# CBP and Trade Automated Interface Requirements

## Entry Summary/Create Update

**October 2015**

U.S. Customs and Border Protection

# Entry Summary Create/Update

*This chapter provides record formats and processing instructions to submit entry summary and related information to ACE.*

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

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# Table of Changes

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| 42 | October 14, 2015 | (A) ES Transaction Input Structure Map | (A) Updated *Cargo Release Reference Data Grouping* to show a maximum occurrence of 4 times. |
| | | (B) Conveyance Grouping | (B) Added clarifying text explaining that the SE16 Record is *Conditional* in its use as part of the SE data transaction set. |
| | | (C) Conveyance Detail (SE16 Record) | (C) Added two new data elements to the SE16 Record: Unit of Measure and Conveyance Name. |
| | | (D) SE16 Record, Note 2 | (D) Added Note 2 to the SE16 Record to explain when Conveyance Name is used. |
| | | (E) Cargo Release Reference Data (Input SE20 Record), Note 1 | (E) Updated Note 1 with new Reference Identifier Qualifier, NAM, Non-AMS Bill of Lading, that is to be used when the bill(s) of lading on the transaction which are not automated (i.e. not to be found in any CBP electronic manifest system). |
| | | (F) Cargo Release Reference Data (Input SE20 Record), Note 3 | (F) Modified the text of Note 3 with guidance on when and how the Reference Identifier Qualifier, NAM, is to be used in the SE16 Record. |
| 41 | September 28, 2015 | (A) 10-Record, Entry Summary Filing Usage Note (dd) | (A) Added PGA Expedited Release Indicator and clarified that it is to be used when the cargo has been released via FAST, BRASS, or Rail Line Release and the PGA dataset is required and submitted. |
| | | (B) 10-Record, Note 8 | (B) Removed Note 8 which indicated the Known Importer Indicator was for future use. The Known Importer Indicator can be used. |
| | | (C) FTZ Status Information (41-Record) | (C) Eliminated 'Z' (Zone Restricted) status. |
| | | (D) FTZ Status Information (41-Record) | (D) Added FTZ Line Item Quantity as a mandatory data element. |
| | | (E) PGA Grouping Input Structure Map | (E) Clarified that a PGA Commercial Description (OI-Record) is to always precede a PG record set. |
| | | (F) Correction Request Contact Detail (SE13-Record) | (F) Included conditional header level record to be used when Certifying for ACE Cargo Release. |
| | | (G) FTZ Privileged Foreign Status Add'l Detail (SE61-Record). | (G) Included conditional line level record to be used when Entry Type = FTZ (06) and the merchandise if privileged foreign. |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| | | (H) Cargo Release Reference Data (SE20-Record) | (H) Included an additional Reference Identifier Qualifier and specified a further note. |
| 40 | June 30, 2015 | | ***Changes pertinent to all Entry Summary filings:*** |
| | | (A) 10-Record, 42-Record, Entry Summary Filing Usage Note (t) | (A) Clarified new restrictions of the Electronic Invoice Program (EIP) and the current use/future of legacy ACS's Automated Invoice Interface (AII) program. |
| | | (B) 10-Record, Entry Summary Filing Usage Note (y) | (B) Removed restriction that the initial filing must be scheduled for a statement and cannot be 'Single Payment'. |
| | | (C) Entry Summary Filing Usage Note (e) | (C) Clarified that all filings are eligible for Remote Location Filing (RLF). |
| | | (D) Entry Summary Filing Usage Note (e), (gg) | (D) Clarified that all non-Informal new Entry Type Codes summaries can be amended with a Post Summary Correction (PSC). |
| | | (E) Entry Summary Filing Usage Note (e), (ee) | (E) Clarified which new Entry Type Codes are eligible for a request to 'Certify for Cargo Release'. |
| | | (F) Entry Summary Filing Usage Note (dd) | (F) Clarified the reporting of FDA, DOT information (until such time that the ACS EI transaction is decommissioned). |
| | | (G) Entry Summary Response - Usage Notes (e) | (G) Added section "Responding to a Document Submission Request" which provides the filer with an understanding of how to interpret any subsequent Type 01 or Type 02 Entry Summary Notification (UC). |
| | | (H) Header Level Cargo Entity Grouping, SE30-Record, Line Level Cargo Entity Grouping, SE50-Record | (H) Clarified the use of Consignee name and address for low value Informal shipments and the use of the Ship to Party for the purpose of ACE cargo release. |
| | | (I) Entry Summary Response – Usage Notes (c) | (I) Clarified that the Entry Summary on file will be conditionally deleted from the ACE system, if that summary is in 'Trade Control' and the submitted AE filing for that summary is rejected. |
| | | | ***Changes pertinent to additional Entry Type Codes (02, 06, 07, 12, 21, 22, 23, 31, 32, 34, 38, 51, and 52):*** |
| | | (J) Entry Summary Filing Usage Note (e) | (J) Clarified various data reporting rules for all new Entry Type Codes. |
| | | (K) 10-Record, Entry Summary Filing Usage Note (g) | (K) Clarified the reporting rules when MOT not allowed (e.g. Entry Type Code '31'). |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| | | (L) Entry Summary Filing Usage Note (i)<br><br>(M) Entry Summary Filing Usage Note (m)<br><br>(N) Entry Summary Filing Usage Note (bb)<br><br>(O) Entry Summary Filing Usage Note (ff)<br><br>(P) Entry Summary Filing Usage Note (i)<br><br>(Q) AE Table 2<br><br>(R) Entry Summary Filing Usage Note (d), (e)<br><br>(S) 11-Record Note 3. | (L) Clarified bond and bond waiver reporting for Entry Type Codes '51'.<br><br>(M) Clarified MPF exemption for Entry Type Code '23' (TIB).<br><br>(N) Clarified the reporting rules for Warehouse ('21'), Re-Warehouse ('22'), and Warehouse Withdrawal ('3x') Entry Type Codes.<br><br>(O) Clarified that new Entry Type Codes '06', '2x' can include AD/CVD information.<br><br>(P) Clarified bond and bond waiver reporting for Entry Type Codes '23'.<br><br>(Q) Changed reference from 'DCASR' to 'DCMA' (for Entry Type Code '51').<br><br>(R) Clarified that filings for all new Entry Type Codes must have at least one line item.<br><br>(S) Specified how the Foreign Trade Zone Identifier is to be formatted (for Entry Type Code '06'). |
| 39 | March 3, 2015 | Entry Summary Filing Usage Note e), Note bb), and AE Table 2 | Revised to support additional entry types in ACE entry summary filing. |
| 38 | Feb. 26, 2015 | (A) Entry Summary Header Content (11-Record)<br>(B) Tariff/Value/Quantity Detail (50-Record)<br>(C) Entry Summary Filing Usage Note (i)<br>(D) Entry Summary Filing Usage Note (s) | (A) Clarified the description of the Estimated Entry Date<br>(B) Clarified the description of the Unit of Measure<br>(C) Revised to include Bond/Surety Applicability Date Matrix Hierarchy<br>(D) Revised to include details of the Mexican Sugar Export License |
| 37 | Dec. 22, 2014 | (A) ES Transaction Input Structure Map<br><br>(B) Header Level Cargo Conveyance, Equipment, and Reference Data Groupings (Input SE16-, SE17-, and SE20-Records)<br><br>(C) Header Level Cargo Entity Grouping (Input SE30-, SE35-, and SE36-Records) | (A) Referenced new Header Level Cargo Conveyance, Equipment, and Reference Data Groupings (Input SE16-, SE17-, and SE20-Records)<br><br>(B) Added and Defined Header Level Cargo Groupings (New Input SE16-, SE17-, and SE20-Records)<br><br>(C) Clarified the Header Level Cargo Entity Grouping Description |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| | | (D) Line Level Cargo Entity Grouping (Input SE50-, SE55-, and SE56-Records)<br><br>(E) Entry Summary Filing – Usage Note ee) | (D) Clarified the Line Level Cargo Entity Grouping Description and Notes for the SE50-Record<br><br>(E) Clarified information for Certifying for ACE Cargo Release |
| 36 | October 21, 2014 | Entry Summary Bond Detail (Input 31-Record)<br>Entry Summary Filing – Usage Note (i) | Revised to include details of eBond capabilities. |
| 35 | Sept. 24, 2014 | Entry Summary Header Control (Input 10-Record)<br>Entry Summary Filing – Usage Notes | Added Known Importer Indicator<br><br>Added Usage Note hh) for an explanation of standard rounding |
| 34 | Sept. 20, 2014 | Entry Summary Response Output Record Layout | Signpost SUMMRY reference data text in E0-Record revised to include CBP team number |
| 33 | August 25, 2014 | Entry Summary Header Control (Input 10-Record) | Clarified descriptions of Payment Type Codes |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| 32 | July 26, 2014 | Entry Summary Bond Detail (Input 31-Record) | Revised description of the STB bond producer account number |
| 31 | July12, 2014 | (A) Entry Summary Line Item Header (Input 40-Record)<br>(B) Entry Summary Filing – Usage Note (s)<br>(C) Entry Summary Filing – Usage Note (v) | (A) Clarified use of the Fee Exemption Code<br>(B) Added detail notes for use of License, Certificate, and Permit Reporting for codes 22 and 23<br>(C) Clarified reporting instructions for line level Article Charges |
| 30 | April 15, 2014 | (A) Entry Summary License/Certificate/Permit Detail (Input 52-Record)<br>(B) AE Table 6 (User Fee Accounting Class Codes) | (A) Added 2 new LPC Type Codes<br>(B) Modified class code 057 to be used for the Raspberry Fee |
| 29 | March 5, 2014 | (A) ES Transaction Input Structure Map<br>(B) ES Line Grouping Input Structure Map<br>(C) Entry Summary Header Control (Input 10-Record)<br>(D) Header Level Cargo Entity Grouping (New Input SE30-, SE35-, and SE36-Records)<br>(E) Line Level Cargo Entity Grouping (New Input SE50-, SE55-, and SE56-Records)<br>(F) Entry Summary Filing – Usage Note (f)<br>(G) Entry Summary Filing – Usage Note (ee) | (A) Referenced new Header Level Cargo Entity Grouping (Input SE30-, SE35-, and SE36-Records)<br>(B) Referenced new Line Level Cargo Entity Grouping (Input SE50-, SE55-, and SE56-Records)<br>(C) Added another value to the Cargo Release Certification Request Indicator (A = Certify for ACE Entry Cargo Release). Clarified that the existing 'Y' value is used to 'Certify for ACS Cargo Release'<br>(D) Defined Header Level Cargo Entity Grouping (New Input SE30-, SE35-, and SE36-Records)<br>(E) Defined Line Level Cargo Entity Grouping (New Input SE50-, SE55-, and SE56-Records)<br>(F) Added note for Cargo Entry Groupings<br>(G) Added description for new Cargo Release Certification Request Indicator of 'A' |
| 28 | Jan. 27, 2014 | (A) Entry Summary Filing - Usage Notes (l, m, q, w)<br>(B) AE Table 9 (Exception Case Articles – Categorized) | (A) Added clarifying text regarding duty & MPF<br>(B) Added clarifying text regarding duty & MPF |
| 27 | Dec. 26, 2013 | (A) ES Transaction Input Structure Map<br>(B) Entry Summary LINE ITEM Grouping Input Structure Map | (A) Defined PGA Header Level Substitution Grouping<br>(B) PGA Header Level Substitution Grouping |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| 26 | Sept. 12, 2013 | (A) Entry Summary Response Output E0-Record<br>(B) Entry Summary Response Transaction – Returned Entry Summary Reference Data | (A) Added Note 1 to Occurrence Position<br>(B) Added new PG E0-Record Reference Data Type Code (PGOI). Removed PG50 and PG51 Reference Data Type Codes |
| 25 | August 7, 2013 | (A) PGA Grouping Record Structure Map<br>(B) Entry Summary Filing – Usage Note (dd)<br>(C) Entry Summary Response Transaction - Returned Entry Summary Reference Data<br>(D) Entry Summary Condition/Disposition Response (Output E1-Record)<br>(E) Entry Summary Response – Usage Note (b) | (A) Added information concerning Partner Government Agency data reporting<br>(B) Added information concerning Partner Government Agency Reporting<br>(C) Added 32 new 'PG' E0-Record Reference Data Type Codes<br>(D) Added new Severity Code in the Output E1-Record: "P" = PGA Warning and revised Note 2.<br>(E) Added description of new Severity Code "P" |
| 24 | November 26, 2013 | Entry Summary Filing - Usage Note (o) | Added information for the calculation of the Harbor Maintenance Fee (HMF) |
| 23 | August 5, 2013 | Entry Summary Filing – Usage Note (o) | Revised information for reporting Harbor Maintenance Fee (HMF) |
| 22 | July 10, 2013 | (A) Record Layout Key<br>(B) AD/CVD Case Detail (53-Record)<br>(C) Entry Summary Filing – Usage Note (e) | (A) Removed the cents (¢) symbol<br>(B) Clarified the description of the AD/CVD Quantity<br>(C) Revised the designation of the Foreign Exporter for entry type 03 to M (mandatory) |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| 21 | March 19, 2013 | Entry Summary AD/CVD Case Detail (53-Record) and Entry Summary Filing – Usage Note (ff) | Added a note and text as to when appropriate to report and use the AD/CVD Quantity |
| 20 | March 5, 2013 | (A) Entry Summary Header (10-Record) and Entry Summary Filing – Usage Note (aa)<br>(B) Entry Summary AD/CVD Case Detail (53-Record) and Entry Summary Filing – Usage Note (ff) | (A) Revised identification of the NAFTA Reconciliation Indicator to read Trade Agreement Reconciliation Indicator<br>(B) Added a note and text as to when appropriate to report and use the AD/CVD Value of Goods Amount |
| 19 | February 6, 2013 | (A) Entry Summary License/Permit/Certificate Detail (52-Record)<br>(B) Entry Summary Filing – Usage Note (s) | Added new USDA Sugar Certificate information |
| 18 | January 14, 2013 | (A) PGA Grouping Input Structure Map and Entry Summary Filing - Usage Note (dd)<br>(B) Entry Summary Filing – Usage Note (z) | (A) Added text concerning filing entry summaries with Lacey Act data<br>(B) Corrected the reference to the informal value threshold to $2,500 |
| 17 | November 1, 2012 | (A) Entry Summary Line Item Header (40-Record)<br>(B) AE Table 8 (Trade Agreement / Special Program Claim Codes) | (A) Added 700 series codes for Category Code (for Textiles)<br>(B) Added code PA (Panama Trade Promotion Agreement) |
| 16 | October 10, 2012 | (A) Entry Summary Line Item Header (40-Record)<br>(B) Entry Summary Filing – Usage Note (ff) | (A) Deleted specifications for the reporting of the First Sale Indicator<br>(B) Revised Usage Note (ff) to indicate that Remote Location Filing (RLF) for ACE entry summary type 03, AD/CVD, is now permitted. |
| 15 | June 5, 2012 | AE Table 8 (Trade Agreement / Special Program Claim Codes) | Added code CO (Columbia Trade Promotion Agreement) |
| 14 | March 20, 2012 | (A) Entry Summary Filing – Usage Note (h)<br>(B) AE Table 8 (Trade Agreement / Special Program Claim Codes) | (A) Corrected text in the section Further In-Bond/In-Transit Reporting guidelines<br>(B) Added code KR (Korea FTA) |
| 13 | January 3, 2012 | Entry Summary Filing – Usage Note (o) | Corrected HMF *de minimus* value. |
| 12 | November 8, 2011 | Entry Summary Filing – Usage Notes (n) and (w) | Revised the Merchandise Processing Fee tables for the new rate effective October 1, 2011. |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| 11 | June 4, 2011 | (A) Input Record Structure Maps | (A) Introduced data elements and instructions for the submission of an electronic Post Summary Correction (PSC). Described three new input records (35-, 36-, and 63-Records). Revised the Loop Repeat limit for the entry summary grouping and the 40-Record to 998. |
| | | (B) Entry Summary Header (10-Record) | (B) Defined new header level data elements: Post Summary Correction Indicator, Accelerated Liquidation Request Indicator. |
| | | (C) PSC Header Reasons (35-Record); PSC Filing Explanation (36-Record); PSC Line Reasons (63-Record) | (C) Defined three new input records for the submission of a header level PSC filing explanation, and both header and line level PSC reason codes. |
| | | (D) Entry Summary Filing – Usage Note (gg) Filing a Post Summary Correction (PSC) | (D) Described how to submit an electronic PSC in an AE transaction. |
| | | (E) Returned Entry Summary Reference Data | (E) Added PSCHRE, PSCEXP, and PSCLRE returned Reference Data Type Codes. |
| | | (F) AE Table 14 (PSC Header Reason Codes); AE Table 15 (PSC Line Reason Codes) | (F) Added list of PSC header and line reason codes. |
| | | (G) Entry Summary Condition/Disposition Response (E1-Record) – position 64-68. | (G) Include entry summary version number in the final disposition E1-Record when summary successfully added or replaced. |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| 10 | Sept. 15, 2010 | (A) Entry Summary Filing – Usage Note (f) Party Reporting<br>----------<br>(B) AE Table 16 | (A) Deleted specifications for reporting of unknown manufacturers.<br>----------<br>(B) Deleted AE Table 16 |
| 9 | July 29, 2010 | (A) Entry Summary Header Content (11-Record)<br>----------<br>(B) Article Party (47-Record)<br>----------<br>(C) Entry Summary Filing – Usage Note (e) Entry Type Data Reporting Considerations<br>----------<br>(D) Entry Summary Filing – Usage Note (f) Party Reporting<br>----------<br>(E) Entry Summary Filing – Usage Note (i) Bond and Surety Reporting<br>----------<br>(F) Entry Summary Filing Usage Note (ee) | (A) Revised the Consignee party definition<br>----------<br>(B) Replaced the article party line Consignee with the Delivered To Party<br>----------<br>(C) Replaced the article party line Consignee with the Delivered To Party in the chart<br>----------<br>(D) Revised the entry summary header Consignee party definition. Eliminated the entry summary line level Consignee. Added the entry summary line level Delivered To Party definition.<br>----------<br>(E) Corrected the bond type code as referred to for a single transaction bond.<br>----------<br>(F) Added the entry summary header 11-Record Consignee. Eliminated the entry summary 47-Record Consignee. |
| 8 | April 29, 2010 | (A) Entry Summary Filing – Usage Note (f) Party Reporting<br>----------<br>(B) AE Table 16 | (A) Added reporting requirements when the manufacturer is unknown.<br>----------<br>(B) Added AE Table 16 |
| 7 | February 14, 2010 | (A) Article Party (47-Record)<br>----------<br>(B) Entry Summary Filing – Usage Note (f) Party Reporting | (A) Revised party definitions<br>----------<br>(B) Revised party definitions: consignee, manufacturer/supplier, sold-to, and foreign exporter. |
| 6 | August 26, 2009 | (A) Entry Summary AD/CVD Case Detail (53-Record) | (A) Added an explanatory note for the 53-Record Case Deposit Rate. |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| 5 | June 18, 2009 | (A) AE Table 2 & numerous references throughout. | (A) Support Entry Type 03 – AD/CVD. |
| | | (B) Entry Summary Header Control (10-Record); AE Table 4 (+ References); Entry Summary Filing – Usage Notes - (e) Entry Type Data Reporting Consideration, (i) Bond & Surety Reporting - Bond Waiver Claim. | (B) Renamed 10-Record data element from Bond Type Code to Bond Waiver Indicator. Added NEW 10-Record data element Bond Waiver Reason Code. Changed AE Table 4 name from 'Surety Waiver Codes' to 'Bond Waiver Reason Codes'. Clarified Bond reporting and Bond Waiver reporting. |
| | | (C) Single Entry Bond Detail (31-Record); Entry Summary Filing – Usage Notes - (e) Entry Type Data Reporting Consideration, (i) Bond & Surety Reporting, (ff) Additional AD/CVD Bonding Requirements; Table 1 – Returned Entry Summary Reference Data. | (C) 31-Record NOW a repeating group that can occur up to two times. The record renamed from 'Single Entry Bond Information' to 'Bond Detail'. (This record replaces the previous version's 10-Record Bond Type Code and 11-Record Surety Code.) Data element Bond Designation Type Code included which specifies the intent of the bond reference ('basic' or 'additional'). Data element Continuous Superseded Bond Indicator added. Clarified Bond reporting and Bond Waiver reporting. Identified bond requirements specifically for AD/CVD. Added BNDDTL E0 Reference Data Type Code. |
| | | (D) Entry Summary Header Content (11-Record); Article Party (47-Record); Entry Summary Filing – Usage Notes - (f) Party Reporting – Consignee. | (D) Changed data element name from Ultimate Consignee to Consignee (both header and line level). Definition of Consignee changed/clarified. |
| | | (E) Article Party (47-Record); Entry Summary Filing – Usage Notes - (e) Entry Type Data Reporting Consideration, (f) Party Reporting – Sold To Party, Foreign Exporter. | (E) Added two NEW article/line level party types: S = Sold To Party (required for Entry Type 01, 03.); E = Foreign Exporter (required only on Type 03 when AD/CVD case present). |
| | | (F) Line Item Header (40-Record); AD/CVD Case Detail (53-Record); AD/CVD Duty Totals (88-Record); Grand Totals (90-Record); Entry Summary Filing – Usage Notes - (e) Entry Type Data Reporting Consideration, (ff) Articles Subject to AD/CVD Duty; Table 1 – Returned Entry Summary Reference Data; Entry Summary Response – Usage Notes – (b) Entry | (F) Completely revised AD/CVD Case Detail reporting. Provided instructions for the reporting of AD/CVD case information and duty (including line level AD/CVD Non-Reimbursement Statement, sub-total reporting, grand total reporting, and special AD/CVD bonding requirements). Revised the Reference Data Text on the ADDCVD E0 Reference Data Type. |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| | | Summary Response Final Dispoistions.<br>----------<br>(G) Entry Summary Condittion/Disposition Resonse (Output E1-Record). | ----------<br>(G) Lengthened data element Reason Code from position 10-10 (1 character) to positions 8-10 (3 characters). |
| 4 | February 25, 2009 | (A) Entry Summary Response - Usage Notes – (d) How to Respond to an ACE System Failure. | (A) Described how to respond to an ACE System Failure. |
| 3 | February 4, 2009 | (A) Input Record Layout – Entry Summary Line Item Header (40-Record).<br>----------<br>(B) AE Table 11. | (A) Revised Note 1 to indicate that an asterisk "*" may not be used in the Line Item Identifier data field.<br>----------<br>(B) Corrected the Acceptable Census Condition Override Codes permitted for use with Census Warning Condition Code 27H. |
| 2 | November 5, 2008 | (A) Input Record Layouts - Entry Summary Header Control (10-Record); Entry Summary Filing – Usage Notes - (t) Electronic Invoice Processing (EIP) Program Reporting Requirements.<br>----------<br>(B) Input Record Layouts - Entry Summary Header Control (10-Record); Entry Summary Filing – Usage Notes - (a) Entry Summary Filing Actions; (c) Header/Totals Data Elements Requred to Establish or Correct an Entry Summary.<br>----------<br>(C) Input Record Layouts - B-Record.<br>----------<br>(D) Input Record Layouts - 60-Record; AE Table 13.<br>----------<br>(E) Various.<br>---------- | (A) Eliminated the 'Paperless Summary Certification Indicator' (10-Record; position 39).<br>----------<br>(B) Introduced an 'Electronic Signature' (10-Record; position 39).<br>----------<br>(C) Eliminated B-Record description. (Duplicate information covered in the ABI Batch & Block Control chapter of the ACE CATAIR.)<br>----------<br>(D) Added Accounting Class Code to the 60-Record. Now required for Internal Revenue tax. Included new AE Table 13 – Internal Revenue Tax Class Codes.<br>----------<br>(E) Added references to *Usage Notes* throughout.<br>---------- |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| | | (F) Input Record Layouts - 40-Record; Entry Summary Filing – Usage Notes - (e) Entry Type Data Reporting Considerations.<br>----------<br>(G) AE Table 6 – User Fee Accounting Class Codes.<br>----------<br>(H) Input Record Layouts - 54-Record; Entry Summary Filing – Usage Notes - (e) Entry Type Data Reporting Considerations.<br>----------<br>(I) Entry Summary Filing – Usage Notes - (z) Consolidating Releases Under One Entry Summary.<br>----------<br>(J) Entry Summary Filing – Usage Notes – (dd) – Articles Subject to FCC Regulation.<br>----------<br>(K) AE Table 6 – User Fee Accounting Class Codes. | (F) Introduced First Sale Indicator (40-Record; position 59).<br>----------<br>(G) Added Sorghum Fee Code (109) to the list of conditional line level fees.<br>----------<br>(H) Introduced new line level record: Importer's Additional Declaration Detail (54-Record) and its specific usage for reporting Softwood Lumber Export information.<br>----------<br>(I) Clarified that when correcting a 'rejected' Entry Summary, an Entry Summary 'consolidation' claim is not allowed.<br>----------<br>(J) Clarified that an article deemed 'American Goods Returned' is not subject to FCC regulation. .<br>----------<br>(K) Added Dairy Product Fee Code (110) to the list of conditional line level fees. |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| 1 | May 19, 2008 | (A) Title page. | (A) Change title of document from 'Entry Summary Filing and Response Guide' to 'Entry Summary Create/Update'. |
| | | (B) Table of changes. | (B) Introduce 'Table of Changes'. |
| | | (C) Introduction. | (C) Revise sentence "This document completely…" |
| | | (D) Entry Summary Filing – Usage Notes (j) Basic Article Classification and Tariff Considerations. | (D) Rename sub-section from 'Relevant Classification Date' to 'Duty Rate Date Matrix Hierarchy'. |
| | | (E) Input Record Layouts - Census Warning Condition Override Information (CW02-Record). | (E) Revise sentence "The CW02-Record contains…" |
| | | (F) Input Record Layouts - Entry Summary Header Control (10-Record) - Periodic Statement Month data element. | (F) Revise description. |
| | | (G) Input Record Layouts - Commercial Description (44-Record); License / Certificate / Permit Detail (52-Record); Grand Totals (90-Record). | (G) Fix data element length discrepancies. |
| | | (H) Input Record Layouts – Entry Summary Header Content (11-Record) - Estimated Entry Date data element. | (H) Revise description. |
| | | (I) Input Record Layouts – Entry Summary Header Control (10-Record) - Note 2; Entry Summary Response Usage Notes (b) Entry Summary Final Dispositions. | (I) Change term 'fatally rejected' to, simply, 'rejected'. |
| | | (J) Input Record Layouts – Line Item Header (40-Record) - Note 4; Entry Summary Filing – Usage Notes - (s) License, Certificate, and Permit Reporting. | (J) Change references to Administrative Message numbers; numbers now correctly reflect the recent renumbering scheme. |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| | | (K) Entry Summary Filing – Usage Notes - (f) Party Reporting – Importer of Record, Ultimate Consignee. | (K) Change reference from CF5106 to CBPF5106; from CF4811 to CBPF 4811. |
| | | (L) Input Record Layouts – Rulings Detail (43-Record) – Ruling Type Code, Ruling Number data elements; Entry Summary Filing – Usage Notes – (t) Electronic Invoice Processing (EIP) Program Reporting Requirements; (u) Non-EIP Program Classification Ruling Reporting. | (L) Eliminate the 'Invoice by Request' feature of the 43-Record (i.e., 'INVREQ'). |
| | | (M) Various. | (M) Remove references to Type 51 (DCASR) entry type. |
| | | (N) AE Table 1 – Check Digit Computation Formula. | (N) Revise the conversion values in **Step One**. |
| | | (O) Line Item Grouping Input Structure Map; Input Record Layouts – Article Party (Input 47-Record); Entry Summary Filing – Usage Notes – (e) Entry Type Data Reporting Considerations; (f) Party Reporting; Returned Entry Summary Reference Data. | (O) Support the reporting of Ultimate Consignee at the Entry Summary line level. 47-Record to become a repeating group. Add data element for 'party type code' (**M** = Manufacturer / Supplier Code; **C** = Ultimate Consignee). |
| | | (P) Entry Summary Input Transaction Structure Map. | (P) Change the designation of the 90-Record from M (mandatory) to C (conditional). |
| | | (Q) Entry Summary Filing – Usage Notes – (h) Reporting Cargo Manifest Detail (MOT 10, 11 Vessel Shipment Notes; MOT 20, 21 Rail Shipment Notes; MOT 40, 41 Air Shipment Notes). | (Q) Fix inconsistencies in House Bill Number reporting. |
| | | (R) Entry Summary Filing – Usage Notes – (e) Entry Type Data Reporting Considerations; (f) Party Reporting – Ultimate Consignee. | (R) Change 11-Record Ultimate Consignee reporting from allowed to **mandatory** for Entry Type 01. |

| Revision Number | Date of Change | Section(s) Affected | Brief Description of Change |
|---|---|---|---|
| | | (S) Returned Entry Summary Reference Data.<br><br>(T) Input Record Layouts – Line Item Header (40-Record) – Note 1. | (S) Eliminate FDAQTY and FDADIM references.<br><br>(T) Modified **Note 1** of the 40-Record to clarify the use of the Line Item Identifier and to state that it must be unique within an Entry Summary. |

## Introduction

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

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

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

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

## Record Layout Key

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

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

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

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

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

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

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

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

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

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

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

**Description:**

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

**Note:**

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

## Input Record Structure Maps

### Input Structure Map Submission Notes

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

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

### Block Control Input Structure Map

| Control ID | Name | Designation | Loop Repeat |
|---|---|---|---|
| | Block Control Grouping | M | 1 |
| B | Block Control Header | M | |
| | Entry Summary **TRANSACTION** Grouping | M | > 1 |
| | (…documented below…) | | |

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

The following tables illustrate how the automated interface expects repeating groups to be structured in a proprietary format Entry Summary Transaction Grouping. A detailed description of the Partner Government Agency data as found in the PGnn records identified below can be found in the ACE ABI CATAIR: '*Partner Government Agencies'* chapter.

**ES Transaction Input Structure Map**

| Control ID | Name | Designation | Loop Repeat (ACS/ACE)[1] |
|---|---|---|---|
| | Entry Summary **TRANSACTION** Grouping | | |
| | Entry Summary **HEADER** Grouping | M | 1 |
| 10 | Entry Summary Header Control | M | |
| 11 | Entry Summary Header Content | C | |
| 20 | Cargo Reference Information | C | |
| SE13 | Correction Request Contact Detail | C | |
| 21 | Identifying Trip Information | C | |
| | Cargo Manifest Grouping | C | 999 / 9,999 |
| 22 | Cargo Manifest Detail | M | |
| | Bill of Lading/In-bond Grouping | M | 4 |
| 23 | Bill of Lading/In-bond Detail | M | |
| | Conveyance Grouping | C | 99 |
| SE16 | Conveyance Detail | M | (max use = 1) |
| | Equipment Grouping | O | 99 |
| SE17 | Equipment Detail | M | (max use = 1) |
| 30 | Warehouse Withdrawal Information | C | |
| | Bond Grouping | C | 2 |
| 31 | Bond Detail | M | |
| | Consolidated Release Grouping | C | 999 / 9,999 |
| 32 | Release Detail | M | |
| 33 | Missing Document Information | C | |
| 34 | Entry Summary Header Fees | C | |
| 35 | PSC Header Reasons | C | |
| | PSC Filing Explanation Grouping | C | 99 |
| 36 | PSC Filing Explanation | M | |
| | PGA Header Level Substitution Grouping | C | 9,999 |
| PG00 | PGA Substitution *<start>* | M | |
| | *<See 'Partner Government Agencies' Chapter>* | C | |
| PG00 | PGA Substitution *<end>* | M | |
| | Cargo Release Reference Data Grouping | C | 4 |
| SE20 | Cargo Release Reference Data | M | |
| | Header Level Cargo Entity Grouping | C | 5 |
| SE30 | Entity Name and Type | M | |
| | Entity Street Address Grouping | C | 3 |
| SE35 | Entity Street Address | M | |
| | Entity Geographic Area Grouping | C | 1 |
| SE36 | Entity Geographic Area | M | |
| | Entry Summary **LINE ITEM** Grouping | C | 998 / 99,999 |

| | | | |
|---|---|---|---|
| | (…documented below…) | M | |
| | Entry Summary **TOTALS** Grouping | C | 1 |
| 88 | AD/CVD Duty Totals | C | |
| | Fee Total Grouping | C | 9 |
| 89 | Fee Total Detail | M | |
| 90 | Grand Totals | C | |

[1]The total number of items in the grouping cannot exceed the maximum specified. Until such time that the automated environment supports the larger groupings, the first number (if more than one specified) is the limitation (i.e., the limitation compatible with ACS).

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

**ES Line Grouping Input Structure Map**

| Control ID | Name | Designation | Loop Repeat (ACS/ACE)[1] |
|---|---|---|---|
| | Entry Summary **LINE ITEM** Grouping | C | 998 / 99,999 |
| 40 | Line Item Header | M | |
| 41 | FTZ Status Information | C | |
| | Invoice/Ruling/Description Configurations | C | |
| | **-EITHER-** | | |
| | EIP Invoice Grouping | C | 999 / 9,999 |
| 42 | Invoice Line Reference Detail | M | |
| 43 | Rulings Detail | C | |
| | Commercial Description Grouping | C | 999 |
| 44 | Commercial Description | M | |
| | **-OR-** | | |
| | Non-EIP Rulings/Description Grouping | C | 1 |
| 43 | Rulings Detail | C | |
| | Commercial Description Grouping | C | 999 |
| 44 | Commercial Description | M | |
| | Article Party Grouping | C | 6 |
| 47 | Article Party | C | |
| | Line Level Cargo Entity Grouping | C | 7 |
| SE50 | Entity Name and Type | M | |
| | Entity Street Address Grouping | | |
| SE55 | Entity Street Address | M | 3 |
| SE56 | Entity City and Country | M | |
| | PGA Line Level Substitution Grouping | C | 9,999 |
| PG00 | PGA Substitution *<start>* | M | |
| | *<See 'Partner Government Agencies' Chapter>* | C | |
| PG00 | PGA Substitution *<end>* | M | |
| | Tariff Grouping | M | 8 |
| 50 | Tariff/Value/Quantity Detail | M | |
| SE61 | FTZ Privileged Foreign Status Add'l Detail | C | |
| | PGA Grouping | C | 1 |
| | (…documented below…) | M | |
| 51 | Standard Visa Information | C | |
| | License/Certificate/Permit Grouping | C | 1 / 99 |
| 52 | License/Certificate/Permit Detail | M | |
| | AD/CVD Case Grouping | C | 2 |
| 53 | AD/CVD Case Detail | M | |
| 54 | Importer's Additional Declaration Detail | C | |
| 60 | IR Tax Information | C | |
| | Line User Fee Grouping | C | 5 / 9 |

| | | |
|---|---|---|
| 62 | Line User Fee Detail | M |
| 63 | PSC Line Reasons | C |
| CW02 | Census Warning Condition Override Information | C |

[1]The total number of items in the grouping cannot exceed the maximum specified. Until such time that the automated environment supports the larger groupings, the first number (if more than one specified) is the limitation (i.e., the limitation compatible with ACS).
Designation: **M** = Reporting Mandatory; **C** = Reporting Conditional; **O** = Reporting Optional

**PGA Grouping Input Structure Map**

**Note**: A detailed description of the DOT HS-7 and FDA supporting data elements in the PGA Grouping can be found in the ACS CATAIR: '*Other Government Agencies*' chapter. A detailed description of the Partner Government Agency data as found in the PGnn records identified below can be found in the ACE ABI CATAIR: '*Partner Government Agencies'* chapter.

See Usage Note '*(dd) Reporting PGA Form Data'* for more information.

| Control ID | Name | Designation | Loop Repeat |
|---|---|---|---|
| | PGA Grouping | C | 1 |
| OA | PGA Disclaimer | C | |
| | DOT Grouping | C | 999 |
| OI | PGA Invoice Description | C | |
| DT01 | HS-7 Header | M | |
| DT02 | HS-7 Vehicle Information | C | |
| | HS-7 Vehicle Grouping | C | 9,999 |
| DT03 | HS-7 Vehicle Detail | M | |
| | FCC Grouping | C | 999 |
| OI | PGA Invoice Description | C | |
| FC01 | 740 Header | M | |
| FC02 | 740 Continuation | M | |
| | FDA Grouping | C | 999 |
| OI | PGA Invoice Description | C | |
| FD01 | FDA Header | M | |
| FD02 | FDA Quantity, UOM | M | |
| FD03 | FDA Value, Container | M | |
| FD04 | FDA Quantity, UOM Continuation | C | |
| | FDA Affirmation Grouping | C | 999 |
| FD05 | FDA Affirmation of Compliance | M | |
| | Partner Government Agency Grouping | C | 999 |
| OI | PGA Commercial Description | M | |
| PG0 | Partner Government Agency Header | M | |
| PG0 | Partner Government Agency Product Data | M | |
| . | | | |
| . | | | |
| PG5 | Partner Government Agency Entity Roles | C | |

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

# Entry Summary Filing INPUT Record Layouts

### Entry Summary TRANSACTION Grouping

The Entry Summary TRANSACTION Grouping specifies the unique identity of an Entry Summary, control data such as a requested filing action, and conditionally, specific information regarding articles, parties to the transaction, estimations of duties, taxes & fees, licenses, etc. Each Entry Summary transaction begins with an Entry Summary Header Control (10-Record) record. All records that follow a 10-Record and precede a subsequent 10-Record (or Y-Record Block Control Trailer) record are considered as belonging to that reported Entry Summary. The Entry Summary TRANSACTION Grouping can be reported multiple times within a single block control grouping.

### Entry Summary HEADER Grouping

The Entry Summary HEADER Grouping consists of information that applies to all articles reported for the shipment. The Entry Summary HEADER Grouping can be reported one time only within a single Entry Summary TRANSACTION Grouping.

### Entry Summary Header Control (Input 10-Record)

The 10-Record identifies the Entry Summary, specifies an action request, and contains 'control' codes to determine conditional record and data element reporting. The 10-Record also contains 'payment intent' information. It is MANDATORY for each transaction.

| ***10-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **10** | |
| Summary Filing Action Request Code | 1A | 3-3 | M | The action requested for this Entry Summary transaction:<br><br>**A** = Add or entirely Replace an Entry Summary.<br>**R** = Add or entirely Replace an Entry Summary.<br>**D** = Delete/remove an Entry Summary. | 1 |
| Entry Filer Code | 3AN | 4-6 | M | Entry Filer's identification code (as assigned by CBP). | |
| Filler | 2S | 7-8 | M | Space fill. Reserved filler for possible future expansion of Entry Filer Code and/or Entry Number. | |
| Entry Number | 8AN | 9-16 | M | Unique identifying number assigned to the Entry by the Filer.<br><br>The check digit must be computed using the formula found in '*AE Table 1 – Check Digit Computation Formula*'. | |
| Filler | 1S | 17-17 | M | Space fill. | |
| District/Port of Entry | 4AN | 18-21 | M | The code for the U.S. port that the merchandise is entered (under either an 'entry' or an 'immediate delivery permit'). | |
| Broker Reference Number | 9X | 22-30 | C | Filer/Preparer's internal Entry Summary identifier.<br><br>Space fill if not used. | |

| ***10-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Filler | 3S | 31-33 | M | Space fill until expanded length fully supported. Reserved filler for future expansion of the Broker Reference Number when fully ACE compatible. | |
| Entry Type Code | 2AN | 34-35 | M | A code identifying the type of entry being submitted.<br><br>***Note*****:** Only types '01', '03', '11', '51', and '52' are supported at this time. Additional Entry Types shall be made available in the future.<br><br>See '*AE Table 2 – Entry Type Codes*' for a list of codes supported in this transaction. See Usage Note '*(e) Entry Type Data Reporting Considerations'* for more information. | |
| Mode of Transportation (MOT) Code | 2AN | 36-37 | C | A code identifying the mode of transportation by which the merchandise entered the U.S. port of arrival from the last foreign country.<br><br>See '*AE Table 3 – Mode of Transportation Codes*' for a list of codes supported in this transaction.<br><br>Space fill if not allowed or not required/not reported. | 2 |
| Bond Waiver Indicator | 1AN | 38-38 | C | An indication that the bond has been waived in accordance with C.R. 142.4 (c) or other regulation.<br><br>**0** = Bond waived/no bond required. Additionally, a 'waiver' reason may be required to be stated in 10-Record Bond Waiver Reason Code.<br><br>Space fill if a bond is required. See Usage Note '*(i) Bond & Surety Reporting'* for more information. | 2, 7 |

| ***10-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Electronic Signature | 1AN | 39-39 | C | The Filer's *electronic signature*. An ACE Entry Summary is designated as *paperless* until such time (if any) that CBP requests that a paper document be submitted.<br><br>**X** = Filer's Electronic Signature.<br><br>The Electronic Signature is MANDATORY if the 10-Record Summary Filing Action Request Code is an **A** (Add) or **R** (Replace). | 2 |
| Cargo Release Certification Request Indicator | 1AN | 40-40 | C | An indication that the Filer is instructing CBP to use the Entry Summary information for the purpose of Cargo Release (i.e., create/process an Entry for the release of the cargo).<br><br>**Y** = Certify for **ACS** Cargo Release.<br>**A** = Certify for **ACE** Cargo Release.<br><br>See Usage Note '*(ee) Certifying for Cargo Release'* for more information. Space fill if not used; Certify for Cargo Release not requested. | 2, 5 |
| Electronic Invoice Indicator | 1AN | 41-41 | C | An indication that the Entry Summary conforms to the requirements for Electronic Invoice Processing (EIP) program: an electronic invoice(s) that accounts for ALL articles claimed on the Entry Summary has EITHER – a) been submitted electronically to CBP, or b) is available for electronic submission when requested by CBP.<br><br>**Y** = Electronic Invoice Available.<br><br>Space fill if not used; electronic invoice not available.<br><br>See Usage Note *'(t) Electronic Invoice Processing (EIP) Program Reporting Requirements*' for new EIP restrictions and information concerning the status/future of the Automated Invoice Interface (AII) program and the current requirements for its use. | 2 |
| Consolidated Summary Indicator | 1AN | 42-42 | C | An indication that the Entry Summary accounts for (i.e., 'consolidates') the cargo referenced in more than one Cargo Release (entry) transaction.<br><br>**Y** = Consolidated Entry Summary. | 2 |

| *10-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| | | | | See Usage Note '*(z) Consolidating Releases Under One Entry Summary'* for more information. Space fill if not used; not consolidated. | |
| Shipment Usage Type Code | 1AN | 43-43 | C | An indication that the articles referenced in the summary are for personal use or designated as a commercial sample.<br><br>**P** = Personal Shipment.<br>**X** = Sample Commercial Shipment.<br><br>Space fill if a *Regular* Commercial Shipment. | 2, 3 |
| Live Entry Indicator | 1AN | 44-44 | C | An indication that both Entry Summary & Entry are filed at time of entry (required for importation of quota class merchandise); i.e., a *live* entry.<br><br>**Y** = Entry Summary filing is a live entry.<br><br>Space fill if not used; not a live entry. | 2 |
| Deferred Tax Payment Code | 1AN | 45-45 | C | An indication that an arrangement has been made with CBP's National Finance Center (NFC) to defer payment of Internal Revenue (IR) tax to be assessed on this Entry Summary, if any, to a periodic basis.<br><br>**1** = Conventional IR tax payment deferral has been arranged.<br>**2** = Electronic Funds Transfer (EFT) IR tax payment deferral has been arranged.<br><br>Space fill if not used, if no IR tax payment deferral has been arranged and/or if no IR tax applicable for this Entry Summary. | 2 |
| Trade Agreement Reconciliation Indicator | 1AN | 46-46 | C | An indication that certain issues (such as value, classification, etc.) are to be subject to a future 'reconciliation' under an eligible Trade Agreement.<br><br>**Y** = Issues to be subject to a future Trade Agreement reconciliation.<br><br>Space fill if not used; issues not subject to a future Trade Agreement reconciliation. | 2, 6 |

| *10-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Reconciliation Issue Code | 3AN | 47-49 | C | A code that identifies the specific issue(s) to be reconciled in the future.<br><br>**001** = Value.<br>**002** = Classification.<br>**003** = Chapter 9802.<br>**004** = Value & Classification.<br>**005** = Value and Chapter 9802.<br>**006** = Classification & Chapter 9802.<br>**007** = Value, Classification & Chapter 9802.<br><br>Space fill if not used. | 2, 6 |
| Filler | 1S | 50-50 | M | Space fill. | |
| Payment Type Code | 1AN | 51-51 | C | A code that specifies the intended payment method for the Entry Summary. If statement is the chosen method, the code further specifies the type of payment (Daily or Periodic) and how the system will batch the entry summaries for statement processing.<br><br>**1** = Individual payment (NOT on a statement).<br><br>**DAILY STATEMENT CODES**<br><br>**2** = Entry summary will be batched by preliminary statement print date and filer code.<br>**3** = Entry summary will be batched by preliminary statement print date, filer code, and full importer of record number.<br>**5** = Entry summary will be batched by preliminary statement print date, filer code, and importer of record number without suffix.<br><br>**PERIODIC MONTHLY STATEMENT CODES**<br><br>**6** = Entry summary will be batched by preliminary statement print date and filer code.<br>**7** = Entry summary will be batched by preliminary statement print date, filer code, and full importer of record number.<br><br>**8** = Entry summary will be batched by preliminary statement print date, filer | 2, 4 |

| *10-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| | | | | code, and importer of record number without suffix.<br><br>Note: If the entry summary includes a Statement Client Branch Identifier, after each of these actions, the system will subsequently batch by Statement Client Branch Identifier.<br><br>Space fill if statement fields not allowed. | |
| Preliminary Statement Print Date | 6D or 6S | 52-57 | C | The date that the Entry Summary is to appear on the Preliminary Statement.<br><br>Space fill if not on Statement or if statement fields not allowed. See Usage Note '(j) *Basic Article Classification and Tariff Considerations – Duty Rate Date Matrix Hierarchy'*. | 2, 4 |
| Periodic Statement Month | 2AN | 58-59 | C | The calendar month that the Entry Summary is accounted for on the Preliminary Periodic Monthly Statement. (MM Format).<br><br>Space fill if not on Periodic Monthly Statement or if statement fields not allowed. | 2, 4 |
| Statement Client Branch Identifier | 2AN | 60-61 | C | A Filer assigned code that further groups Entry Summaries on a statement.<br><br>Space fill if the participant does not use or if statement fields not allowed. | 2, 4 |
| Bond Waiver Reason Code | 3AN | 62-64 | C | When required, the specific reason that the bond has been waived per the 10-Record Bond Waiver Indicator claim.<br><br>See Usage Note '*(i) Bond & Surety Reporting'* for more information. See *'AE Table 4 – Bond Waiver Reason Codes'*. Space fill if not required/not reported. | 2 |

| *10-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Post Summary Correction Indicator | 1AN | 65-65 | C | An indication that the filing is a Post Summary Correction (PSC).<br><br>**Y** = Post Summary Correction.<br><br>See Usage Note '*(gg) Filing a Post Summary Correction'* for more information. Space fill if the filing is a conventional Entry Summary. | 2 |
| Accelerated Liquidation Request Indicator | 1AN | 66-66 | C | An indication that the filer/importer is requesting that CBP accelerate the liquidation for the Post Summary Correction.<br><br>**Y** = Accelerated Liquidation Requested.<br><br>See Usage Note '*(gg) Filing a Post Summary Correction'* for more information. Space fill if the filing is a conventional Entry Summary or if PSC accelerated liquidation is not requested. | 2 |
| Known Importer Indicator | 1AN | 67-67 | O | An indication that the Importer of Record reported in the 11-Record is a Known Importer.<br><br>Y = Importer of Record is a Known Importer.<br><br>Space fill if not used. | 2 |
| PGA Expedited Release Indicator | 1AN | 68-68 | C | An indication that the cargo referenced in this entry summary has been released via an expedited entry program (i.e., FAST, BRASS, or Rail Line Release) AND that the PGA dataset records required for the entry have been included in this submission.<br><br>Y = Expedited release / PGA data included in submission.<br><br>See Usage Note '*(dd) Articles Released Via an Expedited Release Program Subject to PGA Reporting'* for more information. Space fill if not used. | 2 |
| Filler | 12S | 69-80 | M | Space fill. | |

**Note 1**

The **A** (Add) and **R** (Replace) action can conditionally be used **interchangeably** to both create/establish a **new** Entry Summary and to update/correct an **existing** Entry Summary. See Usage Notes '*(a) Entry Summary Filing Actions'*, *'(b) Data Elements Required in Every Filing Scenario'*, and *'(c) Header/Totals Data Elements Required to Establish of Correct an Entry Summary'* for more information.

## Note 2

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

## Note 3

A shipment marked as 'personal' may be an indication that the goods are not specifically meant for an individual's use, but rather as an exemption from a visa reporting requirement.

## Note 4

See Usage Note '*(y) Payment Intent & Statements'* for more information. Statement fields are not allowed when correcting/amending an Entry Summary that has been 'returned' to the Filer after the initial Payment has been made (e.g., 'rejected' by an Import Specialist). All must be space fill; see Usage Note '*(y) Payment Intent & Statements – Correcting a 'Rejected' Entry Summary Once Payment Has Been Made'* for more information.

## Note 5

The results of the request for Cargo Release Certification shall be returned to the Filer in a separate EDI response.

## Note 6

See Usage Note '*(aa) Claiming Future Reconciliation'* for more information.

## Note 7

Note: To conform to the existing standards, a value of '**0**' is to be used (rather than the conventional '**Y**'.)

**Entry Summary Header Content (Input 11-Record)**

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

| ***11-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **11** | |
| Importer of Record Number | 12X | 3-14 | M | Identification of the U.S. party or other entity (individual or firm) liable for payment of all duties and meeting all statutory and regulatory requirements incurred as a result of importation. | 1 |
| Consignee Number | 12X | 15-26 | C | Identification of the U.S. party or other entity (individual or firm) on whose account the merchandise is shipped.<br><br>Space fill if not required/not reported<br>. | 1 |
| Designated Notify Party (4811) Number | 12X | 27-38 | C | Identification of the U.S. party or other entity (individual or firm) to whom refunds, bills, or notices of extension of suspension of liquidation are to be sent (if other than the Importer of Record).<br><br>Space fill if not used. | 1 |
| Filler | 3S | 39-41 | M | Space fill. | |
| Estimated Entry Date | 6D or 6S | 42-47 | C | Date that the Filer expects to enter the cargo for clearance.<br><br>Provide an estimated date of entry if certifying for cargo release processing from the entry summary or if the date is to be used to determine the relevant classification, fee, AD/CVD case, or bond applicability date and is not pre-empted by another date.<br><br>See Usage Notes (i) *Bond and Surety Reporting*, (j) *Basic Article Classification and Tariff Considerations – Duty Rate Date Matrix Hierarchy,* and (ff) *Articles Subject to Anti-Dumping / Countervailing Duty.*<br><br>Space fill if not used. | |

| *11-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Date of Importation | 6D or 6S | 48-53 | C | For merchandise arriving by Vessel, the date the vessel arrived within the limits of the U.S. Port of Arrival with the intent to unlade. For other transport modes, the date the merchandise arrived within the U.S. Port of Arrival.<br><br>Space fill if not used. | |
| Foreign Trade Zone Identifier | 7AN | 54-60 | C | For merchandise being entered from a Foreign Trade Zone, the identifier of the zone.<br><br>***Note*:** Only data elements relevant to types '01', '03', '11', '51', and '52' are supported at this time. Until entry type 06 is supported by ACE, this data element will not be accepted.<br><br>Space fill if not used. | 3 |
| U.S. State of Destination Code | 2AN | 61-62 | C | The code for the U.S. state, U.S. territory or U.S. possession where the merchandise is destined. Report a valid USPS State code.<br><br>Space fill if not required/not reported. | 2 |
| Filler | 18S | 63-80 | M | Space fill. | |

## Note 1

See Usage Note '*(f) Party Reporting'* for more information on Importer of Record, Consignee, and Designated Notify (4811) Party.

## Note 2

May be reported as **PR** (Puerto Rico) or **VI** (U.S. Virgin Islands).

## Note 3

Provide the Foreign Trade Zone Identifier according to the following format rules:

**Format: NNNXXNN or NNNXX**

Position 1-3: FTZ project number. (NNN – 3 digits).
Position 4-5: Subzone number or General Purpose Zone Acreage Site number. (XX – 2 alphanumeric characters).
Position 6-7: Subzone Site number (if applicable). (NN – 2 digits)

For all segments, specify leading zeroes as needed.

***Examples***:

| | |
|---|---|
| 0260A01 | FTZ 26, Subzone A, Subzone Site 01 |
| 02610 | FTZ 26, General Purpose Zone Acreage Site 10 |

**Correction Request Contact Detail (Input SE13 Record)**

The Correction Request Contact Detail contains information required for submitting a 'Replace' Certify from Summary transaction for ACE Cargo Release when the ACE Cargo Release transaction is already on file. Note: An ACE Cargo Release Entry type 06 FTZ transaction cannot be replaced.

This grouping is mandatory when:

- the data element *Summary Filing Action Request Code* in the 10-Record is set to '**R**'; and,
- the data element *Cargo Release Certification Request Indicator* in the 10-Record is set to '**A**'

This is a **mandatory** input record that provides data pertaining to contact information required when submitting a Replace ACE Cargo Release transaction.

| ***SE13 Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Must always equal SE13. | |
| Contact Name | 40AN | 5-44 | M | Contact Name for the Correction request | |
| Contact Phone | 15AN | 45-59 | M | Phone Number for the Correction request | |
| DIS indicator | 1N | 60 | O | Use "1" to indicate a Document Image System (DIS) submission has been made in support of the ACE Cargo Release Correction request<br><br>Space fill if no DIS submission has been made. | 1 |
| Filler | 20S | 61-80 | M | Space fill. | |

**Note 1**

The use of the DIS indicator denotes to CBP that the filer has submitted an electronic file or files in support of the Correction request.

**When the DIS indicator is reported in the SE13 record, the SE20 record is required with the Reference Identifier Qualifier code "DIS" (Filer-Defined DIS Reference Number).** This is a filer-assigned reference number to identify the DIS submission. This reference number should be unique for the associated entry number and should not be repeated for other DIS submissions for the same entry number, including for the entry summary and other post summary submissions. .

The DIS submission related to the Correction request:

- should be **transmitted *in advance of*** the submission of the Correction request
- should include the Filer-assigned [DIS] Reference number which links it to the specific Correction request.

For instructions on submitting electronic files to CBP via DIS, see the DIS Implementation Guide of the ACE ABI CATAIR.

See Appendix A to the ACE Cargo Release CATAIR document for instructions and format for submitting documentation electronically to CBP via e-mail for inclusion in the DIS repository.

***Please note that the e-mail alternative for submitting electronic documentation is meant only as an interim solution. CBP intends to sunset this e-mail alternative in lieu of EDI DIS at an as yet undetermined future date. All filers are encouraged to develop and make use of EDI DIS capabilities in conjunction with the ACE Cargo Release (SE) transaction.*

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

The 20-Record contains information regarding the physical cargo and is CONDITIONAL for an Entry Summary HEADER Grouping. The 20-Record may be reported one time per summary. If reported, a 20-Record MUST immediately follow the 11-Record (Entry Summary Content). Do NOT transmit if NOT required. A 20-Record is ALLOWED if the 10-Record Summary Filing Action Request Code is an **A** (Add) or **R** (Replace). A 20-Record is NOT ALLOWED if the 10-Record Summary Filing Action Request Code is a **D** (Delete). See Usage Note '*(g) Transportation Data Reporting'* for more information.

| ***20-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **20** | |
| Carrier Code | 4AN | 3-6 | C | The identification of the entity responsible for transporting the merchandise from the foreign port of lading to the first U.S. port of unlading. For vessel, rail or truck shipments: report the SCAC. For air shipments: report the IATA code. Left justify, space fill.<br><br>Space fill if not required/not reported. | 1 |
| District/Port of Unlading | 4AN | 7-10 | C | The code for the U.S. port where the merchandise is unladed from the importing conveyance.<br><br>Space fill if not required/not reported. | |
| Estimated Date of Arrival | 6D or 6S | 11-16 | C | Date that the merchandise arrived, or is expected to arrive, at the District/Port of Entry.<br><br>Space fill if not used. Provide an estimate if the date is to be used to determine the relevant classification date and is not pre-empted by another date. See Usage Note '(j) *Basic Article Classification and Tariff Considerations – Duty Rate Date Matrix Hierarchy'*. | |
| Location of Goods Code | 4AN | 17-20 | C | The Facilities Information and Resources Management System (FIRMS) code that identifies the known location of the merchandise at the time of filing.<br><br>Space fill if not required/not reported. | |
| Conveyance Name | 20X | 21-40 | C | For vessel shipments: the name of the vessel. Not required for a non-vessel shipment; a value is allowed, however (e.g., the name of the carrier). Left justify; trailing spaces.<br><br>Space fill if not required/ not reported. | |

| *20-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Vessel Code | 7AN | 41-47 | C | The Lloyd's code identifier of the importing vessel.<br><br>Space fill if not required/not reported. | |
| Designated Exam Port Code | 4AN | 48-51 | C | For a remotely filed Entry Summary, the code for the U.S. Port where cargo examination is to take place. The Designated Exam port must be the port nearest the cargo's final destination.<br><br>Space fill if not used. | |
| In-Bond/In-Transit Date | 6D or 6S | 52-57 | C | Date that the in-bond movement referenced by the In-Bond/In-Transit Number(s) took place.<br><br>Required if In-Bond/In-Transit Number reported in a Cargo Manifest Grouping. Space fill if not required. See Usage Note '(j) *Basic Article Classification and Tariff Considerations – Duty Rate Date Matrix Hierarchy'*. | |
| Filler | 23S | 58-80 | M | Space fill. | |

## Note 1

SCAC (Standard Carrier Alpha Code) as issued and maintained by the National Motor Freight Traffic Association (NMFTA). IATA code as issued and maintained by the International Air Transport Association (IATA).

**Identifying Trip Information (Input 21-Record)**

The 21-Record contains the identity of the 'trip' that moved the physical cargo and is CONDITIONAL for an Entry Summary HEADER Grouping. The 21-Record may be reported one time per summary. Do NOT transmit if NOT required. A 21-Record is ALLOWED if the 10-Record Summary Filing Action Request Code is an **A** (Add) or **R** (Replace). A 21-Record is NOT ALLOWED if the 10-Record Summary Filing Action Request Code is a **D** (Delete). See Usage Note '*(g) Transportation Data Reporting'* for more information.

| ***21-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **21** | |
| Trip Identifier | 5X | 3-7 | M | Carrier's identification of the trip/manifest. | |
| Filler | 73S | 8-80 | M | Space fill until expanded length fully supported. Reserved filler for future expansion of the Trip Identifier when fully ACE compatible. | |

**Cargo Manifest Grouping**

The Cargo Manifest Grouping contains information regarding a manifest and is CONDITIONAL for an Entry Summary HEADER Grouping. The Cargo Manifest Grouping may be reported up to 9,999 times per summary. ***Note***: 999 times per summary, until such time that the automated environment supports the larger groupings. Do NOT transmit if NOT required. The grouping is CONDITIONAL if the 10-Record Summary Filing Action Request Code is an **A** (Add) or **R** (Replace). The grouping is NOT ALLOWED if the 10-Record Summary Filing Action Request Code is a **D** (Delete). See Usage Note '*(g) Transportation Data Reporting'* for more information.

**Cargo Manifest Detail (Input 22-Record)**

The 22-Record contains information regarding a single bill-of-lading/in-bond/in-transit movement and is CONDITIONAL for an Entry Summary HEADER Grouping. The Cargo Manifest Detail (22-Record) is to be reported once per Cargo Manifest Grouping. See Usage Note '*(h) Reporting Cargo Manifest Detail'* for more information.

| ***22-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | Description | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **22** | |
| Manifested Quantity | 8(S)N | 3-10 | M | Total number of units manifested on the lowest bill level reported; total number of units that correspond to the Manifested Quantity Unit of Measure Code. | |
| Manifested Quantity Unit of Measure Code | 5X | 11-15 | M | A unit of measure code that corresponds to the manifested quantity.<br><br>Left justify; trailing spaces. | |
| Filler | 65S | 16-80 | M | Space fill. | |

**Bill of Lading/In-Bond Grouping**

The Bill of Lading/In-Bond Grouping contains information regarding a *single* bill-of-lading/ in-bond/in-transit movement *component* and is MANDATORY for a Cargo Manifest Grouping. The Bill of Lading/In-Bond Detail (23-Record) may be reported up to 4 times per Cargo Manifest Grouping. Up to four Bill of Lading/In-Bond Detail records, taken as a whole, identify a bill-of-lading, in-bond, or in-transit movement.

**Bill of Lading/In-Bond Detail (Input 23-Record)**

The 23-Record contains information regarding a *single* bill-of-lading or in-bond/in-transit movement *component* and at least *one* is MANDATORY for a Cargo Manifest Grouping. The Bill of Lading/In-Bond Detail (23-Record) may be repeated up to four times in a Cargo Manifest Grouping.

| ***23-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **23** | |
| Manifest Component Type Code | 1AN | 3-3 | M | The type of identifier reported in the Manifest Component Identifier data element.<br><br>**I** = In-Bond/In-Transit Number.<br>**M** = Master Bill Number.<br>**H** = House Bill Number.<br>**S** = Sub-House Bill Number. | 1 |
| Manifest Component Issuer Code | 4AN | 4-7 | C | A code that identifies the issuer of the manifest component.<br><br>Space fill if not required/not reported for component type. | |
| Manifest Component Identifier | 12X | 8-19 | M | The identifier of the manifest component. | |
| Filler | 38S | 20-57 | M | Space fill until expanded length fully supported. *Reserved filler for future expansion of the Manifest Component Identifier when fully ACE compatible.* | |
| Filler | 23S | 58-80 | M | Space fill. | |

## Note 1

The manifest components MUST be reported in the following Component Type Code order: **I**, **M**, **H**, **and S**.

**Conveyance Grouping**

The **Conveyance** Grouping provides conveyance data related to the bills of lading being entered on the ACE Cargo Release transaction.

**This record is used to provide data pertinent to an ACE Cargo Release filing, but not for an ACE Entry Summary filing.**

**This is a *Conditional* Grouping and *when applicable* for inclusion in the Cargo Release transaction, it may only be transmitted when certifying the entry summary for ACE Cargo Release processing (Cargo Release Certification Request indicator = A).**

**Conveyance Detail (Input SE16-Record)**

This is a ***conditional*** input record that provides data pertaining to the conveyance associated with the preceding bill of lading number. This is used when filing entry for less than the full manifested quantity for a bill of lading when the bill is a split shipment to indicate the quantity to be entered for each split part. This record is also used to report conveyance information for Non-AMS bills of lading, and for modes of transportation such as "Passenger, hand-carried" where there is no bill of lading reported on a cargo manifest.

For more information on use of the SE16 record, refer to the ACE Cargo Release (SE) chapter of the CATAIR.

| ***SE16-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Must always equal SE16. | |
| Carrier Code | 4AN | 5-8 | M | A code identifying the carrier. | |
| Voyage/Flight/Trip Manifest Number | 5X | 9-13 | M | The voyage/flight/trip number of the importing carrier. | |
| Date of Arrival | 6N | 14-19 | M | A numeric date in MMDDYY (month, day, and year) format representing the date of arrival. | |
| Quantity | 8N | 20-27 | M | The entered quantity associated with the bill of lading number being reported in the related SE15 record. It is the smallest exterior packaging unit. | 1 |
| Unit of Measure | 5X | 28-32 | O | The unit of measure corresponding to the bill of lading quantity. | |
| Conveyance Name | 20X | 33-52 | C | Name of the conveyance. | 2 |
| Filler | 28X | 53-80 | M | Space fill. | |

## Note 1

This is used to indicate the quantity to be entered for each split part.

## Note 2

When the *Mode of Transportation (MOT) Code* in the 10-Record is Pipeline (70) enter the name of the pipeline as the conveyance name.

Date of Arrival must be reported.

**Equipment Grouping**

The Equipment Grouping provides container/equipment data related to the merchandise being entered on the ACE Cargo Release transaction.

**Only transmit the Equipment Grouping (Input SE-17-Record) when certifying the entry summary for ACE Cargo Release processing (Cargo Release Certification Request indicator = A). This record is used to provide data pertinent to an ACE Cargo Release filing, but not for an ACE Entry Summary filing.**

**Equipment Detail (Input SE17-Record)**

This is an optional input record that provides data pertaining to the container or equipment associated with the preceding bill of lading number which holds the merchandise for which entry is being made.

| ***SE17-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Must always equal SE17. | |
| Equipment Number | 20AN | 5-24 | M | A valid container/equipment number associated with a bill of lading. This container/equipment number must reflect the number exactly as it physically appears on the container/equipment. | |
| Filler | 56X | 25-80 | M | Space fill. | |

**Warehouse Withdrawal Information (Input 30-Record)**

The 30-Record contains warehouse withdrawal information and is CONDITIONAL for an Entry Summary HEADER Grouping. The 30-Record may be reported one time per summary. Do NOT transmit if NOT required. A 30-Record is CONDITIONAL if the 10-Record Summary Filing Action Request Code is an **A** (Add) or **R** (Replace). A 30-Record is NOT ALLOWED if the 10-Record Summary Filing Action Request Code is a **D** (Delete). See Usage Note '*(bb) Warehouse, Re-Warehouse, & Warehouse Withdrawal Entry Summaries'* for more information.

***Note*:** Only records relevant to types '01', '03', '11', '51', and '52' are supported at this time. This record shall not be accepted.

| ***30-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **30** | |
| Associated Warehouse Entry Filer Code | 3AN | 3-5 | M | Filer's identification code of the associated Warehouse or Re-Warehouse Entry. | |
| Filler | 2S | 6-7 | M | Space fill. | |
| Associated Warehouse Entry Number | 8AN | 8-15 | M | Unique identifying number assigned to the associated Warehouse or Re-Warehouse Entry. | |
| Filler | 1S | 16-16 | M | Space fill. | |
| Associated Warehouse Entry District/Port Code | 4AN | 17-20 | M | The code for the U.S. port that where associated Warehouse or Re-Warehouse Entry entered. | |
| Final Warehouse Withdrawal Indicator | 1AN | 21-21 | C | An indication that the Warehouse Withdrawal is the final withdrawal for the Associated Warehouse or Re-Warehouse Entry.<br><br>**Y** = The final withdrawal.<br><br>Space fill if not the final withdrawal. | |
| Filler | 59S | 22-80 | M | Space fill. | |

**Bond Grouping**

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

See Usage Note '*(i) Bond & Surety Reporting*' for reporting/referencing of bond and Surety information covering conventional duty, taxes, and fees as well as well as any other coverage. A further discussion of what bond information is required for AD/CVD can be found in Usage Note '*(ff) Articles Subject to Anti-Dumping / Countervailing Duty*'.

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

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

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

| *31-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Continuous Bond Indicator | 1AN | 5-5 | C | An indication that the continuous bond cited here supersedes or is a substitute for the bond presented at time of entry.<br><br>**Y** = Continuous bond supersedes the bond presented at time of entry.<br>**S =** Substitution continuous bond replaces the bond presented at the time of entry.<br><br>Space fill if continuous yet not superseding, substitution, or if STB. | |
| Surety Company Code | 3AN | 6-8 | M | Identification of the Surety company that has underwritten the bond. | |
| Single Transaction Bond Amount | 10(S)N or 10S | 9-18 | C | STB coverage amount in whole U.S. dollars.<br><br>Space fill if continuous bond. | |
| Single Transaction Bond Producer Account Number | 10AN | 19-28 | O | The Surety Reference Number from CBP form 301 as assigned by the Surety company of the STB.<br><br>Left justified; trailing spaces. Space fill if continuous bond. | |
| Filler | 52S | 29-80 | M | Space Fill. | |

## Note 1

The bonds may be submitted in any order.

**Consolidated Release Grouping**

The Consolidated Release Grouping contains information regarding release information and is CONDITIONAL for an Entry Summary HEADER Grouping. The Release Detail (32-Record) may be reported up to 9,999 times per summary. ***Note***: 999 times per summary, until such time that the automated environment supports the larger groupings. Do NOT transmit if NOT required. The grouping is CONDITIONAL if the 10-Record Summary Filing Action Request Code is an **A** (Add) or **R** (Replace). The grouping is NOT ALLOWED if the 10-Record Summary Filing Action Request Code is a **D** (Delete). See Usage Note '*(z) Consolidating Releases Under One Entry Summary'* for more information.

**Release Detail (Input 32-Record)**

The 32-Record contains up to six Entry Numbers and is CONDITIONAL for an Entry Summary HEADER Grouping.

| ***32-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **32** | |
| Release Entry Filer Code (1) | 3AN | 3-5 | M | Filer's identification code of the Entry. | |
| Filler | 2S | 6-7 | M | Space fill. | |
| Release Entry Number (1) | 8AN | 8-15 | M | Unique identifying number assigned to the Entry. | |
| Release Entry Filer Code (2) | 3AN | 16-18 | C | An additional Entry (Filer's identification Code + unique number). | |
| Filler | 2S | 19-20 | | | |
| Release Entry Number (2) | 8AN or 8S | 21-28 | | Space fill if not used. | |
| Release Entry Filer Code (3) | 3AN | 29-31 | C | An additional Entry (Filer's identification Code + unique number). | |
| Filler | 2S | 32-33 | | | |
| Release Entry Number (3) | 8AN or 8S | 34-41 | | Space fill if not used. | |
| Release Entry Filer Code (4) | 3AN | 42-44 | C | An additional Entry (Filer's identification Code + unique number). | |
| Filler | 2S | 45-46 | | | |
| Release Entry Number (4) | 8AN or 8S | 47-54 | | Space fill if not used. | |
| Release Entry Filer Code (5) | 3AN | 55-57 | C | An additional Entry (Filer's identification Code + unique number). | |
| Filler | 2S | 58-59 | | | |
| Release Entry Number (5) | 8AN or 8S | 60-67 | | Space fill if not used. | |
| Release Entry Filer Code (6) | 3AN | 68-70 | C | An additional Entry (Filer's identification Code + unique number). | |
| Filler | 2S | 71-72 | | | |
| Release Entry Number (6) | 8AN or 8S | 73-80 | | Space fill if not used. | |

**Missing Document Information (Input 33-Record)**

The 33-Record contains information regarding one or more associated documents that are not available at the time of Entry Summary filing and is CONDITIONAL for an Entry Summary HEADER Grouping. The 33-Record may be reported one time per summary. Do NOT transmit if NOT required. A 33-Record is CONDITIONAL if the 10-Record Summary Filing Action Request Code is an **A** (Add) or **R** (Replace). A 33-Record is NOT ALLOWED if the 10-Record Summary Filing Action Request Code is a **D** (Delete).

| ***33-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **33** | |
| Missing Document Code (1) | 2AN | 3-4 | M | First missing document code or '**98**' (Other document not codified). | 1 |
| Missing Document Code (2) | 2AN | 5-6 | C | Second missing document code (if any), '**98**' (Other document not codified), or '**99**' (More than two documents missing).<br><br>Space fill if not used. | 1 |
| Filler | 74S | 7-80 | M | Space Fill. | |

## Note 1

See '*AE Table 7 – Missing Document Codes*' for a list of codes.

**Entry Summary Header Fees (Input 34-Record)**

The 34-Record contains Class Code and amount information for summary level user fees and is CONDITIONAL for an Entry Summary HEADER Grouping. The 34-Record may be reported one time per summary. Do NOT transmit if NOT required. A 34-Record is CONDITIONAL if the 10-Record Summary Filing Action Request Code is an **A** (Add) or **R** (Replace). A 34-Record is NOT ALLOWED if the 10-Record Summary Filing Action Request Code is a **D** (Delete).

| ***34-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **34** | |
| Accounting Class Code (1) | 3AN | 3-5 | M | CBP accounting classification code representing a specific fee type applicable for the summary as a whole. | 1, 2, 3 |
| Header Fee Amount (1) | 8(S)N | 6-13 | M | The applicable fee amount in U.S. dollars and cents that corresponds to Accounting Class Code (1).<br><br>Two decimal places are implied. | |
| Accounting Class Code (2) | 3AN | 14-16 | C | An additional header fee accounting classification code and applicable fee amount in U.S. dollars and cents.<br><br>Space fill if not used. | 1, 2, 3 |
| Header Fee Amount (2) | 8(S)N or 8S | 17-24 | C | | |
| Filler | 56S | 25-80 | M | Space fill. | |

## Note 1

See '*AE Table 6 – User Fee Accounting Class Codes*' for a list those codes supported at the Entry Summary header level. See Usage Notes '*(p) Dutiable Mail Fee'*, '*(q) Informal Entry Merchandise Processing Fee (MPF)'* and '*(r) Manual Entry Surcharge'* for more information.

## Note 2

The header fees may be reported in any Accounting Class order.

## Note 3

When reported, must also be reflected in the 89-Record Fee Total Detail.

**PSC Header Reasons (Input 35-Record)**

The 35-Record contains information regarding one or more reasons that the 'header' information is being changed in a Post Summary Correction filing and is CONDITIONAL for an Entry Summary HEADER Grouping. The 35-Record may be reported one time per summary. Do NOT transmit if NOT required. A 35-Record is CONDITIONAL if the 10-Record Summary Filing Action Request Code is an **A** (Add) or **R** (Replace) and the Post Summary Correction Indicator is a **Y** (PSC). A 35-Record is NOT ALLOWED if the 10-Record Summary Filing Action Request Code is a **D** (Delete) or the Post Summary Correction Indicator is a space. See Usage Note '*(gg) Filing a Post Summary Correction'* for more information.

| ***35-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **35** | |
| Post Summary Correction Header Reason Code (1) | 3AN | 3-5 | M | A code that identifies the reason that the submitted header data is being changed for a PSC. | 1, 2 |
| Post Summary Correction Header Reason Code (2) | 3AN | 6-8 | C | An additional header level PSC reason code.<br><br>Space fill if not used. | 1, 2 |
| Post Summary Correction Header Reason Code (3) | 3AN | 9-11 | C | An additional header level PSC reason code.<br><br>Space fill if not used. | 1, 2 |
| Post Summary Correction Header Reason Code (4) | 3AN | 12-14 | C | An additional header level PSC reason code.<br><br>Space fill if not used. | 1, 2 |
| Post Summary Correction Header Reason Code (5) | 3AN | 15-17 | C | An additional header level PSC reason code.<br><br>Space fill if not used. | 1, 2 |
| Filler | 63S | 18-80 | M | Space fill. | |

## Note 1

Reasons may be reported in any order.

## Note 2

See '*AE Table 14 – Post Summary Correction Header Reason Codes*'

**PSC Filing Explanation Grouping**

The PSC Filing Explanation contains a textual description of the submission reason for a Post Summary Correction filing and is CONDITIONAL for an Entry Summary HEADER Grouping. The grouping may be reported one time per summary. Do NOT transmit if NOT required. A PSC Filing Explanation Grouping is Mandatory if the 10-Record Summary Filing Action Request Code is an **A** (Add) or **R** (Replace) and the Post Summary Correction Indicator is a **Y** (PSC). A PSC Filing Explanation Grouping is NOT ALLOWED if the 10-Record Summary Filing Action Request Code is a **D** (Delete) or the Post Summary Correction Indicator is a space. See Usage Note *'(gg) Filing a Post Summary Correction'* for more information.

The PSC Filing Explanation (36-Record) may be reported up to 99 times per grouping.

**PSC Filing Explanation Record (Input 36-Record)**

The 36-Record contains a line of PSC Filing Explanation and is MANDATORY in the PSC Filing Explanation Grouping.

| ***36-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **36** | |
| PSC Filing Explanation Text | 75X | 3-77 | M | A text line of the PSC filing explanation.<br><br>Left justify. | |
| Filler | 3S | 78-80 | M | Space fill. | |

**Cargo Release Reference Data Grouping**

The Cargo Release Reference Data Grouping provides reference data pertinent to the processing of the ACE Cargo Release.

**Only transmit the Cargo Release Reference Data Grouping when certifying the entry summary for ACE Cargo Release processing (Cargo Release Certification Request indicator = A). This grouping is used to provide reference data pertinent to, or required for, an ACE Cargo Release filing, but not for an ACE Entry Summary filing.**

**Cargo Release Reference Data (Input SE20-Record)**

This is a conditional input record that provides reference data.

| ***SE20-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Must always equal **SE20**. | |
| Reference Identifier Qualifier | 3AN | 5-7 | M | Code that defines the Reference Identifier. | 1 |
| Reference Identifier | 50X | 8-57 | M | Reference data. | 1, 2, 3 |
| Filler | 23X | 58-80 | M | Space fill | |

## Note 1

Valid Reference Identifier Qualifier codes are:

| **Code** | **Description** |
|---|---|
| **EXP** | Express Consignment Shipment |
| **SSR *** | Split Shipment Release Election Code |
| **CES *** | Elected Exam Site (FIRMS) |
| **NAM*** | Non-AMS Bill(s) of Lading |

** This Reference Identifier Qualifier is unique to certifying for ACE Cargo Release from the entry summary.*

When the Reference Identifier Qualifier is **EXP**, the Reference Identifier must always be a "**Y**" to indicate that this entry filing is for an express consignment shipment. This is to be used only in cases where the entry processing is to take place in an established express consignment CBP sub-port of the locale's standard Port of Entry.

When the Reference Identifier Qualifier is **SSR**, the Reference Identifier (see Note 2 below) is a code representing the Importer's elected option for releasing the entry if there is a split shipment.

When the Reference Identifier Qualifier is **CES**, the Reference Identifier is the FIRMS Code (format: 4AN) of the Filer's preferred CES location if cargo needs to be examined.

## Note 2

Valid Split Shipment Release election Codes for the Reference Identifier data element are:

| **Code** | **Description** |
|---|---|
| 1 | Hold All - Release Entry when all cargo qualifies for release. |

2 Request Special Permit to release cargo incrementally under Immediate Delivery procedures. Entry date will be set to when the first portion of the split shipment is released.

## Note 3

When the Reference Identifier Qualifier is "NAM" (Non-AMS Indicator), the Reference Identifier must always be a "**Y**" to indicate that this entry filing is for one or more Bills of Lading which are not automated (i.e. not to be found in any CBP electronic manifest system).

This indicator **must** be submitted if the bill of lading in the 23-Record of the Entry Summary is not an automated bill.

This indicator applies to all bills of lading on the entry/entry summary. There cannot be a mix of AMS and Non-AMS bills of lading on the same Cargo Release transaction.

**Header Level Cargo Entity Grouping**

The Header Level Cargo Entity Grouping identifies a type of commercial entity.

**Only transmit the Header Level Cargo Entity Grouping when certifying the entry summary for ACE Cargo Release processing (Cargo Release Certification Request indicator = A). This grouping is used to report commercial entities which are required for an ACE Cargo Release filing, but not required for an ACE Entry Summary filing.**

The SE30, SE35, and SE36 records are used to report a party at the header level; the SE50, SE55, and SE56 records are used to report a party at the line level.

When reporting a commercial entity, the SE30, SE35 and SE36 records must be used if the Entity Qualifier in the SE30 record is equal to code SE (Seller), BY (Buyer)*, ST (Ship To Party)*, CS (Consolidator), or LG (Stuffing Location). The SE30 record identifies the entity being reported. The SE35 and SE36 records provide parsed fields for address and geographical location reporting to accommodate the various conventions found in the formats of non US addresses.

**Consignee (CN) is required at the line level; however, if all line items have the same Consignee, then that entity reporting is satisfied by the Consignee Number reported in the 11-Record of the AE and will be deemed to be associated to all line items.**

Use of Consignee Name and Address for low value Informal Shipments: If the Consignee is reported at the Header Level only, and the total merchandise value reported on the transaction is less than $2500.00, then the Consignee (CN) entity may be reported as Name and Address using the SE30-SE36 Records. Note: If reporting the Consignee by Name and Address, the Entity Identifier Qualifier and the Entity Identifier are not to be reported in the SE30 Record.

The Seller and Buyer entities are required at the header level, though may be reported at the line item if that allows for more accurate reporting. Ship to Party, Scheduled Container Stuffing Location and Consolidator entities are optional reporting elements (for Future Use with Certify from Summary for ACE Cargo Release: ISF Unified Filing) and may be reported at the header level, and apply to all line items, or at the line item if that allows for more accurate reporting.

> * BY (Buyer) and ST (Ship To Party) may be reported using an identifier in an importer of record number format. All the other parties are required to be reported using a name and address. Ship To Party is defined as: *Name and address of the first deliver-to party scheduled to physically receive the goods after the goods have been released from customs custody.* [19 CFR 149.3]

The ACE Cargo Release transaction mandates the reporting of SE (Seller) and BY (Buyer). When certifying the entry summary for ACE Cargo Release processing these entities must be provided at either the Header Level or the Line Level of the entry summary.

Each Entity Code may be reported a maximum of one time at the header level.

The entity may be reported at the header level only and will be deemed to be associated to all line items. The entity may be reported at the line item if that allows for more accurate reporting.

**Entity Name (Input SE30-Record)**

If the SE30 record contains the Entity code BY (Buyer) or ST (Ship To Party), the filer has the option of transmitting only the SE30 record with a valid Entity Identifier to report the commercial entity instead of the full name and address.

| ***SE30-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Always **SE30**. | |
| Entity Code | 3A | 5-7 | M | Code identifying the type of commercial entity being reported. | 1 |
| Entity Name | 35X | 8-42 | C | The name of the entity identified by the Entity Code. | |
| Entity Identifier Qualifier | 3X | 43-45 | C | This field must be used if the entity identifier is being supplied in lieu of name and address. | 2 |
| Entity Identifier | 20X | 46-65 | C | The code identified by the entity identifier qualifier. | 2 |
| Filler | 15X | 66-80 | M | This field is to be space filled | |

## Note 1

Only the following Entity Codes may be used in the Header Level Grouping:

| **Code** | **Description** |
|---|---|
| **CN** | Consignee *(The Entity Code of "CN" may only be used in the SE30 Record if reporting Consignee by entity Name and Address) |
| **SE** | Seller |
| **BY** | Buyer |
| **ST** | Ship To Party |
| **LG** | Scheduled Container Stuffing Location |
| **CS** | Consolidator |

## Note 2

Valid values for Entity Identifier Qualifier and Entity Identifier are:

| Qualifier | Description and Valid Entity Identifier Format |
|---|---|
| **EI** | Employer Identification Number (IRS #)<br>Valid format is: **NN-NNNNNNNXX**<br>This qualifier may only be used with Entity Codes **BY or ST** |
| **ANI** | CBP-assigned Number<br>Valid format is: **YYDDPP-NNNNN**<br>This qualifier may only be used with Entity Codes **BY or ST** |
| **34** | Social Security Number<br>Valid format is: **NNN-NN-NNNN**<br>This qualifier may only be used with Entity Codes **BY or ST** |

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

Use of the old CBP-assigned number (NNNN-NNNNN) expired July 1, 1992.

**Entity Address (Input SE35-Record)**

This is a conditional line-level record used to transmit lines of the entity's address data. Only either an Entity Name or an Entity Identifier can be provided for each SE30. If the SE30 record contains an Entity Name, then the SE35 and SE36 records must be used. If the SE30 record contains an Entity Identifier, then the SE35 and SE36 records are not used.

| ***SE35-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Always **SE35** | |
| Address Component Qualifier | 2AN | 5-6 | M | Address Component Qualifier describing the information in the Address Information data element | 1 |
| Address Information | 35X | 7-41 | M | Address Information corresponding to the Address Component Qualifier data element | |
| Address Component Qualifier | 2AN | 42-43 | O | Address Component Qualifier describing the information in the Address Information data element | 1 |
| Address Information | 35X | 44-78 | O | Address Information corresponding to the Address Component Qualifier | |
| Filler | 2X | 79-80 | M | Space fill | |

## Note 1

Valid Address Component Qualifiers:

| **Code** | **Description** |
|---|---|
| 01 | Street Number |
| 02 | Street Name |
| 05 | P.O. Box Number |
| 12 | Building Name |
| 13 | Apartment Number |
| 14 | Suite Number |
| 15 | Unstructured Street Address |
| 28 | Association Name |
| 30 | Pier |
| 31 | Wing |
| 32 | Floor Number |
| 35 | Room |
| 37 | Unit |
| 57 | Cross Street |
| AK | Building Number |

**Entity Geographic Area (Input SE36-Record)**

This is a conditional SE line-level record that provides data pertaining to the city, country, geographical sub entity code and postal code associated with the address of the entity reported in the SE30 record. Only either an Entity Name or an Entity Identifier can be provided for each SE30. If the SE30 record contains an Entity Name, then the SE35 and SE36 records must be used. If the SE30 record contains an Entity Identifier, then the SE35 and SE36 records are not used.

| ***SE36-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Always **SE36** | |
| City Name | 35X | 5-39 | M | The city portion of the address where the entity is located. | |
| Country Sub Entity Code | 3AN | 40-42 | C | ISO subdivision code. Space fill if not applicable.<br><br>A list of country codes and their subdivision codes may be found at: http://www.unece.org/cefact/locode/service/location.html | |
| Filler | 6X | 43-48 | M | Space fill | |
| Postal Code | 15X | 49-63 | C | Postal code (i.e. ZIP code in USA). Space fill if no postal code is available. | |
| Country Code | 2A | 64-65 | M | The International Standards Organization (ISO) country code representing the country portion of the address. A list of ISO country codes can be found in the ACS ABI CATAIR Appendix B. | |

**Entry Summary LINE ITEM Grouping**

The Entry Summary LINE ITEM Grouping contains information regarding a single article (or component of an article) and is CONDITIONAL for an Entry Summary TRANSACTION Grouping. The Line Item Header (40-Record) may be reported up to 99,999 times per summary. ***Note***: 998 times per summary, until such time that the automated environment supports the larger groupings. Do NOT transmit if NOT required. The grouping is MANDATORY if the 10-Record Summary Filing Action Request Code is an **A** (Add) or **R** (Replace). The grouping is NOT ALLOWED if the 10-Record Summary Filing Action Request Code is a **D** (Delete). See Usage Notes '*(d) Line Data Elements Required to Establish or Correct an Entry Summary'* and '*(j) Basic Article Classification and Tariff Considerations'* for more information.

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

The 40-Record contains information regarding a single article (or component of an article) and is MANDATORY for an Entry Summary LINE ITEM Grouping.

| ***40-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **40** | |
| Filler | 2S | 3-4 | M | Space fill until expanded length fully supported. Reserved filler for future expansion of the Line Item Identifier when fully ACE compatible. | |
| Line Item Identifier | 3X | 5-7 | M | The filer/transmitter's identity of the specific line item within an Entry Summary. | 1 |
| Article Set Indicator | 1AN | 8-8 | C | An indication that the Entry Summary Line Item is part of an article 'set' as defined by General Rules of Interpretation (GRI 3(b) and 3(c)) (i.e., a provision for the classification of mixtures, composite goods of different materials or made up of different components, and goods put up in sets for retail sale.)<br><br>'**X**' = The line item is the 'header' of an article set.<br>'**V**' = The line item is a component of an article set.<br><br>See Usage Note '*(k) Reporting Article Sets'* for more information. Space fill if the line item is NOT part of an article set. | |
| Country of Origin Code | 2X | 9-10 | M | The country from which the article originated.<br><br>Report standard ISO Country Code or '**' if the country of origin is not known. | |

| *40-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Country of Export Code | 2AN | 11-12 | C | The country from which the article was shipped to the U.S. having last been a part of the commerce of that country.<br><br>Report standard ISO Country Code. Space fill if not required/not reported. | 2 |
| Date of Exportation | 6D or 6S | 13-18 | C | The date that the exporting vessel departed the last port in the exporting country.<br><br>Space fill if not required/not reported. | |
| Date of Exportation (for Textiles) | 6D or 6S | 19-24 | C | For textile goods reported with a visa, the date the article was exported from the Country of Origin.<br><br>Space fill if not required/not reported. | |
| Trade Agreement/ Special Program Claim Code | 2AN | 25-26 | C | A code that specifies an applicable trade agreement or applicable program that may reduce or eliminate duty and/or MPF.<br><br>See '*AE Table 8 – Trade Agreement / Special Program Claim Codes*' for a list of codes. Space fill if not used. | |
| Charges Amount | 10(S)N | 27-36 | C | Aggregate cost (excluding duty) of freight, insurance, and other costs incurred, reported in whole U.S. dollars.<br><br>See Usage Note '*(v) Article Charges'* for more information. Report zeroes if not used. | |
| Foreign Port of Lading Code | 5AN | 37-41 | C | The code for the foreign port that the merchandise was laden onto the importing vessel. (See '*Schedule K – Classification of Foreign Ports by Geographic Trade Area and Country*'.)<br><br>Space fill if not required/not reported. | |
| Gross Shipping Weight | 10(S)N | 42-51 | C | Gross shipping weight of the article in kilograms. Weight to include packaging, but exclude carrier equipment (shipping container, etc.).<br><br>Report zeroes if not used. | |

| *40-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Category Code (for Textiles) | 3N or 3S | 52-54 | C | A code that further categorizes textiles and fabrics as related to a quota or visa as classified by the U.S. Textile and Apparel Category System. **Report the actual category code**; the following is for informational purposes only.<br><br>**200** series are of cotton and/or manmade fiber.<br>**300** series are of cotton.<br>**400** series are of wool.<br>**600** series are of manmade fiber.<br>**700** series are of silk.<br>**800** series are of silk blends or non-cotton vegetable fibers.<br><br>Space fill if not used. | |
| Product Claim Code | 1AN | 55-55 | C | A code that further identifies a product. The code may exempt a visa reporting requirement.<br><br>**F** = A 'folklore product' (hand-loomed fabric, hand-made articles made of hand-loomed fabric and traditional products of the cottage industry).<br>**G =** A 'made to measure' suit of Hong Kong origin. The Category Codes associated with suits are 443, 444, 643, 644, 843 and 844.<br>**H** = Certain garments in chapter 61 or 62 of the HTS which may be eligible for entry under a special access program.<br>**M** = A textile fashion sample.<br><br>Space fill if not used. | |
| Related Party Indicator | 1AN | 56-56 | C | An indication that the transaction is between parties as defined in Section 402(g)(1) of the Tariff Act of 1930, amended.<br><br>**Y** = Yes; Companies related.<br>**N** = No; Companies NOT related.<br><br>Space fill if not required/not reported. | 3 |

| *40-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| NAFTA Net Cost Indicator | 1AN | 57-57 | C | An indication that the determination of NAFTA origin material used in the article conforms to the 'net cost' (average) method.<br><br>**Y** = Yes; NAFTA net cost determination applies.<br><br>Space fill if not specified; NAFTA net cost determination does not apply. | |
| Fee Exemption Code | 1AN | 58-58 | C | An indication that the article is exempt from a specific fee.<br><br>**1** = Cotton (056) fee exempt for the cotton article.<br><br>**2** = Other agriculture fee exempt; Importer has obtained an organic product exemption certificate from the Department of Agriculture***.***<br>***(Note: The preferred alternative to this method of organic exemption is to specify '22' as a License / Certificate / Permit Type Code in the input 52-Record. The use of a Fee Exemption Code of '2' in the 40-Record will be discontinued in a future release TBD.)***<br><br>Space fill if not required/not reported. | 4 |
| Filler | 1S | 59-59 | M | Space fill.<br>. | |

| *40-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| AD/CVD Non-Reimbursement Statement | 1AN | 60-60 | C | For AD/CVD entries, the Importer's disclosure statement.<br><br>**Y =** "I hereby certify that I have not entered into any agreement or understanding for the payment or for the refunding to me, by the manufacturer, producer, seller, or exporter, of all or any part of the antidumping duties or countervailing duties assessed upon merchandise entered under this AD/CVD line of this entry summary. I further certify that U.S. Customs and Border Protection will be notified if there is any reimbursement of antidumping or countervailing duties by the manufacturer, producer, seller, or exporter to the importing company at any time in the future for this AD/CVD line."<br><br>Space fill if not an AD/CVD entry type or if an AD/CVD entry type, yet a case has not been reported on this line.<br>Space fill if no declaration is made. | |
| Filler | 20S | 61-80 | M | Space fill. | |

## Note 1

The Line Item Identifier may be any value (except an asterisk "*****"), yet must be unique within the Entry Summary (i.e., there can be no duplicate identifiers within a single Entry Summary). While it is most common to 'number' the lines starting with 1 and ascending by +1 thereafter, this convention is not enforced. The value is returned, unchanged, in an output response when a data element at the line item level has caused or contributed to a fatal, Census warning, or informational notice condition. The Line Item Identifier submitted here is the value that must be used in the 'standalone' Census Warning Override transaction to identify an Entry Summary line.

## Note 2

Must be reported if the corresponding 40-Record Country of Origin Code has been reported as '******' (unknown).

## Note 3

Related Party as defined in Section 402(g) (1) of the Tariff Act of 1930, as amended, includes Transactions between parties with various types of relationships including "...Any person directly or indirectly owning, controlling, or holding with power to vote, 6 percent of more of the outstanding voting stock or shares of any organization...". Furthermore, to conform with policy and previous directives, a specific claim of "**N =** No" is to be used when companies are NOT related.

## Note 4

Refer to Administrative Message 04-002257 for description of the organic certificate number process.

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

The 41-Record contains information required for FTZ reporting. The 41-Record is CONDITIONAL for an Entry Summary LINE ITEM Grouping. The 41-Record may be reported one time per line item. Do not submit if not required.

***Note*:** Only records relevant to entry types '01', '03', '11', '51', and '52' are supported at this time. Until entry type 06 is supported by ACE, this is record shall not be accepted.

| ***41-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **41** | |
| FTZ Merchandise Status Code | 1AN | 3-3 | M | An indication as to the 'status' of the FTZ merchandise:<br><br>**P** = Privileged Foreign<br>**N** = Non-Privileged Foreign<br>**D** = Domestic | |
| Privileged FTZ Merchandise Filing Date | 6D or 6S | 4-9 | C | For Privileged Foreign (i.e., that merchandise that has not been manipulated or manufactured so as to effect a change in tariff), the date the merchandise entered the zone.<br><br>Space fill if NOT Privileged Foreign. See Usage Note '(j) *Basic Article Classification and Tariff Considerations – Duty Rate Date Matrix Hierarchy'*. | |
| FTZ Line Item Quantity | 10N | 10-19 | M | Quantity of units removed from the FTZ and entered into the commerce of the U.S.<br><br>Report a value greater than zero in whole units. | |
| Filler | 61S | 20-80 | M | Space fill. | |

**Invoice/Ruling/Description Configurations**

Invoice and classification ruling information is conditionally required in an electronic Entry Summary filing. Depending upon the intent of the filer, one of two similar configurations of data can be submitted. See Usage Note *'(t) Electronic Invoice Processing (EIP) Program Reporting Requirements*' and '*(u) Non-EIP Program Classification Ruling Reporting*' for more information.

**EIP Invoice Grouping**

The EIP Invoice Grouping contains information regarding invoice and classification ruling information and is MANDATORY for an Entry Summary LINE ITEM Grouping when an EIP claim has been made (i.e., 10-Record Electronic Invoice Indicator = 'Y'). The EIP Invoice Grouping may be reported up to 9,999 times per Line Item. ***Note***: 999 times per Line Item, until such time that the automated environment supports the larger groupings.

**Non-EIP Rulings/Description Grouping**

The Non-EIP Rulings/Description Grouping contains information regarding invoice and classification ruling information and is CONDITIONAL for an Entry Summary LINE ITEM Grouping when an EIP claim has NOT been made (i.e., 10-Record Electronic Invoice Indicator NOT = 'Y'). The Non-EIP Rulings/Description Grouping may be reported only one time per Line Item.

**Invoice Line Reference Detail (Input 42-Record)**

The 42-Record contains information regarding the supplier and invoice 'line range' and is MANDATORY for an EIP Invoice Grouping. This record cross-references an invoice line or group of invoice lines to the Entry Summary line item of which it is a part. This record is mandatory when a **Y** has been reported in the Electronic Invoice Indicator in the 10-Record. This record is repeated as often as necessary to account for all of the invoices and invoice lines that comprise the Entry Summary line. Do NOT transmit if NOT required.

See Usage Note '*(t) Electronic Invoice Processing (EIP) Program Reporting Requirements*' for new EIP restrictions and information concerning the status/future of the Automated Invoice Interface (AII) program and the current requirements for its use.

| ***42-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **42** | |
| Supplier ID Code | 15AN | 3-17 | M | A code identifying the supplier. Refer to CBP Directive 3500-13 of November 24, 1986, for complete instructions on determining this code. | |
| Invoice Number | 17X | 18-34 | M | The invoice number as issued by the Supplier. (Use alphanumeric and dash ['-'] only.) | |
| Filler | 1S | 35-35 | M | Space fill. Reserved filler for future expansion of the beginning Invoice Line Number. | |
| Invoice Line Range 1 - Begin | 4(S)N | 36-39 | M | The first invoice line number that references the article. | |
| Filler | 1S | 40-40 | M | Space fill. Reserved filler for future expansion of the ending Invoice Line Number. | |
| Invoice Line Range 1 - End | 4(S)N | 41-44 | M | The ending invoice line number that references the article if a contiguous range of numbers is needed. If only a single line number is needed to specify the reference, repeat the beginning line number. | |
| Filler | 1S | 45-45 | M | An additional contiguous line number range that references the article.<br><br>Space fill if not used. | |
| Invoice Line Range 2 - Begin | 4(S)N or 4S | 46-49 | C | | |
| Filler | 1S | 50-50 | M | | |
| Invoice Line Range 2 - End | 4(S)N or 4S | 51-54 | C | | |
| Filler | 1S | 55-55 | M | An additional contiguous line number range that references the article.<br><br>Space fill if not used. | |
| Invoice Line Range 3 - Begin | 4(S)N or 4S | 56-59 | C | | |
| Filler | 1S | 60-60 | M | | |
| Invoice Line Range 3 - End | 4(S)N or 4S | 61-64 | C | | |
| Filler | 1S | 65-65 | M | An additional contiguous line number range that references the article.<br><br>Space fill if not used. | |
| Invoice Line Range 4 - Begin | 4(S)N or 4S | 66-69 | C | | |
| Filler | 1S | 70-70 | M | | |

| *42-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Invoice Line Range 4 - End | 4(S)N or 4S | 71-74 | C | | |
| Filler | 6S | 75-80 | M | Space fill. | |

**Ruling Detail (Input 43-Record)**

The 43-Record contains information to identify an administrative ruling number (ruling number, pre-classification number, or pre-approval number) and is CONDITIONAL for BOTH an EIP Invoice and a Non-EIP Rulings/Description Grouping.

| ***43-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **43** | |
| Ruling Type Code | 1AN | 3-3 | M | An indication as to the type of information provided in the record:<br><br>**C** = A Pre-Classification number, specifically citing the Importer and merchandise, is provided in the Ruling Number.<br>**P** = A Pre-Approval number, specifically citing the Importer and merchandise, is provided in the Ruling Number.<br>**R** = A Binding Ruling number is provided in the Ruling Number. | |
| Filler | 5S | 4-8 | M | Space fill. Reserved filler for future expansion of the Ruling Number. | |
| Ruling Number | 6AN | 9-14 | C | The administrative number assigned by CBP to a binding ruling or a ruling under the pre-importation review program (PIRP).<br><br>Left justify, space fill. | |
| Filler | 66S | 15-80 | M | Space fill. | |

**Commercial Description Grouping**

The Commercial Description Grouping contains information regarding the invoice and is CONDITIONAL for BOTH an EIP Invoice and a Non-EIP Rulings/Description Grouping. The Commercial Description (44-Record) may be reported up to 999 times per grouping.

**Commercial Description (Input 44-Record)**

The 44-Record contains commercial description details of the article and is MANDATORY in the Commercial Description Grouping.

| ***44-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **44** | |
| Commercial Description Text | 70X | 3-72 | M | The commercial description as provided on the invoice line.<br><br>Broad, generalized language is unacceptable, as are tariff descriptions. Complete commercial terminology, in the English language, is mandatory.<br><br>Left justify. | |
| Filler | 8S | 73-80 | M | Space fill. | |

**Article Party Grouping**

The Article Party Grouping contains party identifiers relevant to the article and is CONDITIONAL for an Entry Summary LINE ITEM Grouping. The Article Party (47-Record) may be reported up to four times per Line Item. See Usage Note '*(f) Party Reporting'* for more information on Manufacture/Supplier, Delivered To Party, Sold To Party, and Foreign Exporter.

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

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

| ***47-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **47** | |
| Article Party Type Code | 1AN | 3-3 | M | The type of Party reported in the Article Party Identifier:<br><br>**M** = Manufacturer/Supplier<br>**C** = Delivered To Party<br>**S** = Sold To Party<br>**E** = Foreign Exporter | 1 |
| Article Party Identifier | 15AN | 4-18 | M | The identifying code of the party.<br><br>Required when Type Code = **M**:<br><br>Manufacturer / Supplier Code.<br><br>Identification of the manufacturer/supplier. See CBP Directive 3500-13 (November 1986) for algorithm directions.<br><br>When reported, left justify, space fill.<br><br>Required when Type Code = **C**:<br><br>Delivered To Party Identifier.<br><br>The U.S. party or other entity (individual or firm) identified as the first delivered-to party scheduled to physically receive the merchandise after released from CBP custody.<br><br>When reported, the identifier can be no longer than 12 characters. Positions 16-18 must be space fill.<br><br>When reported, left justify, space fill. | 2 |

| *47-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| | | | | Required when Type Code = **S**:<br><br>Sold To Party Identifier.<br><br>Identification of the U.S. party or other entity to whom the imported merchandise was sold or agreed to be sold.<br><br>When reported, identifier can be no longer than 12 characters. Positions 16-18 must be space fill.<br><br>Required when Type Code = **E**<br><br>Foreign Exporter Code.<br><br>Identification of the foreign exporter. See CBP Directive 3500-13 (November 1986) for algorithm directions.<br><br>When reported, left justify, space fill. | |
| Filler | 62S | 19-80 | M | Space fill. | |

## Note 1

Article parties may be reported in any order.

## Note 2

See Usage Note (f) Party Reporting for formatting and article level reporting rules. In addition, see Usage Note (ff) Articles Subject to Anti-Dumping / Countervailing Duty for more information concerning AD/CVD article level reporting rules.

**Line Level Cargo Entity Grouping**

The Line Level Cargo Entity Grouping identifies a type of commercial entity.

**Only transmit the Line Level Cargo Entity Grouping when certifying the entry summary for ACE Cargo Release processing (Cargo Release Certification Request indicator = A). This grouping is used to report commercial entities which are required for an ACE Cargo Release filing, but not required for an ACE Entry Summary filing.**

This is a conditional line-level record that identifies the type of commercial entity whose identity is being reported as associated with the preceding 40-Record of the AE.

When reporting a commercial entity name and address, the SE50, SE55 and SE56 records must be used if the Entity Code in the SE50-Record is equal to code MF (Manufacturer), SE (Seller), CS (Consolidator), or LG (Stuffing Location). The SE50 record identifies the entity being reported. The SE55 and SE56 records provide parsed fields for address and geographical location reporting to accommodate the various conventions found in the formats of non US addresses.

If the SE50-Record contains the Entity Code BY (Buyer) or ST (Ship To Party), the filer may choose to provide only the Entity Identifier. In this case, only the SE50-Record is used to report the commercial entity, while records SE55 and SE56 are not used. Otherwise, the filer must report the commercial entity name and address by providing the SE50, SE55, and SE56 records as described above.

**Entity Name (Input SE50-Record)**

If the SE50-Record contains the Entity Code CN (Consignee), the Entity Identifier must be provided. In this case, only the SE50-Record is used to report the commercial entity, while records SE55 and SE56 records are not used.

Use of Consignee Name and Address for low value Informal Shipments: If the Consignee is reported at the Line Level, the total merchandise value reported for all HTS Lines on the transaction where the specific business entity is reported as must be less than $2500.00 in order to report Name and Address for the Consignee (CN). To report the Consignee by Name and Address, the SE50-SE56 Records must be used. Note: If reporting the Consignee by Name and Address, the Entity Identifier Qualifier and the Entity Identifier are not to be reported in the SE50 Record.

| ***SE50-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Always **SE50**. | |
| Entity Code | 3A | 5-7 | M | Code identifying the type of commercial entity being reported. | 1 |
| Entity Name | 35X | 8-42 | C | The name of the entity identified by the Entity Code. | |
| Entity Identifier Qualifier | 3X | 43-45 | C | This field must be used if the entity identifier is being supplied in lieu of name and address. This field is mandatory if the entity code is CN.<br><br>This field is mandatory if the Entity Code is CN unless the total shipment value for the individual Consignee is < $2500.00. | 3 |

| ***SE50-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Entity Identifier | 20X | 46-65 | C | The code identified by the entity identifier qualifier. This field is mandatory if the entity code is CN.<br><br>This field is mandatory if the Entity Code is CN unless the total shipment value for the individual Consignee is < $2500.00. | 3 |
| Filler | 15X | 66-80 | M | This field is to be space filled | |

## Note 1

Only the following Entity Codes may be used in the Line Item Level Grouping:

| Commercial Entity | Desig | Entity Code | Entity Identifier | | Entity Name & Address | | From existing ACE Entry Summary Data | | Note |
|---|---|---|---|---|---|---|---|---|---|
| Manufacturer | M | MF | | | SE50-SE56 Grouping | | | | |
| Seller | M | SE | | | SE50-SE56 Grouping | | | | |
| Buyer | M | BY | SE50 only | or | SE50-SE56 Grouping | OR | 47-Record of the AE Article Party Code = S (Sold To Party) | 47-Record of the AE, Article Party Identifier | 2 |
| Ship To Party | O | ST | SE50 only | or | SE50-SE56 Grouping | OR | 47-Record of the AE Article Party Code = C (Delivered To Party) | 47-Record of the AE, Article Party Identifier | 2 |
| Scheduled Container Stuffing Location | O | LG | | | SE50-SE56 Grouping | | | | |
| Consolidator | O | CS | | | SE50-SE56 Grouping | | | | |
| Consignee | M | CN | SE50 only | or | SE50-SE56 Grouping | | | | |

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

Each Entity Code may be reported a maximum of one time per Line Item (40-Record of the AE).

With the exception of Importer of Record which is reported in the 11-Record of the AE, and the Manufacturer which is reported in the SE50-Record to SE56-Record of the AE, all other required parties can be reported at the header or line level. The SE30, SE35, and SE36 records are used to report a party at the header level; the SE50, SE55, and SE56 records are used to report a party at the line level. The Seller and Buyer entities are required at the header level, though may be reported at the line item if that allows for more accurate reporting. Ship to Party, Scheduled Container Stuffing Location and Consolidator entities are optional reporting elements (for Future Use with Certify from Summary for ACE Cargo Release: ISF Unified Filing) and may be reported at the header level, and apply to all line items, or at the line item if that allows for more accurate reporting.

**Consignee (CN) is required at the line item level; however, if all line items have the same Consignee, then that entity reporting is satisfied by the Consignee Number reported in the 11-Record of the AE and will be deemed to be associated to all line items.** If Consignee (CN) is reported at the line item level in the SE50-Record, an entity identifier in an importer of record number format is reported. Consignee is defined as the individual or firm in the United States on whose account the merchandise is shipped.

**PLEASE NOTE: Manufacturer** is required at the line level. The Manufacturer entity reporting on the 47-Record of the AE is the Article Party Identifier when Article Party Code is equal to "M". Manufacturer (MF) may be reported a maximum of one time per Line Item (SE40-Record) in the ACE Cargo Release transaction. A Cargo Grouping SE50-SE56 for the commercial entity "MF" must be submitted, and must match the full name and address used for the MID algorithm submitted in the corresponding AE 47-Record.

Seller, Scheduled Container Stuffing Location, and Consolidator parties are required to be reported using a name and address.

## Note 2

**Buyer** and **Ship To Party** may either be reported using an entity identifier in an importer of record number format (SE50-Record only) or reported using a name and address (SE50 to SE56 grouping).

**PLEASE NOTE: If the 47-Record in the AE, Article Party Code "C" (Delivered To Party), and/or "S" (Sold To Party) is present in the ACE Entry Summary transaction, these parties will be automatically converted by the certify from summary to ACE Cargo Release code for the commercial entities Ship To Party and Buyer respectively. Since each Entity Code may be reported a maximum of one time per Line Item (SE40-Record) in the ACE Cargo Release transaction, the additional submission of a Cargo Grouping SE50-SE56 for these commercial entities will cause the ACE Cargo Release transaction to Reject, while barring any other issues the ACE Entry Summary transaction may be accepted for processing.**

## Note 3

Valid values for Entity Identifier Qualifier and Entity Identifier are:

| Qualifier | Description and Valid Entity Identifier Format |
|---|---|
| **EI** | Employer Identification Number (IRS #)<br>Valid format is: **NN-NNNNNNNXX**<br>This qualifier may only be used with Entity Codes **BY, ST,** or **CN** |
| **ANI** | CBP-assigned Number<br>Valid format is: **YYDDPP-NNNNN**<br>This qualifier may only be used with Entity Codes **BY, ST,** or **CN** |
| **34** | Social Security Number<br>Valid format is: **NNN-NN-NNNN**<br>This qualifier may only be used with Entity Codes **BY, ST,** or **CN** |

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

Use of CBP-created Encrypted Number [Format: -**CCCCCCCCCCC]** for Consignee is not accommodated for the SE transaction at this time.

**Entity Address (Input SE55-Record)**

This is a conditional line-level record used to transmit lines of the entity's address data. Only either an Entity Name or an Entity Identifier can be provided for each SE50. If the SE50-Record contains an Entity Name, then the SE55 and SE56 records must be used. If the SE50-Record contains an Entity Identifier, then the SE55 and SE56 records are not used.

| ***SE55-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Always **SE55** | |
| Address Component Qualifier | 2AN | 5-6 | M | Address Component Qualifier describing the information in the Address Information data element | 1 |
| Address Information | 35X | 7-41 | M | Address Information corresponding to the Address Component Qualifier data element | |
| Address Component Qualifier | 2AN | 42-43 | O | Address Component Qualifier describing the information in the Address Information data element | 1 |
| Address Information | 35X | 44-78 | O | Address Information corresponding to the Address Component Qualifier | |
| Filler | 2X | 79-80 | M | Space fill | |

## Note 1

Valid Address Component Qualifiers:

| **Code** | **Description** |
|---|---|
| 01 | Street Number |
| 02 | Street Name |
| 05 | P.O. Box Number |
| 12 | Building Name |
| 13 | Apartment Number |
| 14 | Suite Number |
| 15 | Unstructured Street Address |
| 28 | Association Name |
| 30 | Pier |
| 31 | Wing |
| 32 | Floor Number |
| 35 | Room |
| 37 | Unit |
| 57 | Cross Street |
| AK | Building Number |

**Entity Geographic Area (Input SE56-Record)**

This is a conditional SE line-level record that provides data pertaining to the city, country, geographical sub entity code and postal code associated with the address of the entity reported in the SE50-Record. Only either an Entity Name or an Entity Identifier can be provided for each SE50. If the SE50-Record contains an Entity Name, then the SE55 and SE56 records must be used. If the SE50-Record contains an Entity Identifier, then the SE55 and SE56 records are not used.

| ***SE56-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Always **SE56** | |
| City Name | 35X | 5-39 | M | The city portion of the address where the entity is located. | |
| Country Sub Entity Code | 3AN | 40-42 | C | ISO subdivision code. Space fill if not applicable.<br><br>A list of country codes and their subdivision codes may be found at: http://www.unece.org/cefact/locode/service/location.html | |
| Filler | 6X | 43-48 | M | Space fill | |
| Postal Code | 15X | 49-63 | C | Postal code (i.e. ZIP code in USA). Space fill if no postal code is available. | |
| Country Code | 2A | 64-65 | M | The International Standards Organization (ISO) country code representing the country portion of the address. A list of ISO country codes can be found in the ACS ABI CATAIR Appendix B. | |

**Tariff Grouping**

The Tariff Grouping contains classification information of the article and is MANDATORY for an Entry Summary LINE ITEM Grouping. The Tariff/Value/Quantity Detail (50-Record) may be reported up to 8 times per Line Item. See Usage Note '*(j) Basic Article Classification and Tariff Considerations'* for more information.

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

The 50-Record contains value, quantity, and duty information for a single tariff classification and is MANDATORY for a Tariff Grouping.

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

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

**Note 1**

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

**FTZ Privileged Foreign Status Add'l Detail (Input SE61 Record)**

The FTZ Privileged Foreign Status Add'l Detail is conditional and contains information required for FTZ reporting when the zone merchandise is in Privileged Foreign status (Preceding 41-Record) and the HTS reported in the preceding Tariff/Value/Quantity Detail (50-Record) is no longer an active HTS number.

The SE61 record may be reported only once per Tariff/Value/Quantity Detail (Input 50-Record).

The SE61 record is reported only when:

- Privileged Foreign status is declared in the preceding 41-Record; and,
- the associated HTS declared in the preceding 50-Record is no longer an active HTS number.

The SE61 record is used only for Entry Type 06 FTZ. Do not submit if not required.

The SE61 record is conditional for Entry Type 06 FTZ.

| SE61 Record Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Must always equal SE61. | |
| Current HTS Number for PF Status Merchandise | 10AN | 5-14 | M | The current Harmonized Tariff Schedule number that fully or partially describes/classifies the article.<br><br>Report the full 10-digit classification number. | 1 |
| Filler | 66S | 15-80 | M | Space fill. | |

## Note 1

This data element will be used for the purpose of identifying current PGA flagging for the merchandise being entered into the Commerce.

The duty rate and statistical reporting requirements for the HTS number reported in this data field will not be used for entry summary reporting or duty calculation purposes.

**PGA Grouping**

The PGA Grouping contains 'form' data relevant to another agency and is CONDITIONAL for a Tariff/Value/Quantity Detail.

**PGA Disclaimer (Input OA-Record)**

The OA-Record contains a list of those agencies whose form data has been determined not required by the Filer.

| ***OA-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **OA** | |
| Filler | 2S | 3-4 | M | Space fill. | |
| PGA Form Disclaimer Code (1) | 3AN | 5-7 | M | A code that indicates an agency's form data is not required and has not been submitted.<br><br>'**FC0**' = Federal Communications Commission Form 740 does not apply.<br>'**FD0**' = Food and Drug Administration regulation does not apply.<br>'**DT0**' = Department of Transportation HS-7 record does not apply. | 1 |
| PGA Form Disclaimer Code (2) | 3AN or 3S | 8-10 | C | An additional agency form disclaimer. | 1 |
| PGA Form Disclaimer Code (3) | 3AN or 3S | 11-13 | C | An additional agency form disclaimer. | 1 |
| Filler | 72S | 14-80 | M | Space fill. | |

## Note 1

The PGA Form Disclaimer Codes may be reported in any order.

**PGA Invoice Description (Input OI-Record)**

The OI-Record contains the article's description found on the commercial invoice.

| ***OI-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **OI** | |
| Filler | 8S | 3-10 | M | Space fill. | |
| Commercial Description Text | 70AN | 11-80 | M | The commercial description as provided on the invoice line; reported per the other agency's instruction.<br><br>Broad, generalized language is unacceptable, as are tariff descriptions. Complete commercial terminology, in the English language, is mandatory.<br><br>Left justify. | |

**FCC Grouping**

The FCC Grouping contains the Federal Communications Commission form 740 information (Statement Regarding the Importation of Radio Frequency Devices Capable of Causing Harmful Interference) when required for merchandise identified as containing radio frequency devices and is CONDITIONAL for a Tariff/Value/Quantity Detail. The 740 Header/740 Continuation (FC01-, FC02-Records) may be reported up to 999 times per Tariff/Value/Quantity Detail.

**740 Header (Input FC01-Record)**

The FC01-Record contains FCC form 740 information and is MANDATORY for an FCC Grouping.

| ***FC01-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Always **FC01** | |
| Import Condition Code | 2AN | 5-6 | M | A code, assigned by FCC, which describes the intended use of the importation.<br><br>See '*AE Table 12 – FCC Import Condition Codes*' for a list of codes. | |
| Prior Approval Quantity Indicator | 1A or 1S | 7-7 | C | An indication that prior approval has been granted by FCC to import more than 200 units when the Import Condition has been declared as '03'.<br><br>**Y** = Prior approval granted by FCC.<br><br>Space fill if not used; prior approval not granted by FCC. | |
| FCC Line Item Number | 3N | 8-10 | M | Relative 'line' number of the FCC form (within the Tariff/Value/Quantity Detail). Start with 001 and ascend by +1 thereafter. | |
| FCC Identifier Code | 17X | 11-27 | C | The article's identifying code assigned by FCC. Required when the Import Condition Code is '01'.<br><br>Left justify; include hyphens. | |
| Trade Name Text | 30X | 28-57 | M | The trading name of the product.<br><br>Left justify. | |
| Model/Type Number | 17X | 58-74 | M | A code or number identifying the product.<br><br>Left justify. | |
| Filler | 6S | 75-80 | M | Space fill. | |

**740 Continuation (Input FC02-Record)**

The FC02-Record contains additional FCC form 740 information and is MANDATORY for an FCC Grouping.

| ***FC02-Record* Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Always **FC02** | |
| FCC Quantity Amount | 12(S)N | 5-16 | M | Total number of items imported. (Note: Do not report the number of containers.) | |
| Public Inspection Withhold Request Indicator | 1A or 1S | 17-17 | C | An indication that the Importer requests that the submitted information be withheld from public inspection.<br><br>**Y** = Importer request to withhold information from public inspection.<br><br>Space fill if not used; public inspection allowed. | |
| Filler | 63S | 18-80 | M | Space fill. | |

**Standard Visa Information (Input 51-Record)**

The 51-Record contains information required for 'standard' Visa reporting. The 51-Record is CONDITIONAL for an Entry Summary LINE ITEM Grouping. The 51-Record may be reported one time per line item. Do not submit if not required.

| ***51-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **51** | |
| Standard Visa Number | 9AN | 3-11 | M | The identifying 'number' on the visa issued/furnished by the country of origin.<br><br>**Position 1-1** = Year of export (decade excluded).<br>**Position 2-3** = Standard Country of Origin ISO Code.<br>**Position 4-9** = Identifying/sequence number. | 1 |
| Filler | 69S | 12-80 | M | Space fill. | |

## Note 1

This record is reserved for a standard visa number. A non-standard visa number, such as an African Growth and Opportunity Act (AGOA) Textile provision number, is to be reported in the License/Certificate/Permit Detail (52-Record).

**License/Certificate/Permit Grouping**

The License/Certificate/Permit Grouping contains special use import information and is CONDITIONAL for an Entry Summary LINE ITEM Grouping. The License/Certificate/Permit Detail (52-Record) may be reported up to 99 times per Line Item. ***Note***: 1 time per Line Item, until such time that the automated environment supports the larger groupings.

**License/Certificate/Permit Detail (Input 52-Record)**

The 52-Record contains a reference to a *single* special use license, certificate, or other permit required for import. The 52-Record is MANDATORY for a License/Certificate/Permit Grouping. Do not submit if not required.

| ***52-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **52** | |
| License/Certificate/ Permit Type Code | 2AN | 3-4 | M | A code that identifies the license, certificate, permit, or 'non-standard' visa number reported:<br><br>**01** = Steel Import License<br>**02** = Singapore TPL Certificate<br>**03** = Canadian NAFTA TPL Certificate<br>**04** = Mexican NAFTA TPL Certificate<br>**05** = Beef Export Certificate<br>**06** = Diamond Certificate<br>**07** = Andean Drug Partnership Drug Eradication Act (ATPDEA) Certificate (HTS 98211119)<br>**08** = Australia Free Trade Export Certificate<br>**09** = Mexican Cement Import License<br>**10** = CAFTA TPL Certificate<br>**11** = Canadian Softwood Lumber Export Permit<br>**12** = Cotton Shirting Fabric License<br>**13 =** Haiti 'Hope' Import Permit<br>**14** = Agricultural License<br>**15** = Canadian Softwood Lumber Permit (note: 1990's program; no longer active)<br>**16** = Canadian Export Sugar Certificate<br>**17** = Wool License<br>**18** = Caribbean Basin Trade Partnership Act (CBTPA) Certification<br>**19** = African Growth and Opportunity Act (AGOA) Textile Provision Number<br>**20 =** Other 'Non-Standard' Visa<br>**21 =** USDA Sugar Certificate<br>**22 =** Organic Product Exemption Certificate<br>**23** = AMS Certificate of Exemption | |

| *52-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| License Number/ Certificate Number/Permit Number | 10X | 5-14 | M | The identifying number or code as provided on the license, certificate, permit, or non-standard visa that corresponds to the Type Code. Left justify, space fill. | 1 |
| Filler | 10S | 15-24 | M | Space fill until expanded length fully supported. Reserved filler for future expansion of the Number when fully ACE compatible. | |
| Filler | 56S | 25-80 | M | Space fill. | |

## Note 1

See Usage Note '(s) *License, Certificate, and Permit Reporting*' for the individual formatting rules of each type of number, where applicable.

**AD/CVD Case Grouping**

The AD/CVD Case Grouping contains antidumping and countervailing case information and is CONDITIONAL for an Entry Summary LINE ITEM Grouping. The AD/CVD Case Detail (53-Record) may be reported up to 2 times per Line Item. See '*(ff) Articles Subject to Anti-Dumping / Countervailing Duty*' for more information.

**AD/CVD Case Detail (Input 53-Record)**

The 53-Record contains a reference to a *single* antidumping or countervailing case. The 53-Record is MANDATORY for an AD/CVD Case Grouping. Do not submit if not required.

| ***53-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **53** | |
| Case Number | 10AN | 3-12 | M | The identifying number of the case. Do not include hyphens ('-'). | 1 |
| Bond/Cash Claim Code | 1AN | 13-13 | M | An indication as to whether the duty amount is to be collected as a cash deposit or considered as under a bond as prescribed by the case.<br><br>**B** = The duty amount is to be covered under a surety bond.<br>**C** = The duty amount is to be collected as a cash deposit. | |
| Case Deposit Rate | 8(S)N | 14-21 | M | The applicable deposit rate, prescribed by the case, which corresponds to the Case Rate Type Qualifier Code.<br><br>Two decimal places are implied. | 2 |
| Case Rate Type Qualifier Code | 1AN | 22-22 | M | The 'type' of rate prescribed by the case, which corresponds to the applicable deposit rate.<br><br>**A** = The case rate is an *ad valorem* rate.<br>**S** = The case rate is a *specific* rate. | |
| Filler | 2S | 23-24 | M | Space fill. | |
| AD/CVD Value of Goods Amount | 10(S)N | 25-34 | C | Value of the article, to be used exclusively and in lieu of any other article value for the specific purpose of calculating any estimated antidumping or countervailing duty (when an *ad valorem* rate applies), reported in whole U.S. dollars.<br><br>Zero fill if there is no deposit value/does not apply. | 3 |

| *53-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| AD/CVD Quantity | 12(S)N | 35-46 | C | Total number of primary units (which corresponds to the UOM Code prescribed by the case) to be used for calculating the estimated antidumping or countervailing duty (when a *specific* rate applies).<br><br>Four decimal places are implied. Zero fill if quantity not required/does not apply. | 4 |
| AD/CVD Duty Amount | 10(S)N | 47-56 | M | The duty amount estimated relevant to the case in U.S. dollars and cents.<br><br>Two decimal places are implied. | 5 |
| AD/CVD Non-Reimbursement Declaration Identifier | 10AN | 57-66 | C | Identifier of the blanket AD/CVD Non-Reimbursement Declaration that includes this Case Number.<br><br>Space fill if no declaration is made. | |
| Filler | 14S | 67-80 | M | Space fill. | |

## Note 1

Cases may be reported in any order.

## Note 2

The applicable deposit rate, prescribed by the case.

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

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

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

## Note 3

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

## Note 4

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

## Note 5

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

**Importer's Additional Declaration Detail (Input 54-Record)**

The 54-Record contains information required for the reporting of additional, supporting declaration information. The 54-Record is CONDITIONAL for an Entry Summary LINE ITEM Grouping. The 54-Record may be reported one time per line item. Do not submit if not required.

| ***54-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **54** | |
| Importer's Additional Declaration Type Code | 2AN | 3-4 | M | A code that identifies the type of additional declaration data submitted:<br><br>**01** = Softwood Lumber Export Information. Information declared to conform to the Softwood Lumber Importer Declaration Program. | |
| Importer's Additional Declaration Information | 76X | 5-80 | M | Importer's additional declaration information (see **Note 1**) that corresponds to the declaration type. | 1 |

## Note 1

| Importer's Additional Declaration Type Code | Importer's Additional Declaration Information Content (position 5-80) |
|---|---|
| 01 | The following information is conditionally required in to order conform to the 'Softwood Lumber Act of 2008'. Please refer to the legislation, CBP policy statements, and other information regarding the Softwood Lumber Importer Declaration Program and further definitions of the data elements described below. |

| Data Element / Description | Length/ Class | Position | Desig |
|---|---|---|---|
| **Softwood Lumber Declaration Indicator**.<br><br>**Y =** An indication that, to the best of the Importer's knowledge, the information provided meets the requirements of the Softwood Lumber Act of 2008.<br>**N** = The information provided does not meet the requirements of the Softwood Lumber Act of 2008. | 1AN | 5-5 | M |
| **Softwood Lumber Export Price**. The export price for the shipment of softwood lumber as defined in the legislation.<br><br>Report in whole U.S. dollars. | 10(S)N | 6-15 | M |
| **Softwood Lumber Export Charges**. The tax, charge, or other fee collected by the country from which softwood lumber or a softwood lumber product, is exported pursuant to an international agreement entered into by that country and the United States.<br><br>When required report in whole U.S. dollars, else space fill. | 10(S)N or 10S | 16-25 | C |
| Filler | 55S | 26-80 | M |

**IR Tax Information (Input 60-Record)**

The 60-Record contains information required for Internal Revenue (IR) Tax reporting. The 60-Record is CONDITIONAL for an Entry Summary LINE ITEM Grouping. The 60-Record may be reported one time per line item. Do not submit if not required.

| ***60-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **60** | |
| Accounting Class Code | 3AN | 3-5 | M | CBP accounting classification code representing a specific Internal Revenue tax type.<br><br>See '*AE Table 13 – Internal Revenue Accounting Class Codes*' for a list those codes supported at the Entry Summary line level. | |
| IR Tax Amount | 10(S)N | 6-15 | M | The Internal Revenue tax amount estimated for the article in U.S. dollars and cents.<br><br>Two decimal places are implied. | 1 |
| Filler | 65S | 16-80 | M | Space fill. | |

## Note 1

Report zero if tax is required, yet computes to less than $0.01.

**Line User Fee Grouping**

The Line User Fee Grouping contains information regarding line level user fees and is CONDITIONAL for an Entry Summary LINE ITEM Grouping. The Line User Fee Detail (62-Record) may be reported up to 9 times per Line Item. ***Note***: 5 times per Line Item, until such time that the automated environment supports the larger groupings.

**Line User Fee Detail (Input 62-Record)**

The 62-Record contains user fee amounts and is MANDATORY for a Line User Fee Grouping. See Usage Notes '*(m) Articles Exempt from a Merchandise Processing Fee (MPF)'*, '*(n) Formal Entry Article Merchandise Processing Fee (MPF)'* and '*(o) Article Harbor Maintenance Fee (HMF)'* for more information.

| ***62-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **62** | |
| Accounting Class Code | 3AN | 3-5 | M | CBP accounting classification code representing a specific fee type.<br><br>See '*AE Table 6 – User Fee Accounting Class Codes*' for a list those codes supported at the Entry Summary line level. | 2, 3 |
| User Fee Amount | 8(S)N | 6-13 | M | The applicable fee amount in U.S. dollars and cents.<br><br>Two decimal places are implied. | 1 |
| Filler | 67S | 14-80 | M | Space fill. | |

## Note 1

Report zeros if an applicable fee is required, yet computes to less than $0.01.

## Note 2

Fees may be reported in any Accounting Class order, if more than one line level fee applies.

## Note 3

When reported, must also be reflected in the 89-Record Fee Total Detail.

**PSC Line Reasons (Input 63-Record)**

The 63-Record contains information regarding one or more reasons that the 'line' information is being changed in a Post Summary Correction filing and is CONDITIONAL for an Entry Summary LINE ITEM Grouping. The 63-Record may be reported one time per line item. Do not submit if not required. See Usage Note '*(gg) Filing a Post Summary Correction'* for more information.

| ***63-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **63** | |
| Post Summary Correction Line Reason Code (1) | 3AN | 3-5 | M | A code that identifies the reason that the submitted line data is being changed for a PSC. | 1, 2 |
| Post Summary Correction Line Reason Code (2) | 3AN | 6-8 | C | An additional line level PSC reason code.<br><br>Space fill if not used. | 1, 2 |
| Post Summary Correction Line Reason Code (3) | 3AN | 9-11 | C | An additional line level PSC reason code.<br><br>Space fill if not used. | 1, 2 |
| Post Summary Correction Line Reason Code (4) | 3AN | 12-14 | C | An additional line level PSC reason code.<br><br>Space fill if not used. | 1, 2 |
| Post Summary Correction Line Reason Code (5) | 3AN | 15-17 | C | An additional line level PSC reason code.<br><br>Space fill if not used. | 1, 2 |
| Filler | 63S | 18-80 | M | Space fill. | |

## Note 1

Reasons may be reported in any order.

## Note 2

See '*AE Table 15 – Post Summary Correction Line Reason Codes*'

**Census Warning Condition Override Information (Input CW02-Record)**

The CW02-Record contains information required to override a Census warning. The CW02-Record is CONDITIONAL for an Entry Summary LINE ITEM Grouping. The CW02-Record may be reported one time per line item. Do not submit if not required. See Usage Note '*(cc) Preemptively Overriding a Census Warning'* for more information.

| ***CW02-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 4AN | 1-4 | M | Always **CW02** | |
| Filler | 5S | 5-9 | M | Space fill. | |
| Census Warning Condition Code (1) | 3AN | 10-12 | M | The anticipated ACE generated code that identifies the Census warning condition. | 1, 2 |
| Census Warning Condition Override Code(1) | 2AN | 13-14 | M | A code that identifies the reason that the submitted data values caused the Census warning condition; the override code. | 1, 2 |
| Census Warning Condition Code (2) | 3AN | 15-17 | C | An additional condition and override code. | 1, 2 |
| Census Warning Condition Override Code (2) | 2AN | 18-19 | | Space fill if not used | |
| Census Warning Condition Code (3) | 3AN | 20-22 | C | An additional condition and override code. | 1, 2 |
| Census Warning Condition Override Code (3) | 2AN | 23-24 | | Space fill if not used. | |
| Census Warning Condition Code (4) | 3AN | 25-27 | C | An additional condition and override code. | 1, 2 |
| Census Warning Condition Override Code (4) | 2AN | 28-29 | | Space fill if not used. | |
| Census Warning Condition Code (5) | 3AN | 30-32 | C | An additional condition and override code. | 1, 2 |
| Census Warning Condition Override Code (5) | 2AN | 33-34 | | Space fill if not used. | |
| Census Warning Condition Code (6) | 3AN | 35-37 | C | An additional condition and override code. | 1, 2 |
| Census Warning Condition Override Code (6) | 2AN | 38-39 | | Space fill if not used. | |
| Census Warning Condition Code (7) | 3AN | 40-42 | C | An additional condition and override code. | 1, 2 |
| Census Warning Condition Override Code (7) | 2AN | 43-44 | | Space fill if not used. | |
| Filler | 36S | 45-80 | M | Space fill. | |

## Note 1

See '*AE Table 10 – Census Warning Condition Override Codes*' and '*AE Table 11 – Census Warning Condition / Census Override Combinations*' for a list of codes supported in this transaction.

## Note 2

The override conditions may be reported in any order.

**Entry Summary TOTALS Grouping**

The Entry Summary TOTALS Grouping contains information regarding revenue subtotals and grand totals and is CONDITIONAL for an Entry Summary TRANSACTION Grouping. Do NOT transmit if NOT required. The grouping is MANDATORY if the 10-Record Summary Filing Action Request Code is an **A** (Add) or **R** (Replace). The grouping is NOT ALLOWED if the 10-Record Summary Filing Action Request Code is a **D** (Delete). See Usage Note '*(c) Header/Totals Data Elements Required to Establish or Correct an Entry Summary'* for more information.

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

The 88-Record contains AD/CVD duty subtotals and is CONDITIONAL for an Entry Summary TOTALS Grouping. Do not submit if not required. See '*(ff) Articles Subject to Anti-Dumping / Countervailing Duty*' for more information.

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

**Fee Total Grouping**

The Fee Total Grouping contains user fee subtotals and is CONDITIONAL for an Entry Summary TOTALS Grouping. The Fee Total Detail (89-Record) may be reported up to 9 times. A Fee Total Grouping is REQUIRED when one or more fees have been reported in the Entry Summary Header Fees (34-Record) or Line User Fee Detail (62-Record).

**Fee Total Detail (Input 89-Record)**

The 89-Record contains Class Code and revenue subtotals for user fees and is MANDATORY for a Fee Total Grouping.

| ***89-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **89** | |
| Accounting Class Code (1) | 3N | 3-5 | M | CBP accounting classification code representing a specific fee type previously reported at the Entry Summary Header Fee (34-Record) or Line User Fee (62-Record) level. | 1, 2, 3 |
| Total Fee Amount (1) | 11(S)N | 6-16 | M | Total estimated fee amount that corresponds to Accounting Class Code (1) in U.S. dollars and cents. Two decimal places are implied. | |
| Accounting Class Code (2) | 3AN | 17-19 | C | An additional fee total class and total estimated fee amount that corresponds to the Accounting Class Code in U.S. dollars and cents.<br><br>Space fill if not required/not reported. | 1, 2, 3 |
| Total Fee Amount (2) | 11(S)N or 11S | 20-30 | | | |
| Accounting Class Code (3) | 3AN | 31-33 | C | An additional fee total class and total estimated fee amount that corresponds to the Accounting Class Code in U.S. dollars and cents.<br><br>Space fill if not required/not reported. | 1, 2, 3 |
| Total Fee Amount (3) | 11(S)N or 11S | 34-44 | | | |
| Accounting Class Code (4) | 3AN | 45-47 | C | An additional fee total class and total estimated fee amount that corresponds to the Accounting Class Code in U.S. dollars and cents.<br><br>Space fill if not required/not reported. | 1, 2, 3 |
| Total Fee Amount (4) | 11(S)N or 11S | 48-58 | | | |
| Accounting Class Code (5) | 3AN | 59-61 | C | An additional fee total class and total estimated fee amount that corresponds to the Accounting Class Code in U.S. dollars and cents.<br><br>Space fill if not required/not reported. | 1, 2, 3 |
| Total Fee Amount (5) | 11(S)N or 11S | 62-72 | | | |
| Filler | 8S | 73-80 | M | Space fill. | |

## Note 1

See '*AE Table 6 – User Fee Accounting Class Codes*' for a list those codes supported in this transaction.

## Note 2

The fee totals may be reported in any Accounting Class order.

## Note 3

The *minimum* or *maximum* Merchandise Processing Fee (MPF) owed CBP is to conditionally be reported for a 499 Accounting Class. See Usage Note '*(w) Determining the Formal Entry Merchandise Processing Fee (MPF) Min / Max'* for more information.

**Grand Totals (Input 90-Record)**

The 90-Record contains revenue grand totals. The 90-Record is CONDITIONAL for an Entry Summary HEADER Grouping. The 90-Record may be reported one time per summary. See Usage Note '*(x) Grand Total Reporting'* for more information.

| ***90-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **90** | |
| Grand Total Duty Amount | 11(S)N | 3-13 | C | Grand total estimated duty amount.<br><br>Two decimal places are implied. Report zeroes if no duty applies. | |
| Filler | 1S | 14-14 | M | Space fill. | |
| Grand Total User Fee Amount | 11(S)N | 15-25 | C | Grand total estimated user fee amount.<br><br>Two decimal places are implied. Report zeroes if no user fee applies. | |
| Filler | 1S | 26-26 | M | Space fill. | |
| Grand Total IR Tax Amount | 11(S)N | 27-37 | C | Grand total estimated IR tax amount.<br><br>Two decimal places are implied. Report zeroes if no IR tax applies. | |
| Filler | 1S | 38-38 | M | Space fill. | |
| Grand Total AD Duty Amount | 11(S)N | 39-49 | C | Grand total estimated AD duty amount.<br><br>Two decimal places are implied. Report zeroes if no AD duty applies. | |
| Filler | 1S | 50-50 | M | Space fill. | |
| Grand Total CV Duty Amount | 11(S)N | 51-61 | C | Grand total estimated CV duty amount.<br><br>Two decimal places are implied. Report zeroes if no CV duty applies. | |
| Filler | 19S | 62-80 | M | Space fill. | |

## Entry Summary Filing - Usage Notes

The following sub-sections contain information regarding the filing and correction of an Entry Summary.

### a) Entry Summary Filing Actions

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

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

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

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

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

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

- Delete/remove an existing Entry Summary.

An Entry Summary that has been formally 'accepted' by CBP can ONLY be replaced (NEVER deleted):

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

Otherwise, an Entry Summary that has been formally 'accepted' by CBP can be neither replaced nor deleted:

Additional considerations:

- An ACE Entry Summary is designated as *paperless* until such time (if any) that CBP requests that a paper document be submitted. An ***electronic signature*** is required when the action is **A** (Add) or **R** (Replace).
- The Entry Number can be reused after 120 calendar months (10 years) from the date of liquidation.

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

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

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

Reporting Key: **M** = Mandatory

**c) Header/Totals Data Elements Required to Establish or Correct an Entry Summary**

The following table describes the HEADER Grouping & TOTALS Grouping data elements required to Add or Replace an Entry Summary (regardless of **Entry Type Code**).

| Control ID | Data Element | Reporting |
|---|---|---|
| | **Entry Type Code - ALL** | |
| 10 | Electronic Signature | M |
| 11 | Importer of Record Number | M |
| 90 | Grand Total Duty Amount (report $0.00 if duty free) | M |
| 90 | Grand Total User Fee Amount (report $0.00 if fee free) | M |
| 90 | Grand Total Tax Amount (report $0.00 if tax free) | M |
| 90 | Grand Total AD Duty Amount (report $0.00 if AD duty free) | M |
| 90 | Grand Total CV Duty Amount (report $0.00 if CV duty free) | M |

Reporting Key: **M** = Mandatory

**d) Line Data Elements Required to Establish or Correct an Entry Summary**

The following table describes the LINE ITEM Grouping data elements required to Add or Replace an Entry Summary.

| Control ID | Data Element | Reporting |
|---|---|---|
| | **Entry Type Code – ALL** | |
| 40 | Country of Origin Code | M |
| 50 | HTS Number | M |
| 50 | Unit of Measure Code (1) | M |

Reporting Key: **M** = Mandatory

### e) Entry Type Data Reporting Considerations

The following table describes the various reporting requirements for those *common* data elements (or record/grouping) where **Entry Type Code** plays a role (when establishing or correcting an Entry Summary). **Note**: This table does not reference all of the data elements; see further sections for additional directions and guidelines. A number following the data element/group name or requirement designator in a cell points to a further 'note'.

***Note*:** Only type '01', '03', '11', '51', and '52' are supported at this time. Additional Entry Types shall be made available in the future.

| Control ID | Data Element or *(Record/Grouping)* Name | 01 – Consumption | 02 – Quota / Visa | 03 – AD/CVD | 06 – FTZ | 07 – Quota+AD/CVD | 11 – Informal | 12 – Informal+Quota | 21 – Warehouse | 22 – Re-Warehouse | 23 – TIB | 31 – W/D | 32 – W/D+Quota | 34 – W/D+AD/CVD | 38 – W/D+Quota+AD/CVD | 51 – Military-DCMA | 52 – Government |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| B | Remotely Filed Indicator (RLF Claim) | A | A | A | A | A | A | A | A | A | A | A | A | A | A | A | A |
| 10 | Post Summary Correction Indicator (PSC Claim) | A | A | A | A | A | N | N | A | A | A | A | A | A | A | A | A |
| 10 | Cargo Release Certification Request Indicator (ACS or ACE) | A | A | A | A | A | A | A | A | N | A | N | N | N | N | N | A |
| 10 | MOT Code | M | M | M | A | M | A | A | M | A | M | N | N | N | N | M | M |
| 10 | Bond Waiver Indicator, **1** | A | A | N | A | N | A | A | A | A | A | A | A | N | N | A | A |
| 10 | Bond Waiver Reason Code, **1** | A | A | N | A | N | N | N | A | A | A | A | A | N | N | A | A |
| 10 | Deferred Tax Payment Code | A | A | A | A | A | N | N | A | A | A | A | A | A | A | A | A |
| 10 | Trade Agreement Reconciliation Indicator | A **4** | A **4** | N | A **4** | N | N | N | N | N | N | N | N | N | N | N | N |
| 10 | Reconciliation Issue Code | A **4** | A **4** | N | A **4** | N | N | N | N | N | N | N | N | N | N | N | N |
| 10 | Consolidated Summary Indicator, **9** | A | N | N | A | N | A | N | N | N | N | N | N | N | N | N | N |
| 11 | Consignee Number | M **6** | M | M | M **6** | M | A **6** | A | A | A | M | M | M | M | M | M | M |
| 11 | Estimated Entry Date | A | A | A | A | A | A | A | A | M | A | M | M | M | M | A | A |
| 11 | Date of Importation | C **4** | C **4** | A | C **4** | A | A | A | M | N | M | A | A | A | A | A | A |
| 11 | Foreign Trade Zone Identifier | N | N | N | M | N | N | N | N | N | N | N | N | N | N | N | N |
| 11 | U.S. State of Destination Code | M | M | M | M | M | A | A | M | M | M | M | M | M | M | M | M |
| 20 | District/Port of Unlading, **2** | C | C | C | C | C | C | C | C | C | C | N | N | N | N | C | C |
| 20 | Location of Goods Code | A | A | A | M | A | A | A | M | M | A | M | M | M | M | A | A |
| 22 | *(Cargo Manifest Grouping),* ***2*** | C | C | C | C | C | C | C | C | C | C | N | N | N | N | C | C |

| Control ID | Data Element or *(Record/Grouping)* Name | 01 – Consumption | 02 – Quota / Visa | 03 – AD/CVD | 06 – FTZ | 07 – Quota+AD/CVD | 11 – Informal | 12 – Informal+Quota | 21 – Warehouse | 22 – Re-Warehouse | 23 – TIB | 31 – W/D | 32 – W/D+Quota | 34 – W/D+AD/CVD | 38 – W/D+Quota+AD/CVD | 51 – Military-DCMA | 52 – Government |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 30 | *(Warehouse Withdrawal Information)* | N | N | N | N | N | N | N | N | M 8 | N | M 8 | M 8 | M 8 | M 8 | N | N |
| 31 | *(Bond Grouping),* **1** | A 1 | A 1 | M 1 7 | C 1 7 | M 1 7 | A 1 | A 1 | C 1 7 | C 1 7 | C 1 7 | A 1 | A 1 | M 1 7 | M 1 7 | A 1 | A 1 |
| 32 | *(Consolidated Release Grouping),* **9** | A | N | N | A | N | A | N | N | N | N | N | N | N | N | N | N |
| 40 | *(Line Item Grouping)* | M | M | M | M | M | M | M | M | M | M | M | M | M | M | M | M |
| 40 | Country of Export Code | M | M | M | A | M | M | M | M | M | M | M | M | M | M | M | M |
| 40 | Date of Exportation | M | M | M | A | M | M | M | M | M | M | M | M | M | M | M | M |
| 40 | Charges Amount, **3** | C | C | C | C | C | A | A | C | C | C | C | C | C | C | C | C |
| 40 | Related Party Indicator | M | M | M | M | M | A | A | M | M | M | M | M | M | M | M | M |
| 40 | AD/CVD Non-Reimbursement Statement | N | N | A 7 | A 7 | A 7 | N | N | A 7 | A 7 | A 7 | N | N | A 7 | A 7 | N | N |
| 41 | *(FTZ Status Information)* | N | N | N | M | N | N | N | N | N | N | N | N | N | N | N | N |
| 47 | Article Party Identifier (Manufacturer/Supplier) | M | M | M | M | M | A | A | M | C 5 | C 5 | M | M | M | M | M | M |
| 47 | Article Party Identifier (Sold To Party) | M | M | M | M | M | A | A | M | M | M | M | M | M | M | M | M |
| 47 | Article Party Identifier (Foreign Exporter) | A | A | C 7 | C 7 | C 7 | A | A | C 7 | C 7 | C 7 | A | A | C 7 | C 7 | A | A |
| 53 | *(AD/CVD Case Information)* | N | N | C 7 | C 7 | C 7 | N | N | C 7 | C 7 | C 7 | N | N | C 7 | C 7 | N | N |
| 88 | *(AD/CVD Totals)* | N | N | M 7 | C 7 | M 7 | N | N | C 7 | C 7 | C 7 | N | N | M 7 | M 7 | N | N |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**Notes:**

(1) See Usage Note *'(i) Bond & Surety Reporting*'.
(2) MOT dependent; see Usage Note *'(g) Transportation Data Reporting*'.
(3) See Usage Note *'(v) Article Charges*'.
(4) See Usage Note '*(aa) Claiming Future Reconciliation*'.
(5) Required when either *originating* or *exporting* country is Canada.
(6) May be reported in an all-zero format when an Informal or when a Consolidating Summary. See Usage Notes '*(f) Party Reporting –Consignee*' and '*(z) Consolidating Releases Under One Entry Summary*'.
(7) See Usage Notes '*(f) Party Reporting'* and *'(ff) Articles Subject to Anti-Dumping / Countervailing Duty*'.
(8) See Usage Notes '*(bb) Warehouse, Re-Warehouse, & Warehouse Withdrawal Entry Summaries'.*
(9) See Usage Notes '*(z) Consolidating Releases Under One Entry Summary'.*

## f) Party Reporting

The following sections describe the formatting rules for the Importer of Record, Consignee (Header Level), Designated Notify (4811) Party, Manufacturer/Supplier, Delivered To Party, Sold To Party, Foreign Exporter, Seller, and Consignee (Line Level).

### Importer of Record

The U.S. party or other entity (individual or firm) liable for payment of all duties and meeting all statutory and regulatory requirements incurred as a result of importation.

The Importer of Record is required in all filings and must be formatted in one of the following ways:

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

The Importer of Record must be known to CBP (as established via an electronic CBPF5106 or a manually recorded record by a CBP officer).

### Consignee (Header Level)

The U.S. party or other entity (individual or firm) on whose account the merchandise is shipped.

When present on the 11-Record the Consignee Number must be formatted in one of the following ways:

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

For a consolidating summary or when Entry Type is **11** or **12** (Informal), the consignee may be reported in a suitable format as all zeros (e.g., '00-0000000').

Otherwise, when the District/Port of Entry is considered as a 'cargo selectivity/targeting' port, the Consignee must be known to CBP (as pre-established via an electronic CBPF5106).

**Designated Notify (4811) Party**

The U.S. party or other entity (individual or firm) to whom refunds, bills, or notices of extension of suspension of liquidation are to be sent (if other than the Importer of Record).

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

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

When reported, the Designated Notify (4811) Party must be known to CBP (as established via an electronic CBPF5106 and manually input CBPF4811).

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

**Manufacturer/Supplier**

At the article/line level, the party or other entity (individual or firm) that manufactures, produces, or grows the imported commodity. These entities produce or grow raw material or by labor, art, or skill transform raw material into some kind of finished product or article of trade. The transformation of the raw material may involve processing into finished goods, or the production of goods to be further assembled to create a finished product, or the assembly of goods into a finished product.

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

- The ID must be at least eight characters in length, must consist of uppercase characters A-Z and numerals 0-9, and must not contain any embedded spaces.
- The first two characters must be a known ISO Country Code (or a Canadian Province code found in '*AE Table 5 – Canadian Province Codes*').
- For formal entries, if the Country of Export is Canada, the MID prefix must be a Canadian Province code found in '*AE Table 5 – Canadian Province Codes*'.

**Delivered To Party**

The U.S. party or other entity (individual or firm) identified as the first delivered-to party scheduled to physically receive the merchandise after its release from CBP custody.

When present, the Delivered To Party identifier must be formatted in one of the following ways:

- As a SSN: '**NNN-NN-NNNNb**' (Where 'N' is numeric and 'b' is a space).
- As an IRS Number with NO suffix: '**NN-NNNNNNNbb**' (Where 'N' is numeric and 'b' is a space).

- As an IRS Number with a suffix: '**NN-NNNNNNNss**' (Where 'N' is numeric and 's' is A-Z, 0-9 [neither of the positions of the suffix can be space]).
- As a CBP assigned identifier: '**YYDDPP-NNNNN**' (Where 'YY' is calendar year when the number was assigned, 'DDPP' is the district/port where the number was assigned, and 'N' is numeric).

When reported, the Delivered To Party should be known to CBP (as established via an electronic CBPF5106).

The Delivered To Party is never required; it is allowed to be reported on any Add or Replace action for any Entry Type.

**Sold To Party**

At the article/line level, the U.S. party or other entity (individual or firm) to whom the imported merchandise was sold or agreed to be sold. If the merchandise is imported otherwise than in pursuance of a purchase, the name of the owner of the merchandise must be provided.

For AD/CVD entry types: The first unaffiliated purchaser to whom merchandise under investigation or administrative review by the Department of Commerce is sold, or agreed to be sold, for exportation to the United States. If the merchandise is imported otherwise than in pursuance of a purchase, the name of the owner of the merchandise must be provided.

When present, the Sold To Party Number must be formatted in one of the following ways:

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

**Foreign Exporter**

At the article/line level, the party or other entity (individual or firm) identified as the last named foreign party identified on the transaction invoice/purchase order that has a substantial financial interest in the goods and who causes the goods to be shipped by any mode of transport. This is not the transportation shipping party (freight forwarder, consolidator, or NVOCC). For consigned shipments, household effects, lease transactions, and similar contractual arrangements, the name of the supplier may be provided. The supplier could be a trading company, selling agent, owner (e.g., personal/household effects), or similar party.

For AD/CVD entry types:

- For direct shipments from the country of origin to the United States customs territory: The party or other entity (individual or firm) in the country of manufacture or production (19 C.F.R. 102) of the merchandise that has a substantial financial interest in the merchandise beyond that of an entity that has custody under a bill of lading and that directly ships the merchandise that is subject to a countervailing or

antidumping duty order under 19 U.S.C. 1671 or 1673 from that country of manufacture or production under a contract for sale to an entity in the United States.

**OR**

- For shipments from a third country to the United States customs territory: The party or other entity (individual or firm) in a country other than the country of manufacture or production (19 C.F.R. 102) that has a substantial financial interest in the merchandise beyond that of an entity who has custody under a bill of lading and that directly ships the merchandise that is subject to a countervailing or antidumping duty order under 19 U.S.C. 1671 or 1673 from that country other than the country of manufacture or production (19 C.F.R. 102) under a contract for sale to an entity in the United States.

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

- The ID must be at least eight characters in length, must consist of uppercase characters A-Z and numerals 0-9, and must not contain any embedded spaces.
- The first two characters must be a known ISO Country Code (or a Canadian Province code found in '*AE Table 5 – Canadian Province Codes*').

**Cargo Entity Parties (Header and Line)**

Submit the appropriate party types when certifying for ACE cargo release. See 'ACE Cargo Release (SE) Transaction'. Note that reporting a cargo entity does not eliminate the need to report the entry summary header and line level article parties.

## g) Transportation Data Reporting

The following tables describe the transport mode specific reporting requirements for various transportation related data elements.

### Vessel Shipments

When MOT = 10, 11

| Control ID/Data Element | Reporting | Vessel Shipment Notes |
|---|---|---|
| 20-Record Carrier Code | M | Report a valid SCAC issued by NMFTA. If the code as known at the time of filing is not valid in CBP's automated system and a valid code cannot be obtained from the carrier, as a last resort, report the carrier as 'UNKN'. |
| 20-Record District/Port of Unlading | M | Must be a known U.S. port that supports vessel cargo operations. |
| 20-Record Location of Goods Code | A | When reported, must be an active cargo location FIRMS Code. |
| 20-Record Conveyance Name | M | Report the identity of the conveyance, supplied by the Carrier. |
| 20-Record Vessel Code | A | If known, report the Lloyd's Code of the vessel. |
| 20-Record In-Bond/In-Transit Date | C | Required if In-Bond/In-Transit Number reported in a Cargo Manifest Detail. |
| 21-Record Trip Identifier | A | Not required for Entry Summary acceptance; may be required to 'Certify for Cargo Release'. Report the identity of the trip or manifest, if any, supplied by the Carrier. |
| 22- and 23-Records Cargo Manifest Grouping | M | Report in-bond/in-transit movement and vessel bill of lading information at the lowest bill level. May be required to 'Certify for Cargo Release'. Report as many 22- and 23-Records as needed to account for all applicable in-bond movements/bills of lading. (Also see Usage Note h) '*Reporting Cargo Manifest Detail*' below.) |
| 40-Record Foreign Port of Lading Code | M | Report a known '*Schedule K – Classification of Foreign Ports by Geographic Trade Area and Country*' code. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**Border Water-Borne Shipments**

When MOT = 12

| Control ID/Data Element | Reporting | Border Water-Borne Shipment Notes |
|---|---|---|
| 20-Record Carrier Code | A | When reported, should be a valid SCAC issued by NMFTA. If the code as known at the time of filing is not valid in CBP's automated system and a valid code cannot be obtained from the carrier, as a last resort, report the carrier as 'UNKN'. |
| 20-Record District/Port of Unlading | A | When reported, must be a known U.S. port that supports cargo operations. |
| 20-Record Location of Goods Code | A | When reported, must be an active cargo location FIRMS Code. |
| 20-Record Conveyance Name | A | Not required for Entry Summary acceptance; may be required to 'Certify for Cargo Release'. Report the identity of the conveyance, if any, supplied by the Carrier. |
| 20-Record Vessel Code | N | Never allowed. |
| 20-Record In-Bond/In-Transit Date | C | Required if In-Bond/In-Transit Number reported in a Cargo Manifest Detail. |
| 21-Record Trip Identifier | A | Not required for Entry Summary acceptance; may be required to 'Certify for Cargo Release'. Report the identity of the trip or manifest, if any, supplied by the Carrier. |
| 22- and 23-Records Cargo Manifest Grouping | A | Report in-bond/in-transit movement and bill of lading information at the lowest bill level. May be required to 'Certify for Cargo Release'. Report as many 22- and 23-Records as needed to account for all applicable in-bond movements/bills of lading. (Also see Usage Note h) '*Reporting Cargo Manifest Detail*' below.) |
| 40-Record Foreign Port of Lading Code | M | Report a **Canadian** or **Mexican** '*Schedule K – Classification of Foreign Ports by Geographic Trade Area and Country*' code. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**Rail Shipments**

When MOT = 20, 21

| Control ID/Data Element | Reporting | Rail Shipment Notes |
|---|---|---|
| 20-Record Carrier Code | A | When reported, should be a valid SCAC issued by NMFTA. If the code as known at the time of filing is not valid in CBP's automated system and a valid code cannot be obtained from the carrier, as a last resort, report the carrier as 'UNKN'. |
| 20-Record District/Port of Unlading | A | When reported, must be a known U.S. port that supports cargo operations. |
| 20-Record Location of Goods Code | A | When reported, must be an active cargo location FIRMS Code. |
| 20-Record Conveyance Name | A | Not required for Entry Summary acceptance; may be required to 'Certify for Cargo Release'. Report the identity of the conveyance, if any, supplied by the Carrier. |
| 20-Record Vessel Code | N | Never allowed. |
| 20-Record In-Bond/In-Transit Date | C | Required if In-Bond/In-Transit Number reported in a Cargo Manifest Detail. |
| 21-Record Trip Identifier | A | Not required for Entry Summary acceptance; may be required to 'Certify for Cargo Release'. Report the identity of the trip or manifest, if any, supplied by the Carrier. |
| 22- and 23-Records Cargo Manifest Grouping | A | Report in-bond/in-transit movement and rail bill of lading information at the lowest bill level. May be required to 'Certify for Cargo Release'. Report as many 22- and 23-Records as needed to account for all applicable in-bond movements/bills of lading. (Also see Usage Note h) '*Reporting Cargo Manifest Detail*' below.) |
| 40-Record Foreign Port of Lading Code | A | If known, report a known '*Schedule K – Classification of Foreign Ports by Geographic Trade Area and Country*' code. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**Truck Shipments**

When MOT = 30, 31

| Control ID/Data Element | Reporting | Truck Shipment Notes |
|---|---|---|
| 20-Record Carrier Code | A | When reported, should be a valid SCAC issued by NMFTA. If the code as known at the time of filing is not valid in CBP's automated system and a valid code cannot be obtained from the carrier, as a last resort, report the carrier as 'UNKN'. |
| 20-Record District/Port of Unlading | A | When reported, must be a known U.S. port that supports cargo operations. |
| 20-Record Location of Goods Code | A | When reported, must be an active cargo location FIRMS Code. |
| 20-Record Conveyance Name | A | Not required for Entry Summary acceptance; may be required to 'Certify for Cargo Release'. Report the identity of the conveyance, if any, supplied by the Carrier. |
| 20-Record Vessel Code | N | Never allowed. |
| 20-Record In-Bond/In-Transit Date | C | Required if In-Bond/In-Transit Number reported in a Cargo Manifest Detail. |
| 21-Record Trip Identifier | A | Not required for Entry Summary acceptance; may be required to 'Certify for Cargo Release'. Report the identity of the trip or manifest, if any, supplied by the Carrier. |
| 22- and 23-Records Cargo Manifest Grouping | A | Report in-bond/in-transit movement and truck pro-bill of lading information at the lowest bill level. May be required to 'Certify for Cargo Release'. Report as many 22- and 23-Records as needed to account for all applicable in-bond movements/bills of lading. (Also see Usage Note h) '*Reporting Cargo Manifest Detail*' below.) |
| 40-Record Foreign Port of Lading Code | A | If known, report a known '*Schedule K – Classification of Foreign Ports by Geographic Trade Area and Country*' code. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**Air Shipments**

When MOT = 40, 41

| Control ID/Data Element | Reporting | Air Shipment Notes |
|---|---|---|
| 20-Record Carrier Code | M | Report a valid 2-character code issued by IATA, if known. If the code as known at the time of filing is not valid in CBP's automated system and a valid code cannot be obtained from the carrier, as a last resort, report one of the following:<br><br>'*F' = Unknown foreign air carrier.<br>'*U' = Unknown U.S. air carrier.<br>'*C' = Unknown Canadian air carrier.<br><br>For 'fly in aircraft' classified under HTS 8802, report '**'. |
| 20-Record District/Port of Unlading | M | Must be a known U.S. port that supports air cargo operations. |
| 20-Record Location of Goods Code | A | When reported, must be an active cargo location FIRMS Code. |
| 20-Record Conveyance Name | A | Not required for Entry Summary acceptance; may be required to 'Certify for Cargo Release'. Report the identity of the conveyance (e.g., tail number), if any, supplied by the Carrier. |
| 20-Record Vessel Code | N | Never allowed. |
| 20-Record In-Bond/In-Transit Date | C | Required if In-Bond/In-Transit Number reported in a Cargo Manifest Detail. |
| 21-Record Trip Identifier | A | Not required for Entry Summary acceptance; may be required to 'Certify for Cargo Release'. Report the flight number, if any, supplied by the Carrier.<br><br>If reported, the flight number should be formatted as:<br><br>'NNNbb', 'NNNNb', 'NNNAb', or 'NNNNA' (where 'N' is numeric, 'b' is a space, and 'A' is alphabetic). |
| 22- and 23-Records Cargo Manifest Grouping | M | Report in-bond/in-transit movement and air waybill of lading information at the lowest bill level. May be required to 'Certify for Cargo Release'. Report as many 22- and 23-Records as needed to account for all applicable in-bond movements/bills of lading. (Also see Usage Note h) '*Reporting Cargo Manifest Detail*' below.) |
| 40-Record Foreign Port of Lading Code | A | If known, report a known '*Schedule K – Classification of Foreign Ports by Geographic Trade Area and Country*' code. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**All Other Shipments (Known Modes)**

When MOT = 32 (Auto), 33 (Pedestrian), 34 (Road, Other), 50 (Mail), 60 (Passenger, Hand Carried), 70 (Fixed Transport)

| Control ID/Data Element | Reporting | Other Shipment Notes |
|---|---|---|
| 20-Record Carrier Code | A | When reported, should be a valid SCAC issued by NMFTA. If the code as known at the time of filing is not valid in CBP's automated system and a valid code cannot be obtained from the carrier, as a last resort, report the carrier as 'UNKN'. |
| 20-Record District/Port of Unlading | A | When reported, must be a known U.S. port that supports cargo operations. |
| 20-Record Location of Goods Code | A | When reported, must be an active cargo location FIRMS Code. |
| 20-Record Conveyance Name | A | Allowed. |
| 20-Record Vessel Code | N | Never allowed. |
| 20-Record In-Bond/In-Transit Date | C | Required if In-Bond/In-Transit Number reported in a Cargo Manifest Detail. |
| 21-Record Trip Identifier | A | Allowed. |
| 22- and 23-Records Cargo Manifest Grouping | A | Report in-bond/in-transit movement and bill of lading information at the lowest bill level. May be required to 'Certify for Cargo Release'. Report as many 22- and 23-Records as needed to account for all applicable in-bond movements/bills of lading. (Also see Usage Note h) '*Reporting Cargo Manifest Detail*' below.) |
| 40-Record Foreign Port of Lading Code | A | If known, report a known '*Schedule K – Classification of Foreign Ports by Geographic Trade Area and Country*' code. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**MOT Not Required/Not Reported**

When MOT not required (or not allowed) for Entry Type and not reported:

| Control ID/Data Element | Reporting | MOT Not Reported Notes |
|---|---|---|
| 20-Record Carrier Code | A | When reported, should be a valid SCAC issued by NMFTA. If the code as known at the time of filing is not valid in CBP's automated system and a valid code cannot be obtained from the carrier, as a last resort, report the carrier as 'UNKN'. |
| 20-Record District/Port of Unlading | A | When reported, must be a known U.S. port that supports cargo operations. |
| 20-Record Location of Goods Code | A | When reported, must be an active cargo location FIRMS Code. |
| 20-Record Conveyance Name | A | Allowed. |
| 20-Record Vessel Code | N | Never allowed. |
| 20-Record In-Bond/In-Transit Date | N | Never allowed. |
| 21-Record Trip Identifier | A | Allowed. |
| 22- and 23-Records Cargo Manifest Grouping | N | Never allowed. |
| 40-Record Foreign Port of Lading Code | A | If known, report a known '*Schedule K – Classification of Foreign Ports by Geographic Trade Area and Country*' code. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

## h) Reporting Cargo Manifest Detail

The following tables describe the transport mode specific reporting requirements for various transportation related data elements. Use the 23-Record Manifest Component Type Code to describe the manifest component in the Cargo Manifest Detail.

### In-Bond/In-Transit Number

When reported as 23-Record Manifest Component Type Code = '**I**' the Manifest Component Identifier is a reference to a transportation movement. The In-Bond/In-Transit Number must be formatted in one of the following ways:

- As a Paperless Master In-Bond Number:

```
+------------ In-Bond Participant Identifier
|   +--------- Sequence
|   |       +-- Check Digit
V   V       V
VXXNNNNNNNNb
```

(Where 'V' is the constant "V", 'X' is any character, 'N' is numeric, and 'b' is a space).

- The 'VXX' portion of the number must be the identifier of a known Paperless Master In-Bond program participant.
- The check digit (position eleven) must be computed using the formula found in '*AE Table 1 – Check Digit Computation Formula*'.

- As an Air Waybill (AWB) Number:

```
+------------ Air Waybill prefix
|   +--------- Sequence
|   |       +-- Check Digit
V   V       V
XXXNNNNNNNNb
```

(Where 'X' is any character, 'N' is numeric, and 'b' is a space).

- The check digit (position eleven) must be the first 'remainder' integer of positions 4-10 of the In-Bond/In-Transit Number divided by +7.

- As a CBP Assigned Immediate Transportation Number: '**NNNNNNNNNbbb**'

```
+------------ Sequence
|         +---- Check Digit
V         V
NNNNNNNNNbbb
```

(Where 'N' is numeric, and 'b' is a space).

- This is the standard IT number as it is shown on the CF-7512E (Transportation Entry and Manifest of Goods Subject to CBP Inspection and Permit).
- The check digit (position nine) must be the first 'remainder' integer of positions 1-8 of the In-Bond/In-Transit Number divided by +7.

**Master Bill Number / Issuer**

When reported as 23-Record Manifest Component Type Code = '**M**', the Manifest Component Identifier is a reference to a transportation MASTER waybill, ocean bill-of-lading, pro-bill, rail bill, or air waybill. The Manifest Component Issuer Code identifies the issuer of the master bill.

**House Bill Number / Issuer**

When reported as 23-Record Manifest Component Type Code = '**H**, the Manifest Component Identifier is a reference to a transportation HOUSE level waybill, ocean bill-of-lading, pro-bill, rail bill, or air waybill. The Manifest Component Issuer Code identifies the issuer of the house bill.

**Sub-House Bill Number**

When reported as 23-Record Manifest Component Type Code = '**S**, the Manifest Component Identifier is a reference to a transportation SUB-HOUSE level waybill, ocean bill-of-lading, pro-bill, rail bill, or air waybill.

**Vessel Shipments**

When MOT = 10, 11

| Control ID/Data Element | Reporting | Vessel Shipment Notes |
|---|---|---|
| 22-Record Manifested Quantity | M | Report the quantity of the smallest exterior packaging unit for the lowest level of bill number specified. Must be greater than zero. |
| 22-Record Manifested Quantity UOM Code | M | Report an industry accepted UOM code; report 'PCS' if multiple units specified on the bill. Left justify; trailing spaces. |
| 23-Record Manifest Component Type '**I**' (In-Bond/In-Transit Number) | | |
| Issuer Code | N | Never allowed. |
| Identifier | A | Report when the cargo has moved In-Bond. (Also requires reporting of the 20-Record In-Bond/In-Transit Date) |
| 23-Record Manifest Component Type '**M**' (Master Bill Number) | | |
| Issuer Code | M | Must be a known, 4-character SCAC. (Note that the Issuer may or may not be the operating conveyance Carrier.) |
| Identifier | M | Always required. |
| 23-Record Manifest Component Type '**H**' (House Bill Number) | | |
| Issuer Code | C | Always required when House Bill Number reported for Vessel; should be a known, 4-character SCAC. |
| Identifier | A | Not allowed to be reported without Master Bill Number. |
| 23-Record Manifest Component Type '**S**' (Sub-House Number) | | |
| Issuer Code | N | Never allowed. |
| Identifier | A | Not allowed to be reported without House Bill Number. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

Accepted combinations for Vessel:

| In-Bond/In-Transit Number ('I') | Master Bill Number ('M') | House Bill Number ('H') | Sub-House Bill Number ('S') |
|---|---|---|---|
| **VXXNNNNNNNNb / NNNNNNNNNbbb** | Required | Not reported | Not reported |
| **VXXNNNNNNNNb / NNNNNNNNNbbb** | Required | Allowed | Not reported |
| **VXXNNNNNNNNb / NNNNNNNNNbbb** | Required | Required, when Sub-House reported | Allowed |
| Not reported | Required | Not reported | Not reported |
| Not reported | Required | Allowed | Not reported |
| Not reported | Required | Required, when Sub-House reported | Allowed |

**Rail Shipments**

When MOT = 20, 21

| Control ID/Data Element | Reporting | Rail Shipment Notes |
|---|---|---|
| 22-Record Manifested Quantity | M | Report the quantity of the smallest exterior packaging unit for the lowest level of bill number specified. Must be greater than zero. |
| 22-Record Manifested Quantity UOM Code | M | Report an industry accepted UOM code; report 'PCS' if multiple units specified on the bill. Left justify; trailing spaces. |
| 23-Record Manifest Component Type '**I**' (In-Bond/In-Transit Number) | | |
| Issuer Code | N | Never allowed. |
| Identifier | A | Report when the cargo has moved In-Bond. (Also requires reporting of the 20-Record In-Bond/In-Transit Date) |
| 23-Record Manifest Component Type '**M**' (Master Bill Number) | | |
| Issuer Code | A | Allowed, but not required, to be reported with the Master Bill Number. Not allowed to be reported when no Master Bill Number present. When reported, must be a known, 4-character SCAC. (Note that the Issuer may or may not be the operating conveyance Carrier.) |
| Identifier | A | Allowed to be reported without In-Bond/In-Transit Number when no In-Bond/In-Transit Number reported or if the In-Bond/In-Transit Number is a CBP assigned Immediate Transportation number. Not allowed to be reported without In-Bond/In-Transit Number if the In-Bond/In-Transit Number is a Paperless In-Bond. |
| 23-Record Manifest Component Type '**H**' (House Bill Number) | | |
| Issuer Code | C | Always required when House Bill Number reported for Rail; should be a known, 4-character SCAC. |
| Identifier | C | Allowed to be reported without Master Bill Number when no In-Bond/In-Transit Number reported or if the In-Bond/In-Transit Number is a CBP assigned Immediate Transportation number. Not allowed to be reported without Master Bill Number if the In-Bond/In-Transit Number is a Paperless In-Bond. |
| 23-Record Manifest Component Type '**S**' (Sub-House Number) | | |
| Issuer Code | N | Never allowed. |
| Identifier | A | Allowed to be reported without House Bill Number when no In-Bond/In-Transit Number reported or if the In-Bond/In-Transit Number is a CBP assigned Immediate Transportation number. Not allowed to be reported without House Bill Number if the In-Bond/In-Transit Number is a Paperless In-Bond. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

Accepted combinations for Rail:

| In-Bond/In-Transit Number ('I') | Master Bill Number ('M') | House Bill Number ('H') | Sub-House Bill Number ('S') |
|---|---|---|---|
| **When Paperless In-Bond present as In-Bond/In-Transit Number: Bill or Lading Required** | | | |
| VXXNNNNNNNNb | Required | Not reported | Not reported |
| VXXNNNNNNNNb | Required | Allowed | Not reported |
| VXXNNNNNNNNb | Required | Required, when Sub-House reported | Allowed |
| **When Paperless In-Bond not present as In-Bond/In-Transit Number: ANY Combination Valid** | | | |
| NNNNNNNNNbbb or Not reported | Allowed or Not reported | Allowed or Not reported | Allowed or Not reported |

**Truck & Border Water Borne Shipments**

When MOT = 12, 30, 31

| Control ID/Data Element | Reporting | Truck & Border Water Borne Shipment Notes |
|---|---|---|
| 22-Record Manifested Quantity | M | Report the quantity of the smallest exterior packaging unit for the lowest level of bill number specified. Must be greater than zero. |
| 22-Record Manifested Quantity UOM Code | M | Report an industry accepted UOM code; report 'PCS' if multiple units specified on the bill. Left justify; trailing spaces. |
| 23-Record Manifest Component Type '**I**' (In-Bond/In-Transit Number) | | |
| Issuer Code | N | Never allowed. |
| Identifier | A | Report when the cargo has moved In-Bond. (Also requires reporting of the 20-Record In-Bond/In-Transit Date) |
| 23-Record Manifest Component Type '**M**' (Master Bill Number) | | |
| Issuer Code | A | Allowed, but not required, to be reported with the Master Bill Number. Not allowed to be reported when no Master Bill Number present. When reported, must be a known, 4-character SCAC. (Note that the Issuer may or may not be the operating conveyance Carrier.) |
| Identifier | A | Allowed to be reported without In-Bond/In-Transit Number when no In-Bond/In-Transit Number reported or if the In-Bond/In-Transit Number is a CBP assigned Immediate Transportation number. Not allowed to be reported without In-Bond/In-Transit Number if the In-Bond/In-Transit Number is a Paperless In-Bond. |
| 23-Record Manifest Component Type '**H**' (House Bill Number) | | |
| Issuer Code | A | Allowed, but not required, to be reported with the House Bill Number. Not allowed to be reported when no House Bill Number present. When reported, should be a known, 4-character SCAC. |
| Identifier | A | Allowed to be reported without Master Bill Number when no In-Bond/In-Transit Number reported or if the In-Bond/In-Transit Number is a CBP assigned Immediate Transportation number. Not allowed to be reported without Master Bill Number if the In-Bond/In-Transit Number is a Paperless In-Bond. |
| 23-Record Manifest Component Type '**S**' (Sub-House Number) | | |
| Issuer Code | N | Never allowed. |
| Identifier | A | Allowed to be reported without House Bill Number when no In-Bond/In-Transit Number reported or if the In-Bond/In-Transit Number is a CBP assigned Immediate Transportation number. Not allowed to be reported without House Bill Number if the In-Bond/In-Transit Number is a Paperless In-Bond. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

Accepted combinations for Truck & Border Water Borne:

| In-Bond/In-Transit Number ('I') | Master Bill Number ('M') | House Bill Number ('H') | Sub-House Bill Number ('S') |
|---|---|---|---|
| **When Paperless In-Bond present as In-Bond/In-Transit Number: Bill or Lading Required** | | | |
| VXXNNNNNNNNb | Required | Not reported | Not reported |
| VXXNNNNNNNNb | Required | Allowed | Not reported |
| VXXNNNNNNNNb | Required | Required, when Sub-House reported | Allowed |
| **When Paperless In-Bond not present as In-Bond/In-Transit Number: ANY Combination Valid** | | | |
| NNNNNNNNNbbb or Not reported | Allowed or Not reported | Allowed or Not reported | Allowed or Not reported |

**Air Shipments**

When MOT = 40, 41

| Control ID/Data Element | Reporting | Air Shipment Notes |
|---|---|---|
| 22-Record Manifested Quantity | M | Report the quantity of the smallest exterior packaging unit for the lowest level of bill number specified. Must be greater than zero. |
| 22-Record Manifested Quantity UOM Code | M | Report an industry accepted UOM code; report 'PCS' if multiple units specified on the bill. Left justify; trailing spaces. |
| 23-Record Manifest Component Type '**I**' (In-Bond/In-Transit Number) | | |
| Issuer Code | N | Never allowed. |
| Identifier | A | Report when the cargo has moved In-Bond. (Also requires reporting of the 20-Record In-Bond/In-Transit Date) |
| 23-Record Manifest Component Type '**M**' (Master Bill Number) | | |
| Issuer Code | N | Not allowed for Air. |
| Identifier | M | Always required. |
| 23-Record Manifest Component Type '**H**' (House Bill Number) | | |
| Issuer Code | N | Not allowed for Air. |
| Identifier | A | Not allowed to be reported without Master Bill Number. |
| 23-Record Manifest Component Type '**S**' (Sub-House Number) | | |
| Issuer Code | N | Never allowed. |
| Identifier | A | Not allowed to be reported without House Bill Number. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

Accepted combinations for Air:

| In-Bond/In-Transit Number ('I') | Master Bill Number ('M') | House Bill Number ('H') | Sub-House Bill Number ('S') |
|---|---|---|---|
| **XXXNNNNNNNNb / NNNNNNNNNbbb** | Required | Not reported | Not reported |
| **XXXNNNNNNNNb / NNNNNNNNNbbb** | Required | Allowed | Not reported |
| **XXXNNNNNNNNb / NNNNNNNNNbbb** | Required | Required, when Sub-House reported | Allowed |
| Not reported | Required | Not reported | Not reported |
| Not reported | Required | Allowed | Not reported |
| Not reported | Required | Required, when Sub-House reported | Allowed |

**All Other Shipments**

When MOT = 32 (Auto), 33 (Pedestrian), 34 (Road, Other), 50 (Mail), 60 (Passenger, Hand Carried), 70 (Fixed Transport)

| Control ID/Data Element | Reporting | All Other Shipment Notes |
|---|---|---|
| 22-Record Manifested Quantity | M | Report the quantity of the smallest exterior packaging unit for the lowest level of bill number specified. Must be greater than zero. |
| 22-Record Manifested Quantity UOM Code | M | Report an industry accepted UOM code; report 'PCS' if multiple units specified on the bill. Left justify; trailing spaces. |
| 23-Record Manifest Component Type '**I**' (In-Bond/In-Transit Number) | | |
| Issuer Code | N | Never allowed. |
| Identifier | A | Report when the cargo has moved In-Bond. (Also requires reporting of the 20-Record In-Bond/In-Transit Date) |
| 23-Record Manifest Component Type '**M**' (Master Bill Number) | | |
| Issuer Code | N | Not allowed. |
| Identifier | A | Allowed to be reported without In-Bond/In-Transit Number when no In-Bond/In-Transit Number reported or if the In-Bond/In-Transit Number is a CBP assigned Immediate Transportation number. Not allowed to be reported without In-Bond/In-Transit Number if the In-Bond/In-Transit Number is a Paperless In-Bond or AWB number. |
| 23-Record Manifest Component Type '**H**' (House Bill Number) | | |
| Issuer Code | A | Allowed, but not required, to be reported with the House Bill Number. Not allowed to be reported when no House Bill Number present. When reported, should be a known, 4-character SCAC. |
| Identifier | A | Allowed to be reported without Master Bill Number when no In-Bond/In-Transit Number reported or if the In-Bond/In-Transit Number is a CBP assigned Immediate Transportation number. Not allowed to be reported without Master Bill Number if the In-Bond/In-Transit Number is a Paperless In-Bond or AWB number. |
| 23-Record Manifest Component Type '**S**' (Sub-House Number) | | |
| Issuer Code | N | Never allowed. |
| Identifier | A | Allowed to be reported without House Bill Number when no In-Bond/In-Transit Number reported or if the In-Bond/In-Transit Number is a CBP assigned Immediate Transportation number. Not allowed to be reported without House Bill Number if the In-Bond/In-Transit Number is a Paperless In-Bond or AWB number. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

Accepted combinations for all other shipments:

| In-Bond/In-Transit Number ('I') | Master Bill Number ('M') | House Bill Number ('H') | Sub-House Bill Number ('S') |
|---|---|---|---|
| **When either Paperless In-Bond or AWB present as In-Bond/In-Transit Number: Bill or Lading Required** | | | |
| VXXNNNNNNNNb / XXXNNNNNNNNb | Required | Not reported | Not reported |
| VXXNNNNNNNNb / XXXNNNNNNNNb | Required | Allowed | Not reported |
| VXXNNNNNNNNb / XXXNNNNNNNNb | Required | Required, when Sub-House reported | Allowed |
| **When neither Paperless In-Bond nor AWB present as In-Bond/In-Transit Number: ANY Combination Valid** | | | |
| NNNNNNNNNbbb or Not reported | Allowed or Not reported | Allowed or Not reported | Allowed or Not reported |

**Further In-Bond/In-Transit Reporting Guidelines**

If the cargo has moved in-bond, than EACH and EVERY Cargo Manifest Grouping must include an In-Bond/In-Transit Number (i.e., if cargo in-bond movement is being claimed, then each manifest detail must report the movement.)

If cargo in-bond movement is being claimed, the In-Bond/In-Transit Date:

- Cannot be more than two years in the past.
- Cannot be later than the Estimated Entry Date (11-Record), when reported (with the exception of a TIB Entry Summary).
- Cannot be earlier than the Import Date (11-Record), when reported.

If cargo in-bond movement is being claimed, the District/Port of Entry (10-Record) cannot be the same as the District/Port of Unlading (20-Record), when reported.

## i) Bond & Surety Reporting

The following section describes the rules for the reporting/referencing of bond and Surety information covering conventional duty, taxes, and fees as well as well as any other coverage.

Refer to ACE CATAIR Customs eBond Create/Update chapter for information and specifications on how to electronically submit bonds to CBP. The specifications in that chapter cover the initial filing and the maintenance of a continuous or a single transaction bond.

A further discussion the bonding requirements for AD/CVD can be found in Usage Note '*(ff) Articles Subject to Anti-Dumping / Countervailing Duty*'.

In certain circumstances, when approved by the Port Director as described in C.R. 142.4 (c) and other regulations, a bond can be 'waived'. Bond waiver information is reported in the Entry Summary Header Control – 10-Record.

**Bond / Surety Applicability Date Matrix Hierarchy**

For purposes of determining bond/surety applicability, the automated system determines the relevant date as follows:

- **Release Date** (as determined by CBP)
- **Entry Date** (as determined by CBP)
- 11-Record **Estimated Entry Date** (if accepted without condition)
- **Preliminary Statement Print Date** (if accepted without condition)
- **EDI Received Date** (i.e., the "system date"; when no other date is available)

**Basic and Additional Coverage Guidelines**

Bond information is reported in the Bond Detail – 31-Record. If the bond has not been waived, use the 31-Record to indicate that the ***basic*** bond coverage (i.e., the bond covering Entry and Entry Summary requirements) is continuous (Bond Type Code = 8) or to indicate a Single Transaction Bond (STB) (Bond Type Code = 9).

Use an additional 31-Record to indicate that another, ***additional*** STB has been obtained to cover **other** liability. The allowable configurations of Bond Details in the Bond Grouping are as follows:

- Continuous Bond ONLY (a single 31-Record, Bond Designation Type Code = B [Basic], Bond Type Code = 8 for **all** coverage).

- Single Transaction Bond ONLY (a single 31-Record, Bond Designation Type Code = B [Basic], or U [Substitution], or E [Superseding], and Bond Type Code = 9 for **all** coverage).

- Continuous Bond + Single Transaction Bond:

    - One 31-Record, Bond Designation Type Code = B (Basic), Bond Type Code = 8 for primary coverage;
    - One 31-Record, Bond Designation Type Code = A (Additional), Bond Type Code = 9 for additional coverage.

- Single Transaction Bond + another Single Transaction Bond:

    - One 31-Record, Bond Designation Type Code = B (Basic), or U (Substitution), or E (Superseding), and Bond Type Code = 9 for primary coverage;

- One 31-Record, Bond Designation Type Code = A (Additional), Bond Type Code = 9 for additional coverage.

An informal entry (Entry Types **11** and **12**) neither requires a bond nor requires an explicit claim that the bond is waived. The Filer may, however, provide bond information or explicitly waive the bond for an informal.

**Continuous Bond Claim**

When the Bond Type Code (31-Record) is reported as **8** = Continuous Bond:

- When the Entry Type is **52** (Government), if the Importer is deemed *Non-Government*, the Importer must have an active, sufficient, pre-established continuous 'Importer/Broker' or 'Importer/Drawback/Broker' bond on file.

- When the Entry Type is **52** (Government), and the continuous bond claim is made, if the Importer is deemed *Government*, an actual continuous bond is not required to be on file.

- For all **other** entry types, the Importer must have an active, sufficient, pre-established continuous 'Importer/Broker' or 'Importer/Drawback/Broker' bond on file.

  Furthermore,

| Control ID/Data Element | Reporting | Notes |
|---|---|---|
| 10-Record Bond Waiver Indicator & 10-Record Bond Wavier Reason Code | N | Never allowed. |
| 31-Record Continuous Bond Indicator | A | Specify 'Y' to indicate the continuous bond coverage supersedes the bond presented at time of entry.<br><br>Specify 'S' to indicate the continuous bond coverage is a substitution for the bond presented at time of entry. |
| 31-Record Surety Company Code | M | The Surety Company Code must match the issuer of the 'continuous' bond obtained by the Importer (11-Record Importer of Record Number). |
| 31-Record Single Transaction Bond Amount | N | Never allowed. |
| 31-Record Single Transaction Bond Producer Account Number | N | Never allowed. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**Single Transaction Bond (STB) Claim**

When the Bond Type Code (31-Record) is reported as **9** = Single Transaction Bond (on either the *first* or *second* occurrence of the 31-Record):

| Control ID/Data Element | Reporting | Notes |
|---|---|---|
| 10-Record Bond Waiver Indicator & 10-Record Bond Wavier Reason Code | N | Never allowed. |
| 31-Record Continuous Bond Indicator | N | Never allowed. |
| 31-Record Surety Company Code | M | The Surety Company Code must be a known Surety company, neither in 'revoked' nor in 'cancelled' status. |
| 31-Record Single Transaction Bond Amount | M | Report the coverage amount in whole U.S. dollars. The amount must be greater than $0. |
| 31-Record Single Transaction Bond Producer Account Number | A | Report the Entry Filer's identification number assigned by the Surety company. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**Bond Waiver Claim**

When the Bond Waiver Indicator (10-Record) is reported as **0** = Bond Waved/No Bond Required:

- The bond **cannot** be waived for an explicit AD/CVD Entry Type (**03**, **07**, **34**, and **38**). The bond cannot be waived for Entry Types **06** (FTZ), **21** (Warehouse), **22** (Re-Warehouse), or **23** (TIB) if an AD/CVD case is reported.

- When the Entry Type is TIB (**23**), and no AD/CVD case reported, the bond can only be waived if EACH and EVERY article is of Canadian Origin.

Furthermore,

| Control ID/Data Element | Reporting | Notes |
|---|---|---|
| 10-Bond Waiver Reason Code | C | • When the Entry Type is **11** or **12** (Informal), the Bond Waiver Reason Code is never allowed (i.e., must be space).<br>• Otherwise for **all other** Entry Types that are legitimately allowed to be waived, the Bond Waiver Reason Code must be one found in '*AE Table 4 – Bond Waiver Reason Codes*'. |
| 31-Record (Bond Detail) reporting | N | Never allowed. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

## j) Basic Article Classification and Tariff Considerations

### Duty Rate Date Matrix Hierarchy

For purposes of classification, the automated system determines the date relevant for duty computation purposes (e.g., the selection of duty rates). The date is chosen from those reported (or those determined by CBP), in the following order:

When Entry Type **06** (FTZ) **and** the merchandise has been claimed as **P** (Privileged Foreign Status):

- 41-Record **Privileged FTZ Merchandise Filing Date** (if accepted without condition)

When a 'quota' Entry Type (i.e., **02** (Consumption – Quota/Visa), **07** (Consumption – AD/CVD + Quota/Visa), **12** (Informal – Quota/Visa), **32** (Warehouse Withdrawal – Quota), or **38** (Warehouse Withdrawal – Quota & AD/CVD),

- **Entry Date** (as determined by CBP)
- 11-Record **Estimated Entry Date** (if accepted without condition)
- **Release Date** (as determined by CBP)
- **Preliminary Statement Print Date** (if accepted without condition)
- 20-Record **Estimated Date of Arrival** (if accepted without condition, ONLY if later than **EDI Received Date**)
- **EDI Received Date** (i.e., the "system date"; when no other date available)

Otherwise,

- 20-Record **In-Bond/In-Transit Date** (if accepted without condition)
- **Entry Date** (as determined by CBP)
- 11-Record **Estimated Entry Date** (if accepted without condition)
- **Release Date** (as determined by CBP)
- **Preliminary Statement Print Date** (if accepted without condition)
- 20-Record **Estimated Date of Arrival** (if accepted without condition, ONLY if later than **EDI Received Date**)
- **EDI Received Date** (i.e., the "system date"; when no other date available)

The date chosen cannot be a date more than 90 days in the future.

### Reporting Value, Quantity, & Unit of Measure

Report the value of the article in whole US dollars. Report quantity and unit of measure (UOM) (1, 2, and 3) per that prescribed for the tariff in the HTS.

### Classifying a Temporary Article Imported Under a Bond (TIB)

On an Entry Type **23** (TIB) Entry Summary the article must be classified under one of the appropriate 9813.00 tariff numbers (see '*AE Table 9 – Exception Case Articles - Categorized*').

Furthermore,

- When ANY Line Item submitted with the Entry Summary is an *Article Under 6-Month Bond - 9813.00.75* then the Date of Importation can be no more than 6-Months in the past.

- For any other TIB Entry Summary, the Date of Importation can be no more than 12-Months in the past.

**k) Reporting Article Sets**

The General Rules of Interpretation (GRI 3(b) and 3(c)) of the Harmonized Tariff Schedule (HTS) provides for the classification of mixtures, composite goods of different materials or made up of different components, and goods put up in a ***set*** for retail sale. When specified by the Filer, a *group* of Entry Summary Line Items represent a *single* article, known as a **set**.

A conventional article is made up of a single Line Item. A set, however is made up of a single Line Item (known as the 'Article Set Header'), followed by two or more Line Items (each known as an 'Article Set Component').

Use the Article Set Indicator to specify the nature of the article reported:

- When not specified (i.e., space), an indication that the single Entry Summary Line Item represents a single article (i.e., not part of a set).
- When specified as 'X', an indication that the Entry Summary Line Item is part of an article 'set' and specifically the 'Article Set Header'.
- When specified as 'V', an indication that the Entry Summary Line Item is part of an article 'set' and specifically an 'Article Set Component'.

The classification on the Article Set Header Line Item is that deemed by the importer to represent the 'essential' character of the article (as 'interpreted'). Report the set Article Set Header's dollar value as the sum of the dollar values of all of the individual Article Set Components (i.e., the 'parts' of the set). It is the Article Set Header Line Item that is used to assess duty, MPF, and HMF. It is never used to assess IR Tax & Agricultural Management Service (AMS) fees, never used for visa/quota checks, never requires an AD/CVD case, and never undergoes any Unit Price or Quantity Ratio validation.

The subsequent Article Set Components are classified by the importer according to the specific 'part' of the set they represent. The classification of the *first* Article Set Component MUST be the same classification as that claimed on the Article Set Header. An Article Set Component is never used to assess duty, MPF, or HMF. It is used to assess IR Tax & Agricultural Management Service (AMS) fees, used for visa/quota checks, may require an AD/CVD case, and conditionally undergoes the Unit Price and Quantity Ratio validation.

**l) Duty Reporting**

A duty amount is required to be estimated and submitted at the article/line level when not specifically exempt. The article's duty amount is computed as prescribed by the classification found in the HTS. When subject to duty, report the amount as $0 when the estimate computes to less than $0.01.

When the article is exempt from duty, a duty amount of $0 must be reported. Some reasons that an article may be considered duty-free include:

- Deemed unconditionally duty free (per the HTS),
- 'Domestic' merchandise is being withdrawn from an FTZ,
- A legitimate duty exempting Trade Agreement/Special Program is cited (i.e., a code suitable for reporting with the article and/or country).

**m) Articles Exempt from a Merchandise Processing Fee (MPF)**

An article may be exempt from MPF. Some reasons include:

- Article originates in a "Column-3" country,
- Article originates in Israel,
- Article originates in a country actively participating in the Caribbean Basin Trade Economic Recovery Act / Caribbean Basin Initiative (CBERA/CBI),
- Article originates in a US Insular Possession,
- 'Domestic' merchandise is being withdrawn from an FTZ,
- The Entry Summary is Entry Type **23** (TIB),
- The article is claimed under *Special Classification Provision – Chapter 98* with the exception of articles categorized as *Not MPF Exempt – Chapter 98* (see '*AE Table 9 – Exception Case Articles - Categorized*'),
- A legitimate MPF exempting Trade Agreement/Special Program is cited (i.e., a code suitable for reporting with the article and/or country).

**n) Formal Entry Article Merchandise Processing Fee (MPF)**

When the Entry Type is neither **11**, nor **12** (Informal), nor **23** (TIB), the article's importation may be subject to a formal entry MPF. A MPF (i.e., a ***499*** user fee accounting class) amount is required to be estimated and submitted at the article/line level when not specifically exempt (see 'Articles Exempt from a Merchandise Processing Fee' above).

When the article is exempt from formal entry MPF, a ***499*** fee class must not be submitted. The automated system determines a date relevant for determining the formal entry MPF rate. The date is chosen from those reported (or those determined by CBP), in the following order:

When Entry Type **06** (FTZ) **and** the merchandise has been claimed as **P** (Privileged Foreign Status)

- 41-Record **Privileged FTZ Merchandise Filing Date** (if accepted without condition)

Otherwise,

- **Entry Date** (as determined by CBP)
- 11-Record **Estimated Entry Date** (if accepted without condition)
- **Release Date** (as determined by CBP)
- 10-Record **Preliminary Statement Print Date**
- 20-Record **Estimated Date of Arrival** (if accepted without condition, ONLY if later than **EDI Received Date**)
- **EDI Received Date** (i.e., the "system date"; when no other date available)

| When ***Date*** is… | …the ***Article Formal Entry MPF*** is computed as ***article value*** *: |
|---|---|
| On or after 01-Oct-2011 | 0.003464 |
| On or between 01-Jan-1995 thru 30-Sep-2011 | 0.0021 |
| On or between 01-Oct-1992 thru 12-Dec-1994 | 0.0019 |
| On or earlier then 30-Sep-1992 | 0.0017 |

### o) Article Harbor Maintenance Fee (HMF)

An article's importation may be subject to a Harbor Maintenance Fee (HMF). A HMF (i.e., a ***501*** user fee accounting class) amount is required to be estimated and submitted at the article/line level when required.

An estimated HMF is **required** on every article line on a border water borne shipment (MOT = **12**) and **allowed** for any other vessel shipment (MOT = **10, 11**) when the shipment is not specifically exempt by Entry Type or by the 'de minimus' threshold.

An article is exempt from HMF when:

- The MOT is other than **12** (border water borne) or **10, 11** (vessel);
- The Entry Type = **11** or **12** (Informal), **06** (FTZ), **22** (Re-warehouse), or **31, 32, 34, 38** (Warehouse Withdrawal);

When the Entry Summary is exempt from the HMF, a ***501*** fee class must not be submitted.

Furthermore, if the line is an 'Article Set Component' a ***501*** fee class must not be submitted.

In addition, when the amount of the HMF (for the entire entry summary) is equal to or less than $3.00 (the 'de minimus' threshold) <u>and</u> there is no other revenue due on the entry, HMF must not be submitted.

The automated system determines a date relevant for determining the HMF rate. The date is chosen from those reported in the following order:

- 11-Record **Date of Importation** (if accepted without condition)
- 20-Record **In-Bond/In-Transit Date** (if accepted without condition)
- 20-Record **Estimated Date of Arrival** (if accepted without condition)
- **EDI Received Date** (when no other date available)

| When ***Date*** is… | …the ***Article HMF*** is computed as ***article value*** *: |
|---|---|
| On or after than 01-Jan-1991 | 0.00125 |
| On or earlier than 31-Dec-1990 | 0.0004 |

**Note:** Calculate HMF at the article/line level as follows:

- Sum the value of goods amount (the whole dollar amounts) as reported in <u>all</u> tariff detail 50-records for the line
- Multiple this sum by the appropriate rate from the above table
- Apply standard rounding to the result and report this HMF value in dollars and cents (in a 62-record with 2 implied decimals)

Additional Guidance Concerning HMF Calculation:

- Do not use the sum of invoice values (which may include cents) for each HTS reported for the line
- Do not calculate HMF for each tariff reported on a line and then sum that to report HMF for the line
- There is no tolerance permitted, the HMF reported at the line level in the entry summary transaction must exactly match the CBP calculated HMF

**p) Dutiable Mail Fee**

The shipment may be subject to a 'dutiable' mail fee. A mail fee (i.e., a ***496*** user fee accounting class) amount is required to be estimated and submitted at the header level when required.

An estimated dutiable mail fee of exactly $5.00 is **required** for a mail shipment (MOT = **50**) when duty is owed CBP. If the entry is entirely *duty free* or the MOT is other than mail, a dutiable mail fee is never allowed.

**q) Informal Entry Merchandise Processing Fee (MPF)**

When the Entry Type is **11** or **12** (Informal), the article's importation may be subject to an informal entry MPF. An informal entry MPF (i.e., a ***311*** user fee accounting class) of exactly $2.00 is **required** to be reported as the 'header' level, for a non-consolidated, non-fixed transport Entry Summary, when not specifically exempt.

When the Entry Summary is exempt from informal entry MPF, a ***311*** fee class must not be submitted. An article is exempt from informal MPF when:

- The MOT = **50** (Mail),
- The Entry Port is a 'Courier Hub', a 'User Fee Airport' or an 'Express Courier Consignment Facility (ECCF)'

Further exemptions include when every line is exempt from MPF for any reason (see 'Articles Exempt from a Merchandise Processing Fee' above).

(**Note**: A 311 fee amount of more than $2.00 will be accepted for a consolidated Entry Summary. A 311 fee of any amount will be accepted for a fixed transport (MOT = **70**) shipment.)

**r) Manual Entry Surcharge**

The Entry Summary may be subject to a Manual Entry Surcharge (a type of MPF). A manual surcharge (i.e., a ***500*** user fee accounting class) of exactly $3.00 is **required** to be reported as the 'header' level, for a non-consolidated Entry Summary, when not specifically exempt. The surcharge is assessed to cover CBP's costs to manually process the cargo entry documentation for those non-automated Filer's in a non-border port.

When the Entry Summary is exempt from the manual surcharge, a ***500*** fee class must not be submitted. An article is exempt from the manual surcharge when:

- The Entry Type = **11** or **12** (Informal),
- The Filer is automated for Cargo Release/Certification in ***any*** port,
- The cargo was 'released' via a border 'line release' mechanism (i.e., FAST, BRASS),
- The Entry port is NOT a conventional Cargo Release port

Further exemptions include when <u>EACH</u> and <u>EVERY</u> line is exempt from MPF for any reason (see 'Articles Exempt from a Merchandise Processing Fee' above).

(**Note**: A 500 surcharge amount of more than $3.00 will be accepted for a consolidated Entry Summary.)

### s) License, Certificate, and Permit Reporting

Submit the identifier/number for the applicable license, certificate, or permit for the article on the 52-Record. ***Note***: An Administrative Message referenced below may refer to the submission of data in the existing ACS entry summary (EI) transaction format.

| License, Certificate, or Permit | Type Code | Notes |
|---|---|---|
| Steel Import License | 01 | For article of steel subject to safeguard measures.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the Department of Commerce.<br><br>Refer to Administrative Message 02-000910. |
| Singapore TPL Certificate | 02 | For Singapore trade preference level (TPL's) – tariff numbers 9910.6101 – 9910.6189.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the government of Singapore.<br><br>Refer to Administrative Message 04-000071. |
| Canadian NAFTA TPL Certificate | 03 | For articles subject to Canadian trade preference levels (TPL's).<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the certificate's issuer.<br><br>Refer to Administrative Message 04-002377 and 04-002553. |
| Mexican NAFTA TPL Certificate | 04 | For articles subject to Mexican trade preference levels (TPL's).<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the certificate's issuer.<br><br>Refer to Administrative Message 04-002377 and 04-002553. |
| Beef Export Certificate | 05 | For articles of beef subject to regulation.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the certificate's issuer.<br><br>Refer to Administrative Message 04-002376. |

| License, Certificate, or Permit | Type Code | Notes |
|---|---|---|
| Diamond Certificate | 06 | For articles of diamonds subject to the 'Kimberly' process regulation.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the Office of Foreign Asset Control (OFAC).<br><br>Refer to Administrative Message 04-002229. |
| Andean Trade Partnership Drug Eradication Act (ATPDEA) Certificate (HTS 98211119) | 07 | For articles subject to the ATPDEA brassiere provision.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the certificate's issuer.<br><br>Refer to Administrative Message 04-002378. |
| Australia Free Trade Export Certificate | 08 | For articles subject to Australian free trade regulation.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the Government of Australia.<br><br>Refer to Administrative Message 05-000018. |
| Mexican Cement Import License | 09 | For articles of cement from Mexico subject to regulation.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the Department of Commerce.<br><br>Refer to Administrative Message 06-001079. |
| CAFTA TPL Certificate | 10 | For articles subject to Nicaraguan trade preference levels (TPLs).<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the Government of Nicaragua.<br><br>Refer to Administrative Message 06-000936. |
| Canadian Softwood Lumber Export Permit | 11 | For articles of softwood lumber from Canada subject to regulation.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the Government of Canada.<br><br>Refer to Administrative Message 06-001119. |

| License, Certificate, or Permit | Type Code | Notes |
|---|---|---|
| Cotton Shirting Fabric License | 12 | For articles containing cotton fabric subject to regulation.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the Department of Commerce.<br><br>Refer to Administrative Messages 07-000186 and 07-000224. |
| Haiti 'Hope' Import Permit | 13 | (not yet available) |
| Agricultural License | 14 | For various agriculture products subject to Department or Agriculture and other quota regulation.<br><br>Length: 10 characters.<br>Acceptable Format(s): In the format supplied by the Department of Agriculture:<br><br>N-AA-NNN-N<br>N-AB-NNN-N<br><br>(Where N = numeric, A = alphabetic, and B = space. Include the dashes as indicated above.)<br><br>(Refer to Administrative Message 04-001326 for ONLY special 'sugar license' usage.) |
| Canadian Softwood Lumber Permit | 15 | (Note: 1990's program; no longer active; do not use.) |
| Canadian Export Sugar Certificate | 16 | For articles containing sugar from Canada subject to regulation.<br><br>Length: Not more than 8 characters.<br>Acceptable Format(s): In the format supplied by the certificate's issuer.<br><br>Refer to Administrative Message 99-001083. |
| Wool License | 17 | For articles containing wool subject to regulation.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the Department of Commerce.<br><br>Refer to Administrative Messages 00-001349 and 04-002550. |

| License, Certificate, or Permit | Type Code | Notes |
|---|---|---|
| Caribbean Basin Trade Partnership Act (CBTPA) Certification | 18 | For articles subject to the CBTPA brassiere provision.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the Department of Commerce.<br><br>Refer to Administrative Message 02-000387. |
| African Growth and Opportunity Act (AGOA) Textile Provision Number | 19 | For textile articles from Africa subject to regulation.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the certificate's issuer.<br><br>Refer to Administrative Message 01-000390. |
| Other 'Non-Standard' Visa | 20 | Use when instructed by CBP.<br><br>Length: Not more than 10 characters. |
| Sugar Certificate | 21 | USDA Sugar Certificate: For articles containing sugar subject to regulation.<br><br>Length: 9 characters<br>Acceptable Format: ANAAAANNN<br><br>(Where N = numeric and A = alphabetic)<br><br>Refer to CSMS #13-000023<br><br>Mexican Sugar Export License: For articles imported from Mexico containing sugar subject to the CVD Suspension Agreement.<br><br>Length: 9 characters<br>Acceptable Format: AANNNNNNN<br><br>(Where N = numeric and A = alphanumeric)<br><br>Where the first two digits identify the mill, the next two digits indicate the year, the next two digits indicate the month, and the last three digits are sequentially assigned.<br><br>Refer to CSMS #15-000065 |

| License, Certificate, or Permit | Type Code | Notes |
|---|---|---|
| Organic Product Exemption Certificate | 22 | For articles eligible for the Organic Exemption program of the Agriculture Marketing Service (AMS).<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by AMS.<br><br>Refer to CSMS #04-002257, #14-000113.<br><br>***(Note: This is the preferred method to specify an organic exemption. The alternate method of specifying a value of '2' in the 40-Record Fee Exemption Code will be discontinued in a future release TBD.)*** |
| AMS Certificate of Exemption | 23 | For articles of raspberries, for approved producers under a program administered by the National Processed Raspberry Council.<br><br>Length: Not more than 9 characters.<br>Acceptable Format(s): In the format supplied by the National Processed Raspberry Council.<br><br>Refer to CSMS #14-000113. |

### t) Electronic Invoice Processing (EIP) Program Reporting Requirements

**Note**: Until further notice, marking the 10-Record Electronic Invoice Indicator with a 'Y' (an EIP claim) is not allowed when the filer also specifies an 'A' in 10-Record Cargo Release Certification Request Indicator (Certify for ***ACE*** Cargo Release).

Furthermore, use of the legacy ACS Automated Invoice Interface to submit an EDI invoice (when requested by CBP) is now limited to an AE filing where the 10-Record Electronic Invoice Indicator is marked with a 'Y' (an EIP claim) and the filer also specifies a 'Y' in 10-Record Cargo Release Certification Request Indicator (Certify for ***ACS*** Cargo Release).

CBP is currently evaluating the need for an EDI invoice submission program in ACE (i.e., a program similar to ACS's AII).

See *Entry Summary Response - Usage Notes (e) '**Responding to a Document Submission Request**'* for the action required on the part of the filer when a subsequent request for additional information, via an Entry Summary Notification (UC), is received from CBP.

An authorized Filer participating in the EIP program can mark the Entry Summary as 'EIP' (10-Record Electronic Invoice Indicator = 'Y'). This requires:

- A continuous bond.
- The Entry Summary is to be paid on an ACH statement.

Furthermore, the Filer is required to submit at least one Invoice Line Reference Detail (42-Record) for each and every Entry Summary Line Item using one of the following configurations:

- A 'stand-alone' Invoice Line Reference Detail(s) is an indication that the corresponding electronic invoice be (or has already been) submitted to CBP.

- An Invoice Line Reference Detail(s) followed by a single Ruling Detail (43-Record) containing a Pre-Classification, Pre-Approval, or Binding Ruling number is an indication the filer is claiming that a prior determination has been made and the actual electronic invoice should not be needed by CBP.

In both cases, a Commercial Description of the cargo can be submitted as well (in the form of one or more Commercial Description 44-Records).

Note that an EIP claim is required if the Entry Summary is filed remotely (RLF) and the filer has specified a 'Y' in 10-Record Cargo Release Certification Request Indicator (Certify for ACS Cargo Release).

### u) Non-EIP Program Classification Ruling Reporting

If an Electronic Invoice Processing claim has NOT been made (i.e., 10-Record Electronic Invoice Indicator NOT = 'Y'), the filer may submit a single Pre-Classification, Pre-Approval, or Binding Ruling 'number' on an Entry Summary Line Item (on the Ruling Detail – 43-Record).

In addition, a Commercial Description of the cargo can be submitted (in the form of one or more Commercial Description 44-Records) for the Entry Summary Line item.

(**Note**: An Invoice Line Reference Detail (42-Record) is not allowed for a non-EIP Entry Summary.)

### v) Article Charges

Aggregate cost (excluding duty) of freight, insurance, and etc. (i.e. charges') may always be reported. Charges must be reported, however, when the total article value exceeds $1,250 with the following exceptions:

- The Entry Type = **11**, or **12** (Informal),
- The Country of Origin has been declared as a US Insular Possession,
- The MOT = **60** (Passenger, Hand Carried),
- The line item is an Article Set Component,
- The article is a repaired item (9802.00.40 or 9802.00.50), yet the value of the repair is equal/less than $1,250,
- The article is a returned item (9801.00.1000 thru 9801.00.1099), yet the value of the return is equal/less than $10,000,
- The article is conditionally required to be a on a formal entry (e.g., 7102.31.0000), yet the value is equal/less than $250.

In these cases, a value of $0 for article charges is accepted.

### w) Determining the Formal Entry Merchandise Processing Fee (MPF) Min / Max

If the reported article(s) require a formal entry MPF, a minimum or maximum amount to be assessed may apply. The automated system determines which maximum to assess based on the same date relevant for determining the article formal entry MPF rate (see *Formal Article Merchandise Process Fee, Usage Note n*).

| When ***Date*** is… | …the ***Article MPF Rate*** is: | …the ***MPF Minimum / Maximum*** is… | ***MPF Minimum Threshold*** | ***MPF Maximum Threshold*** |
|---|---|---|---|---|
| On or after 01-Oct-2011 | 0.003464 | In Effect | = $25.00 | = $485.00 |
| On or between 01-Jan-1995 thru 30-Sep-2011 | 0.0021 | in Effect | = $25.00 | = $485.00 |
| On or between 01-Oct-1992 thru 12-Dec-1994 | 0.0019 | in Effect | = $21.00 | = $400.00 |
| On or between 01-Oct-1990 thru 30-Sep-1992 | 0.0017 | in Effect | = $21.00 | = $400.00 |
| On or earlier then 30-Sep-1990 | 0.0017 | **NOT** in Effect | n/a | n/a |

When formal entry MPF applies, report the **499** 'total' in the Total Fee Detail (89-Record). If the total article MPF fee(s) do NOT exceed the minimum threshold, report the minimum amount specified above. If the total article MPF fee(s) exceed the maximum threshold, report the maximum amount specified above. If the total article MPF fee(s) fall in between the minimum/maximum, or if the minimum or maximum is NOT in effect, report total article MPF fee sum.

(**Note**: An amount greater than the maximum will be accepted for a consolidated Entry Summary. An amount less than the minimum or greater than the maximum will be accepted for a fixed transport (MOT = **70**) shipment.)

**x) Grand Total Reporting**

Generally, the 'grand' totals reported on the Grand Totals (90-Record), must equal the sum of the duty, tax, fee, AD duty, and CV duty estimates reported at the header or line level.

If, however, a formal entry MPF minimum or maximum applies and was reported in the Total Fee Detail (89-Record), however, the MPF portion of the Grand Total User Fee Amount must be the minimum/maximum amount (rather the true sum of the article MPF estimates).

**y) Payment Intent & Statements**

The following tables describe the payment intent specific reporting requirements.

**Individual Payment (Non-Statement)**

When 10-Record Payment Type Code = 1

| Control ID/Data Element | Reporting | Individual Payment (Not-Statement) Notes |
|---|---|---|
| 10-Record Preliminary Statement Print Date | N | Not allowed. |
| 10-Record Periodic Statement Month | N | Not allowed. |
| 10-Record Statement Client Branch Identifier | N | Not allowed. |
| 60-Record (IR Tax Information) reporting | A | No article restrictions. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**Daily Statement**

The Broker/Filer must be authorized for 'statement' processing.

When 10-Record Payment Type Code = 2, 3, or 5

| Control ID/Data Element | Reporting | Daily Statement Payment Notes |
|---|---|---|
| 10-Record Preliminary Statement Print Date | M | Report the date that the Entry Summary is to appear on the preliminary statement. The date must be in the future (yet not exceed 90-days) and cannot be a weekend day or a holiday. |
| 10-Record Periodic Statement Month | N | Not allowed. |
| 10-Record Statement Client Branch Identifier | C | Required if the Broker/Filer has pre-specified the use of this feature (see Client Representative), otherwise not allowed. |
| 60-Record (IR Tax Information) reporting | A | No article restrictions. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**Periodic Monthly Statement (Broker)**

The Broker/Filer must be authorized for 'statement' processing. Both the Broker/Filer and Importer must be an ACE account.

When 10-Record Payment Type Code = 6

| Control ID/Data Element | Reporting | Period Monthly Statement (Broker) Payment Notes |
|---|---|---|
| 10-Record Preliminary Statement Print Date | M | Report the date that the Entry Summary is to appear on the preliminary statement. The date cannot be a weekend day or a holiday. If the Preliminary Statement Print Date month is the same as the Periodic Statement Month, the Preliminary Statement Print date day must be earlier than the Broker/Filer's chosen periodic statement day. |
| 10-Record Periodic Statement Month | M | Report the month that the Entry Summary is to be accounted for on the periodic statement. The reported month is always considered a future month. The month can be the current month, next month, or the month following that. |
| 10-Record Statement Client Branch Identifier | C | Required if the Broker/Filer has pre-specified the use of this feature (see Client Representative), otherwise not allowed. |
| 60-Record (IR Tax Information) reporting | N | An article subject to an IR tax is not allowed to be paid/disposed of on a monthly statement. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**Periodic Monthly Statement (Importer)**

The Broker/Filer must be authorized for 'statement' processing. Both the Broker/Filer and Importer must be an ACE account.

When 10-Record Payment Type Code = 7 or 8

| Control ID/Data Element | Reporting | Period Monthly Statement (Importer) Payment Notes |
|---|---|---|
| 10-Record Preliminary Statement Print Date | M | Report the date that the Entry Summary is to appear on the preliminary statement. The date cannot be a weekend day or a holiday. If the Preliminary Statement Print Date month is the same as the Periodic Statement Month, the Preliminary Statement Print date day must be earlier than the Importer's chosen periodic statement day. |
| 10-Record Periodic Statement Month | M | Report the month that the Entry Summary is to be accounted for on the periodic statement. The reported month is always considered a future month. The month can be the current month, next month, or the month following that. |
| 10-Record Statement Client Branch Identifier | C | Required if the Broker/Filer has pre-specified the use of this feature (see Client Representative), otherwise not allowed. |
| 60-Record (IR Tax Information) reporting | N | An article subject to an IR tax is not allowed to be paid/disposed of on a monthly statement. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**Correcting a 'Rejected' Entry Summary Once Payment Has Been Made**

When correcting/amending an Entry Summary that has been 'returned' to the Filer after the initial Payment has been made (e.g., 'rejected' by an Import Specialist) NO payment intent information is allowed.

| Control ID/Data Element | Reporting | Correction Scenario Notes |
|---|---|---|
| 10-Record Payment Type Code | N | Not allowed; report spaces. |
| 10-Record Preliminary Statement Print Date | N | Not allowed; report spaces. |
| 10-Record Periodic Statement Month | N | Not allowed; report spaces. |
| 10-Record Statement Client Branch Identifier | N | Not allowed; report spaces. |

Reporting Key: **M** = Mandatory, **C** = Conditionally Required, **A** = Allowed, **N** = NOT Allowed

**z) Consolidating Releases Under One Entry Summary**

Specify that the Entry Summary accounts for (i.e., 'consolidates') the cargo referenced in more than one Cargo Release (entry) transaction by marking the 10-Record Consolidated Summary Indicator with a '**Y**'.

A Consolidated Summary claim can only be made on Entry Types **01** (Consumption – Free & Dutiable), **06** (FTZ), and **11** (Informal – Free & Dutiable).

The cargo referenced in the 'consolidating' Entry Summary cannot have been released (i.e., a Cargo Release (entry) transaction cannot be on file for the Entry Summary Entry Number).

EACH and EVERY 'release' cited in the Consolidated Release Grouping:

- Must be for the same Filer Code as submitted in the 'consolidating' Entry Summary 10-Record.
- Must be a previously established 'release' made in the same CBP district as the 'consolidating' Entry Summary.
- Cannot have already been consolidated under another 'consolidating' Entry Summary.
- Must all have been 'released' within a single seven-day period.
- Must all have been transported under the same transportation mode (i.e., MOT Code).
- If transported by air (i.e., MOT Code = **40** or **41**), must all have been transported by the same Carrier.

Furthermore:

- The Country of Origin Code reported on EACH and EVERY Line Item of the 'consolidating' Entry Summary MUST be the same (or co-mingled with 'US').
- The Country of Export Code reported on EACH and EVERY Line Item of the 'consolidating' Entry Summary MUST be the same.

Note that the $2,500 merchandise value limit for an Informal entry is not applied to a Consolidating Summary.

When correcting/amending an Entry Summary that has been 'returned' to the Filer after the initial Payment has been made (e.g., 'rejected' by an Import Specialist) a Consolidated Summary claim can **NO LONGER** be made. The 10-Record Consolidated Summary Indicator must be space filled. If the underlying 'rejected' Entry Summary that is being corrected was previously accepted as a Consolidating Entry Summary (with a list of 'releases), the resulting corrected Entry Summary will remain a Consolidating Entry Summary and the previously established list of 'releases' will remain unchanged.

### aa) Claiming Future Reconciliation

Specify a future 'reconciliation' by marking the 10-Record Trade Agreement Reconciliation Indicator with a '**Y**' and/or specifying the relevant issue(s) in the 10-Record Reconciliation Issue Code.

A Reconciliation claim can only be made on Entry Types **01** (Consumption – Free & Dutiable), **02** (Consumption – Quota/Visa), and **06** (FTZ). A Reconciliation claim is not allowed, however, on an Entry Summary Entry Type **06** (FTZ) if AD/CVD information has been reported.

When a Reconciliation Issue has been specified for an Entry Type **02** (Consumption – Quota/Visa) summary, 'classification' CANNOT be cited as the issue (i.e., only codes **001**, **003**, and **005** are allowed – 'value' and '9802').

When either a Trade Agreement or conventional reconciliation claim is made:

- The Filer must claim a continuous bond (Bond Type Code = **08**).
- The Importer of Record must be an approved 'reconciliation' Importer.

Furthermore, when a Trade Agreement reconciliation claim has been made (**OR** if not specifically made, the Importer is set up for 'blanket' Trade Agreement reconciliation), the 11-Record Date of Importation is required.

### bb) Warehouse, Re-Warehouse, & Warehouse Withdrawal Entry Summaries

#### Making a Warehouse Entry Claim

- When making an Entry Type **21** (Warehouse) claim, the 11-Record Date of Importation is required and MUST be EARLIER than the relevant 'classification date' (i.e., the date used for the selection of duty rates).
- If relevant to the importation, include AD/CVD case information.

#### Making a Re-Warehouse Claim

Report the associated 'Warehouse' entry number in the Warehouse Withdrawal Information (30-Record).

- The Entry Summary cited as the associated 'Warehouse' entry must be a 'Warehouse' entry (Entry Type **21** or **22**) and must neither be fully paid, nor liquidated, nor cancelled.
- The submitted Warehouse D/P (cited in the 30-Record) must match the D/P found on the Entry Type **21** or **22** on file.
- The Import Date of the original Warehouse summary cannot be more than 5 years earlier than the 11-Record Estimated Entry Date of the submitted Re-Warehouse.
- The 11-Record Date of Importation is not allowed. The date used to establish the five-year warehousing period is the Date of Importation of the original Entry Type **21** Entry Summary. Note that the ACE system will make this determination. All subsequent withdrawals made against this Re-Warehouse entry must also be done within the original five-year period as established by the original Entry Type **21** Entry Summary.
- An HMF-501 fee is never assessed on a Re-Warehouse and thus not allowed.
- If relevant to the importation, include AD/CVD case information.

#### Making a Warehouse Withdrawal Claim

Report the associated 'Warehouse' entry number in the Warehouse Withdrawal Information (30-Record).

- The 'cargo' referenced in the Warehouse Withdrawal cannot have been 'released'. (Note: Only the cargo associated with the Warehouse entry is 'released'; the filing of the 'withdrawal' is an Entry Summary activity only.)
- The Entry Summary cited as the associated 'Warehouse' entry must be a 'Warehouse' entry (Entry Type **21** or **22**) and must neither be fully paid, nor liquidated, nor cancelled.
- The submitted Warehouse D/P (cited in the 30-Record) must match the D/P found on the Entry Type **21** or **22** on file.
- The Import Date of the original Warehouse summary cannot be more than five years earlier than the 11-Record Estimated Entry Date of the submitted Withdrawal.
- An HMF-501 fee is never assessed on a Warehouse Withdrawal, and thus not allowed.
- If the Filer is paying by a statement, the payment must be made via ACH.

To make the 'final' Warehouse Withdrawal, mark the 30-Record Final Warehouse Withdrawal Indicator with a '**Y**' (Final).

Once the 'final' Warehouse Withdrawal or Re-Warehouse claim has been made for a Warehouse Entry or Re-Warehouse Entry, NO additional 'withdrawal' can be claimed. Note, however, that until such time that Warehouse Entry is fully paid, the Filer shall be able to change the 'final' designation by submitting that existing Withdrawal and specifying 'Not Final'. As an alternative, the 'final' designation of an existing Withdrawal can be removed if replaced by another Withdrawal specifying 'final'.

### cc) Preemptively Overriding a Census Warning

Use the CW02-Record Census Warning Condition Override Code to preemptively 'override' a Census 'warning'. (See '*AE Table 10 – Census Warning Condition Override Codes*' and '*AE Table 11 – Census Warning Condition / Census Override Combinations*' for a list of codes supported in this transaction). The Broker/Filer is not required to use this override feature, however; the post Entry Summary acceptance CW Transaction can be used as well (not documented here).

Evaluation of the Census conditions shall be performed on the Entry Summary for *each* submission. If a Census condition was overridden in a previous submission, the condition must be overridden again for the latest submission (i.e., an Entry Summary submission 'resets' any previous override and preemptively applies an override, if provided).

### dd) Reporting PGA Form Data

Various PGA form data is conditionally required in an Entry Summary filing.

Record formats are described in the follow CATAIR chapters:

- ACS CATAIR '*Other Government Agencies*' chapter
- ACE CATAIR '*Partner Government Agencies*' chapter (i.e., the PGA Message Set)

**Articles Subject to FCC Regulation**

The Federal Communications Commission (FCC) requires that a FCC-740 (Statement Regarding the Importation of Radio Frequency Devices Capable of Causing Harmful Interference) be filed for merchandise identified as containing radio frequency devices.

Use the instructions provided here and in the ACS CATAIR '*Other Government Agencies*' chapter.

Note that any article where the Country of Origin is reported as 'US' or the first HTS Number is either **9802.00.40.40** or **9802.00.50** is NOT subject to FCC regulation; an FCC form 740 is not required.

**Articles Subject to FDA Regulation**

| When… | FDA Data Reporting | Notes |
|---|---|---|
| 10-Record Cargo Release Certification Request Indicator = **Y** (Certify for ACS Cargo Release). | When required, submit OGA FDA data per the ACS CATAIR '*Other Government Agencies*' chapter instructions. | Allowed, but not required in the Entry Summary submission. If the Entry Summary filing is successful, any FDA data found in the submission will be 'validated' as part of the 'ACS Cargo Release' process. Error conditions, if found, shall be returned to the Filer in a separate response transaction. |

| | | |
|---|---|---|
| 10-Record Cargo Release Certification Request Indicator = **A** (Certify for ACE Cargo Release). | When required, submit PGA FDA data per the PGA Message Set instructions. | Any FDA error or warning condition shall be returned in the AX response. The Entry Summary submission shall not be accepted if there are any FDA fatal error conditions. |
| 10-Record Cargo Release Certification Request Indicator = **blank** (no Certify for Cargo Release request); cargo was released via a Line Release mechanism (FAST, BRASS, or Rail Line Release). | | |
| 10-Record Cargo Release Certification Request Indicator = **blank** (no Certify for Cargo Release request); any other scenario. | | |

**Articles Subject to DOT/NHTSA Regulation**

| When… | DOT Data Reporting | Notes |
|---|---|---|
| 10-Record Cargo Release Certification Request Indicator = **Y** (Certify for ACS Cargo Release). | When required, submit OGA DOT data per the ACS CATAIR *'Other Government Agencies'* chapter instructions. | Allowed, but not required in the Entry Summary submission. If the Entry Summary filing is successful, any DOT data found in the submission will be 'validated' as part of the 'ACS Cargo Release' process. Error conditions, if found, shall be returned to the Filer in a separate response transaction. |
| 10-Record Cargo Release Certification Request Indicator = **A** (Certify for ACE Cargo Release). | When required, submit PGA DOT data per the PGA Message Set instructions. | Any DOT error or warning condition shall be returned in the AX response. The Entry Summary submission shall not be accepted if there are any DOT fatal error conditions. |
| 10-Record Cargo Release Certification Request Indicator = **blank** (no Certify for Cargo Release request); cargo was released via a Line Release mechanism (FAST, BRASS, or Rail Line Release). | | |
| 10-Record Cargo Release Certification Request Indicator = **blank** (no Certify for Cargo Release request); any other scenario. | | |

**Articles Released Via an Expedited Release Program Subject to PGA Reporting**

If the corresponding cargo release was done via an expedited release program (i.e., FAST, BRASS, or Rail Line Release), the 10-Record Cargo Release Request Indicator cannot be used. If any of the articles are subject to PGA reporting for any agency, include the PGA

dataset records where appropriate and specify '**Y**' in the 10-Record PGA Expedited Release Indicator.

**ee) Certifying for Cargo Release**

An Entry Summary filed remotely (RLF) (with the exception of the Entry Type Codes noted below) requires that the filer also Certify for Cargo Release (either ACS or ACE).

A request to 'Certify for Cargo Release' is never allowed for the following Entry Type Codes: '**22**' (Re-Warehouse), '**3x**' (Warehouse Withdrawal), and '**51**' (Military-DCMA).

**Certifying for ACS Cargo Release**

To Certify for an ACS Cargo Release specify the 10-Record Cargo Release Certification Request Indicator = **Y**.

If the Entry Summary filing is successful, and a certification request has been made, an Entry shall be conditionally created as part of the 'request for ACS Cargo Release' process. Error conditions, if found, shall be returned to the Filer in a separate response transaction.

In addition to the 10-Record Entry Filer Code, Entry Number, and Entry Type Code, the following table lists the Entry Summary data elements that are used by the Cargo System to 'Certify for ACS Cargo Release':

| **Control ID or *(Record/Grouping)*** | **Data Element Name** |
|---|---|
| 10-Record | District Port of Entry |
| 10-Record | Mode of Transportation Code (MOT) |
| 10-Record | Bond Waiver Indicator |
| 10-Record | Bond Waiver Reason Code |
| 11-Record | Importer of Record Number |
| 11-Record | Consignee Number |
| 31-Record | Bond Type Code |
| 31-Record | Surety Company Code |
| 20-Record | Carrier Code |
| 20-Record | District/Port of Unlading |
| 20-Record | Estimated Date of Arrival |
| 20-Record | Location of Goods Code |
| 20-Record | Conveyance Name |
| 20-Record | Vessel Code |
| 21-Record | Trip Identifier |
| *(Cargo Manifest Grouping)* | |
| 40-Record | Country of Origin Code |
| 47-Record | Manufacturer/Supplier Code |
| 50-Record | HTS Number |
| 50-Record | Value of Goods Amount |
| *(DOT Grouping)* | |
| *(FDA Grouping)* | |

**Certifying for ACE Cargo Release**

To Certify for an ACE Cargo Release specify the 10-Record Cargo Release Certification Request Indicator = **A**.

The ACE Cargo Release transaction requires commercial entities to be reported, most by name and address, which the ACE Entry Summary does not require. Refer to the Header Cargo Entity Grouping (SE30 to SE36 Records) and the Line Level Cargo Entity Grouping (SE50 to SE56 Records) sections of this document for more detail.

**Note**: Until further notice, marking the 10-Record Electronic Invoice Indicator with a 'Y' (an EIP claim) is not allowed when the filer also specifies an 'A' in 10-Record Cargo Release Certification Request Indicator (Certify for ACE Cargo Release).

### ff) Articles Subject to Anti-Dumping / Countervailing Duty

#### General AD/CVD Reporting Considerations

Articles subject to antidumping duty/countervailing duty (AD/CVD) must be reported using an explicit AD/CVD Entry Type: **03** (Consumption – AD/CVD), **07** (Consumption – Quota/Visa & AD/CVD), **34** (Warehouse Withdrawal – AD/CVD), or **38** (Warehouse Withdrawal – Quota & AD/CVD). These entry types require that at least one AD/CVD case (53-Record) is included on at least one Entry Summary Line item.

Furthermore, when the Entry Type is FTZ (**06**), Warehouse (**21**), Re-Warehouse (**22**), or TIB (**23**) an AD/CVD Case Detail (53-Record) must be reported for any article subject to AD/CVD.

The following data submission rules apply for an explicit AD/CVD Entry Type or when AD/CVD case information is reported when the Entry Type is **06**, **21**, **22**, or **23**:

- When the article is reported as a GRI 'set', AD/CVD case information is only allowed to be submitted on a Set Component Line item. AD/CVD case information is not allowed to be reported on the Set Header Line item.

- AD/CVD case information is not allowed to be reported when the article (i.e., line item) includes HTS number 9802.00.40 (Article Exported for Repair/Alteration - Made Pursuant to Warranty) or 9802.00.50 (Article Exported for Repair/Alteration).

- When providing the AD/CVD non-reimbursement information with the entry summary, the filer should make (through ACE) either an AD/CVD Non-Reimbursement Statement or provide an AD/CVD Non-Reimbursement Declaration Identifier on a line that includes AD/CVD case information. Use of this paperless ACE functionality will expedite the transmission of this information to CBP. Failure to make a claim with the entry summary will not affect the acceptance of the entry summary.

- Report the breakout of AD/CVD sub-totals on the 88-Record: Total Bonded AD Duty, Total Cash Deposit AD Duty, Total Bonded CVD Duty, and Total Cash Deposit CVD Duty. Report the Grand Total AD Duty and Grand Total CVD Duty on the 90-Record.

Use the ACE ABI AD/CVD Case Information Query (AD/AC) to retrieve information regarding active AD/CVD cases.

**AD/CVD Case Activity Date Matrix Hierarchy**

For purposes of case activity, the automated system determines the relevant date. The date is chosen from those reported (or those determined by CBP), in the following order:

- **Entry Date** (as determined by CBP)
- 11-Record **Estimated Entry Date** (if accepted without condition)
- **Release Date** (as determined by CBP)
- 20-Record **Estimated Date of Arrival** (if accepted without condition)
- **EDI Received Date** (i.e., the "system date"; when no other date available)

**AD/CVD Case Reporting**

Cite the full 10-digit active case number(s) without the hyphens ('-') in the 53-Record Case Number. Submit both the AD case and related CVD case when required. An informational condition shall be returned if a related case is missing or if the two submitted case are not related.

If the case requires a cash deposit, then the Bond/Case Claim Code must be 'C'. Otherwise, if the case allows a bond and the Filer chooses to bond, then the Bond/Case Claim Code must be 'B'. (The Filer may deposit cash however; the Bond/Case Claim Code will be accepted if 'C'.)

**AD/CVD Rates and Duty Computation**

Based on the case instructions, submit the 53-Record Case Deposit Rate as either an *ad valorem* or *specific* rate (53-Record Case Rate Type Qualifier Code). In the rare scenario where the case has BOTH an *ad valorem* and *specific* rate, submit the case data with one or the other.

When claiming the *ad valorem* rate:

- Compute the 53-Record AD/CVD Duty Amount as *ad valorem* rate * sum of the Value of Goods Amount(s) from EACH and EVERY 50-Record submitted for the line item.
- (Alternatively, the AD/CVD Duty Amount may be computed as *ad valorem* rate * 53-Record AC/CVD Value of Goods Amount. Please see note below concerning use of the AD/CVD Value of Goods Amount.)
- 53-Record AD/CVD Quantity is not allowed (must be zero).

When claiming the *specific* rate:

- 53-Record AD/CVD Quantity must be greater than zero.
- Compute the 53-Record AD/CVD Duty Amount as specific rate * 53-Record AD/CVD Quantity.
- 53-Record AD/CVD Value of Goods Amount is not allowed (must be zero).

In a scenario where neither an *ad valorem* nor *specific* rate has been established for an active case (i.e., both are zero), submit a 53-Record for the case, yet:

- 53-Record AD/CVD Duty Amount is not allowed (must be zero).
- 53-Record AD/CVD Quantity is not allowed (must be zero).
- 53-Record AD/CVD Value of Goods Amount is allowed. (Please see note below concerning use of the AD/CVD Value of Goods Amount.)
- 53-Record Case Rate Type Qualifier Code must be 'A' (ad valorem).

**Please note:** the 53-Record AD/CVD Value of Goods Amount should only be reported and used when the Department of Commerce (DOC) allows the trade to appraise the AD/CVD goods with a method different than the appraisement methods used by CBP for calculating the entered value of goods. If DOC has not established a different appraisement method, the values provided for the tariff should be used to calculate the AD/CVD duty for an entry summary line and the AD/CVD Value of Goods Amount must be zero filled. Refer to CSMS messages #15-000091 and #04-001995 for additional information.

In addition, only report and use the 53-Record AD/CVD Quantity when the Department of Commerce indicates that a specific rate applies for the case being reported and, therefore, must be used to calculate the AD/CVD duty.

### gg) Filing a Post Summary Correction (PSC)

A Post Summary Correction (PSC) is an unsolicited correction/amendment to an Entry Summary, made by a filer, prior to *liquidation*, yet after CBP's *initial* acceptance, review, and disposition of that Entry Summary. A PSC is a means for an importer/broker to make virtually any change or correction (with some restrictions) to the Entry Summary data.

A PSC is considered as a *full replacement* of the Entry Summary data currently on file with CBP. Accordingly, CBP will neither unconditionally 'agree' nor 'disagree' with the information presented in the PSC. ACE shall accept the information as the most up-to-date available. Once reviewed, however, CBP may change the associated collection information to reflect any resulting monetary changes.

While ACE shall accept the correction of most Entry Summary data elements, those that affect admissibility (including other government agency information) are not allowed to be changed. The PSC is conditionally subjected to many of the same edits and validations as a *conventional* (non-PSC) Entry Summary filing. Similar to a conventional summary filing, if one or more fatal conditions are encountered in the PSC filing, the data is not accepted by ACE and the Entry Summary data on file in ACE remains unchanged.

While there is no limit to the number of PSC filings that ACE will accept for an Entry Summary, the PSC filer is required to explain and to cite one or more *reasons* that the Entry Summary data is being changed via the PSC.

**PSC Reporting Considerations**

- Only an ACE Entry Summary established initially through the ACE ABI AE transaction is allowed to be the subject of a PSC. An ACS Entry Summary (established through the ACS ABI EI transaction) cannot be amended with a PSC in ACE. (The importer/filer shall be required to adhere to the existing ACS Post Entry Amendment [PEA] process.)

- Mark the 10-Record Post Summary Correction Indicator with a **Y** to indicate a PSC (a value of blank/space in the data element will identify the filing as a conventional, non-PSC, entry summary).

- An Entry Summary that has been accepted, reviewed, and disposed of by CBP cannot be deleted. Thus, the 10-Record Summary Filing Action Request Code of **D** (Delete) is not allowed in a PSC filing.

- A conventional, non-PSC filing shall not be accepted for an Entry Summary once a PSC has been successfully submitted and accepted by ACE.

- The initial Entry Summary must have already been 'paid' (i.e., accounted for as a collection) and be scheduled for liquidation (except for AD/CVD entry summaries).

- The filer has a 270-day window from the date that CBP accepted the entry to submit a PSC. A PSC shall not be accepted, however, if the scheduled liquidation date is within 20 days of the filing. This is to ensure that CBP has adequate time to review and process the changed Entry Summary information.

- The initial Entry Summary cannot have already been reconciled.

- An informal entry is not eligible for a PSC. A PSC filing shall be rejected if either the conventional Entry Summary on file in ACE or the PSC filing's 10-Record Entry Type Code is an informal entry type (i.e., 11 or 12).

- A conventional Entry Summary submitted and accepted with an AD/CVD Entry Type Code (e.g., 03) is not permitted to be changed to a non-AD/CVD entry in a PSC filing. It is permissible to change a non-AD/CVD entry to an AD/CVD entry in a PSC filing (e.g., from 01 to 03); the PSC filing would be required to include all required AD/CVD case information, however.

- Mark the 10-Record Accelerated Liquidation Request Indicator with a **Y** to request that CBP 'accelerate' the liquidation.

**PSC Data Element Reporting Restrictions**

The following data elements are not allowed to be modified in a PSC filing. Changes to all other data elements are allowed.

| Control ID/Data Element | Reporting | PSC Scenario Notes |
|---|---|---|
| 10-Record District/Port of Entry | M | Must match exactly the District/Port of Entry on file. |
| 10-Record Cargo Release Certification Indicator | N | Not allowed; report spaces. |
| 10-Record Consolidated Summary Indicator | N | Not allowed; report spaces. |
| 10-Record Live Entry Indicator | N | Not allowed; report spaces. |
| 10-Record Trade Agreement Reconciliation Indicator | N | Not allowed; report spaces. |
| 10-Record Reconciliation Issue Code | N | Not allowed; report spaces. |
| 10-Record Payment Type Code | N | Not allowed; report spaces. |
| 10-Record Preliminary Statement Print Date | N | Not allowed; report spaces. |
| 10-Record Periodic Statement Month | N | Not allowed; report spaces. |
| 10-Record Statement Client Branch Identifier | N | Not allowed; report spaces. |
| 11-Record Importer of Record Number | M | Must match exactly the Importer of Record Number on file. |
| 20-Record Location of Goods Code | N | Not allowed; report spaces. |
| *Consolidated Release Grouping* (32-Record) | N | Record/grouping not allowed. |
| *DOT Grouping* (DT01-03-Record) | N | Record/grouping not allowed. |
| *FDA Grouping* (FD01-05 Record) | N | Record/grouping not allowed. |

Reporting Key: **M** = Mandatory, **N** = NOT Allowed

**PSC Explanation and Change Reason Code Reporting**

The PSC filer is required to explain the reason for filing a PSC with both a text description and codes.

At least one PSC Filing Explanation (36-Record) is required. Use the PSC Filing Explanation (36-Record grouping) in a manner similar to the written explanation used in the manual ACS Post Entry Amendment (PEA) process. Always provide a business explanation for the PSC submission; do not specify 'N/A', 'None', or similar term.

In addition to the explanation, the PSC filer is required to cite one or more *reasons* that the Entry Summary data is being changed via the PSC. See '*AE Table 14 – Post Summary Correction Header Reason Codes*' and '*AE Table 15 – Post Summary Correction Line Reason Codes*' for a list of the PSC change reasons.

ACE shall conditionally ensure that the PSC change reason cited conforms to the actual change being made. Do not submit PSC reasons that are not consistent with the changes being made. Multiple reasons (up to five) can be supplied in both the 35-Record PSC Header Reasons and 63-Record PSC Line Reasons.

<u>Change to the Entry Type Code</u>. Cite code **H01** or **H02** in the 35-Record Post Summary Correction Header Reason Code if the 10-Record Entry Type Code has changed. Do not cite these codes if the Entry Type Code has not changed.

<u>Change to Any Other Header Grouping Data Element</u>. Cite one or more of the other header codes (**H04-H13**) in the 35-Record Post Summary Correction Header Reason Code, if applicable. Use the **H99** code to indicate a change to a header data element not specifically covered under codes H04-H13. (Note: A change does not include those data elements that are not allowed to be submitted in a PSC; e.g. Live Entry Indicator.) Do not cite header change reasons if the data elements in the header have not changed.

<u>Changes to Line Item Grouping Data Elements</u>. Use one or more Post Summary Correction Line Reason Codes when any entry summary line data has changed.

Where possible, submit one or more line reasons codes on those entry summary lines that have actually changed.

Use the **L01** code to denote that the commercial invoice has changed. The change may be because an invoice line was inadvertently omitted from the original filing. (Use of the L01 is particularly helpful for the CBP reviewer as the number of submitted PSC entry summary lines may be more than or less than the number of entry summary lines on the entry summary being replaced.)

Many of the reason codes are somewhat related. A change, based on the invoice, may also affect classification (**L03**), SPI (**L02**), value (**L04**), duty (**L06**), MPF (**L17**), and others. Use the combination of codes that best help pinpoint the change.

**PSC and Entry Summary Ownership Considerations**

- When an entry summary (AE) transaction is filed in and accepted by ACE, the filer, as indicated in the AE transaction B-Record Filer Code, is the current owner of the entry summary.

- A PSC entry summary transaction may be filed in ACE by another filer other than the current owner of the entry summary (whether the entry summary on file is a conventional or PSC entry summary).

- The entry summary transaction B-record Filer Code for a PSC entry summary submission may be different from the Entry Filer Code of the entry summary number as reported in the AE 10-Record.

- The entry summary number of the originally filed (and accepted) entry summary remains the same throughout the life cycle of the entry summary regardless of the entry summary owner.

- When an entry summary changes ownership due to the successful filing of a PSC by a filer other than the current owner, ACE will send an Entry Summary Status Notification (UC message, Disposition Type Code = 8) to only the most recent filer which just lost ownership of the entry summary.

- Filers (any owner of the entry summary) may use the ACE Entry Summary Query transaction to request detail data and status information concerning the entry summary.

**hh) Standard Rounding**

- When reporting entered value (value of goods amount in the 50-record) , use standard rounding as defined in 19 CFR 159.3

- When reporting other numeric data, standard rounding should be applied to arrive at the required reporting format (e.g. a calculated fee of $181.56451 would be rounded to $181.56 and reported as 18156 since 2 decimal positions are implied and a calculated duty of $256.18515 would be rounded to $256.19 and reported as 25619 since 2 decimal positions are implied).

- The following table provides some additional standard rounding examples for reporting numeric data in CATAIR transmissions.

| Data | Standard Rounding |
|---|---|
| Entered Value (see 19 CFR 159.3) shown as a whole number | $123.49 would be rounded to and reported as 123<br>$123.50 would be rounded to and reported as 124<br>$123.51 would be rounded to and reported as 124 |
| Duties, taxes and fees reported as dollars and cents. | $123.58155 would be rounded to 123.58 and reported as 12358<br>$123.56451 would be rounded to 123.56 and reported as 12356<br>$123.54500 would be rounded to 123.55 and reported as 12355 |
| Quantities where 3 decimal places are implied | 123.4598000 would be rounded to 123.460 and reported as 123460<br>123.0854509 would be rounded to 123.085 and reported as 123085 |
| Quantities where 4 decimal places are implied | 123.5678490 would be rounded to 123.5678 and reported as 1235678<br>123.0375550 would be rounded to 123.0376 and reported as 1230376 |

## Output Record Structure Map

The following table illustrates how repeating groups are structured and returned in a proprietary format Entry Summary filing response by ACE.

| Control ID | Name | Designation | Loop Repeat |
|---|---|---|---|
| | Entry Summary Response **TRANSACTION** Grouping | | |
| E0 | Entry Summary Condition Reference (SUMMRY) | M | |
| | Condition Reference Grouping | C | > 1 |
| E0 | Entry Summary Condition Reference | M | |
| | Condition Grouping | C | > 1 |
| E1 | Entry Summary **Condition**/Disposition Response | M | |
| E1 | Entry Summary Condition/**Disposition** Response | M | |

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

## Entry Summary Response OUTPUT Record Layout

### Entry Summary Response TRANSACTION Grouping

An Entry Summary Condition Reference (type: **SUMMRY**) will unconditionally be returned to the Filer/Transmitter in an output response.

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

### Entry Summary Condition Reference (Output E0).

The Entry Summary Condition Reference may be returned in the output multiple times within a single response Entry Summary Response TRANSACTION Grouping.

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

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

## Note 1

For Partner Government Agency (PGA) data, the occurrence position for the PG01 record will be the PGA Line Number. For all other PGA records, the occurrence position will be zero.

**Returned Entry Summary Reference Data**

Table 1: **Returned Entry Summary Reference Data**

<table>
<tr><th>Reference Data Type Code</th><th>Description / Usage</th><th>Returned ‘Reference Data Text’ Content</th></tr>
<tr><td>SUMMRY</td><td><u>Description:</u> Entry Summary Identifier.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Entry Summary Transaction within the Block Control Grouping. Type will unconditionally be returned.</td><td><table>
<tr><th>Position</th><th>Description / Source</th></tr>
<tr><td>26-28</td><td>Entry Filer Code (10-Record)</td></tr>
<tr><td>29-29</td><td>Space.</td></tr>
<tr><td>30-37</td><td>Entry Number (10-Record)</td></tr>
<tr><td>38-38</td><td>Space.</td></tr>
<tr><td>39-50</td><td>Broker Reference Number (10-Record)</td></tr>
<tr><td>51-51</td><td>Space.</td></tr>
<tr><td>52-54</td><td>CBP Team Number</td></tr>
<tr><td>55-80</td><td>Space.</td></tr>
</table></td></tr>
<tr><td>CARMAN</td><td><u>Description:</u> Cargo manifest detail grouping.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Cargo Manifest Detail (22-Record) within the Entry Summary HEADER Grouping.</td><td><table>
<tr><th>Position</th><th>Description / Source</th></tr>
<tr><td>26-33</td><td>Manifested Quantity (22-Record)</td></tr>
<tr><td>34-34</td><td>Space.</td></tr>
<tr><td>35-39</td><td>Manifested Quantity Unit of Measure Code (22-Record)</td></tr>
<tr><td>40-80</td><td>Space.</td></tr>
</table></td></tr>
<tr><td>BOLINB</td><td><u>Description:</u> Bill-of-Lading/In-Bond grouping.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Bill of Lading/In-bond Detail (23-Record) within the Cargo Manifest Detail (22-Record).</td><td><table>
<tr><th>Position</th><th>Description / Source</th></tr>
<tr><td>26-26</td><td>Manifest Component Type Code (23-Record)</td></tr>
<tr><td>27-27</td><td>Space.</td></tr>
<tr><td>28-39</td><td>Manifest Component Identifier (23-Record)</td></tr>
<tr><td>40-80</td><td>Space.</td></tr>
</table></td></tr>
<tr><td>BNDDTL</td><td><u>Description:</u> Bond grouping.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Bond Detail (31-Record) within the Entry Summary HEADER Grouping.</td><td><table>
<tr><th>Position</th><th>Description / Source</th></tr>
<tr><td>26-26</td><td>Bond Type Code (31-Record)</td></tr>
<tr><td>27-27</td><td>Space.</td></tr>
<tr><td>28-28</td><td>Bond Designation Type Code (31-Record)</td></tr>
<tr><td>29-29</td><td>Space.</td></tr>
<tr><td>30-32</td><td>Surety Company Code (31-Record)</td></tr>
<tr><td>33-80</td><td>Space.</td></tr>
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<tr><td>CONREL</td><td><u>Description:</u> Consolidated release grouping.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Release Entry Filer Code/Number within <u>ALL</u> Release Details (32-Record) within the Entry Summary HEADER Grouping.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>26-28</td><td>Release Entry Filer Code (32-Record)</td></tr><tr><td>29-30</td><td>Space.</td></tr><tr><td>31-38</td><td>Release Entry Number (32-Record)</td></tr><tr><td>39-80</td><td>Space.</td></tr></table></td></tr>
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<tr><td>FEETOT</td><td><u>Description:</u> Fee total grouping.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the Accounting Class Code within <u>ALL</u> Fee Total Details (89-Record) within the Entry Summary TOTALS Grouping.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>26-28</td><td>Accounting Class Code (89-Record)</td></tr><tr><td>29-29</td><td>Space.</td></tr><tr><td>30-40</td><td>Total Fee Amount (89-Record)</td></tr><tr><td>41-80</td><td>Space.</td></tr></table></td></tr>
<tr><td>PGOI</td><td><u>Description:</u> Clear description of the commercial line item in English (not the same as the tariff description).<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the codes in this record.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>26-80</td><td>Pertinent portion of corresponding PGA record</td></tr></table></td></tr>
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<tr><td>PG32</td><td><u>Description:</u> Commodity Routing Information.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the data related to commodity routing.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>26-80</td><td>Pertinent portion of corresponding PGA record</td></tr></table></td></tr>
<tr><td>PG33</td><td><u>Description:</u> Geographic Area or Description of Commodity Routing.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the data related to the ocean geographic area of commodity harvesting.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>26-80</td><td>Pertinent portion of corresponding PGA record</td></tr></table></td></tr>
<tr><td>PG34</td><td><u>Description:</u> Travel Documentation.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the travel related codes.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>26-80</td><td>Pertinent portion of corresponding PGA record</td></tr></table></td></tr>
<tr><td>PG35</td><td><u>Description:</u> Department Of Transportation, National Highway Traffic safety Administration Conformance Bonds.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the DOT bond data.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>26-80</td><td>Pertinent portion of corresponding PGA record</td></tr></table></td></tr>
<tr><td>PG55</td><td><u>Description:</u> Additional Roles performed by an Entity or Individual.<br><br><u>Usage:</u> Occurrence Position = the relative sequence of the additional entity role codes.</td><td><table><tr><th>Position</th><th>Description / Source</th></tr><tr><td>26-80</td><td>Pertinent portion of corresponding PGA record</td></tr></table></td></tr>
</table>

**Entry Summary Condition/Disposition Response (Output E1)**

The Entry Summary Condition/Disposition Response may be returned in the output multiple times within a single response Entry Summary Response TRANSACTION Grouping.

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

| ***E1-Record*** **Data Element** | **Length/ Class** | **Position** | **Desig** | **Description** | **Note** |
|---|---|---|---|---|---|
| Control Identifier | 2AN | 1-2 | M | Always **E1** | |
| Disposition Type Code | 1AN | 3-3 | M | An indication as to CBP's final disposition of action requested.<br><br>**Space** = Not a final disposition record.<br><br>**A** = Final disposition; the transaction has been **ACCEPTED** by CBP; the action requested was successfully performed.<br>**R** = Final disposition; the transaction has been **REJECTED** by CBP; the action requested was NOT performed. | 1 |
| Severity Code | 1AN | 4-4 | M | An indication as to the severity of the condition (if any):<br><br>• **F =** 'Fatally' invalid data or critical error.<br>• **W** = Census warning.<br>• **P** = Partner Government Agency warning.<br>• **I** = Informational notice ONLY.<br>• **Space** = No condition(s) encountered. | 2, 3, 6 |
| Condition Code | 3AN | 5-7 | M | Code that identifies the condition or final disposition regarding an Entry Summary filing. | |
| Reason Code | 3AN | 8-10 | C | A further identification of the condition for CBP internal use ONLY. | |
| Narrative Text | 40AN | 11-50 | M | Text description that corresponds to the Condition Code. | |
| Entry Filer Code | 3AN | 51-53 | C | Filer's identification code as reported on the input 10-Record. | |
| Filler | 2S | 54-55 | M | Space fill. Reserved filler for possible future expansion of Entry Filer Code and/or Entry Number | |

| *E1-Record* Data Element | Length/ Class | Position | Desig | Description | Note |
|---|---|---|---|---|---|
| Entry Number | 8AN | 56-63 | C | Unique identifying number assigned to the Entry by the Filer as reported on the input 10-Record. | |
| Version Number | 5N or 5S | 64-68 | C | The *latest* version number of the entry summary (when the transaction is accepted).<br><br>The first 3 positions indicate the "major" revision number; the last 2 positions indicate the "minor" revision number. | 5 |
| Broker Reference Number | 9X | 69-77 | C | Conditionally, the Filer/Preparer's internal Entry Summary identifier as reported on the input, if any. | 4 |
| Filler | 3S | 78-80 | M | Space fill until expanded length fully supported. Reserved filler for future expansion of the Broker Reference Number when fully ACE compatible. | |

## Note 1

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

## Note 2

A *Census warning* condition is noted when the reported Entry Summary data conflicts with a pre-established Census 'expected range' parameter; the data may or may NOT be correct. A Census warning condition is generated in an Entry Summary Response ONLY. It is the responsibility of the trade participant to verify the accuracy of the Entry Summary data and make corrections or submit a Census Warning Override Code. In a *final disposition* Entry Summary response, if no fatal conditions are found, yet one or more Census warning conditions are found (and no Partner Government Agency conditions are found), the Severity Indicator will be 'W'.

A *Partner Government Agency warning* condition is noted when the reported Entry Summary data conflicts with a Partner Government Agency data validation; the data may or may NOT be correct. It is the responsibility of the trade participant to verify the accuracy of the Entry Summary data and make corrections as needed. In a *final disposition* Entry Summary response, if no fatal conditions are found, yet one or more Partner Government Agency warning conditions are found (and no Census warning conditions are found), the Severity Indicator will be 'P'.

In a *final disposition* Entry Summary response, if no fatal conditions are found, yet one or more Partner Government Agency warning conditions are found and one or more Census warning conditions are found, the Severity Indicator will be 'P'.

## Note 3

An *informational* condition results in a non-critical notification to the filer. No action is expected from the trade participant. If a *final disposition* Entry Summary response, if neither fatal, nor Census warning conditions are found, yet one or more informational notations are found, the Severity Indicator will be 'I'.

## Note 4

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

## Note 5

The *latest* version number of the entry summary will be returned on the 'final disposition' E1-Record when the input 10-Record Summary Filing Action Request Code = A (Add) or R (Replace) and the final disposition E1-Record Disposition Type Code = A (Accepted).

This data element will be spaces when:

- 10-Record Filing Action Request Code = D (Delete) (whether or not the deletion was successful), or
- E1-Record Disposition Type Code = R (Rejected), or
- E1-Record Disposition Type Code = space (not a final disposition).

The 5 position entry summary version number is comprised of two parts; the major revision number (positions 1-3) and the minor revision number (positions 4-5).

The entry summary version number will be 00100 when the entry summary is initially filed and accepted in ACE. The revision number will remain 00100 if the filer submits add or replace entry summary filing action requests until the time the entry summary is put on a statement.

The major revision portion of the version number will only change when the entry summary has been rejected by CBP or taken off statement and subsequently replaced by the filer. For example, when the entry summary is replaced after one of these actions, the entry summary version number of 00200 indicates such a situation.

The minor revision portion of the version number will only change when the entry summary has been modified by an authorized CBP user. For example, an entry summary revision number of 00201 indicates that the entry summary was replaced by the filer after CBP rejection (or taken off statement) and subsequently modified once by an authorized CBP user.

## Note 6

Refer to ACE ABI CATAIR "*Appendix G – Condition Codes and Text*" for all conditions returned including the Partner Government Agency conditions.

## Entry Summary Response - Usage Notes

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

### a) Entry Summary Batch Syntax Evaluation

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

**Response to an 'Unrecognizable' Entry Summary Transaction**

If the record that…

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

..is NOT an Entry Summary Header Control – 10-Record, then that 'Entry Summary transaction' and the ENTIRE BATCH will be rejected:

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

**Response to a Syntactically Incorrect Batch, Block, or Entry Summary Transaction**

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

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

### b) Entry Summary Final Dispositions

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

| Disposition Type Code | Severity Code | Description | Entry Summary Filing Action Required | Filer Action Required |
|---|---|---|---|---|
| R | F | **Rejected.** An indication that one or more Entry Summary data elements reported in the transaction contain invalid or conflicting data or the Entry Summary already exists and cannot and is not eligible to be updated. | If the Entry Summary already exists and is not eligible to be updated, no further action required. Otherwise correct immediately and retransmit to CBP. | Review filing practices and software to ensure conformance with the interface. |
| A | W | **Accepted with Census Warning.** An indication that one or more data values reported for the Summary conflicts with a pre-established Census 'expected range' parameter. | If the data is in error, change the information and submit an Entry Summary 'correction'. If the submitted information conflicts with a pre-established Census parameter, yet is legitimate, submit a Census Warning Override Code. (Note: a Census Warning Override Code must be received for EACH and EVERY warning). | Verify the information reported. Prior to Census acceptance of the Entry Summary, submit a Census Warning Override Code for each warning generated. Review filing practices and software to ensure conformance with the interface. |
| A | P | **Accepted with Partner Government Agency Warning.** An indication that one or more data values reported for the Summary conflicts with a Partner Government Agency data validation. | If the data is in error, change the information and submit an Entry Summary 'correction'. | Verify the information reported. Review filing practices to ensure conformance with regulation, CBP policy, and Partner Government Agency policy. |

| Disposition Type Code | Severity Code | Description | Entry Summary Filing Action Required | Filer Action Required |
|---|---|---|---|---|
| A | I | **Accepted with an Informational Notice.** An indication that a non-critical condition has been encountered. | If the information implies that the article may be subject to AD/CVD duty, review the article and, if needed, submit an AD/CVD case. Other AD/CVD information may be returned to inform the Filer of related case or party applicability. If needed, re-submit the AD/CVD case(s) in the proper relationships with the proper parties. If other than AD/CVD related, no action required. | Verify the information reported. Review filing practices to ensure conformance with regulation and CBP policy. |
| A | | **Unconditionally Accepted.** An indication that no condition has been encountered. | None required. | None required. |

**c) Response to a 'Recognizable' Entry Summary Transaction Component**

The data returned for an Entry Summary transaction will reflect the 'Summary Filing Action Request Code' specified in the Entry Summary Header Control – 10-Record.

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

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

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

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

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

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

**Note:** The final disposition text will not reflect a 'paperless' or 'paper required' assessment of the Entry Summary. A subsequent electronic message from CBP, however, shall inform the Filer as to how to proceed.

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

When **REJECTED**: fatal condition E1-Records will be returned. Census warning conditions are not generated for a delete action. However, Informational notice E1-Records may also be returned. All condition E1-Records will correspond to and follow

one or more E0-Records that shall convey to the Filer/Transmitter which data grouping component in the submission has caused, or contributed to, that condition. The final disposition E1-Record narrative text is TRANSACTION DATA REJECTED. If the Entry Summary had previously been accepted, the Entry Summary is left intact.

When **ACCEPTED**: No condition E1-Records will be returned. The final disposition E1-Record narrative text is ENTRY SUMMARY DELETED. The Entry Summary is removed from CBP's automated system.

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

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

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

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

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

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

### e) Responding to a Document Submission Request

If the submitted Entry Summary is accepted, CBP may decide that additional information / documentation is required. The following table clarifies the action required on the part of the filer when such a subsequent request for additional information, via an Entry Summary Notification (UC), is received from CBP. This table shows the accepted combinations of:

- 'Certifying for Cargo Release' (10-Record Cargo Release Certification Request Indicator)
- RLF Claim (B-Record Remotely Filed Indicator)
- EIP Claim (10-Record Electronic Invoice Indicator)

| Certify for Cargo Release | RLF Claimed | EIP Claimed | Action Required when UC Notification Type '1' RECEIVED *Request for electronic invoice data only* | Action Required when UC Notification Type '2' RECEIVED *Request for the entry summary package* |
|---|---|---|---|---|
| No (AE 'Certify for Cargo Release' not used) | No | No | n/a | Send Documents to Document Image System |
| No (AE 'Certify | No | Yes | Send Invoices to Document Image System | n/a |

| Certify for Cargo Release | RLF Claimed | EIP Claimed | Action Required when UC Notification Type '1' RECEIVED *Request for electronic invoice data only* | Action Required when UC Notification Type '2' RECEIVED *Request for the entry summary package* |
|---|---|---|---|---|
| for Cargo Release' not used) | | | | |
| Y=ACS | No | No | n/a | Send Documents to Document Image System |
| Y=ACS | No | Yes | Send EDI Invoices to ACS via AII | n/a |
| Y=ACS | Yes | Yes | Send EDI Invoices to ACS via AII | n/a |
| A=ACE | No | No | n/a | Send Documents to Document Image System |
| A=ACE | Yes | No | Send Invoices to Document Image System | n/a |

## AE Table 1 – Check Digit Computation Formula

The check digit formula that follows is used for:

The Entry Number (and consists of two portions):

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

A Paperless In-Bond Number (and consists of two portions):

- *Filer Identifier* portion (using position 1-3 of the *Bill of Lading/In-Bond Detail* record's Manifest Component Identifier [when type '**I**']). This value may be both alphabetic and numeric.
- *Sequence Number* portion (using positions 4-10 of the *Bill of Lading/In-Bond Detail* record's Manifest Component Identifier [when type '**I**']). This value may be both alphabetic and numeric.

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

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

The result is a 10-position number:

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

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

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

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

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

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

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

```
1   2   3   4   5   6   7   8   9   10
N   N   N   N   N   N   N   N   N   N
-       -       -       -       -
N   +   N   +   N   +   N   +   N      = Odd Sum Value (NN)
```

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

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

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

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

The result is the check digit.

## AE Table 2 – Entry Type Codes

***Note*:** Only types '01', '03', '11', 51', and '52' are supported at this time. Additional Entry Types shall be made available in the future

| Entry Type Code | Description |
|---|---|
| 01 | Consumption – Free & Dutiable |
| 02 | Consumption – Quota/Visa |
| 03 | Consumption – AD/CVD |
| 06 | Foreign Trade Zone (FTZ) |
| 07 | Consumption – Quota/Visa & AD/CVD |
| 11 | Informal – Free & Dutiable |
| 12 | Informal – Quota/Visa |
| 21 | Warehouse |
| 22 | Re-warehouse |
| 23 | Temporary Importation under Bond (TIB) |
| 31 | Warehouse Withdrawal – Consumption |
| 32 | Warehouse Withdrawal – Quota |
| 34 | Warehouse Withdrawal – AD/CVD |
| 38 | Warehouse Withdrawal – Quota & AD/CVD |
| 51 | Military - Defense Contract Management Agency (DCMA) |
| 52 | Government - Dutiable |

## AE Table 3 – Mode of Transportation Codes

| MOT Code | Description |
|---|---|
| 10 | Vessel, Non-Containerized |
| 11 | Vessel, Containerized |
| 12 | Border Water Borne |
| 20 | Rail, Non-Containerized |
| 21 | Rail, Containerized |
| 30 | Truck, Non-Containerized |
| 31 | Truck, Containerized |
| 32 | Auto |
| 33 | Pedestrian |
| 34 | Road, Other |
| 40 | Air, Non-Containerized |
| 41 | Air, Containerized |
| 50 | Mail |
| 60 | Passenger, Hand Carried |
| 70 | Fixed Transport |

## AE Table 4 – Bond Waiver Reason Codes

| Bond Waiver Reason Code | Description |
|---|---|
| 995 | Supplemental Duty Bills on Vessel Repair Entries |
| 996 | Fines, Penalty, or Liquidated Damage Bills |
| 997 | All Other Contingent Bills |
| 998 | Bills Secured – Other than Surety |
| 999 | No Surety, Unsecured Bills |

## AE Table 5 – Canadian Province Codes

Table 5a – Conventional Canadian Province Codes

| Code | Province |
|---|---|
| XA | Alberta |
| XB | New Brunswick |
| XC | British Columbia |
| XM | Manitoba |
| XN | Nova Scotia |
| XO | Ontario |
| XP | Prince Edward Island |
| XQ | Quebec |
| XS | Saskatchewan |
| XT | Northwest Territories |
| XV | Nunavut |
| XW | Newfoundland & Labrador |
| XY | Yukon |

Table 5b – Extended British Columbia Province Codes

| Code | Province |
|---|---|
| XD | British Columbia (Coastal) |
| XE | British Columbia (Interior) |

## AE Table 6 – User Fee Accounting Class Codes

| User Fee Accounting Class Code | Description |
|---|---|
| **34-Record 'Header'** | |
| 311 | Informal Merchandise Processing Fee |
| 496 | Dutiable Mail Fee |
| 500 | Manual Entry Surcharge |
| **62-Record 'Line'** | |
| 053 | Beef Fee |
| 054 | Pork Fee |
| 055 | Honey Fee |
| 056 | Cotton Fee |
| 057 | Raspberry Fee |
| 079 | Sugar Fee |
| 090 | Potato Fee |
| 102 | Lime Fee |
| 103 | Mushroom Fee |
| 104 | Watermelon Fee |
| 105 | Sheep Fee |
| 106 | Blueberry Fee |
| 107 | Avocado Fee |
| 108 | Mango Fee |
| 109 | Sorghum Fee |
| 110 | Dairy Product Fee |
| 499 | Formal Merchandise Processing Fee |
| 501 | Harbor Maintenance Fee |

## AE Table 7 – Missing Document Codes

| Missing Document Code | Description |
|---|---|
| 01 | Commercial Invoice |
| 10 | CBPF 5523 (19 CFR 141.89) |
| 11 | CBPF 3291 |
| 14 | Lease Statement (19 CFR 10.108(b)) |
| 15 | Re-melting Certificate (19 CFR 54.6(a)) |
| 16 | Corrected Commercial Invoice (19 CFR 141.89 et al) |
| 17 | Other Agency Forms (19 CFR Part 12) |
| 18 | Duty Free Entry Certificate (19 CFR 10.102); HTS 9808.00.30009 |
| 19 | Scale Weight (19 CFR 151, Subpart B) |
| 20 | End Use Certificate (19 CFR 10.138) |
| 21 | Form O (Coffee) |
| 22 | Chemical Analysis |
| 23 | Out Turn Report (19 CFR 151, Sub part C) |
| 26 | Packing List (19 CFR 141.86(e)) |
| 98 | Other document (not listed) |
| 99 | More than two documents listed. |

## AE Table 8 – Trade Agreement / Special Program Claim Codes

| Trade Agreement/Special Program Claim Code | Description |
|---|---|
| A | Generalized System of Preferences (GSP). |
| AU | Australia Free Trade Agreement. |
| B | Automotive Product Trade Act. |
| B# | Automotive Product Trade Act + NAFTA MPF Exemption. |
| BH | Bahrain Free Trade Agreement. |
| C | Agreement on Trade in Civil Aircraft. |
| C# | Agreement on Trade in Civil Aircraft + NAFTA MPF Exemption. |
| CA | North American Free Trade Agreement (NAFTA) – Canada. |
| CL | Chile Free Trade Act. |
| CO | Columbia Trade Promotion Agreement. |
| D | African Growth and Opportunity Act (AGOA). |
| E | Caribbean Basin Economic Recovery Act (CBERA); also known as the Caribbean Basin Initiative (CBI). |
| IL | U.S. – Israel Free Trade Area Agreement. |
| J | Andean Trade Preference Act (ATPA). |
| J+ | Andean Trade Promotion and Drug Eradication Act (ATPDEA). |
| JO | Jordan Free Trade Agreement. |
| K | Agreement on Trade in Pharmaceutical Products. |
| K# | Agreement on Trade in Pharmaceutical Products + NAFTA MPF Exemption. |
| KR | U.S. – Korea Free Trade Agreement. |
| L | Uruguay Round Concessions on Intermediate Chemicals for Dyes. |
| L# | Uruguay Round concessions on Intermediate Chemicals for Dyes + NAFTA MPF Exemption. |
| MA | Morocco Free Trade Agreement. |
| MX | North American Free Trade Agreement (NAFTA) – Mexico. |
| N | A product of the West Bank, Gaza Strip (GZ), a qualifying industrial zone (Jordan), or Israel (Israel) under the U.S. - Israel Free Trade Area Agreement. |
| OM | Oman Free Trade Agreement. |
| P | Originating Central American Free Trade Agreement (CAFTA). |
| PA | Panama Trade Promotion Agreement. |
| PE | Peru Trade Promotion Agreement. |
| P+ | Qualifying Central American Free Trade Agreement (CAFTA). |
| R | Caribbean Basin Trade Partnership Act (CBTPA). |
| SG | Singapore Free Trade Act. |
| W | Products of Puerto Rico advanced in value or improved in condition in a CBERA country. |
| Y | U.S. Insular Possession. |
| Z | Freely Associated States. |

## AE Table 9 – Exception Case Articles (Categorized)

| When the article includes HTS: | |
|---|---|
| **Article Category - Duty Unconditionally Accepted** | |
| 0901.11 thru 0901.22 | *Coffee - 0901.11 thru 0901.22 (when imported into a Puerto Rican port **ONLY**)* |
| **Article Category - Special Classification Provision** | |
| 98 | *Special Classification Provision – Chapter 98* |
| **Article Category - No Informal Value Limit** | |
| 9801.00.50bb | *Temporary Exhibit (Menagerie) - 9801.00.50bb* |
| 9801.00.60bb | *Temporary Exhibit (Fair or Conference) - 9801.00.60bb* |
| **Article Category - Not MPF Exempt – Chapter 98** | |
| 9802.00.60 | *US Metal Returned for Further Processing - 9802.00.60* |
| 9802.00.80 | *Article Eligible for Miscellaneous Programs - 9802.00.80* |
| **Article Category - $10,000 Informal Value Limit** | |
| 9801.00.10 | *US Goods Returned - 9801.00.10* |
| **Article Category – Required on TIB Entry** | |
| 9813.00.05,<br>9813.00.10,<br>9813.00.15,<br>9813.00.20<br>9813.00.25,<br>9813.00.30,<br>9813.00.35<br>9813.00.40<br>9813.00.45,<br>9813.00.50,<br>9813.00.55<br>9813.00.60<br>9813.00.65,<br>9813.00.70,<br>9813.00.75 | *Various Articles Under Bond - 9813.00.nn* |
| **Article Category – 6-Month TIB Restriction** | |
| 9813.00.75 | *Article Under 6-Month Bond - 9813.00.75* |

## AE Table 10 – Census Condition Override Codes

| Override Code | Description |
|---|---|
| 01 | Exception to Embargo |
| 02 | Timing of Embargo |
| 03 | Country Verified as Correct |
| 04 | Prototype |
| 05 | Sample |
| 06 | Assist |
| 07 | One-of-a-kind |
| 08 | Precision Made |
| 09 | Unique Material |
| 10 | Experimental Drug |
| 11 | Military Application |
| 12 | Mass Produced |
| 13 | Less Than Perfect |
| 14 | Lower Quality Material |
| 15 | Market Conditions |
| 16 | Special Handling Required |
| 17 | Chartered Transportation |
| 18 | Insurance Costs Very High |
| 19 | Rush Delivery |
| 20 | Weight of Article Heavier Than Normal |
| 21 | Weight of Article Lighter Than Normal |
| 22 | Packaging Heavier Than Normal |
| 23 | Packaging Lighter Than Normal |
| 24 | Non-product Line Item Needed to Conduct Business |
| 25 | Beginning to Import New Product Line |
| 26 | Country of Export Verified as Correct |
| 27 | FTZ Withdrawal Low Foreign Value |
| 49 | Parameter Change Request Pending |
| 50 | Correct as Entered |
| 51 | Entered Under Special Conditions |

## AE Table 11 – Census Warning Condition / Census Override Combinations

| Census Warning Condition Code | Returned Narrative Text | Acceptable Census Condition Override Code(s) |
|---|---|---|
| 27A | *CENSUS* IMPROBABLE COUNTRY | 01, 02, 03, 49, 50 |
| 27P | *CENSUS* MAXIMUM VALUE EXCEEDED | 51 |
| 27B | *CENSUS* QTY1/QTY2 | 09, 20, 21, 49, 50 |
| 27M | *CENSUS* QTY2/QTY1 | 09, 20, 21, 49, 50 |
| 27D | *CENSUS* OR-HI VAL/QTY (1) | 04, 05, 06, 07, 08, 09, 10, 11, 15, 21, 49, 50 |
| 27F | *CENSUS* OR-HI VAL/QTY (2) | 04, 05, 06, 07, 08, 09, 10, 11, 15, 21, 49, 50 |
| 27C | *CENSUS* OR-LO VAL/QTY (1) | 09, 12, 13, 14, 15, 20, 27, 49, 50 |
| 28E | *CENSUS* OR-LO VAL/QTY (2) | 09, 12, 13, 14, 15, 20, 27, 49, 50 |
| 27G | *CENSUS* IMPROBABLE AIR TARIFF | 05, 49, 50 |
| 27I | *CENSUS* GROSS WEIGHT - VESSEL | 20, 22, 49, 50 |
| 27H | *CENSUS* GROSS WEIGHT - AIR | 20, 22, 49, 50 |
| 27Q | *CENSUS* MAXIMUM CHARGES EXCEEDED | 51 |
| 27J | *CENSUS* OR-AGR CHARGES/VALUE | 05, 12, 13, 14, 15, 16, 17, 18, 19, 20, 22, 49, 50 |

## AE Table 12 – FCC Import Condition Codes

| FCC Import Condition Code | Description |
|---|---|
| 01 | The radio frequency device has been issued an equipment authorization by the FCC. |
| 02 | The radio frequency device is not required to have an equipment authorization and the device complies with FCC technical administrative regulations. |
| 03 | The radio frequency device is being imported in limited quantities for testing and evaluation to determine compliance with the FCC Rules and Regulations or suitability for marketing. The device will not be offered for sale or marketed. The phrase “limited quantities” means 200 or fewer units. Prior to importation of more than 200 units, written approval must be obtained from the Chief, Enforcement Division, Field Operations Bureau, FCC. Distinctly different models of a product and separate generations of a particular model under development are considered to be separate devices. |
| 04 | The radio frequency device is being imported in limited quantities for demonstration at industry trade shows and the device will not be offered for sale or marketed. The phrase “limited quantities” means ten or fewer units. Prior to importation of more than ten units, written approval must be obtained from the Chief, Enforcement Division, Field Operations Bureau, FCC. Distinctly different models of a product and separate generations of a particular model under development are considered to be separate devices. |
| 05 | The radio frequency device is being imported solely for export. The device will not be marketed or offered for sale for use in the U.S. |
| 5A | The described equipment is a non-U.S. standard cellular phone than can only function outside of the U.S. |
| 06 | The radio frequency device is being imported for use exclusively by the U.S. Government. |
| 07 | Three or fewer radio receivers, computers, or other unintentional radiators are being imported for the individual's personal use and are not intended for sale. |
| 08 | The radio frequency device is being imported for repair and will not be offered for sale or marketed. |

## AE Table 13 – Internal Revenue Accounting Class Codes

| Internal Revenue Accounting Class Code | Description |
|---|---|
| 016 | Distilled Spirits |
| 017 | Wines |
| 018 | Tobacco Products |
| 022 | Other (not included above) |

## AE Table 14 – Post Summary Correction Header Reason Codes

| Post Summary Correction Header Reason Code | Description |
|---|---|
| H01 | Entry Type 01-to-03. The Entry Type Code has been changed specifically from 01 to 03. |
| H02 | Entry Type-Other. The Entry Type Code has been changed (other). |
| H04 | Mode of Transportation. The Mode of Transportation (MOT) Code has changed. |
| H05 | Bond-Surety. The basic and/or additional Surety Company Code has changed. |
| H06 | Bond–Superseding. The Continuous Superseded Bond Indicator has changed. |
| H07 | Bond-Other. Other basic and/or additional bond data has changed. Includes Bond Type Code, Single Transaction Bond Amount, Single Transaction Bond Producer Account Number, Bond Waiver Indicator, Bond Waiver Reason Code. |
| H08 | Electronic Invoice Availability. The Electronic Invoice Indicator has changed. |
| H09 | Shipment Usage Type. The Shipment Usage Type Code has changed. |
| H10 | Consignee. The Consignee Number has changed. |
| H11 | Date of Importation. The Date of Importation has changed. |
| H12 | State of Destination. The U.S. State of Destination Code has changed. |
| H13 | Header Fee. One or more Entry Summary Header Fee (Header Fee Amount or Accounting Class Code) has changed. Includes 311 (Informal MPF), 500 (Manual Surcharge), and 496 (Mail). |
| H99 | Data Change–Other. Another Entry Summary Header Grouping data element, not listed above, has changed. Clearly describe the reason for the change in the PSC Filing Explanation grouping (36-Record). |

## AE Table 15 – Post Summary Correction Line Reason Codes

| Post Summary Correction Line Reason Code | Description |
|---|---|
| L01 | Invoice. The commercial invoice has changed or items (i.e., lines) were missed in the original submission. This change may result in more or fewer Entry Summary Line Item Groupings. For an EIP summary the change may affect the EIP Invoice Grouping (i.e., the Invoice Line Reference Detail). |
| L02 | SPI. The Trade Agreement / Special Program Claim Code has changed (but not the article classification). |
| L03 | Classification. The classification of an article has changed; the HTS Number has changed. This may affect the Article Set Indicator and/or the Trade Agreement / Special Program Claim Code. |
| L04 | Value. The value of the merchandise has changed (i.e., the Value of Goods Amount) or the basis/determination for the value has changed (e.g., the NAFTA Net Cost Indicator). This reason may be used if a currency conversion was a factor that resulted in a change to the value. |
| L05 | Non-Dutiable Charges. The Charges Amount has changed. |
| L06 | Duty. The Duty Amount has changed. |
| L07 | COO. The Country of Origin Code has changed. |
| L08 | COE. The Country of Export Code has changed. |
| L09 | AD/CVD Case-Critical Circumstances. The U.S. Department of Commerce has invoked 'Critical Circumstances' (regarding an Entry Type 01 Entry Summary filed 90 days prior to the Preliminary or Order period for an AD/CVD case). |
| L10 | AD/CVD Case-Party. One or more Article Party Identifier(s) has changed; thus changing the AD/CVD case suffix. |
| L11 | AD/CVD Case-Rate. The Case Deposit Rate and/or Case Rate Type Qualifier Code has changed. |
| L12 | AD/CVD Case-Scope. The 'scope' of the AD/CVD case has changed. |
| L13 | AD/CVD Case-Non-Reimbursement Statement. The AD/CVD Non-Reimbursement Statement and/or AD/CVD Non-Reimbursement Declaration Identifier has changed. |
| L14 | Ruling. The Ruling Type Code or Ruling Number has changed. |

| Post Summary Correction Line Reason Code | Description |
|---|---|
| L15 | PGA-FCC. The 740 Header and/or 740 Continuation has changed (includes a change to an FCC PGA Invoice Description) |
| L16 | Tax. The IR Tax Information (IR Tax Amount or Accounting Class Code) has changed. |
| L17 | MPF. The formal Merchandise Processing Fee (499) (User Fee Amount or Accounting Class Code) has changed. |
| L18 | Fee-Other. Another fee has changed (User Fee Amount or Accounting Class Code). Includes a change to 501-HMF or any agriculture commodity fee. |
| L19 | Manufacturer. The Manufacturer / Supplier Code has changed. |
| L20 | Foreign Exporter. The Foreign Exporter Code has changed. |
| L21 | Sold to Party. The Sold To Party Identifier has changed. |
| L22 | Delivered To Party. The Delivered To Party Identifier has changed. |
| L23 | Textile Category. The Category Code (for Textiles) has changed. |
| L24 | Standard Visa. The Standard Visa Number has changed. |
| L25 | Textile Export Date. The Date of Exportation (for Textiles) has changed. |
| L26 | License/Certificate/Permit. The License/Certificate/ Permit Type Code and/or License Number/ Certificate Number/Permit Number has changed. |
| L27 | Softwood Lumber Export Price. The Softwood Lumber Export Price amount has change. |
| L28 | Softwood Lumber Export Charges. The Softwood Lumber Export Charges amount has changed. |
| L29 | Quantity Change. Quantity (1, 2, or 3) has changed on any HTS Number for the article. |
| L30 | Relationship Change. The Related Party Indicator has changed. |
| L31 | Shipping Weight. The Gross Shipping Weight has changed. |