

March 2014

## FTZ Automation Participant Checklist – Information Notice

### **Purpose:**

The FTZ Automation Participant Checklist has been created to provide the Foreign Trade Zone (FTZ) community a streamlined method to present pertinent information to U.S. Customs and Border Protection (CBP) for the assignment of filer codes. Utilize this checklist when requesting a filer code and when the FTZ operator is already assigned a filer code but is advising of their intention is to self-file additional FTZ automated activity.

### **Background:**

To better facilitate legitimate trade, CBP offers electronic filing to approved companies. Many U.S. FTZ participants elect to electronically file e214s, In-Bond Movements, and Entry/Entry Summaries directly with CBP. Companies may choose to electronically file or use 3<sup>rd</sup> party partners to do some or all filing on their behalf.

To utilize electronic filing a company must file a letter of intent requesting the type of electronic filing to be performed. (If a 3<sup>rd</sup> party is utilized, there is no need to file a letter of intent with CBP.) The company must follow all activation procedures as listed in 19 CFR 146.6 *Procedures for Activation*. A zone operator or grantee shall make written application to the appropriate port based on the location of the facility to be activated. The company must be established within CBP's system as a designated FTZ and have previously been assigned a FIRMS code.

For those wishing to file electronically with CBP, a letter of intent (LOI) and a completed e214 FTZ Participant Checklist should be submitted on company letterhead with the following information to [letterofintent@cbp.dhs.gov](mailto:letterofintent@cbp.dhs.gov):

- 1. Type of Trade Participant**

Indicate all that apply:

Importer, Broker, Carrier, Software Vendor/Service Center, FTZ Operator or other

- 2. Company Name**

- 3. Business Address**

Corporate Headquarters address - physical and mailing address

- 4. Business Contact in the U.S.**

Name, phone number, and email address

**5. Technical Contact in the U.S.**

Usually this is the in-house information technology specialist for the entity transmitting data to CBP, or a technical contact at the service center providing filing services

**6. List any other CBP automated systems**

Including Automated Commercial Environment (ACE) Portal

For each CBP system your company is currently using or testing provide the following:

**1. Your company's account identifier**

- SCAC
- ICAO
- ABI filer code
- ACE ID
- Etc.

**2. Name of your assigned Client Representative (if applicable)**

**7. Software Vendor/Service Center**

- a. Name of company and filer code or other CBP identifier
- b. Contact name, phone number, and email address
- c. OR Indicate self-programming if applicable

**8. Data Communications method**

For service center or VAN, provide name and contact information

- a. VPN/MQ over public internet
- b. MPLS VPN
- c. Service Center
- d. VAN

**9. State that you wish to participate in "ABI"**

Also indicate if you will transmit

- a. e214
- b. QP/WP
- c. QX/WX
- d. or any type 06 FTZ Entry Summaries

**10. Indicate that your company is a "FTZ Operator" and include a completed FTZ Automation Participant Checklist**

- a. Operator information
- b. Site information
- c. Software information

**Operator information:**

The “company name” and address (include mailing and physical location addresses if different) and contact information of the party who will be holding the CF301 FTZ Operator’s bond, as well as contact information for the individual who will be the responsible party of the operator’s FTZ operations.

**Site information:**

Include all relevant information, including the physical address, for the proposed FTZ facility. The site should be attached to a foreign trade zone grant.

Include all relevant information for the actual, physical site to be activated. The site should be attached to a foreign trade zone grant.

- The “Zones ID” should be the number of the FTZ where the site is located
- The Subzone and/or site number should be the actual subzone determinant
  - Usually an alpha character or the actual FTZ Board defined site number for the physical location of the site within the boundaries of the FTZ Grant
- FIRMS code - received from CBP upon activation of the site
  - Include the FIRMS code on the checklist prior to applying as a filer
    - Filer codes cannot be assigned without a FIRMS code
- Type 4 FTZ Bond number – nine digit alpha/numeric
  - Assigned by CBP upon approval of the FTZ operator’s bond
  - Located in the upper right-hand corner of the approved bond copy
- Filer code field –
  - Leave blank if request is for CBP to assign one
  - Provide CBP Filer code if already assigned for other CBP automation activity
- FTZ Board approval date
  - Date that a particular site, or subzone designation was approved by the FTZ Board
- CBP activation date
  - Date that the local CBP office approves the activation request of the specific site
  - Indicate if background checks have been completed and the completion date

**Software:**

Information provided will reflect the software to be used to transmit the Customs data to the Customs ACS system for e214, and 06 entry filing (if that is the intention).

- Obtain and confirm the Service Center information with the Software provider
- Zones seeking to self-file e214 and in-bond movements
  - The completed LOI should be submitted to [letterofintent@cbp.dhs.gov](mailto:letterofintent@cbp.dhs.gov)
    - CBP Client Rep Branch actions
      - Review the LOI
      - Assign to designated Client Representative
        - Reach out to the requesting company
        - Issue a filer code for e214 and in-bond movement transmissions
- Zones seeking to self-file 06 entries, e214 and in-bond movements
  - Complete the process to obtain an importer filer code prior to submitting the LOI
    - This importer filer code must be obtained through the local CBP port office
      - CBP officers at the local port level will be able to guide filers through the necessary steps to obtain a filer code
      - The process to determine if a filer can get an importer filer code may take up to 30 days
      - Only Importers and licensed brokers with the proper bonds in place are allowed to file entries
      - Once the filer code has been received
        - Submit the completed LOI to the designated CBP email address
          - Include the new filer code in the LOI requesting ability to file e214, in-bond movements, and self-filing 06 entries
- Importers currently filing e214 data and eventually would like to self-file are also required to go through the Headquarters review process
  - These importers will be issued an updated filer code that may be used for FTZ e214 filing, QPWP, and 06 entry filing
  - A new letter of intent needs to be filed with the Port Director requesting a new file code required for entry filing
  - Filer codes provided by CBP are categorized by the trade partner type therefore a new filer code will be needed for the new entry filing capability

If you currently have a filer code and need additional information about obtaining your specific filer code within CBP systems, contact your designated ABI representative.

*See Also:* CBP Letter of Intent on CBP.gov (<http://www.cbp.gov/document/guidance/letter-intent-instructions>)