

NORTH AMERICAN FREE TRADE AGREEMENT
CERTIFICATE OF ORIGIN INSTRUCTIONS
(Same as appears on back of NAFTA Certificate of Origin)

For purposes of obtaining preferential tariff treatment, this document must be completed legibly and in full by the exporter and be in the possession of the importer at the time the declaration is made. This document may also be completed voluntarily by the producer for use by the exporter. Please print or type:

- Field 1: State the full legal name, address (including country) and legal tax identification number of the exporter. Legal tax identification number is: in Canada, employer number or importer/exporter number assigned by Revenue Canada; in Mexico, federal taxpayer's registry number (RFC); and in the United States, employer's identification number Social Security Number.
- Field 2: Complete field if the Certificate covers multiple shipments of identical goods as described in Field #5 that are imported into a NAFTA country for a specified period of up to one year (blanket period). "FROM" is the date upon which the Certificate becomes applicable to the good covered by the blanket period Certificate (it may be prior to the date of signing this Certificate). "TO" is the date upon which the blanket period expires. The importation of a good for which preferential tariff treatment is claimed based on this Certificate must occur between these dates.
- Field 3: State the full legal name, address (including country) and legal tax identification number, as defined in Field #1, of the producer. If more than one producer's good is included on the Certificate, attach a list of the additional producers, including the legal name, address (including country) and legal tax identification number, cross referenced to the good described in Field #5. If you wish this information to be confidential, it is acceptable to state "Available to Customs upon request". If the producer and the exporter are the same, complete field with "same". If the producer is unknown, it is acceptable to state "unknown".
- Field 4: State the full name, address (including country) and legal tax identification number, as defined in Field #1, of the importer. If the importer is not known, state "unknown"; if multiple importers, state "various".
- Field 5: Provide a full description of each good. The description should be sufficient to relate it to the invoice description and to the Harmonized System (H.S.) Description of the good. If the Certificate covers a single shipment of a good, include the invoice number as shown on the commercial invoice. If not known, indicate another unique reference number, such as the shipping order number.
- Field 6: For each good described in Field #5, identify the H.S. tariff classification to six digits. If the good is subject to a specific rule of origin in Annex 401 that requires eight digits, identify to eight digits, using the H.S. tariff classification of the country into whose territory the good is imported.
- Field 7: For each good described in Field #5, state criterion (A through F) is applicable. The rules of origin are contained in Chapter Four and Annex 401. Additional rules are described in Annex 703.2 (certain agricultural goods), Annex 300-B, Appendix 6 (certain textile goods) and Annex 308.1 (certain automatic data processing goods and their parts).
Note: In order to be entitled preferential tariff treatment, each good must meet at least one of the criterion below.

Preferential Criteria

- A. The good is "wholly obtained or produced entirely" in the territory of one or more of the NAFTA countries, as referred to in Article 415. Note: The purchase of a good in the territory does not necessarily render it "wholly obtained or produced". If the good is an agricultural good, refer to criterion F. (See also Article 401 (a) and 415)
- B. The good is produced in the territory of one or more of the NAFTA countries and satisfies the specific rule of origin, set out in Annex 401, that applies to its tariff classification. The rule may include a tariff classification change, regional value-content requirement or a combination thereof. The good must also satisfy all other applicable requirements of Chapter Four. If the good is an agricultural good, refer to criterion F. (See also Article 401 (b)).

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- C. The good is produced entirely in the territory of one or more of the NAFTA countries exclusively from originating materials. Under this criterion, one or more of the materials may not fall within the definition of “wholly produced or obtained”, as set out in Article 415. All materials used in the production of the good must qualify as “originating” by meeting the rules of Article 401 (a) through (d). If the good is an agricultural good, refer to criterion F. (See also: Article 401 (c)).
- D. Goods are produced in the territory of one or more of the NAFTA countries but do not meet the applicable rule of origin, set out in Annex 401, because certain non-originating materials do not undergo the required change in tariff classification. The good does nonetheless meet the regional value-content requirement in the applicable rule. This criterion is limited to the following two circumstances:
1. The good was imported into the territory of a NAFTA country in an unassembled or disassembled form but was classified as an assembled good, pursuant to H.S. General Rule of Interpretation 2 (a); or
 2. The good incorporated one or more non-originating materials, provided for as parts under the H.S., which could not undergo a change in tariff classification because the heading provided for both the good and its parts was not further subdivided into subheadings, or the subheading provided for both the good and its parts was not further subdivided.
This criterion does not apply to Chapter 61 through 63 of the H.S. (See also: Article 401 (d))
- E. Certain automatic date processing goods and their parts, specified in Annex 308.1, that do not originate in the territory are considered upon importation into the territory of a NAFTA country from the territory of another NAFTA country when the most-favored-nation tariff rate of the good conforms to the rate established in Annex 308.1 and is common to all NAFTA countries (See also: Annex 308.1)
- F. For an agricultural good which originates under A, B, or C above and which is also a “qualifying good” as set out in Annex 703.2, indicate whether F-1 or F-2 applies. (Note: This criterion does not apply to goods which originate in either the United States or Canada and which are traded between these two countries):
1. The good is exempt from quantitative restrictions in the importing country because it is a qualifying good under Annex 703.2, Section A or B. Indicate the specific section (F1-A of F1-B) which applies (Note: Tariff rate quotas are not quantitative restrictions); or
 2. The good is a qualifying good under Annex 703.2, Section B, and is a dairy, poultry, or egg good listed in Annex 703.2. B.7. These goods may be subjected to quantitative restriction and a MFN rate of duty.
- Field 8: For each good described in Field #5, state “YES” if you are the producer of the good. If you are not the producer of the good, state “NO” followed by (1), (2), or (3), depending on whether this certificate was based upon: (1) your knowledge of whether the good qualified as an originating good; (2) your reliance on the producer’s written representation (other than a Certificate of Origin) that the good qualified as an originating good; or (3) a completed and signed Certificate for the good, voluntarily provided to the exporter by the producer.
- Field 9: This field applied to automotive goods as described in Article 403 and Annex 403.1 and 403.2. If you are averaging the regional value-content, state “YES”. If you do not choose to average, state “NO”.

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Field 10: Identify the name of the country (“MX” or “US” for agricultural and textile goods exported to Canada; “US” or “CA” for all goods exported to Mexico; or “CA” or “MX” for all goods exported to the United States) to which the preferential rate of duty applies, in accordance with the Making Rules, set out in Annex 302.2 or in each party’s schedule of tariff elimination.

For all other originating goods exported to Canada, indicate appropriately “MX” or “US” if the goods originate in that NAFTA country, within the meaning of the NAFTA Rules of Origin Regulations, and any subsequent processing in the other NAFTA country does not increase the transaction value of the goods by more than seven percent; otherwise indicate “JNT” for joint production. (See also; Annex 302.2)

Field 11: This field must be completed, signed and dated by the exporter. When the Certificate is completed by the producer for use by the exporter, it must be completed, signed and dated by the producer. The date must be the date the Certificate was completed and signed.

Field 12: Provide the non-originating material value included in the product, as defined in Chapter 4 of the NAFTA, Article 403 (1). Provide the currency for the traced value amount (i.e., USD, MXP, CAN) next to the corresponding traced value. This amount should be provided even if the item does not qualify for NAFTA.

PAPERWORK REDUCTION ACT NOTICE: This information is needed to carry out the terms of the North American Free Trade Agreement (NAFTA). NAFTA requires that, upon request, an importer must provide Customs with proof of the exporter’s written certification of the origin of the goods. The certification is essential to substantiate compliance with the rules of origin under the Agreement. You are required to give us this information to obtain a benefit.

Statement Required by 5 CFR 1320.21: The estimated average burden associated with this collection of information is 15 minutes per respondent or recordkeeper depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to U.S. Customs Service, Paperwork Management Branch, Washington DC 20229, and to the Office of Management and Budget, Paperwork Reduction Project. (1515-0207, Washington DC 20503.