U.S. Customs and Border Protection

Policies and Procedures

Importer ID Input Record – CBP Form 5106

Table of Contents

Revision History 3
1. General 4
2. CBP Form 5106 Email Naming Conventions 4
3. Submission of CBP Form 5106 4
4. Customs Assigned Number or Importer Number 5
5. Foreign Addresses 5
6. Canadian Province Codes 5
7. Change of Name/Address for Importer Account 6
8. Re-Activate Voided Importer Number 6
9. Void Old, Incorrect or Obsolete Importer Numbers 6
10. Frozen Importer Records 6
11. Update Legal Designation 7
12. Riders 7
13. Requests for Status 7

Revision History

Revision Number	Brief Description of Change	Approved By	Date Approved
1.0	Initial Release		

Policies and Procedures
Submission and Processing CBP Form 5106

1. General

To establish or update an Importer Account with CBP, a completed CBP Form 5106 is required. Information provided on CBP Form 5106 is the basis for establishing bond coverage, release and entry of merchandise, liquidation and issuance of bills and refunds. Each person, business firm, government agency or other organization that intends to file an import entry must file a CBP Form 5106 with the first formal entry or request for services that will result in the issuance of a bill or a refund check upon adjustment of a cash collection. The form is also filed for the ultimate consignee for whom an entry is being made.

This document discusses changes to how CBP Form 5106 is transmitted and processed. CBP Form 5106 is no longer required as part of the Bond Package beginning January 3, 2015. However, there are situations in which a Surety/Surety Agent, Broker or Importer will be required to submit a CBP Form 5106 to Revenue Division Bond Team (RDBT) in Indianapolis, Indiana. Those situations are further discussed in the following sections.

A CBP Form 5106 is required for the following actions. Note: only submit the CBP Form 5106 if it is for a new importer number or if changes are required.

- Request a Customs Assigned Number – establish New Importer Account
- Change of Name/Address for Importer Account
- Re-Activate Voided Importer Number
- Update Legal Designation
- To change or otherwise update an existing importer record for an importer that is not void or frozen, contact your local service port for assistance; submit to RDBT at cbp.bondquestions@dhs.gov or a broker can update through the ACE portal.

2. CBP Form 5106 Email Naming Conventions

When submitting a CBP Form 5106 email to cbp.bondquestions@dhs.gov, the following rules should be followed with regard to the email subject line content. Failure to follow these rules will result in the request being returned to the Filer. Note: the IR# is also known as the CBP identification number:

- Update IR# - to establish/update an importer account
- Customs Assigned # - Importer Name (see 19 CFR 24.5c). Use to request a Customs Assigned Number
- Void IR# - to void or re-activate a voided number
- Frozen IR# - to freeze or unfreeze an importer number
- Status IR# - to request an update on importer account

3. Submission of CBP Form 5106

Concerns have been raised about submitting the CBP Form 5106 openly through email since it contains Personally Identifiable Information (PII). RDBT is investigating methods for transmitting the form to protect the PII. Forms should be emailed to cbp.bondquestions@dhs.gov.

Requirements for submission of a CBP Form 5106:

- Power of Attorney (POA) is required if the CBP Form 5106 is completed by Attorney-In-Fact. Providing the POA will expedite processing of the submission.
- Only submit one CBP Form 5106 per email. If multiple forms are submitted in one email, the entire submission will be rejected.
- All forms being transmitted to RDBT must be transmitted in a TIF or PDF format, via email, to cbp.bondquestions@dhs.gov, not to exceed 18mb.

4. Customs Assigned Number or Importer Number

If a Customs Assigned number is required, a completed CBP Form 5106 to add an importer must be transmitted prior to the transmission of a bond. The form should be transmitted to the following email: cbp.bondquestions@dhs.gov. The subject line of the email should use the naming convention: Customs Assigned Number – Importer Name, for example, Customs Assigned Number - Johnson Imports, Inc.

If an importer account has **not** been established with CBP, submit a completed CBP Form 5106 to cbp.bondquestions@dhs.gov, using the naming convention Update IR# in the subject line. If the completed form is signed by an Attorney-In-Fact, a POA must be included with the submission. The submission will be rejected if the POA is not provided.

Alpha characters are allowed in the last two (2) positions of the importer/principal record if that record is based on an employer identification number (EIN). The letters 'I', 'O' or 'Z' are never acceptable due to system limitations.

5. Foreign Addresses

The ACE system allows CBP to collect additional information with regard to foreign addresses. This additional information improves the likelihood of successful mail delivery to foreign countries. When transmitting your CBP Form 5106 for a foreign address, please provide the complete address. As many countries have provinces and zip codes, please ensure that this additional information is provided. Please utilize the second line of the address on the form to include these province names; especially for addresses in Mexico and China.

6. Canadian Province Codes

CBP revised the acceptable 2-digit Canadian province codes for Quebec and Newfoundland (including Labrador) to conform to Canadian postal standards. The correct codes for these provinces are "QC" and "NL" respectively (please note instructions on the CBP Form 5106, available at www.cbp.gov). In the past, CBP had required code "PQ" for Quebec and "NF" for Newfoundland (including Labrador) respectively.

All importer/principal record additions or changes filed with CBP should utilize the correct Canadian province codes as noted on CBP Form 5106.

7. Change of Name/Address for Importer Account

For a change of name/address for an importer, transmit a CBP Form 5106 directly to RDBT at the following email address: cbp.bondquestions@dhs.gov. The subject line should read: Update IR#.

If a continuous bond is not on file, a CBP Form 5106 can be transmitted by a local port, a Customs Broker with POA, or by the RDBT. CBP Form 5106 must be submitted to cbp.bondquestions@dhs.gov, using the naming convention Update IR# in the subject line. If the CBP Form 5106 is signed by Attorney-In-Fact, a POA must be included with the submission. A missing POA will result in a rejection notification.

If a continuous bond is on file, the CBP Form 5106 must be submitted to the RDBT for transmission.

Note: When submitting the form to update an address, ensure that the name on the form is consistent with the name we have on file. If not, the submission will be rejected.

8. Re-Activate Voided Importer Number

To re-activate a voided Importer Number, email a completed CBP 5106 with a valid importer record proof and POA (if the CBP Form 5106 is signed by an Attorney-in-Fact) to cbp.bondquestions@dhs.gov. The subject line of the email should read: Void IR#. The form must be signed by an officer of the company (President, Vice President, Secretary, Treasurer, CEO, COO, etc.) or a broker with a POA.

9. Void Old, Incorrect or Obsolete Importer Numbers

When an importer number (CBP identification number) must be voided, submit requests, via a letter, to cbp.bondquestions@dhs.gov. Using the subject line Void IR#, The Void request must include the CBP assigned bond number, the transaction number (if applicable) and a reason for the void. If requesting a void as an Attorney-in-Fact on behalf of the importer, provide a current POA. The RDBT will not return or withdraw a void request once it has been received.

Consult the "Voided Importer Record FAQs" posted at: http://www.cbp.gov/trade/trade-community/outreach-programs/bonds/bond-centralization-program/voided-importer-faq for more information.

10. Frozen Importer Records

Importer/principal records may be "frozen" per 19 CFR 24.5. A "frozen" importer/principal record may be changed only if an authorized individual makes the request. Please review 19 CFR 24.5(f) for more information. If an importer record is frozen, changes (e.g. name, address, or legal designation) to that account can only be transmitted by the RDBT. Submit a completed CBP Form 5106, signed by an authorized signer, to cbp.bondquestions@dhs.gov. The subject line should be: Frozen IR#.

The purpose of freezing an importer record is to restrict who can make changes to the importer record. In order to freeze an importer record, the following information must be provided to RDBT:

- Request must be on company letterhead and dated
- Signed by an officer of the requesting company
- List the authorized signers – name and title
- Reference the Importer Number(s)
- To make changes to the authorized signers, submit a new letter on company letterhead

To unfreeze an importer record, submit a withdrawal letter on company letterhead to RDBT at cbp.bondquestions@dhs.gov. The naming convention should be: Frozen IR#.

11. Update Legal Designation

To change the legal designation of the company, a CBP Form 5106 is required. An example is sole proprietorship to partnership.

12. Riders

Riders are no longer required when the name or address is being updated. A completed CBP Form 5106 is only required. A rider, along with a completed CBP Form 5106 is required when an addition rider or deletion rider is submitted to the RDBT.

13. Requests for Status

Filers inquiring about the status of a CBP Form 5106 transmission must adhere to the following guidelines. Using the following rules is important to ensure efficient and timely processing:

- Requests must include the Status IR# in the subject line. In the body of the email, include CBP identification number (also known as Customs Assigned Number, tax identification number, social security number, or importer number), and date that the transmission was received by the RDBT. The name, phone number, and email address of the requestor must also be provided.

- Requests for the status of a rejected transmission should be made by leaving a voice mail at (317) 614-4881 or via email. When requesting a status via email, ensure that you include Reject Status in the subject line

- Please allow at least two (2) business days for this office to respond to any status request. When attempting to respond to status requests, our office has found that many requestors provide phone numbers where no one answers and there is no mechanism to leave a message. Please note that due to the extremely high volume of status requests, our office may only make one attempt to return a phone call.

Every email sent to cbp.bondquestions@dhs.gov will receive an auto–reply email response. If you have not received that auto-reply email within two (2) days of your submission, you should assume that the RDBT did not receive your email. Please retransmit your email. Please be advised that due to

the volume of transmissions received, this office is not able to manually provide an individual confirmation receipt for each email.