

Introduction to the NCBFAA's ***NEW*** Shipper's Letter of Instruction *Model*



Presented by:
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National Customs Brokers and Forwarders Association of America, Inc.
Export Compliance Sub-Committee
February 26, 2014

*NCBFAA has created a new SLI **model** to assist forwarders and exporters in creating or modifying their SLI forms.*

Today's agenda:

- Purpose of an SLI
- Reasons a new SLI form is needed
- Highlight key components of the new model
- Q&A about the form and how it can be used

A decorative banner at the top and bottom of the slide. The banner is dark blue with a red border. It features a map of the United States and a compass rose. The text "UNITED STATES" is visible on the left side of the banner, and "DEPARTMENT OF" is visible on the right side.

The Shipper's Letter of Instruction ("SLI")

The SLI

Multi-purpose document

- Collect/provide data for reporting Electronic Export Information (“EEI”)
- Authorize forwarder to transmit to the Automated Export System (“AES”)
- Provide information and instructions for documentation and billing
- Provide transportation instructions
- Give forwarder consent to screen
- Provide terms and conditions to the forwarder



*Consent to
Screen*

Shipper instructions

We acknowledge that many shippers provide information on their system generated commercial documentation and/or SLIs, and some may even be providing the information electronically.

Allowed (for export compliance purposes) as long as:

- The forwarder has been authorized to transmit to AES.
- All of the required information is provided in writing.

Many forwarders may ask for SLIs for purposes other than export reporting.

Why forwarders prefer SLIs

Consistently formatted information

- Shippers consolidate their own information
 - Grouping Schedule Bs, ECCNs, License Authority, D/F

All instructions and data on a single document

- More efficient processing
- No searching through a wide variety of documents to find the data elements
 - Some shipper commercial documents are challenging multi-page, multiple/repetitive Schedule B documents

Allows for more accurate AES reporting

Record keeping - provides back-up to the EEI filing

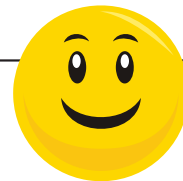


Guiding less experienced shippers

Forwarders also handle shipments for many shippers who are less educated on export control requirements and who do not have a standard means of providing the information.

- Some use a copy or a version of the old 7525-V (old SED form)
- Many need guidance on the requirements

And yes, there are also still some forwarders using SLI forms modeled after the old SED form.



U.S. DEPARTMENT OF COMMERCE — U.S. TRADE DEVELOPMENT CORPORATION — BUREAU OF EXPORT ADMINISTRATION
Form 7525-V (03/2009) SHIPPER'S EXPORT DECLARATION (SEE INSTRUCTIONS)

1. U.S. FEDERAL PARTY TO EXPORT (SHIPPER) Complete name and address:		2. DATE OF EXPORTATION	3. EXPORTATION REFERENCE NO.
4. EXPORTER (EPC) OR EPC NO.	5. PARTIES TO TRANSACTION (1) Buyer (2) Seller		
6. ULTIMATE CONSIGNEE Complete name and address:			
7. INTERMEDIATE CONSIGNEE Complete name and address:			
8. FORWARDING AGENT Complete name and address:			
9. COUNTRY OF ORIGIN OF ITEM NO.		10. COUNTRY OF ULTIMATE DESTINATION	
11. COMMODITY CODE		12. CURRENT IDENTIFICATION CODE	
13. EXPORTING CARRIER		14. SHIPMENT REFERENCE NO.	
15. VESSEL		16. INDIAGNIFIC MATERIALS E1 Yes E2 No	
17. PORT OF ORIGIN (Ocean and air only)		18. RECEIVED EXPORT TRANSACTIONS E1 Yes E2 No	
19. COMMODITIES (See instructions)		20. HS BOND CODE	

21. SCHEDULE B DESCRIPTION OF COMMODITIES (See instructions)				
QUANTITY	SCHEDULE B NUMBER	QUANTITY	SHIPPING METHOD	UNAPPROVED NUMBER
(1)	(2)	(3)	(4)	(5)

22. LICENSE NO. LICENSE EXCEPTION SYMBOL AUTHORIZATION

23. ECCN (Other required)

24. Any additional info for shipper

25. U.S. DEPARTMENT OF COMMERCE, BUREAU OF EXPORT ADMINISTRATION, 1400 K STREET, N.W., WASHINGTON, DC 20540

26. Licensee must provide all information requested herein and sign and stamp and date. Licensee must also provide a copy of this declaration to the consignee and the carrier. Licensee must also provide a copy of this declaration to the consignee and the carrier. Licensee must also provide a copy of this declaration to the consignee and the carrier.

27. Signature

28. Date

29. Title

30. Address

31. Contact information

32. Other information

This form has been prepared by United States Customs and Border Protection, U.S. Department of Homeland Security, Bureau of Customs and Border Protection, Office of Trade Facilitation, Washington, DC 20540, and is not to be used for any other purpose. The "Shipment Way to Bill for the Shipper's Export Declaration" is available from the U.S. Customs and Border Protection, Office of Trade Facilitation, Washington, DC 20540.

The old "7525-V" SED form

This format has been inadequate for a long time.

U.S. DEPARTMENT OF COMMERCE – Economics and Statistics Administration – U.S. CENSUS BUREAU – BUREAU OF EXPORT ADMINISTRATION

FORM **7525-V** (7-18-2003) **SHIPPER'S EXPORT DECLARATION** OMB No. 0607-0152

1a. U.S. PRINCIPAL PARTY IN INTEREST (USPPI) (Complete name and address)			
		ZIP CODE	2. DATE OF EXPORTATION
b. USPPI'S EIN (IRS) OR ID NO.		3. TRANSPORTATION REFERENCE NO.	
c. PARTIES TO TRANSACTION			
<input type="checkbox"/> Related <input type="checkbox"/> Non-related			
4a. ULTIMATE CONSIGNEE (Complete name and address)			
b. INTERMEDIATE CONSIGNEE (Complete name and address)			
5a. FORWARDING AGENT (Complete name and address)			
5b. FORWARDING AGENT'S EIN (IRS) NO.		6. POINT (STATE) OF ORIGIN OR FTZ NO.	7. COUNTRY OF ULTIMATE DESTINATION
8. LOADING PIER (Vessel only)	9. METHOD OF TRANSPORTATION (Specify)	14. CARRIER IDENTIFICATION CODE	15. SHIPMENT REFERENCE NO.
10. EXPORTING CARRIER	11. PORT OF EXPORT	16. ENTRY NUMBER	17. HAZARDOUS MATERIALS
			<input type="checkbox"/> Yes <input type="checkbox"/> No

The old "7525-V" SED form

Not enough columns to provide required information

Does not have all of the fields

Does not allow for line-item reporting of critical licensing information

12. PORT OF UNLOADING (Vessel and air only)		13. CONTAINERIZED (Vessel only) <input type="checkbox"/> Yes <input type="checkbox"/> No		18. IN BOND CODE		19. ROUTED EXPORT TRANSACTION <input type="checkbox"/> Yes <input type="checkbox"/> No		
20. SCHEDULE B DESCRIPTION OF COMMODITIES (Use columns 22-24)						VIN/PRODUCT NUMBER/ VEHICLE TITLE NUMBER		VALUE (U.S. dollars, omit cents) (Selling price or cost if not sold)
D/F or M (21)	SCHEDULE B NUMBER (22)	QUANTITY - SCHEDULE B UNIT(S) (23)	SHIPPING WEIGHT (Kilograms) (24)	(25)		(26)		
<div style="border: 1px solid blue; padding: 5px; display: inline-block;"> <p>May need to be able to report on a line item basis.</p> </div>								
27. LICENSE NO./LICENSE EXCEPTION SYMBOL/AUTHORIZATION				28. ECCN (When required)				
29. Duly authorized officer or employee				The USPPI authorizes the forwarder named above to act as forwarding agent for export control and customs purposes.				
30. I certify that all statements made and all information contained herein are true and correct and that I have read and understand the instructions for preparation of this document, set forth in the "Correct Way to Fill Out the Shipper's Export Declaration." I understand that civil and criminal penalties, including forfeiture and								

Clear fields 1 to 19

Clear Fields 20 to 26

New SLI Model

Why create a new format?

Fields on many SLI documents don't cover current regulatory requirements

- Inconsistent and/or incomplete information is being provided
- Some forwarder's forms have not yet been modified to accommodate line item reporting of ECCN classification and license authority.
- Revised FTR effective April 5 includes reporting requirements for two new fields: Ultimate Consignee Type and License Value
 - AES will begin accepting the new data elements on March 22

To provide exporters with guidance on the filing requirements

Our intention

To provide a regulatory compliant “model” that forwarders and exporters can use to create or re-design their own company specific document

To include the fields that will allow the forwarder to collect the required regulatory information AND to provide guidance to the USPPI on the filing requirements

To drive consistency in the way that data is provided

Our focus

We focused on the regulatory compliance data fields

We did not include any of the transportation or instruction fields:

- Prepaid / Collect
- Insurance
- Mode of Transport: Air / Ocean / Rail / Truck
- Consent to Screen
- Incoterms®
- ... and others

We found that these fields varied quite a bit from company to company.

- When you create your company specific document, you should include the fields that are customary for your company.

A decorative banner at the top and bottom of the slide. The banner is dark blue with a red border. It features a map of the United States and the text "STATES OF AMERICA" in a stylized font.

Features of the *New* SLI Model



It's a bit different...

There is more information on it than you're probably used to seeing.

It may seem "busy" -- it contains several additional required fields.

It may take some time to get used to it...



Portrait Model

SHIPPER'S LETTER OF INSTRUCTIONS (SLI)									
1. USPPI Name:		3. Freight Location Company Name:			5. Forwarding Agent:				
2. USPPI Address Including Zip Code:		4. Freight Location Address (if not box #2):							
6. USPPI EIN (IRS) No.:		7. Related Party Indicator (select one):			<input type="checkbox"/> Related <input type="checkbox"/> Non-Related				
8. USPPI Reference#:		9. Routed Export Transaction (select one):							
10. Ultimate Consignee Name & Address:		11. Ultimate Consignee Type (select one):			12. Intermediate Consignee Name & Address:				
		<input type="checkbox"/> Direct Consumer <input type="checkbox"/> Government Entity <input type="checkbox"/> Reseller <input type="checkbox"/> Other/Unknown							
13. State of Origin:		16. In-Bond Code:			19. TIB / Carnet?				
14. Country of Ultimate Destination:		17. Entry Number:			<input type="checkbox"/> Yes				
15. Hazardous Material:		<input type="checkbox"/> Yes <input type="checkbox"/> No			18. FTZ Identifier:			<input type="checkbox"/> No	
INSTRUCTIONS TO FORWARDER:									
20. Domestic or Foreign (D/F)	21. Schedule B / HTS Number and Commercial Commodity Description For Vehicles: VIN/Year, Make, Model and Vehicle Title Number are required	22. Quantity in Schedule B / HTS Units	23. DDTC Quantity and DDTC Unit of Measure	24. Shipping Weight (in Kilos)	25. ECCN, EAR99 or USML Category No.	26. S E (Y/ N)	27. Export License No., License Exception Symbol, DDTC Exemption No., or NLR	28. Value at the Port of Export (US Dollars)	29. License Value by Item (if applicable) (US Dollars)
30. DDTC Applicant Registration Number:		31. Eligible Party Certification:			<input type="checkbox"/> Yes <input type="checkbox"/> No				
32. <input type="checkbox"/> Check here if there are any remaining non-licensable Schedule B / HTS Numbers that are valued \$2500.00 or less and that do not otherwise require AES filing.									
33. <input type="checkbox"/> Check here if the USPPI authorizes the above named forwarder to act as its true and lawful agent for purposes of preparing and filing the Electronic Export Information ("EEI") in accordance with the laws and regulations of the United States.									
34. I certify that the statements made and all information contained herein are true and correct. I understand that civil and criminal penalties, including forfeiture and sale, may be imposed for making false and fraudulent statements herein., failing to provide the requested information or for violation of U.S. laws on exportation (13 U.S.C. Sec. 305; 22 U.S.C. Sec. 401, 18 U.S.C. Sec 1001, 50 U.S.C. app. 2410).									
35. USPPI E-mail Address:		36. USPPI Telephone No.:							
37. Printed Name of Duly authorized officer or employee:									
38. Signature:		39. Title:			40. Date:				
41. <input type="checkbox"/> Check here to validate Electronic Signature. Electronic signatures must be typed in all capital letters in Box 38 in order to be valid.									

Landscape Model

SHIPPER'S LETTER OF INSTRUCTIONS (SLI)									
1. USPPI Name:		3. Freight Location Company Name:			5. Forwarding Agent:				
2. USPPI Address Including Zip Code:		4. Freight Location Address (if different from box #2):							
6. Ultimate Consignee Name and Address:		7. Ultimate Consignee Type:			8. Intermediate Consignee Name & Address:				
		Select one: <input type="checkbox"/> Direct Consumer <input type="checkbox"/> Government Entity <input type="checkbox"/> Reseller <input type="checkbox"/> Other/Unknown							
9. USPPI EIN (IRS) Number:		13. State of Origin:			16. In-Bond Code:				
10. USPPI Reference#:		14. Country of Ultimate Destination:			17. Entry Number:				
11. Routed Transaction:		<input type="checkbox"/> Yes <input type="checkbox"/> No			15. Hazardous Material:			<input type="checkbox"/> Yes <input type="checkbox"/> No	
12. Related Party Indicator:		<input type="checkbox"/> Related <input type="checkbox"/> Non-Related			Reserved for Future Use			19. TIB / Carnet? <input type="checkbox"/> Yes <input type="checkbox"/> No	
INSTRUCTIONS TO FORWARDER:									
20. Domestic or Foreign (D/F)	21. Schedule B / HTSUS Number and Commercial Commodity Description (For Vehicles: VIN/Year, Make, Model and Vehicle Title Number are required)	22. Quantity in Schedule B / HTS Units	23. DDTC Quantity and DDTC Unit of Measure	24. Shipping Weight (in kilos)	25. ECCN, EAR99 or USML Category No.	26. SME Indicator (Yes or No) (Applies to DDTC only)	27. Export License Number, License Exception Symbol, DDTC Exemption Number, DDTC ACM No. or NLR	28. Value at the Port of Export (US Dollars)	29. License Value by Item (if applicable) (US Dollars)
30. DDTC Applicant Registration Number:		31. Eligible Party Certification:			<input type="checkbox"/> Yes <input type="checkbox"/> No				
32. <input type="checkbox"/> Check here if there are any remaining non-licensable Schedule B / HTS Numbers that are valued \$2500.00 or less and that do not otherwise require AES filing.									
33. <input type="checkbox"/> Check here if the USPPI authorizes the above named forwarder to act as its true and lawful agent for purposes of preparing and filing the Electronic Export Information ("EEI") in accordance with the laws and regulations of the United States.									
34. I certify that the statements made and all information contained herein are true and correct. I understand that civil and criminal penalties, including forfeiture and sale, may be imposed for making false and fraudulent statements herein., failing to provide the requested information or for violation of U.S. laws on exportation (13 U.S.C. Sec. 305; 22 U.S.C. Sec. 401, 18 U.S.C. Sec 1001, 50 U.S.C. app. 2410).									
35. Printed Name of Duly authorized officer or employee:		36. Signature:							
37. USPPI E-mail Address:		39. Title:			40. USPPI Telephone No.:				
41. <input type="checkbox"/> Check here to validate Electronic Signature. Electronic signatures must be typed in all capital letters in Box 36 in order to be valid.									

Features

- Excel version includes explanatory comments boxes with related regulatory citations
- Accompanied by a “How to complete the SLI” document with hyperlinks to regulations
- Includes new fields that are required with the April 5, 2014 implementation of the revised Foreign Trade Regulations (“FTR”)
- Allows for line item reporting of classification and license authority information
- Allows for a consistent presentation of required information

Explanatory Comments

SHIPPER'S LETTER OF INSTRUCTIONS (SLI)			
1. USPPI Name:	3. Freight Location Company Name:	5. Forwarding Agent:	
2. USPPI Address Including Zip Code:		<div style="border: 2px solid blue; padding: 5px; text-align: center;"> Each field includes a "comments" box with regulatory explanations and citations. </div>	
6. USPPI EIN (IRS) No:	7. Related Party Indicator (select one):	<input type="checkbox"/> Related	<input type="checkbox"/> Non-Related
8. USPPI Reference#	9. Reputed Export Transaction (select one):	<input type="checkbox"/> Yes	<input type="checkbox"/> No
10. Ultimate Consignee Name & Address:	<div style="border: 1px solid black; padding: 5px;"> <p>FTR 15 CFR 30.6(a)(3): The ultimate consignee is the person, party, or designee that is located abroad and actually receives the export shipment. The ultimate consignee as known at the time of export shall be reported. For shipments requiring an export license, the ultimate consignee shall be the person so designated on the export license or authorized to be the ultimate consignee under the applicable license exemption in conformance with the EAR or ITAR, as applicable.</p> </div>		
13. State of Origin:	For items subject to licensing under the ITAR, enter the name and address of the Foreign End User.		
14. Country of Ultimate Destination:			
15. Hazardous Material:	<input type="checkbox"/> Yes		
INSTRUCTIONS TO FORWARDER:			



NCBFAA

National Customs Brokers & Forwarders Association of America, Inc.

www.ncbfaa.org

HOW-TO-COMplete THE SHIPPER'S LETTER OF INSTRUCTION (SLI)

(Companion Document to SLI Form v.2.1_021814)

**“How to Complete the SLI” document
hyperlinked to regulations.**

Box #	Description	Instructions	Regulatory Citations and Additional Information
1.	USPPI Name:	Enter full USPPI name. This should not be one entity in care of another entity. It must be the same company whose EIN is being used.	FTR 15 CFR 30.3: The USPPI is the person in the USA that receives the primary benefit, monetary or otherwise, of the export transaction. Generally, that person is the U.S. Seller, manufacturer, or order party. In general, the Freight Forwarder cannot be the USPPI. When a foreign entity is in the United States at the time the items are purchased or obtained for export, the foreign entity is the USPPI for filing purposes.
2.	USPPI Address Including Zip Code:	Enter USPPI address for documentation and/or billing purposes. If this is also the address to be used for AES reporting, a P.O. Box is not allowed.	Enter USPPI address to be used for documentation and/or billing. If this address is also being used for AES reporting, a P.O. Box is not allowed. If the cargo begins its journey to the port of export from a different address, please report that address in box number 4.
3.	Freight Location Company Name:	If different from the USPPI name, enter company name where cargo begins its journey to the port of export.	If the USPPI does not own or lease the facility from which the cargo is beginning its journey to the port of export, please provide the company name of the facility.
4.	Freight Location Address (if different from box #2)	Enter the street address (no PO Box allowed) where the cargo begins its journey to the port of export. This may not be the same address as the USPPI address. Please include valid US Postal (Zip) code.	Enter the address where the cargo begins its journey to the port of export (if different that the USPPI address in box #2). Per FTR 15 CFR 30.6(a)(1)(ii): In all EEI filings, the USPPI shall report the address or location (no post office box number) from which the goods actually begin the journey to the port of export even if the USPPI does not own/lease the facility. For example, the EEI covering goods laden aboard a truck at a warehouse in Georgia for transport to Florida for loading onto a vessel for export to a foreign country shall show the address of the warehouse in Georgia. For shipments with multiple origins, report the address from which the commodity with the greatest value begins its export journey, if such information is

Box #	Description	Instructions	Regulatory Citations and Additional Information
			FTR 15 CFR 30.6(a)(24): The routed export transaction indicator: An indicator that identifies that the shipment is a routed export transaction as defined in § 30.3. FTR 15 CFR 30.3(e): The Census Bureau recognizes "routed export transactions" as a subset of export transactions. A routed export transaction is a transaction in which the FPPI authorizes a U.S. agent to facilitate the export of items from the United States and to prepare and file EEI. See also the Export Administration Regulations (EAR) 15 CFR 758.3(b).
10.	Ultimate Consignee name and address:	Enter the name and address (including country) of the party who will be receiving the export shipment at destination. This party might be the FPPI and/or the end user, but it will not be the party at destination (likely forwarding agent) who is acting as agent hired to deliver the items to the ultimate consignee (see intermediate Consignee). For items subject to licensing under the ITAR, enter the name and address of the Foreign End-User.	FTR 15 CFR 30.6(a)(3): The ultimate consignee is the person, party, or designee that is located abroad and actually receives the export shipment. The ultimate consignee as known at the time of export shall be reported. For shipments requiring an export license, the ultimate consignee shall be the person so designated on the export license or authorized to be the ultimate consignee under the applicable license exemption in conformance with the EAR or ITAR, as applicable. For items subject to licensing under the ITAR, enter the name and address of the Foreign End-User.
11.	Ultimate Consignee Type:	This is a NEW mandatory field effective April 5, 2014. Select one from the list. Please do not select "Other/Unknown" unless the ultimate consignee truly does not fit into any of the other categories.	FTR 15 CFR 30.6(a)(28): Provide the business function of the ultimate consignee that most often applies. If more than one type applies to the ultimate consignee, report the type that applies most often. <ul style="list-style-type: none">Direct Consumer -- a non-government institution, enterprise, or company that will consume or use the exported good as a consumable, for its own internal processes, as an input to the production of another good or as machinery or equipment that is part of a manufacturing process or a provision of services and will not resell or distribute the good.Government Entity -- A government-owned or government-controlled agency, institution, enterprise or company.Reseller -- A non-government reseller, retailer, wholesaler, distributor, distribution center or trading company.Other/Unknown -- An entity that is not a Direct Consumer, Government Entity or Reseller, as defined above, or whose ultimate consignee

USPPI Address vs. Freight Location Address

SHIPPER'S LETTER OF INSTRUCTIONS (SLI)			
1. USPPI Name:		3. Freight Location Company Name:	
2. USPPI Address Including Zip Code:		4. Freight Location Address (if not box #2):	
6. USPPI EIN (IRS) No:		7. Related Party Indicator (select one):	
8. USPPI Reference#:		9. Routed Export Transaction (select one):	
10. Ultimate Consignee Name & Address:		11. Ultimate Consignee Type (select one):	
		<input type="checkbox"/> Direct Consumer <input type="checkbox"/> Government Entity <input type="checkbox"/> Reseller <input type="checkbox"/> Other/Unknown	
13. State of Origin:		16. In-Bond Code:	
14. Country of Ultimate Destination:		17. Entry Number:	
15. Hazardous Material:		18. FTZ Identifier:	
		<input type="checkbox"/> Yes <input type="checkbox"/> No	
INSTRUCTIONS TO FORWARDER:			

Enter the address where the cargo begins its journey to the port of export (if different from the USPPI address in box #2).

Per FTR 15 CFR 30.6(a)(1)(ii): In all EEI filings, the USPPI shall report the address or location (no post office box number) from which the goods actually begin the journey to the port of export even if the USPPI does not own/lease the facility. For example, the EEI covering goods laden aboard a truck at a warehouse in Georgia for transport to Florida for loading onto a vessel for export to a foreign country shall show the address of the warehouse in Georgia. For shipments with multiple origins, report the address from which the commodity with the greatest value begins its export journey. If such information is not known, report the address in the state where the commodities are consolidated for export.

The FTR requires that the address where the cargo begins its journey to the port of export be reported. It might be different than the USPPI address.

New AES field required April 5, 2014

Ultimate Consignee Type

Direct Consumer

Government Entity

Reseller

Other / Unknown

11. Ultimate Consignee Type (select one):	12. FTR 30.6(a)(28) - Direct Consumer - a non-government institution, enterprise, or company that will consume or use the exported good as a consumable, for its own internal processes, as an input to the production of another good or as machinery or equipment that is part of a manufacturing process or a provision of services and will not resell or distribute the good.
<input type="checkbox"/> Direct Consumer	
<input type="checkbox"/> Government Entity	
<input type="checkbox"/> Reseller	
<input type="checkbox"/> Other/Unknown	
<p style="text-align: center;">NEW REQUIREMENT</p>	

New AES field required April 5, 2014

Ultimate Consignee Type

You will find this on the “Ultimate Consignee” tab in *AESDirect* soon.

AESDirect Test Account: Shipment Editor: EEI: Ultimate Consignee

Shipment Information
USPFI
Ultimate Consignee
Intermediate Consignee
Freight Forwarder
Equipment Details
Add Commodity Line
Commodity Line 1

Buttons: Edit Section, Clear Section, View EEI

Options: Main Menu, Log Out of AESDirect

Shipments: Create Shipment, Shipment Manager, Retire Shipment, Update Shipment

Profiles: USPFI, Consignee, Expedite

EDI Upload: Upload

Links: AESDirect, AES Codes

AESDirect Assistant

- To view the progress of your shipment, click View EEI.
- To make changes, select the section in the white box on the left and click on Edit Section.
- To delete this section, click Clear Section, and then return to the Shipment Viewer, or Edit another section.
- Label Colors: Mandatory, Conditional, Optional

EEI: Ultimate Consignee

Company Information

Company Name: [Text Field] Select from Profiles

Sold En Route

Consignee Type: Select Consignee Type...

Contact Information

Contact Name (First and Last): [Text Field]

Phone Number: [Text Field]

Company Address

Address Line 1: [Text Field]

Address Line 2: [Text Field]

City: [Text Field]

State (1): [Text Field]

Country: [Text Field]

Postal Code: [Text Field]

AESDirect Test Account: Shipment Editor: EEI: Ultimate Consignee

Shipment Information
USPFI
Ultimate Consignee
Intermediate Consignee
Freight Forwarder
Equipment Details
Add Commodity Line
Commodity Line 1

Buttons: Edit Section, Clear Section, View EEI

Options: Main Menu, Log Out of AESDirect

Shipments: Create Shipment, Shipment Manager, Retire Shipment, Update Shipment

Profiles: USPFI, Consignee, Expedite

EDI Upload: Upload

Links: AESDirect, AES Codes

AESDirect Assistant

- To view the progress of your shipment, click View EEI.
- To make changes, select the section in the white box on the left and click on Edit Section.
- To delete this section, click Clear Section, and then return to the Shipment Viewer, or Edit another section.
- Label Colors: Mandatory, Conditional, Optional

EEI: Ultimate Consignee

Company Information

Company Name: [Text Field] Select from Profiles

Sold En Route

Consignee Type: DIRECT CONSUMER (selected)

Contact Information

Contact Name (First and Last): [Text Field]

Phone Number: [Text Field]

Company Address

Address Line 1: [Text Field]

Address Line 2: [Text Field]

City: [Text Field]

State (1): [Text Field]

Country: Select Country...

Postal Code: [Text Field]

New FTR - Exemptions removed

- The exemptions from filing temporary exports and imports covered by 15 CFR 30.37 (q) and (r) are being removed effective 4/5/14.
- You must now report transactions over \$2500 .00 (if not otherwise subject to mandatory reporting)

16. In-Bond Code:		19. TIB / Carnet?	<input type="checkbox"/>
17. Entry Number:			<input type="checkbox"/> Yes
18. FTZ Identifier:			<input type="checkbox"/> No

Check Yes or No.

Note: The reporting exemptions for temporary export and imports (including Carnets) formerly allowed under 15 CFR 30.37(q) and(r) have been removed as of 4/5/14. Filing is required for transactions over \$2500.00 by Schedule B / HTS and for licensed transactions.

Commodity line item reporting

- Line item reporting of classification and licensing information
 - ECCN reporting by line
 - License authorization by line

20. Domestic or Foreign (D/F)	21. Schedule B / HTS Number and Commercial Commodity Description For Vehicles: VIN/Year, Make, Model and Vehicle Title Number are required	22. Quantity in Schedule B / HTS Units	23. DDTC Quantity and DDTC Unit of Measure	24. Shipping Weight (in Kilos)	25. ECCN, EAR99 or USML Category No.	26. S M E (Y/ N)	27. Export License No., License Exception Symbol, DDTC Exemption No., DDTC ACM No. or NLR	28. Value at the Port of Export (US Dollars)	29. License Value by item (if applicable) (US Dollars)
30. DDTC Applicant Registration Number:					31. Eligible Party Certification:			<input type="checkbox"/> Yes	<input type="checkbox"/> No

DDTC (State Dept. License) fields

- Forwarder's should ask for a copy of the license.
- Some USPPs are hesitant to provide a copy.
- Form includes fields for all of the required license information.

20. Domestic or Foreign (D/F)	21. Schedule B / HTS Number and Commercial Commodity Description For Vehicles: VIN/Year, Make, Model and Vehicle Title Number are required	22. Quantity in Schedule B / HTS Units	23. DDTC Quantity and DDTC Unit of Measure	24. Shipping Weight (in Kilos)	25. ECCN, EAR99 or USML Category No.	26. S M E (Y/ N)	27. Export License No., License Exception Symbol, DDTC Exemption No., DDTC ACM No. or NLR	28. Value at the Port of Export (US Dollars)	29. License Value by item (if applicable) (US Dollars)
30. DDTC Applicant Registration Number:					31. Eligible Party Certification:			<input type="checkbox"/> Yes	<input type="checkbox"/> No

Unit of Measure

- The Schedule B Unit of Measure (“UOM”) will likely be different from the DDTC quantity (which comes from the license.)
- Placed next to each other to remind you that they are two distinct fields.

22. Quantity in Schedule B / HTS Units	23. DDTC Quantity and DDTC Unit of Measure	FTR 15 CFR 30.6(b)(15): (v) -DDTC Unit of Measure (UOM). This unit of measure is the UOM covering the article being shipped as described on the export authorization (license) or declared under an ITAR exemption. (vi)- DDTC quantity. This quantity is for the article being shipped. The quantity is the total number of units that corresponds to the DDTC UOM code.

New AES field required April 5, 2014

License Value *(required for all licenses, not just State Dept.)*

This is the value of the cargo being shipped under a license.

Purpose: To distinguish the amount to be deducted from a license from the value of goods being reported for Census purposes (which should include inland and insurance to the port of export).

28. Value at the Port of Export (US Dollars)	29. License Value by item (if applicable) (US Dollars)	Required for all licensed transactions. Enter the license value for each item being shipped under the license here. FTR 15 CFR 30.6(b)(15): For shipments requiring an export license, report the value designated on the export license that corresponds to the commodity [<i>for the line item / quantity</i>] being exported.

Example License Value

INSTRUCTIONS TO FORWARDER:

Copy license attached. License lodged in Chicago on January 15, 2014
Please remember to show the "600 Series" ECCN on the transport document.

20. Domestic or Foreign (D/F)	21. Schedule B / HTS Number and Commercial Commodity Description For Vehicles: VIN/Year, Make, Model and Vehicle Title Number are required	22. Quantity in Schedule B / HTS Units	23. DDTC Quantity and DDTC Unit of Measure	24. Shipping Weight (in Kilos)	25. ECCN, EAR99 or USML Category No.	26. S M E (Y/ N)	27. Export License No., License Exception Symbol, DDTC Exemption No., DDTC ACM No. or NLR	28. Value at the Port of Export (US Dollars)	29. License Value by item (if applicable) (US Dollars)
D	8411.12.4050 Military Aircraft Gas Turbine Engine	2 (NO)	2 Items	1500 kgs	XIX	Y	050412345	\$150,350	\$150,000
D	8411.11.4050 Military Aircraft Gas Turbine Engine	1 (NO)	1 Item	700 kgs	9A619	Y	050412345	\$75,200	\$75,000
30. DDTC Applicant Registration Number:				M12345	31.				

Item #	9. Quantity	10. Commodity	11. USML Category Number	12. \$ Value
1	Quantity : 10 Unit Type : Item	Military Gas Turbine Aircraft	XIX Is a DSP-83 attached? No	\$750,000

New AES field required April 5, 2014

License Value

The license value field will be on the Commodity Tab in AESDirect. If the license type selected does not require license value, the field will not be shown.

AESDirect Test Account: Shipment Editor: EEI: Commodity Line 1

AESEDirect Assistant

- To view the progress of your shipment, click **View EEI**.
- To make changes, select the section in the white box on the left and click on **Edit Section**.
- To delete this section, click **Clear Section**, and then return to the Shipment Viewer, or Edit another section.
- Label Colors: **Mandatory**, **Conditional**, **Optional**

EEI: Commodity Line 1

Schedule B or HTS Number (4) [Info] [Lookup]

(Schedule B Search Engine) [Invalid HTS]

Commodity Description

1st Quantity [] Units for 1st Quantity: Select Units for 1st Quantity...

2nd Quantity [] Units for 2nd Quantity: Select Units for 2nd Quantity...

Value in Whole US Dollars []

Gross Weight in Whole Kilograms [] [Unit Conversion Factors]

Export Code [] [Select Export Code...]

Origin of Goods [] [Select Origin of Goods...]

License Type [Info] OS3: NLR NO LICENSE REQUIRED [License Code Full Descriptions]

ECON []

Export License Number [Info] []

Is this commodity a Used Vehicle? No []
(Only report items below if commodity is a used vehicle)

VIN/Product ID []

ID Type [] [Select ID Type...]

Vehicle Title Number []

Vehicle Title State []

Options

Main Menu []
Log Out of AESDirect []

Shipments: []
Create Shipment []
Shipment Manager []
Export Shipment []
Update Shipment []

Profiles: []
USPFI []
Consignment []
Exportation []

EDI Upload: []
Upload []

Links: []
AESDirect []
AES Codes []
Priority Policy []

AESDirect Test Account: Shipment Editor: EEI: Commodity Line 1

AESEDirect Assistant

- To view the progress of your shipment, click **View EEI**.
- To make changes, select the section in the white box on the left and click on **Edit Section**.
- To delete this section, click **Clear Section**, and then return to the Shipment Viewer, or Edit another section.
- Label Colors: **Mandatory**, **Conditional**, **Optional**

EEI: Commodity Line 1

Schedule B or HTS Number (4) [Info] [Lookup]

(Schedule B Search Engine) [Invalid HTS]

Commodity Description

1st Quantity [] Units for 1st Quantity: Select Units for 1st Quantity...

2nd Quantity [] Units for 2nd Quantity: Select Units for 2nd Quantity...

Value in Whole US Dollars []

Gross Weight in Whole Kilograms [] [Unit Conversion Factors]

Export Code [] [Select Export Code...]

Origin of Goods [] [Select Origin of Goods...]

License Type [Info] OS3: LICENSES - BIS REGULATIONS [License Code Full Descriptions]

ECON []

Export License Number [Info] []

License Value []

Is this commodity a Used Vehicle? No []
(Only report items below if commodity is a used vehicle)

VIN/Product ID []

ID Type [] [Select ID Type...]

Vehicle Title Number []

Vehicle Title State []

Options

Main Menu []
Log Out of AESDirect []

Shipments: []
Create Shipment []
Shipment Manager []
Export Shipment []
Update Shipment []

Profiles: []
USPFI []
Consignment []
Exportation []

EDI Upload: []
Upload []

Links: []
AESDirect []
AES Codes []
Priority Policy []

Report Commercial Description (not Schedule B Description)

<p>21. Schedule B / HTS Number and Commercial Commodity Description For Vehicles: VIN/Year, Make, Model and Vehicle Title Number are required</p>	<p>Enter all of the 10 digit Schedule B or HTSUSA numbers that apply to your shipment here.</p> <p>Schedule B: FTR 15 CFR 30.1(c): The Statistical Classification of Domestic and Foreign Commodities exported from the United States. The Schedule B classification numbers are administered by the U.S. Census Bureau. To find a Schedule B number, please refer to the Schedule B Search Engine found at http://www.census.gov/foreign-trade/schedules/b/index.html. If additional assistance is needed, please call the Commodity Analysis Branch, Foreign Trade Division, Census Bureau on (800) 549-0595, option 2.</p> <p>Commercial Commodity Description: You should not copy the Schedule B description into this field.</p> <p>Per FTR 15 CFR 30.6(a)(13). Report the description of the goods shipped in English in sufficient detail to permit verification of the Schedule B or HTSUSA number. Clearly and fully state the name of the commodity in terms that can be identified or associated with the language used in Schedule B or HTSUSA (usually the commercial name of the commodity), and any and all characteristics of the commodity that distinguish it from commodities of the same name covered by other Schedule B or HTSUSA classifications. If the shipment requires a license, the description reported in the EEI shall conform to that shown on the license. If the shipment qualifies for a license exemption, the description shall be sufficient to ensure compliance with that license exemption. However, where the description on the license does not state all of the characteristics of the commodity that are needed to completely verify the commodity classification number, as described in this paragraph, report the missing characteristics, as well as the description shown on the license, in the commodity description field of the EEI.</p> <p>Used Self-Propelled Vehicles (Schedule Bs listed in AESTIR Appendix U): Filing is required for all values (FTR 15 CFR 30.2(a)(1)(iv)(H)) 72 hour prior to export (15 CFR 30.4(b)(5)). For additional information on pre-departure requirements for Used Self Propelled Vehicles, see also 19 CFR 192.1 and 192.2.</p>
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Used Self Propelled Vehicles – must be reported no later than 72 hours prior to export and for all values (even \$2500.00 and below).

A decorative banner at the top and bottom of the slide. The banner is dark blue with a red border. It features a map of the United States and the text "STATES OF AMERICA" in a light blue font. The text is partially obscured by the map and the banner's curvature.

Customize / Create your own SLI

Check your internal policies

Check with your legal counsel

The model includes the minimum authorization language required by the regulations


- You may want to enhance the language.

Does your company allow electronic signatures? If not, remove.

32	<input type="checkbox"/>	Check here if there are any remaining non-licensable Schedule B / HTS Numbers that are valued \$2500.00 or less and that do not otherwise require AES filing.
33	<input type="checkbox"/>	Check here if the USPPPI authorizes the above named forwarder to act as its true and lawful agent for purposes of preparing and filing the Electronic Export Information ("EEI") in accordance with the laws and regulations of the United States.
34. I certify that the statements made and all information contained herein are true and correct. I understand that civil and criminal penalties, including forfeiture and sale, may be imposed for making false and fraudulent statements herein., failing to provide the requested information or for violation of U.S. laws on exportation (13 U.S.C. Sec. 305; 22 U.S.C. Sec. 401, 18 U.S.C. Sec 1001, 50 U.S.C. app. 2410).		
35. USPPPI E-mail Address:		36. USPPPI Telephone No.:
37. Printed Name of Duly authorized officer or employee:		
38. Signature:	39. Title:	40. Date:
41.	<input type="checkbox"/>	Check here to validate Electronic Signature. Electronic signatures must be typed in all capital letters in Box 38 in order to be valid.

Customize language to reflect your policies.

Customize / create your own form

SHIPPER'S LETTER OF INSTRUCTIONS (SLI)	
3. Freight Location Company Name:	5. Forwarding Agent:
Customize	 logistics, Ltd. 200 Gary Ave., Roselle, IL 60172

*For
Example*

- Choose type of document (fillable form, Excel, PDF, on-line)
- Brand: Logo, address, colors, etc.
- Add regulatory licensing information (FMC#, IATA#, etc.)
- Reflect internal compliance policies especially regarding the authorization statement & electronic signature
- Add terms and conditions
- Add your company specific documentation and transportation instruction requirements

Customize / create your own form

Working from the SLI model, you are able to:

- Add fields
- Re-number fields
- Add comments for your fields

Working from the “How to complete the SLI” document, you are able to:

- Add instructions for fields that you create
- Adjust the numbering on the instruction documents to coincide with your SLI customized document

Customize / create your own form

- The SLI model does not include transportation and other instructions to the forwarder.
- Suggested space for your company preferred fields is incorporated into the model.

SHIPPER'S LETTER OF INSTRUCTIONS (SLI)									
1. USPPI Name:			3. Freight Location Company Name:			5. Forwarding Agent:			
2. USPPI Address Including Zip Code:			4. Freight Location Address (if not box #2):						
6. USPPI EIN (IRS) No.:			7. Related Party Indicator (select one):			<input type="checkbox"/> Related <input type="checkbox"/> Non-Related			
8. USPPI Reference#:			9. Routed Export Transaction (select one):			<input type="checkbox"/> Yes <input type="checkbox"/> No			
10. Ultimate Consignee Name & Address:			11. Ultimate Consignee Type (select one):			12. Intermediate Consignee Name & Address:			
			<input type="checkbox"/> Direct Consumer <input type="checkbox"/> Government Entity <input type="checkbox"/> Reseller <input type="checkbox"/> Other/Unknown						
13. State of Origin:			16. In-Bond Code:			19. TIB / Carnet?			
14. Country of Ultimate Destination:			17. Entry Number:			<input type="checkbox"/> Yes			
15. Hazardous Material: <input type="checkbox"/> Yes <input type="checkbox"/> No			18. FTZ Identifier:			<input type="checkbox"/> No			
INSTRUCTIONS TO FORWARDER:									
20. Domestic or Foreign (D/F)	21. Schedule B / HTS Number and Commercial Commodity Description For Vehicles: VIN/Year, Make, Model and Vehicle Title Number are required	22. Quantity in Schedule B / HTS Units	23. DDTC Quantity and DDTC Unit of Measure	24. Shipping Weight (in Kilos)	25. ECCN, EAR99 or USML Category No.	26. S M E (Y/ N)	27. Export License No., License Exemption Symbol, DDTC Exemption No., DDTC ACM No. or NLR	28. Value at the Port of Export (US Dollars)	29. License Value by Item (if applicable) (US Dollars)
30. DDTC Applicant Registration Number:			31. Eligible Party Certification:			<input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Check here if there are any remaining non-licensable Schedule B / HTS Numbers that are valued \$2500.00 or less and that do not otherwise require AES filing.									
<input type="checkbox"/> Check here if the USPPI authorizes the above named forwarder to act as its true and lawful agent for purposes of preparing and filing the Electronic Export Information ("EEI") in accordance with the laws and regulations of the United States.									
34. I certify that the statements made and all information contained herein are true and correct. I understand that civil and criminal penalties, including forfeiture and sale, may be imposed for making false and fraudulent statements herein, failing to provide the requested information or for violation of U.S. laws on exportation (13 U.S.C. Sec. 305; 22 U.S.C. Sec. 401; 18 U.S.C. Sec 1001; 50 U.S.C. app. 2410).									
35. USPPI E-mail Address:			36. USPPI Telephone No.:						
37. Printed Name of Duly authorized officer or employee:									
38. Signature:			39. Title:			40. Date:			
41. <input type="checkbox"/> Check here to validate Electronic Signature. Electronic signatures must be typed in all capital letters in Box 38 in order to be valid.									

Customize / create your own form

15. Hazardous Material:	<input type="checkbox"/> Yes <input type="checkbox"/> No	18. FTZ Identifier:	<input type="checkbox"/> No
INSTRUCTIONS TO FORWARDER:			
<i>Customize your SLI form: Add your company specific requirements in this area: Prepaid/Collect; Mode of Transportation; Consent to Screen; INCOTERMS, etc.</i>			

Example

		27: Mode of Transport:	<input type="checkbox"/> Air <input type="checkbox"/> Ocean <input type="checkbox"/> Truck <input type="checkbox"/> Rail
28. <input type="checkbox"/> Check here if there are any remaining non-licensable Schedule B / HTS Numbers that are valued below @2501.00			
29. Shipper requests cargo insurance (cargo will not be insured if "yes" box is not checked)		<input type="checkbox"/> Yes, please insure this cargo for the a declared value of:	\$ _____
30. Terms of Sale:	<input type="checkbox"/> EXW <input type="checkbox"/> FAS * <input type="checkbox"/> FCA <input type="checkbox"/> FOB * <input type="checkbox"/> CFR * <input type="checkbox"/> CIF * <input type="checkbox"/> CPT <input type="checkbox"/> CIP <input type="checkbox"/> DAP <input type="checkbox"/> DAT <input type="checkbox"/> DDP	* These terms are to be used for Ocean shipments only.	
31: Named PLACE or PORT for Incoterm used in line number 30:		32. If no Incoterm is used please indicate:	<input type="checkbox"/> Prepaid <input type="checkbox"/> Collect

Summary

The SLIs and accompanying instruction sheets are available to all forwarders and exporters at [Shipper's Letter of Instruction "Model"](#)

- There is no copyright. We are offering this tool to assist you in creating or re-designing your own company specific SLI.

At the very least, you should make sure that your SLI includes all of the fields on the model.

Following the format on the model will help drive consistency in the industry.



Will the format ever change?

It's possible...

We must be “agile” and adjust the document as the regulatory requirements continue to evolve.

Resources

[Shipper's Letter of Instruction "Model"](#)

[USPPI Responsibility Information Sheet](#)


[Bureau of Industry and Security](#)

[Census Bureau - Foreign Trade Division](#)

[Customs and Border Protection - Trade](#)

[Department of State - Directorate of](#)

[Defense Trade Controls](#)



NCBFAA

National Customs Brokers & Forwarders Association of America, Inc.

www.ncbfaa.org

USPPI Responsibility Information Sheet

Version 4.0 – January 2, 2014 [www.ncbfaa.org](#) - See "Publications and Resources"

WHAT IS AN EXPORT?
Any item that is sent from the United States to a foreign destination is an export. "Items" include commodities, software or technology, such as clothing, building materials, circuit boards, automotive parts, blue prints, design plans, retail software packages, and technical information.

Am I The U.S. Principal Party in Interest ("USPPI")?
The USPPI, as defined in the Foreign Trade Regulations ("FTR"), is the person in the United States that receives the primary benefit, monetary or otherwise, of the export transaction. In other words, if you are the recipient of the purchase order from the overseas party for cargo that is exported and you are invoicing them for the product, you are the USPPI no matter what the terms of sale are.

WHAT ARE MY RESPONSIBILITIES AS THE USPPI?

- **DETERMINE COMMODITY JURISDICTION:** Which U.S. Government Agency controls my product? Are my products subject to the Export Administration Regulations ("EAR"), the U.S. Department of State Directorate of Defense Controls ("DDTC"), International Traffic and Arms Regulations ("ITAR") and/or other government agency such as the Nuclear Regulatory Commission ("NRC"), Drug Enforcement Administration ("DEA"), or Bureau of Alcohol and Tobacco & Firearms ("ATF")?
- **"KNOW YOUR CUSTOMER":** Do due diligence on the end user(s), know their intended end use, ensure that no party to the export transaction is on any of the U.S. Government's lists of restricted parties with whom U.S. companies and U.S. Persons cannot do business without proper U.S. Government authorization.
- **CLASSIFY PRODUCTS** for Statistics (Schedule B or the US Harmonized Tariff Schedule ("USHTS")) and License Determination: Commerce Control List ("CCL"), ECCN or EAR99, or US Munitions List ("USML"). [License.gov/requirements_and_restrictions](#)
- **FILE ELECTRONIC EXPORT INFORMATION** System ("AES") or authorize your forwarder Power of Attorney ("POA") or other written authorization ("SLI"). POAs should specify in particularity and should state that the forwarder the Principal Party in Interest as its true an Electronic Export Information ("EEI") in accordance with the U.S. Note on "Routed Export Transactions of the Foreign Principal Party in Interest" ("FPII").
- **PROVIDE THE FORWARDER WITH C&I INFORMATION** including licensing information case of a "Routed Export Transaction", the information to their forwarder:
 - o Name and address of the USPPI
 - o USPPI Tax ID Number (EIN or DUN)
 - o Point of Origin
 - o Schedule B (or USHTS) Number
 - o Generic Commodity Description
 - o Schedule B / USHTS Quantity and U Value by Schedule B / USHTS
 - o Domestic (D) or Foreign (F) Indicator
 - o ECCN (or EAR99) if commodities are
 - o NLR, EAR License Exemption Code, and
- **MAINTAIN SHIPMENT RECORDS** according to controlling Government Agency, typically 5 y

*This document is intended to provide guidance and information on the Code of Federal Regulations and does not in any way constitute legal advice.
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WHERE SHOULD I GO FOR ASSISTANCE?

Bureau of Industry and Security ("BIS")
www.bis.doc.gov

State Department – Directorate of Defense Trade Controls ("DDTC")
<http://www.dodtic.gov>

Foreign Trade Division / Census Bureau
<http://www.census.gov/foreign-trade/www>

USEFUL LINKS:
Introduction to Exporting
http://www.bis.doc.gov/index.php/forms-documents/loc_view/142/accn.pdf

Commodity Jurisdiction
<http://www.bis.doc.gov/index.php/licensing-commerce-control-list-classification/commodity-jurisdiction>

FAQs on Export Licensing
http://www.bis.doc.gov/index.php/forms-documents/loc_view/206/licensing-faq

How to Determine an ECCN

USPPI Responsibility Information Sheet	www.ncbfaa.org	2014	2
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USPPI RESPONSIBILITY INFORMATION SHEET

WHAT ARE THE FORWARDER'S RESPONSIBILITIES?

- Obtain written authorization from the appropriate principal party in interest.
- Check government lists of restricted parties. This does not remove the responsibility from the USPPI.
- Complete and file Electronic Export Information ("EEI") via the Automated Export System ("AES") based on the information provided by the USPPI, if requested to do so by one of the principal parties.

THE FORWARDER RELIES ON THE ACCURACY OF THE INFORMATION PROVIDED BY THE USPPI, BUT IS RESPONSIBLE TO QUESTION ANY INFORMATION THAT MIGHT BE INCOMPLETE OR SEEMINGLY CONTRADICTORY TO U.S. EXPORT REGULATIONS.

- On request, provide the USPPI with a copy of the information transmitted to AES on their behalf.
- WE RECOMMEND THAT THE USPPI ASK THEIR FORWARDER FOR THIS INFORMATION.

USPPI CHECKLIST

SEE [INDEX FOR THE EXPORT ADMINISTRATION REGULATIONS \(EAR\)](#)
SEE [INTERNATIONAL TRAFFIC IN ARMS REGULATIONS \(ITAR\)](#) AND THE [eCFR 22 CFR Parts 120-130](#)

- ARE MY PRODUCTS ON THE U.S. MUNITIONS LIST (USML)?** (SEE ITAR PART 121) ARTICLES OR SERVICES THAT MEET THE CRITERIA OF A DEFENSE ARTICLE / SERVICE ON THE USML OR PROVIDES THE EQUIVALENT PERFORMANCE CAPABILITIES OF AN ARTICLE ON THE USML ARE SUBJECT TO THE ITAR (22 CFR, PARTS 120-130). SEE: <http://www.ecfr.gov/cgi-bin/text-idx?SID=bb2b26c2c2b49e530a9f5c0c3f0100&ndoc=22.1.1.13.5&rgn=div5>
- IF YES, DOES MY SHIPMENT QUALIFY FOR AN ITAR EXEMPTION?** (SEE ITAR PART 123) <http://www.ecfr.gov/cgi-bin/text-idx?SID=bb2b26c2c2b49e530a9f5c0c3f0100&ndoc=22.1.1.13.5&rgn=div5>
- ARE MY PRODUCTS SUBJECT TO THE EAR?** (SEE EAR PART 734.2-5) <http://www.ecfr.gov/cgi-bin/text-idx?SID=bb2b26c2c2b49e530a9f5c0c3f0100&ndoc=15.2.1.3.4.2&rgn=div5>
- ARE MY PRODUCTS ON THE COMMERCE CONTROL LIST (CCL)?** (SEE PART 732) IF YES, THEY WILL HAVE AN EXPORT CONTROL CLASSIFICATION NUMBER (ECCN).
 - ALPHABETICAL INDEX TO THE COMMERCE CONTROL LIST: http://www.bis.doc.gov/index.php/forms-documents/loc_view/13/commerce-control-list-index
- DO GENERAL PROHIBITIONS 4-10 APPLY?** (SEE PART 736.2(b)(4-10)) <http://www.ecfr.gov/cgi-bin/text-idx?SID=bb2b26c2c2b49e530a9f5c0c3f0100&ndoc=15.2.1.3.4.2&rgn=div5>
- DO YOU KNOW THE END USER AND END USE OF THE PRODUCT?** (SEE PART 744) <http://www.ecfr.gov/cgi-bin/text-idx?SID=bb2b26c2c2b49e530a9f5c0c3f0100&ndoc=15.2.1.3.4.2&rgn=div5>
 - **KNOW YOUR CUSTOMER GUIDANCE** <http://www.bis.doc.gov/index.php/commerce-control-list/93/commerce-a-banning-97-know-your-customer-guidance>
 - **CONSOLIDATED SCREENING LIST** <http://www.ecfr.gov/cgi-bin/text-idx?SID=bb2b26c2c2b49e530a9f5c0c3f0100&ndoc=92.148.400>
- AM I SHIPPING TO A DESTINATION OF CONCERN?** (See Supplement No. 1 Part 738 and Supplement No. 1 Part 774)
 - EMBARGOED COUNTRIES – OFFICE OF FOREIGN ASSETS CONTROLS (OFAC) <http://www.treas.gov/ofac/enforcementofac/index.shtml>
- DO I NEED A BIS (DEPT. OF COMMERCE) LICENSE?**
 - **NEW! DECISION TREE TOOLS** <http://www.bis.doc.gov/index.php/decision-tree-tools>
 - The Decision Tree: Supplement No. 1 to Part 732 <http://www.ecfr.gov/cgi-bin/text-idx?SID=bb2b26c2c2b49e530a9f5c0c3f0100&ndoc=15.2.1.3.4.2&rgn=div5> or <http://www.ecfr.gov/cgi-bin/text-idx?SID=bb2b26c2c2b49e530a9f5c0c3f0100&ndoc=15.2.1.3.4.2&rgn=div5>
- DOES MY SHIPMENT QUALIFY FOR AN EAR LICENSE EXCEPTION?** (See Part 740) <http://www.ecfr.gov/cgi-bin/text-idx?SID=bb2b26c2c2b49e530a9f5c0c3f0100&ndoc=15.2.1.3.4.2&rgn=div5>
- IS THERE ANY INDICATION OF RESTRICTIVE TRADE PRACTICES OR BOYCOTT LANGUAGE?** <http://www.ecfr.gov/cgi-bin/text-idx?SID=bb2b26c2c2b49e530a9f5c0c3f0100&ndoc=15.2.1.3.4.2&rgn=div5>
- DID I PROVIDE MY FORWARDER WITH COMPLETE AND ACCURATE INFORMATION REQUIRED TO FILE EEI, OR AN ITN (INTERNAL TRANSACTION NUMBER) IF I FILED MY OWN EEI?**
- DID I PROVIDE MY FORWARDER WRITTEN AUTHORIZATION TO FILE AES ON MY BEHALF?** NOTE: AUTHORIZATION IS THE RESPONSIBILITY OF THE FPII ON "ROUTED EXPORT TRANSACTIONS".
- DID I REQUEST AND RECEIVE A COPY OF THE AES DATA TRANSMISSION FROM MY FORWARDER?**

*This document is intended to provide guidance and information only. It reflects the Forwarder's position on and interpretation of the applicable laws or regulations from the Code of Federal Regulations and does not in any way replace or supersede those laws or regulations. If it has any questions, USPPI should consult its counsel.
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Thank you

Questions ??



Thank you



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