



ACE/CAPE

QUICK REFERENCE GUIDE



FAQs

| | |
|---|----|
| What is the ACE Portal? | 5 |
| If I do not have an ACE Portal account, how do I apply? | 5 |
| How do I file a CBP Form 5106? | 5 |
| How do I know if there is an ACE account? | 5 |
| What is the Trade Account Owner in the ACE Portal? | 5 |
| What if I want to update the Trade Account Owner? | 6 |
| What if an account was created before me? | 6 |
| What are the components of the ACE Portal?..... | 6 |
| I logged in, now what do I do?..... | 6 |
| How Do I Add an Importer Subaccount? | 7 |
| How do I file a CAPE declaration?..... | 7 |
| How do I receive a refund?..... | 7 |
| Do I need a US bank to receive a refund? | 7 |
| How do I designate Mohawk Global to receive refunds on my behalf? | 8 |
| What ACE Portal resources are available to me? | 8 |
| What CAPE and IEEPA refund resources are available to me? | 8 |
| A 5106 application has been submitted on our behalf. Will this automatically update a previous owner?..... | 9 |
| What is the website for updating the TAO? | 9 |
| We have established our ACH account with US Customs. So, do we have to establish another ACH account for IEEPA refunds?..... | 9 |
| We have an ACE account but it is not tied to an email and I have tried reaching the ACE support through email and phone and no success. Any ideas? | 9 |
| We have an ACE account and just merged with another company who is now under our EIN number but they never had an ACE account. How can we do the refund for the new division? | 9 |
| What is the other path to claim Duties for Entries that fall apart of CAPE Phase 1? Our understanding is that either it is Protest route or any other future Phases..... | 10 |
| Do you have to be the trade account owner to file CAPE declarations?..... | 10 |

So based on the information regarding ACE, is it fair to assume that only "actual importers" would be able to access the ACE Portal. Customs brokers or 3PL partners (working on behalf of their import clients) would NOT be able to access ACE or request refunds on behalf of their clients...correct?10

If a claim is showing on ES-022, how long until I see the refund on a daily statement?"10

We have an exporter top account (of which the owner needs to change), and an exporter sub account. Does this change any steps we need to do for applying for the importer top account and sub accounts? For instance, do we need to update our top account exporter profile first?10

What is the TAO if no longer at the company? How do you change to a new TAO?11

I don't have an option to assign roles, how do I do this?11

We have established our ACH account with US Customs. So, do we have to establish another ACH account for IEEPA refunds?.....11

Does the legally authorized company official have to also be a TAO?11

What happens if someone else creates another ACE account? Do we need to merge them? How would we know if a sub account was created by another person?11

Can we recoup tariff money paid to vendors that added it to invoices? Or, if not on an invoice, can we have the vendor confirm our price increases were due to tariff monies? ...11

How do we remove Notify parties?12

When I go to add the importer sub account, I receive an error advising of duplicate EIN#. I added suffix 00 as advised but get the duplicate error preventing that sub account from being created. How do I get past this?12

If we have multiple Notify parties and our company information is in the ACH refund authorization, will the refund come to our account?.....12

Will these reports need to be added to the Post Summary Report for all effected entries and held for the 5-year term?.....12

Doesn't the ACE Portal account close if you haven't used it? I thought you had to log in to the ACE Portal monthly.12

What is the correct CSV format? Can we see an example?13

Why would the ACE Portal not recognize our company name under account after I log on?13

Is there a cost associated with setting up Mohawk Global as the Notify Party?13

Is it permitted to share this info with a business partner? They are small and could at least learn the basics in preparation to do the filing.....13

Where and what reports are run to determine the upload file? Or, how do I find the entries with IEEPA line entries?13

How do we know if our tariffs are eligible?13

Will the claim number be e-mailed to you?13

How do we know the status of our entries?14

How do you determine the liquidation date for your entries?.....14

How can we obtain specific information about IEEPA percentages on the tariffs paid?.....14

How can I track and receive refunds for IEEPA duties using CBP’s CAPE tool?14

What is the ACE Portal?

CBP ACE Portal is a FREE web-based entry point for ACE, providing importers and exporters centralized access to trade data, reporting, and compliance tools. Access to the ACE Portal begins with the creation of a top account. When an ACE Portal application is approved, CBP will create a single top account for the applicant company, which is tied to an account owner and a corporate identifier (e.g., filer code, importer of record number, employer identification number) with a primary sub-account. All future sub-accounts and user profiles created in the ACE Portal map to a top account.

If I do not have an ACE Portal account, how do I apply?

CBP has created a quick application for importers seeking an ACE application. Any other account type like a carrier or export must use the standard application.

The quick importer application enables trade parties to request the creation of an ACE Portal top account with access to a single Importer (CBP Form 5106) record sub-account view. Successful completion of this form will result in the creation of a top account, the assignment of an account owner, and the association of an entity's 5106 record to the new top account.

IMPORTANT: As part of this application, CBP will send a system-generated verification code to the existing point of contact email address on file with CBP in the Importer (5106) record. If appropriate, coordinate with Mohawk Global to confirm and/or update the point of contact email address. Prior to completing and submitting this form, CBP advises applicants to coordinate with the point of contact listed on the applicable Importer (5106) record to ensure timely access to the system-generated verification code.

How do I file a CBP Form 5106?

Mohawk Global will electronically update your 5106 form on your behalf. The required data elements can be found at <https://www.cbp.gov/document/forms/cbp-form-5106-createupdate-importer-identity-form>

How do I know if there is an ACE account?

Check internally. Review with your import, export, legal and administrative departments. Contact ACE support for help identifying the Trade Account Owner (TAO) by emailing ace.support@cbp.dhs.gov and providing your full legal name and your EIN, SSN or Customs assigned number or you may submit an application to update the TAO found at <https://aceaccountreview.cbp.gov/>.

What is the Trade Account Owner in the ACE Portal?

A Trade Account Owner (TAO) is the designated person who has the authority to manage the account and its users. The TAO is the primary point of contact for the account with CBP and is responsible for protecting sensitive information and ensuring secure access.

What if I want to update the Trade Account Owner?

The company may internally designate an individual to manage the ACE Portal account and submit an account application revision to update the TAO. Under section A check the box to indicate a revision is being submitted and select “TAO or AO” in the drop-down box. Complete the remaining relevant information in each step of the process.

<https://aceaccountreview.cbp.gov/>

What if an account was created before me?

Check internally. Review with your import, export, legal and administrative departments. Contact ACE support for help identifying the Trade Account Owner (TAO) by emailing ace.support@cbp.dhs.gov, with the subject line “Trade Account Lookup”, and providing your full legal name and your EIN, SSN or Customs assigned number. CBP will email the TAO. You may also submit an application to update the TAO found at <https://aceaccountreview.cbp.gov/>.

What are the components of the ACE Portal?

There are three components to an ACE Portal account:

- **Top Account:** ACE Portal access begins with a company’s top account, under which all other company activities occur. When an ACE Portal application is approved, CBP automatically creates a single top account for the applicant company, which is tied to an account owner and a corporate identifier
- **Sub-Accounts:** Sub-account views are aligned to the company’s business activities (e.g., importer, exporter, carrier, etc.) and determine the functionality available to users under their company’s top account. When an ACE Portal application is approved CBP will create a primary sub-account based on the initial application. Additional sub-accounts can be added. All future sub-accounts and user profiles created in the ACE Portal map to a top account.
- **User Profiles:** There are three types of ACE Portal trade user profiles. The levels of access are determined by the TAO and proxy account owners. They delegate such authorities.
 - Account Owner (Trade Account Owner / TAO)
 - Proxy Account Owner
 - Account User

I logged in, now what do I do?

Determine your use for the portal.

- Watch training videos and review step by step instructions in the ACE training and reference guides <https://www.cbp.gov/trade/automated/training-and-reference-guides>
- If you are seeking filing for refunds on IEEPA duties, please reference <https://www.cbp.gov/trade/programs-administration/trade-remedies/ieepa-duty-refunds>

- If you wish to run data reports, please reference <https://www.cbp.gov/ace-reports-catalog-trade> and <https://www.cbp.gov/document/guidance/accessing-ace-reports-application-quick-reference-card>

How Do I Add an Importer Subaccount?

An importer sub-account is needed for each unique IOR number, even if the same bank account will be used.

To create the Importer sub-account for each unique IOR number, follow these steps:

- Submit a request letter to CBP via email, on company letterhead, signed by the TAO or a legally authorized company official
- **IMPORTANT:** When submitting a request to add one or more sub-accounts to an existing top account, ensure that company information (e.g., company name, company address) in the request is provided exactly as it was on the originally submitted ACE Portal application form.
- Provide the necessary information related to the requested sub-account(s), including a list of all the IOR numbers for which access is needed.
- The full list of IOR numbers may also be provided in the body of the email message.
- Submit the application form via email to **ACE.Applications@cbp.dhs.gov**.

How do I file a CAPE declaration?

Only the IOR for the listed entries or the authorized customs broker that filed the entries on behalf of the IOR may file the CAPE Declaration. Review the CBP step by step instructions <https://www.cbp.gov/trade/programs-administration/trade-remedies/ieepa-duty-refunds>.

How do I receive a refund?

Effective February 6, 2026, CBP requires ACH enrollment to receive refunds. ACH enrollment is in the ACE Portal.

- **User Guide for ACE Portal Accounts ACH Enrollment** [Modernized ACE Portal - ACH Bank Information for Electronic Refunds](#)
- FAQs: [ACE Portal and ACH Refunds FAQs](#)

Do I need a US bank to receive a refund?

Yes. All applicants are required to use a U.S. bank account and must provide the relevant account information. CBP will reject bank information if the bank routing number does not process FedACH payments. CBP advises that importers and other parties verify that applicable bank routing numbers process FedACH payments. If importer has a foreign bank account, they should ensure the foreign bank has a US correspondent bank that can accept ACH via a US ABA Routing Number in US Dollars. Customs edits against the valid ABA Routing Number. Importers should discuss with their bank.

Importers without a U.S. bank account must either open a U.S. bank account or designate a third party with a U.S. bank account.

How do I designate Mohawk Global to receive refunds on my behalf?

An importer may designate a third party, such as Mohawk Global, via CBP Form 4811 (Special Address Notification) to receive refunds. Administrative service fees will apply to receive the funds. To designate a third party as the recipient of a refund, CBP provides two options.

1. The importer or Mohawk Global may fill out and submit CBP Form 4811 via an email message to the importer's assigned Center of Excellence and Expertise (Center). The form can be found: https://www.cbp.gov/sites/default/files/2026-01/cbp_form_4811.pdf
2. The importer may also utilize the Notify Parties tab in the ACE Portal. Only the TAO for the importer will have the ability to add a designated third party in the Notify Parties Tab.

What ACE Portal resources are available to me?

Mohawk Global ACE Portal Guide: [ACE SECURE DATA PORTAL](#)

One Page Overview: [ACH Refund Enrollment Overview](#)

FAQs: [ACE Portal and ACH Refunds FAQs](#)

Information Notice: [ACE Portal Updates to Enable Electronic Refund Enrollment](#)

Information Notice: [Automated ACE Portal Application for Importer Accounts](#)

Information Notice: [ACE Portal Feature for Trade Users to Add Notify Parties](#)

Training Guide: [ACE Portal Importer Account Application](#)

Training Guide: [ACH Refund Enrollment in the ACE Portal](#)

Training Video: [ACH Refund Enrollment in the ACE Portal](#)

Training Guide: [ACE Portal Feature to Add Notify Parties](#)

Training Guide: [ACE Refund Report](#)

Rejected ACH Refund Information: [Replacement Refund Instructions](#)

What CAPE and IEEPA refund resources are available to me?

Resources:

- Trade Information Notice: [CAPE | U.S. Customs and Border Protection](#)
- Outreach Presentation: [IEEPA Duty Refunds and CAPE | U.S. Customs and Border Protection](#)
- ACE Portal: [CAPE Declarations | U.S. Customs and Border Protection](#)
- Fact Sheet: [IEEPA Duty Refunds | U.S. Customs and Border Protection](#)

Contact Information:

- Technical questions about IEEPA refunds: IEEPARefunds@cbp.dhs.gov
- General inquiries: traderelations@cbp.dhs.gov
- Technical issues: CBP Technology Service Desk at 1-800-927-8729 or cbp.technology.service.desk@cbp.dhs.gov

A 5106 application has been submitted on our behalf. Will this automatically update a previous owner?

The amendment of the CBP Form 5106 to update an email contact, updates the information maintained by CBP that identifies the individuals and businesses involved in importing goods into the United States. The amended contact updated in the 5106 does not update your ACE Portal Account.

What is the website for updating the TAO?

<https://aceaccountreview.cbp.gov/>

We have established our ACH account with US Customs. So, do we have to establish another ACH account for IEEPA refunds?

You do not need to establish a separate ACE Portal account. However, you must have an importer subaccount in your existing portal. To confirm you have an importer subaccount in your existing ACE Portal account, log in to your account and select your Accounts tab. Under your Account Navigation, your Top Account will display. If you have an importer subaccount it will be displayed underneath your Top Account.

We have an ACE account but it is not tied to an email and I have tried reaching the ACE support through email and phone and no success. Any ideas?

Each account user is tied to an email. If you are unsure of your Trade Account Owner (TAO), we recommend you consider updating the TAO.

Use the electronic application found at <https://aceaccountreview.cbp.gov/> and check the box to indicate the form is being submitted as a revision. In the drop-down box indicating a change to an active account, select TAO or AO. Complete the remaining application to identify your new TAO.

We have an ACE account and just merged with another company who is now under our EIN number but they never had an ACE account. How can we do the refund for the new division?

You must file an application to add this new merged division to your current ACE account as an importer subaccount. Please reference CBP's page and note the FAQ on adding sub-account to an existing ACE Portal top account:

<https://www.cbp.gov/trade/automated/how-to-use-ace/portal-managing>

What is the other path to claim Duties for Entries that fall apart of CAPE Phase 1? Our understanding is that either it is Protest route or any other future Phases.

Importers must consider filing a protective protest under 19 USC 1514 to preserve their rights to seek a refund. CBP has not provided guidance on how entries with final liquidation will seek an IEEPA refund, filing a protective protest may preserve those rights until guidance is issued.

Do you have to be the trade account owner to file CAPE declarations?

No.

So based on the information regarding ACE, is it fair to assume that only "actual importers" would be able to access the ACE Portal. Customs brokers or 3PL partners (working on behalf of their import clients) would NOT be able to access ACE or request refunds on behalf of their clients...correct?

CBP's guidance instructs "Only the IOR for the listed entries or the authorized customs broker that filed the entries on behalf of the IOR may file the CAPE Declaration."

If a claim is showing on ES-022, how long until I see the refund on a daily statement?"

The refund will not be issued on a daily statement. The refund will be consolidated and electronically issued to the ACH refund account or to the 4811 party on file for the entry. The ACE Portal REV-615 refund report will assist you in monitoring for that refund.

We have an exporter top account (of which the owner needs to change), and an exporter sub account. Does this change any steps we need to do for applying for the importer top account and sub accounts? For instance, do we need to update our top account exporter profile first?

You do not need to make any changes to your exporter subaccount. However, you will need to email CBP and request they add an importer sub account to your existing portal account. Please reference CBP's page and note the FAQ on adding sub-account to an existing ACE Portal top account. <https://www.cbp.gov/trade/automated/how-to-use-ace/portal-managing>

What is the TAO if no longer at the company? How do you change to a new TAO?

Use the electronic application found at <https://aceaccountreview.cbp.gov/> and check the box to indicate the form is being submitted as a revision. In the drop-down box indicating a change to an active account, select TAO or AO. Complete the remaining application to identify your new TAO.

I don't have an option to assign roles, how do I do this?

Please reference the CBP ACE Portal User Management document, <https://www.cbp.gov/document/guidance/ace-portal-user-management>. Beginning on page 8 you will find instructions on how to access the Roles. Only the Trade Account Owner or Proxy Account can assign roles.

We have established our ACH account with US Customs. So, do we have to establish another ACH account for IEEPA refunds?

You do not need to establish a separate ACE Portal account. However, you must have an importer subaccount in your existing portal to set up ACH Refund. To confirm you have an importer subaccount in your existing ACE portal account, log in to your account and select your Accounts tab. Under your Account Navigation, your Top Account will display. If you have an importer subaccount, it will be displayed underneath your Top Account.

Does the legally authorized company official have to also be a TAO?

No.

What happens if someone else creates another ACE account? Do we need to merge them? How would we know if a sub account was created by another person?

Duplicate creation of an account should not occur. If you believe a duplicate exists, contact ACE Support ace.support@cbp.dhs.gov. The subaccount is only added after the Top Account is created.

Can we recoup tariff money paid to vendors that added it to invoices? Or, if not on an invoice, can we have the vendor confirm our price increases were due to tariff monies?

IEEPA duties are refunded only to the importer or record who paid them to CBP.

How do we remove Notify parties?

Email the CBP Center of Excellence that you are assigned to and request they remove the notify party from your account. The easiest way to identify what center you are assigned to is to review an entry. On the CBP Form 7501, the three digit Center assignment is listed in the upper right hand corner: <https://www.cbp.gov/trade/centers-excellence-and-expertise-information/cee-directory>

When I go to add the importer sub account, I receive an error advising of duplicate EIN#. I added suffix 00 as advised but get the duplicate error preventing that sub account from being created. How do I get past this?

The importer subaccount is added by CBP. Please reference CBP's page and note the FAQ on adding sub-account to an existing ACE Portal top account.

<https://www.cbp.gov/trade/automated/how-to-use-ace/portal-managing>

If we have multiple Notify parties and our company information is in the ACH refund authorization, will the refund come to our account?

CBP's FAQs state the following regarding who the refund will be issued to "The IOR or the party designated by the IOR (the 4811 notify party) on either the CBP Form 4811 (Special Address Notification) or on the ACE Portal account, **and** on the entry summary will be eligible to receive refunds.)" Look at the underlying IEEPA entry and see if a 4811 party has been designated. You can pull this data object into an ACE report or you may look at box #28 *Reference Number* on your CBP Form 7501. The EIN listed here is the designated 4811/Notify Party.

Will these reports need to be added to the Post Summary Report for all effected entries and held for the 5-year term?

Once you file a successful claim declaration and CBP recalculates and liquidates the entry, you have a new entry version. You may consider retaining those ACE reports as part of your entry records.

Doesn't the ACE Portal account close if you haven't used it? I thought you had to log in to the ACE Portal monthly.

CBP requires an account user to sign in every 45 days to remain active. If your TAO has an inactive account, they will need to email ACE support to reactivate their account. If a proxy user or account user is inactive, the TAO can reactivate them.

What is the correct CSV format? Can we see an example?

Download the CSV file from your CAPE tab in the ACE Portal. You will add the entry number in the first column and upload that same CSV file in the CAPE tab. You must use CBP's CSV format as there is specific formatting in the first tab.

Why would the ACE Portal not recognize our company name under account after I log on?

I recommend that you confirm your Trade Account Owner granted you access to the Top Account and/or sub-account within the portal. Please reference the CBP ACE Portal User Management document, <https://www.cbp.gov/document/guidance/ace-portal-user-management>. Beginning on page 8 you will find instructions on how to access the Roles. Only the Trade Account Owner or Proxy Account can assign roles.

Is there a cost associated with setting up Mohawk Global as the Notify Party?

There is no cost to set up. Administrative fees may apply to receive your refunds.

Is it permitted to share this info with a business partner? They are small and could at least learn the basics in preparation to do the filing.

Please share the resources provided in the presentation.

Where and what reports are run to determine the upload file? Or, how do I find the entries with IEEPA line entries?

Mohawk Global can assist you with an IEEPA entry analysis. To identify your IEEPA entries, please consider running the ES-003 entry line detail report and review your entries with the applicable CH99 USHTS IEEPA tariff numbers.

How do we know if our tariffs are eligible?

Review your entries for applicable IEEPA CH99 USHTS numbers.

Will the claim number be e-mailed to you?

No. The claim number will be displayed once a successful claim is submitted in the CAPE portal. This is only visible to the Importer if the Importer does the upload. If the broker performs the upload, running reports is how to identify the claim number and status.

How do we know the status of our entries?

Your IEEPA status can be tracked through your IEEPA claim number. This is only visible to the Importer if the Importer does the upload. If the broker performs the upload, running reports is how to identify the claim number and status.

How do you determine the liquidation date for your entries?

Mohawk Global can perform this analysis for you. Various ACE Portal canned reports identify the liquidation date such as the ES-001 and ES-003.

How can we obtain specific information about IEEPA percentages on the tariffs paid?

Mohawk Global can perform this analysis for you. Consider running the ES-003 entry line level detail report which will return the total duties paid on each tariff line of your entry as well as the total value. You can calculate the percentage rate from that data. You may also view the CBP Form 7501 for each entry.

How can I track and receive refunds for IEEPA duties using CBP's CAPE tool?

Importers can submit and monitor refund requests through the CAPE tool in the ACE Portal, launched by US Customs and Border Protection. After a claim is reviewed and approved, refunds are issued by the US Treasury via ACH, with payments beginning as early as May 12.

To track progress, users can run ACE reports such as:

- The CAPE Entry Summary Report (ES-022) for linking declarations, entries, and refund amounts
- The Trade Refund Report (REV-603) for status updates (e.g., sent to Treasury, issued, diverted, or rejected)
- The ACH Rejected Refunds Report (REV-613) for failed payments due to incomplete ACH enrollment
- The CAPE Details Refunds Report (REV-615) for entry-level refund data
- Customize ES-003 Report with CAPE Details