliation Port of Entry with the appropriate Reconciliation team code. • If the importer is new to filing Reconciliation entry summaries and is not assigned to a Center, ACE will assign team number 001 at the Port of Entry for filing. If needed, CBP personnel will reassign the Reconciliation team code to the correct Center for processing.

11.9 Reconciliation Rejection	The rejection option is used if the filer needs to amend their reconciled amounts any time after a CBP review. The rejection allows the filer to retransmit the recon entry summary. Anytime a Reconciliation is rejected prior to the filing timeframe deadline, the filer has the remainder of the timeline or thirty days from the date of reject to resubmit, whichever is greater. If the timeframe expired, the filer has only thirty days to resubmit the rejected Reconciliation. The filer can request to have the Reconciliation entry summary in reject after payment has been made. The request should be in writing on their company letterhead. If CBP rejects a recon, they may issue a CBP-F 28 for any additional information needed through the ACE portal. The filer will respond to this request for additional information through the ACE portal or DIS.
11.10 Reconciliation Editing	CBP is not obligated to approve every request for changing Reconciliation flags; the request will be granted on a case-by-case basis, submitted in writing by the importer explaining why this was not done at the time of entry summary with an outline of corrective steps that have been taken to ensure that this will not reoccur in the future. The importer is required to submit the recon timely once flagged. Unflagging should be a rare circumstance, such as; an incorrect importer of record (IOR) number was used. It is recommended that filers use ACE reports to review if underlying entries were flagged for Recon after flagging to ensure they are flagged.
11.11 Reconciliation Collections	Payment may be made via check, ACH or statement. Upon original filing of the recon, the money owed must be paid, including any interest. To expedite the collection process, CBP recommends that payments for Reconciliation entry summaries be filed at the Port of Entry designated on the Reconciliation entry summary. Payments made at another port of entry may slow down the collection process.

If additional payment is owed after initial payment was paid, the filer must submit payment by check.

If paying by check, the filer should include the Reconciliation entry summary number on the check along with a copy of a 7501 or equivalent document.

11.12 Reconciliation Interest Calculations

Interest accrues on all recons that involve monetary adjustments, whether they are increases or decreases in duties, taxes, and fees.

Filers are required to determine the interest due and include the interest in their original payment upon filing the recon.

If CBP owes interest to the importer, it will be paid upon liquidation of the recon.

CBP uses the the Internal Revenue Service (IRS) interest rates, published quarterly, to compute the accrual of interest applicable to ordinary entries and Recons.

Filer calculates the interest amount due for each entry summary and reports those adjustments via the association file.

11.12.1 ***Interest due on Entry-by-Entry Recons***

Overpayments – interest accrues from the date duties are deposited on the entry to the date of re-liquidation of the Recon.

Underpayments – interest accrues from the date the original duties are required to be deposited to the date the recon is filed with payment.

11.12.2 ***Interest due on Aggregate Recons***

Filer calculates the total amount of interest due using a midpoint date. Interest will be calculated from the middle point of the period covered to the filing date of the aggregate recon.

11.12.3 ***NAFTA/FTA interest***

NAFTA/FTA – interest will accrue from the date which the claim for NAFTA/FTA eligibility is made (Reconciliation entry summary) to the date of liquidation or re-liquidation of the recon.

11.13 Reconciliation Liquidation	Once the liquidation is processed, it will post to the bulletin notice. Liquidation may be extended. The filer must request the extension in writing and be able to justify why the liquidation extension should be granted. No liquidation extensions can be given on NAFTA Reconciliations.
11.14 Reconciliation Protest	The protest for a Reconciliation entry summary should only pertain to the issue(s) flagged for Reconciliation. The protest may not re-visit issues previously liquidated on the underlying entry summary.
11.15 Reconciliation Drawback	After the Reconciliation has been filed, drawback can be claimed against the underlying entries and, if appropriate, the reconciled increase. If the Reconciliation is filed on an entry-by-entry, the filer has full drawback privileges on both, the estimated duties paid at the time of summary and any increased adjustment resulting from the Reconciliation if the Reconciliation is filed with duties, taxes, and fees deposited. If the Reconciliation is filed on an aggregate, drawback cannot be claimed on any increased/reconciled adjustments; however, drawback can be claimed on the underlying entry summaries.
11.16 Reconciliation Misconduct	Centers and the San Juan Field Office will monitor Reconciliation participants for patterns of misconduct that may result in suspension from the prototype. Misconduct under the prototype could include but is not limited to; filing Reconciliation on an issue that is not truly undeterminable at the time of entry summary; submission of entry types not authorized for Reconciliation, consistently late in filing the Reconciliation or late depositing the monies, failure to supply CBP with sufficient supporting documents needed and any other applicable laws and regulations that apply. If a Center or San Juan Field Office finds misconduct patterns, they may opt to remove the participant from the Reconciliation program. If removal takes place, written notice will be provided

	to the Importer notifying the participant that they have been removed from the program. Suspended importers are still required to file reconciliation entries timely during the suspension period for underlying entries flagged prior to the suspension becoming effective. Any importer suspended from the prototype and wishes to be reinstated must submit a request in writing to its assigned Center of Excellence and Expertise or the local Port of Entry if a Center is not assigned. The request for reinstatement must address the reasons for the suspension and fully describe all corrective action taken to address the grounds for suspension.
11.17 Reconciliation Alternatives	Reconciliation is a voluntary program; therefore, there are alternative methods. *Withhold Liquidation* – Importers have the legal right to request liquidation extensions on entry summaries. They must request the extension in writing to the Center or Port of Entry assigned. Once the unresolved issues are determined, the Importer makes adjustments individually. If the withhold liquidation alternative is used, post-summary adjustments involving 9802 values must be filed within six months. *Post Summary Correction (PSC)* – If a correction is needed after filing an entry summary, a PSC may be used for refunds or additional monies owed prior to liquidation. **Note:** Filers that excessively use PSC's may be penalized for failing to exercise reasonable care.
11.18 Reconciliation Guides and Information	*Protest, Administrative Review (19 U.S.C. § 514, 520)* – Issues subject to protest, corrections of clerical errors, mistakes of fact, or oversight may continue to be resolved through existing procedures. • Reconciliation in ACE: https://www.cbp.gov/trade/automated/news/recon • Reconciliation Background: https://www.cbp.gov/trade/programs-administration/entry-summary/reconciliation/

- ACE Reconciliation Prototype Guide: https://www.cbp.gov/document/guides/ace-reconciliation-prototype-guide

- Reconciliation Entry Summary Create/Update CATAIR: https://www.cbp.gov/document/guidance/reconciliation-entry-summary-createupdate

If you have any questions or require additional information, please send an email to: OT-RECONFOLDER@cbp.dhs.gov.

12.0 Protests and 520(d) Claims

Effective August 27, 2016, all electronic protest submissions must be filed in the Automated Commercial Environment (ACE). CBP retired the ability to electronically file protest through the Automated Broker Interface (ABI) to the Automated Commercial System (ACS) and authorized electronic submission through the ACE Secure Data Portal. The trade community will no longer be permitted to file 514 protests or 520(d) claims in ACS. In order to file protests in ACE, trade users must have a protest filer account established within the ACE Portal. Assistance for trade users in the form of a Quick Reference Guide (QRG), ACE Protest for Trade with instructions for applying for a protest filer account, accessing and navigating the protest user interface, and adding and amending protest records can be found on www.cbp.gov/ace.

Note: The Office of Trade issues all the policy and procedures for processing electronic protests in the ACE Protest Application.

12.1 Protest Application

12.1.1 The Protest application provides an electronic form that enables the trade user to create electronic protests, amend data on previously submitted protests, and view the status of protests they have submitted through the ACE Portal. The on-line form supports every aspect of creating a protest and captures the same information as the paper CBP Form 19.

12.1.2 The 520 (d) claim can be entered in the protest application. The on-line form for entering data is similar to the form for the 514 protest and has similar validations.

12.2 Electronic Protest Submissions	**12.2.1** The place of filing electronic protests is the ACE Protest Module. The date of filing is the date on which the protest is received by the ACE Protest Module is determined based on midnight Eastern Time (EST). This means that to be considered timely, an electronic filing in the ACE Protest Module must be received by 11:59 P.M. on the final day of the filing period. The protest filer and other designated parties will receive an electronic message via email confirming receipt of a protest filing in ACE. **12.2.2** Electronic protest data and associated entry summaries must be input into the ACE Protest Module by the protest filer. The lead protest number and all associated entry summary numbers must be valid entry numbers and exist in ACE. The protest filer must upload all supporting documents associated with the protest through the ACE portal. Supporting documents should include, but not limited to, the commercial invoice, corrected entry summary information in an Excel sheet or other document, declaration statement, NAFTA Certificate of Origin, Manufacturer Affidavit, Rulings, pictures, and other documents that support the protest. **Note:** The CBP Form 7501 is not required for protest filing in ACE unless manual (Non-ABI) entry summaries are associated with the protest record. Filers who elect to provide samples to support an electronic protest submission may submit the samples directly to the Port or Center team designated as the Control team on the lead entry summary or may upload pictures, sketches, or diagrams of the protested merchandise to the protest record via the ACE Portal. In both instances, the "Sample Provided" checkbox in the online form must be selected for CBP awareness that a sample is being provided. When all the required data has been saved and accepted without errors, the ACE Protest Module will automatically assign a protest number for the filer to reference. Filers may amend, edit, and view protests they have added via the ACE Portal. ACE will generate and send messages electronically via email to the protest filer and parties designated as email recipients in the protest record of CBP decisions regarding electronic protests (e.g. approved, denied, suspended, etc.). **12.2.3** Trade parties are required to input email addresses for receipt of notifications on protests (1 is required; up to 4 allowed).

	Notifications include those for protest being added, suspended, decided, etc. If protests are not submitted electronically, trade parties will receive notifications through paper as is done today. **12.2.4** The protest module does not have a print feature for printing the online form. Therefore the protest filer does not have an output option to be able to share the submitted information. **Note:** When the protest of a liquidation is submitted by the importer or filer to tender additional duties, taxes, or fees owed to CBP , the protest will be denied if the submission is not within CBP's ninety day (90) voluntary re-liquidation period (19 U.S.C. 1514). CBP cannot re-liquidate the entry to the detriment of the importer if the period of voluntary re-liquidation has expired. Within 90 days of liquidation, an importer or filer may submit a letter as per 19 CFR 141.105 with a check for the additional funds to the Port, requesting voluntary re-liquidation in accordance with 19 CFR 173.3. The filer may submit a prior disclosure to correct the error.
12.3 Adding Entry Summary Numbers	Trade users can add entry summary numbers to the protest record by typing individual entry summary numbers in the "Add Entry" field of the protest record or uploading a file of entry summary numbers in the "Browse" field. Only .txt files of entry summary numbers can be uploaded. The file must be no larger than 1 MB. The ACE Protest application will validate the entry summary number to ensure it is a valid number that exists in ACE and is not a duplicate.
12.4 Uploading Supporting Documents	Trade Users can upload files into the ACE Portal, such as documents, pictures, etc., that support the protest. All file types, except those in .tiff format, can be uploaded. The file size can be no larger than 10 MB per file.
12.5 Validations	The ACE Protest application validates much of the entered data on the form by checking for proper formatting of numbers and confirming that entered data, such as importer and entry summary numbers are valid and exist in ACE.
12.6 Protest/Petition Number	Once a protest/petition number has been assigned by the ACE Protest Module, it cannot be deleted by either trade or CBP. When the Protest application detects invalid data, error messages will display. No incomplete protests are allowed. The protests

	cannot be saved until all required data is entered and any errors are corrected.
12.7 Application for Further Review (AFR)	When a protest is filed through the ACE Protest Module, the Protest Filer must use the module to submit AFR. AFR can be requested when creating a protest or editing a protest. When AFR is requested, an AFR tab is added to the protest to capture a response to the AFR questions in the AFR tab and a written justification for further review. The written justification must be entered in the text box provided or uploaded separately.
12.8 Accelerated Disposition (AD)	The protest filer must submit the request for Accelerated Disposition via certified or registered mail with the Center/Port Director with whom the protest was filed. Requesting Accelerated Disposition is not part of the protest creation process in ACE as it is with the paper form. With the electronic form, Accelerated Disposition is requested when the form is edited, not created. Trade user should refer to the Quick Reference Guide (QRG), ACE Protest for Trade for instructions to request or withdraw Accelerated Disposition. The date of the request for accelerated disposition will be based on the date of mailing. The Protest Filer may electronically withdraw a request for accelerated disposition of a protest filed through the ACE Protest Module any time prior to the 30 days after the date of the request or the CBP decision on the protest, whichever comes first.
12.9 Amending Protests	An amendment to a protest filed electronically must be made through the ACE protest module. ACE will allow for amendments to a protest any time up until the decision is made on the protest, however, the legal requirement is the 180 day period after liquidation or re-liquidation, or a CBP decision which involves neither a liquidation or re-liquidation. The date of filing an amendment for an electronic protest will be date on which the protest amendment is received electronically by the ACE Protest Module. An amendment to a paper submission shall deemed filed on the date it is received at the Port in which it is filed. Trade users should reference Federal register notice 81 FR 53497, 19 CFR 174.14(a), and 19 CFR 174.23 for additional guidance on amending protests.

12.10 Withdrawing a Protests in ACE	When a protest is filed through the ACE Protest Module, the Protest Filer's request to withdraw a protest must be submitted through the ACE Protest Module. Only the protest filer or CBP is allowed to "Withdraw" a protest through the ACE Protest Module. Once the protest has been "Withdrawn" the protest cannot be reinstated in ACE.
12.11 Paper Protests	**12.11.1** Paper protest submissions are still supported and processed by Centers with CBP personnel adding the protest data into ACE. 19 CFR Part 174 of CBP regulations allow for paper until further notice. The paper protest will be assigned to the Center team designated as the control team on the lead entry summary. **12.11.2** For paper protests received at the Ports, trade parties will **not** be able to check the status by way of their portal account. The original entry filer can perform an entry summary query via ABI.
12.12 Protest on Non-Revenue related changes	CBP does allow section 514 protests for non-revenue related changes as long as the non-revenue related change is adverse to the importer. Per 19 CFR Part 174.11, a protest may cover: administrative decisions and/or any clerical error, mistake of fact, or other inadvertence, whether or not resulting from or contained in an electronic submission, adverse to the importer in any entry, liquidation, or re-liquidation. As long as the error, mistake of fact, or other inadvertence is adverse to the importer, then a protest is the proper mechanism.

13.0 Warehouse Entries and Withdrawals

Full paperless transactions are an important part of the new ACE process. This means that for ACE cargo release and ACE entry summary filing, using the ABI, there is no need to generate a CBP Form 3461/7501 nor is one required to be presented.

As stated in the May 23, 2016 federal register notice 2016-12067 effective July 23, 2016, the Automated Commercial Environment (ACE) is the sole CBP authorized Electronic Data Interchange (EDI) system for many electronic entry and entry summary filings.

If filing through the ABI system, the following warehouse entries should be filed in ACE: 21—Warehouse, 22—Re-Warehouse, 31—Warehouse Withdrawal Consumption, 32—Warehouse Withdrawal Quota, 34—Warehouse Withdrawal Antidumping/Countervailing Duty, 38—Warehouse Withdrawal Antidumping/Countervailing Duty & Quota/Visa Combination.

Warehouse electronic filing must be formatted for submission in ACE, and will no longer be accepted in ACS.

Note: CBP regulations still allow for the presentation of paper entry packages in lieu of automated transactions in rare instances and these still require the use of CBP Form 3461 and supporting documents.

13.1 Warehouse Entry and Withdrawals Basic Requirements

13.1.1 In order to facilitate the transition to a paperless environment, filers (*importers, brokers, etc.*) will need to provide verification of "acceptance" of warehouse entries (*ACE Entry Type 21/22*) to the warehouse proprietor.

13.1.2 The printout for the warehouse proprietor should be a CBPF 7501 (*ACE Entry Summary*) "like" document, to include:

- The merchandise that is going into the warehouse
- Quantity being released/entered into warehouse
- Invoice
- Bill of lading information or a CBPF 6043 (*Delivery ticket*).

13.1.3 To facilitate warehouse withdrawals (*ACE Entry Type 31/32*) filers will also need to provide CBPF 7501 (*Entry summary*) "like" documents or CBPF 7512 (*Transportation Entry and Manifest of Goods Subject to CBP Inspection and Permit*) verification of "acceptance" to the warehouse proprietor.

Note: Validating the acceptance before release of merchandise is especially important for quota merchandise, entry types 32/38. The warehouse proprietor must ensure to verify quantity amount to release is accepted.

13.1.4 There is no limit in the number of re-warehouse entries that can be filed on the same merchandise (except class 6) within 5 years from import date 19 CFR 144.41

	Note: If good cause is shown, the Port Director may extend the 5-year time limit; request must be submitted in writing before the time limit has expired. **13.1.5** The permit file folder should be filed by the warehouse proprietor with CBP within 30 calendar days after the final withdrawal (19 CFR 19.12(d)(4) or when requested by CBP in case merchandise has not been withdrawn during the 5 years bonded period. **Note:** For audit purposes, these "like" documents will satisfy due diligence on record retention for signed off copies for release.
13.2 Warehouse Entry and Withdrawals Basic Process	**13.2.1** A completed ACE CR and ACE ES must be filed with CBP. Incomplete information will be rejected back to the Trade for completion. All submitted documents must be reviewed for completeness and accuracy, as cited in 19 CFR 144.11. Warehouse entries/withdrawals can be verified by CBP at any time using audit/reconciliation/ compliance review procedures. **13.2.2** Blanket withdrawals will remain a paper process at this time. **13.2.3** "Export Only" documents should be uploaded into DIS by the trade to notify CBP of intent. **13.2.4** Estimated duties, taxes, and fees shall be deposited at the time the entry is merchandise is withdrawn from warehouse for consumption, as cited in 19 CFR 144.12. The only exception is Harbor Maintenance Fee (HMF), which is collected at time of entry into the warehouse on the entry summary, 19 CFR 24.24. **13.2.5** When a filer submits a final warehouse withdrawal and place an indicator on the entry withdrawal, in ACE this indicator will also update the warehouse summary with final indicator. The Final withdrawal indicator in ACE will notify CBP that the final withdrawal pertaining to that entry and should be closed out. Filers should ensure there is no remaining merchandise left behind in the warehouse before placing a final withdrawal indicator, ACE will prevent from filing further withdrawals against the warehouse entry once the final withdrawal indicator has been placed.

13.3 Other Warehouse Withdrawals	Regulations and procedures for withdrawals made on textiles or quota merchandise for consumption remain the same, per 19 CFR 144.34(b).

Note: *The reader should be advised that Section 14 of this document is considered a DRAFT, reflecting CBP's tentative and conditional framework for drawback pending the issuance of a Final Rule to implement the regulatory changes pending for TFTEA-Drawback claims. This document will be revised before a final version is provided. Any decisions a reader makes based on this draft document are taken voluntarily and with the understanding that the policies and procedures might change via the NPRM and Final Rule process. In addition to this note at the footer of each page, this document contains the DRAFT designation as a watermark. Any subsequent revisions will be made, as needed, until the TFTEA-Drawback regulations become effective. The reader is responsible for monitoring the CBP website to ensure awareness of the status of any revisions to this document.*

14.0 Drawback

The Trade Facilitation and Trade Enforcement Act of 2015 (TFTEA) requires drawback claims to be submitted and processed electronically. On or after February 24, 2018, the Automated Commercial Environment (ACE) will be the sole electronic data interchange system in which to file drawback claims.

Note: For guidance on pre/non-TFTEA drawback processing, please refer to "Appendix 2".

14.1.1 TFTEA drawback claims will be entered into ACE as entry type '47' with the applicable code/ statutory provision

In ACE, codes 51-75 are TFTEA provisions:

51	TFTEA 1313(a)	TFTEA Direct Identification Manufacturing Drawback
52	TFTEA 1313(b)	TFTEA Substitution Manufacturing Drawback
53	TFTEA 1313(c)(1)	TFTEA Rejected merchandise that does not conform to sample or specifications
54	TFTEA 1313(c)(2)	TFTEA Rejected merchandise that has been shipped without the consent of the consignee

	55	TFTEA 1313(c)(3)	TFTEA Rejected merchandise that has been determined to be defective at the time of importation
	56	TFTEA 1313(c)(4)	TFTEA Rejected merchandise that was ultimately sold at retail
	57	TFTEA 1313(d)	TFTEA Flavoring extracts; medicinal or toilet preparations; bottled distilled spirits and wines (Internal revenue tax on flavoring extracts and medicinal or toilet preparations (including perfumery manufactured from domestic tax paid alcohol))
	58	TFTEA 1313(j)(1)	TFTEA Direct identification unused merchandise drawback
	59	TFTEA 1313(j)(2)	TFTEA Substitution unused merchandise drawback
	60	TFTEA 1313(p)	TFTEA Substitution of finished petroleum derivatives
	61	TFTEA 1313(b)(p)	TFTEA Manufactured petroleum derivatives
	62	TFTEA 1313(b)(p)/ 1309	TFTEA Manufactured petroleum derivatives/Supplies for certain vessels and aircraft
	63	TFTEA 1313(p)/130 9	TFTEA Substitution of finished petroleum derivatives/Supplies for certain vessels and aircraft

	64	TFTEA 5062(c)	TFTEA Distilled spirits, wines, or beer which are unmerchantable or do not conform to sample or specifications
	65	TFTEA 1313(j)(1)/1313(q)	TFTEA Direct identification unused merchandise drawback/Packaging material
	66	TFTEA 1313(j)(2)/1313(q)	TFTEA Substitution unused merchandise drawback/Packaging material
	67	TFTEA 1313(c)(1)/1313(q)	TFTEA Rejected Merchandise that does not conform to sample or specifications/Packaging material
	68	TFTEA 1313(c)(2)/1313\(q)	TFTEA Rejected merchandise that has been shipped without the consent of the consignee/Packaging material
	69	TFTEA 1313(c)(3)/1313(q)	TFTEA Rejected merchandise that has been determined to be defective at the time of importation/Packing material
	70	TFTEA 1313(c)(4)/1313(q)	TFTEA Rejected merchandise that was ultimately sold at retail/Packaging
	71	TFTEA 1313(a)/1313(q)	TFTEA Direct Identification Manufacturing Drawback (Articles made from imported merchandise)/Packaging material

72	TFTEA 1313(b)/1313(q)	TFTEA Substitution Manufacturing Drawback (Substitution for drawback purposes)/Packaging material
73	TFTEA 1313(j)(2) NAFTA Exemptions	TFTEA Substitution unused merchandise drawback NAFTA Exemptions
74	TFTEA 1313(j)(2) WINE	TFTEA Substitution unused merchandise drawback WINE Products
75	TFTEA 1313(b) SOUGHT CHEMICALS	TFTEA Substitution Manufacturing Drawback SOUGHT CHEMICALS

14.1.2 TFTEA claims may be filed up to 5 years after the date of importation of the merchandise that is identified or designated as the basis for the drawback claim. (For TFTEA 1313(d) claims, which have no associated imported merchandise, the filing deadline is 3 years after exportation.) *ACE will automatically reject untimely filed claims; with the untimely imports/exports).*

14.2 Elements of a 'complete claim'

14.2.1 A complete drawback claim shall consist of a successful claim acceptance in ACE and the successful upload of mandatory documents into the Digital Image System (DIS). Documents must be uploaded within 24 hours of claim acceptance in order to maintain the claim date generated by the ACE submission.

14.2.2 The following, amongst other information as specified in the draft CATAIR, must be provided when filing a TFTEA claim:

- Drawback Entry #
- Filing Port Code
- Claimant ID #
- Drawback Provision
- Drawback Claim Date
- Total Drawback Amount Requested

- Import Entry Summary Line Level Data, including 10 digit HTSUS/Schedule B HTSUS Data (*Add '00" to 8 digit HTS, if necessary)*
- Information on Exportation or Destruction
- Information on NAFTA (As applicable)
- Notice of Intent to Export or Destroy (As applicable)
- Quantity/Unit of measure (*Must match UOM on import entry. If the Drawback claim has a different UOM than the original import entry, it will result in an invalid UOM reject. Report the original UOM with fractional amounts. The quantity field in ACE does allow for up to four decimal points.*)
- Duties, Taxes, and Fees Paid on Imported Merchandise
- Entered Value per Unit (*calculated differently for direct identification and substitution claims*).
- Import Tracing Identification Number (ITIN) - unique identification number used to associate the imported merchandise and any substituted merchandise with any intermediate products (if applicable) and the drawback-eligible exported or destroyed merchandise or finished article(s). (See CATAIR for guidance on constructing ITIN)
- Manufacture Tracing Identification Number (MTIN) - unique identification number used to associate the manufactured merchandise, including any intermediate products, with the drawback-eligible exported or destroyed finished article(s). (See CATAIR for guidance on constructing MTIN) (As applicable)
- Ruling Numbers (As applicable)

14.2.3 Filers will be required, when applicable, to certify the following in ACE:

- Bill of Material/Formula
- Petroleum
- NAFTA
- Substituted Unused Wine
- Oil Spill Tax
- Valuation of Destroyed Merchandise
- Limited Modification for TFTEA Compliance (Filed for Manufacturing Ruling)

- Accelerated Payment
- Waiver of Prior Notice

14.2.4 Where applicable, the following documents, which are required as part of a complete claim, must be successfully uploaded in DIS within 24 hours of ACE acceptance:

- CBPF 7553 - Notice(s) of Intent to Export, Destroy, or Return Merchandise for Purposes of Drawback
- For 1313(c) -Documents to establish that merchandise did not conform to sample or specification, was shipped without the consent of consignee, or was defective as of the time of importation or was sold at retail and returned.
- For 5062(c) -certification of the importer setting forth in detail the facts that cause the merchandise to be un-merchantable.
- For 1313(d) - Production Exhibit
- If exported to a Foreign Trade Zone - CBP Form 214
- CBP Form 7514 or master declaration
- TFTEA mixed claims (see 18.5.5)
- For 1313(d) - Production Exhibit Oil spill tax: tax worksheet, tax return IRS Forms 720, 720x, and 662

Note: The documents listed are not all-inclusive but required documents that are subject to that drawback provision. See the DIS Implementation Guide for forms and document codes.

14.2.5 Filers will certify, via electronic signature in ACE, that required documents will be uploaded into DIS in conformity with the TFTEA definition of a complete claim.

14.2.6 Drawback Specialists will perform an initial review, no later than the end of the next business day after submission of documents, to verify completeness and sufficiency of documents. Drawback Specialists will notify filer via email, phone, and/or by U.S. mail of missing, incomplete or unsatisfactory documentation. The claim is deemed incomplete.

14.2.7 In order to substantiate a transfer of merchandise, the claimant must maintain proper documents generally kept in the normal course of business that details the following information:

- Party to Whom merchandise was delivered
- Date of Delivery
- Import Entry and Line number
- Quantity
- Total duties, taxes, and fees
- Date of Importation
- Port of entry
- Person who received merchandise
- Description of Merchandise
- 10 digit HTSUS

14.2.8 Under TFTEA, HTSUS based standards replace commercial interchangeability and same kind and quality requirements:

- Substitution under 19 U.S.C. 1313(b), manufacturing drawback claims, requires that the substituted merchandise used in manufacturing be classifiable under the same 8-digit HTSUS subheading number as the designated imported merchandise.
- Substitution under 19 U.S.C. 1313(j)(2), unused merchandise drawback claims, requires that the substituted merchandise be classifiable under the same 8-digit HTSUS subheading number as the imported merchandise, except that:
    - For 19 U.S.C. 1313(j) (2) claims, there are restrictions with respect to HTSUS basket provisions (i.e., subheadings with descriptions that begin with the term "other").
    - Specifically, merchandise cannot be substituted if the textual description at the 8-digit HTSUS subheading number begins with the term "other", unless the imported merchandise and the substituted merchandise are both classifiable under the same 10-digit HTSUS number and the description for that 10-digit HTSUS statistical

reporting number does not begin with the term "other".

Claimants may seek administrative rulings on the HTSUS classification for all potential drawback-eligible goods, even if they are not for importation, in accordance with 19 CFR 177.

14.2.9 All supporting records related to drawback claims must be maintained three years from the date of liquidation, in accordance with TFTEA drawback laws. *Unsubstantiated claims will be denied.*

14.2.10 ACE will issue an informational message indicating that a one-time waiver (OTW) is required. Upon receipt of that message, claimants have 30 days to present the OTW approval to CBP. (For pending OTW, space fill in ACE).

14.3 Line Level Data

For TFTEA drawback claims, ACE is designed to validate claim data at the line level of the underlying consumption entry. TFTEA claims must contain line level data for underlying consumption entries, to include the 10-digit HTSUS subheading, UOM, quantity, rate of duty, tax and entered value.

14.4 Provision Designation Limitations

14.4.1 Imported merchandise on a single entry summary line item must not be designated as the basis for both direct identification (refunds based on invoice values) and substitution drawback (refunds based on per unit averaging) claims.

14.4.2 The type of designation (Direct Identification/Substitution) that is first filed on the entry summary line will determine the type of provision that can be used to file a drawback claim until all drawback benefits on that line have been exhausted.

14.4.3 Transferors should inform transferees, when known, of any previous claims and the line designation type.

14.4.4 If the filer enters an incorrect designation, the claim will be rejected, and must be corrected before being resubmitted.

14.4.5 Both the importer and claimant are "joint and several" liable for mistakes on drawback claims.

Note: Please refer to the Drawback Interim Policy Document for further guidance on the First Filed Rule.

14.5 Mixed Claims

14.5.1 Mixed use claims are TFTEA substitution drawback claims (refund calculation based on per unit averaging) that designates an entry summary line item from import entries previously designated on a non-TFTEA drawback claim (refund calculation based on invoice values).

14.5.2 The two calculation methodologies, per-unit averaging and invoice value calculations, are not mathematically compatible when computing duty on an import entry summary line and may create a revenue risk for CBP.

14.5.3 When filer transmits a TFTEA substitution drawback claim in ACE, an informational message is generated to identify the use of a mixed claim.

14.5.4 An entry summary line item will be allowed for use on the TFTEA substitution claim only if it can be documented by the claimant that the line item was unused on the non-TFTEA claim.

14.5.5 Claimants must provide the following information via a DIS-upload ONLY within 30-days from the date that the filer receives a mixed use informational message in ACE:

- Summary document that shows which lines on the import entry summary have been used on past core non-TFTEA drawback claims;
- Import entry summary and associated invoices;
- All prior drawback claims that designated the import entry; and
- All relevant post summary corrections for the import entry/perfections of the prior drawback claims.

14.5.6 Mixed claims are allowed from February 24, 2018 to February 23, 2019.

Note: Please refer to the Drawback Interim Policy Document for further guidance on mixed use claims.

14.6 System Validations and Rejections

14.6.1 If a claim has passed all validations, the filer will receive an automated message stating the claim was successfully accepted.

14.6.2 If CBP rejects an ABI claim submission, filers will receive an automated message identifying the data elements that caused the rejection.

14.6.3 If the filer receives a system rejection, the filer should first refer to the error dictionary to troubleshoot error codes. If unresolved, filers may contact the Drawback Office for assistance with errors that are of a regulatory or operational nature or contact the Client Representative for assistance with technical, software of ACE issues.

14.6.4 Rejected claims should be corrected and resubmitted, ensuring that all underlying claims are within the five-year filing period.

14.6.5 If the filer or Drawback Office discovers discrepancies in the ACE record input and/or documentation submitted in DIS after claim passes ACE validations, Drawback Offices and filers will work together to resolve issues. For assistance, filer should contact the Drawback Office where the claim was filed. Drawback Offices will contact filers and claimants via email, phone, or ACE portal.

14.7 UOM=X

ACE will validate that the UOM=X matches the UOM=X on the import entry summary and drawback claim. Claims with UOM=X may require manual review by Drawback Specialists. Drawback Specialists may issue CBP form 28, Request for Additional Information, to the filer for documents to assist in UOM validations.

Note: Please refer to the Drawback Interim Policy Document for further guidance on UOM=X.

14.8 Action Indicators 'X', 'T', 'E' and 'D'

14.8.1 The CD/CMD is obsolete, however data fields in ACE are used to document movement of merchandise (export, destruction, manufacturing for transfer, and transfer) that is the subject of the drawback claim.

14.8.2 When action indicators 'X' and 'T 'are used, manufacturing ruling number and date used are required (except transfer only

14.8.3 Action indicator 'X' is used for designated merchandise that has been used in a manufacturing process and will not be

transferred to a separate legal entity prior to exportation or destruction.

14.8.4 Action indicator 'T' is used when merchandise and drawback rights have been transferred to a separate legal entity; or, merchandise and drawback rights have been transferred to a separate legal entity for manufacturing.

14.8.5 Action indicator 'T' may also be used for merchandise when drawback rights have been transferred only (i.e. direct unused).

14.8.6 Action indicator 'D' is used for designated merchandise that has been destroyed.

14.8.7 Action indicator 'E' is used for designated merchandise that has been exported.

14.8.8 ACE we notify filer of indicator errors. For example, action indicators 'E' and 'D' cannot be used on the same record, as goods cannot be exported and destroyed.

14.9 Accelerated Payment (AP), Bonds and E-Bond

Accelerated payment privileges are not allowed on TFTEA claims until final rule is effective and new regulations have been implemented.

14.9.1 Active 1A bonds will be filed in E-bonds in ACE and are valid for one year.

14.9.2 Accelerated payment will be authorized when a claimant is approved for accelerated payment privileges and the payment is secured by a sufficient 1A bond.

14.9.3 Duties, taxes and fees are eligible for accelerated payment, however, fees under Appendix D are not eligible for AP. If these fees are included on a drawback claim where AP is requested, the entire claim will be AP ineligible.

14.9.4 During the interim period, the AP indicator should not be selected when submitting claims in ACE. The bond on file will not be decremented.

14.9.5 Once the final rule is effective, if accelerated payment is requested and no bond is present, or if the bond on file is insufficient, no accelerated payment will be processed.

14.9.6 AP is not authorized when the claim does not satisfy elements of a complete claim (e.g. missing documents, pending manufacturing rulings).

14.9.7 If requirements for a complete claim (i.e. insufficient documentation) are not met prior to payment certification, AP will be unset. Once unset, AP cannot be added back, disallowing AP privileges throughout the life of the claim.

14.9.8 A certification of conformity, via electronic signature in ACE, allows claimants to operate under TFTEA using the same AP privileges granted under 19 CFR Part 191 prior to February 24, 2018. Claimants may only operate under the provisions in which AP was previously granted.

14.9.9 Claimants that have AP privileges under 19 USC 1313(j) (1), will also receive AP privileges under 19 USC 1313(j) (2) under TFTEA. The standard for 1313(j)(1) is much higher than 1313(j)(2), and so CBP is allowing this expansion of 1313(j)(1) privileges granted under 19 CFR Part 191 to include 1313(j)(2) privileges.

14.9.10 Claimants that have 1313(j)(2) privileges, but do not have 1313(j)(1) privileges, must submit an application to the Drawback Office to be granted 1313(j)(1) privileges under TFTEA.

14.9.11 Eligible claims are certified for accelerated payment within 3 weeks of claim acceptance by CBP.

Note: Please refer to the Drawback Interim Policy Document for further guidance on accelerated payment processes during the interim period.

14.10 Limited Modification of Manufacturing Rulings

14.10.1 Manufacturing rulings must be modified to comply with TFTEA, as rulings issued under 19 CFR Part 191 do not fully conform to the new statutes and future regulations promulgated under TFTEA.

14.10.2 A supplemental application must be submitted to any of the Drawback Offices to request limited modification manufacturing rulings in order to comply with TFTEA.

14.10.3 Applications must include revised parallel columns and a bill of materials (BOM) or formula, annotated with the applicable HTSUS subheading numbers.

14.10.4 Certification must be provided in ACE to confirm that all TFTEA-drawback claims made under the subject manufacturing ruling will be in conformity with applicable statutory and future regulatory requirements.

14.10.5 Limited modification applications to update manufacturing rulings to comply with TFTEA must be submitted no later than February 23, 2019. Any manufacturing rulings for which applications for limited modifications have not been received after that date will not be eligible for TFTEA drawback claims. Claimant, manufacturer or producer must submit a request for a new ruling.

14.10.6 Email requests for the supplemental applications for limited modifications to existing rulings (both general and specific) to the Drawback Office with subject line: "Limited Modification for TFTEA Compliance".

14.10.7 If claimant does not already have an existing manufacturing ruling, and would like to apply for one, claimant should submit a request for a ruling under 19 CFR Part 191 and attach an application for a limited modification to make the ruling TFTEA compliant.

14.10.8 Email requests for new specific manufacturing rulings under 19 CFR Part 191 should be submitted to HQDrawback@cbp.dhs.gov and use the following subject line: "Specific Manufacturing Ruling per 19 CFR Part 191".

14.10.9 Email requests for new general manufacturing rulings under 19 CFR Part 191 should be submitted to the appropriate Drawback Center via email and use the following subject line: "General Manufacturing Ruling per 19 CFR Part 191".

Note: Please refer to the Drawback Interim Policy Document for further guidance on submitting applications for limited

	modifications for manufacturing rulings.
14.11. Waiver of Prior Notice (WPN) Privileges	**14.11.1** Under TFTEA, there are no changes to current privilege application processes. Privilege applications are still reviewed manually. **14.11.2** Claimant will receive WPN privileges under TFTEA for the same provision in which WPN was granted under 19 CFR Part 191. **14.11.3** Claimants that have WPN privileges under 19 USC 1313(j) (1), will also receive WPN privileges under 19 USC 1313(j) (2) under TFTEA. The standard for 1313(j)(1) is much higher than 1313(j)(2), and so CBP is allowing this expansion of 1313(j)(1) privileges granted under 19 CFR Part 191 to include 1313(j)(2) privileges. **14.11.4** Claimants that have 1313(j) (2) WPN privileges, but do not have 1313(j) (1) WPN privileges must submit an application to the Drawback Office to be granted 1313(j) (1) privileges under TFTEA. **Note:** Please refer to the Drawback Interim Policy Document for further guidance on waiver of prior notice privileges.
14.12 Post Entry Summary Actions and Impact on Drawback	For TFTEA claims, filers should report the original entry summary line item data on claims, however, in some instances; filers may receive a mismatch fatal error message due to post entry summary changes (i.e. protest, post summary correction, reconciliation) that altered the original underlying entry summary data. **14.12.1** CBP policy directs the roles and responsibilities of processing post entry summary actions to the Entry Specialists and Import Specialists at the Centers. **14.12.2** Filers should contact the Drawback Office for assistance, via phone, email, or the ACE portal when a mismatch fatal error occurs that prohibits the acceptance of the claim in ACE. **14.12.3** Drawback Specialists are able to view entry summaries that are the subject of post entry summary actions to assists filers with obtaining the appropriate entry summary data for filing claims.

14.12.4 Post entry summary actions are filed with CBP and processed within certain mandated timeframes.

14.12.5 Post Summary Corrections (PSC) are submitted to CBP within 300 days of liquidation of entry summary. The PSC replaces the old entry summary. Filers should use the most up to date information when filing drawback claims.

14.12.6 A reconciliation entry (entry type 09) will be filed to reconcile flags 12 months (NAFTA) to 21 months (9802, value, classification, 520d) after entry summary filing.

- A drawback claim may only be filed after all entry summary flags have been reconciled (entry type 09) and liquidated.
- To calculate refunds, filers should use the original underlying entry summary data when filing drawback claims.
- Filers should submit reconciliation data to CBP via DIS within 30 days of the liquidation of reconciliation entries associated with imports on the drawback claim. See Appendix G – Reconciled Import Entry Data Requirements for TFTEA Drawback Claims (DIS Submission)
- Filer should not file a claim in excess of duties paid on that line.

14.12.7 Importers are required to submit true and accurate information to CBP, including dutiable elements. If it is determined that sufficient duties, taxes or fees were not paid at the time of importation, a prior disclosure with tender may be submitted to CBP.

14.12.8 As outlined in 19. U.S.C § 1514, interested parties may file protests for clerical errors, mistakes of fact, or other inadvertences and decisions made by CBP. Protests are submitted in the protest module in ACE within 180 days of liquidation or re-liquidation. If the Import Specialist agrees with the protest, changes are made in ACE by the Import Specialists and the entry summary is re-liquidated. When processing drawback claims, Drawback Specialists will review decisions made on protests to determine if changes to duty, classification, or value affect drawback.

14.12.9 If the drawback claim would have otherwise been properly and timely filed with the required documents to complete the claim (per TFTEA definition of a complete claim), and no other chronic fatal errors would have prevented acceptance in ACE, CBP may backdate the claim to the attempted submission date.

14.13 Request for Additional Information

14.13.1 When additional documentation is needed, CBP will send a CBP Form 28 to the filer, claimant or both -via the ACE Secure Data Portal, via U.S. mail, or both.

14.13.2 After acceptance in ACE, claims are filtered through the Automated Targeting System (ATS), CBPs risk assessment tool. Filer may receive an automated 'UC2' message stating 'documents required'. No action is required until the actual CBP Form 28 has been received.

14.13.3 Filers shall submit responses to CBP form 28 into DIS only.

14.13.4 Responses should be provided within the period indicated on CBP Form 28.

14.14 Amendments and Perfections

14.14.1 ACE does not allow for amendments and perfections by the filer after an ABI claim has been accepted by CBP and claim is in CBP status. Filer must contact the Drawback Office where the claim was filed for assistance when seeking to amend claims.

14.14.2 The Drawback Office will place the claim back in Trade control for filer to make changes to the claim. Updated claims will be validated for acceptance.

14.14.3 Amendments are allowed within the 5-year filing period. Perfection is allowed before liquidation. Liquidated claims may not be amended or perfected; however, they may be protested.

14.14.4 Additional\supplemental documentation, when requested, must be uploaded into DIS.

15.0 ACE Reports

15.1 ACE Reports Overview

The ACE Secure Data Portal can be accessed at:

https://ace.cbp.dhs.gov/

Information for applying for an account is available at: https://www.cbp.gov/trade/automated/getting-started/portal-applying

If you need help establishing an ACE Portal account or have ACE account questions, please contact the ACE Help Desk by

Phone: (866) 530-4172
Email: ace.support@cbp.dhs.gov

ACE reports are available in the public workspaces. By clicking the link below, ACE reports Training, Video and User Guides are available to Trade: https://www.cbp.gov/trade/ace/reports-training-and-user-guides. Running Standard Reports or creating Ad Hoc Reports are tools available to Trade to facilitate entry summary queries as well as monitor compliance with Customs.

Entry Summary (ES) universe and various ACE canned reports are available. The universe and set of standard reports provide users the ability to query a robust set of data elements for both ACS and ACE sourced entry summaries. The ACE Reports Catalog - Trade provides updates on the standard ACE reports that are available. These standard reports are intended to serve as a template to guide users in constructing reports for commonly requested data pertaining to entry summary filings.

The following **Entry Summary (ES)** universe standardized reports are available in ACE Reports.

15.2 ES-001 Entry Summary Header Details

This report provides standard information captured at the entry summary header level. It is meant to serve as a replacement for the legacy AM-068 and ESM-7068 reports, as well as to provide additional enhancements allowing users to report on a more robust set of data elements for both ACS and ACE sourced entry summaries.

15.3 ES-002 Entry Summary Line Details

This report provides standard information captured at the entry summary line level. It is meant to serve as a replacement for the legacy AM-064 report, as well as to provide additional

	enhancements allowing users to report on a more robust set of data elements for both ACS and ACE sourced entry summaries.
15.4 ES-003 Entry Summary Line Tariff Details	This report provides standard information captured at the entry summary line tariff level. It is meant to serve as a replacement for the legacy AM-001, AM-003, AM-007, AM-008, and ESM-7068 reports, as well as to provide additional enhancements allowing users to report on a more robust set of data elements for both ACS and ACE sourced entry summaries.
15.5 ES-004 Rejected and Cancelled Entry Summaries	This report provides a list of all cancelled and rejected entry summaries based on the parameters input by the user running the report. It is intended to replace the legacy ESM-7024 report.
15.6 ES-005 Late Filed Entry Summaries	This report provides a list of all late filed entry summaries based on the parameters input by the user running the report. This report does not provide a list of entries filed in ACE Cargo Release that have been released and are still pending a follow-up entry summary filing, but rather the entry summaries that were eventually filed but designated as late. Questions regarding issues about entries incorrectly showing up on this report should be sent to either your client representative or otentrysummary@cbp.dhs.gov.
15.7 ES-006 Entry Summary Dimensions by Value	This report provides an aggregate summary of the number of entry summaries, number of entry summary lines, total value, and total duty broken out by manufacturer, importer, filer, and HTS Number. It is intended to replace the legacy AM-009, AM-010, AM-015, and AM-019 reports.
15.8 ES-008 TIB Expiration Notice	This report provides information regarding type 23 entry summaries that are about to expire. The filter conditions pull in all entry type 23 entry summaries where the liquidation status is not equal to "closed" and the closure date is within 90 day of occurring.
15.9 ES-010 Future Liquidations	This report is designed to provide data on entries that are scheduled to liquidate, at the time the report is generated, in the current liquidation cycle. If "Y" is selected for the current liquidation cycle indicator (Y/N), the report will return data on entries that are scheduled to liquidate on the upcoming Friday. If "N" is selected for the current liquidation cycle indicator (Y/N), the report will return data for entries with a future liquidation date.

15.10 ES-011 Unpaid Entries	This report provides a list of entries for which duty, taxes and fees have not been collected.
15.11 ES-012 Entry Summary Census Warning and Override	This report provides data on Census warnings and overrides related to an entry summary.
15.12 ES-013 CBP Form 28, 29, 4647 Status Report	This report provides status data for CBP Forms 28, 29, and 4647 that have been issued.
15.13 ES-503 Reconciliation Entry Summary Report	This report provides standard information regarding standard header level information for type 09 reconciliation entry summaries.
15.14 ES-504 Reconciliation Underlying Entry Summary Report	This report provides standard header level information for all associated type 01, 02, 06 entry summaries that have been reconciled through a reconciliation entry summary (type 09).
15.15 ES-505 Reconciliation Entry Summary Amounts	This report provides the various amounts, broken down by each class code on the 09 reconciliation entry summary.
15.16 ES-506 Reconciliation Line Item Transmitted Data	This report provides transmitted line level information regarding type 09 reconciliation entry summaries.
15.17 ES-507 Reconciliation Line Item HTS Details	This report provides transmitted line level HTS information regarding type 09 reconciliation entry summaries.
15.18 ACE Reports Information and Training	More details on the default data objects available for the standard reports can be found on the ACE Reports Information Notice available at: https://www.cbp.gov/trade/automated/news/ace-reports-information-notice Data definitions for all ACE data elements, descriptions of the standard reports available as well as updated versions of the "ACE Reports Data Dictionary - Trade" and the "ACE Reports Catalog - Trade" can be accessed through the ACE Portal by logging in to their broker or importer account.

The "ACE Reports Catalog - Trade" is a reference guide available to Trade and it is designated to enhance the understanding of ACE reports by identifying, categorizing, and describing public "canned" reports.

Note: The **ACE Reports Data Dictionary** is a reference guide designed to enhance the understanding of ACE Reports by clearly defining data universes and data objects available to system users. It is meant to assist users in identifying data sets and/or specific objects that best fulfill a particular business need and to encourage overall use of the reporting tool. The dictionary does not list each individual public "canned" report available to users; this information is available in the **ACE Reports Catalog**.

Training information on running Standard ACE reports and using Ad Hoc reporting capabilities including videos that will walk new users through ACE reports can be found in the following link: https://www.cbp.gov/trade/ace/training-and-reference-guides. Brokers and Importers can navigate ACE reports from the ACE Portal by accessing their broker or importer account.

16.0 Defense Contract Management Agency (DCMA) Entries

16.1 Processing DCMA Entry Summaries

DCMA is the Department of the Defense (DoD) component that works directly with Defense suppliers to help ensure that DoD federal and allied government supplies and services are delivered on time within the U.S. DCMA entries allow duty free treatment for articles for military departments when the materials are certified to the Commissioner of Customs. Please refer to 19 CFR 10.101 and 10.102.

Pursuant to 19 CFR § 10.102(a) duty free certification is required to admit articles free of duty under HTS 9808.00.30. Duty-free certificates must be reviewed against the entry summary while processing importations via ACE for which a claim for duty free status is made under the U.S. Harmonized Tariff Schedule and classified as 9808.00.30.

To request duty free certificate for commercial shipments, users must register for the Duty Free Entry (DFE) eTool by going to the DCMA home page at www.dcma.mil, go the "eTOOLS" tab, and then click on the Customer Registration (External Web Access Management) link. This will lead users into the

registration process for access to the Duty Free Entry (DFE) eTool.

The importer or authorized agent will send to the DCMA New York office, via the eTool system, the entry/entry summary data filed with CBP, invoice and the shipping documents with the government contract number, order number, HTS and the alternate duty rate/duty amount. DCMA will furnish to the importer or authorized agent an original duty free certificate or a duty free denial via the return e-mail of the DFE eTool. The importer or authorized agent will submit the duty free certificate received from DCMA-NY to CBP via DIS. If a duty free certificate is not submitted to U.S. Customs within six months from the date of entry or release under the immediate delivery release procedures, the entry will be liquidated dutiable with the applicable HTS. The importer or authorized agent must maintain on record the duty free certificate received from DCMA New York.

If the importer is unable to obtain the duty free certificate, a post summary correction (PSC) must be filed to pay duty on the entry. Entry Types 51 summaries are filed by DCMA (Defense Contract Management Agency).

17.0 NAFTA Duty Deferral

17.1 NAFTA Duty Deferral

NAFTA Duty Deferral entry summaries are identified by entry type code, 08. NAFTA Duty Deferral is defined as any good that has been imported into a NAFTA country under a duty deferral program, (FTZ, Bonded Warehouse, or TIB entered **under HTS subheading 9813.00.05**) and is manufactured, changed in condition, and is subsequently exported to the territory of another NAFTA country. Such a good shall be assessed U.S. Customs and Border Protection (CBP) duties as if the exported good had been withdrawn for domestic consumption. The duties due upon export include ADD/CVD, agriculture fees, and MPF.

The following processes are not considered a change in condition provided that the operation does not materially alter the characteristics of the good.

1. Mere dilution with water or another substance;
2. Cleaning including removal of rust, grease, paint or other coatings;

3. Application of preservative, including lubricants, protective encapsulation, or preservation paint;
4. Trimming, slitting, filing or cutting;
5. Putting up in measured doses, or packing, repacking, packaging or repacking; or
6. Testing, marking, labeling, sorting or grading.

The NAFTA Duty Deferral Entry Program represents a two-part process. The first part represents the "NAFTA Duty Deferral Entry" which will contain both header and detailed U.S. line item information. This information is reported within 10 days of the date of export from the NAFTA Country. The second part, due within 60 calendar days of export is the claim portion, represents the NAFTA Country entry information related to the exportation reported in the first part. The claim information will include the NAFTA Country line item data. The filer should compare the duties paid in the NAFTA country on the exported good to the duties owed in the U.S. on the imported foreign merchandise.

If the Canadian or Mexican duty is more than the U.S. duty owed, the filer is allowed to waive the entire U.S. duty obligation.

If the Canadian or Mexican duty owed is less than the U.S. duty owed, the filer is allowed to subtract the amount of Canadian or Mexican duty paid against the U.S. duty owed and pay the U.S. the remainder.

18.0 Foreign Trade Zones (FTZs)

18.1 Foreign Trade Zone Entry Summary in ACE

18.1.1 Entry and entry summary documentation covering merchandise being imported from a Foreign Trade Zone (FTZ) may be transmitted electronically to CBP. Procedures for filing electronic entries and electronic entry summaries are found in 19 CFR 143(d). Such entries must be filed through ABI (TD 90-92). Procedures for qualifying for ABI are specified in 19 CFR 143(a).

18.1.2 Foreign Trade Zone entry summary works the same way as it worked in ACS. Entry summary will be filed for Foreign Trade Zones (FTZ), type 06 entries, like a standard entry summary, 10 working days after cargo release has been authorized by CBP, as set forth in 19 CFR 142.12 and 19 CFR

146.62(a). The following are some special instructions for completion of an entry type 06 entry summary data filing:

- **Block 2 (*Entry Type*)** – Insert entry type code 06 or 08 (NAFTA Duty Deferral). This entry type code must be used for all merchandise transferred from a zone for consumption; including visa, and AD/CVD merchandise.

- **Block 8 (*Importing Carrier*)** – For merchandise arriving in the customs territory from a U.S. FTZ, Insert "FTZ" followed by the FTZ number.

Note: What is known as number a "Foreign Trade Zone Identifier" on the electronic entry summary transaction should be provided in this block according to the format rules, which can be found in the following document: "Entry Summary Create/Update Chapter of the ACE CATAIR". Please refer to "Note 2" of the 11-Record (Import) Entry Summary Header Content.

- **Block 13 (*MID*)** – When an entry summary covers merchandise from more than one manufacturer, record the word "MULTI" in this block, and the MID is to be reported at the HTS line level. In "Column 28", indicate the MID Code corresponding to each line item. If there is more than one vendor for a particular HTS number, separate line items will be required for each MID.

If the product is of foreign origin, or in privileged foreign status, use the MID of the foreign manufacturer. If the product is manufactured in the zone use the following MID construction: CD 099 3550-055, November 24, 1986, "Instructions for Deriving Manufacturer/Shipper Identification Code"

- **Country of Origin:** US
- **Manufacturer Name:** FTZ
- **Street Address:** Zone number (if subzone, place subzone designation in City field in front of zone User's name)

Examples:

- Smith Manufacturing, Inc., located in FTZ 215, Subzone G [aka 215G]: USFTZ215GSM

- Jones & Co., located in General Purpose (acreage) Zone located in FTZ 220: USFT220JON

Note: Blocks 9, 11, 12, 14, 15, 16, 17, 19, and 20 should not be filled out.

18.2 Weekly Foreign Trade Zone Entry Summary

Entry summary for an entry type 06 (FTZ) transaction submitted as a Weekly Entry shall be filed in ACE within the time limited specified in 19 CFR 142.12(b); specifically, no later than the 10th business day following the first day of the FTZ Site Operator's 7-Day Zone Week, or, the date the CBP authorizes cargo release of the merchandise covered by the 06 entry, whichever is later.

Reporting of Quantity and Value by HTS Line:

The entry summary on CBPF 7501 filed in ACE must show, by HTS number, in **Block 31** the **quantity** (Net Quantity in HTS statistically required reporting units) and in **Block 32** the **value** of the merchandise, *actually* entered during the covered 7-day Zone Week period. 'Actually entered' refers to the merchandise which the Importer and FTZ Operator intend for entry to act as CBP authorization for its removal from the FTZ. The merchandise is not required to have already been physically removed from the FTZ at the time of the filing of the entry summary.

An entry summary shall <u>not</u> be accepted if:

- The entry summary contains HTS numbers, including but not limited to, HTS number/Zone Status/Country of Origin combinations which were not present on the corresponding CBP-authorized Cargo Release Weekly Entry submission.

- It does not include the reported quantity and value by HTS Line as specified above.

18.2.1 If a supplementary Weekly Entry transaction is filed to cover extra estimated entered merchandise during the 7-day period, a separate entry summary must be filed to cover that supplementary entry transaction.

18.2.2 Limitations and Prohibitions:

	• Quota class merchandise is prohibited from weekly entry procedures. • **Sugar-Processing Operations** – A weekly entry for estimated production shall not be accepted for any sugar or sugar-containing product which is subject to an absolute quota • **Textiles and textile products which are not eligible for weekly entry procedures due to restrictions found in 19 CFR 146**.63(d).
18.3 Additional Foreign Trade Zone Information	For additional information about FTZ entry and entry summary can be found online at www.cbp.gov. These sources include: the "Foreign Trade Zone Manual" , 19 CFR 146, and the instructions for the completion of CBP Form 7501.

19.0 Trade Fair Foreign Exhibits (Entry Type 24)

19.1 Processing Trade Fair Entry Summaries	The Secretary of Commerce reviews, and approves or disapproves each request for Trade Fair status. The Secretary also designates the name of the fair, the place where the fair will be held, the date when the fair will open and close, and the name of the operator. If the request is approved, the Secretary notifies the Commissioner of CBP, authorizing the designation of the Trade Fair, and naming the operator of the Trade Fair prior to Trade Fair entries being filed. Title 19 CFR 147 governs the entry of merchandise intended for exhibition or for use in constructing, installing, or maintaining foreign exhibits at Trade Fairs. Trade Fair entries should be submitted under the name of the fair operator, at the port in which the fair is taking place, to CBP Center personnel for acceptance. Five copies of the Trade Fair entry, entry type 24, are submitted to CBP on a special entry summary form and placed in a red folder labeled "Trade Fair Entries". This special form is submitted unnumbered and contains information required in 19 CFR 147.11. CBP personnel manually create Non-ABI lineless Trade Fair entry summaries in new ACE. CBP personnel input lineless type 24 entry summaries with header data information only. For further guidance regarding non-ABI, entry summaries please see chapter 4. from the ACE Business Rules and Process Document.

	Any articles entered for a fair, and not disposed of under the provisions of this subpart prior to the expiration of 3 months after the close of the fair shall be regarded as abandoned to the government, and subject to sale or destruction (19 CFR 147.47). If merchandise from Trade Fairs is entered for consumption, the new formal consumption entry will close the Trade Fair with all applicable duties and fees. Trade Fair entries are not exempt from Harbor Maintenance Fee (HMF) pursuant to 19 CFR 24.24(c). Harbor Maintenance Fee that was paid on a Trade Fair entry should not be charged on the new consumption entry. All other duties and fees remain applicable on the consumption entry. ACE records will be updated indicating the new consumption entry number that closes the Trade Fair entry number and name of Trade Fair Operator. When merchandise from a trade fair is exported the following export documentation is acceptable: • Immediate Exportation (IE) - Only acceptable if the lading portion is properly completed • Customs Form 7512 Transportation and Exportation (T&E) - Only acceptable if submitted with the bill of lading showing export from the United States. The fair operator shall be liable for the payment of any unpaid duties, taxes, fees, charges, or an exaction due on any article lost or stolen from the fair premises regardless of the operator's fault. If the broker/importer does not submit the closure documentation on the Trade Fair entry summaries or respond to a demand for redelivery, then liquidated damages shall be assessed against the Trade Fair operator as prescribed in 19 CFR 141.113 (g).

20.0 Collections

20.1 Collections	Collection processing occurs in ACS. Collection status updates in ACS are reflected in ACE. The process of duties/taxes/fees, the collection of supplemental payments, and collection of bills are all done in ACS. Original submission of payment: (single pay) Statement, ACH and non-ACH Supplemental payments (PSC, etc.)

	Note: The trade is required to pay additional duties after an AD/CVD rejection upon re-submission of the entry summary on the 10th day.
20.2 Single Pay	ACE entry summaries must be paid via statement processing or single pay. For single pay; the trade must submit a CBP form 7501 or equivalent document with payment, when entries are taken off of statement for single pay.
20.3 Statement Non-ACH and ACH	Statements can be paid either with cash/single check or via Automated Clearing House (ACH). For regular daily statements (not ACH), a copy of the B28/29 preliminary must be submitted with payment, to the port of release for CBP manual processing. If paying via ACH, no documents are necessary. The ACH statement collection is all processed electronically with debit/credit payment.
20.4 Periodic Monthly Statement (PMS)	The periodic monthly statement (PMS), allows users to consolidate periodic daily statements and pay once a month. https://www.cbp.gov/trade/priority-issues/revenue Once a preliminary daily statement (*periodic daily or regular daily*) is generated for the entry summary, the entry summary is updated to "CBP" control. Once an entry summary control status is "CBP", ACE begins tracking the entry summary versions. ACE entry summaries paid on a statement (*daily or monthly*) may have circumstances in which an ACE entry summary must be removed from a statement. After a debit authorization has been processed on a daily Periodic Monthly Statement (PMS), single pay is the only payment option for an entry summary removed from a PMS statement. If the entry summary is not scheduled for another statement, then the filer must submit payment, along with the 7501 equivalent document. Once CBP processes the collection, the entry summary control changes from Trade to CBP. The filer will submit an ABI transmission to remove the entry summary from statement processing. The entry summary control will change from "CBP" to "Trade." However, once the debit

	authorization is processed for a statement, the filer may not move an entry summary from that statement to another statement. Duty Free Entry summary removed from a preliminary daily statement, and not placed on another statement, requires CBP personnel to manually place the entry summary in "CBP" control.
20.5 Supplemental payments: PSC, bills, etc.	When submitting supplemental payments, money must be submitted at the port of release with a copy of a 7501 equivalent document. For bill payments, a copy of the bill or a document with the bill number must be submitted with the money owed, to the port listed on the bill.
20.6 Available Reports	Current available reports for collections: REV-101 Monthly Statement Overview REV-102 Daily Statement Overview REV-103 Daily Statement Entry Summary List ACE Reports Training can be found at https://www.cbp.gov/trade/ace/training-and-reference-guides

21.0 Informal Entries

21.1 Informal Entries	An informal entry is an entry with a value that does not exceed $2500. Informal entries liquidate at the time of release and have no bond requirements. Restricted and/or prohibited merchandise, and merchandise which is subject to a quota or other quantitative restraints, is not permitted to be filed on an informal entry, and thus requires formal entry.
21.2 Informal Entry Processing	Since informal entries liquidate same day, they cannot be cancelled nor can a PSC be filed on an informal entry. If necessary, an importer may choose to file a protest if they feel that CBP has made an adverse decision against their informal entry. The importer of record cannot be changed on informal entries. Use of a CBP Form 3347, Declaration of Owner, For Merchandise Obtained (Otherwise Than) in Pursuance of a Purchase or Agreement to Purchase, is restricted to formal entries only. If a CBP Form 3347 is received from the trade for

	an informal entry, the CBP user should notify the filer that their request has been rejected and cannot be updated.

22.0 HTS Reporting For Multiple Classifications

22.1 HTS Multiple Classification Reporting	The purpose of this section is to outline the order of reporting in ACE for multiple Harmonized Tariff Schedule (HTS) on the same entry summary line, when a Chapter 98 or 99 HTS is required. ACE is the system of record for all entry summaries.
22.2 HTSUS Reporting Multiple Classification Guidance	When submitting an entry summary in which a heading or subheading in Chapter 98 and/or 99 is claimed on imported merchandise, the following instructions will apply for the order of reporting the HTS on an entry summary line. HTS SEQUENCE: **1)** Chapter 98 (if applicable) **2)** Chapter 99 number(s) for additional duties **3)** For trade remedies: **a)** First report the Chapter 99 HTS for Section 301 **b)** followed by the Chapter 99 HTS for Section 232 or 201 duties (if applicable), **c)** followed by the Chapter 99 HTS for Section 201 or 232 quota (if applicable). **d)** Chapter 99 number(s) for REPLACEMENT duty or other use (i.e., MTB or other provisions) **e)** Chapter 99 number for other quota (not covered by #3) (if applicable) **f)** Chapter 1 to 97 Commodity Tariff
22.3 Entered Value	The entered value of the commodity being imported on the entry summary line should be reported on the Chapter 1-97 HTS classification for the commodity being imported. Except if

	Chapter 98 reporting provisions require the entered value to be reported differently.
22.4 References	Questions from the importing community concerning ACE entry filing and rejections should be referred to their Client Representative. Related Cargo System Messaging Service (CSMS) Messages No. 18-000621, 18-000606, and 18-000575. Other CSMS reference include: • 18-000296 • 18-000307 • 18-000409 • 18-000419 • 18-000493 • 18-000498 • 18-000554

23.0 Downtime Procedures

	Filer/Trade Participant downtime occurs any time computer systems for an ACE participant are inaccessible, including due to severe weather, and, as a result, transaction data cannot be processed within the required timeframes for timely reporting or release.
23.1 Downtime and Entry Summary Processing Scenarios	**23.1.1** In the event of a national downtime incident (e.g., ACE outage), electronic entry summary processing and payment may be inoperable or have intermittent service until CBP systems are up and running. **23.1.2** In the event of a local downtime incident (e.g., hurricane), electronic entry summary processing and payment may be interrupted. However, entry summaries may be routed internally for processing by the Centers for Excellence and Expertise (Centers). **23.1.3** In the event of a filer downtime incident, a filer experiences a downtime with their individual filing system.

	In each scenario above, Office of Trade (OT) may grant an additional day(s) for entry summary submission and/or payment of duties, taxes and fees in order to avoid the assessment of liquidated damages for the day(s) in which the downtime occurred for the impacted filers.
23.2 Requests for Additional Day for Entry Summary/Payment Processing	In the event of a CBP national or local downtime incident, OT may grant an additional day(s), formerly referred to as "snow days", for entry summary processing and/or payment on a day-by-day basis. **23.2.1 <u>Filer Downtime</u>** – Filers coordinate with their Client Representatives regarding filer system issues, and determining whether to granting additional day(s) for summary filing and/or payment. **1)** The Client Representative submits the request to the help desk. **2)** The help desk will open a ticket and forward it to the Accounts and Revenue Branch (ARB), TTO for creation of a TIPS message. **3)** The ARB, TTO will also forward the information to ACE Communications, TTO. **4)** ACE Communications will post a CAMS message for filer downtime, or a CAMS and CSMS for local downtime.

24.0 Create/Update Importer Identification Form (CBPF 5106)

24.1 Create/Update Importer Identification Form (CBP Form 5106)	Members of the trade community use the "Create/Update Importer Identification Form", commonly referred to as the "CBP Form 5106", to register an entity as an Importer of Record (IOR). The latest version of the CBP Form 5106 can be found on cbp.gov at: https://www.cbp.gov/document/forms/form-5106-importer-id-input-record Registering as an IOR with CBP is necessary if an entity intends to be involved as an importer, consignee/ultimate consignee, sold to

party, 4811 party, etc. on an informal or formal entry. Currently, individuals and organizations do not need to be registered as an IOR with CBP to make a section 321, also referred to as de minimis, entry. De minimis entries for shipments imported by one person on one day valued at $800.00 or less.

24.2 CBP Form 5106 Identification numbers

The number used to identify an IOR will be either an Internal Revenue Service (IRS) Employer Identification Number (EIN), a Social Security Number (SSN), or a CBP-Assigned Number. Depending on the identification number used to register an IOR, different requirements may apply.

24.2.1 EINs

Entities that have an EIN from the IRS should register their IOR using that number by entering it into block 1B of the CBP Form 5106. If an EIN is provided in block 1B, no selections needs to be made in block 1E. To be accepted, EINs must be provided on the PDF version of the 5106 in the following format:

XX-XXXXXXX

Note: EINs are the only IRS provided number that CBP accepts on the CBP Form 5106

24.2.2 SSNs

Entities can register as an IOR using an SSN by entering it into block 1B of the CBP Form 5106. If an SSN is used to register an IOR, the name of the importer must match the name listed on the SSN card the IOR is associated with. Entities creating an IOR using an SSN can provide another company name using blocks 1C and 1D of the PDF version of the form. Information on how to use blocks 1C and 1D can be found subsection X.10 of this section. If an SSN is provided in block 1B, no selections need to be made in block 1E. To be accepted, SSNs must be provided on the PDF version of the 5106 in the following format:

XXX-XX-XXXX

Typically, individuals associate their IORs with SSNs. However, an organization, such as a corporation, partnership, sole proprietorship, etc., may also elect to use a valid SSN of one of its officers as its IOR identification number. For privacy reasons,

CBP encourages entities to use an EIN to create an IOR whenever possible.

Note: CBP has added an option that allows individuals to use a CBP-Assigned Number in place their SSN. Additional information on this process can be found in part X.2.3 of this subsection.

24.2.3 CBP-Assigned Numbers

CBP typically gives CBP-Assigned Numbers to foreign entities that do not have an SSN or EIN. In most situations, CBP will only accept requests for a CBP-Assigned Number if its physical location address is foreign. When updating a CBP-Assigned Number using a PDF version of the 5106, it will only be accepted in the following format:

XXXXXX-XXXXX

Note: If an entity is located at a foreign physical location address but is a subsidiary or division of an organization with an EIN, it should not request a CBP-Assigned Number. Instead, it should follow the steps for requesting a new EIN division suffix as outlined in subsection X.10 of this section.

As of March 16, 2019, CBP now gives members of the trade community the option of requesting a CBP-Assigned Number despite having an SSN. Members of the trade community who have an EIN should not request a CBP-Assigned Number, as doing so violates the requirements outlined in 19 CFR 24.5.

24.2.3.1 *Using a CBP-Assigned Number in place of an SSN*

The following steps outline how members of the trade community can request a CBP-Assigned Number for an individual who has an SSN's IOR:

Step 1: In block 1E, the trade user selects the "I have an SSN, but wish to use a CBP-Assigned Number on all my entry documents".

Step 2: In block 3J, the trade user provides the IOR owner's title at the organization, full name (Last, First Middle Initial), direct phone number, email address, and SSN.

Note: Requesting that a CBP-Assigned Number be used in place of an SSN can also be done using the 5106 ACE Portal or ABI Functionality by following the same steps using the Portal/ABI equivalents.

Trade users who follow the steps above enables CBP to meet its IOR regulatory requirements (refer to 19 CFR 24.5) of collecting either an SSN or EIN, when available, from the IOR while allowing him or her to use a CBP-Assigned Number on their entry documents.

24.3 CBP Form 5106 Create/Update Access

Licensed Customs Brokers, Self-Filers, and CBP Personnel must request permission to be able to process CBP Form 5106 create and update requests in ACE.

Non-self-filing importers or other members of the trade community who are interested in using a CBP Form 5106 to create or update an IOR will need to contact an Entry Specialist Team at the Centers of Excellence and Expertise (Centers) or personnel in the CBP Office of Finance (OF) Revenue Division. Please refer to subsection X.5 (Submitting A CBP Form 5106 to CBP) for additional information.

24.3.1 Trade 5106 Portal and ABI access

Licensed Customs Brokers and Self-Fliers can request that CBP grant access to the ACE CBP Form 5106 Portal and ABI functionality by following the instructions outlined on cbp.gov at:

https://www.cbp.gov/trade/automated/getting-started

24.4 ACE CBP Form 5106 Portal Versus ABI Limitations

Members of the trade community who use the CBP Form 5106 Portal will have certain limitations around CBP-Assigned Numbers that members who use the CBP Form 5106 ABI functionality will not have. The information below outlines these limitations.

24.4.1 CBP Form 5106 Portal

Licensed Customs Brokers and Self-Filers will not be able to create and/or update CBP-Assigned Numbers using the ACE CBP Form 5106 Portal. Only Licensed Customs Brokers will be able to create an IOR for a completely different entity within the ACE Portal. Any trade user who only has access to the 5106

Portal will need to follow the manual CBP Form 5106 submission procedures outlined in subsection 24.5 of this section.

Note: The name of the "Certifying Individual" input into the portal should always be the individual who signed the form. If a Customs Broker with a Power of Attorney (POA) inputs a change without a signed form from their client, the name of the licensed Customs Broker who has the POA should be input as the "Certifying Individual". The "electronic signature" checkbox will be for whoever is entered as the certifying individual.

24.4.2 CBP Form 5106 ABI

Licensed Customs Brokers who have access to the CBP Form 5106 ABI functionality will be able to request and update CBP-Assigned Numbers. Self-Filers are also able to use the 5106 ABI functionality to create or update IORs that are connected to their entity, including IORs associated with CBP-Assigned Number.

Note: The name of the "Certifying Individual" input into the ABI TL record should always be the individual who signed the form. If a Customs Broker with a Power of Attorney (POA) inputs a change without a signed form from their client, the name of the licensed Customs Broker who has the POA should appear as the "Certifying Individual" in the ABI TL record. The "electronic signature" checkbox will be for whoever is entered as the certifying individual.

22.5 Submitting A CBP Form 5106 to CBP

Licensed Customs Brokers, Self-Filers, and other members of the trade community who need to submit a CBP Form 5106, but do not have ACE portal or ABI access, can email a filled out and signed CBP Form 5106 to either an Entry Specialist Team or OF Revenue Division. The latest version of the PDF/paper version of CBP Form 5106 form can be found on cbp.gov at:

https://www.cbp.gov/document/forms/form-5106-importer-id-input-record

24.5.1 Entry Specialist Team

24.5.1.1 *CBP Form 5106 Create or Update Request*

Members of the trade community can request that an Entry Specialist Team processes a CBP Form 5106 create or update request by emailing them a completed and signed copy of the

form that has, at a minimum, all the mandatory data elements filled out on it. Entry Specialists contact information is available via the Center Directory found on cbp.gov at:

https://www.cbp.gov/trade/centers-excellence-and-expertise-information/cee-directory

Note: Any Entry Specialist Team can process a CBP Form 5106 create and/or update request, even if the IOR being created and/or updated does not import articles that will fall under the HTSUS statistical suffixes assigned to that Center. However, only the OF Revenue Division can update an IOR in "Frozen" status.

24.5.2 OF

24.5.2.1 *CBP Form 5106 Create or Update Request*

Members of the trade community can request that the OF Revenue Division process a CBP Form 5106 create or update request by emailing a signed copy of the latest CBP Form 5106 with, at a minimum, all the mandatory data elements filled out to bondquestions@cbp.dhs.gov.

Note: When possible, members of the trade community should process 5106 create or update requests through a Customs Broker or as a Self-Filer using ACE. If this is not possible, then the request should be sent to an Entry Specialist Team at a Center. While the OF Revenue Division is capable of processing these requests, it should only be asked to do so if an Entry Specialist Team is unable to process the request.

24.6 CBP Form 5106 Updates

Creation of and updates to IOR data by members of the trade community using a CBP Form 5106 have special requirements depending upon the method used to update the record. The information in this section outlines what needs to be considered when members of the trade community update or create CBP Form 5106 data via ABI, the ACE Portal, or through a request to CBP personnel.

24.6.1 Submitting Updates Using ABI or the ACE Portal

When a licensed Customs Broker or Self-Filer updates an IOR using either the 5106 ACE ABI functionality or ACE Portal, all the data previously provided on the form, excluding contact (*3J. Business Structure/Beneficial Owner/Company Officers on the PDF version*

of the form) information, must be resubmitted. If an optional data element is not resubmitted, the system will update the IOR to reflect that no data has been provided for that field.

24.6.2 Submitting Updates to CBP Personnel

Members of the trade community can submit a completed and signed PDF copy of the CBP Form 5106 to an Entry Specialist Team or the OF Revenue Division to create an IOR or make updates to an existing record. When updating an IOR using a PDF 5106, CBP will keep all the optional data elements that were previously filled out on the form unless the member of the trade community who is submitting the 5106 update request either inputs new information into their optional data elements in section 3 or type/write-in an "R", which stands for remove. Unlike the 5106 ACE Portal and ABI Functionality, if CBP receives a PDF 5106 update request that has blank optional data elements and information was previously submitted for them, the agency will keep the previously entered optional data information.

Note: All mandatory data elements will have to be re-entered on the PDF 5106 update request and the request will have to be signed in order for it to be accepted by an Entry Specialist Team or the OF Revenue Division.

This means that address information will also need to be re-entered. Entering the word "Same" will not be accepted for either the mailing address or the physical location address. If the physical location address is left blank and the mailing address is provided, CBP will assume that the physical location address is the same as the mailing address regardless of the physical location address information that was previously on file.

24.7 CBP-Assigned Number Lookup

Members of the trade community who receive an R05 "*Importer already on file*" error message when requesting that ACE create a CBP-Assigned Number for an IOR may look that information up by emailing the 5106@cbp.dhs.gov.

24.8 IOR Statuses

IORs have a number of different statuses. In order for an IOR to be used as a party on an entry, it must be in "Active" status. The status of an IOR can be identified in the 5106 ACE Portal under the "Administration Control Information" section. If the IOR is in any other status than "active", ACE will reject any pending entry on which it is identified.

24.8.1 Active Status

If an IOR's status in the system is listed as being "10 - Active", a member of the trade community can use it on entry and entry summary documents.

24.8.2 Inactive Status

If an IOR's status in the system is "20 – Inactive", it means that the number has not been used for an Entry Summary for an extended period. Members of the trade community are unable to use IORs that are in "inactive" status on entry and entry summary documents.

Note: If an IOR associated with an EIN or SSN is inactive, it **DOES NOT** mean that the EIN or SSN associated with it is inactive. This means that the EIN or SSN can still be used normally for all non-entry related purposes.

24.8.2.1 *IOR Reactivation*

To reactivate an inactive IOR, a signed copy of the latest version of the CBP Form 5106 must be provided to an Entry Specialist Team with all the mandatory data elements filled out on it. The email that the form is attached to must also include "IOR reactivation request" in its subject line and explain in the body that the CBP Form 5106 is being sent to CBP to reactivate an IOR that already exists but is currently in "20 – Inactive" status.

Note: Members of the trade community who have 5106 ABI functionality are able to reactivate IORs using ABI.

24.8.3 Void Status

If an IOR's status in the system is "40 – Void", it means that CBP has voided the number because the agency believes it is no longer in use. Additional information on why CBP might void an IOR is available on cbp.gov's "Voided Importer Record FAQs" page located at:

https://www.cbp.gov/trade/priority-issues/revenue/bonds/voided-importer-record-faqs

In addition to the reasons why CBP might void an IOR listed on the FAQ page, an IOR may also be voided by CBP if it is not

associated with an entry summary for 12 months or more. However, there are some special exceptions to CBP's void policy. For example, CBP will not void IORs with a valid bond or an unliquidated warehouse entry even if they are not associated with an entry filed in the past 12 months.

For questions about other possible exceptions to the void policy, please email 5106@cbp.dhs.gov.

Note: If an IOR associated with a EIN or SSN is voided, it **DOES NOT** mean that the EIN or SSN associated with it is voided. This means that the EIN or SSN can still be used normally for all purposes other than being listed as a party's IOR number on an entry.

24.8.3.1 *Un-voiding IORs*

Members of the trade community can un-void an IOR by emailing an un-void request to the OF Revenue Division at bondquestions@cbp.dhs.gov with the appropriate supporting documentation. To be accepted, the subject line of the un-void request email to the OF Revenue Division must be "Void IR#" and include the number associated with the IOR. The supporting documentation varies depending on which type of identification number (EIN, SSN, or CBP-Assigned Number) is associated with the IOR. Information on what documentation is required to un-void an IOR is available on the "Voided Importer Record FAQ" on cbp.gov located at:

https://www.cbp.gov/trade/priority-issues/revenue/bonds/voided-importer-record-faqs

Note: When CBP voids an IOR associated with an EIN or SSN it **does not** mean that the EIN or SSN has been voided. Both of those identification numbers will work for all other purpose other than being used as an IOR identification number on an entry.

24.8.3.2 *Voiding IORs*

Members of the trade community can request that CBP void an IOR by emailing the OF Revenue Division at bondquestions@cbp.dhs.gov. To be accepted, the subject line of the void request email to the OF Revenue Division must be "Void IR#" and include the number associated with the IOR. This should be done in any instance where there are multiple IORs

with the same name for one entity or where an entity will no longer be involved with the importation of goods into the United States.

24.8.4 Other Statuses

For information on other IOR statuses, such as suspended or sanctioned, please contact the OF Revenue Division at bondquestions@cbp.dhs.gov. To be accepted, the subject line of the status request email to the OF Revenue Division must be whatever the status of the IOR is followed by "IR#" and include the number associated with the record.

24.8.5 Checking the Status of an IOR

Members of the trade community can check the status of an IOR by emailing the SSN, EIN, or CBP-Assigned Number associated with it to an Entry Specialist Team at a Center or 5106@cbp.dhs.gov.

Note: When sending an SSN, CBP strongly recommends that it is sent in a password protected Word document or PDF and that the document/file's password is sent in a separate email.

Members of the trade community who are unsure of an IOR's status should ask CBP to confirm whether it is currently in "10 – Active" status before using it on an entry.

24.9 Invalid Address Bypass

If an accurate addresses is rejected by the system and can be verified by the U.S. Postal Service, the Postal Service of the IOR's home country (if it is a foreign address), or map software (such as Google Maps, Apple Maps, etc.), the trade user may request an address validation bypass by an Entry Specialist.

Note: The Entry Specialist who processes the address bypass will need to confirm that the address is on the U.S. Postal Service, the Postal Service of the IOR's home country (if it is a foreign address), or map software (such as Google Maps, Apple Maps, etc.). To make this process as smooth as possible, members of the trade community who intend to request a 5106 address bypass should provide links proving that the address is valid in their bypass request email.

24.9.1 Requesting an Address Validation Bypass

To have an incorrectly rejected address processed by CBP, trade users should email a completed and signed CBP Form 5106 to an Entry Specialist Team. The Entry Specialist Team should be alerted to the fact that the request is being submitted to them because the system incorrectly rejected it when the Customs Broker or Self-Filer tried to submit it in ACE.

24.10 DIV, AKA, and DBA IORs

Members of the trade community can add a "DIV" (division of), "AKA" (also known as), or "DBA" (doing business as) name to their IOR when they are filling out their CBP Form 5106 create or update request. The reasons and steps for doing this are outlined below:

24.10.1 "DIV" – EIN Division

An organization with an EIN may use the same EIN to create multiple divisions, with unique suffixes, within an organization. The division suffix is the two alphanumeric characters that follow the 9-digit EIN number. This means that the first nine numbers are the EIN and the last two alphanumeric characters are the division's suffix. For example, if "E" is part of an EIN number and "D" is a part of the division suffix, the format for an EIN based IOR number would be as follows:

EE-EEEEEEE**DD**

The only characters that cannot be used for a division suffixes are outlined in 19 CFR 24.5(d).

24.10.1.1 *EIN Division Creation Requests*

Per 19 CFR 24.5(d), the system will automatically assign an alphanumeric division suffix of "00" to an EIN based IOR if no other suffix is provided by the IOR's requestor on the CBP Form 5106 PDF, ACE Portal, or ABI functionality. Members of the trade community should follow the steps below to request a different, non "00", division number for an EIN:

Step 1: In block 1A or its ACE equivalents, enter the name of the division. To avoid potential entry processing delays and confusion, CBP recommends that division's name is different from the parent company's registered IOR name.

Step 2: In block 1B, provide the parent company's 9 digit EIN and add a two alphanumeric number to it. The division

suffix can be letters (*excluding the letters referenced in 19 CFR 24.5(d)*), numbers, or a combination of the two. For example, an acceptable division suffix could be "11", "AA", "1A", etc.

Note: A new division IOR cannot be created using a division suffix that already exists for a given EIN.

Step 3: Under block 1C, select the "DIV" option.

Step 4: Under block 1D, provide the name of the parent company.

Step 5: The rest of the 5106 submission should be filled out as normal. The submission process for CBP Form 5106 IOR division request is the same as the standard CBP Form 5106 create/add request process.

24.10.2 "AKA" and "DBA Names

Typically members of the trade community provide an AKA name when an entity does business under multiple names. Members of the trade community should provide a DBA name when a business primarily operates under name that is different from its legal name.

24.10.2.1 *AKA and DBA Name Addition Request*

Members of the trade community can add either an AKA or DBA to an IOR by following the steps below:

Step 1: In block 1A, enter the official legal name of the entity.

Step 2: In block 1C, select either the AKA or DBA checkbox depending on what type of alternative name is being added to the IOR.

Step 3: In block 1D, enter the alternative, AKA or DBA, name.

Step 4: Fill out at least all the mandatory data elements on the form and submit the CBP Form via the 5106 ACE Portal, the 5106 ABI Functionality, or to an Entry Specialist Team or OF Financial Program Specialist.

24.11 Additional 5106 Information and References	The links and email addresses below can be used for additional information or assistance with CBP Form 5106 formatting and processing: **24.11.1 Formatting CBP Form 5106 in ACE** For guidance on how to format a CBP Form 5106 create or update request in ACE, refer to the Create/Update Importer Record CATAIR located on cbp.gov at: https://www.cbp.gov/document/technical-documentation/ace-draft-catair-importerconsignee-createupdate **24.11.2 CBP Form 5106 Error Messages** For information on the various CBP Form 5106 "Condition Codes"/Error Messages ACE, refer to the ACE 5106 Error Dictionary on cbp.gov at: https://www.cbp.gov/document/technical-documentation/ace-5106-error-dictionary **24.11.3 Additional CBP Form 5106 Information** Links to resources on the CBP Form 5106 can be found on the "Create/Update Importer Identity Form (CBP Form 5106)" site page on cbp.gov, which can be found at: https://www.cbp.gov/trade/programs-administration/entry-summary/cbp-form-5106 **24.11.4 5106 Policy Questions** Policy questions about the CBP Form 5106 should be emailed to: 5106@cbp.dhs.gov **Note: DO NOT** send CBP Form 5106 create/add, update, un-void, or reactivation requests to the 5106 mailbox. The personnel assigned to reviewing the mailbox are unable to process these types of 5106 requests.

25.0 Consolidated Express Filings (CEF)

Entry type 11 Consolidated Express Filings (CEF), formerly referred to as consolidated express informals, are filed by one of the two following scenarios:

Scenario 1:

- One consolidated express informal consignment entry per port, per carrier, per day.

Scenario 2:

- One consolidated express informal consignment entry per port, per carrier, per day and per flight.

Prior to the ACE deployment planned for July 27, 2019, the only option for filing consolidated informals was a manual, Non-ABI process. Filers provided manifest release documents consolidated onto a single paper CBP Form 7501 and accompanied check payments to CBP.

Following the July 27, 2019 deployment, ACE will allow for authorized Customs Brokers to submit entry summary data via ABI for CEFs, along with daily statement payment for duties only, to reduce processing time and paper. If requested by CBP, filers will submit supporting manifest release documentation via the Document Image System (DIS). If CBP does not request documentation, the trade is required to retain its documents per CBP's recordkeeping requirements.

Entry summaries that are subject to AD/CVD, quota or required by any other formal process are not allowed to be filed via CEF.

Carriers will have the ability to continue to use the paper process for consolidated informals, and will be required to use the paper process if any fee or tax collection is necessary, such as AMS fees and Internal Revenue Tax. Merchandise Processing Fee will continue to be collected on a quarterly basis identified in 19 CFR 24.23.

The CEF indicator has been added to the Entry Summary Universe as a data element, which will allow filers to identify CEF entry summaries in an ACE Entry Summary Report.

Appendix 1

Table of Changes

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
3.4	May	Global change	Added references to CBP Form 7501A as a result of OMB approval for this form
		New Sub Section: 2.3.3	Cargo release messaging related to "docs required" RR message on ACE entry summaries certified for release
4.0	July 2015	New Version	Cover Page Updated to 4.0
		Overview (Page One)	Added reference to Deployment E
		Overview (Page One)	added entry types 51 and 52 to the list of entry types included in the release
		Sub Section 1.2.2.3	Added ACE entry summaries certified from ACE cargo release
		Sub Section 2.2.1	Added "cargo release processing occurs in both ACS and ACE" and "ACE entry summaries certified from ACE cargo release
		Sub Section 2.2.2.1	Added "single pay"
		Sub Section 2.2.2.2	Removed the phrase "must be initially paid" and removed the words "There" and "be" and added "have"
		Sub Section 2.2.2.2. (3rd paragraph)	Removed "he first page of the CBP Form 7501" and replaced it with "a copy of the CBP Form 7501 data"
		Sub Section 2.3.1	Added Document Image System (DIS)
		Sub Section 2.3.3	Added "ACE cargo release"

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		4.0 *New Section*	Non-ABI Entry Summaries
		Sub Section 5.1.1	Removed "paper submission" and replaced it with DIS
		Sub Section 5.1.2	Removed the phrase "the timeliness of"
		Sub Section 5.2.2	Added DIS
		Sub Section 5.3.1	Removed the word "this" and added the word "and".
		Sub Section 6.1	Added the following: "For ACE Entries followed by ACE Entry Summaries, or ACE Entry Summaries certified for ACE Cargo Release, where an STB is used, an eBond will be required starting January 3, 2015. ACE will implement validations on these inbound transactions where, if a bond is referenced on a transaction, and no bond is found on file in ACE, that transaction will be rejected. For all other STB scenarios, eBond will not be required. Paper processing of these STBs will continue as they do today. Due to the eventual retirement of ACS processing for Entries and Entry Summaries, the same eBond STB validations in place for ACE filed transactions will not be deployed to ACS. As such, we will not perform the system validations to ensure an STB is on file for these Entry/Entry Summaries. For this reason, operations will remain status quo.
		Section 7.0	Added entry type 52

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Section 7.1 new section added/renumbered	Explanation of the requirements for participation in the test for ACE RLF entries certified from ACE cargo release; old section 7.1 is now 7.2
		Sub Section 7.2	Was 7.1; renumbered to 7.2; added DIS
		Sub Section 7.2.3	Added "or DIS for test participants
		Sub Section 7.3	Was 7.2; renumbered to 7.3
		Sub Section 7.4	Was 7.3; renumbered to 7.4; added "or DIS for test participants"
		Sub Section 10.3.3.1	Added DIS
		Sub Section 10.3.3.3	Removed
		Sub Section 10.4.2	Replaced "place it in the broker's box at the port of entry" with "email it to the email address previously provided by the filer."
		Sub Section 10.5.2	Replaced "place it in the broker's box at the port of entry" with "email it to the email address previously provided by the filer."
		Sub Section 10.5.3	Added DIS
		Sub Section 10.5.3.1	Changed "will" to "may"
		Sub Section 10.5.3.2	Added "or the Center of Excellence and Expertise (Center), based on the initiator of the request."
		Sub Section 10.5.4	Added (email or fax)
		Sub Section 10.5.4	Added (email or fax)

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Sub Section 16.2.5	Added: "A PSC or PEA is permitted to be used for the submission of invoice(s) omitted from the entry package at the time of entry."
		Sub Section 16.2.7	Renumbered to 16.2.8
		Sub Section 16.2.10	Renumbered to 16.2.9
		Sub Section 16.2.10	Changed "NAFTA Reconciliation Indicator" to "Trade Agreement Indicator"
		Sub Section 16.2.11	Renumbered to 16.2.10
		Sub Section 16.2.12	Renumbered to 16.2.11
		Sub Section 16.2.13	Renumbered to 16.2.12
		Sub Section 16.2.14	Renumbered to 16.2.13
		Sub Section 16.2.15	Renumbered to 16.2.14
		Sub Section 16.2.16	Removed "If CBP disagrees with the PSC change, the CBP user shall reject the PSC back to the filer. A PSC which has been rejected back to the filer may only be transmitted to CBP within two business days. **If the filer does not retransmit to CBP within two business days, CBP will change the entry summary to the previously accepted version and liquidate the entry in the two- week cycle.**

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Sub Section 16.2.17	Renumbered to 16.2.15
		Sub Section 16.2.18	Removed
		Sub Section 16.5.2	Removed
		Sub Section 16.5.3	Renumbered to 16.5.2
		Section 20.0	**Note:** If an ACE entry summary is liquidated, and the filer determines additional money or non-revenue changes are required, the filer shall file a prior disclosure or a protest (*if within the protest period*).
5.0	Feb 2016	New Version	Cover Page Updated to 5.0
		Overview	Added email
		Overview	Added entry types
		ACE Transaction Timeline	Added
		Page 1 and 2 Left blank for future use	Added
		Sub Section 2.3	Added ACE CR Bus Rules
		Section 7.0	Added entry Types, various
		Section 7.0	Contact information
		Section 10.0	Added entry types

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
6.0	March 2016	New Version	Cover Page Updated to 6.0
		Overview	Added new email address ACEBusinessrules@cbp.dhs.gov and Recordkeeping in ACE link.
		Overview	Renumbered pages/sections
		Sub Section 2.3.1	Added DIS and link to section 7.2
		Sub Section 3.1.3	Entry summary number may **not** be re-used.
		Sub Section 4.1	Delineate between Entry and Entry summary
		Sub Section 4.2.1	Paragraph deleted.
		Sub Section 5.1	Clarified information
		Sub Section 6.0	Added mailbox ACE STB@cbp.dhs.gov and DIS Implementation Guide
		Section 7.0 Title Change	Remote Location Filing Process
		Section 14.0 TIB	Add TIB section to reflect current process
		Section 16.0 PSC	Update Post Summary Correction
		Global Change	Improved format, grammar, and sentence structure
6.1	April 2016	New Version	Cover page 6.1
		Section 10.1.3	Two days updated to five days
6.1a	June 2016	Global change	Added an active table of contents and table of contents return icons to the document

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Overview, Section 10.2, Section 13.1, Section 13.3, and Section 16.2	Fixed broken links for: - **Overview:** Recordkeeping in ACE - **Overview:** ACE Features • *Replaced the PGA Info link* - **Section 10.2:** rejection response template - Section 13.1: TBT-07-019 - Section 13.3: NAFTA Certificate of Origin - Section 13.3: See also CD 3550-085 Claims under the North American Free Trade Agreement Tariff Preference Levels Program - Section 16.2: Entry Summary Create/Update Chapter of the CATAIR - **Section 16.2**
		Global change	The document's layout was made more efficient so it could fit on fewer pages.
		Sub Section 17.2	Added a link to CSMS #04-001115 message to the section.
7.1	June 2016	Added a Quota Section (17.0)	A brief explanation of how quota is tentatively going to be processed in ACE.
		Section 16.2	Corrected the list of data elements that cannot be changed once the entry information is transmitted and added additional information about Trade Preference Programs.
7.2	July 2016	Section 21	Section 22 was updated and expanded. The section had 10 new subsections added to it in preparation for the release of Protest functionality in ACE on Saturday, August 27.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Global change	Minor edits made to language and phrasing throughout the document.
7.3	August 2016	Section 16	Modified phrasing in section 16 to make it clearer.
		Section 22	Added a section on Warehouse Entry and Withdrawal to the document.
		Section 13.3	Corrected NAFTA Language (*Errors with 520Ds can only be corrected by filing a prior disclosure letter*)
		Section 17	The language in the quota section of the document has been completely overhauled to make it easier to follow and understand.
7.4	August 2016	Global Changes	Removed the reserved sections and renumber the document to make it clearer and easier to print.
		Global Changes	Changed the document's header row color and added both a CBP and ACE logo to the cover page to make it more in line other ACE documents on cbp.gov.
		Section 10	The TIB section has been updated to reflect the latest developments in ACE.
		Section 15	The Reconciliation section has been updated based on the latest developments in ACE.
		Section 17	The Warehouse section has been updated to make the warehouse process clearer.
		Section 18	A section on Drawback has been added.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
7.5	September 2016	Section 14	The Liquidation section has been rewritten to make it better reflect what the liquidation process will be like once ACS goes offline.
		Section 16	Numerous subsections of the Protests and 520(d) Claims section have been revised and expanded to make the information provided by the section clearer and more helpful.
		Section 18	The original 10th subsection of the Drawback section has been removed based on feedback from the drawback working group. A minor change was also made to some of the wording in the section. Additional edits to the Drawback section will be coming soon.
		Section 18	The Drawback section was revised to make it clearer and address feedback from the trade community.
7.6		Introduction	The "Summary and Process" introduction at the beginning of the document was updated to reflect changes to the ACE implementation date.
		Section 10	The TIB section of the document has been updated to make its language clearer and more geared towards a trade audience.
		Global Changes	The "October 29th, 2016" implementation date was changes to "January 2017" and the acronym "CEE" was changed to "Center" throughout the document.
		Section 12.8 (*Oversubscribed Quota/Opening Moment*)	Section 12.8 of the "Quota" chapter has been expanded in preparation for the October 3rd, 2016, quota release.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Section 12.9 *(Cargo Release User Defined Rule)*	A new section has been added to the "Quota" chapter of the document that covers UDR information.
		Section 12.11 (*Transfer of Allotment*)	Section 12.11 of the "Quota" chapter has been expanded in preparation for the October 3rd, 2016, quota release.
7.6c	October 2016	Section 10 (*Temporary Import Bonds(TIB)*)	The TIB chapter has been updated and a section, 10.3, discussing TIB extension has been added to it.
7.7	November 2016	Section 15 (*Reconciliation*)	Updated the Reconciliation chapter of the document to include a link to the ACE Reconciliation Prototype Guide on cbp.gov.
		Section 16 (*Protest*)	Removed section 16.6 from the Protest chapter because it was redundant to other information that was already being provided in this document.
		Section 10 (*Temporary Import Bonds (TIB)*)	Removed language from section 10.1 of the Temporary Import Bonds chapter that is no longer applicable.
		Section 13 (*AD/CVD Case Management/Messages*)	Significant revisions have been made to the AD/CVD chapter to make sure that they are up to date with the most recent ACE updates.
		Section 5.5 *UC2 (Documents Required) Notification*	A new section has been added to the System-Generated Notifications chapter regarding how to handle UC2 (documents required) messages/requests.
		Section 18 (*Drawback*)	Significant updates have been made to the Drawback chapter.
8.0	June 2017	Section 10 *(Temporary Import Bonds)*	Section 10.1 was revised.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
8.0	June 2017	Section 10 *(Temporary Import Bonds)*	Section 10.1 was revised.
		Section 14 *(Liquidation)*	Minor updates to include electronic bulletin deployment.
		Section 15 *(Reconciliation)*	Updated the Reconciliation chapter of the document to remove effective dates.
		Section 16 *(Protest)*	Updated sections 16.1, 16.2, and 16.4.
		Section 18 *(Drawback)*	Updated the information provided by and language used in Drawback chapter.
		Section 19 *(ACE Reports)*	New chapter added for ACE Reports.
		Section 20 *(Defense Contract Management Agency (DCMA) Entry Summaries)*	New chapter added for DCMA Entry Summaries.
8.0a	July 2017	Section 13 (*AD/CVD Case Management/Messages*)	Added sub-section 13.9 AD/CVD Terms to the document.
		Section 21 (*21.0 NAFTA Duty Deferral*)	Added section 21 for NAFTA Duty Deferral information to the document.
8.0b	November 2017	Section 2 *(Entry Summary Record Creation)*	Added content about Single Pay to sub-section 2.2 of the "Entry Summary Record Creation" section.
		Section 17 (*Warehouse Entries and Withdrawals*)	Added new a sub-section, 17.3 Other Warehouse Withdrawals, to the Warehouse Entries and Withdrawals section and made considerable updates to all the section's previous sub-sections.
		Section 19 (*ACE Reports*)	Added language to the ACE Reports section regarding the updated ACE Reports Entry Summary Data Universe, which was released on October 7th, 2017, and added numerous report related sub-sections.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Section 22 (Foreign Trade Zones)	Added a section that provides information on Foreign Trade Zone entry summary processing in ACE.
8.0c	January 2018	Section 22 (*Foreign Trade Zones*)	Made significant revisions to the FTZ section's language and instructions, as well as added an additional sub-section, 22.2, that provides guidance on weekly FTZ (06) entries.
8.0d	February 2018	Section 18 (*Drawback*)	This section has been completely revised with draft material to ensure that filers are aware of the implemented Trade Facilitation and Trade Enforcement Act (TFTEA) Drawback changes.
9.0	May 2018	Section 1 (*Entry Summary Transmission*)	This section of the external business process document has been completely revised.
		Section 2 (*Entry Summary Record Creation*)	This section of the external ACE Entry Summary Business Process Document has been completely revised.
		Section 3 (*Entry Summary Cancellation*)	This section of the external ACE Entry Summary Business Process Document has been completely revised.
		Section 4 (*Non-ABI / Manual Entry Summary*)	This section of the external ACE Entry Summary Business Process Document has been completely revised.
		Section 5 (*System-Generated Notifications*)	This section of the external ACE Entry Summary Business Process Document has been completely revised.
		Section 6 (*Single Transaction Bond (For eBond)*)	This section of the external ACE Entry Summary Business Process Document has been completely revised.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Section 7 (*Remote Location Filing*)	Significant revisions have been made to this section of the document.
		Section 8 (*Entry Summary Team Review*)	This section of the external ACE Entry Summary Business Process Document has been completely revised.
		Section 10 (*Temporary Importation Under Bond (TIB)*)	A number of major revisions have been made to this section, such as adding a "Breach of Bond" sub-section added to it.
		Section 11 (*Post Summary Corrections (PSC)*)	A number of major revisions have been made to this section, such as adding more procedure references to it.
		Section 14 (*Liquidations*)	A number of major revisions have been made to this section, including a reference to CBP's bulletin website.
		Section 15 (*Reconciliation*)	A number of significant revisions have been made to this section of the business process document.
		Section 16 (*Protests and 520(D) Claims*)	A number of revisions have been made to this sub-section to make it easier for filers and other external users to understand.
		Section 17 (*Warehouse Entries and Withdrawal*)	A number of relatively minor revisions have been made to this section to ensure that it is as clear as possible.
		Section 19 (*ACE Reports*)	A number of edits have been made to this section to make it clearer.
		Section 20 (*Defense Contract Management Agency (DCMA) Entries*)	The DCMA has been revised to make the DCMA PSC process clearer.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
9.25	July 2018	**Overview**	Removed all the icons from the "Icon Key" that were no longer in use.
		Section 10 (*Temporary Importation Under Bonds*)	Added information about recently implemented TIB closure functionality to subsection 10.2 of the Temporary Importation Under Bond section.
		Section 12 (*Quota*)	Numerous significant revisions have been made to the quota section of this document and language explaining how absolute quota works in ACE have been added to the section.
		Section 15 (*Reconciliation*)	Added language that outlines where reconciliations are transmitted and how they are processed to the beginning of the Reconciliation section.
		Section 17 (*Warehouse Entries and Withdrawals*)	Added language to subsection 17.1.3 of the warehouse section that emphasizes the importance of validating the acceptance before of release of merchandise for quota merchandise (entry type 32/38).
		Section 20 (DCMA Entries)	Significant language updates have been made to this section and information about how the DCMA duty free certificate is handle in ACE has been added to it.
		Section 23 (*Trade Fair Entries*)	Added a new section that specifically addresses trade fair entries in ACE.
		Section 24 (*Collections*)	Added a new section that specifically addresses collections in ACE.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
9.5	October 2018	**Section 10** (*Temporary Importation Under Bonds*)	Added information about how to locate Center teams in subsection 10.2 and revised the language in subsection 10.3 that explains how to request an extension on a Temporary Importation Under Bond.
		Section 11 (*Post Summary Corrections*)	Completely revised the language in subsection 11.2.2 and 11.2.4 to help clarify what entry types are eligible for post summary corrections.
		Section 15 (*Reconciliation*)	Broke the section up into subsections and added a new subsection, 15.3, Reconciliation guides and information.
		Section 19 (*ACE Reports*)	Added subsections for the ES-008, ES-010, ES-011, ES-012, ES-013, ES-503, ES-504, ES-505, ES-506, and ES-507 reports.
		Section 20 (*DCMA*)	Revised the entire section's language to make it clearer and more concise.
		Section 25 (*Informal Entries*)	Added a section that explains how to process informal entries.
		Section 26 (*HTS Reporting For Multiple Classifications*)	Added a section that explains how multiple classifications should be reported. *Please note that this section's content is identical to the information provided in* CSMS 18-000624.
9.5a	January 2019	**Section 27** (*Downtime Procedures*)	Added a section to provide ACE Entry Summary downtime procedures.
9.75	June 2019	**General update**	The following section number changes have occurred: • Sections 1, 2, 3, 5, and 8 are now: ○ 1.0 Entry Summary

Version Number	Date of Change	Section(s) Affected	Brief Description of Change

			• Section 4 (*Non-ABI*) is now:
			  ○ 2.0 Non-ABI/Manual Entry Summary
			• Section 6 (*Single Transaction Bond*) is now:
			  ○ 3.0 Single Transaction Bonds (For eBonds)
			• Section 7 (*Remote Location Filing Process*) is now:
			  ○ 4.0 Remote Location Filing Process
			• Section 9 (*Blanket Declarations*) is now:
			  ○ 5.0 Blanket Declarations
			• Section 10 (*TIB*) is now:
			  ○ 6.0 Temporary Importation Under Bond (TIB)
			• Section 11 (*PSC*) is now:
			  ○ 7.0 Post Summary Correction (PSC)
			• Section 12 (*Quota*) is now:
			  ○ 8.0 Quota
			• Section 13 (*AD/CVD*) is now:
			  ○ 9.0 Antidumping and Countervailing (AD/CVD)
			• Section 14 (*Liquidation*) is now:
			  ○ 10.0 Liquidation
			• Section 15 (*Reconciliation*) is now:
			  ○ 11.0 Reconciliation
			• Section 16 (*Protests and 520(D) Claims*) is now:
			  ○ 12.0 Protests and 520(D) Claims
			• Section 17 (*Warehouse Entries*) is now:
			  ○ 13.0 Warehouse Entries and Withdrawals
			• Section 18 (*TFTEA Drawback*) is now:
			  ○ 14.0 TFTEA Drawback

Version Number	Date of Change	Section(s) Affected	Brief Description of Change

			• Section 19 (*ACE Reports*) is now:
			  ○ 15.0 ACE Reports
			• Section 20 (*DCMA*) is now:
			  ○ 16.0 DCMA Entries
			• Section 21 (*NAFTA Duty Deferral*) is now:
			  ○ 17.0 NAFTA Duty Deferral
			• Section 22 (*Foreign Trade Zones*) is now:
			  ○ 18.0 Foreign Trade Zones (FTZs)
			• Section 23 (*Trade Fair Foreign Exhibits*) is now:
			  ○ 19.0 Trade Fair Foreign Exhibit (Entry Type 24)
			• Section 24 (*Collections*) is now:
			  ○ 20.0 Collections
			• Section 25 (*Informal Entries*) is now:
			  ○ 21.0 Informal Entries
			• Section 26 (*HTS Reporting*) is now:
			  ○ 22.0 HTS Reporting For Multiple Classifications
			• Section 27 (*Downtime procedures*) is now:
			  ○ 23.0 Downtime Procedures

		Section 1 (*Entry Summary*)	Sections 1 (*Entry Summary Transmission*), 2 (*Entry Summary Record Creation*), 3(*Entry Summary Cancellation*), 5(*System-Generated Notification*), and 8(*Entry Summary Team Review*) have been revised and combined into 1 section, which has been renamed "Entry Summary". Edits have also been made to the content the combined section 1 to make it clearer and flow better.

Version Number	Date of Change	Section(s) Affected	Brief Description of Change
		Section 2 (*Non-ABI/Manual Entry Summary*)	Section 2, previously section 4, has been completely overhauled and a number of new subsections have been added for content such as Non-ABI/manual entry summary lineless processing, filer codes, etc.
		Section 7 (*Post Summary Correction*)	Section 7, previously section 11, has been reorganized and its language has been revised to make the section clearer and flow better.
		Section 9 (*Antidumping and Countervailing Duties (AD/CVD)*)	Section 9's , previously section 13, content has been updated to include the latest acronyms, additional AD/CVD related definitions, and revised language.
		Section 11 (*Reconciliation*)	Section 11, previously section 15, has had a number of new subsections, such as Reconciliation collections, Reconciliation interest calculations, etc., and language edits have been made to the section to make it clearer.

Appendix 2

Pre-TFTEA Drawback Guidance

Pre-TFTEA Drawback	
	ACE is the sole CBP authorized electronic data interchange (EDI) system for an electronic Drawback claim. All drawback claims submitted on or after (TBD) will be processed in ACE.
18.1 Drawback Entry Type and Statutory Provision	All ACE drawback claims will be submitted as entry type '47.' Claimants will identify the applicable statutory provision of claim within their submission.
18.2 Elements of a 'complete claim'	**18.2.1** A complete drawback claim shall consist of a successful claim acceptance in ACE and the Digital Image System (DIS). Documents must be uploaded within 24 hours of claim acceptance in ACE. If not submitted within 24 hours, the claim

date will be the date documents were successfully submitted in DIS. Drawback Specialist will perform a review of DIS documents for completeness and sufficiency and notify claimant via email, phone, and/or by U.S. mail of missing, incomplete or unsatisfactory documentation.

Where applicable, the following documents must be successfully uploaded in DIS to complete claim:

- CBPF 7553 - Notice(s) of Intent to Export, Destroy, or Return Merchandise for Purposes of Drawback
- For 1313 (j)(2) -Commercially interchangeable determination ruling (CID) approval letter
- For 1313(c) -Documents to establish that merchandise did not conform to sample or specification, was shipped without the consent of consignee, or was defective as of the time of importation.
- For 5062(c) -certification of the importer setting forth in detail the facts which cause the merchandise to be un-merchantable.
- For 1313 (d) -Production Exhibit
- For 1313(p) and 1313(p)/1309 certification
- If exported to a Foreign Trade Zone - CBP Form 214, CBP Form 7514 or master declaration
- Oil spill tax: tax worksheet, certification and copy of the tax return IRS Forms 720, 720x, and 6627
- Export waiver/assignment letters

The documents listed are not all-inclusive but required documents that are subject to that drawback provision.

Note: See the DIS Implementation Guide for forms and document codes.

18.2.2 At the time of the filing of the claim, any associated certificate(s) of delivery (CD), CBP Form 7552, must be in the

possession of the party to whom the merchandise or article covered by the certificate was delivered. CDs must be made available at the request of the Drawback Center.

18.2.3 The following forms are no longer required for ABI claims: Drawback entry CBP Form 7551; and CBP Form 7552, Certificate of Manufacture and Delivery (CM&D). CBP Form 7552 is a dual use form and is still required for the purpose of documenting transfers (Certificate of Delivery).

18.2.4 ACE will issue an informational message indicating that a one-time waiver (OTW) is required. Upon receipt of that message, claimants have 30 days to present the OTW to CBP. (For pending OTW, space fill in ACE).

18.2.5 ABI is the preferred filing method. If not ABI certified, claimant may use a CBP approved service bureau. A list of ABI software vendors can be found on cbp.gov.

18.2.6 The following mandatory information must be provided when filing a claim in ACE:

- Drawback Entry #
- Filing Port Code
- Claimant ID #
- Drawback Provision
- Drawback Claim Date
- Total Drawback requested
- Import Entry Summary/HTS Data
- Information on Exportation
- NAFTA Coding Sheet (as applicable)
- Notice of Intent to Export or Destroy (As applicable)

18.3 Line Level Data

ACE Drawback was designed to validate claim data at the line level of the underlying consumption entries. When possible, it is recommended that line item data be submitted with filing claim. Claims submitted with line level data for underlying consumption entries may be expedited. Submission of line item data is currently optional, but will be mandatory on February 24, 2018 with the implementation of the Trade Facilitation and Trade Enforcement Act of 2015.

18.4 System Validations and Rejections	**14.4.6** If a claim has passed all validations, the filer will receive an automated message stating that your claim has been successfully submitted. **14.4.7** If CBP rejects an ABI claim submission, filers will receive an automated message identifying the data elements that caused the rejection and the claim will remain in Trade status for correction. **14.4.8** If claimant receives a system rejection that they believe is in error, claimant should contact the Drawback office to try to confirm the nature of the rejection and resolve any errors in an effort to get the claim accepted. Client Representatives can assist with technical issues. **14.4.9** Rejected claims may be corrected and resubmitted if all exports are within the 3 year filing period. **14.4.10** If claimant or Drawback Centers discover discrepancies in ACE record input and/or documentation submitted in DIS after acceptance, Drawback Centers and claimants will work together to resolve issues. Claimant should contact the Drawback Center where claim was filed for assistance. Drawback Centers will contact claimants via email, ACE portal, and/or U.S. mail.
18.5 Accelerated Payment, Bonds and E-bond	Duties, taxes and fees are eligible for accelerated payment. No change to current privilege application process. **14.5.7** Accelerated payment will be authorized when a claimant is approved for accelerated payment privileges and the payment is secured by a sufficient 1A bond. **14.5.8** 1A bonds will be filed in E-bonds in ACE. **14.5.9** If accelerated payment is requested and no bond is present, or if the bond on file is insufficient, no accelerated payment will be processed. For ABI claims, ACE will provide a warning notice to the filer; for manual claims, no notification will be made. **14.5.10** Eligible ABI claims will be certified for accelerated payment within 3 weeks of claim acceptance by CBP. **14.5.11** AP is not authorized when the claim does not satisfy 19 CFR 191.51 (e.g. missing documents, pending CID determinations, pending manufacturing rulings). If complete

	claim requirements are not met prior to payment certification, AP will be unset. Once unset, AP cannot be reset; the claim will not receive AP privileges.
18.6 Requests for Additional Information	**14.6.6** When additional documentation is needed, CBP will send a CBP Form 28 to the filer via the ACE Secure Data Portal *(if the importer of record has an ACE account)*, via U.S. mail, or both. Notices will also be sent to broker if CBP Form 4811, Notice of Special Address, is on file. **14.6.7** As a result of selectivity processing, claimants may receive an automated 'documents required' message in ACE prior to receiving a CBP Form 28. No action is required until the actual CBP Form 28 has been received. **14.6.8** ABI claimants shall submit responses to CBP form 28 into DIS. **14.6.9** Responses should be provided within the time frame indicated on CBP Form 28.
18.7 Amendments, Perfections, and Cancellations	Amendments are allowed within the 3-year export filing period. Liquidated claims may not be amended; however, they may be protested. Unliquidated claims may be perfected at any time. **18.7.1** ACE does not allow for amendments, perfections, or cancellations by the filer after an ABI claim has been accepted by CBP and is in CBP status. Claimant must contact Drawback Center where the claim was filed for assistance.
18.8 Non-ABI claims	Claimants may submit manual claims. **18.8.1** Manual claims will be filed at a Drawback Center and must include all elements of a complete claim. CBP Forms 7551 and 7552 (CD and CMD) remain part of a manual claim. Claim data shall be submitted in the Drawback coding sheet format. **18.8.2** Manual claims will be limited to 25 total lines/imports; and or 25 total styles; and or 25 total exports. **18.8.3** Manual claims will be certified for accelerated payment within 3 months of acceptance by CBP.

	18.8.4 If manual claim fails validation after input into ACE by the Drawback Specialists, manual filers will be notified by U.S. mail of the cause for rejection. **18.8.5** Non-ABI claimants that receive a CBP Form 28, Request for Information, when additional documentation is required, shall respond by U.S. mail within the time frame indicated on CBP form 28.
18.9 Liquidation	Drawback claims are eligible for liquidation when all designated entries are liquidated and the 180 day protestable period has passed.
18.10 TFTEA, Section 906, Drawback and Refund	The Trade Facilitation and Trade Enforcement Act of 2015 provides numerous changes to the Drawback program, to include full automation of the Drawback claim process. CBP has two years from the date of enactment, February 24, 2016, to fully implement the new laws. There will be a one-year transition period for the Trade. At the end of the one year period, all drawback claims must then be filed according to the Act.