

CBP and Trade Automated Interface Requirements

Courtesy Notice

February 2018



U.S. Customs and
Border Protection



Courtesy Notice

This chapter provides output records related to courtesy notices of liquidation, extension, and suspension.

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

Be Advised:

A filer who transmits data or information through any electronic means to CBP certifies, by the act of transmitting such data or information, that the data or information transmitted is true and correct to the best of the filer’s knowledge and belief. The filer also declares that all statements in an electronically transmitted entry, entry summary, invoice, claim, other filing, and all other information or data filed with the entry are true and correct to the best of the filer’s knowledge and belief, and that the filer will produce at once any data or information showing that the statements are not true and correct.

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Table of Changes

Revision Number	Date of Change	Section(s) Affected	Brief Description of Change
0	February 2016	Baseline	Baseline
1	March 4, 2016	Throughout	<ul style="list-style-type: none"> Updated terminology from ACS to ACE. Removed non-applicable reason codes from the Notes in the N2 and N4 Record. Appended Note 2 for the N3 Record to clarify the notice date for each reason code. Removed the reference to the Trade in Note 2 for the N3 Record. Removed the reference to the Trade in Note 1 in the N4 Record.
2	March 15, 2016	N1 and N3 Record	<ul style="list-style-type: none"> Appended Note 1 in the N1 and N3 record to include an additional Importer of Record Number format.
3	July 13, 2016	N2 and N4 Record	<ul style="list-style-type: none"> Updated the class for the Liquidation Type in the N2 record to show an alpha character is expected. Updated the length of the space filler at the end of the N4 record to the length of one character and show only the 80 position.
4	February 8, 2018	N1 and N2 Record	<ul style="list-style-type: none"> Updated the Negative Interest Indicator in the N1 record to a mandatory field Added Note 2 in N1 record to document exclusion of specific class codes in Total Duty calculations Removed the Doc File Location from the N2 record

Introduction

This chapter is intended to provide the conventional trade interface information for the ACE-version of courtesy notice output documents. Therefore, this document should be used as the only implementation guide when programming the data elements required for processing courtesy notices provided by ACE.

Presented in this document are the courtesy notice output records used by CBP to inform the Filer, Transmitter, Broker, Surety, or Importer of Record of specific liquidation information.

The output records layouts describe the notice provided by CBP via the automated EDI interface for entry summaries that liquidate or have their liquidation extended or suspended.

Record Layout Key

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

Data Element:

Contains the name of the reported data field.

Length:

Indicates the maximum, allowed length of the reported data element.

Class:

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

S = Space ONLY.

A = Alphabetic Data. Consists of characters A through Z (uppercase ONLY).

N = Numeric Data Only. Consists of numerals 0 through 9.

(S)N = Numeric Data Variation. May contain 'Numeric Data Only' or may consist of one or more spaces followed by numerals 0 through 9. Must consist of at least one right justified numeral. This variation of numeric class may be used for amounts, rates, and counts (where specified).

AN = Alphanumeric Data. Consists of characters A through Z (uppercase ONLY), numerals 0 through 9, and space.

D = Known Date. Consists of numerals 0 through 9 (format MMDDYY).

X = Special Data. Consists of characters A through Z (uppercase ONLY), numerals 0 through 9, space, and any other character found on a standard keyboard. The following characters are accepted:

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

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

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

Position:

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

Designation:

Indicates the reporting requirement as follows:

M = Mandatory. A value conforming to the listed class is required in all filing scenarios.

C = Conditional. A value conforming to the listed class may or may not be required for a particular filing scenario. The usage notes will describe the specific cases in which the data element is required or not allowed to be reported.

O = Optional. A value conforming to the listed class will be conditionally accepted if provided. An optional data element may be subject to validation, however.

Description:

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

Note:

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

Input Record Structure Maps

There are no courtesy notice input records.

Courtesy Notice Output Record Layout

Record Identifier N1 (Output)

This is a mandatory courtesy notice of liquidation output record that provides data pertaining to the district/port of entry/summary, broker number/entry filer code, entry number, entry type, importer of record number, total paid duty, total paid tax, liquidated duty, and liquidated tax.

Record Identifier N1 (Output)					
Data Element	Length/Class	Position	Designation	Description	Note
Control Identifier	1A	1	M	Must always equal N.	
Record Type	1N	2	M	Must always equal 1.	
District/Port of Entry/Summary	4N	3-6	M	A code representing the district/port of entry/summary. Valid district/port codes can be queried through the Extract Reference File Chapter of this publication.	
Broker Number/Entry Filer Code	3AN	7-9	M	A unique code assigned by CBP to all active entry document preparers. The Entry Filer Code occupies the first three positions of an entry number regardless of where the entry is filed. This code must be the same as the Entry Filer Code in the block control header record (Record Identifier B).	
Entry Number	9AN	10-18	M	The number assigned to the entry. For additional information or valid entry number formats, refer to Appendix E of this publication.	
Entry Type	2N	19-20	M	A code representing the entry type. Valid entry type codes are listed in Appendix B of this publication.	
Importer of Record Number	12X	21-32	M	A code representing the importer of record.	1
Total Paid Duty	11N	33-43	M	The total amount of duty paid. Two decimal places are implied. If the total duty is a whole number, the two low-order (cents) positions contain zeroes.	2

Record Identifier N1 (Output)					
Data Element	Length/Class	Position	Designation	Description	Note
Total Paid Tax	11N	44-54	C	The total amount of taxes paid. Two decimal places are implied. If the total tax is a whole number, the two low-order (cents) positions contain zeros.	
Liquidated Duty	11N	55-65	M	The total amount of liquidated duty. Two decimal places are implied. If the total liquidated duty is a whole number, the two low-order (cents) positions contain zeros.	2
Liquidated Tax	11N	66-76	C	The total amount of liquidated taxes. Two decimal places are implied. If the total liquidated tax is a whole number, the two low-order (cents) positions contain zeros.	
Negative Interest Amount Indicator	1N	77	M	Will be 1 when the interest amount in position 72-80 of the N2 record is a negative amount. Otherwise, it will be 0.	
Filler	3AN	78-80	M	Space fill.	

Note 1

Valid formats for the Importer of Record Number are:

NN-NNNNNNXX	Internal Revenue Service (IRS) Number
YYDDPP-NNNNN	CBP Assigned Number
DDPP-NNNNN	CBP Assigned Number (pre-1993)
NNN-NN-NNNN	Social Security Number

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

If the Importer of Record Number is in IRS number format and the last two positions are blank, ACE converts the blanks to zeros so that the file search argument is consistent with the CBP Importer file. ACE output data may show the last two positions of the Importer of Record Number as zeros when two blanks were input.

Note 2

The totals for Total Paid Duty and Liquidated Duty exclude amounts for ADD and CVD duties. Those paid and liquidated amounts are presented in the N2 and N4 records.

Record Identifier N2 (Output)

This is a mandatory courtesy notice of liquidation output record that provides data pertaining to the district/port of entry/summary, broker number/entry filer code, entry number, liquidation date, change liquidation reason code, broker reference number, CBP document filing location, liquidation type, entry date, and total paid antidumping duty.

Record Identifier N2 (Output)					
Data Element	Length/ Class	Position	Designation	Description	Note
Control Identifier	1A	1	M	Must always equal N.	
Record Type	1N	2	M	Must always equal 2.	
District/Port of Entry Summary	4N	3-6	M	A code representing the district/port. Valid district/port codes can be queried through the Extract Reference File Chapter of this publication.	
Broker Number/Entry Filer Code	3AN	7-9	M	A unique code assigned by CBP to all active entry document preparers. The Entry Filer Code occupies the first three positions of an entry number regardless of where the entry is filed. This code must be the same as the Entry Filer Code in the block control header record (Record Identifier B).	
Entry Number	9AN	10-18	M	The number assigned to the entry. For additional information on valid entry number formats, refer to Appendix E of this publication.	
Liquidation Date	6N	19-24	M	A numeric date in MMDDYY (month, day, year) format representing the liquidation date.	
Change Liquidation Reason Code 1	2N	25-26	M	A code representing the change liquidation reason code.	1
Broker Reference Number	9X	27-35	C	An optional code provided by the participant. This field is not edited during ACE processing. It is for internal users system control in entry summary processing.	
Filler	18AN	36-53	M	Space fill.	
Liquidation Type	1A	54	M	A code representing the liquidation type.	2

Record Identifier N2 (Output)					
Data Element	Length/Class	Position	Designation	Description	Note
Entry Date	6N	55-60	M	A numeric date in MMDDYY (month, day, year) format representing the entry date.	
Total Paid Antidumping Duty	11N	61-71	C	The total antidumping duty paid. Two decimal places are implied. If the total duty is a whole number, the two low-order (cents) positions contain zeros.	
Interest Amount	9N	72-80	C	The total interest amount. Two decimal places are implied.	

Note 1

The N2 Record will contain at least one Change Liquidation Reason Code. Three additional codes may be selected as applicable. The first code will be output to this field, while Change Reason Codes 2-4 will be displayed on the N4 record, if applicable.

Valid Change Liquidation Reason Codes are:

Code	Description	Code	Description
01	Valuation	54	Breach of Bond
02	Classification	55	Accelerated Drawback/Overclaimed
03	Quantity	56	Drawback Clerical Error
04	Antidumping Duties	57	Drawback Refund/Non-Accelerated Claim
05	Countervailing Duties	58	Accelerated Drawback/Underclaimed
06	Special Trade Programs	59	Drawback/No Change/Full Accelerated Paid
07	Interest Only	60	No Drawback/No Change
08	Non-Revenue Change Liquidation	61	Vessel Repair
09	Other	62	Post Summary Correction
35	GSP - Retroactive Renewal	63	Protest Approved
37	Filer Request to Refund Less than \$20	98	System Liquidation
52	Closed With Compliance	99	Auto-Liquidation
53	Closed With Non-Compliance		

Note 2

Valid Liquidation Type Codes are:

Code	Description
L	Liquidated
R	Re-liquidated

Record Identifier N3 (Output)

This is a mandatory courtesy notice of extension/suspension output record that provides data pertaining to the district/port of entry/summary, broker number/entry filer code, entry number, entry type code, importer of record number, entry date, extension/suspension code, number of times extended, extension/suspension notice date, and broker reference number.

Record Identifier N3 (Output)					
Data Element	Length/Class	Position	Designation	Description	Note
Control Identifier	1A	1	M	Must always equal N.	
Record Type	1N	2	M	Must always equal 3.	
District/Port of Entry Summary	4N	3-6	M	A code representing the district/port of entry/summary. Valid District/Port Codes can be queried through the Extract Reference File Chapter of this publication.	
Broker Number/Entry Filer Code	3AN	7-9	M	A unique code assigned by CBP to all active entry document preparers. The Entry Filer Code occupies the first three positions of an entry number regardless of where the entry is filed. This code must be the same as the Entry Filer Code in the block control header record (Record Identifier B).	
Entry Number	9AN	10-18	M	The number assigned to the entry. For additional information on valid entry number formats, refer to Appendix E of this publication.	
Entry Type Code	2N	19-20	M	A code representing the entry type code. Valid Entry Type Codes are listed in Appendix B of this publication.	
Importer of Record Number	12X	21-32	M	A code representing the importer of record.	1
Entry Date	6N	33-38	M	A numeric date in MMDDYY (month, day, year) format representing the entry date.	
Extension/Suspension Code 1	2N	39-40	M	A code representing the type of extension/suspension.	2
Number of Times Extended	1N	41	C	The number of times an entry liquidation date is extended.	

Record Identifier N3 (Output)					
Data Element	Length/Class	Position	Designation	Description	Note
Extension/ Suspension Notice Date	6N	42-47	M	A numeric date in MMDDYY (month, day, year) format representing the extension/suspension notice date.	
Broker Reference Number	9X	48-56	C	An optional code provided by the participant. This field is not edited during ACE processing. It is for internal users system control in entry summary processing.	
Extension/ Suspension Code 2	2N	57-58	C	A code representing the type of extension/suspension.	2
Extension/ Suspension Code 3	2N	59-60	C	A code representing the type of extension/suspension.	2
Extension/ Suspension Code 4	2N	61-62	C	A code representing the type of extension/suspension.	2
Filler	18AN	63-80	M	Space fill.	

Note 1

Valid formats for the importer of record number are:

NN-NNNNNNXX Internal Revenue Service (IRS) Number
YYDDPP-NNNNN CBP Assigned Number
DDPP-NNNNN CBP Assigned Number (pre-1993)
NNN-NN-NNNN Social Security Number

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

If the Importer of Record Number is in IRS number format and the last two positions are blank, ACE converts the blanks to zeros so that the file search argument is consistent with the CBP Importer file. ACE output data may show the last two positions of the Importer of Record Number as zeros when two blanks were input.

Note 2

The N3 Record will contain at least one Extension/Suspension Code. Three additional codes may be selected as applicable. All codes provided in this Courtesy Notice are for the same Extension/Suspension Notice Date which is presented in positions 42-47 of this Courtesy Notice.

Valid Extension/Suspension Codes are:

Code	Description	Code	Description
43	CVD Suspend	48	Other 1 Suspend
44	ADD Suspend	49	Customs Ext
45	AD/CVD Suspend	50	Importer Ext
46	Court Ordered Suspend	51	Other Ext
47	Actual Use Suspend		

**Record Identifier N4 (Output)**

This is a mandatory courtesy notice of liquidation output record that provides data pertaining to the district/port of entry/summary, broker number/entry filer code, entry number, total paid countervailing duty, total paid fees, liquidated antidumping duty, liquidated countervailing duty, and liquidated fees.

Record Identifier N4 (Output)					
Data Element	Length/ Class	Position	Designation	Description	Note
Control Identifier	1A	1	M	Must always equal N.	
Record Type	1N	2	M	Must always equal 4.	
District/Port of Entry Summary	4N	3-6	M	A code representing the district/port of entry/summary. Valid District/Port Codes can be queried through the Extract Reference File Chapter of this publication.	
Broker Number/ Entry Filer Code	3AN	7-9	M	A unique code assigned by CBP to all active entry document preparers. The Entry Filer Code occupies the first three positions of an entry number regardless of where the entry is filed. This code must be the same as the Entry Filer Code in the block control header record (Record Identifier B).	
Entry Number	9AN	10-18	M	The number assigned to the entry. For additional information on valid entry number formats, refer to Appendix E of this publication.	
Total Paid Countervailing Duty	11N	19-29	C	The total countervailing duty paid. Two decimal places are implied. If the total duty is a whole number, the two low-order (cents) positions contain zeros.	
Total Paid Fees	11N	30-40	C	The total fees paid. Two decimal places are implied. If the total fees paid are a whole number, the two low-order (cents) positions contain zeros.	
Liquidated Antidumping Duty	11N	41-51	C	The total liquidated antidumping duty. Two decimal places are implied. If the total duty is a whole number, the two low-order (cents) positions contain zeros.	



Record Identifier N4 (Output)					
Data Element	Length/ Class	Position	Designation	Description	Note
Liquidated Countervailing Duty	11N	52-62	C	The total liquidated countervailing duty. Two decimal places are implied. If the total duty is a whole number, the two low-order (cents) positions contain zeros.	
Liquidated Fees	11N	63-73	C	The total liquidated fees. Two decimal places are implied. If the total fees is a whole number, the two low-order (cents) positions contain zeros.	
Change Liquidation Reason Code 2	2N	74-75	C	A code representing the change liquidation reason code.	1
Change Liquidation Reason Code 3	2N	76-77	C	A code representing the change liquidation reason code.	1
Change Liquidation Reason Code 4	2N	78-79	C	A code representing the change liquidation reason code.	1
Filler	1AN	80	M	Space fill.	

Note 1

When there is more than one Change Liquidation Reason Code, the original code will be presented in the N2 record and any additional codes will be presented in the N4 record.

Valid Change Liquidation Reason Codes are:

Code	Description	Code	Description
01	Valuation	54	Breach of Bond
02	Classification	55	Accelerated Drawback/Overclaimed
03	Quantity	56	Drawback Clerical Error
04	Antidumping Duties	57	Drawback Refund/Non-Accelerated Claim
05	Countervailing Duties	58	Accelerated Drawback/Underclaimed
06	Special Trade Programs	59	Drawback/No Change/Full Accelerated Paid
07	Interest Only	60	No Drawback/No Change
08	Non-Revenue Change Liquidation	61	Vessel Repair
09	Other	62	Post Summary Correction
35	GSP - Retroactive Renewal	63	Protest Approved
37	Filer Request to Refund Less than \$20	98	System Liquidation
52	Closed With Compliance	99	Auto-Liquidation
53	Closed With Non-Compliance		



Courtesy Notice Output Records - Usage Notes

Record Identifiers N1, N2 and N4 are mandatory courtesy notice of liquidation output records. Record Identifier N3 is a mandatory courtesy notice of extension/suspension output records.

The application identifier on Record Identifier B is NR. For additional information on Record Identifier B, refer to the Application Control chapter of this publication.

Courtesy notice of liquidation is provided on a weekly basis.

The notice of extension/ suspension is provided on a weekly basis for entries suspended or extended the previous week.

If an ABI user has summaries containing old broker numbers (numbers assigned before October 1, 1986), courtesy notices on the old numbers can be obtained by contacting the U.S. Customs and Border Protection (CBP) Client Representative.

Drawback entries are included in the output records. The liquidation amount is the dollar amount of the drawback paid by CBP to the filer.

Informal entries are not included on the courtesy notice.

If an ABI user files entries at more than one district/port, a separate block of records is constructed for each affiliated port.

Note: If the National Importer Liquidation (NIL) Indicator in positions 23-25 of the output transaction control header record, Record Identifier A, is NIL, the transaction file that follows will consist of the importer's national courtesy notice of liquidation/extension/suspension. Importers wishing to use this feature should submit a written request to:

**U.S. Customs and Border Protection
Office of International Trade
ACE Business Office
7681 Boston Blvd.
ATTN: Beauregard, A-314
Springfield, VA 20598-1350**

The request should specify that all of the importer's liquidations (regardless of the entry filer or filing location) should be routed to a particular ABI user.

In addition, importers wishing to use this service must submit a Hold Harmless Agreement to the Director, Cargo Systems Processing Office (CSPO). A sample of this agreement appears in Appendix I of this publication.

It is essential that the agreement be signed by a person who has authority to legally bind the importer. In this regard, evidence of the signer's authority must be provided in either the form of a corporate seal, corporate resolution, or other written document.