

SHIPPER'S LETTER OF INSTRUCTION

Date:

MM-DD-YYYY

This Shipper's Letter of Instruction (SLI) is used to provide Farrow with the required data elements for transmission of the Electronic Export Information (EEI) as well as shipping instructions, if Farrow is acting as the forwarding agent.

Detailed information regarding how each field should be completed is available from the "SLI Instructions" page, at the end of this document.

1. U.S. Principal Party in Interest (USPPI)		USPPI Address	
Registered Business Name			
EIN	USPPI phone #	USPPI Ref #	
State of Origin	USPPI contact individual		
2. Ultimate Consignee		Consignee Type (Choose one)	
Name		Country of Ultimate Destination (If different from consignee address)	
Address			
3. Forwarding agent (if other than Farrow)		Address	
Name			
Tax ID / EIN			
Phone number			
4. Additional (required)	Related parties:	Yes	No
	Routed Export Transaction?	Yes	No
	Hazardous Materials?	Yes	No
5. Additional (conditional)			
Intermediate Consignee Name & Address			
FTZ Identifier (if applicable)			
Entry Number (if applicable)			
Used Vehicles (if applicable)	Yes	No	Sold En Route (if applicable)
	Yes	No	
6. License Determination	License No.	License Exception Symbol	DDTC Eligible Party Certification Indicator?
			Yes No
DDTC Registration number			
7. Special Instructions			
8.a) Commodity Information		8.b) Commodity Information	
Origin (check one) Domestic Foreign		Origin (check one) Domestic Foreign	
Schedule (check one) B HTS		Schedule (check one) B HTS	
Schedule B / HTS number		Schedule B / HTS number	
Quantity / Unit of measure Kilograms No		Quantity / Unit of measure Kilograms No	
Dozen M2 M3 Thousand(s) PRS X		Dozen M2 M3 Thousand(s) PRS X	
Net Weight (In KG) Gross Weight (In KG)		Net Weight (In KG) Gross Weight (In KG)	
Export Value (Round to nearest \$)		Export Value (Round to nearest \$)	
License number or CFR Citation		License number or CFR Citation	
ECCN No.		ECCN No.	

8.c) Commodity Information Origin (check one) Domestic Foreign Schedule (check one) B HTS Schedule B / HTS number Quantity / Unit of measure Kilograms No Dozen M2 M3 Thousand(s) PRS X Net Weight (In KG) Gross Weight (In KG) Export Value (Round to nearest \$) License number or CFR Citation ECCN No.	8.d) Commodity Information Origin (check one) Domestic Foreign Schedule (check one) B HTS Schedule B / HTS number Quantity / Unit of measure Kilograms No Dozen M2 M3 Thousand(s) PRS X Net Weight (In KG) Gross Weight (In KG) Export Value (Round to nearest \$) License number or CFR Citation ECCN No.
8.e) Commodity Information Origin (check one) Domestic Foreign Schedule (check one) B HTS Schedule B / HTS number Quantity / Unit of measure Kilograms No Dozen M2 M3 Thousand(s) PRS X Net Weight (In KG) Gross Weight (In KG) Export Value (Round to nearest \$) License number or CFR Citation ECCN No.	8.f) Commodity Information Origin (check one) Domestic Foreign Schedule (check one) B HTS Schedule B / HTS number Quantity / Unit of measure Kilograms No Dozen M2 M3 Thousand(s) PRS X Net Weight (In KG) Gross Weight (In KG) Export Value (Round to nearest \$) License number or CFR Citation ECCN No.

9. Transportation <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> Date of Export </div> <div style="width: 55%;"> Method of Transportation <small>(check one)</small> Air Ocean Truck Rail </div> </div>			
Booking/tracking number:		Carrier SCAC / IATA Code	
Port of Export:		Port of Unlading:	
Vessel Name:		Mode: Consol Direct	
Ocean: Original B.O.L. Sea Waybill	Documentation: Original B.O.L. Sea Waybill	Type: Original B.O.L. Sea Waybill	

Charges: Prepaid Collect Freight Origin Cost Duty Tax Customs	Service Type (check one) Deliver to: Port to Port Port to Door Door to Port Door to Door In case of inability to deliver: Abandon Return to shipper	10. Insurance (optional) Insurance Requested Yes No Amount of Insurance: Declared value for Carriage:
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11. Authorization

As a duly authorized representative of the USPPI/shipper I certify that all statements made, and information contained herein are true and correct and that:

For shipments in which Farrow (Russell A. Farrow (U.S.) Inc.) has been selected by the USPPI to act as authorized agent: USPPI hereby authorizes Russell A. Farrow (U.S.) Inc. to act as agent and attorney in fact with authority to prepare and file any Electronic Export Information (EEI) and to perform any act required by law, regulation or custom in connection with the exportation of the above referenced shipment.

For air cargo shipments in which Russell A. Farrow (U.S.) Inc is responsible for transportation (Agreement for Consent to Search):
 As required by TSA regulations, shipper agrees with Russell A. Farrow (U.S.) Inc., to, and hereby does, consent to search or inspection, including screening of its cargo pursuant to 49 CFR 1548.9(b).

Signature:

Title:

Date

SLI INSTRUCTIONS

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WHAT TO COMPLETE

- **Sections 1 through 4** must be completed in their entirety. Section 3 not required if Farrow is Forwarding agent.
- **Sections 5 and 6** are Conditional and should be completed only if applicable.
- **Section 7** is Conditional. **If exporting Vehicles** please use Section 7 to report any required VIN number or Product ID number, and (if required) Title number and State of Issue.
- **Section 8** must be completed in its entirety. Please be sure to provide an accurate Schedule B number (Harmonized Tariff number (HTS) is also acceptable) for each commodity, proper accounting of reportable Unit(s) of Measure, Net and Gross weights in Kilograms, and any applicable Export License and/or ECCN data.

IMPORTANT, as per 15 CFR § 30.6 (a)(17) **the value** shall be the **selling price** (or the cost, if the goods are not sold), **plus** inland or domestic **freight, insurance, and other charges** to the U.S. seaport, airport, or land border port of export.

- **Section 9** should be completed in its entirety to provide shipping instructions if Farrow is responsible for transportation. However, note that many items of Section 9 are still required for EEI filing purposes if Farrow is not responsible for transportation.
- **Section 10** not required if Farrow is not responsible for transportation.
- **Section 11** must be properly endorsed by the USPPI contact.



USPPI Responsibility Information Sheet

Version 12.0 – Nov. 1, 2021 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, such as clothing, building materials, circuit boards, automotive parts, as well as software and technology, such as blueprints, 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 / Incoterms® 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 Bureau of Industry and Security's Export Administration Regulations ("EAR"), the U.S. Department of State's Directorate of Defense Controls' ("DDTC") International Traffic and Arms Regulations ("ITAR") and/or other government agencies such as the Nuclear Regulatory Commission ("NRC"), Drug Enforcement Administration ("DEA"), or Bureau of Alcohol and Tobacco & Firearms ("ATF")?
- **"KNOW YOUR CUSTOMER":** Perform due diligence on the end user(s); know their intended end use; and 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") i.e. ECCN or EAR99, or US Munitions List ("USML")). License requirements are dependent upon an item's classification, technical characteristics, ultimate destination, end-user, and end-use. Exporters must determine whether or not the product being exported requires a license or whether it qualifies for a license exception.
- **TRANSMIT ELECTRONIC EXPORT INFORMATION ("EEI")** to the Automated Export System ("AES") or **authorize your forwarder to file** on your behalf by signing a Power of Attorney ("POA") or other written authorization such as a Shipper's Letter of Instruction ("SLI"). POAs should specify the responsibilities of the parties with particularity and should state that the forwarder has the authority to act on behalf of the Principal Party in Interest as its true and lawful agent for the purpose of filing the Electronic Export Information ("EEI") in accordance with the laws and regulations of the U.S. Note: On "Routed Export Transactions", authorization is the responsibility of the Foreign Principal Party in Interest ("FPPI").
- **MAINTAIN SHIPMENT RECORDS** as required by the regulations of the controlling Government Agency, typically 5 years from the date of export.

WHERE SHOULD I GO FOR ASSISTANCE?

U.S. DEPARTMENT OF COMMERCE
[Bureau of Industry and Security \("BIS"\)](#)
[Census Bureau Foreign Trade Division](#)

U.S. DEPARTMENT OF STATE
[Directorate of Defense Trade Controls \("DDTC"\)](#)

U.S. DEPARTMENT OF THE TREASURY
[Office of Foreign Assets Control \("OFAC"\)](#)

USEFUL LINKS:

[BIS Introduction to Export Controls](#)
[BIS Commodity Jurisdiction](#)
[BIS Export Licensing Requirement FAQs](#)
[BIS Export Control Classification Numbers \("ECCN"\)](#)
[BIS "Know Your Customer" Guidance](#)
[BIS On-Line Training Room](#)
[BIS Red Flag Indicators](#)
[Consolidated Screening List](#)
[Electronic Code of Federal Regulations \("eCFR"\)](#)
[Embargoes and Sanctions \("BIS"\)](#)
[Embargoes and Sanctions \("OFAC"\)](#)
[Foreign Trade Regulations \("FTR"\)](#)
[Schedule B Look-Up](#) and [HTS Look-Up](#)

- **PROVIDE THE FORWARDER WITH COMPLETE AND ACCURATE EXPORT INFORMATION** including licensing and other Partnership Government Agency ("[PGA](#)") information necessary for filing the EEI. Generally, in the case of a "Routed Export Transaction", the USPPI is still responsible for providing this information to their forwarder. (Refer to [15 CFR 30.3](#) and [15CFR 30.6](#))
 - Name and address of the USPPI
 - USPPI Tax ID Number (EIN or DUNS)
 - Point of Origin
 - Schedule B (or USHTS) Number
 - Schedule B / USHTS Quantity and Unit of Measure
 - Commercial/Generic Commodity Description
 - Value (at the port of export) by Schedule B / USHTS
 - Domestic (D) or Foreign (F) Indicator
 - PGA data elements if required by Appendices [Q](#) and [X](#)
 - Ultimate Consignee Type: a) Direct Consumer; b) Government Entity; c) Reseller; d) Other/Unknown
 - ECCN (EAR99 if commodities are not on the Commerce Control List), or USML Category
 - NLR, EAR License Exception Code, ITAR Exemption

For licensed cargo:

- License Number
- Value of goods moving against the license

"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 USPPI has any questions, it should consult its counsel." © 2021 The National Customs Brokers & Forwarders Association of America, Inc.

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 CHECKLISTSEE [INDEX FOR THE EXPORT ADMINISTRATION REGULATIONS \(EAR\)](#) AND [ECFR 15 CFR PARTS 730-774](#)SEE [INTERNATIONAL TRAFFIC IN ARMS REGULATIONS \(ITAR\)](#) AND [ECFR 22 CFR PARTS 120-130](#)

- ☐ **IS MY PRODUCT ON THE U.S. MUNITIONS LIST (USML)?** (SEE [22 CFR 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).
- [DDTC ORDER OF REVIEW AND DECISION TREE TOOLS](#)
- ☐ **IF YES, DOES MY PRODUCT REQUIRE A LICENSE OR PERHAPS QUALIFY FOR AN ITAR EXEMPTION?** (SEE [22 CFR PART 123](#))
- ☐ **IS MY PRODUCT SUBJECT TO THE EAR?** (SEE [15 CFR PART 734.2-5](#))
- ☐ **IS MY PRODUCT ON THE COMMERCE CONTROL LIST (CCL)?** (SEE [15 CFR PART 732](#)) IF YES, THEY WILL HAVE AN EXPORT CONTROL CLASSIFICATION NUMBER (ECCN).
- [ALPHABETICAL INDEX TO THE COMMERCE CONTROL LIST](#)
- ☐ **DO GENERAL PROHIBITIONS 4-10 APPLY?** (SEE [15 CFR Part 736 Introduction and List of Prohibitions 4-10](#))
- ☐ **DO I KNOW THE END USER AND END USE OF THE PRODUCT?** (SEE [15 CFR PART 744](#))
- [KNOW YOUR CUSTOMER GUIDANCE](#)
 - [CONSOLIDATED SCREENING LIST](#)
- ☐ **AM I SHIPPING TO A DESTINATION OF CONCERN?** (SEE [15 CFR PART 738](#), [Supplement No.1 \(15 CFR 738\) - Commerce Country Chart](#), [15 CFR PART 774 - COMMERCE CONTROL LIST](#), [Supplement No.1 \(15 CFR 740\) Country Groups](#)) AND ALSO ["BIS"](#) AND ["OFAC"](#) EMBARGOES AND SANCTIONS
- ☐ **DO I NEED A BIS (DEPARTMENT OF COMMERCE) LICENSE?**
- [DEPARTMENT OF COMMERCE-BIS DECISION TREE TOOLS](#)
 - [Supplement No.1 to 15 CFR Part 732 "The Decision Tree"](#) OR,
- ☐ **DOES MY PRODUCT QUALIFY FOR AN EAR LICENSE EXCEPTION?** (SEE [15 CFR Part 740](#))
- ☐ **DO ANY OTHER GOVERNMENT AGENCY REQUIREMENTS APPLY TO MY PRODUCT? DO ANY OF THOSE REQUIRE REPORTING IN THE AUTOMATED EXPORT SYSTEM?** (SEE [Appendix Q](#) and [Appendix X](#))
- ☐ **IS THERE ANY INDICATION OF RESTRICTIVE TRADE PRACTICES OR BOYCOTT LANGUAGE?** (SEE [15 CFR Part 760](#))
- ☐ **DID I PROVIDE MY FORWARDER WITH THE COMPLETE AND ACCURATE INFORMATION REQUIRED TO FILE EEI, OR AN ITN (INTERNAL TRANSACTION NUMBER) IF I FILED MY OWN EEI?** (SEE [15 CFR 30.3](#) AND [15CFR 30.6](#))
- ☐ **DID I PROVIDE MY FORWARDER WRITTEN AUTHORIZATION TO FILE AES ON MY BEHALF?** (SEE [15 CFR 30.3\(b\)\(3\)](#))
NOTE: PROVIDING AUTHORIZATION IS THE RESPONSIBILITY OF THE FPPI ON "ROUTED EXPORT TRANSACTIONS".
- ☐ **DID I REQUEST AND RECEIVE A COPY OF THE AES DATA TRANSMISSION FROM MY FORWARDER AND/OR AM I REVIEWING MY EEI TRANSMISSIONS FOR ACCURACY UTILIZING ACE REPORTS?** (SEE ["How to access ACE Export Reports"](#))

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