

General Guidelines for Completing the CBP Form 301 for Continuous Bonds – Activity Code 1 (Importer/Broker)
(Includes Sample Documentation)
(Updated 09/16/2013)

All continuous bonds are to be filed with the Revenue Division Bond Team in Indianapolis, IN. Note: All airport security bonds filed using 19 CFR 113, Appendix A must be submitted to the Bond Team.

The Bond Team will accept bond submissions via email or fax. It is preferred that the submissions are transmitted via email as: A) the quality of the transmission is clear, B) it is the quickest transmission, and C) the filer receives an automatic email response confirming receipt of the submission. For every email submission, an automatic reply message will be generated to the filer, only if the email subject line is 33 characters or less.

All submissions, inquires, and questions must be presented to the Bond Team via email to:

Email: cbp.bondquestions@dhs.gov

*Fax: (317) 614-4517

Voicemail: (317) 614-4880

*Note: Inquiries and questions via fax will be discarded without acknowledgement.

When emailing a new bond submission to the Bond Team, please refer to the internet posting “Continuous Transaction Bond Naming Conventions – Email Subject Line” at: <http://www.cbp.gov/trade/bonds/bond-centralization-program>.

The new bond packet must be in the following order when submitting to the Bond Team:

1. Completed Bond Form 301 – Page 1
2. Completed Bond Form 301 – Page 2 (if applicable)
3. Form 301A – Addendum to CBP Form 301 (if applicable)
4. Completed bond application
5. CBP Form 5106 – (if applicable)
6. Other applicable documentation, i.e. partnership papers, Power of Attorney (POA), re-insurance, etc.

Completed sample forms are provided at the end of these instructions. Information on each of the forms is provided as follows:

Body of Email:

Provide the name, phone number and email address for the individual submitting the bond package to the Bond Team.

CUSTOMS BOND FORM 301:

The Bond Team requires only one (1) copy of the completed bond form. This will be considered the original document.

Please follow the below instructions for completing Page (1) of the bond form:

Customs Bond Header – Page 1:

DEPARTMENT OF HOMELAND SECURITY U.S. Customs and Border Protection		OMB No. 1651-0050 Exp. 03/31/2014	
CUSTOMS BOND 19 CFR Part 113		CBP USE ONLY	BOND NUMBER (Assigned by CBP)
Broker Filer Code: CBP	Surety Reference Number: 991112333		
In order to secure payment of any duty, tax or charge and compliance with law or regulation as a result of activity covered by any condition referenced below, we, the below name principal(s) and surety(ies), bind ourselves to the United States in the amount or amounts, as set forth below.			Execution Date 01/01/2013

- Broker Filer Code: (Optional).
- Surety Reference Number: (Optional).
- Execution Date: Provide the date that the last required signature of the surety or the bond principal is affixed to the bond. This date must be the same date or earlier than the effective date.

SECTION I -

Continuous Bond:

United States in the amount of amounts, as set forth below.			
SECTION I – Select Single Transaction OR Continuous Bond (not both) and fill in the applicable blank spaces.			
<input type="checkbox"/> SINGLE TRANSACTION BOND	Identification of transaction secured by this bond (e.g., entry number, seizure number, etc.)	Transaction Date	Port Code
<input checked="" type="checkbox"/> CONTINUOUS BOND	Effective Date 01/02/2013	This bond remains in force for one year beginning with the effective date and for each succeeding annual period, or until terminated. This bond constitutes a separate bond for each period in the amounts listed below for liabilities that accrue in each period. The intention to terminate this bond must be conveyed within the period and manner prescribed in the CBP Regulations.	

- Mark "X" in the continuous bond box.

- Effective Date: Provide the date that transactions under the continuous bond may begin to be accepted by CBP. This date must be the same date or after the execution date.

SECTION II -

Activity Code:

SECTION II – This bond includes the following agreements. Check one box only. (Except 3a may be checked independently or with 3.)					
Activity Code	Activity Name and CBP Regulations in which conditions codified	Limit of Liability	Activity Code	Activity Name and CBP Regulations in which conditions codified	Limit of Liability
<input checked="" type="checkbox"/> 1	Importer or broker\$113.62	50,000.00	<input type="checkbox"/> 8	Detention of Copyrighted Material \$113.70 -Single Transaction Only-	
<input type="checkbox"/> 1a	Drawback Payments Refunds\$113.65		<input type="checkbox"/> 9	Neutrality\$113.71 -Single Transaction Only-	
<input type="checkbox"/> 2	Custodian of Bonded Merchandise §113.63 (Includes bonded carriers, freight forwarders, cartmen and lightermen, all classes of warehouse, container station operators) -Continuous Bond Only-		<input type="checkbox"/> 10	Court Costs for Condemned Goods\$113.72 -Single Transaction Only-	
<input type="checkbox"/> 3	International Carrier.....\$113.64		<input type="checkbox"/> 11	Airport Security Bond.....Part 113 App A	
<input type="checkbox"/> 3a	Instruments of International Traffic... §113.66 -Continuous Bond Only-		<input type="checkbox"/> 12	International Trade Commission (ITC) Exclusion Bond.....Part 113 App B	
<input type="checkbox"/> 4	Foreign Trade Zone.....\$113.73 -Continuous Bond Only-		<input type="checkbox"/> 14	In-Bond Export Consolidation Bond	
<input type="checkbox"/> 5	Public Gauger..... \$113.67		<input type="checkbox"/> 15	Intellectual Property Rights (IPR)	
<input type="checkbox"/> 6	Wool & Fur Products.....\$113.68 Labeling Acts Importation -Single Transaction Only-		<input type="checkbox"/> 16	Importer Security Filing (ISF)Part 113 App D	
<input type="checkbox"/> 7	Bill of Lading.....\$113.69 -Single Transaction Only-		<input type="checkbox"/> 17	Marine Terminal Operator -Continuous Bond Only-	

PRINCIPAL | By checking the box you agree that you have a | AFFIX SEAL or Check Box

- Mark “X” in the box next to the appropriate Activity Code.
- Provide amount of the bond in the Limit of Liability box next to Activity Code 1.

Principal:

-Single Transaction Only-	-Continuous Bond Only-	AFFIX SEAL or Check Box
PRINCIPAL	By checking the box you agree that you have a seal in accordance with 19 CFR 113.25	
Name and Physical Address (including legal description and state of incorporation) (A Delaware Corp.) ABC Corp. of America 123 Appletree Lane Lawrence, OH 72480	CBP Identification Number: 99-111233300 Signature XYZ Customs Brokers <i>Jane Doe</i> Jane Doe, Attorney-in-Fact	<input checked="" type="checkbox"/> Check Box
Principal and surety agree that any charge against the bond under any of the listed names is as though it was made by the principal(s). Principal and surety agree that they are bound to the same extent as if they executed a separate bond covering each set of conditions incorporated by reference to the CBP regulations into this bond. If the surety fails to appoint an agent under Title 31, United States Code, Section 9306, surety consents to service on the Clerk of any United States District Court or the U.S. Court of International Trade, where suit is brought on this bond. That clerk is to send notice of the service to the surety at:		Mailing Address Requested by the Surety 11200 Meridian Way Suite 120 West Chester, IN 46143

- Provide the full, legal name of principal/importer. The entire name of the legal entity must match the POA. See examples below. Only the customs broker must have a separate POA for each principal/importer that is a separate legal entity, i.e., for each principal/importer location that has a different CBP identification number.
- Legal designation or state of incorporation. Please note that the state of incorporation may differ from where the principal/importer is physically located. If

the principal/importer is foreign, stating 'A Foreign Corporation' is acceptable. The province code is required for Canada.

- Physical address. Provide the principal's/importers complete street address.
- CBP Identification Number. There are three options that can be used:
 1. Employee Identification Number (EIN). Provide the 9-digit EIN, along with the 2-digit suffix.
 2. Social Security Number (SSN). If using a SSN, the individual's name must be used.
 3. Customs Assigned Number (CAN). Can only be used if the physical address for the principal/importer is foreign.
- Signature. Provide the signature of the party authorized to bind the principal/importer to the bond contract. The signature line should read:
 1. When signed by a customs broker, the signature line should read:

Jane Doe

Jane Doe, XYZ Customs Brokers
Attorney-in-Fact

2. When signed by the principal, the signature must be an officer of the company, e.g. Owner, President, CEO, CFO, VP, etc. The signature line should read:

John Doe

John Doe, President

- Seal. If seal is required, which is determined by principal, check the box or affix seal.

Examples – Complete name of principal:

Acceptable - Sole Proprietor's/Individual:

John Smith
DBA Smith Furniture Company
(Sole Proprietor)

Unacceptable:

Smith Furniture Company

*Acceptable - Partnership:

SHJ Imports
(A Limited Partnership)

**Provide a copy of the complete partnership agreement, with the bond package, if the legal entity of the principal is Partnership or Limited Partnership.*

**Acceptable – General Partnership:

SHJ Imports

(A general partnership comprised of John Smith, Walter Hues and David Jones)

Unacceptable: SHJ Imports

**** The partnership agreement is not required if the legal entity of the principal is General Partnership.**

Acceptable - Corporation: Q & R Imports
(a California Corporation)

Unacceptable: Q & R Imports

Surety:

SURETY			
Name and Physical Address (including legal description and state of incorporation) (An Arizona Corp.) Jefferson Int'l Insurance Corporation 11200 Meridian Way, Suite 120 West Chester, IN 46143	Surety Number 061	Agent ID Number 987-65-4321	<input checked="" type="checkbox"/> Check Box
	Signature <i>Joe Smith III</i> Joe Smith III, AIF		

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- Provide the full legal name of the surety, along with their physical address.
- Provide the state of incorporation.
- Provide the 3-digit surety number assigned by CBP.
- Provide Agent ID Number.
- Signature. Provide the signature of the party authorized to bind the surety to the bond contract. The signature line should read:

Joe Smith III
Joe Smith III, Attorney-in-Fact

CUSTOMS BOND FORM 301 – PAGE 2 (if applicable)

NOTE: This page is only required if there is a Co-Principal, Section III divisions/users, and/or a Co-Surety.

Customs Bond Header - Page 2:

Broker Filer Code: CBP Surety Reference Number: 991112333
 Principal Name: ABC Corp. of America CBP Identification Number: 99-111233300

AFFIX SEAL OR Check Box By checking the box you agree
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- Header must be completed if page 2 is being submitted.
- Header information must be same information shown on CBP Form 301, page 1.

Co-Principal:

CO-PRINCIPAL		By checking the box you agree that you have a seal in accordance with 19 CFR 113.25
Name and Physical Address (including legal description and state of incorporation) LMNO Corp. of America 456 Berrystump Road Forest Park, FL 33611 (A FL Corp.)	CBP Identification Number: 56-323232300	<input checked="" type="checkbox"/> Check Box
Signature XYZ Customs Brokers Jane Doe, AIF		

- Legal designation must be the same as principal.
- Refer to Principal Section on Page 3 above for additional information.
- Companies that are separate legal entities must complete the co-principal section of the bond form, not Section III. If there are more than two co-principals, Form 301A – Addendum to CBP Form 301 must be used. Addendum information is stated below. *NOTE: Co-principals will have different CBP identification numbers as opposed to trade names and unincorporated divisions; which will have the importer number with different importer number suffixes.*

SECTION III -

SECTION III – List below the complete name of all trade names or unincorporated divisions that will be permitted to obligate this bond in the principal's name including their CBP Identification Number(s).			
CBP Identification Number	Name	CBP Identification Number	Name
99-111233302	ABC Corp. of America DBA Toy Factory of WA		
99-111233303	ABC Corp. of America DBA Toy Factory of MN		
56-3232323AA	LMNO Corp. of America AKA Color Shop Inc.		
56-3232323AB	LMNO Corp. of America Div Muted Colors Inc.		
		Total Number of Importer Names listed in Section III: 4	

- Provide the complete CBP identification number, including the suffix.
- Provide the complete trade name or unincorporated division.
- Provide the total number of principal/importer names listed in Section III.

Co-Surety:

<u>CO-SURETY</u>			
Name and Physical Address (including legal description and state of incorporation) (An Indiana Corp.) CPB Insurance Company 9998 Airport Lane Tipton, MS 53219	Surety Number 059	Agent ID Number 123-45-321	<input checked="" type="checkbox"/> Check Box
	Signature <i>Gerry Doth Jr.</i> Gerry Doth Jr. AIF		

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- Provide the full legal name of the surety, along with their physical address.
- Provide the state of incorporation.
- Provide the 3-digit surety number assigned by CBP.
- Provide Agent ID Number.
- Signature. Provide the signature of the party authorized to bind the surety to the bond contract. The signature line should read:

Gerry Doth Jr.
Gerry Doth Jr., AIF

ADDENDUM TO CBP FORM 301

If a bond has more than two (2) co-principals, Form 301A, Addendum to CBP Form 301 must be used.

Addendum Header:

DEPARTMENT OF HOMELAND SECURITY
U.S. Customs and Border Protection

OMB No. 1651-0050 Exp. 03/31/2014

ADDENDUM TO CBP FORM 301

NOTE: This form is to be used only if additional co-principals are requested.

CBP USE ONLY	BOND NUMBER (Assigned by CBP)
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Broker Filer Code: CBP Surety Reference Number: 991112333

Principal Name: ABC Corp. of America

CBP Identification Number (see CBP Form 301): 99-111233300

	AFFIX SEAL or Check Box
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- Header information must be same information shown on CBP Form 301, page 1.

Co-Principal:

<u>CO-PRINCIPAL</u>		AFFIX SEAL or Check Box <small>By checking the box you agree that you have a seal in accordance with 19 CFR 113.25</small>
<small>Name and Physical Address (including legal description and state of incorporation) (CA Corp.)</small> Alphatown Incorporated 789 Bluegrape Street Indianapolis, OR 90518	CBP Identification Number 81-565656500 Signature <i>Jane Doe</i> XYZ Customs Brokers Jane Doe, Atty-in-Fact	<input checked="" type="checkbox"/> Check Box

- Legal designation must be the same as principal.
- Refer to Principal Section on Page 3 above for additional information.
- Companies that are separate legal entities must complete the co-principal section of the bond form, not Section III. If there are more than two co-principals, Form 301A – Addendum to CBP Form 301 must be used. Addendum information is stated below. *NOTE: Co-principals will have different CBP identification numbers as opposed to trade names and unincorporated divisions;*

which will have the CBP identification number with different importer number suffixes.

NOTE: The above guidelines for completing the CBP Form 301 are general in nature and not comprehensive. Please consult CUSTOMS BOND INSTRUCTIONS FOR COMPLETION, attached to the Customs Bond form (CBP Form 301), for additional information.

BOND APPLICATION

The bond application must include all principals/importers that are on the bond.

When filing a new continuous bond, you must include an application to CBP either in the form of a letter or an application. The information required by CBP, whether in application or letter form, is outlined below:

- Name and CBP identification number of all parties to the bond.
- General character of merchandise to be imported.
- Estimated duties, taxes and fees for the current calendar year or 12 months.
- Duties, taxes and fees paid in the previous calendar year or 12 months.
- Certification statement that reads: "I certify that the factual information contained in this application is true and accurate and any information provided which is based upon estimates is based upon the best information available on the date of this application."

The letter or application must be submitted with a signature of an owner, partner or officer of the company. Alternatively, a customs broker with a valid POA may sign the bond application submitted to CBP.

When a broker signs the bond application, the Bond Team requires the broker to include its 3-character filer code in the signature section of the application. The broker's signature line should read:

Jane Doe, XYZ Customs Brokers
Attorney-in-Fact; Filer Code CBP

IMPORTER ID INPUT RECORD FORM 5106

Approved OMB NO. 1651-0064
Exp. 03-31-2014
See back of form for Paperwork Reduction Act Notice.

DEPARTMENT OF HOMELAND SECURITY
U.S. Customs and Border Protection

IMPORTER ID INPUT RECORD
19 CFR 24.5

1. TYPE OF ACTION (Mark all applicable)
 Notification of importer's number Change of address*
 Change of name* Check here if you also want your address updated in the Fines, Penalties, and Forfeitures Office

*NOTE--If a continuous bond is on file, a rider must accompany this change document.

2. IMPORTER NUMBER (Fill in one format)--

2A. I.R.S. Number: **99-111233300** 2B. Social Security Number: _____

2c. Check here if requesting a CBP-assigned number and indicate reason(s). (Check all that apply.)
 I have no IRS No. I have no Social Security No. I have not applied for either number. I am not a U.S. resident

2D. CBP-Assigned Number: _____

3. Importer Name: **ABC Corp. of America**

4. DIV/AKA/DBA: DIV AKA DBA 5. DIV/AKA/DBA Name: _____

6. Type
 Corporation Partnership Sole Proprietorship Individual U.S. Government State/Local Governments Foreign Governments

7. Importer Mailing Address (2 32-character lines maximum)
P.O. Box 301

8. City: **Lawrence** 9. State Code: **OH** 10. ZIP: **72483**

11. Country ISO Code (Non-U.S. Only): _____

12. Importer Physical Location Address (2 32-character lines maximum, see instructions)
123 Appletree Lane

13. City: **Lawrence** 14. State Code: **OH** 15. ZIP: **72480**

16. Country ISO Code (Non-U.S. Only): _____

17a. Has importer ever been assigned a CBP Importer Number using the same name as in Block 3? No Yes (List number(s) and/or name(s) in Block 17c.)

17b. Has importer ever been assigned a CBP Importer Number using a name different from that in Block 3? No Yes (List number(s) and/or name(s) in Block 17c.)

17c. If "Yes" to 17a and/or 17b, list number(s) and/or name(s): _____

I CERTIFY: That the information presented herein is correct, that if my Social Security Number is used it is because I have no IRS Employer Number, that if my CBP assigned number is used it is because I have neither a Social Security Number nor an IRS Employer Number, that if none of these numbers is used, it is because I have none, and my signature constitutes a request for assignment of a number by CBP.

18. Printed or Typed Name and Title: **Jane Doe, AIF**

19. Telephone No. Including Area Code: **(890)555-9311**

20. Signature: **X Jane Doe**

21. Date: **01/01/2013**

22. Broker Use Only

Previous Editions are Obsolete CBP Form 5106 (05/13)

A CBP Form 5106 is generally only required when a change has been made to the principals/importer's name and address. It is recommended to provide a completed CBP Form 5106 if there is any doubt as to whether the information differs from that of the CBP system.

The complete mailing address in blocks 7-11 must always be shown on the form. If the physical address is different than the mailing address, then the physical address in blocks 12-16 must be completed. The address (physical) shown on the CBP Form 301 must match the complete physical address shown on the CBP Form 5106.

NOTE: The above guidelines for completing the CBP Form 5106 are general in nature and not comprehensive. Please consult CUSTOMS BOND INSTRUCTIONS FOR COMPLETION, attached to the Customs Bond form (CBP Form 301), for additional information.

Approved Bonds

Upon receipt of the bond submission, the Bond Team will review the paperwork and either 1.) Approves the submission or 2.) Reject it back to the filer for corrections. If the bond is approved, the Bond Team will input it into the appropriate CBP system, thus assigning a Customs' assigned bond number to the bond. Bonds filed with the Bond Team have an assigned number that begins with "99" (representing port code 9900 – Bond Team), then the 2-digit number representing the year the bond was processed ("13" for 2013), then a five (5) character number.

The Bond Team will email a copy of the approved bond to the surety only.

Rejections

The Bond Team will reject a bond submission when corrections are needed. The filer must then make the appropriate corrections and resubmit the forms, along with the rejection notice to the Bond Team's reject team for processing.

The Bond Team Reject Team's contact information is:

Email: cbp.bondquestions@dhs.gov

Voicemail: (317) 614-4881 – reject team

Fax: (317) 298-1042 – reject team (for resubmission of rejected items only)

Please be aware that emailing your reject response is the most efficient method as opposed to faxing your response.

When emailing a response to the Bond Team for a rejected bond, the subject line must read:

REJECT: TRACKING # IR#

Example: REJECT: Tracking #12345 IR# 12-345678900

Common rejections:

- **A bond is already on file** – Customs only allows one bond, for a specific bond activity code – at a time. In order to rectify this, the existing bond must be terminated and then the effective date of your bond submission must be altered to the date after the existing bond terminates.
- **Importer voided in CBP system** – Customs requires proof of the principal's Internal Revenue Service (IRS) or Tax ID # in order to re-instate the number in their system. The proof must be an (IRS) document less than one (1) year old with the number and name pre-printed on it. Acceptable forms include: 147C, 1040, 2363, 941/941V, 1120/1120S, SS-4, 1065, 8109/8109C, 7004, 355-ES, 1096, etc.

- **Address on bond does not match application** – Customs requires the address on the bond, application, and physical address on the CBP Form 5106 must all agree.

Status Requests

The Bond Team requires a minimum of five (5) business days to review a bond submission. Therefore, they will not respond to any status requests sent prior to the five (5) days. If, the bond has not been processed within five (5) business days, the filer may submit a status request via either phone or email to:

Email: cbp.bondquestions@dhs.gov

Voicemail: (317) 614-4880 – general inquiries
(317) 614-4881 – reject inquiries

When emailing a status request to the Bond Team, the email subject line must read:

STATUS: IR#

Any questions regarding the above information should be directed to Tom Scott, Surety Bonds & Accounts, at thomas.c.scott@dhs.gov.

Inclusions:

Sample of completed CBP Form 301 (Page 1 and Page 2)
Sample of completed Form 301A, Addendum to CBP Form 301
Sample of completed bond application
Sample of completed CBP Form 5106