

**Series 860**  
**October 8, 2020**

**U.S. CUSTOMS AND BORDER PROTECTION**

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**Customs Broker License Examination**

**DIRECTIONS - READ CAREFULLY**

This examination consists of 80 questions. The minimum passing score is 75%. For each question, choose the letter representing your answer (**A, B, C, D, or E**). There is no penalty for guessing; therefore, you should attempt to answer every question. **Each question has a single best answer.**

You are responsible for having the following references:

- Harmonized Tariff Schedule of the United States (2019 Basic Edition, No Supplements)
- Title 19, Code of Federal Regulations (2019 CFR, Revised as of April 1, 2019, Parts 1 to END)
- Instructions for Preparation of CBP Form 7501 (July 24, 2012)
- Right to Make Entry Directive 3530-002A
- ACE Entry Summary Business Rules and Process Document (Trade Version 9.75, Section 1 – 12)

You have four and a half (4.5) hours to complete this examination.

In addition to the 80 exam questions, U.S. Customs and Border Protection (CBP) will be administering six **voluntary** process evaluation questions. The first three questions, located in Section 1, will take place before you begin the test. The last three survey questions, located in Section 3, will take place after you complete the test, but within the test timeframe. Each set of questions is expected to take no longer than 5 minutes each. The purpose of the survey questions is to inform future testing processes. These survey questions are voluntary and will have **NO** impact on your scores.

## Section 2: Customs Broker License Examination

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## Category I – Broker Compliance

1. Broker Y hired a new employee, Ms. Jane Doe, for a receptionist position. In this case, within how many days must Broker Y notify the CBP port director, in writing, that he/she has hired the new employee, Ms. Jane Doe?

- A. Ten calendar days after the new employee has been employed by the Broker Y for 30 consecutive days
- B. Ten business days since hiring the new employee
- C. Seven calendar days since hiring the new employee
- D. Five business days after the new employee has been employed by the Broker Y for 45 consecutive days
- E. 30 calendar days since hiring the new employee

2. What **SECTION** of the 19 Code of Federal Regulations (19 CFR) discusses: Misuse of license or permit?

- A. 111.36(a)
- B. 111.36(b)
- C. 111.36(c)
- D. 111.37
- E. 111.41

3. How often must a broker file a written Status Report with Customs? In addition, which month must the report be received in order to be considered filed timely?

- A. Every 3 years, January
- B. Every 2 years, February
- C. Annual, December
- D. Every 2 years, January
- E. Every 3 years, February

4. Which 19 Code of Federal Regulations (19 CFR) states a waiver is required for a customs broker to obtain customs business from a freight forwarder?

- A. 111. 28
- B. 111.30
- C. 111.36 (c)(2)(i)
- D. 113.53
- E. 141.46

5. All brokers must provide each active client with a written *Notice to client of method of payment*. An active client means:

- A. A client from whom a broker has transacted customs business with on at least two occasions within the 12-month period preceding notification.
- B. A client from whom a broker has obtained a power of attorney and for whom the broker has transacted customs business with on at least one occasion within the 12-month period preceding notification.
- C. A client from whom a broker has transacted customs business with on at least one occasion within the 6-month period preceding notification.
- D. A client from whom a broker has obtained a power of attorney and for whom the broker has transacted customs business with on at least two occasions within the 12-month period preceding notification.
- E. A client from whom a broker has obtained a power of attorney and for whom the broker has transacted customs business with at any time within the 36-month period preceding notification.

6. When a broker is employed for the transaction of customs business by an unlicensed person who is not the actual importer, the broker must transmit \_\_\_\_\_

- A. the entry in ACS immediately
- B. the entry in ACE immediately, as this type of transaction is new and only accepted in ACE
- C. to the actual importer either a copy of his bill for services rendered or a copy of the entry
- D. Customs Form 5106 for the unlicensed person
- E. a power of attorney to Customs and Border Protection on behalf of the unlicensed person

7. The grounds listed below are sufficient to justify denial of an application for a license in all situations **EXCEPT**:

- A. Failure to establish the business integrity and good character of the applicant
- B. Any willful misstatement of pertinent facts in the application for the license
- C. The failure to meet any requirement of 19 CFR 113.11
- D. Any conduct which would be deemed unfair in commercial transactions by accepted standards
- E. A reputation imputing to any criminal, dishonest, or unethical conduct, or a record of that conduct of the applicant.

8. Which of the following statements is **FALSE**?

- A. If a broker fails to file a written status report required by March 1 of the reporting year, the broker's license is suspended by operation of law on that date.
- B. In the absence of culpability by the broker, Customs will not hold the broker responsible for the accuracy of any information that is provided to the broker by the employee regarding employee information including current home address, social security, and place of birth.
- C. A written approval from the Assistant Commissioner is mandatory for employment of any person employed by the broker who has been convicted of a felony.
- D. Written notices for change of address in the status report is required even if the individual broker is not actively engaged in transacting business as a broker.
- E. A former employee turned broker can transact customs business on behalf of a bona fide importer or exporter who may be notoriously disreputable or whose broker license is under suspension or was revoked and can represent a client before the Department of Homeland Security (DHS) in any matter to which the broker gave personal consideration or gained knowledge of the facts while in U.S. government service.

## Category II – Entry

**9.** Where in 19 Code of Federal Regulations (19 CFR) is the list of Ports subject to Harbor Maintenance Fee (HMF) found?

- A. 10.08
- B. 10.173
- C. 12.104
- D. 24.23
- E. 24.24

**10.** Company A imports furniture from Vietnam. A shipment of furniture was exported from Vietnam aboard a cargo ship on February 10. While the cargo ship travels to the intended port of San Francisco, Company A's broker files a consumption entry on February 17 for this furniture shipment using an entry summary that serves as both the entry documentation and entry summary. On February 18, the cargo ship stops at the Port of Long Beach where it unloads other cargo as scheduled. No cargo is loaded on the ship at that time. Then, on February 19, the furniture shipment arrives in the port limits of the Port of San Francisco where the furniture is unloaded from the vessel as scheduled. Finally, the shipment arrives at Company A's storage on February 20, where it will stay until ready to move to Company A's showrooms. Which of the following is the earliest possible date of entry for this merchandise?

- A. February 10
- B. February 17
- C. February 18
- D. February 19
- E. February 20

**11.** A Temporary Importation Bond (TIB) Entry is allowed to remain in Customs territory of the United States for one year. If the importer wishes to file an extension prior to the expiration of the TIB, what is the maximum time period allowed that may be granted on a TIB Entry extension?

- A. One year
- B. Two years
- C. Three years
- D. Four years
- E. None

**12.** The commercial importation of goods into American Samoa is governed by:

- A. The Government of American Samoa
- B. U.S. Customs and Border Protection
- C. U.S. Department of the Navy
- D. U.S. Department of the Interior
- E. Secretariat of the Caribbean Community (CARICOM)

**13.** Which of the following is **NOT** a valid reason for an extension of liquidation?

- A. Liquidation is suspended as required by statute.
- B. Additional information is required by CBP for proper appraisal of merchandise.
- C. The importer's merchandise is pending litigation before a Customs Court.
- D. Additional information is required by CBP for proper classification of merchandise.
- E. The importer requests an extension in writing showing good cause.

**14.** You are a Customs broker and Athletic Footwear Company (AFC) is your client. AFC contacts you to ask you to revise entry 123-1234567-8 because an internal audit revealed that an invoice was omitted from the original filing. The paperwork indicates that the goods qualify under the Central America – Dominican Republic Free Trade Agreement (CAFTA-DR) as goods originating and exported from the Dominican Republic. This means that there will be no change in the duties, taxes, and fees owed. The entry is not liquidated and is fully paid. What process should you use to make the requested changes with CBP?

- A. Since there are no changes to duties, taxes, and fees, nothing needs to be done to change the entry summary with CBP.
- B. File a PSC to add a line with the invoice to the entry summary and include the Special Program Indicator (SPI) for CAFTA-DR on the additional line.
- C. File a protest under 19 U.S.C. 1514.
- D. First file a PSC to add the invoice with the duties, taxes, and fees owed. As soon as the entry is liquidated with the bill, file a claim under 19 USC 1520(d) to seek the duty free treatment permitted under CAFTA-DR.
- E. File a claim under 19 USC 1520(d) asking to both add the invoice and allow duty free treatment under CAFTA-DR.

**15.** Which item(s) does **NOT** require duties and/or taxes upon entry or withdrawal from warehouse for consumption?

- A. Metal articles
- B. Goods going into FTZ (Foreign Trade Zone)
- C. Duty Free Merchandise
- D. Cigars, cigarettes, cigarettes papers and tubes
- E. Vehicles

**16.** Under which condition is a Customs broker ineligible to submit a request for entry cancellation?

- A. Non-Arrival of merchandise
- B. Duplicate Entry
- C. Merchandise denied entry by Participating Government Agency, after release from CBP custody, which is destroyed under government supervision
- D. Merchandise that has been released from CBP custody and then exported or destroyed
- E. Entry Substitution

**17.** The importation to the United States of cats, dogs, and monkeys are subject to Foreign Quarantine Regulations of which agency(s) \_\_\_\_\_?

- A. United States Fish and Wildlife Service
- B. Custom and Border Protection Agriculture
- C. United States Public Health Service
- D. Animal Plant Health Inspection Service
- E. All of the above

**18.** In which of the following scenarios would an importer of a vehicle be exempt from the requirements of a bond?

- A. The vehicle conforms to EPA/DOT standards and was shipped directly from the manufacturer to the importer.
- B. The vehicle conforms to EPA/DOT standards and is imported for the personal use of a nonresident who will not resell the vehicle within the first year of importation.
- C. The importer is an automotive enthusiast who restores and resells vintage cars.
- D. The importer plans to modify the vehicle and re-export it.
- E. A bond is always required when importing a vehicle.



**19.** Merchandise was exported from the United States on a U.S. issued ATA carnet to Italy. The carnet has now expired and the merchandise was not re-imported to the United States. How much will the U.S. assess the carnet holder in liquidated damages?

- A. 100% of the import duties and taxes
- B. 110% of the import duties and taxes
- C. 150% of the import duties and taxes
- D. Three times the value of the merchandise
- E. There will be no penalties or duties assessed by the United States

**20.** Per 19 Code of Federal Regulations (19 CFR) Section 141, which of the below is **TRUE**?

- A. Entry is required on telecommunications transmissions.
- B. Merchandise for which entry is required will be entered within 10 calendar days after landing from a vessel, aircraft or vehicle, or after arrival at the port of destination in case of merchandise transported in bond.
- C. When merchandise is not imported by a common carrier, possession of the merchandise at the time of arrival in the United States shall be deemed sufficient evidence of the right to make entry.
- D. A power of attorney to a minor shall be accepted.
- E. A trustee may not execute a power of attorney for the transaction of Customs business incident to the trusteeship.

### Category III – Power of Attorney

21. \_\_\_\_\_ is used to give power of attorney to conduct Customs business on behalf of another?
- A. CBP Form 368
  - B. CBP Form 3347
  - C. CBP Form 4647
  - D. CBP Form 5291
  - E. CBP Form 7501
22. Which individual does not need to file a power of attorney (POA) when submitting a protest?
- A. A person acting as agent
  - B. Attorney in fact for the principle
  - C. Attorney at law
  - D. Customhouse broker
  - E. Authorized employee of the broker
23. Where a limited partnership is the Grantor of a power of attorney, a \_\_\_\_\_ must accompany the power of attorney.
- A. Nonnegotiable check for duties due to U.S. Customs and Border Protection as identified on CBP Form 7501
  - B. CBP Form 7501
  - C. A copy of the partnership agreement
  - D. A copy of the articles of incorporation
  - E. Fingerprint cards and proof of citizenship of the partners

### Category IV – Marking

**24.** How is an importer notified by CBP when articles in their shipment are found, upon examination, **NOT** to be legally marked with the country of origin?

- A. CBP Form 28
- B. CBP Form 214
- C. CBP Form 3499
- D. CBP Form 4647
- E. CBP Form 5106

**25.** Articles without a country of origin marking, as required, shall be subject to additional duties of \_\_\_\_\_ percent of the final appraised value unless exported or destroyed under Customs supervision prior to liquidation of the entry.

- A. 10
- B. 20
- C. 50
- D. 100
- E. 200

**26.** The J-List Exceptions list is defined as items that do not require country of origin marking. All of the following are on the list except:

- A. Feathers
- B. Ceramic vases
- C. Art work
- D. Christmas trees
- E. Sponges

**27.** Cotton napkins are imported into the United States. The cotton fabric comprising the napkins is woven in China and the sewing thread is made in Taiwan. The fabric and thread are shipped to Vietnam to be cut, sewn, and finished into the napkins. The finished napkins are then shipped in bulk to Singapore for packaging before being imported into the United States. What is the country of origin of the napkins?

- A. Vietnam
- B. China
- C. Taiwan
- D. Singapore
- E. United States

## Category V – Practical Exercise



**DEPARTMENT OF HOMELAND SECURITY**  
U.S. Customs and Border Protection

OMB APPROVAL NO. 1651-0022  
EXPIRATION DATE 01/31/2021

### ENTRY SUMMARY

1. Filer Code ABC-1234567-8		2. Entry Type		3. Summary Date 04/01/2020		4. Surety Number 998		5. Bond Type 9		6. Port Code 1603		7. Entry Date 03/20/2020			
8. Importing Carrier Ever Linking				9. Mode of Transport 11				10. Country of Origin China				11. Import Date 03/20/2020			
12. B/L or AWB Number EGLV 123548791564				13. Manufacturer ID CNHEBMIN337HEB				14. Exporting Country China				15. Export Date 02/20/2020			
16. I.T. Number			17. I.T. Date			18. Missing Docs			19. Foreign Port of Lading 57017			20. U.S. Port of Unlading 1601			
21. Location of Goods/G.O. Number				22. Consignee Number SAME				23. Importer Number 27-8965470-00				24. Reference Number 27-8965470-00			
25. Ultimate Consignee Name (Last, First, M.I.) and Address Sandy's Baby Boutique Street 5649 Main Street City Nowhere State CA Zip 00586								26. Importer of Record Name (Last, First, M.I.) and Address Sandy's Baby Boutique Street 5649 Main Street City Nowhere State CA Zip 00586							

Sandy's Baby Boutique has ordered circular nursing pads from China. No quota or special fees are applicable. She is presently on ACH.

Please use the identified Entry Summary form to answer for the question.

**28.** What would be in block 2 of the CF 7501?

- A. 01
- B. 01 ABI/S
- C. 01 ABI/A
- D. 02
- E. 02ABI/A

**29.** What does code 998 represent in the CF 7501 above?

- A. Washington International
- B. Avalon Risk
- C. Cash in lieu of surety
- D. Aegis Security Insurance
- E. Federal Insurance Company

**30.** When a CBP form 4811 is on file and the importer would like all refunds, bills, or notices of extension or suspension of liquidation to be sent, which block of the CBP form 4811 would be utilized?

- A. Block 22
- B. Block 23
- C. Block 24
- D. Block 25
- E. Block 26

Please use the identified abbreviated CBP Form 7501 "Entry Summary" to answer the question.



DEPARTMENT OF HOMELAND SECURITY  
U.S. Customs and Border Protection

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**ENTRY SUMMARY**

1. Filer Code/Entry Number ABC-1234567-8	2. Entry Type	3. Summary Date 04/01/2020	4. Surety Number 998	5. Bond Type 9	6. Port Code 1603	7. Entry Date 03/20/2020		
8. Importing Carrier Ever Linking	9. Mode of Transport 11		10. Country of Origin China		11. Import Date 03/20/2020			
12. B/L or AWB Number EGLV 123548791564	13. Manufacturer ID CNHEBMIN337HEB		14. Exporting Country China		15. Export Date 02/20/2020			
16. I.T. Number	17. I.T. Date	18. Missing Docs		19. Foreign Port of Lading 57017	20. U.S. Port of Unlading 1601			
21. Location of Goods/G.O. Number	22. Consignee Number SAME		23. Importer Number 27-8965470-00		24. Reference Number 27-8965470-00			
25. Ultimate Consignee Name (Last, First, M.I.) and Address Sandy's Baby Boutique  Street 5649 Main St  City Nowhere State CA Zip 00586				26. Importer of Record Name (Last, First, M.I.) and Address Sandy's Baby Boutique  Street 5649 Main St  City Nowhere State CA Zip 00586				
27. Line No.	28. Description of Merchandise			32. A. Entered Value B. CHGS C. Relationship	33. A. HTSUS Rate B. AD/CVD Rate C. IRC Rate D. Visa Number		34. Duty and IR Tax	
	29. A. HTSUS No. B. AD/CVD No.	30. A. Gross Weight B. Manifest Qty.	31. Net Quantity in HTSUS Units		Dollars		Cents	
CN	Invoice No. 53478							
001	Circular nursing pads (N) 9619.00.6400		15 DZ 1390 KG	10500 C750	14.9%	156.45		
	MERCHANDISE PROCESSING FEE				.3464%	36.37		
	HARBOUR MAINTENANCE FEE				.125%	13.13		
Other Fee Summary (for Block 39)		35. Total Entered Value		<b>CBP USE ONLY</b>			<b>TOTALS</b>	
499 MERCHANDISE PROCESSING FEE: 36.37		\$10,500.00		A. LIQ Code	B. Ascertained Duty	37. Duty		156.45
501 HARBOUR MAINTENANCE FEE 13.13		Total Other Fees \$44.50		REASON CODE	C. Ascertained Tax	38. Tax		
36. Declaration of Importer of Record (Owner or Purchaser) or Authorized Agent					D. Ascertained Other	39. Other		44.50
I declare that I am the <input type="checkbox"/> Importer of record and that the actual owner, purchaser, or consignee for CBP purposes is as shown above, OR <input checked="" type="checkbox"/> owner or purchaser or agent thereof. I further declare that the merchandise <input checked="" type="checkbox"/> was obtained pursuant to a purchase or agreement to purchase and that the prices set forth in the invoices are true, OR <input type="checkbox"/> was not obtained pursuant to a purchase or agreement to purchase and the statements in the invoices as to value or price are true to the best of my knowledge and belief. I also declare that the statements in the documents herein filed fully disclose to the best of my knowledge and belief the true prices, values, quantities, rebates, drawbacks, fees, commissions, and royalties and are true and correct, and that all goods or services provided to the seller of the merchandise either free or at reduced cost are fully disclosed. I will immediately furnish to the appropriate CBP officer any information showing a different statement of facts.					E. Ascertained Total	40. Total		200.95
41. Declarant Name (Last, First, M.I.) KYZ Brokers		Title atty-in-fact		Signature		Date 04/01/2020		
42. Broker/Filer Information Name (Last, First, M.I.) and Phone Number XYZ Brokers 5600 Bay St 843-123-4567 Charleson,				43. Broker/Importer File Number ABC-1234567-8				

**31.** Would this product be eligible for a Free Trade Agreement?

- A. Yes, per subpart K in Section 10 of the Code of Federal Regulations (CFR)
- B. Yes, per part 181 of the regulations
- C. Yes, under subpart O of Section 10 of the regulations
- D. No, since the item is under U.S. Goods Returned.
- E. No, China does not have a Free Trade Agreement

**32.** In the 19 Code of Federal Regulations (19 CFR), where would you find information on Merchandise Processing Fee (MPF)?

- A. 10.3
- B. 10.9
- C. 24.1
- D. 24.12
- E. 24.23

**33.** What is the total duties and fees payable to CBP for the imported products?

- A. \$13.13
- B. \$44.50
- C. \$156.45
- D. \$192.82
- E. \$200.95

## Category VI – Bonds

**34.** An entity that is required by law, regulation, or specific instruction to post a bond to secure a Customs transaction or multiple transactions, must submit the bond application on CBP-Form\_\_\_\_\_.

- A. 214
- B. 301
- C. 450
- D. 3173
- E. 7512

**35.** Which of the following bond types is required to operate as a custodian of any bonded merchandise received, including merchandise collected for transport to a facility, and to comply with all regulations regarding the receipt, carriage, safekeeping, and disposition of such merchandise?

- A. Basic Importation Bond
- B. Basic Custodial Bond
- C. International Carrier Bond
- D. Foreign Trade Zone Bond
- E. Containers and International Traffic Bond

**36.** Which of the following statements regarding bonds is **TRUE**:

- A. Continuous bonds may not be filed any earlier than 30 days prior to the requested effective date.
- B. A single transaction bond is effective on the date the shipment leaves the foreign port.
- C. If a bond is terminated, new transactions may still be charged against the bond.
- D. A bond rider must be filed at the port where the entry is filed.
- E. With regard to Import Security Filing bonds, the principal and surety agree to pay liquidated damages of \$5,000.00 per violation



37. Which of the following is **NOT** an accurate statement regarding CBP bonds?

- A. The Port Director may require a CBP bond to ensure compliance with any pertinent law, regulation or instruction.
- B. A surety cannot cancel future obligations on a bond without the consent of the principal.
- C. A carnet also serves as a form of CBP bond.
- D. When establishing the amount required for a CBP bond, CBP may consider whether the principal has a prior record of timely payment of duties, taxes and charges.
- E. Generally, the signature of each party to a bond executed by a noncorporate principal or surety must be witnessed by two persons, who must sign their names as witnesses, and include their addresses.

## Category VII – Fines and Penalties

**38.** The Statute of Limitations is considered by CBP prior to the issuance of any section 592 penalty notice. If less than 180 days remain before the statute of limitations may be asserted as a defense, a shortened response time may be specified in the notice, but no less than \_\_\_ business days for the filing of a petition for relief.

- A. 5
- B. 7
- C. 10
- D. 20
- E. 30

**39.** An offer in compromise of any government claim arising from a violation of Customs law must \_\_\_\_\_ in order to be taken into consideration.

- A. be submitted within 20 days of the government's claim
- B. include a tender of the entire amount of the offer
- C. include a tender of at least 50% of the amount of the offer
- D. exceed the civil liability of the government's claim
- E. cover all government fees and expenses

**40.** In accordance with 19 C.F.R. 171 Appendix B, "reasonable care" is defined to include all of the below **EXCEPT**?

- A. Providing a reasonable classification and value for the merchandise
- B. Taking adequate steps to verify the accuracy of all documentation submitted to importer for the release of merchandise
- C. Taking steps to ensure that any relevant binding Customs rulings are followed
- D. Taking steps to confirm the identity of all importers of record
- E. Determining whether any applicable requirements of law with respect that issues are met

**41.** What is the minimum amount assessed for a penalty action alleging a culpability of fraud under the provisions of 19 U.S.C. 1592?

- A. 1 times the loss of duty, not to exceed the domestic value
- B. 2 times the loss of duty, not to exceed the domestic value
- C. 3 times the loss of duty, not to exceed the domestic value
- D. 4 times the loss of duty, not to exceed the domestic value
- E. 5 times the loss of duty, not to exceed the domestic value

### Category VIII – Classification

42. What is the **CLASSIFICATION** of a hand-held scrubber/polisher for metal grills consisting of a square-cut piece of solid, natural pumice mounted onto a plastic handle?

- A. 2513.10.0010
- B. 2513.10.0080
- C. 6802.99.0060
- D. 6804.30.0000
- E. 6805.30.5000

43. What is the **CLASSIFICATION** of a cotton, queen-sized quilt trimmed with 7 mm piping?

- A. 6301.30.0010
- B. 9404.90.8020
- C. 9404.90.8505
- D. 9404.90.8522
- E. 9404.90.9505

44. What is the **CLASSIFICATION** of a twin-sized, quilted, polyester, electric blanket?

- A. 6301.10.0000
- B. 8516.79.0000
- C. 9404.90.8505
- D. 9404.90.8522
- E. 9404.90.9522

45. What is the **CLASSIFICATION** of an e-cigarette kit, which contains an unassembled vaporizer device consisting of: a rechargeable battery, battery cable, empty liquid tank, and atomizer?

- A. 8543.70.9930
- B. 8543.70.9940
- C. 8543.70.9960
- D. 8543.90.1200
- E. 8544.42.9090

**46.** What is the **CLASSIFICATION** of a speaker assembly that, within a single housing, incorporates: two loudspeakers and a subwoofer (speaker), an amplification module, an audio input port, and a RF receiver unit.

- A. 8517.62.0090
- B. 8518.21.0000
- C. 8518.22.0000
- D. 8518.50.0000
- E. 8543.70.9960

**47.** What is the **CLASSIFICATION** of a women's footwear with a closed toe and heel type not covering the ankle. The external surface area of the upper is composed of 98.8% composition leather and 1.2% rubber/plastic. The outer sole is composed of plastic/rubber. The value per pair is \$37.00.

- A. 6403.91.3010
- B. 6403.99.7560
- C. 6403.99.9065
- D. 6405.10.0060
- E. 6405.20.3060

**48.** A fabric distributor imported a non-woven, textile tape, which is intended to be used for bonding, hemming, trims, lace, etc. The non-woven, textile tape is composed of nylon staple fibers, and has been thermally bonded and mechanically entangled. The tape measures  $\frac{3}{4}$  inch in width, 15 yards in length, weighs 23 g/ m<sup>2</sup>, and is not covered or coated with any substance. What is the correct **CLASSIFICATION**?

- A. 3919.90.5060
- B. 5603.11.0090
- C. 5603.91.0090
- D. 5806.10.2400
- E. 5806.32.1095

**49.** What is the **CLASSIFICATION** of a four-tiered shelf composed of metal and wood components along with metal assembly hardware? The shelf consists of two vertical pairs of iron pipes measuring 1” in diameter and 40” in length that allow the assembled shelf to be mounted to a wall. Four, 1/4” thick, medium density fiber (MDF) panels, measuring 32” in length and 8” in width, are mounted horizontally to the vertical iron pipes. Each MDF panel is spaced approximately 9.5” apart. The four-tiered shelf is manufactured in Germany. The manufacturing cost and construction of the article is 80% for the metal components and metal hardware, and 20% for the wood components.

- A. 9401.71.0031
- B. 9401.90.5081
- C. 9403.20.0050
- D. 9403.20.0081
- E. 9403.90.8020

**50.** What is the **CLASSIFICATION** of paella composed of the following items by weight: 35 percent yellow rice, 10 percent pollack, 21 percent chicken, 5 percent peas, and 3 percent each of: red bell peppers, mushrooms, onions, and tomatoes, and five percent each of: shrimps, mussels, squid, and flavoring. The paella, which is fully cooked and frozen, will be packed in an airtight plastic package.

- A. 1602.32.0010
- B. 1604.20.0510
- C. 1605.40.0500
- D. 1904.90.0120
- E. 2005.99.9700

**51.** What is the **CLASSIFICATION** of a coffee mix packaged in single-serve packets weighing 21 grams, with each packet containing: creamer, instant decaffeinated coffee powder, skimmed milk, and artificial sweetener, put up for retail sale?

- A. 0901.22.0045
- B. 2101.11.2131
- C. 2101.12.5400
- D. 2101.12.9000
- E. 2101.20.9000

**52.** What is the tariff **CLASSIFICATION** of a set of four (4) molded, poly vinyl chloride (PVC) floor mats, specifically shaped for use in vehicles, which are packaged for retail sale, and imported from India?

- A. 3918.10.2000
- B. 4016.91.0000
- C. 5704.10.0090
- D. 5705.00.2090
- E. 8708.99.8180

53. What is the **duty rate** for p-Toluenesulfonic acid (CAS 6192-52-5) manufactured in China that is:

- Classified as HTS 2904.10.3700, and
- Found in Chapter 99 Subchapter II: Temporary Reductions in Rates of Duty with HTS 9902.02.01, and
- Qualifies for Section 301 duties in Chapter 99 Subchapter III: Temporary Modifications Established Pursuant To Trade Legislation with HTS 9903.88.03?

- A. Free
- B. 5.5%
- C. 10%
- D. 25%
- E. 30.5% (5.5% +25%)

## Category IX – ACE

**54.** Which of the following entry summary data can be amended by submission of a Post Summary Correction (PSC):

- A. Importer Of Record information
- B. Reconciliation flag/issue code
- C. NAFTA indicator
- D. Tariff number under the Harmonized Tariff Schedule of the United States (HTSUS)
- E. Agricultural fees

**55.** Under which of the following circumstances are filers **NOT** allowed to file a Post Summary Correction (PSC) to correct entry summary data?

- A. The correction is to an unliquidated entry.
- B. The correction is to a fully paid entry.
- C. The correction adds an invoice that was omitted at the time of original entry summary filing.
- D. The correction adds an SPI that was originally omitted and amends the entry to make a claim under NAFTA, CAFTA, DR, Chile, Columbia, Korea, Oman, Panama or Peru.
- E. The correction is to change the entry from entry type 01 (Consumption) to 03 (AD/CVD).

**56.** According to the Ace Business Rules, which is **FALSE**?

- A. When CBP rejects an entry summary, the filer will receive an ABI notification message, “entry summary rejected”.
- B. Once an entry summary is liquidated, it cannot be cancelled.
- C. Filers have the ability to revise transmitted entry summary data until the entry summary is in fully paid status and under CBP control.
- D. The client representatives are the first point of contact for the trade community when it relates to automating their systems for interactions with CBP.
- E. If paying by check, the filer should include the reconciliation entry summary number on the check along with a copy of the CBP Form 7512 or equivalent document.



## Category X – AD/CVD

**57.** Based on the Trade Facilitation and Trade Enforcement (TFTEA) Act of 2015, what is the definition of the acronym EAPA?

- A. Enforcement and Problem Authority of 2015
- B. Enforcement and Preparation Association of 2015
- C. Employee Assistance Professional Act of 2015
- D. Enforce and Protect Act of 2015
- E. Enforcement and Protect Act of 2015

**58.** All of the following information must be provided to CBP by a party to the investigation in an allegation of evasion of AVCVD **EXCEPT**:

- A. Name of the party for the investigation providing the information and identification of the agent filing on its behalf, if any, and email address for communication and service purposes
- B. Specification as to the basis upon which the party making the allegation qualifies as an interested party
- C. Name and address of the shipping company that imported the subject merchandise
- D. Description of covered merchandise
- E. Applicable AD/CVD orders

**59.** In addition to seizure of the merchandise, CBP may impose a civil fine on a person responsible for the importation of merchandise bearing a counterfeit mark. What is the highest amount of a civil fine for a first-time violation of importing merchandise with a counterfeit mark?

- A. Twice the value of the merchandise
- B. \$10,000
- C. \$100,000
- D. Manufacturer's Suggested Retail Price of Genuine Article
- E. No monetary civil fine

**60.** Henry Ford imported twelve ball bearings with integral shafts from Germany, which are classified under subheading 8482.10.10, Harmonized Tariff Schedule of the United States, at a 2.4 percent *ad valorem* duty rate and are subject to antidumping duties. The ball bearings are shipped by air and formally entered at John F. Kennedy International Airport. The total value of the shipment is \$9875.00 USF. The applicable antidumping duty cash deposit rate is 72.65 percent. Using the above information only what is the total amount of fees and estimated duties that should be reported on CBP Form 7501?

- A. \$271.21
- B. \$7208.40
- C. \$7411.19
- D. \$7445.40
- E. \$7457.74

## Category XI – Drawback

**61.** A claimant may appeal a denial of a drawback privilege application in writing and such appeal must be filed with the CBP Drawback Center that issued the denial within \_\_\_\_ calendar days of the decision letter.

- A. 30
- B. 45
- C. 60
- D. 90
- E. 120

**62.** Drawback is **NOT** allowed on exports to United States Insular Possessions, **EXCEPT** under which of the below provisions:

- A. Directly identifiable merchandise used in the manufacturing of an article under 19 U.S.C. § 1313(a); or flavoring extracts, medicinal or toilet preparations manufactured in the United States, pursuant to 19 U.S.C. § 1313(d), and exported to the U.S. Virgin Islands.
- B. Substituted merchandise used in the manufacturing of an article under 19 U.S.C. § 1313(b); or substituted, unused merchandise, under 19 U.S.C. § 1313(j)(2), and exported to Guam.
- C. Directly identifiable, unused merchandise, under 19 U.S.C. § 1313(j)(1); or fuel laden as supplies on a vessel, under 19 U.S.C. § 1309(b), and exported to American Samoa.
- D. Merchandise not conforming to sample or specification, under 19 U.S.C. § 1313(c)(1)(c)(i); or merchandise ultimately sold at retail and returned to the importer, under 19 U.S.C. § 1313(c)(1)(c)(ii), and exported to Wake Island.
- E. Packaging material claimed under 19 U.S.C. § 1313(q)(2); or meats cured with imported salts under 19 U.S.C. § 1313(f), and exported to Kingman Reef.

**63.** Under which provision is drawback **NOT** provided for on imported packing material used to package or repackage merchandise and articles exported or destroyed:

- A. 19 U.S.C. § 1313(j)(1) - Direct Identification Unused Merchandise Drawback
- B. 19 U.S.C. § 1313(j)(2) - Substitution Unused Merchandise Drawback
- C. 19 U.S.C. § 1313(a) - Direct Identification Manufacturing Drawback
- D. 19 U.S.C. § 1313(d) - Internal Revenue Tax on Flavoring Extracts, and Medicinal or Toilet Preparations manufactured from Domestic Paid Alcohol Drawback
- E. 19 U.S.C. § 1313(b) - Substitution Manufacturing Drawback

64. Which of the following drawback time frames is **CORRECT**?

- A. Drawback is permissible on exported or destroyed merchandise, which was imported, sold at retail, and returned to the importer, within 3 years of the date of import.
- B. Unless a waiver is applicable, CBP Form 7553, *Notice of Intent to Export, Destroy, or Return Merchandise for Purposes of Drawback*, must be filed with CBP at least 15 working days prior to the date of intended exportation.
- C. At least 10 working days before the intended date of destruction of merchandise under CBP supervision, upon which drawback is intended to be claimed, a CBP Form 7553, *Notice of Intent to Export, Destroy or Return Merchandise for Purposes of Drawback*, must be filed.
- D. A party may challenge a denial of an application for certification, as a participant in the drawback compliance program, by filing a written appeal within 30 days of the issuance of the notice of denial.
- E. Drawback is allowed on imported merchandise if the merchandise is exported or destroyed within 3 years of the date of importation and was not used within the United States.

## Category XII – Free Trade Agreements

65. Where in the Code of Federal Regulations (CFR) would you find the verification authority for the United States-Chile Free Trade Agreement (US-CFTA)?

- A. 19 CFR 10.183
- B. 19 CFR 10.401
- C. 19 CFR 10.501
- D. 19 CFR 10.581
- E. 19 CFR 10.827

66. Which of the following is **NOT** a valid method of appraisement according to the Trade Agreements Act of 1979?

- A. Transaction Value
- B. Transaction Value of Identical Merchandise
- C. Transaction Value of Similar Merchandise
- D. Derivative Value
- E. Computed Value

67. What is the correct method for submitting a US-Korea Free Trade Agreement post-importation preference claim when not claimed at the time of entry?

- A. Post Summary Correction
- B. 19 USC 514 Protest
- C. Post Entry Amendment
- D. 19 USC 1520(d) Protest
- E. Administrative Refund

68. Which of the following choices is **NOT** one of the required statements when submitting a post-importation 520D petition claim package (NAFTA reduced benefits claim) to CBP?

- A. A statement that the merchandise qualified as originating at the time of importation.
- B. Copy of the NAFTA Certificate of Origin pertaining to the good is required.
- C. A statement that no person has filed a petition or protest or requested re-liquidation relating to the goods under any provision of law.
- D. The original CF 7501 package and corrected copy of CF 7501 package are required.
- E. A statement that the submitter is not aware of any claim of refund, waiver or duty reduction of duties relating to the goods under Article 303 of the NAFTA agreement.

### Category XIII – Foreign Trade Zone/Warehouse

69. In accordance with 19 Code Federal Regulation (19 CFR) 111 how many years after the date of entry, or final warehouse withdrawal, must a broker retain records?

- A. 2 years
- B. 3 years
- C. 5 years
- D. 7 years
- E. 8 years

70. When the final withdrawal of merchandise relating to a specific warehouse entry, general order or seizure occurs, how many calendar days does the warehouse proprietor have to file the permit after the final withdrawal?

- A. 10
- B. 15
- C. 30
- D. 45
- E. 60

71. Withdrawals for consumption of merchandise in bonded warehouses shall be filed on which CBP form (CF)?

- A. CF 3461
- B. CF 6043
- C. CF 7501
- D. CF 7512
- E. CF 7523

72. Which of the following activities is **NOT** allowed within a Foreign Trade Zone (FTZ)?

- A. Temporary deposit of merchandise into a zone for the purpose of manipulation.
- B. Manipulation, manufacturing, exhibition or destruction of merchandise entered into a zone.
- C. Retail sale of goods from within a zone.
- D. Transfer of merchandise through a zone.
- E. Transfer of merchandise from one zone to another.

### Category XIV – Intellectual Property Rights

73. Protection of a recorded trade name shall remain in force for?

- A. 6 months
- B. 1 year
- C. 10 years
- D. 20 years
- E. As long as the trade name is used

74. An importer is submitting an application to record two of their trademarks. How much will the importer pay?

- A. \$90.00
- B. \$190.00
- C. \$380.00
- D. \$570.00
- E. Nothing, it is free to record trademarks

75. All of the information below is required to record one or more trademarks in writing **EXCEPT:**

- A. The name, complete business address, and citizenship of the trademark owner or owners (if a partnership, the citizenship of each partner; if an association or corporation, the state, country, or other political jurisdiction within which it was organized, incorporated, or created)
- B. The name and principal business address of each foreign person or business entity authorized or licensed to use the trademark and a statement as to the use authorized
- C. The place of manufacturer of goods bearing the recorded copyright
- D. The identity of any parent or subsidiary company with control using the trademark abroad
- E. Other foreign company under common ownership or control that uses the trademark abroad

**76.** Articles suspected of bearing counterfeit marks are detained. If the importer of the article does not provide timely information, or the information provided is insufficient for CBP to determine that the merchandise does not bear a counterfeit mark, CBP may provide the owner of the mark with all of the following, **EXCEPT**:

- A. Serial numbers and/or lot codes appearing on the merchandise
- B. Serial numbers and/or lot codes appearing on the merchandise's retail packaging
- C. Any entry documents accompanying the shipment
- D. A sample of the merchandise and/or its retail packaging in its condition as presented for examination, subject to bond and return requirements
- E. Images of the merchandise and/or its retail packaging in its condition as presented for examination



### Category XV – Value

77. Identify the correct statement regarding merchandise eligible for appraisal entry.

- A. Personal effects of a person arriving in the United States.
- B. Tools of trade for citizens of the United States who have died in a foreign country.
- C. Merchandise recovered from a wrecked or stranded vessel.
- D. Merchandise released from Customs custody is eligible with the Commissioner's approval.
- E. Port Director Designee may approve an application for entry by appraisal.

78. The commercial invoice from the seller accompanying the entry package provides the itemized sales data terms of sale: free on board 50,000 stainless steel wok cookware; unit value = \$3.00 each; \$50,000 identified as a credit an indirect payment; \$5,000 for shipping insurance; \$10,000 of ocean freight. What would be the transaction value?

- A. \$100,000
- B. \$135,000
- C. \$140,000
- D. \$155,000
- E. \$200,000

79. With substantial transformation, 35 percent value added, imported directly and all other requirements of the Generalized System of Preferences (GSP) are met, which of the following goods would **NOT** qualify for preferential tariff treatment under the GSP?

- A. 0404.10.05 produced in and imported from Thailand
- B. 4015.19.10 produced in and imported from Maldives
- C. 6912.00.45 produced in and imported from Haiti
- D. 8112.19.00 produced in and imported from Kazakhstan
- E. 8419.50.10 produced in and imported from Sao Tomé and Principe

80. Which country below is designated as a beneficiary country for purposes of the Andean Trade Preference Act (ATPA)?

- A. Brazil
- B. Panama
- C. Chile
- D. Venezuela
- E. Ecuador

**You may use the remaining time to go back and check your answers.**

**Section 1: Examination Process Evaluation Survey**

This survey is administered to collect information about the examination process. The survey is **voluntary** and your responses will have no impact on your score.

1. What is your background regarding Customs laws and regulations?
  - A. Former CBP employee
  - B. Currently works or has worked for a broker in the past
  - C. Currently works or has worked for an importer on trade issues in the past
  - D. No working experience with Customs laws and regulations
  - E. Currently works or has worked for both broker and importer in the past
  
2. How did you prepare for the Customs Broker Examination?
  - A. Took an in-person course through an educational institution
  - B. Took an online course through an educational institution
  - C. Self-prepared
  - D. Did not spend time preparing for the examination
  
3. Approximately how many hours did you spend preparing for the examination?
  - A. 1-10
  - B. 11-25
  - C. 26-100
  - D. More than 100
  - E. Did not spend time preparing for the examination
  
4. How difficult was the examination?
  - A. Very easy
  - B. Easy
  - C. Moderate
  - D. Difficult
  - E. Very difficult
  
5. How clear were the examination questions?
  - A. Very clear
  - B. Clear
  - C. Neither clear nor difficult to understand
  - D. Difficult to understand
  - E. Very difficult to understand

6. Would you have liked more, less, or the same amount of time for this examination?

- A. Less time – I finished early
- B. Same amount of time – it was just right
- C. Slightly more time – to consider or review my answers
- D. More time – I did not finish the examination

# OCTOBER 2020 PM CUSTOMS BROKER LICENSE EXAM ANSWER KEY

Revised 11-18-2020

Questi	Answer	Citations
1	A	19 CFR § 111.28(b)(1)(ii)
2	D	19 CFR § 111.36, 19 CFR § 111.37, 19 CFR § 1114.41
3	E	19 CFR § 111.30(d)(1)
4	C	19 CFR § 111.36(c)(2)(i)
5	D	19 CFR § 111.29(b)(2)(ii)
6	C	19 CFR § 111.36(a), 19 CFR § 141.5, 19 CFR § 142.2, 19 CFR § 24.5(a), 19 CFR § 141.31, 19 CFR § 141.46
7	C	19 CFR § 111.11, 19 CFR § 111.16
8	E	19 CFR § 111.42(b), 19 CFR § 111.31(a), 19 CFR § 111.30(4), 19 CFR § 111.28(b)(3), 19 CFR § 111.53(c), 19 CFR § 111.30(a)
9	E	19 CFR § 24.24
10	D	19 CFR § 141.68(e)
11	B	19 CFR § 10.37
12	A	19 CFR § 7.2(b)
13	C	19 CFR § 159.12, 19 CFR § 159.51
14	D	ACE Entry Summary Business Process 9.75, Section 7.3, 19 CFR § 174, 19 CFR § 111.29
15	D	19 CFR § 11.2a, 19 CFR § 141.102(a), 19 CFR § 54.5(a) 19 CFR § 54.6, 19 CFR § 146.22, 19 CFR § 146.65(b)(2), 19 CFR § 10.36
16	D	19 CFR § 142.18, 19 CFR § 158.41, 19 CFR § 158.3
17	C	19 CFR § 12.26(d)
18	B	HTSUS 9804.0035, 19 CFR § 148.45, 19 CFR § 141.4, 19 CFR § 142.2
19	E	19 CFR § 10.39, 19 CFR § 114.33, 19 CFR § 114.34, 19 CFR § 172
20	C	19 CFR § 114.12, 19 CFR § 141.4(b)(1), 19 CFR § 141.5, 19 CFR 141.31(c), 19 CFR § 141.40, HTSUS General Note 3(e)(ii)
21	D	CBP Form 5291, 19 CFR § 141.32
22	C	19 CFR § 174.3(a)(1)
23	C	19 CFR § 141.39(a)(2)
24	D	CBP Form 4647, 19 CFR § 134.51(a)
25	A	19 CFR § 134.2
26	B	19 CFR § 134.33
27	B	19 CFR § 102.21
28	C	Prep of 7501 Instructions, Page 2, Block 2 notes



U.S. Customs and  
Border Protection

Questi	Answer	Citations
29	C	Instructions in completing the MID, Prep of 7501 instructions
30	C	Prep of 7501 Instructions, Page 11, Block 24
31	E	HTSUS General Notes does not contain China
32	E	19 CFR § 24.23
33	E	DUTY: HTSUS 2019 – 9619.00.6400/14.9% 10500. X 14.9% = 1564.50 MPF: 19CFR 24.23- April 2019 .3464% 10500. X .3464% =\$36.37 HMF: 19CFR 24.24 – April 2019 .125% 10500. X .125% = \$13.13 *Chapter 99 not applicable(as noted in question. Total Due: \$ 1614.00
34	B	19 CFR § 113.11, 19 CFR § 113.26
35	B	19 CFR § 113.62, 19 CFR § 113.63, 19 CFR § 113.64, 19 CFR § 113.73, 19 CFR § 113.66
36	E	19 CFR § 113.63(g), 19 CFR § 113.26(a), 19 CFR § 113.26(b), 19 CFR § 113.27(c), 19 CFR § 113.24(b)
37	B	19 CFR § 113.27(b)
38	B	19 CFR § 171.2(e)
39	B	19 CFR § 161.5, 19 CFR § 171.31, 19 CFR § 172.31
40	D	19 CFR § 171 Appendix B(D)(6)
41	E	19 CFR § 171 Appendix B(F)(2)(a)(i)
42	D	HTSUS 6804.30.0000 – Chapter 25, note 1 and chapter 68, note 2
43	C	HTSUS 9404.90.8505 – GRI 3(a), HTSUS XI, note 1(s), HTSUS 85 note 1(a)
44	B	HTSUS 9404.90.8522, GRI 1, HTSUS Section XXI note 1(s), HTSUS Chapter 85 note 1 (a)
45	C	HTSUS 8543.70.9960, Statistical Note 7 to Chapter 85, GRI 3
46	C	HTSUS 8518.22.0000, Note 3 Section XVI
47	C	HTSUS 6403.99.9065, GRI 1
48	C	HTSUS 5603.91.0090, GRI 1, HTSUS 39 Notes, i.e. Note 2(p), HTSUS Note 5 to Chapter 58
49	E	HTSUS 9403.90.8020, Chapter 92 Note 2A
50	A	HTSUS 1602.32.0010, Note 2 to Chapter 16
51	D	HTSUS 2101.12.9000, Additional U.S> Note 3 to Chapter 17,
52	E	HTSUS 8708.99.8180, GRI 1, Section Notes XVII
53	D	HTSUS 2904.10.3700, HTSUS 9902.02.01, HTSUS 9903.8803, HTSUS Note 20(e) to Subchapter III to Chapter 99
54	D	ACE Business Rules and Process Documents 9.75, Section 7.3



Questi	Answer	Citations
55	D	ACE Business Rules and Process Document 9.75, Section 7.3 cannot be changed
56	E	ACE Business Rules and Process Document 9.75, Section 1.10, Page 10
57	D	19 CFR § 165 - Scope
58	C	19 CFR §165.11
59	D	19 CFR § 133.27(a)
60	D	Value of Merchandise: \$ 9875.00 Duty 2.4% = \$ 237.00 MPF .3464% = \$ 34.21 <u>AD/CVD 72.65% = \$7174.19</u> <u>Total Duty/Fees Due = \$7445.40</u>
61	A	19 CFR § 190.36(d), 19 CFR § 191.36(d), 19 CFR § 190.91(g), 19 CFR 191.91(g)
62	C	19 CFR § 190.5 , 19 CFR § 191.5, 19 CFR § 190.112, 19 CFR § 191.112
63	D	19 CFR § 190.13(a), 19 CFR § 191.13(a)
64	D	19 CFR § 190.31, 19 CFR § 191.31, 19 CFR § 190.35, 19 CFR § 191.35, 19 CFR § 190.45, 19 CFR § 191.45, 19 CFR § 190.71, 19 CFR § 191.71, 19 CFR § 190.194(f), 19 CFR 191.194(f)
65	Credit to all	19 CFR § 10.401 Subpart H
66	D	19 CFR § 152.101
67	Credit to All	19 CFR § 10.1010, 19 CFR § 10.1012, HTSUS General Note 33
68	D	19 CFR § 181.32
69	C	19 CFR § 111.23(b), 19 CFR § 111.29 (b)(2)(ii)
70	C	19 CFR § 19.12(d)(4)(ii)
71	C	19 CFR § 141.61(e)
72	C	19 CFR § 164.14
73	E	19 CFR § 34 (b) & (c)
74	C	19 CFR § 133.3(b)
75	C	19 CFR § 133.2(a)(b)(c)(d)
76	C	19 CFR § 133.21
77	C	19 CFR 143.11 (a)(2)
78	E	19 CFR 152.100
79	D	HTSUS GN 4(d), HTSUS General Note 4
80	E	HTSUS General Note 11



**Reference Materials:**

- [Harmonized Tariff Schedule of the United States](#) (2019 Basic Edition, No Supplements)
- [Title 19, Code of Federal Regulations](#) (2019 Revised as of April 1, 2019 (Parts 1 to 199))
- Instructions for Preparation of [CBP Form 7501](#) (December 2019)
- Right to Make Entry Directive 3530-002A
- Business Rules and Process Document (Trade-External) Ace Entry Summary  
Version 9.75 – Section 1 - 12

