

U.S. CUSTOMS AND BORDER PROTECTION
INDIANAPOLIS, INDIANA 46278

*CBP Form 5106 Requirements When Submitting to the Revenue Division
Adding a **New Importer** Account for Importers/Consignees*

In hopes of reducing the rejection rate and processing the request in a timely manner, the Surety Bonds and Accounts Team is providing guidance to help with completing the CBP Form 5106 (5106) accurately when submitting the request to the Revenue Division:

Current Rejection Rate:

- The current rejection rate is approximately 85%.
- Following all the steps below should help with reducing the current rejection rate.

Common Errors Causing Submission to Be Rejected:

- Unacceptable 5106 form. Can only accept the most current form; expiration date of 12/31/2020.
- Illegible. Font size too small. Cannot read the information you provided.
- Block 1B – Complete using appropriate format. For SSN, use NNN-NN-NNNN. For IR#, use XX-XXXXXXX. Submit one or the other, not both.
- Block 1C – Complete if 1D has been completed.
- Block 1D – Complete if 1C has been completed.
- Block 1G - Required field.
- Block 2A - Incomplete. Check the appropriate box for type of address, i.e. residence, corporate office, warehouse, etc. Only one box can be checked.
- Block 2C - Required field.
- Block 2E - Required field.
- Section #4 - Title required. If self, put individual, self, owner, etc. If signed by Attorney-In-Fact, a valid POA is required.
- Resubmit all documents in same email. Refrain from submitting multiple emails, including status requests, as this will slow down the processing time.

Who Can Add a New Importer/Consignee Account into CBP System?

- CBP Broker
 - Transmitted via the Automated Broker Interface (ABI), or
 - Brokers can generate CBP-Assigned Numbers (CAN)
 - Per CATAIR:
 - https://www.cbp.gov/sites/default/files/assets/documents/2019-Apr/ACE%20CATAIR%205106%20Create_Update%20Version%2012%2028NEW2%29_0.pdf
 - Page ADD-13: ABI filers can add name and address information electronically to the Importer/Consignee File by placing an “A” in the Action Code field of the T1 input record. Filers may use this process to add name and address information to this file regardless of the type of bond the party may have.

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- Local Port/CEE
 - Via the ACE Secure Data Portal (ACE).
- The Revenue Division
 - Via the ACE Secure Data Portal (ACE).

NOTE: Timeframe may be significantly reduced if request is transmitted by the Broker or processed by the local Port/CEE.

Where to Send the Request to Add a New Importer/Consignee Account:

- CBP Broker
 - Can find a Broker by Port at: <https://www.cbp.gov/contact/find-broker-by-port>
- Local Port/CEE
 - <https://www.cbp.gov/contact/ports>
 - <https://www.cbp.gov/trade/centers-excellence-and-expertise-information/cee-directory>
 -
- Revenue Division
 - bondquestions@cbp.dhs.gov
 - DO NOT send to personal email accounts. Emails sent to personal emails within the Revenue Division will be discarded without further review or acknowledgement. This will cause a delay in processing the request
 - Subject line must begin with New Importer IR#.

How Are New Importer Submissions Processed?

- First-In-First-Out
 - As long as the subject line has been completed properly.
 - An incorrect naming convention in the subject line will cause a delay in processing.
- Responding to our Reject Notice Email:
 - First-In-First Out.
 - Reject responses are consider new requests.
 - Process will start over from the beginning.

How to Complete the Subject Line When Submitting to bondquestions@cbp.dhs.gov :

- New Importer IR# must always be first.
 - Additional information can be added to the subject line **AFTER** the IR# only (see example below). Putting anything else before the required information will cause submission to go to an email folder that is not checked on a regular basis, which will cause a delay in processing the request.
- If adding an **IRS number**, subject line should be:
 - New Importer IR#
 - **NOTE:** Correct format is required, i.e. NN-NNNNNNNXX
 - Ex. New Importer IR# 12-345678900

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- Ex. New Importer IR# 12-345678900 new importer
- If adding a **Social Security Number**, subject line should be:
 - New Importer IR#
 - **NOTE:** Correct format is required, i.e. XXX-XX-XXXX
 - Ex. New Importer IR# 123-45-6789
 - Ex. New Importer IR# 123-45-6789 number not in system
- If adding a **CBP-Assigned Number**, subject line should be:
 - New Importer IR#
 - **NOTE:** Correct format is required, i.e. NNNNNN-NNNNN
 - Ex. New Importer IR# 123456-78901
 - Ex. New Importer IR# 123456-78901 SBA Corp.

What Are the Acceptable Form of Documentations the Revenue Division Will Accept?

- CBP Form 5106 (Create/Update Importer Identity Form)
 - Expiration Date of 12-31-2020 shown in upper-right corner only.
 - Preferably pages 1 & 2 only. Instructional pages 2 & 3 are not needed.
- Valid POA.
 - Required if 5106 is signed by Attorney-In-Fact.
- Attachment Types
 - Acceptable:
 - TIF/TIFF
 - PDF
 - Unacceptable:
 - JPG
 - All other formats other than TIF/TIFF or PDF

How Many Email Submissions to Send to the Revenue Division:

- DO NOT Send multiple emails. Send ONE Email only.
 - All supporting documentation must be included in same email.
 - Multiple submissions may cause a delay in processing the oldest submission.

When to Request Status:

- DO NOT Request status. The Revenue Division WILL NOT respond to status requests. This includes sending an email, sending a fax, and/or calling the Help Desk.
- Replying to status questions will cut into our processing time.

How Will Filer(s) Be Notified?

- The Revenue Division will reply to the email submission, informing filer(s) that account is now active or to request additional information via the reject process.

Fields Required to Be Completed in Order for the Revenue Division to Process:

Ensuring that the font size is legible, please complete the following:

- SECTION 1. NAME AND IDENTIFICATION NUMBER

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- 1A: Required.
- 1B: Conditional.
 - DO NOT complete if block 1F is complete.
 - Provide only one; the IRS number OR the Social Security Number (SSN)
 - If IR#, correct format is NN-NNNNNNNXX
 - If SSN, correct format is XXX-XX-XXXX
 - ❖ If using SSN, the name in Field 1A must be the name shown on SSN card.
- 1C: Conditional. Complete only if importer is a DIV, AKA, or DBA.
 - Field 1D is required.
- 1D: Conditional. Complete only if a box in 1C is checked.
- 1E: Conditional.
 - Box 1: Required if a CBP Assigned # (CAN) is being requested.
 - NOTE: If an IR# is included in Block 1B, a CAN will not be assigned.
 - Remaining boxes: Required if a CAN is being requested.
 - Can only check one box.
 - ❖ Section 3J is required if box “I have a SSN, but wish to use a CBP-Assigned Number on all my entry documents” is checked.
- 1F: Conditional.
 - Correct format for CAN is XXXXXX-XXXXX.
 - Complete if requesting to add a new CAN.
 - Provide the CBP-Assigned #.
 - DO NOT complete Block 1B if this block is completed.
- 1G: Required. Check one box only.
- 1H: Optional.
- 1I: Optional.
- 1J: Optional.
- SECTION 2. ADDRESS INFORMATION
 - 2A: Required fields.
 - Street Address 1. Required.
 - City: Required.
 - State/Province: Required.
 - Provide the 2-character alphabetic code only. DO NOT provide full name.
 - Input *FN* if foreign State/Province code does not exist.
 - Street Address 2: Conditional. Complete only if address has a suite #, apartment #, etc.
 - Zip Code: Required.
 - Country ISO Code: Conditional.
 - DO NOT complete if address is in the United States of America.
 - Provide the 2-character alphabetic code only. DO NOT provide full name.

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- Type of Address: Required.
 - Check one box only.
- 2B: Conditional. DO NOT complete if information is same as block 2A.
 - Cannot be a P.O. Box
 - If different than 2A, must be completed.
 - Street Address 1. Required.
 - City: Required.
 - State/Province: Required.
 - ❖ Provide the 2-character alphabetic code only. DO NOT provide full name.
 - ❖ Input *FN* if foreign State/Province code does not exist.
 - Street Address 2: Conditional. Complete only if address has a suite#, apartment #, etc.
 - Zip Code: Required.
 - Country ISO Code: Conditional.
 - ❖ DO NOT complete if address is in the United States of America.
 - ❖ Provide the 2-character alphabetic code only. DO NOT provide full name.
 - Type of Address: Required.
 - ❖ Check one box only.
- 2C: Required.
- 2D: Optional.
- 2E: Required.
- 2F: Optional.
- SECTION 3. COMPANY INFORMATION
 - 3A: Optional.
 - 3B: Optional.
 - 3C: Optional.
 - 3D: Optional.
 - 3E: Optional.
 - 3F: Optional.
 - 3G: Optional.
 - 3H: Optional.
 - 3I: Optional.
 - 3J: Conditional.
 - If field 1E, "I have a SSN, but wish to use a CBP-Assigned Number on all my entry documents" is completed, complete the following:
 - Company Position Title: Required.
 - Name: Required.
 - Social Security Number: Required.
- SECTION 4. CERTIFICATION
 - Printed or Typed Full Name: Required.

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- Title: Required.
 - If signed by Attorney-In-Fact, valid Power of Attorney is required.
 - If same individual completing the form is signing the form, title can be self, individual, owner, president, etc.
- Signature: Required.
- Telephone Number: Optional.
- Date: Required.
- Broker Name: Optional.
- Telephone Number: Optional.

REQUIRED FIELDS	CONDITIONAL FIELDS	OPTIONAL FIELDS
Blocks: 1A 1G 2A 2C 2E #4 - Printed/Typed Name Title Signature Date	Blocks: 1B 1C* 1D** 1E*** 1F 2B 3J** *If 1C is completed, 1D must be completed. **If 1D is completed, 1C must be completed. ***If CAN is requested in 1E, 3J must be completed.	Blocks: 1H 1I 1J 2D 2F 3A – 3I #4 – Telephone # Broker Name Telephone #

Please refrain from sending emails, sending fax, or calling the Help Desk to request status. Our processing timeframe is constantly changing. Our goal is to focus on your requests. Responding to status questions will only cause a delay in processing.