

## AD/CVD Document Filing Requirements

**Antidumping Duties, Final Rule 62 FR 27295, May 19, 1997**

**Antidumping and Countervailing Duty Proceedings: Documents Submission Procedures; APO Procedures, 73 FR 3634, January 22, 2008**

**Final Rule: Antidumping and Countervailing Duty Proceedings: Electronic Filing Procedures; Administrative Protective Order Procedures, 76 FR 39263 (July 6, 2011)**

**Certification of Factual Information to Import Administration During Antidumping and Countervailing Duty Proceedings, 78 FR 42678, July 17, 2013**

**Changes to Room Number of APO/Dockets Unit and Web Addresses for Electronic Filing System and ACCESS Handbook, 80 FR 36473, June 25, 2015**

**Administrative Protective Order, Service, and Other Procedures in Antidumping and Countervailing Duty Proceedings, 88 FR 67069, September 29, 2023**

Explanatory Notes	Sec. 351.303 - Filing, format, translation, service, and certification of documents.
<p>Documents that deviate, in any way, from the procedures and format set forth in the following, without explicit prior approval, <b>will be rejected by the Department.</b></p> <p>The Department amended the regulations to require electronic filing. All documents filed in all cases must be filed electronically beginning on August 5, 2011, unless Sec. 351.303(b)(2)(ii) is applicable.</p>	<p><b>(a) Introduction.</b> This section contains the procedural rules regarding filing, document identification, format, service, translation, and certification of documents and applies to all persons submitting documents to the Department for consideration in an antidumping or countervailing duty proceeding.</p> <p><b>(b) Filing—(1) In general.</b> Persons must address all documents to the Secretary of Commerce, Attention: Enforcement and Compliance, APO/Dockets Unit, Room 18022, U.S. Department of Commerce, 14th Street and Constitution Avenue, NW., Washington, DC 20230. An electronically filed document must be received successfully in its entirety by the Department's electronic records system, ACCESS, by 5 p.m. Eastern Time on the due date. Where applicable, a submitter must manually file a document between the hours of 8:30 a.m. and 5 p.m. Eastern Time on business days (see §351.103(b)). For both electronically filed and manually filed documents, if the applicable due date falls on a non-business day, the Secretary will accept documents that are filed on the next business day. A manually filed document must be accompanied by a cover sheet generated in ACCESS, in accordance with §351.303(b)(3).</p> <p><b>(2) Filing of documents and databases—(i) Electronic filing.</b> A person must file all documents and databases electronically using ACCESS at <a href="https://access.trade.gov">https:// access.trade.gov</a>. A person making a filing must comply with the procedures set forth in the ACCESS Handbook on Electronic Filing Procedures, which is available on the ACCESS Web site at</p>

<p>A document exceeding 500 pages in length qualifies as a bulky document. If a business proprietary document is more than 500 pages in length, do not assume that the public or business proprietary/APO version of a business proprietary document qualifies as a bulky document. If the public or business proprietary/APO version is less than 500 pages in length, it must be filed electronically.</p>	<p><b>(ii) Manual filing. (A) Notwithstanding Sec. 351.303(b)(2)(i)</b>, a person must manually file a data file that exceeds the file size limit specified in the ACCESS Handbook on Electronic Filing Procedures and as referenced in Sec. 351.303(c)(3), and the data file must be accompanied by a cover sheet described in Sec. 351.303(b)(3). A person may manually file a bulky document. If a person elects to manually file a bulky document, it must be accompanied by a cover sheet described in Sec. 351.303(b)(3). The Department both provides specifications for large data files and defines bulky document standards in the ACCESS Handbook on Electronic Filing Procedures, which is available on the ACCESS Web site at <a href="https://access.trade.gov">https://access.trade.gov</a>.</p> <p><b>(B) [Reserved]</b></p> <p><b>(3) Cover sheet.</b> When manually filing a document, parties must complete the cover sheet (as described in the ACCESS Handbook on Electronic Filing Procedures) online at <a href="https://access.trade.gov">https://access.trade.gov</a> and print the cover sheet for submission to the APO/Dockets Unit.</p>
<p>These five document classifications correspond with those in ACCESS. Selection of the incorrect document classification may result in the disclosure of business proprietary information and/or an APO violation.</p>	<p><b>(4) Document identification.</b> Each document must be clearly identified as one of the following five document classifications and must conform with the requirements under paragraph (d)(2) of this section. Business proprietary document or business proprietary/APO version, as applicable, means a document or a version of a document containing information for which a person claims business proprietary treatment under Sec. 351.304.</p> <p><b>(i) Business Proprietary Document--May Be Released Under APO.</b> This business proprietary document contains single-bracketed business proprietary information that the submitter agrees to release under APO. It must contain the statement "May Be Released Under APO" in accordance with the requirements under paragraph (d)(2)(v) of this section.</p> <p><b>(ii) Business Proprietary Document--May Not Be Released Under APO.</b> This business proprietary document contains double-bracketed business proprietary information that the submitter does not agree to release under APO. This document must contain the statement "May Not Be Released Under APO" in accordance with the requirements under paragraph (d)(2)(v) of this section. This type of document may contain single-bracketed business proprietary information in addition to double-bracketed business proprietary information.</p> <p><b>(iii) Business Proprietary/APO Version--May Be Released Under APO.</b> In the event that a business proprietary document contains both single- and double-bracketed business proprietary information, the submitting person must submit a version of the document with the double-bracketed business proprietary information omitted. This version must contain the single-bracketed business proprietary information that the submitter agrees to release under APO. This</p>

	<p>statement "May Be Released Under APO" in accordance with the requirements under paragraph (d)(2)(v) of this section.</p> <p><b>(iv) Public Version.</b> The public version excludes all business proprietary information, whether single- or double-bracketed. Specific filing requirements for public version submissions are discussed in Sec. 351.304(c).</p> <p><b>(v) Public Document.</b> The public document contains only public information. There is no corresponding business proprietary document for a public document.</p>
<p>The one-day lag rule may not be invoked for the filing of a petition, an amendment to a petition, and any other submission filed prior to the initiation of an investigation.</p> <p>Business proprietary data files/databases must be releasable under APO. Public version data files/databases must be publicly summarized and indexed/ranged. Public version data files/databases must be submitted in a pdf format.</p>	<p><b>(c) Filing of business proprietary documents and public versions under the one-day lag rule; information in double brackets.</b></p> <p><b>(1) In general.</b> If a submission contains information for which the submitter claims business proprietary treatment, the submitter may elect to file the submission under the one-day lag rule described in paragraph (c)(2) of this section. A petition, an amendment to a petition, and any other submission filed prior to the initiation of an investigation shall not be filed under the one-day lag rule. The business proprietary document and public version of such pre-initiation submissions must be filed simultaneously on the same day.</p> <p><b>(2) Application of the one-day lag rule--(i) Filing the business proprietary document.</b> A person must file a business proprietary document with the Department within the applicable time limit.</p> <p><b>(ii) Filing of final business proprietary document; bracketing corrections.</b> By the close of business one business day after the date the business proprietary document is filed under paragraph (c)(2)(i) of this section, a person must file the complete final business proprietary document with the Department. The final business proprietary document must be identical in all respects to the business proprietary document filed on the previous day except for any bracketing corrections and the omission of the warning "Bracketing of Business Proprietary Information Is Not Final for One Business Day After Date of Filing" in accordance with paragraph (d)(2)(v) of this section.</p> <p><b>(iii) Filing the public version.</b> Simultaneously with the filing of the final business proprietary document under paragraph (c)(2)(ii) of this section, a person also must file the public version of such document (see Sec. 351.304(c)) with the Department.</p> <p><b>(iv) Information in double brackets.</b> If a person serves authorized applicants with a business proprietary/APO version of a document that excludes information in double brackets pursuant to Sec. 351.303(b)(4)(iii) and 351.304(b)(2), the person simultaneously must file with the Department the complete business proprietary/APO version of the document from which</p>

**(3) Sales files, cost of production files and other electronic databases.** When a submission includes sales files, cost of production files or other electronic databases, such electronic databases must be filed electronically in accordance with paragraph (b)(2) of this section. If a submitter must file the database manually pursuant to Sec. 351.303(b)(2)(ii)(A), the submitter must file such information on the computer medium specified by the Department's request for such information. The submitter need not accompany the computer medium with a paper printout. All electronic database information must be releasable under APO (see Sec. 351.305). A submitter need not include brackets in an electronic database containing business proprietary information. The submitter's selection of the security classification "Business Proprietary Document--May Be Released Under APO" at the time of filing indicates the submitter's request for business proprietary treatment of the information contained in the database. Where possible, the submitter must insert headers or footers requesting business proprietary treatment of the information on the databases for printing purposes. A submitter must submit a public version of a database in pdf format. The public version of the database must be publicly summarized and ranged in accordance with Sec. 351.304(c).

**(d) Format of submissions--(1) In general.** Unless the Secretary alters the requirements of this section, a document filed with the Department must conform to the specification and marking requirements under paragraph (d)(2) of this section or the Secretary may reject such document in accordance with Sec. 351.104(a).

**(2) Specifications and markings.** If a document is filed manually, it must be on letter-size (8½ x 11 inch) paper, single-sided and double-spaced, bound with a paper clip, butterfly/binder clip, or rubber band. The filing of stapled, spiral, velo, or other type of solid binding is not permitted. In accordance with paragraph (b)(3) of this section, a cover sheet must be placed before the first page of the document. Electronically filed documents must be formatted to print on letter-size (8½ x 11 inch) paper and double-spaced. Spreadsheets, unusually sized exhibits, and databases are best utilized in their original printing format and should not be reformatted for submission. A submitter must mark the first page of each document in the upper right-hand corner with the following information in the following format:

**(i) On the first line,** except for a petition, indicate the Department case number;

**(ii) On the second line,** indicate the total number of pages in the document including cover pages, appendices, and any unnumbered pages;

**(iii) On the third line,** indicate the specific segment of the proceeding, (e.g., investigation, administrative review, scope inquiry, suspension agreement, etc.) and, if applicable, indicate the complete period of review (MM/DD/YY-MM/DD/YY);

**(iv) On the fourth line,** except for a petition, indicate the Department office conducting the

This "cluster" of information must be visible on the top or cover page of the document, and the information given must refer to the content of the **entire** document.

See attached **sample cluster** as used on a letter.

	<p><b>(v) On the fifth and subsequent lines</b>, indicate whether any portion of the document contains business proprietary information and, if so, list the applicable page numbers and state either: "Business Proprietary Document--May Be Released Under APO," "Business Proprietary Document--May Not Be Released Under APO," or "Business Proprietary/APO Version--May Be Released Under APO," as applicable, and consistent with Sec. 351.303(b)(4). Indicate "Business Proprietary Treatment Requested" on the top of each page containing business proprietary information. In addition, include the warning "Bracketing of Business Proprietary Information Is Not Final for One Business Day After Date of Filing" on the top of each page containing business proprietary information in the business proprietary document filed under paragraph (c)(2)(i) of this section (one-day lag rule). Do not include this warning in the final business proprietary document filed on the next business day under paragraph (c)(2)(ii) of this section (see Sec. 351.303(c)(2) and Sec. 351.304(c)); and</p> <p><b>(vi) For the public version of a business proprietary document</b> required under Sec. 351.304(c), complete the marking as required in paragraphs (d)(2)(i)-(v) of this section for the business proprietary document, but conspicuously mark the first page "Public Version."</p> <p><b>(vii) For a public document</b>, complete the marking as required in paragraphs (d)(2)(i)-(v) of this section for the business proprietary document or version, as applicable, but conspicuously mark the first page "Public Document."</p>
	<p><b>(e) Translation to English.</b> A document submitted in a foreign language must be accompanied by an English translation of the entire document or of only pertinent portions, where appropriate, unless the Secretary waives this requirement for an individual document. A party must obtain the Department's approval for submission of an English translation of only portions of a document prior to submission to the Department.</p>
	<p><b>(f) Service of copies on other persons.</b></p> <p><b>(1)(i) In general.</b> Generally, a person filing a document with the Department simultaneously must serve a copy of the document on all other persons on the service list. Except as provided in § 351.202(c) (filing of petition), § 351.208(f)(1) (submission of proposed suspension agreement) and paragraph (f)(2) of this section:</p> <p><b>(i)</b> Service of a public document or public version of a business proprietary document is effectuated on the persons on the public service list upon the electronic filing of the submission in ACCESS, unless it is filed manually in accordance with paragraph (b)(2) of this section, or ACCESS is unavailable. If a submission is filed manually or ACCESS is unavailable, paragraph</p>

**(ii)(A)** Service of a business proprietary document is effectuated on the persons on the APO service list upon the electronic filing of the submission in ACCESS, unless it is filed manually in accordance with paragraph (b)(2) of this section, or ACCESS is unavailable. If a submission is filed manually or ACCESS is unavailable, paragraph (f)(1)(iii) of this section is applicable. In addition, a business proprietary document submitted under the one-day lag rule under paragraph (c)(2)(i) of this section must be served in accordance with paragraph (f)(1)(iii) of this section.

**(B)** If the document contains the business proprietary information of a person who is not included on the APO service list, then service of such documents on that person cannot be effectuated on ACCESS and the submitter must serve that person its own business proprietary information in accordance with paragraph (f)(1)(iii) of this section. In addition, specific service requirements under § 351.306(c)(2) are applicable.

**(iii):** If service of a public document, public version of a business proprietary document, or a business proprietary document cannot be effectuated on ACCESS, the submitter must serve the recipient by electronic transmission. Generally, a business proprietary document must be served by secure electronic transmission. If the submitter is not able to use such a method, it may use an acceptable alternative method of service, including personal service, first-class mail, or electronic mail. Electronic mail may only be used as an acceptable alternative method of service for a business proprietary document under paragraph (f)(1)(ii)(B) of this section if the business proprietary document contains the business proprietary information of either the submitter or the recipient, with the consent of the recipient.

**(2) Service requirements for certain documents—(i) Request for review.** In addition to the certificate of service requirements under paragraph (f)(3) of this section, an interested party that files with the Department a request for an expedited antidumping review, an administrative review, a new shipper review, or a changed circumstances review must serve a copy of the request on each exporter or producer specified in the request and on the petitioner by the end of the anniversary month or within ten days of filing the request for review, whichever is later. Service may be made by an electronic transmission method if the interested party that files the request has an electronic mail address for the recipient; otherwise, service must be made by personal service or first-class mail. If the interested party that files the request is unable to locate a particular exporter or producer, or the petitioner, the Secretary may accept the request for review if the Secretary is satisfied that the party made a reasonable attempt to serve a copy of the request on such person.

**(ii) Scope and circumvention.** In addition to the certificate of service requirements under paragraph (f)(3) of this section, an interested party that files with the Department a scope ruling application or a request for a circumvention inquiry must serve a copy of the request on all

351.226(n), respectively.

**(3) Certificate of service.** Each document filed with the Department must include a certificate of service listing each person served (including agents), the type of document served, and the date and method of service on each person. The Secretary may refuse to accept any document that is not accompanied by a certificate of service.

**(g) Certifications.** Each submission containing factual information must include the following certification from the person identified in paragraph (g)(1) of this section and, in addition, if the person has legal counsel or another representative, the certification in paragraph (g)(2) of this section. The certifying party must maintain the original signed certification for a period of five years from the date of filing the submission to which the certification pertains. The original signed certification must be available for inspection by U.S. Department of Commerce officials. Copies of the certifications must be included in the submission filed at the Department.

**(1)** For the person(s) officially responsible for presentation of the factual information:

**(i) COMPANY CERTIFICATION \***

I, **(PRINTED NAME AND TITLE)**, currently employed by **(COMPANY NAME)**, certify that I prepared or otherwise supervised the preparation of the attached submission of **(IDENTIFY THE SPECIFIC SUBMISSION BY TITLE)** due on **(DATE)** OR filed on **(DATE)** pursuant to the **(INSERT ONE OF THE FOLLOWING OPTIONS IN { } : {THE (ANTIDUMPING OR COUNTERVAILING) DUTY INVESTIGATION OF (PRODUCT) FROM (COUNTRY) (CASE NUMBER)}** or **{THE (DATES OF PERIOD OF REVIEW) (ADMINISTRATIVE OR NEW SHIPPER) REVIEW UNDER THE (ANTIDUMPING OR COUNTERVAILING) DUTY ORDER ON (PRODUCT) FROM (COUNTRY) (CASE NUMBER)}** or **{THE (SUNSET REVIEW OR CHANGED CIRCUMSTANCE REVIEW OR SCOPE RULING OR CIRCUMVENTION INQUIRY) OF THE (ANTIDUMPING OR COUNTERVAILING) DUTY ORDER ON (PRODUCT) FROM (COUNTRY) (CASE NUMBER)}**). I certify that the public information and any business proprietary information of **(CERTIFIER'S COMPANY NAME)** contained in this submission is accurate and complete to the best of my knowledge. I am aware that the information contained in this submission may be subject to verification or corroboration (as appropriate) by the U.S. Department of Commerce. I am also aware that U.S. law (including, but not limited to, 18 U.S.C. 1001) imposes criminal sanctions on individuals who knowingly and willfully make material false statements to the U.S. Government. In addition, I am aware that, even if this submission may be withdrawn from the record of the AD/CVD proceeding, the U.S. Department of Commerce may preserve this submission, including a business proprietary submission, for purposes of determining the accuracy of this certification. I certify that a copy of this signed certification will be filed with this submission to the U.S. Department of Commerce.

**Date:** \_\_\_\_\_

\* For multiple person certifications, all persons should be listed in the first sentence of the certification and all persons should sign and date the certification. In addition, singular pronouns and possessive adjectives should be changed accordingly, e.g., "I" should be changed to "we" and "my knowledge" should be changed to "our knowledge."

**(ii) GOVERNMENT CERTIFICATION \*\***

I, **(PRINTED NAME AND TITLE)**, currently employed by the government of **(COUNTRY)**, certify that I prepared or otherwise supervised the preparation of the attached submission of **(IDENTIFY THE SPECIFIC SUBMISSION BY TITLE) due on (DATE) OR filed on (DATE)** pursuant to the **(INSERT ONE OF THE FOLLOWING OPTIONS IN { } : {THE (ANTIDUMPING OR COUNTERVAILING) DUTY INVESTIGATION OF (PRODUCT) FROM (COUNTRY) (CASE NUMBER)} or {THE (DATES OF PERIOD OF REVIEW) (ADMINISTRATIVE OR NEW SHIPPER) REVIEW UNDER THE (ANTIDUMPING OR COUNTERVAILING) DUTY ORDER ON (PRODUCT) FROM (COUNTRY) (CASE NUMBER)} or {THE (SUNSET REVIEW OR CHANGED CIRCUMSTANCE REVIEW OR SCOPE RULING OR CIRCUMVENTION INQUIRY) OF THE (ANTIDUMPING OR COUNTERVAILING) DUTY ORDER ON (PRODUCT) FROM (COUNTRY) (CASE NUMBER)})}**. I certify that the public information and any business proprietary information of the government of **(COUNTRY)** contained in this submission is accurate and complete to the best of my knowledge. I am aware that the information contained in this submission may be subject to verification or corroboration (as appropriate) by the U.S. Department of Commerce. In addition, I am aware that, even if this submission may be withdrawn from the record of the AD/CVD proceeding, the U.S. Department of Commerce may preserve this submission, including a business proprietary submission, for purposes of determining the accuracy of this certification. I certify that a copy of this signed certification will be filed with this submission to the U.S. Department of Commerce.

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

\*\* For multiple person certifications, all persons should be listed in the first sentence of the certification and all persons should sign and date the certification. In addition, singular pronouns and possessive adjectives should be changed accordingly, e.g., "I" should be changed to "we" and "my knowledge" should be changed to "our knowledge."

(2) For the legal counsel or other representative:

**REPRESENTATIVE CERTIFICATION \*\*\***

I, (PRINTED NAME), with (LAW FIRM or OTHER FIRM), (INSERT ONE OF THE FOLLOWING OPTIONS IN { }: {COUNSEL TO} or {REPRESENTATIVE OF}) (COMPANY NAME, OR GOVERNMENT OF COUNTRY, OR NAME OF ANOTHER PARTY), certify that I have read the attached submission of (IDENTIFY THE SPECIFIC SUBMISSION BY TITLE) due on (DATE) OR filed on (DATE) pursuant to the (INSERT ONE OF THE FOLLOWING OPTIONS IN { }: {THE (ANTIDUMPING OR COUNTERVAILING DUTY) INVESTIGATION OF (PRODUCT) FROM (COUNTRY) (CASE NUMBER)} or {THE (DATES OF PERIOD OF REVIEW) (ADMINISTRATIVE OR NEW SHIPPER) REVIEW UNDER THE (ANTIDUMPING OR COUNTERVAILING) DUTY ORDER ON (PRODUCT) FROM (COUNTRY) (CASE NUMBER)} or {THE (SUNSET REVIEW OR CHANGED CIRCUMSTANCE REVIEW OR SCOPE RULING OR CIRCUMVENTION INQUIRY) OF THE (ANTIDUMPING OR COUNTERVAILING) DUTY ORDER ON (PRODUCT) FROM (COUNTRY) (CASE NUMBER)}). In my capacity as (INSERT ONE OF THE FOLLOWING OPTIONS IN { }: {COUNSEL} or {ADVISER, PREPARER, OR REVIEWER}) of this submission, I certify that the information contained in this submission is accurate and complete to the best of my knowledge. I am aware that U.S. law (including, but not limited to, 18 U.S.C. 1001) imposes criminal sanctions on individuals who knowingly and willfully make material false statements to the U.S. Government. In addition, I am aware that, even if this submission may be withdrawn from the record of the AD/CVD proceeding, the U.S. Department of Commerce may preserve this submission, including a business proprietary submission, for purposes of determining the accuracy of this certification. I certify that a copy of this signed certification will be filed with this submission to the U.S. Department of Commerce.

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

\*\*\* For multiple representative certifications, all representatives and their firms should be listed in the first sentence of the certification and all representatives should sign and date the certification. In addition, singular pronouns and possessive adjectives should be changed accordingly, e.g., "I" should be changed to "we" and "my knowledge" should be changed to "our knowledge."

(This is for the "cluster" hyperlink, mentioned above)

\*\*\* SAMPLE \*\*\*

Jones, Smith & Anderson  
Attorneys and Counselors at Law  
1234 5th Street, NW  
Washington DC, 20000  
Tel: (202)555-0000  
Fax: (202)555-5555

Case No. A-542-100  
Total Pages 47

You must state the segment of the proceeding that the document is for, i.e. investigation, scope inquiry, administrative review, etc. If it is for a review, provide the inclusive dates in month/day/year format. Provide the corresponding section number.
Indicate the Department office conducting the proceeding.
Indicate the page numbers where business proprietary information appears. For a public version, indicate the page numbers where the business proprietary information has been deleted.  If the document is public in its entirety, state "Public Document" and omit the remaining markings.
When using the term "Public Version" note that it is used only for public versions of proprietary documents and not for public documents in general.



Admin Review 05/01/2014 - 04/30/2015



AD/CVD Enforcement Office II



**BUSINESS PROPRIETARY** Info  
on pages 5-8, 12, 25 & 27-34



**Business Proprietary Document—**  
**May Be Released Under APO**

May 13, 2023

Secretary of Commerce  
Attention: Enforcement & Compliance  
APO/Dockets Unit, Room 18022  
U.S. Department of Commerce  
14th Street and Constitution Avenue, NW  
Washington, DC 20230

**Re: Widgets from Ceylon**

Dear Mr. Secretary:

On behalf of World of Widgets (WOW), we hereby submit an our client's response to Sections C and D of the Department of Commerce's (the Department) March 13, 2015 antidumping duty questionnaire.

This submission is timely pursuant to the Department's letter to WOW counsel,