

# Completing the Shipper's Letter of Instructions (SLI)



Rev: 08/17

## 1. U.S. PRINCIPAL PARTY IN INTEREST (USPPI)

Provide the name and address of the U.S. exporter (U.S. principal party in interest). The USPPI is the person in the United States that receives the primary benefit, monetary or otherwise, from the export transaction. Generally, that person is the U.S. seller, manufacturer, order party, or foreign entity. The foreign entity must be listed as the USPPI if in the United States when the items are purchased or obtained for export. Report only the first five digits of the ZIP code.

## 2. USPPI EIN (IRS) No. or ID No.

Enter the USPPI's Internal Revenue Service Employer Identification Number (EIN) or Social Security Number (SSN) if no EIN has been assigned. Report the 9-digit numerical code as reported on your latest Employer's Quarterly Federal Tax Return, Treasury form 941. The EIN is usually available from your accounting or payroll department. If an EIN or SSN is not available, a border crossing number, passport number, or a Customs identification number must be reported.

## 3. PARTIES TO TRANSACTION

Check "Related" if you as the USPPI or the ultimate consignee owns directly or indirectly 10 percent or more of the other party as stated in FTR 15 CFR 30.6(a) (10). Otherwise check "Non-Related".

## 4. ULTIMATE CONSIGNEE

Enter the name and address, phone number, contact name and email address (if available) of the foreign party actually receiving the merchandise for the designated end-use or the party so designated on the export license.

For overland shipments to Mexico, also include the Mexican state in the address.

## 5. ULTIMATE CONSIGNEE TYPE

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.

- *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 the manufacturing process or provision of services and will not for resell or distribute the good.

- *Government Entity:* a government-owned or government-controlled agency, institution, enterprise or company

- *Re-seller*: 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 or whose ultimate consignee type is not known at the time of export.

## 6. INTERMEDIATE CONSIGNEE

Enter the name and address of the intermediate consignee (if any) shall be reported. The intermediate consignee acts in a foreign country as an agent for the principal party in interest or the ultimate consignee for the purpose of effecting delivery of the export shipment to the ultimate consignee. The intermediate consignee is the person named as such on the export license or authorized to act as such under the applicable general license and in conformity with the EAR.

## 7. DOCUMENTS ATTACHED

Place a check mark in each box which corresponds to the document(s) moving with the shipment.

## 8. ROUTED EXPORT TRANSACTION

If the movement of the cargo out of the U.S. is controlled by the USPPI or their forwarder, check “No”. If the movement of the cargo out of the U.S. is controlled by the foreign buyer’s forwarder, check “Yes”.

## 9. DECLARED VALUE FOR CARRIAGE

If applicable, enter the value of goods declared to the carrier by the shipper for the purposes of determining charges and establishing the liability of the carrier. If no value is to be declared for carriage, enter “NVD”, or leave blank.

## 10. DOES THE SHIPMENT CONTAIN DANGEROUS GOODS

Place a check mark in the appropriate box “Yes” or “No” indicating if the shipment contains Dangerous Goods / Hazardous Materials.

## 11. TERMS OF FREIGHT PAYMENT

Place a check mark in the appropriate box indicating the freight charges as “prepaid” or “Collect”.

## 12. TYPE OF SERVICE

Place a check mark in the appropriate box indicating if the shipment is moving by “Air” or “Ocean” service.

If “Air”: select the level of service either: “Express” or “Standard”

Place a check mark in the appropriate box indicating “Door to Door”, “Door to Airport”, or “Door to Port” service.

## 13. VERIFIED GROSS MASS (FCL only)

Enter the Verified Gross Mass (VGM). The Verified Gross Mass, or VGM, is required for FCL shipment modes only. There are two methods to obtain the VGM, which are specified [here](#).

#### 14. INCO TERMS

Place a check mark in the appropriate box to select the Inco term for the shipment. In addition, enter the "INCO TERM NAMED PLACE" in the field to indicate the named place of responsibility of the selected Inco Term.

#### 15. DUTY AND TAXES

Place a check mark in the appropriate box indicating who is responsible for payment of the foreign duties & taxes. "Exclusive" to indicate that the foreign importer is responsible, or "All Inclusive" to indicate that the U.S. Exporter is responsible.

#### 16. TBGFS QUOTE NUMBER

If there was a rate quote provided for the shipment, enter the quote number.

#### 17. POINT (STATE) OF ORIGIN OR FTZ NO.

Enter the U.S. State in which the shipment actually starts its journey to the port of export, or State of the commodity of the greatest value, or State of Consolidation. If the shipment is moving from a Foreign Trade Zone, enter the FTZ number for exports leaving the FTZ.

#### 18. COUNTRY OF ULTIMATE DESTINATION

Enter the country in which the merchandise is to be consumed, further processed, or manufactured; the final country of destination as known to the exporter at the time of shipment; or the country of ultimate destination as shown on the export license. Two-digit (alpha character) International Standards Organization (ISO) codes may also be used.

#### 19. SPECIAL INSTRUCTIONS

Enter any specific or additional instructions for the shipment not otherwise indicated on the form, if applicable.

#### 20. INSURANCE REQUESTED

Place a check mark in the appropriate "Yes" or "No" box indicating if Cargo Insurance is requested for the shipment. If "Yes", enter the value of the shipment for insurance.

#### 21. DOMESTIC OR FOREIGN (D or F)

Report Domestic and Foreign origin goods separately. In other words, if you have a single Schedule B and part of the value is domestic, part foreign, you must report the Schedule B twice, once with the domestic value and once with the foreign value.

*DOMESTIC EXPORTS (D):* merchandise grown, produced, or manufactured in the U.S. (including imported merchandise that has been enhanced in value or changed from the form in which imported by further manufacture or processing in the U.S.).

*FOREIGN EXPORTS (F):* merchandise that has entered the U.S. and is being re-exported in the same condition as when imported.

## 22. SCHEDULE B NUMBER

Enter all of the 10 digit Schedule B numbers that apply to your shipment here.

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.

For used self-propelled vehicles - report the following items of information for used self-propelled vehicles as defined in Customs Regulations 19 CFR 192:1 (1) Report the unique Vehicle Identification Number (VIN) in the proper format; (2) Report the Product Identification Number (PIN) for those used self-propelled vehicles for which there are no VINs; and (3) the Vehicle Title Number.

## 23. QUANTITY (SCHEDULE B UNITS)

Report the quantity for each Schedule B in Schedule B Units. For example, you may be shipping 5 cartons, but if the Schedule B unit is doz., you must report the number of dozens being shipping for that Schedule B. If the Schedule B unit is kgs., you must report the weight in kilos for that Schedule B.

Some commodities have a second Schedule B unit (secondary). If that is the case, you must also report that secondary quantity. Report also the unit specified on the export license if the units differ.

## 24. DDTC QUANTITY

Department of State/DDTC controlled transactions require additional reporting. The DDTC Unit of Measure (UOM) is separate and distinct from the Schedule B UOM. Refer to the license for the DDTC UOM.

Report the quantity being shipped in terms of the DDTC units of measure.

## 25. SHIPPING WEIGHT (kilograms)

Enter the gross shipping weight in kilograms for each Schedule B number. To determine kilograms, multiply 0.4536 = kilograms.

## 26. EXPORT CONTROL CLASSIFICATION NUMBER (ECCN)

Report the 5-character ECCN, EAR99 if your product is not on the Commerce Control List (CCL), or for products controlled under the International Traffic in Arms Regulations (ITAR), report the 2-digit U.S. Munitions List 2 category code.

Note: A product is only EAR99 if it is not controlled under the ITAR and is not on the Commerce Control List: [Commerce Control List-Alphabetical Index](#).

## 27. SME Indicator (Y/N)

Place a "Y" in this column for ITAR items designated Significant Military Equipment ("SME"). If the ITAR item is not SME, place an "N". Note: SME items on the USML are designated with an asterisk (\*).

## 28. EXPORT LICENSE No., LICENSE EXCEPTION SYMBOL, DDTC ECEMPTION No., DDTC ACM No. or NLR

On each Schedule B line, enter the license number, license exception code, DDTC exemption number, or “No License Required” (NLR) code. Whenever a Shipper’s Export Declaration (SED) or Automated Export System (AES) record is required: Enter the license number of the SED or AES record when you are exporting under the authority of a Department of Commerce, Bureau of Export Administration (BXA) license, Department of State, Office of Defense Trade Controls (ODTC) license, a Department of the Treasury, Office of Foreign Assets Control (OFAC) license (enter either the general or specific OCAC license number), a Department of Justice, Drug Enforcement Agency (DEA) permit, or any other export license number issued by a Federal government agency. For the BXA license the expiration date of the license must be entered on the paper version of the SED only. Enter the correct License Exception symbol (e.g. LVS, GBS, CIV) on the SED or AES record when you are exporting under the authority of a License Exception. You may refer to the Export Administration Regulations (EAR). Enter the “No License Required” (NLR) designator when you are exporting items under the NLR provisions of the EAR. When the items being exported are subject to the EAR but not listed on the Commerce Control List (CCL) (i.e. items that are classified as EAR99); and when the items being exported are listed on the CCL but do not require a license.

## 29. LICENSE VALUE BY ITEM

Required for all licensed transactions. Enter the license value for each item being shipped under the license here. For shipments requiring an export license, report the value designated on the export license that corresponds to the commodity [for the line item / quantity] being exported.

## 30. VALUE AT THE PORT OF EXPORT (U.S. Dollars)

For each Schedule B, report the value including U.S. inland freight and insurance to the port of export. If your commercial invoice value includes international transportation cost, deduct that to arrive back at the value at the port of export.

In general, the value to be reported in the EEI shall be the value of the goods at the U.S. port of export in U.S. dollars. 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. Cost of goods is the sum of expenses incurred in the USPPPI's acquisition or production of the goods. Report the value to the nearest dollar, omit cents. Fractions of a dollar less than 50 cents should be ignored, and fractions of 50 cents or more should be rounded up to the next dollar.

Selling price. The selling price for goods exported pursuant to sale, and the value to be reported in the EEI, is the USPPPI's price to the FPPI (the foreign buyer). Deduct from the selling price any unconditional discounts, but do not deduct discounts that are conditional upon a particular act or performance on the part of the foreign buyer. For goods shipped on consignment without a sale actually having been made at the time of export, the selling price to be reported in the EEI is the market value at the time of export at the U.S. port.

## 31. ELIGIBLE PARTY CERTIFICATION

If you are moving cargo against an ITAR exemption, you must select Yes or No to certify eligibility. DDTC eligible party certification indicator - certification by the U.S. exporter that the exporter is an eligible party to participate in defense trade. See 22 CFR 120.1(c). This certification is required only when an ITAR exemption is claimed.

### 32. DDTC APPLICANT REGISTRATION NUMBER

For Department of State, DDTC licensed transactions: Enter your Directorate of Defense Trade Controls (DDTC) Registration Number (also referred to as the Registration Code.)

DDTC Registration Numbers must always be shown in exactly six characters. Examples of acceptable registration number formats: M-1234 or M12345.

### 33. SIGNATURE OF DULY AUTHORIZED OFFICER OR EMPLOYEE

Provide the signature of the exporter (U.S. principal party in interest) or authorized forwarding or other agent certifying the truth and accuracy of the information on the Shipper's Letter of Instruction (SLI) and who can best answer questions for resolving problems on the SLI. If opting to use an Electronic Signature the USPPI must type the full name of the signatory in UPPERCASE letters in the signature box. Box 37 will also need to be checked in order to validate the electronic signature.

### 34. TYPE/PRINT NAME

Insert the name of the individual at the (USPPI) company that is authorized to act in this capacity on your behalf, and who is authorized to speak to CBP or other US Government Agency who might have reason to reach out to them on the transaction.

### 35. ELECTRONIC SIGNATURE

Check here to validate Electronic Signature. Electronic Signatures must be typed in all capital letters in box 33 in order to be valid

### 36. TITLE

Provide the title of the authorized officer or employee

### 37. DATE

Enter the date that you are signing this form. (MM/DD/YY).