**Version**

**2.4a**

# U. S. CUSTOMS AND BORDER PROTECTION

# ACE Entry Summary Instructions

# Automated Commercial Environment (ACE) ENTRY SUMMARY INSTRUCTIONS

The purpose of this document is to provide guidance to ACE end users on what entry summary information to provide in ACE. The data elements that were originally on the paper CBP Form 7501 will be provided online via ACE. The purpose of ACE is to minimize the retention of paper entry summary packets. The ACE Entry Summary Instructions will make references to the ACE Automated Broker Interface (ABI) Customs and Trade Automated Interface Requirements (CATAIR).

## <u>ENTRY SUMMARY HEADER LEVEL INFORMATION</u>

### FILER/REMOTE PREPARER CODE

Record the entry summary filer's identification and office location codes (as assigned by CBP)

### ENTRY NUMBER

Record the 11-digit alphanumeric code. The entry number is comprised of the 3-character filer code, followed by the 7-digit entry number, and completed with the one digit check digit.

Entry Filer Code represents the 3-character alphanumeric filer code assigned to the filer or importer by Customs and Border Protection (CBP).

Entry Number represents the 7-digit number assigned by the filer. The number may be assigned in any manner convenient, provided that the same number is not assigned to more than one CBP entry summary. Leading zeros must be shown.

Check digit is computed on the previous 10 characters. The formula for calculating the check digit can be found at following link Check Digit Computation Formula.

### DISTRICT/ PORT OF ENTRY

Record the U.S. port code utilizing the Schedule D, CBP District and Port Codes, listed in Annex C of the Harmonized Tariff Schedule United States Annotated (HTS). The port is where the merchandise was entered under an entry or released under an immediate delivery permit. Use the following format: DDPP (no spaces or hyphens).

### ENTRY TYPE

Record the appropriate entry type code by selecting the 2-digit code for the type of entry summary being filed. The first digit of the code identifies the general category of the entry (i.e., consumption = 0, informal = 1. The second digit further defines the specific processing type within the entry category.

The following codes shall be used and are the only entry types being supported in ACE at this time:

> Consumption Entries
> Free and Dutiable           01
>
> Antidumping (AD) and
> Countervailing Duty (CVD)  03
>
> Informal Entries
> Free and Dutiable           11

## MODE OF TRANSPORT (MOT)

Record the mode of transportation by which the imported merchandise entered the first U.S. port of arrival from the last foreign country utilizing the following two digit numeric codes:

- 10 - Vessel, non-container (including all cargo at first U.S. port of unlading aboard a vessel regardless of later disposition; lightered, land bridge and LASH all included). If container status unknown, but goods did arrive by vessel, use this code.
- 11 - Vessel, container
- 12 - Border, Waterborne (used in cases where vessels are used exclusively to ferry automobiles, trucks, and/or rail cars, carrying passengers and baggage and/or cargo and merchandise, between the U.S. and a contiguous country).
- 20 - Rail, non-container
- 21 - Rail, container
- 30 - Truck, non-container
- 31 - Truck, container
- 32 - Auto
- 33 - Pedestrian
- 34 - Road, other
- 40 - Air, non-container
- 41 - Air, container
- 50 - Mail
- 60 - Passenger, hand-carried
- 70 - Fixed transport installation (includes pipelines, powerhouse, etc.)

## BOND DETAIL

- **Bond Type Code** - the type of bond, either single or continuous, according to the conditions of 19 CFR 113.62.

  The bond information is reported at the header level of an ACE Entry Summary except for AD/CVD Bonding Requirements.  AD/CVD bonds are reported at the line level of an ACE entry summary.

8 = continuous (multiple transaction) bond
9 = single transaction bond

- **Bond Designation Type Code** - a code indicating the purpose of the bond.

  Under ACE, an entry may have either a continuous bond or a continuous bond and a single transaction bond, or two single transaction bonds, therefore it is necessary to have an indicator to designate which bond is the basic bond and which is the single transaction. The bonds may be reported in any order.

  B = Basic bond; the bond either single or continuous that contains the conditions of 19 CFR 113.62 for entry and entry summary.

  A = Single Transaction bond.  Additional security when appropriate for AD/CVD, a PGA, or as required by statute, regulation, or directive.

- **Continuous Superseded Bond Indicator** - A conditional field used to indicate the continuous bond on the summary supersedes the bond used at time of entry.

  Y = Continuous bond supersedes the bond presented at time of entry.

  Leave field blank, if not superseding or if a single transaction bond (STB) is obligated.

  **Surety Code** - Record the three digit numeric code that identifies the surety company on the Customs Bond. Use '999' as the surety code, when there is no bond or bond is waived by regulation.  Bond type "9" should be used in conjunction with surety code "999" when bond is waived in accordance with 19 CFR 142.2(c).  Use '998' as the surety code, when cash or government securities are deposited in lieu of surety.  Bond type "8" or "9," as appropriate, should be used in conjunction with surety code "998".

- **Single Transaction Bond Amount –** STB coverage amount in whole U.S. dollars.

  Leave blank if a continuous bond.

- **Single Transaction Bond Producer Account Number -** The Entry Filer's identification number assigned by the Surety company of the STB.

  Leave blank if a continuous bond.

- **No Bond; Bond Waived Indicator** -

  0 = Type 11 Informal Entry may be made without a bond if the importer is a service man returning from foreign duty and the shipment is personal effects, or if the value of the merchandise the bond would secure does not

exceed $2,500 and waiver is obtained from the port director prior to release of the merchandise under 19 CFR 142.4(c) (1).  The bond **cannot** be waived for an explicit AD/CVD Entry Type.

- **Bond Waiver Reason Code**

  '998' When cash or government securities are deposited in lieu of surety.

  '999'  When an informal entry is made for personal effects, or the importer has obtained waiver of the bond prior to release under 19 CFR 142.4(c)(1).

- **AD/CVD Bonding Requirements**

  Certain AD/CVD submission scenarios require a Single Transaction Bond (STB) be cited in the Bond Detail field.

| When Filer's Bond/Cash Claim: | When AD/CVD Case Rates are: | Bond Detail Submission Configuration: | Allowed? | Note |
|---|---|---|---|---|
| **Scenario 1** - All claims for all cases = C (Cash) | n/a | Continuous Only | Yes | Any configuration allowed when all AD/CVD revenue is cash payment.  An additional STB, if submitted, is assumed to be for a non-AD/CVD purpose. |
| | | One STB Only | Yes | |
| | | Continuous + STB | Yes | |
| | | Two STB | Yes | |
| **Scenario 2** - Any one claim = B (Bonded) and the rate for that case is a *__Specific Rate__*. | | Continuous Only | **No** | A 'specific' rate bonded case always requires an STB.  A continuous bond only, therefore, is never allowed. |
| | | One STB Only | Yes | |
| | | Continuous + STB | Yes | |
| | | Two STB | Yes | |
| **Scenario 3** - No bonded, specific case found; all other B (Bonded) claims are where the *__Ad Valorem Rate__* < 5%. | | Continuous Only | Yes | As long as there is no 'specific' rate bonded claim, any configuration allowed when all bonded case ad valorem rates are below 5%. The Filer's continuous bond, if |
| | | One STB Only | Yes | |
| | | Continuous + STB | Yes | |

| | | | |
|---|---|---|---|
| | Two STB | Yes | claimed is allowed for the additional AD/CVD coverage. An additional STB, if submitted, may be for AD/CVD purposes or for a non-AD/CVD purpose. |
| **Scenario 4** - No bonded, specific case found; any single B (Bonded) claim where the **_Ad Valorem Rate_** = or > 5%. | Continuous Only | **No** | A '5% or greater ad valorem rate' bonded case always requires an STB. A continuous bond only, therefore, is never allowed. |
| | One STB Only | Yes | |
| | Continuous + STB | Yes | |
| | Two STB | Yes | |

## ELECTRONIC SUMMARY CERTIFICATION

A mandatory field when an ACE Entry Summary is being added or replaced. An "X" in the electronic field represent 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.

## CARGO RELEASE CERTIFICATION REQUEST

A conditional field used by the filer when 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).

A "Y" is used when certifying that Entry Summary information will be used for Cargo Release purposes.

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

## ELECTRONIC INVOICE INDICATOR

An indication that the Entry Summary conforms to the requirements for Electronic Invoice Processing (EIP) program via the Automated Invoice Interface (AII): 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.

A "Y" is used when the electronic invoice is available.

Leaving this field blank will indicate that the electronic invoice is not available.

**CONSOLIDATED SUMMARY INDICATOR**

A conditional field using a ''Y'' to indicate that the Entry Summary accounts for (i.e., 'consolidates') the cargo referenced in more than one Cargo Release (entry) transaction.

**SHIPMENT USAGE TYPE CODE**

A conditional field used to indicate that the articles referenced in the summary are for personal use or designated as a commercial sample.

**P** = Personal Shipment.
**X** = Sample Commercial Shipment.

**LIVE ENTRY INDICATOR**

A conditional field using a ''Y'' to indicate both Entry Summary & Entry are filed at time of entry (required for importation of quota class merchandise); i.e., a *live* entry.

**NAFTA RECONCILIATION INDICATOR**

A conditional field using a ''Y'' to indicate that certain issues (such as value, classification, etc.) are to be subject to a future 'reconciliation' for NAFTA.

**OTHER RECONCILIATION INDICATOR**

A conditional field using a ''Y'' to indicate that certain issues (such as value, classification, etc.) are to be subject to a future 'reconciliation' other than NAFTA.

**RECONCILIATION STATUS CODES**

Record the appropriate reconciliation status code by selecting the three digit code for the type of reconciliation status being filed.

The following are the Reconciliation Issue Codes:

**001** = Value.
**002** = Classification.
**003** = Chapter 9802.
**004** = Value & Classification.
**005** = Value and Chapter 9802.
**006** = Classification & Chapter 9802.
**007** = Value, Classification & Chapter 9802.

**PAYMENT TYPE**

Record the single digit numeric code as follows:

**1** = Individual payment (NOT on a statement).

**Note:** Only allowed AFTER an ACE Entry Summary has been removed from the statement.

On **DAILY** statement corresponding to the Preliminary Statement Print Date:

**2** = Entries sequenced by Broker Reference Number (if pre-arranged) or by Entry Number.
**3** = Entries sequenced by Importer of Record & subdivision suffix.
**5** = Entries sequenced by Importer of Record (no suffix).

On **PERIODIC MONTHLY** statement corresponding Periodic Statement Month. To appear on the DAILY statement corresponding to the Preliminary Statement Print Date:

**6** = Entries sequenced by Broker Reference Number (if pre-arranged) or by Entry Number.
**7** = Entries sequenced by Importer of Record & subdivision suffix.
**8** = Entries sequenced by Importer of Record (no suffix).

**PRELIMINARY STATEMENT PRINT DATE**

The date that the Entry Summary is to appear on the Preliminary Statement.

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).

**PERIODIC STATEMENT MONTH**

The calendar month that the Entry Summary is accounted for on the Preliminary Periodic Monthly Statement. (MM Format).

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).

**STATEMENT CLIENT BRANCH IDENTIFIER**

A Filer assigned code that further groups Entry Summaries on a statement.

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).

**ARTICLE PARTY HEADER**

The Article Party Header contains party identifiers relevant to the article.  The type of Party reported includes the importer of record, consignee, and designated notify (4811).

- **Importer of Record Number**

  Record the IRS EIN, SSN, or CBP assigned number of the importer of record.  Proper format is listed under the instructions for Consignee Number.

- **Importer of Record Name and Address**

  Record the name and address, including the standard postal two-letter state or territory abbreviation, of the importer of record.  The importer of record is defined as the owner or purchaser of the goods, or when designated by the owner, purchaser, or consignee, a licensed customs broker.  The importer of record is the individual or firm liable for payment of all duties and meeting all statutory and regulatory requirements incurred as a result of importation, as described in 19 C.F.R. § 141.1(b).  The importer of record shown on the invoice should be the same party on the ACE entry summary, unless the CBP form reflects a licensed customs broker.

- **Consignee Number**

  Record the entity in the United States on whose account the merchandise is shipped. Use the Internal Revenue Service (IRS) Employee Identification Number (EIN), Social Security Number (SSN), or CBP assigned number of the consignee.

  The "Consignee" information at the header level for the entry summary must be maintained for cargo release and the Importer Security Filing (ISF) related purposes.

  For express consignment shipments, consolidated summaries, or when entry type is **11** (Informal), the consignee may be reported in a suitable format as all zeros (e.g., '00-0000000').

- **Consignee Name and Address**

  At the time of entry summary, record the name and address of the consignee that was reported in the Consignee Number field.

- **Designated Notify Party (4811) Number**

  A conditional field that is the 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).

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 should be known to CBP (as established via an electronic CBPF5106 and manually input CBPF4811).

## ESTIMATED ENTRY DATE

Date which the goods are released, or expected to be released in, except for immediate delivery where the filer requests another date prior to release (see 19 C.F.R. § 141.68). The date is to be entered in month/day/year (MM/DD/YYYY) format.

## DATE OF IMPORTATION

For merchandise arriving in the U.S. by vessel, the import date on which the importing vessel transporting the merchandise from the foreign country arrived within the limits of the U.S. port with the intent to unlade.

For merchandise arriving in the U.S. other than by vessel, the import date in which the merchandise arrived within the U.S. port limits.

The import date will be generated in ACE when the vessel is arrived in the system.

## SUMMARY DATE

Date the entry summary is paid on an ABI statement. The date will be generated in ACE when the ABI statement is paid.
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## U.S. STATE OF DESTINATION CODE

Report the U.S. state, U.S. territory or U.S. possession where the merchandise is destined, as known at the time of entry summary filing. If the contents of the shipment are destined to more than one state, territory, or possession, or if the entry summary represents a consolidated shipment, report the state of destination with the greatest aggregate value. If in either case, this information is unknown, the state of the ultimate consignee, or the state where the entry is filed, in that order, should be reported. However, before either of these alternatives is used, a good faith effort should be made by the entry filer to ascertain the state where the imported merchandise will be delivered. In all cases, the state code reported should be derived from the standard postal two-letter state or territory abbreviation.

**IMPORTING CARRIER**

For merchandise arriving in the U.S. by vessel, record the name of the vessel that transported the merchandise from the foreign port of lading to the first U.S. port of unlading. Do not record the vessel identifier code in lieu of the vessel name. Pursuant to General Statistical Note 1 (a) (ii) of the HTS the reporting of the vessel flag is not required. For merchandise arriving in the U.S. by air, record the two digit IATA alpha code corresponding to the name of the airline which transported the merchandise from the last airport of foreign lading to the first U.S. airport of unlading.

If the carrier file does not contain a specific air carrier's code, write the designation "*C" for Canadian airlines, "*F" for other foreign airlines, and "*U" for U.S. airlines.

These designations should be used only for unknown charter and private aircraft. When a private aircraft is being entered under its own power (ferried), the designation "**" will be used.

For merchandise arriving in the U.S. by means of transportation other than vessel or air, leave blank.

Do not record the name of a domestic carrier transporting merchandise after initial lading in the U.S.

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).

**U.S. PORT OF UNLADING**

Record the U.S. port code where the merchandise was unladen from the importing vessel, aircraft or train.

For merchandise arriving in the U.S. by means of transportation other than vessel, rail or air, leave blank.

**ESTIMATED DATE OF ARRIVAL**

Date that the merchandise arrived, or is expected to arrive, at the District/Port of Entry. Provide an estimate if the date is to be used to determine the relevant classification date and is not pre-empted by another date. The date is to be entered in month/day/year (MM/DD/YYYY) format.

**LOCATION OF GOODS/General Order (GO) Number**

Record the Facilities Information and Resources Management (FIRMS) codes when the entry summary serves as entry/entry summary.  The FIRMS codes should be the location where the goods are available for examination.

Where the entry summary is used for merchandise that has been placed in GO, record the number assigned by CBP in the following format: G.O. NNNNNNNNNNNNN.

**CONVEYANCE NAME**

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).

**VESSEL CODE**

The Lloyd's Code identifer of the importing vessel.

**DESIGNATED EXAM PORT CODE**

A conditional field used 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.

**IT DATE**

The date obtained from the TACM, or AMS MIB record.

When an entry summary covers merchandise with more than one IT, then they should be linked to the associated AWB or MIB.  Multiple IT numbers are to be grouped at the ACE entry summary header level.  The date is to be entered in month/day/year (MM/DD/YYYY) format.

Note: IT date cannot be prior to import date.

**TRIP INFORMATION**

Carrier's identification of the trip/manifest.

**MANIFESTED QUANTITY**

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**

A unit of measure code that corresponds to the manifested quantity.

**BILL OF LADING (B/L)/IN-BOND DETAIL**

The one of the following Manifest Component Type Codes is used in this field:

**I** = In-Bond/In-Transit Number.
**M** = Master Bill Number.
**H** = House Bill Number.
**S** = Sub-House Bill Number.

The following are instructions in providing a Manifest Component Identifier for each type:

*Master Bill Number, House Bill Number, and Sub-House Bill Number:*

Record the number assigned on the manifest by the international carrier delivering the goods to the U.S.

Each B/L number for vessel or rail shipments must conform to a unique format comprised of 2 elements. The first element comprises the first four characters of the unique bill number, and is the Standard Carrier Alpha Code (SCAC) of the bill's issuer. The second element may be any length up to a maximum 12 characters and may be alpha and/or numeric. Use the following format: ABCD1234567

If multiple bills are associated with an entry summary, group the additional B/L or AWB numbers at the ACE entry summary header level.

*In-Bond/In-Transit Number:*

Record the IT number obtained from the Transit Air Cargo Manifest (TACM) AWB number or the Automated Manifest System (AMS) master in-bond (MIB) movement number.

When an entry summary covers merchandise with more than one IT number and associated IT dates, they should be linked to the associated AWB or MIB. Multiple IT numbers are to be grouped at the ACE entry summary header level.

**MISSING DOCUMENTS**

Record the appropriate document code number(s) to indicate documents not available at the time of filing the entry summary. A maximum of two codes may be used. The bond charge should be made on the entry summary only for those documents required to be filed with the entry summary.

The following codes shall be used:

01 - Commercial Invoice
10 - CBP Form 5523 (19 C.F.R. § 141.89) (Optional for footwear)
11 - CBP Form 3291
16 - Corrected Commercial Invoice (19 C.F.R. § 141.89, et al)
17 - Other Agency Form (19 C.F.R. § Part 12)
19 - Scale weight
21 - Coffee Form O
22 - Chemical Analysis
23 - Outturn Report
26 - Packing List (19 C.F.R. § 141.86(e))
98 - Not Specified Above
99- If three or more documents are missing, record the code number for the first document and insert code "99" to indicate more than one additional document is missing.

If a document has been waived prior to entry summary filing or is not required at time of entry summary, it should not be recorded as a missing document.

Be aware that the following forms cannot be waived and filers shall be obligated to file the forms within the appropriate time limits:

14 – Lease Statements (19 C.F.R. § 10.108)
15 – Re-Melting Certificate (19 C.F.R. § 54.6(a))
18 – Duty Free Entry Certificate (19 C.F.R. § 10.102; 9808.00.3000)
20 – End Use Certificate (19 C.F.R. § 10.138)

**ENTRY SUMMARY HEADER FEES**

The information inputted in this field should be the CBP accounting classification code representing a specific fee type applicable for the summary as a whole listed below including applicable fee amount in U.S. dollars and cents that corresponds to Accounting Class Code. If a fee is reported in this field, the same fee must be reported in the Fee Total Detail field.

The following are the class codes and descriptions of the user fees reported at the entry summary header level:

311- Informal Merchandise Processing Fee
496- Dutiable Mail Fee
500- Manual Entry Surcharge

## <u>ENTRY SUMMARY LINE LEVEL INFORMATION</u>

**LINE NUMBER**

Record the appropriate line number, in sequence, beginning with the number 001.

A "line number" refers to a commodity from one country, covered by a line which includes a net quantity, entered value, HTS number, charges, rate of duty and tax. However, some line numbers may actually include more than one HTS number and value. For example, many items in Chapter 98 of the HTS require a dual HTS number. Articles assembled abroad with U.S. components require the HTS number 9802.00.80 along with the appropriate reporting number of the provision in Chapters 1 through 97.

Also, many items in Chapter 91 of the HTS require as many as four HTS numbers. Watches classifiable under subheading 9101.11.40, for example, require that the appropriate reporting number and duty rate be shown separately for the movement, case, strap, band or bracelet, and battery. A separate line item is also required for each commodity that is the subject of a Customs binding ruling. Proper format is listed under the instructions for HTS number.

Where a reporting number is preceded by an alpha character designating a special program (i.e., NAFTA = "CA" or "MX"; GSP = "A"), that indicator is to be placed, directly below the line number. The Special Program Indicator (SPI) should be right justified on the same line and immediately preceding the HTS number to which it applies. If more than one HTS number is required for a line item, place the SPI on the same line as the HTS number upon which the rate of duty is based. If more than one SPI is used, the primary indicator that establishes the rate of duty is shown first, followed by a period and the secondary SPI immediately following.

The Line Item Identifier may be any value, 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.

**HARMONIZED TARIFF SCHEDULE (HTS) NUMBER**

Record the appropriate full 10-digit HTS item number. This item number should be left justified. Decimals are to be used in the 10-digit number exactly as they appear in the HTS. Use the following format: 4012.11.4000

If more than one HTS number is required, follow the reporting instructions in the statistical head note in the appropriate HTS section or chapter.


**REPORTING ARTICLE SETS**

Sets are recorded at the line item header and line item detail levels. The General Rules of Interpretation (GRI 3(b) and 3(c)) of the 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**.

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'.

Sets which are classified in accordance with GRI 3(B) or (C) shall be entered and processed in the following manner using the Special Program Indicators (SPI) 'X' or 'V':

1) 'X' SPI indicator reporting requirements.

   A) The HTS number used is deemed by the importer to represent the 'essential' character of the article (as 'interpreted').

   B) The HTS number in which the rate of duty of the set is derived shall be identified with a prefix of 'X'.

   C) Only the duty, merchandise processing fee (MPF), and harbor maintenance fee (HMF) will be calculated based on the 'X' line.

   D) It is never used to assess IR Tax & Agricultural Management Service (AMS) fees, never used for visa/quota checks, and never undergoes any Unit Price or Quantity Ratio validation.

2) 'V' SPI indicator reporting requirements.

   A) Each article in the set (including the article designated with a prefix of 'X") will be reported on a separate line as if it was separately classified. The HTS number will be identified with a prefix of 'V'. The quantity and value attributed to each article associated with the 'V' prefix will also be reported.

   B) Duty, MPF, and HMF calculations will be done only on the 'X' line. All other reporting requirements including, but not limited to, quota, visa, licensing, OGA, value, quantity and HTS number will be furnished and validated at this level.

   C) If a HTS number is entered with a prefix of 'X' then there must immediately follow two or more lines with an SPI of 'V'.

   D) The 'V' article 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.

E) It is **never** used to assess duty, MPF, or HMF.

F) Subsequent 'V' articles are classified by the importer according to the specific 'part' of the set they represent. However, the classification of the first 'V' article reported MUST be the same classification as claimed on the 'X' SPI.

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' or 'X' article), followed by two or more Line Items (each known as an 'Article Set Component' or 'V' article).

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 good put up in sets for retail sale.)  '**X**' = The line item is the 'header' of an article set.  '**V**' = The line item is a component of an article set.

## COUNTRY OF ORIGIN

Record the country of origin utilizing the International Organization for Standardization (ISO) country code located in Annex B of the HTS.

The country of origin is the country of manufacture, production, or growth of any article. If the article consists of material produced, derived from, or processed in more than one foreign territory or country, or insular possession of the U.S., it shall be considered a product of that foreign territory or country, or insular possession, where it last underwent a substantial transformation.  For reporting purposes only to CBP, whenever merchandise has been returned to the U.S. after undergoing repair, alteration, or assembly under HTS heading 9802, the country of origin should be shown as the country in which the repair, alteration, or assembly was performed.

When merchandise is invoiced in or exported from a country other than that in which it originated, the actual country of origin shall be specified rather than the country of invoice or exportation.  Where line items are segregated by invoice, indicate the ISO code corresponding to each invoice.

- **Special Note for Goods of Canadian Origin**

The ISO country code "CA" for Canada for goods of Canadian Origin will no longer be reported as a country of origin.  As of May 15, 1997, the Canadian Province codes will replace the code "CA".

The following conditions in which the "CA" is acceptable, in addition to the Province Codes:

1. Withdrawals of goods from warehouses for consumption.

2. Entries of goods from Foreign Trade Zones into the Commerce of the U.S.

3. Informal entries.

4. Imports of Canadian origin arriving from countries other than Canada.

5. Cargo selectivity entries not certified from entry summary, i.e. full cargo selectivity entries provided with entry data only or border cargo selectivity entries.

6. Data elements intended specifically for other government agencies, e.g. FDA, DOT, and EPA which only allow "CA" to be used as the origin code.

Additional information related to reporting the correct ISO country code for goods of Canadian Origin can be found in CSMS#97-000267 and 02-000071.

## COUNTRY OF EXPORT

Record the exporting country utilizing the ISO country code located in Annex B of the HTS. The country of exportation is the country of which the merchandise was last part of the commerce and from which the merchandise was shipped to the U.S. without contingency of diversion.

Directly below the line number, prefixed with the letter "E," indicate the ISO code corresponding to each line item. Where line items are segregated by invoice, indicate the ISO code corresponding to each invoice.

**ISO 3166 Country Codes**

## DATE OF EXPORT

For merchandise exported by vessel, record the month, day, and year (MM/DD/YYYY), on which the carrier departed the last port in the exporting country.

For merchandise exported by air, record the month, day, and year (MM/DD/YYYY), on which the aircraft departed the last airport in the exporting country.

For overland shipments from Canada or Mexico and shipments where the port of lading is located outside the exporting country (e.g., goods are exported from Switzerland but laden and shipped from Hamburg, Germany), record the month, day, and year (MM/DD/YYYY), that the goods crossed the border of the exporting country (Switzerland in this example).

For mail shipments, record the month, day, and year (MM/DD/YYYY) of export as noted on the Notice to Addressee, CBP Form 3509.

## TRADE AGREEMENT/SPECIAL PROGRAM CLAIM CODE

The following is the link to the SPI codes when it is required for an HTS number:

Trade Agreement Special Program Code

## CHARGES AMOUNT

Record the aggregate cost in U.S. dollars (excluding duty) of freight, insurance and all other charges, costs and expenses incurred while bringing the merchandise from alongside the carrier at the port of exportation in the country of exportation and placing it alongside the carrier at the first U.S. port of entry.  Do not include U.S. import duties.  Report zero if not used.

## FOREIGN PORT OF LADING

For merchandise arriving in the U.S. by vessel, record the five digit numeric code listed in the "Schedule K" (Classification of Foreign Ports by Geographic Trade Area and Country) for the foreign port at which the merchandise was actually laden on the vessel that carried the merchandise to the U.S.  The "Schedule K" may be retrieved at:

http://www.navigationdatacenter.us/wcsc/scheduleK/schedulek.htm

If the actual port name is not provided, use the code for "all other ports" for the country in which the merchandise was laden on the vessel that carried the merchandise to the U.S.

When line items are segregated by invoice, indicate the code corresponding to each invoice.

When merchandise is transported by a mode of transportation other than vessel, leave blank.

## GROSS WEIGHT

Report gross shipping weight in kilograms for merchandise imported by ALL modes of transportation.

In cases where more than one value is shown on a line item, record the gross weight for the line item.  Gross weight information must be provided for each line item.  If the gross weight is not available for each line item, the approximate shipping weight shall be estimated and reported. The total of the estimated weights should equal the actual gross shipping weight.  For multi-line summaries, the grand total gross weight need not be shown.

In the case of containerized cargo carried in lift vans, cargo vans, or similar substantial outer containers, the weight of such container should not be included in the gross weight of the merchandise.

## RELATED PARTY INDICATOR

A code indicating if the transaction is between related parties.  If the transaction is between related parties as defined in 19 U.S.C. § 1401a (g) (1) (F), 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, 5 percent of more of the outstanding voting stock or shares of any organization...".  Enter *Y* (yes) if companies related; otherwise, N (no) is to be used when companies are NOT related.

## AD/CVD NON-REIMBURSEMENT STATEMENT

For AD/CVD entries, the Importer's disclosure statement.

A "Y" indicator will be used to certify an AD/CVD Non-Reimbursement.

**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."

**ANTIDUMPING AND COUNTERVAILING DUTIES (ADCVD) CASE DETAIL**

The Blanket AD/CVD Non-Reimbursement Declaration will be recorded in the AD/CVD Case Detail Section.

**NAFTA NET COST INDICATOR**

An indication that the determination of NAFTA origin material used in the article conforms to the 'net cost' (average) method.

**Y** = Yes; NAFTA net cost determination applies.

**FEE EXEMPTION CODE**

An indication that the article is exempt from a specific fee.

**1** = Cotton (056) fee exempt for the cotton article.
**2** = Other agriculture fee exempt; Importer has obtained an organic product exemption certificate from the Department of Agriculture.

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

# ARTICLE PARTY LINE

The Article Party Line contains party identifiers relevant to the article. The type of party reported includes the manufacturer, delivered to, sold to party, and foreign exporter general and AD/CVD. The foreign exporter (ADCVD) and sold to party (ADCVD) fields are required for ADCVD entry summaries.

- **Manufacturer/Supplier\*:**

  Record the entity 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.

  \**Except when import laws, rules, and regulations of the United States require the identification of the manufacturer*, a supplier may be reported in this field.  The supplier may be the invoicing party or parties whose commercial invoice is required for entry, whether or not it is presented at entry.

  The manufacturer or supplier identification code is required for all entry summaries and entry/entry summaries, including informal entries.  Indicate the MID Code corresponding to each line item.  If there is more than one vendor for a particular HTS number, separate line items will be required for each MID.

  The following is guidance to constructing the MID: RULES FOR CONSTRUCTING THE MANUFACTURER IDENTIFICATION CODE

- **Delivered To Number**

  Record the identification of the named first deliver-to party scheduled to physically receive the goods after they have been released from customs custody.  Use the Internal Revenue Service (IRS) Employee Identification Number (EIN), Social Security number (SSN), or CBP-assigned number of the consignee.  This number must reflect a valid identification number filed with CBP via the CBP Form 5106 or its electronic equivalent.

  The 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).

- **Delivered To Name and Address**

  At the time of entry summary, record the name and address of the individual or firm used in the "Delivered To Number

- **Sold to Party Number**

  **General**

  Record the last known named entity to whom the goods are sold or agreed to be sold. If the goods are imported otherwise than in pursuance of a purchase, the identifying number of the owner of the goods must be provided.

  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).

  **AD/CVD**

  Record 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 goods are imported otherwise than I pursuance of a purchase, the identifying number of the owner of the goods must be provided. This is a required field for ADCVD entry summaries.

- **Sold to Party Name and Address**

  Record the name and address of the entity used in the "Sold to Party Number" field.

- **Foreign Exporter**

  **General**

  The last named foreign party identified on the transaction invoice/purchase order that has a 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.

  When present, the Foreign Exporter Code should be formatted in a manner consistent with the algorithm described in [RULES FOR CONSTRUCTING THE MANUFACTURER IDENTIFICATION CODE.](#)

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](#)).

**AD/CVD**

This is a <u>required field</u> for ADCVD entry summaries. Record the entity based on the following conditions:

**If the merchandise was a direct shipment from country of origin to the United States customs territory**, use the entity in the country of manufacture or production (19 C.F.R. 102) of a good that has a substantial financial interest in the good beyond that of an entity that has custody under a bill of lading and that directly ships a good 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.

**If the shipment was from a third country to the United States customs territory,** use the entity in a country other than the country of manufacture or production (19 C.F.R. 102) that has a substantial financial interest in the good beyond that of an entity who has custody under a bill of lading and that directly ships a good 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.

## NET QUANTITY IN HTS UNITS

When a unit of measure is specified in the HTS for an HTS number, report the net quantity in the specified unit of measure, and show the unit of measure after the net quantity figure. Record quantities in whole numbers for statistical purposes, unless fractions of units are required for other CBP purposes.

Rounding of fractions for quantity (19 CFR §159.3).

(b) Quantities subject to specific duty. Except in the case of alcoholic beverages treated under Sec. 159.4, if a rate of duty is specific and $1 or less per unit, fractional quantities, if less than one-half, shall be disregarded, and if one-half or more shall be treated as a whole unit. Subject to the same exception, if a specific rate is more than $1 per unit, duty shall be assessed upon the exact quantity with any fractional part expressed in the form of a decimal extended to two places.

When two units of measure are shown for the same article, report the net quantity for both in the specified unit of measure. The value of the article is to be reported with the first unit of measure unless a "V" follows the second which indicates the value of the article is to be reported with that unit of measure.

Example: Shipment consists of 50 dozen t-shirts, weighing 1 kg per dozen and valued at $10 per dozen.  Report as follows:

HTS:            6205.20.2065

HTS Units:    50 dozs
                    50 kgs.

Entered Value: 500 USD


## ENTERED VALUE

Record the U.S. dollar value as defined in 19 U.S.C. § 1401a for all merchandise.

Record the value for each line item on the same line as the HTS number.

Rounding of fractions for value (19CFR§ 159.3)

(a) Value.  In the computation of duty on entries, ad valorem rates shall be applied to the values in even dollars, fractional parts of a dollar less than 50 cents being disregarded and 50 cents or more being considered as $1, with all merchandise in the same invoice subject to the same rate of duty to be treated as a unit.  However, the total dutiable value of the invoice shall not be increased or decreased by more than the rounding of the total dutiable value to an even dollar. When necessary, fractional parts of a dollar, whether more or less than 50 cents, shall be dropped or taken up as whole dollars in order to avoid such an increase or decrease.  If in such cases it is necessary to drop fractional parts of a dollar amounting to 50 cents or more, the lower fractions shall be dropped, and if it is necessary to take up as whole dollars fractional parts less than 50 cents, the larger fractions shall be taken. In the case of two equal fractions, the one subject to the lower rate of duty shall be dropped or taken up, as the case may be.  In determining a rate of duty dependent upon value, fractional parts of a dollar shall be considered.

## DUTY AMOUNT

The duty amount estimated for the article and/or specifically the HTS Number in U.S. dollars and cents.  Report the duty amount as $0 when the article is exempt from duty.

## TOTAL ENTERED VALUE

Report the total entered value for all the lines.

## AGRICULTURE LICENSE NUMBER

For merchandise subject to agriculture licensing, report the license number below the tariff rate for that line item.

The license number will be in a ten-character format, including hyphens and spaces. The two acceptable formats are as follows:

      (1) N-AA-NNN-N    or    (2) N-AB-NNN-N
        (1-cc-234-5)           (1-c -234-5)

The letters N and A represent numeric and alpha characters respectively. The letter B represents a blank space. For format 1, the first position is the license type. The third and fourth positions are the commodity type code. Positions six through eight represent the license serial number. The tenth position is the license year. Positions two, five and nine are hyphens. Format 2 is identical to the above except position four is blank.

## LICENSE/CERTIFICATE/ PERMIT TYPE CODE

A code that identifies the license, certificate, permit, or 'non-standard' visa number reported:

**01** = Steel Import License
**02** = Singapore TPL Certificate
**03** = Canadian NAFTA TPL Certificate
**04** = Mexican NAFTA TPL Certificate
**05** = Beef Export Certificate
**06** = Diamond Certificate
**07** = Andean Drug Partnership Drug Eradication Act (ATPDEA) Certificate (HTS 98211119)
**08** = Australia Free Trade Export Certificate
**09** = Mexican Cement Import License
**10** = CAFTA TPL Certificate
**11** = Canadian Softwood Lumber Export Permit
**12** = Cotton Shirting Fabric License
**13** = Haiti 'Hope' Import Permit
**14** = Agricultural License
**15** = Canadian Softwood Lumber Permit (note: 1990's program; no longer active)
**16** = Canadian Export Sugar Certificate
**17** = Wool License
**18** = Caribbean Basin Trade Partnership Act (CBTPA) Certification
**19** = African Growth and Opportunity Act (AGOA) Textile Provision Number
**20** = Other 'Non-Standard' Visa

## LICENSE NUMBER/ CERTIFICATE NUMBER/PERMIT NUMBER

The identifying number or code as provided on the license, certificate, permit, or non-standard visa that corresponds to the Type Code.

## ANTIDUMPING AND COUNTERVAILING DUTIES (ADCVD) CASE DETAIL

Record the following information relating to a single ADCVD case:

- **Case Number** – The full 10-digit active case number(s) without the hyphens ('-'). Submit both the AD case and related CVD case when required. Cases may be reported in any order.

- **Bond/Cash Claim Code** – 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.

    **B** = The duty amount is to be covered under a surety bond.

    **C** = The duty amount is to be collected as a cash deposit.

- **Case Deposit Rate -** The applicable deposit rate, prescribed by the case, which corresponds to the Case Rate Type Qualifier Code (Two decimal places are implied)

    *Note:*  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.

- **Case Rate Type Qualifier Code** – The 'type' of rate prescribed by the case, which corresponds to the applicable deposit rate.

    **A =** The case rate is an ad valorem rate.

    **S** = The case rate is a specific rate.

- **AD/CVD Value of Goods Amount –** Record the 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.  This value is to be declared only when the AD/CVD rate is not to be applied to the entered value but to another other value in accordance with the Department of Commerce's instructions.

- **AD/CVD Quantity –** A conditional field for the total number of primary units (which corresponds to the Unit of Measure (UOM) Code prescribed by the case) to be used exclusively and in lieu of any other article quantity for the specific purpose of calculating any estimated antidumping or countervailing duty (when a *specific* rate applies).  Four decimal places are implied.

Use zero if quantity not required/does not apply.

- **AD/CVD Duty Amount –** A mandatory field reporting the duty amount estimated relevant to the case in U.S. dollars and cents. Two decimal places are implied.

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

- **AD/CVD Non-Reimbursement Declaration Identifier –** Identifier of the blanket AD/CVD Non-Reimbursement Declaration that includes this Case Number.

  Leave blank if no declaration is made.

**The following data submission rules apply for an explicit AD/CVD Entry Type or when AD/CVD information is reported:**

- Electronic Invoice Program (EIP) and Remote Location Filing (RLF), both using the Automated Invoice Interface (AII), are currently not allowed to be filed in ACE.

- Both manufacturer and foreign exporter are required on an AD/CVD Entry Type line. A known Foreign Exporter is required only on a line that includes AD/CVD case information.

- 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).

- The filer may (but is not required to) make an AD/CVD Non-Reimbursement Statement or Declaration on a line that includes AD/CVD case information. Failure to make a claim will not affect the acceptance of the entry summary but may require further action at a later date.

- Report the breakout of AD/CVD sub-totals on the Total Bonded AD Duty, Total Cash Deposit AD Duty, Total Bonded CVD Duty, and Total Cash Deposit CVD Duty in the ADCVD Duty Totals field. Report the Grand Total AD Duty and Grand Total CVD Duty in the Grand Totals field.

## I.R. TAX

Record the estimated duty, I.R. tax, and any other fees or charges calculated by applying the rate times the dutiable value or quantity. Where I.R. tax is deferred under 26 U.S.C. § 5232(a), leave blank. Dollar signs are omitted.

Duty Calculation on Alcoholic beverages (19CFR§ 159.4)

(a) Quantities subject to duties. Customs duties and internal revenue taxes on alcoholic beverages provided for in headings 2207 and 2208, Harmonized Tariff Schedule of the United States (HTSUS), (19 U.S.C. 1202), and subject to internal revenue taxes shall be collected only on the number of proof gallons and fractional parts thereof, entered or withdrawn for consumption. No internal revenue tax shall be collected on distilled spirits in bulk which have been transferred to Internal Revenue bonded premises in accordance with Sec. 141.102(b) of this chapter. Customs duties and internal revenue taxes on alcoholic beverages other than subheadings 2206.00.30 and 2206.00.90, HTSUS, and distilled spirits provided for in headings 2207 and 2208, shall be collected only on the number of wine gallons and fractional parts thereof, entered or withdrawn for consumption.

(b) Computation of duties. In the computation of Customs duties on alcoholic beverages provided for in headings 2207 and 2208 (19 U.S.C. 1202), which are also subject to internal revenue taxes, the methods prescribed for the computation of internal revenue taxes on such beverages shall be followed. The following methods apply to the specific beverages shown:

(1) Distilled spirits. The quantity of distilled spirits imported in barrels, kegs, or similar containers shall be ascertained in accordance with the regulations of the Bureau of Alcohol, Tobacco and Firearms. Where distilled spirits are imported in bottles, jugs, or similar containers, Customs duties and taxes shall be collected on the exact quantity contained in each case or other outer container, fractional parts of a gallon being carried out to three decimal places utilizing the proof gallon method of computation.

(2) Wine. Customs duties and taxes on wines shall be on the basis of a wine gallon of liquid measure equivalent to 231 cubic inches and shall be paid proportionally on all fractional parts of a wine gallon. Fractions of less than one-tenth gallon shall be converted to the nearest one-tenth gallon, and five-hundredths gallon shall be converted to the next full one-tenth gallon.

(3) Beer and similar fermented beverages. Customs duties and taxes on beer, ale, porter, stout, and other similar fermented beverages, including sake, of any name or description containing one-half of 1 percent or more of alcohol by volume, brewed or produced from malt, wholly or in part, or from any substitute therefore, shall be collected in accordance with section 5051(a), Internal Revenue Code of 1954 (26 U.S.C. 5051(a)).

| Description | Internal Revenue Accounting Class Code |
| --- | --- |
| Distilled Spirits | 016 |
| Wines | 017 |
| Tobacco Products | 018 |
| Other (not included above | 022 |

**ENTRY SUMMARY LINE FEES**

For entries subject to payment of various fees, each applicable fee must be indicated and the individual amount of each fee must be shown.

The applicable collection code must be indicated on the same line as the fee or other charge or exaction. Report the following fees in the format below:

| Description | Collection Codes |
|---|---|
| Beef Fee | 053 |
| Pork Fee | 054 |
| Honey Fee | 055 |
| Cotton Fee | 056 |
| Pecan Fee | 057 |
| Sugar Fee | 079 |
| Potato Fee | 090 |
| Lime Fee | 102 |
| Mushroom Fee | 103 |
| Watermelon Fee | 104 |
| Sheep Fee | 105 |
| Blueberry Fee | 106 |
| Avocado | 107 |
| Mango | 108 |
| Formal Merchandise Processing Fee | 499 |
| Harbor Maintenance Fee | 501 |

There is an established minimum and maximum due on each formal entry, release or withdrawal from warehouse for consumption. Report the actual MPF due unless the perspective amount due is less than the established minimum (record the minimum), or exceeds the established maximum (record the maximum). MPF and HMF Rates are established in 19CFR24.23.

There is a de minimis on the HMF if it is the only payment due on the entry summary. If such is the case, HMF of $3 or less will not be collected, thus does not need to be transmitted or recorded.

Goods originating under a Free Trade Agreement (FTA) may be exempt from MPF. To obtain this exemption, the importer must indicate the appropriate SPI for each HTS.

**FEE TOTAL DETAIL**

This is a required field when one or more fees have been reported in the Entry Summary Header Fees or Entry Summary Line Fees.

## AD/CVD DUTY TOTAL

This field reports the breakout of AD/CVD sub-totals on the following: Total Bonded AD Duty, Total Cash Deposit AD Duty, Total Bonded CVD Duty, and Total Cash Deposit CVD Duty.

## GRAND TOTALS

This field contains revenue grand totals for duty amount, fee amount, AD duty, CVD duty, and IR tax amounts.

# MISCELLANEOUS

### PARTICIPATING GOVERNMENT AGENCIES (PGA)

Instructions to supply data elements for PGA requirements can be found in the EXISTING CATAIR: 'Other Government Agencies' chapter.

### CENSUS WARNING OVERRIDE

Use the Census Warning Condition Override Code to preemptively 'override' a Census 'warning'. (See *Census Warning Condition Override Codes*' and '*Census Warning Condition / Census Override Combinations*' for a list of codes supported in this transaction).

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).

### 2008 SOFTWOOD LUMBER ACT

The articles of softwood lumber and softwood lumber products to which the SLA 2008 applies are defined in the Act in section 804(a). Section 804(b) describes those softwood lumber and softwood lumber products excluded from the requirement. The SLA 2008 requires importers of softwood lumber and softwood lumber products subject to the Act to provide on the entry summary three data elements. The three data elements required for each shipment of softwood lumber subject to the Act are:

- The export price
- The estimated export charge, if any
- An importer declaration

Each of these terms, "export price," "estimated export charge" and "importer declaration" is defined in the Act. The export price and estimated export charge, if any charge applies, must always be stated in U.S. dollars.

**Export price:** All importers of softwood lumber and softwood lumber products that are described in the SLA 2008 must calculate, as specified in section 802(5), and declare the export price on the entry summary.

- Entry Summary Information: The export price is to be placed on each line of the entry summary relevant to softwood lumber or softwood lumber products that are subject to the Act.
- There will always be an export price in U.S. dollars declared on any imported softwood lumber or softwood lumber products subject to the SLA 2008.
- The export price should be preceded by zeros until there are 9 characters in this field.
- If the imported articles are not subject to the SLA 2008, this and the estimated export charge field described below are left blank.

**Estimated export charges:**  means any tax, charge, or other fee collected by the country from which the softwood lumber or a softwood lumber product, is exported pursuant to an agreement by that country and the U.S. Importers of softwood lumber or softwood lumber products subject to the Act should consult the Department of Commerce's International Trade Administration webpage or the Import Administration's webpage to determine if the country from which the softwood lumber or softwood lumber products were exported has an agreement with the U.S. concerning softwood lumber. (International Trade Administration/Import Administration)

**Please note:**  If the country from which the softwood lumber or softwood lumber products was exported is not party to an agreement with the U.S. concerning softwood lumber, no export charge is reported.

- Entry Summary Information: the estimated export charge is to be placed on each line of the entry summary relevant to softwood lumber or softwood lumber products that are subject to the Act.
- The estimated export charge, if any applies, will be stated in U.S. dollars.
- The estimated export charge, if any applies, will be preceded by the Importer declaration as explained below.

**Importer Declaration:**  The "importer declaration" requirement in the SLA 2008 mandates that all importers of softwood lumber or softwood lumber products described in the Act, regardless of country of origin or country of export, must declare that:

The importer has made appropriate inquiry, including seeking appropriate documentation from the exporter and consulting the determinations published by the Under Secretary for International Trade of the Department of Commerce pursuant to section 805(b); and to the best of the importer's knowledge and belief - the export price provided pursuant to subsection (b)(1) is determined in accordance with the definition provided in section 802(5); he export price provided pursuant to subsection (b)(1) is consistent with the export price provided on the export permit, if any, granted by the country of export; and the exporter has paid, or committed to pay, all export charges due - in accordance with the volume, export price, and export charge rate or rates, if any, as calculated under an international agreement entered into by the country of export and the United States; and consistent with the export charge determinations published by the Under Secretary for International Trade pursuant to section 805(b)

- Entry Summary Information: The importer's declaration shall take the form of a "Y" indicator in the Importer's Additional Declaration field.

- An importer's declaration and, hence, the "Y" indicator are required for every entry of softwood lumber or softwood lumber products subject to the Act.
- The remaining characters in the estimated export charge field should be filled in with the estimated export charge, if any, in U.S. dollars, and preceded by zeros so that there are 12 characters total in this field.
- If the imported articles are subject to the SLA 2008 but the country from which they were exported does not impose an export charge, the "Y" should be inserted in the first position in the estimated export charge field as the importer's affirmative declaration with regard to the export price. The remaining characters will be zeros.

## INFORMAL ENTRY

Entry date for summary is the same date as when cargo was released.

Location of goods will be filled in only if merchandise has been placed in a general order warehouse.

## ADDITIONAL DATA ELEMENTS

Filers may on their own initiative, provide additional or clarifying information. Additional information does not interfere with the reporting of those required data elements.

## CONSOLIDATED ENTRY SUMMARY

Where the ACE entry summary covers more than one release, (19 C.F.R. § 142.17) report each entry or release number separately, followed by the associated line item number and information.

For each item covered by a binding tariff classification ruling, report the ruling number (provided in the applicable ruling letter) of the appropriate line item. Precede the ruling number with the abbreviation "RLNG." For an item classified under the same tariff classification number but not specifically covered by the binding tariff classification ruling, provide a separate line item breakout for that item.

For those line items that require the reporting of more than one data element (i.e. category number and/or manufacturer identification number), the hierarchy should be as follows:

> Manufacturer Identification Number
> Ruling Number

The correct format for reporting a ruling number or pre-approval indicator is listed below, respectively:

> RLNG 654321
> INDCTR 356780

# ELECTRONIC INVOICE

Invoicing requirements are covered in CBP regulations: 19 C.F.R. §§ 141.81 through 141.83, §§ 141.85 through 141.87, § 142.6, and § 143.36. Accurate entry preparation is ultimately the responsibility of the entry filer.

The following are the instructions on how to report the data elements for the Automated Invoice Interface (AII) information fields. *Please note that AII will not be allowed for entry type 03 (ADCVD)*:

**Ruling Detail Information** *(if applicable)***:**

CBP issued rulings assist the importer to determine the correct classification for the merchandise, which may exempt the importer from transmitting an electronic invoice depending on what information CBP requires.

**Ruling Type Code**:

**C** = A pre-classification number, specifically citing the importer and merchandise, is provided in the ruling number.

**P** = A pre-approval number, specifically citing the importer and merchandise, is provided in the ruling number.

**R** = A binding ruling number is provided in the ruling number.

**Ruling Number**: The administrative number assigned by CBP to a binding ruling or a ruling under the pre-importation review program (PIRP).

**Invoice Header Level Information:**

**Supplier Party ID Code**: A code representing the supplier party. This code is based on the supplier's name and address and is derived the same way as the Manufacturer/Supplier Code and the Manufacturer/Shipper Code.

**Invoice Number**: The invoice number. Valid characters are alpha, numeric and dash (-) only.

**Invoice Date**: A numeric date in MMDDYY (month, day, year) format representing the invoice date.

**Invoice Type**: A code representing the invoice type. Valid invoice type codes are: IN = Commercial Invoice; PI = Pro forma Invoice; CO = Corrected; CI = Consolidated Invoice; CN = Consignment.

**Currency Code**: A code representing the type of currency specified on the invoice. Valid currency codes are listed in Appendix B of the ACE ABI CATAIR Appendices.

**Fixed Exchange Rate Indicator**:  A code indicating if the conversion rate reported in the Rate of Exchange field is fixed.  A code of *1* indicates the rate is fixed via the purchase contract, *0* indicates the rate is not fixed.

**Rate of Exchange**:  A number representing either the fixed rate of exchange or the appropriate CBP rate of exchange for the date of export as published by CBP Information Exchange (CIE). Six decimal places are implied.

**Payment Terms Type**:  A code representing the payment terms.  Valid Payment Terms Type Codes are: **01** = Basic, **02** = End of month, **03** = Fixed date, **04** = Deferred, **05** = Discount not applicable, **08** = Basic discount offered, **15** = No charge, **20** = Penalty terms, **22** = Discount terms, **99** = Other.

**Terms of Payment**:  A narrative message describing the terms of payment of an invoice.

**Number of Shipping Units**:  The number of outermost shipping units for the type of shipping unit reported.

**Type of Shipping Unit**:  A code representing the type of shipping unit.  Valid shipping unit codes are listed in [Appendix B of the ACE ABI CATAIR Appendices](Appendix B of the ACE ABI CATAIR Appendices).

  **Shipping Unit Identity**:  The identifying reference located on the shipping unit that is being reported (e.g., ABCD01234567 for a container).

  **Part Package Indicator**:  A code indicating whether the shipping unit is wholly or partially used for the invoice.  A code of *1* indicates that only part of the shipping unit is covered by the invoice.  A code of *0* (zero) indicates that the entire shipping unit is covered by the invoice.

  **Packaging Unit Identity**:  The identifying reference of the unit packed immediately within the shipping unit identified in Part Package Indicator field.

  **Shipping Symbol Description**:  Free-form description of Shipping Symbol. For example, initials "Z.K.M." inside Diamond.

  **Marks & Numbers**:  Free-form text which describes, in full, the Shipping Marks & Numbers found on the outside of the shipping unit identified in Packaging Unit Identity field.

  **Party Qualifier**:  A code indicating the type of invoice party being reported.  For each invoice, codes *SU*, *UC*, and *IM* are mandatory.

    Valid Party Qualifier Codes are:  **AB** = Buying Agent, **BY** = Buyer, **CB** = CBP Broker, **EX** = Exporter, **II** = Invoicer, **IM** = Importer, **MF** = Manufacturer, **SE**     = Seller, **SR** = Selling Agent, **SU** = Supplier, and **UC** = Ultimate Consignee.

Codes *BY* and *SE* are mandatory if they differ from the *UC* and *SU*, respectively.  If *BY* and *SE* are not reported and the invoice does not reflect a consignment *(CN)*, it is assumed that the *BY* and *SE* are identical to the *UC* and *SU*.  The II code is conditional. Use the II code only when the invoicing party number is different than the supplier (SU) party number.

**Party Name**:  The name of the invoice party being reported.

**Line One of the Address**:  The first line of the invoice party's address (i.e., street number and street name or post office box number).

**Line Two of the Address**:  The second line of the invoice party's address.

**City**:  The city portion of the address where the invoice party is located.

**Country**:  The International Organization for Standardization (ISO) country code representing the country portion of the address of the invoice party.  Valid ISO codes are listed in [Appendix B of the ACE ABI CATAIR Appendices](Appendix B of the ACE ABI CATAIR Appendices).

**Terms of Delivery Code**:  A code representing the terms of delivery for the   merchandise on an invoice. Valid Terms of Delivery Codes: **CAF** = Cost and Freight to a Named Destination, CAI = Cost and Insurance, **CIF** = Cost, Insurance and Freight to a Named Destination, **DAF** = Delivered at Frontier, **DDP** = Delivered Duty Paid to Destination, **EXQ** = Ex Quay - Duty Paid, **EXW** = Ex Works, **FAS** = Free Alongside Ship, **FOA** = FOB Airport, **FOB** = Free on Board, **FOR** = Free on Rail, **FOT** = Free on Truck, and **FPC** = Free Pipeline Connection.

**Location Qualifier**:  A code indicating the type of location referenced by the terms of delivery.  Valid Location Qualifier Codes are shown below with its corresponding terms of delivery:

| Code | Qualifier | Terms of Delivery |
|------|-----------|-------------------|
| LB | Place of Delivery | DAF, DDP, FPC |
| LC | Place of Departure | EXW |
| LI | Port of Discharge | CAI, CAF, CIF, DDP |
| LJ | Port of Loading | EXQ, FAS, FOA, FOB, FOR, FOT |

*Location Code Indicator: A code indicating the document used to determine   the location code.  Valid Location Code Indicators are: **25** = Census, Schedule K (Foreign Ports of Lading), **26** = Census, Schedule D (U.S. Ports of Entry), and **66** = International Organization for Standardization (ISO) country code.  Census Schedule K and D codes can be queried through the Extract Reference File and valid ISO codes are listed in Appendix B of the ACE ABI CATAIR.*

**Allowance/Charge/Adjustment Indicator**:  A code representing the allowance/charge/ adjustment.  Allowances allow for reductions in the entered value for items such as damaged or defective goods; charges are costs charged to the buyer by the seller such as testing, quota,

financing, foreign inland freight, and assembly.

Valid Allowance/Charge Indicator Codes are: **A** = Dutiable Allowance, **C** = Dutiable Charge, **D** = Dutiable CBP Adjustment, **N** = Non-dutiable CBP Adjustment, **R** = Non-dutiable Allowance, **S** = Non-dutiable Charge.

In preparing invoices that include additions, deductions or both, the allowance/charge indicator should be: A, C, or D for additions to the invoice value; N, R, or S for deductions to the invoice value. Invoiced allowances detail how the amount the buyer paid the seller was different from the invoiced merchandise value. For example, allowances provide for a reduction in the dutiable value for costs associated with damaged or defective goods (code R), or provide for an increase in dutiable value due to an indirect payment (code A). Invoiced charges detail amounts the buyer paid for the merchandise in addition to the invoiced cost for each item. For example, charges allow for reductions in the dutiable value for costs charged to the buyer by the seller for testing, quota costs, financing, and foreign inland freight (code S), or allow for increase in dutiable value for dies, molds, tools, foreign research and development, etc. (code C).

Adjustments are costs or values that do not change the amount the buyer paid the seller but rather adjust the dutiable value. For example, adjustments include terms of sale deductions such as international freight and insurance (code N) or allow for increase to the dutiable value for amounts that were paid to a party other than the invoicing party (e.g., an assist for tooling paid to third party) (code D).

Allowances allow for reductions in the entered value for items such as damaged or defective goods; charges are costs charged to the buyer by the seller such as testing, quota, financing, foreign inland freight, and assembly.

**Allowance/Charge/Adjustment Amount**: The total monetary value of the allowance/ charge/adjustment being described. Four decimal places are implied. The guidance provided above is in no way intended to rule on whether a cost is dutiable or non-dutiable. Additional guidance can be found in 19 CFR 141.86 and 152.103.

*Note: Allowance/Charge/Adjustment Indicators and Amounts can be transmitted at the header level or line level. Transmitting these data elements at both levels will duplicate the value of the allowance, charge, or adjustment which will affect the accuracy of the dutiable value.*

**Allowance/Charge/Adjustment Description**: A concise narrative description of the allowance/charge/adjustment that is being reported. Abbreviated descriptions e.g. NDC, C&F, or DDP are not acceptable. Descriptions should be spelled out e.g. Cost and Freight, Delivered Duty Paid, Freight, Insurance, etc.

**Related Document Identifier**: A valid code representing the related document identifier listed in Appendix B of the ABI CATAIR Appendices. Some OGA certifications do not fit in the "Related Document" screen so they must be transmitted in the merchandise description field instead.

**Related Document Number**:  The identifying number or code associated with the license, certificate or document being referenced in the Related Document Identifier field.

**Invoice Line Level Information:**

**Invoice Line Number**:  A sequential number from 0001 to 9999 that is assigned to each invoice line item.

**Quantity**:  The number associated with the statistical reporting unit for the invoiced line item.  A zero quantity is not acceptable.  If the statistical reporting unit for the invoiced line item is "X", the actual invoiced quantity and unit of measure should be used.  Four decimal places are implied.

**Unit of Measure**:  A code representing the unit of measure associated with the date reported in the Quantity field.  Valid units of measure codes are listed in Appendix C of the ACE ABI CATAIR Appendices.

   The following is an example of how the Quantity and the Unit of Measure fields are reported: if the tariff number associated with the line item is 6505.90.1530 and the line item reads "200 dozen hats (style 12B), 600 kilograms net weight," 200 is reported because the tariff schedule has designated dozen as the primary reporting unit for the noted  tariff number.  As another example, if the tariff associated with the line item is 9503.31.0000 and the line item reads "100 H scale toy trains", 100 PCS are reported even though the tariff schedule has designated "X" as the primary reporting unit for the noted tariff number.   For certain commodities, a third quantity and unit of measure must be reported.  For example, as noted in the Harmonized Tariff Schedule Master file, raw cane sugar (HTS heading 1701.11) requires that "International Sugar Degrees" be reported in addition to the primary and secondary statistical reporting units.

**Article Number**:  An identification number or code assigned by a supplier or buyer to similar or identical articles or products (e.g., part numbers or catalog numbers).

**Unit Price**:  The monetary price per unit on which the invoice line total price is calculated.  Four decimal places are implied.

**Item Amount**:  The monetary amount associated with the merchandise on the invoice line.  Item Amount must equal the Unit Price multiplied by the Number of Pricing Units, multiplied by the Percentage of Active Ingredient (if applicable), divided by the Unit Price Basis.  Four decimal places are implied.

**Unit Price Basis**:  The number of units to which the unit price applies.  For example, if the invoice line item reads $575 per 100 dozen, 100 is the unit price basis.

**Number of Pricing Units**:  The number of units which when multiplied by the Unit Price field gives the amount reported in the Item Amount field.  Three decimal places are implied.

**Percentage of Active Ingredient**:  If applicable, the percentage of a specified material in a total product.  This percentage is often cited for certain chemical products.  If it is pertinent to the unit price, this percentage is multiplied by the product of Unit Price and Number of Pricing Units to arrive at the line item amount.  Six decimal places are implied.

**Commercial Description**:  The free text field used to record the description of the merchandise being imported into the U.S.  The filer is responsible in providing the merchandise description in detail.  The level of detail on the invoice must meet the standards detailed in 19 USC §1481(a), 19 CFR §141.86 through §141.89, §142.6, and §143.36.  Filers should contact their software vendor for technical assistance when this additional information is missing from the transmission.

19 CFR § 141.86 requires a detailed description of the merchandise in the English language, which contains adequate information for examination and determination of duties.  General tariff descriptions are not acceptable.  The description should include the name by which each item is known, the grade or quality, and the marks, numbers, and symbols under which sold by the seller or manufacture to the trade in the country of exportation, together with the marks and numbers of the packages in which the merchandise is packed.  Additional information for certain classes of merchandise is referenced in 19 CFR § 141.89.  This field is also used for certain electronic declarations, certification, and signatures required by a Participating Government Agency.  Please refer to administrative messages to see if it applies.

 **ID Number Qualifier**:  A code representing the first ID number qualifier.  Valid ID Number Qualifier Codes are: **BN** = Serial Number, **CN** = Chassis Number, **EE** = Engine Number, and **VIN** = Vehicle Identification Number.

 **ID Number**:  The ID number, serial number, or similar reference number associated with a single invoiced item.

## Invoice Summary Level Information:

**Number of Invoice Lines**:  A number from 0001 to 9999 representing the total number of lines included on the invoice. This total must equal the total number of invoice line number recorded at the invoice line level.

**Total Invoice Value**:  The total U.S. dollar value of the invoice.  Two decimal places are implied. The total invoice value equals the sum of the following: 1) the summary total of all invoice line values (including the net value for any allowances and charges at the line level). 2) the net total of any allowances and charges that are reported at the invoice header level (e.g., packing, delivery charges, or rebates).  3) the total invoice amount of any non-U.S. tax paid to the supplier.

**Total Value Subject To U.S. Duty**:  The total invoice amount (in U.S. dollars) that is subject to U.S. duty.  Two decimal places are implied.  Total value subject to U.S. duty equals the U.S. dollar value of the net sum of the following amounts that are reported in the Allowance/Charge/Adjustment Amount Field at the header level: All dutiable charges (C), plus All dutiable CBP adjustments (D), less all non-dutiable CBP adjustments (N), less all non-dutiable allowances (R).  Add to the above, in U.S. dollar value, all monetary amounts associated with the merchandise on the invoice line recorded in the Item Amounts Field at the invoice header level, plus the U.S. dollar amount reported in the Prepayment Total Field at the invoice summary level.

**Total Amount of Invoice Lines**:  The total of the invoice line monetary amounts, including all invoice allowances or charges offered at the invoice line level. This total must be reported in U.S. dollars. Two decimal places are implied. *Note: Charges and allowances coded as D or N should not be listed in this field.*

**Total Invoice Additional Amount**:  The net U.S. dollar total of any invoice allowances and charges that are reported at the invoice header level (e.g., packing, delivery charges, or rebate).  Two decimal places are implied. If the tax is a whole number, the two low-order (cents) positions contain zeros.

**Negative Additional Amount Indicator**:  If the total allowance amount that is reported at the invoice header level is greater than the amount reported for charges at the invoice line level, report *N* in this field; otherwise, space fill.

**Foreign Tax Amount Total**:  The total U.S. dollar invoice amount of any non-U.S. tax payable to the supplier.  Two decimal places are implied. If the tax is a whole number, the two low-order (cents) positions contain zeros.

**Prepayment Total**:  The total U.S. dollar amount prepaid and unaccounted for on the invoice.  Two decimal places are implied. If the tax is a whole number, the two low-order (cents) positions contain zeros.

**Declaration of Importer or Authorized Agent**:  A code of *X* acknowledges the declaration. The Declaration Statement of Importer or Authorized Agent is:

> In the case of merchandise purchased or agreed to be purchased, I declare that the prices set forth herein accurately reflect the prices set forth in the commercial invoice, and that such prices are true. In the case of merchandise secured otherwise than by purchase agreement to purchase, I declare that the price or value statements in this filing accurately reflect the prices and values set forth in the invoice and are true to the best of my knowledge and belief. In addition, I declare that all other statements within this electronic invoice transmission accurately reflect all other statements set forth in the commercial invoice and are true and correct. Finally, I will immediately provide to the appropriate CBP officer any invoice, paper, letter, document or information maintained in any media showing that any such prices or statements are not true or correct.

**Declarant**:  The name of the person authorized to declare the veracity of the invoiced   data.
**Title of Declarant**: A code identifying the position of the person validating the invoiced data to CBP.  Valid Title of Declarant Codes are: **IR** = Importer and **CB** = Broker.

**Signature**:  A code of "*X"* denotes the electronic signature is that of the declarant.

**Date of Declaration**:  A numeric date format representing the date of the declaration by an importer or agent.

## REFERENCES:

**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.

**SPECIAL ISO CODES FOR GOODS OF CANADIAN ORGIN**

The ISO code "CA" is NOT a valid as a country of origin for goods from Canada except as noted in the country of origin field; instead, use one of the appropriate province codes listed below:

| | |
|---|---|
| ALBERTA | XA |
| BRITISH COLUMBIA | XC |
| MANITOBA | XM |
| NEW BRUNSWICK | XB |
| NEWFOUNDLAND (LABRADOR) | XW |
| NORTHWEST TERRITORIES | XT |
| NOVA SCOTIA | XN |
| NUNAVUT | XV |
| ONTARIO | XO |
| PRINCE EDWARD ISLAND | XP |
| QUEBEC | XQ |
| SASKATCHEWAN | XS |
| YUKON TERRITORY | XY |

**TRADE AGREEMENT/SPECIAL PROGRAM CLAIM CODES**

| SPI codes for Trade Agreement/Special Program Claim Code | Description |
|---|---|
| A | Generalized System of Preferences (GSP). General Note 4 |
| AU | Australia Free Trade Agreement. General Note 28 |
| B | Automotive Product Trade Act. General Note 5 |
| B# | Automotive Product Trade Act + NAFTA MPF Exemption. |
| BH | Bahrain Free Trade Agreement. General Note 30 |
| C | Agreement on Trade in Civil Aircraft. General Note 6 |
| C# | Agreement on Trade in Civil Aircraft + NAFTA MPF Exemption. |
| CA | North American Free Trade Agreement (NAFTA)–Canada. General Note 12 |
| CL | Chile Free Trade Act. General Note 26 |
| D | African Growth and Opportunity Act (AGOA). General Note 16 |

| SPI codes for Trade Agreement/Special Program Claim Code | Description |
|---|---|
| E | Caribbean Basin Economic Recovery Act (CBERA); also known as the Caribbean Basin Initiative (CBI). |
| IL | U.S. - Israel Free Trade Area Agreement. General Note 8 |
| J | Andean Trade Preference Act (ATPA). General Note 11 |
| J+ | Andean Trade Promotion and Drug Eradication Act (ATPDEA). General Note 11 |
| JO | Jordan Free Trade Agreement General Note 18 |
| K | Agreement on Trade in Pharmaceutical Products. General Note 13 |
| K# | Agreement on Trade in Pharmaceutical Products + NAFTA MPF Exemption. |
| L | Uruguay Round Concessions on Intermediate Chemicals for Dyes. General Note 14 |
| L# | Uruguay Round concessions on Intermediate Chemicals for Dyes + NAFTA MPF Exemption. |
| MA | Morocco Free Trade Agreement. General Note 27 |
| MX | North American Free Trade Agreement (NAFTA) – Mexico. General Note 12 |
| 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. General Note 3(a)(v) |
| P | Originating Central American Free Trade Agreement (CAFTA). General Note 29 |
| P+ | Qualifying Central American Free Trade Agreement (CAFTA). General Note 29 |
| R | Caribbean Basin Trade Partnership Act (CBTPA). General Note 17 |
| SG | Singapore Free Trade Act. General Note 25 |
| W | Products of Puerto Rico advanced in value or improved in condition in a CBERA country. |
| Y | U.S. Insular Possession. |

| SPI codes for Trade Agreement/Special Program Claim Code | Description |
|---|---|
| | General Note 2(a)(iv) and 19 CFR 7.2 (lists the insular possessions of the United States) |
| Z | Freely Associated States. General Note 10 |

**RULES FOR CONSTRUCTING THE MANUFACTURER IDENTIFICATION CODE**

These instructions provide for the construction of an identifying code for a manufacturer or shipper from its name and address.  The code can be up to 15 characters in length, with no inserted spaces.

To begin, for the first 2 characters, use the ISO code for the actual country of origin of the goods.  The exception to this rule is Canada.  "CA" is NOT a valid country for the manufacturer, country of origin, or foreign exporter codes; instead, show as one of the appropriate province codes listed below:

| | |
|---|---|
| ALBERTA | XA |
| BRITISH COLUMBIA | XC |
| MANITOBA | XM |
| NEW BRUNSWICK | XB |
| NEWFOUNDLAND (LABRADOR) | XW |
| NORTHWEST TERRITORIES | XT |
| NOVA SCOTIA | XN |
| NUNAVUT | XV |
| ONTARIO | XO |
| PRINCE EDWARD ISLAND | XP |
| QUEBEC | XQ |
| SASKATCHEWAN | XS |
| YUKON TERRITORY | XY |

Next, use the first three characters from the first two "words" of the name.  If there is only one "word" in the name, then use only the first three characters from the first name.  For example, Amalgamated Plastics Corp. would be "AMAPLA;" Bergstrom would be "BER."

If there are two or more initials together, treat them as a single word.  For example, A.B.C. Company or A B C Company would yield "ABCCOM."  O.A.S.I.S. Corp. would yield "OASCOR."  Dr. S.A. Smith yields "DRSA," Shavings B L Inc. yields "SHABL."

In the manufacturer name, ignore the English words a, an, and, of, and the.  For example, "The Embassy of Spain" would yield "EMBSPA."

Portions of a name separated by a hyphen are to be treated as a single word.  For example, "Rawles-Aden Corp." or "Rawles – Aden Corp." would both yield "RAWCOR."

Some names will include numbers.  For examples, "20<sup>th</sup> Century Fox" would yield "20TCEN" and "Concept 2000" yields "CON200."

Some words in the title of the foreign manufacturer's name should not be used for the purpose of constructing the MID.  For example, most textile factories in Macau start with the same words, "Fabrica de Artigos de Vestuario" which means  "Factory of Clothing."   For a factory named "Fabrica de Artigos de Vestuario JUMP HIGH Ltd," the portion of the factory name that identifies it as a unique entity is "JUMP HIGH."  This is the portion of the name that should be used to construct the MID.  Otherwise, all of the MIDs from Macau would be the same, using "FABDE," which is incorrect.

Similarly, many factories in Indonesia begin with the prefix PT, such as "PT Morich Indo Fashion."  In Russia, other prefixes are used, such as "JSC," "OAO," "OOO," and "ZAO." These prefixes should be eliminated for the purpose of constructing the MID.

Next, find the largest number on the street address line and use up to the first four numbers. For example, "11455 Main Street Suite 9999" would yield "1145."  A suite number or a post office box should be used if it contains the largest number.  For example, "232 Main Street Suite 1234" would yield "1234."  If the numbers in the street address are spelled out, such as "One Thousand Century Plaza," there will be no numbers in this section of the MID.  However, if the address is "One Thousand Century Plaza Suite 345," this would yield "345."

When commas or hyphens separate numbers, ignore all punctuation and use the number that remains.  For examples, "12, 34, 56 Alaska Road" and "12-34-56 Alaska Road" would yield "1234."  When numbers are separated by a space, the space is a delimiter and the larger of the two numbers should be selected.  For example, "Apt. 509 2727 Cleveland St." yields "2727."

Finally, use the first three alpha characters from the city name.  "Tokyo" would be "TOK," "St. Michel" would be "STM," "18-Mile High" would be "MIL," and "The Hague" would be "HAG."  Notice that numerals in the city line are to be ignored.

For city-states, use the country name to compose the first three alpha characters.  For examples, Hong Kong would be "HON," Singapore would be "SIN," and Macau would be "MAC."

General Rules:
Ignore all punctuation, such as commas, periods, apostrophes and ampersands.  Ignore all single character initials, such as the "S" in "Thomas S. Delvaux Company."  Ignore leading spaces in front of any name or address.

Listed below are examples of manufacturer names and addresses and their MID codes:

LA VIE DE FRANCE                                        FRLAVIE243BRE
243 Rue de la Payees
62591 Bremond, France

20<sup>TH</sup> CENTURY TECHNOLOGIES  VE20TCEN5880CAR
5 Ricardo Munoz, Suite 5880
Caracas, Venezuela

THE E.K. RODGERS COMPANIESGBEKRODLON
One Hawthorne Lane
London, England SW1Y5HO

THE GREENHOUSE                USGRE45BIR
45 Royal Crescent
Birmingham, Alabama 35204

CARDUCCIO AND JONES           AUCARJON88SID
88 Canberra Avenue
Sidney, Australia

N. MINAMI & CO., LTD.          JPMINCO26KOB
2-6, 8-Chome Isogami-Dori
Fukiai-Ku
Kobe, Japan

BOCCHACCIO S.P.A.              ITBOCSPA61VER
Visa Mendotti, 61
8320 Verona, Italy

MURLA-PRAXITELES INC.          GRMURINCATH
Athens, Greece

SIGMA COY E.X.T.               ITSIGCOY1640SMY
4000 Smyrna, Italy
1640 Delgado

COMPANHIA TEXTIL KARSTEN       PTKAR2527LIS
Calle Grande, 25-27
67890 Lisbon, Portugal

HURON  LANDMARK                XOHURLAN1840WIN
1840 Huron Road
Windsor, ON, Canada N9C 2L5

## 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 |

## 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 |

| Census Warning Condition Code | Returned Narrative Text | Acceptable Census Condition Override Code(s) |
|---|---|---|
| 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 | 51 |
| 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 |

# Change Record

This section of the ACE Entry Summary Instruction recap the changes made to various header and line fields within the document. Users will find a table of changes in each of the below named fields which will contain the details of the changes made to that document.

| Version Number | Date of Change | Fields Affected | Brief Summary of Change(s) |
|---|---|---|---|
| 2.1 | January 2, 2010 | Bond Detail Header | Bond Type Code Added |
| | | | Bond Designation Type Code |
| | | Article Party Line | Manufacture Identification Number (MID) Added |
| | | | Consignee (Delivered to) Added |
| | | | Sold to Party (General) Added |
| | | | Sold to Party (ADCVD) Added |
| | | | Unknown MID Added |
| | | | Foreign Exporter (General) Added |
| | | | Foreign Exporter (ADCVD) Added |
| 2.2 | July 9, 2010 | Manufacture Identification Number (MID) | Added Clarification to the use of the Unknown MID. See CSMS#10-000159 |
| | | Foreign Exporter (ADCVD) | |

| Version Number | Date of Change | Fields Affected | Brief Summary of Change(s) |
|---|---|---|---|
| 2.3 | September 16, 2010 | Manufacture Identification Number (MID) | Removed the use of the Unknown MID. See CSMS#10-000222 |
| 2.4 | November 18, 2010 | Manufacture ID Number (MID) | Change Manufacture ID (MID) to Manufacture/Supplier* <br><br> Manufacture/Supplier* definition changed |
| | | Consignee (Delivered to) | Consignee (Delivered to) changed to Delivered to. |
| | | Bond Detail Section | Bond Detail Section Modified |
| | | Country of Origin | New Remarks for Canadian Goods |
| 2.4a | September 15, 2016 | Global Changes | Fixed broken hyperlinks and bookmarks throughout the entire document. |