



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):			Related		Non-Related		
8. USPPI Reference#:		9. Routed Export Transaction (select one):			Yes		No		
10. Ultimate Consignee Name & Address:		11. Ultimate Consignee Type (select one):			12. Intermediate Consignee Name & Address:				
		Direct Consumer							
		Government Entity							
		Reseller							
		Other/Unknown							
13. Are any of the goods intended for "Military End Use" or to a "Military End User" in the countries listed in 15 CFR 744.21(a). Refer to 15 CFR744.21(f) and (g) for definitions of Military End Use" and "Military End User".							Yes		No
14. State of Origin:		17. In-Bond Code:			20. TIB / Carnet?				
15. Country of Ultimate Destination:		18. Entry Number:			Yes				
16. Hazardous Material:		Yes No			19. FTZ Identifier:			No	
21. INSTRUCTIONS TO FORWARDER:									
22. Are there any items that require additional Partner Government Agency (PGA) reporting as in Appendix Q and Appendix X?							Yes		No
23. Gross Weight (kilos)		24. SOLAS Certification	By checking the Box 24 certification, I am certifying that the full shipment weight shown in box 23 is the Certified Gross Weight which may be added to the container tare weight and used as the Verified Gross Mass (VGM) under the Method 2 of the SOLAS VGM regulation dated July 1, 2016.						
25. Domestic or Foreign (D/F)	26. Schedule B / HTS Number and Commercial Commodity Description For Vehicles: VIN/Year, Make, Model and Vehicle Title Number are required	27. Quantity in Schedule B / HTS Units	28. DDTC Quantity and DDTC Unit of Measure	29. Shipping Weight (in Kilos)	30. ECCN, EAR99 or USML Category No.	31. S M E (Y/ N)	32. Export License No., License Exception Symbol, DDTC Exemption No., DDTC ACM No. or NLR	33. Value at the Port of Export (US Dollars)	34. License Value by item (if applicable) (US Dollars)
35. DDTC Applicant Registration Number:		36. Eligible Party Certification:			Yes		No		
37.	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. It does not authorize the forwarder to determine license authority or obtain licenses under EAR 758.3(b) or any other licensing agency.								
38. 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).									
39. USPPI Email Address:		40. USPPI Telephone No.:							
41. Printed Name of the Duly authorized officer or employee:									
42. Signature:	X.			43. Title:		44. Date:			



- 1. USPPPI Name** – Enter full USPPPI 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\(b\)\(2\)](#): The USPPPI is the person or legal entity in the USA that receives the primary benefit, monetary or otherwise, of the export transaction. Generally, that person or entity is the U.S. Seller, manufacturer, or order party. In general, the Freight Forwarder cannot be the USPPPI. Unauthorized use of the forwarder's or broker's name and/or EIN is prohibited.
  - 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 USPPPI for filing purposes.
- 2. USPPPI Address Including Zip Code** – Enter USPPPI 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 USPPPI 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 USPPPI name, enter company name of the location where cargo begins its journey to the port of export.
  - If the USPPPI 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. This is for information purposes only and will not be transmitted with the EEI filing
- 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 address might be different from the USPPPI address. Please include valid US Postal (Zip) code.
  - Enter the address where the cargo begins its journey to the port of export (if different from the USPPPI address in box #2).
  - Per [FTR 15 CFR 30.6\(a\)\(1\)\(ii\)](#): In all EEI filings, the USPPPI 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 USPPPI 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.
- 5. Forwarding Agent** – If you are not using a freight forwarder's "Shipper's Letter of Instruction" form, complete the name and address of the forwarding agent that you are authorizing (or that your buyer/FPPI has authorized) to transmit Electronic Export Information (EEI).
  - [FTR 15 CFR 30.6\(b\)\(1\)\(ii\) and \(iii\)](#): Report the name and address of the authorized agent. The authorized agent is that person or entity in the United States that is authorized by the USPPPI or the FPPI to prepare and file the EEI, or the person or entity, if any, named on the export license. (See [15 CFR 30.3\(c\)\(2\)](#) and [15 CFR 30.3\(e\)\(2\)](#) for details on the specific reporting responsibilities of authorized agents and Subpart B of this part for export control licensing requirements for authorized agents.)
- 6. USPPPI EIN (IRS) No.** – Report your 9-digit (numeric) company EIN. This must be the EIN of the party reported as the USPPPI. If your company utilizes a 2-character suffix (alpha-numeric) that you want reported, please include those characters. (Example 951234567AB).

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 USPPPI for filing purposes. In such situations, the foreign entity shall report a passport number, border crossing number, or any number assigned by CBP.

  - [FTR 15 CFR 30.6\(a\)\(1\)\(iii\)](#) – USPPPI identification number: The USPPPI shall report its own IRS EIN. If the USPPPI has only one EIN, report that EIN. If the USPPPI has more than one EIN, report the EIN that the USPPPI uses to report employee wages and withholdings, and not the EIN that is used to report only company earnings or receipts. If the USPPPI does not have an EIN, the USPPPI must obtain an EIN for reporting to the AES. Use of another company's or individual's EIN or other identification number is prohibited. See Census Guidance for obtaining an EIN. [https://www.census.gov/newsroom/blogs/global-reach/2018/01/employer\\_identificat.html](https://www.census.gov/newsroom/blogs/global-reach/2018/01/employer_identificat.html)

Note: If a foreign entity is in the United States at the time of purchase for export, a passport number may be used.
- 7. Related Party Indicator** – Check "Related" if you own 10% of the ultimate consignee or if they own 10% of your company. Otherwise check "Non-Related".
  - Check "Related" if you as the USPPPI 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"
  - Note: for the purpose of this box, the USPPPI and Ultimate Consignee are not considered "Related" simply because they are both owned by the same third company.
- 8. USPPPI Reference#** – Enter your shipment internal control / reference number – the number that you want the forwarder to refer to if they have any questions. This is for forwarder / shipper identification purposes only.

Note: This reference number is not the same as the Shipment Reference Number (SRN) that will be assigned by the filer and transmitted as defined by [15 CFR 30.6\(a\)\(19\)](#).

  - Enter your shipment internal control / reference number – the number that you want the forwarder to refer to if they have any questions.
  - This number is not the Shipment Reference Number that will appear on the EEI filing as defined by [15 CFR 30.6\(a\)\(19\)](#).
- 9. Routed Export Transaction** – If the movement of the cargo out of the U.S. is controlled by the USPPPI 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".
  - Check "No" if the USPPPI or their forwarder is controlling the movement of the cargo out of the U.S.
  - Check "Yes" if the foreign buyer's forwarder is controlling the movement of the cargo out of the U.S.
  - [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](#).



**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 name and address of the ultimate consignee, whether by sale in the United States or abroad or by consignment, shall be reported in the EEI. 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 mandatory field became 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.
  - **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 type is not known at the time of export.

**12. Intermediate Consignee Name and Address** - Enter the Intermediate Consignee name and address (if there is one), including country.

- FTR [15 CFR 30.6\(b\)\(2\)](#): 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.

**13. Military End Use/End User Certification** - Check "Yes" if goods are intended for Military End Use or for a Military End User as defined in [15 CFR 744.21](#)

Check "No" if they are not.

- **Check "Yes"** if any of the goods are intended for "Military End Use" as defined in [15 CFR 744.21\(f\)](#) or for a "Military End User" as defined in [15 CFR 744.21\(g\)](#) for countries as listed in [15 CFR 744.21\(a\)](#).
- **Check "No"** if goods are not intended for MEU as described above.

**14. State of Origin** - Enter the State from which the cargo began its journey to the port of export.

- FTR [15 CFR 30.6\(a\)\(4\)](#): The U.S. State of Origin is the 2-character postal code for the state from which the goods begin their journey to the port of export. For example, a shipment 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 Georgia as the state of origin. The U.S. state of origin may be different from the U.S. state where the goods were produced, mined, or grown. For shipments of multi-state origin, reported as a single shipment, report the U.S. state of the commodity with the greatest value. If such information is not known, report the state in which the commodities are consolidated for export.

**15. Country of Ultimate Destination** - Report the country in which the goods are going to be consumed, further processed, stored or manufactured.

For State Department (ITAR) licensed transactions, use the Country of Ultimate Destination that is shown on the license.

- FTR [15 CFR 30.6\(a\)\(5\)](#): The country of ultimate destination is the country in which goods are to be consumed, further processed, stored, or manufactured, as known to the USPPI at the time of export. In the case of a Department of State license, the country of ultimate destination must match the country specified on the license, which generally coincides with the address of the named end user.

**16. Hazardous Material** - Check "Yes" if the shipment contains hazardous cargo.

Otherwise Check "No".

- Select "Yes" or "No". FTR [15 CFR 30.6\(a\)\(21\)](#): The hazardous material indicator identifies whether the shipment is hazardous as defined by the Department of Transportation.

**17. In-Bond Code** - If your cargo is moving in bond, advise the bond type code here. Otherwise indicate: "70" - "Not In Bond".

- Per [15 CFR 30.6\(a\)\(22\)](#): The code indicating whether [or not] the shipment is being transported under bond.
- One of the following in-bond numbers will be reported. If your cargo is moving in bond, advise the type here. (Reference AES Trade Interface Requirements (AESTIR) - page 1a-21.)
  - **70** = not in bond;or select one of the following "in-bond" codes:
  - **36** = warehouse withdrawal for immediate export ("IE");
  - **37** = warehouse withdrawal for transportation and exportation ("T&E");
  - **67** = IE from a Foreign Trade Zone (FTZ); Please also provide FTZ Identifier in box #19;
  - **68** = T&E from a Foreign Trade Zone (FTZ). Please also provide the FTZ Identifier in box #19.
- Note: The Entry Number (Box 18) is required for "In Bonds".



**18. Entry Number** – Enter “Entry Number” if required.

- FTR [15 CFR 30.6\(b\)\(13\)](#): The entry number must be reported for goods that are entered in lieu of being transported under bond for which the importer of record is a foreign entity or, for re-exports of goods withdrawn from a FTZ for which a NAFTA/USMCA deferred duty claim (entry type 08) could have been made, but that the importer elected to enter for consumption under CBP entry type 06. For goods imported into the United States for export to a third country of ultimate destination, where the importer of record on the entry is a foreign entity, the USPPi will be the authorized agent designated by the foreign importer for service of process. The USPPi, in this circumstance, is required to report the import entry number.

**19. FTZ Identifier** – Enter the 7 or 9-character Foreign Trade Zone identifier.

- Per FTR [15 CFR 30.6\(b\)\(3\)](#): If goods are removed from the FTZ and not entered for consumption, report the FTZ identifier. This is the unique identifier assigned by the Foreign Trade Zone Board that identifies the FTZ, subzone or site from which goods are withdrawn for export. The FTZ Identifier must be 7 or 9 positions. (Reference [AES Trade Interface Requirements \(AESTIR\)](#) – page 1a-21.)
- **When using the 7-position format report as follows:**
  - Position 1-3: General Purpose Zone (NNN – 3 numeric)
  - Position 4-5: Subzone (XX – 2 alphanumeric characters)
  - Position 6-7: Site (XX – 2 alphanumeric characters)
- **When using the 9-position format report as follows:**
  - Position 1-3: General Purpose Zone (NNN – 3 digits)
  - Position 4-6: Subzone (XXX – 3 alphanumeric characters)
  - Position 7-9: Site (XXX – 3 alphanumeric characters)
- Insert zeros when there is no subzone or site. Report leading zero(s) when general purpose zone is less than 3 numeric and when the subzone or site is 1 alphanumeric character for reporting 7 position FTZ identifiers or 1 or 2 alphanumeric characters for reporting 9 position FTZ identifiers.
- **Examples:**
  - If General Purpose Zone is 26, Subzone is A and Site is 1 and a 7 position FTZ identifier is being reported, report 0260A01.
  - If the General Purpose Zone is 26, Subzone is T2, Site is 1 and a 9 position FTZ identifier is being reported, report 0260T2001).

**20. TIB / Carnet?** Check “Yes” or “No”.

- Check “Yes” or “No”.
- Note: The reporting exemptions for temporary exports, [15 CFR 30.37\(q\)](#) and temporary imports, [15 CFR 30.37\(r\)](#), both of which include Carnets, were removed for a time, but were reinstated.

**21. Instructions to Forwarder** – Utilize this area to provide additional instruction to your freight forwarder.

- Customize this section to include your company specific requirements, such as Prepaid/Collect, Air/Ocean, Insurance, etc.

**22. Is any Partner Government Agency (PGA) Reporting Required?** – Several other US Government Agencies are collecting data through AES, replacing their manual processes. Check AES Trade Interface Requirements (AESTIR) Appendices Q and X to see if PGA reporting is required. If it is, provide the required data elements to the AES filing agent (the forwarder if they are filing).

You can show them anywhere in the body or special instructions sections of the SLI.

- **AESTIR APPENDICES:**
  - [Link to Appendix Q:](#)
  - [Link to Appendix X:](#)
- Additional Instructions: Exporter must provide the required PGA data elements to the filing agent.

**23. Gross Weight in Kilos** – Applicable for ocean shipments per the Safety of Life at Sea (SOLAS) Convention.

- Certified Gross Weight that may be added to the container tare weight and used as the Verified Gross Mass (VGM)
- Total of all weight for this shipment including all packing materials, dunnage, blocking and bracing.

**24. SOLAS Certification** – Check the box to certify the gross weight stated on box 23.

- As required by the International Maritime Organization (IMO) under the Safety of Life at Sea (SOLAS) convention that became effective on July 1, 2016, all containers tendered for transport aboard ocean vessels must have a shipper Verified Gross Mass (VGM) submitted to the ocean carrier and terminal prior to being loaded aboard vessel at port of debarkation. Some Marine Terminal Operators (MTOs) may require the VGM be presented prior to entry into the ocean terminal.
- Calculating Verified Gross Mass (VGM) VGM= Container Contents Gross weight + Tare Weight,
  - **Method 1:** Weight of the packed of sealed containers:  
VGM = Gross weight of tractor and trailer minus the combined (chassis tare + tractor Weight + fuel).
  - **Method 2:** Weight of all container contents plus container tare:  
VGM = Weight of all contents of container (including packing materials, dunnage, pallets, etc. plus container tare).

**25. Domestic or Foreign (D/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.

- FTR [15 CFR 30.6\(a\)\(11\)](#): The domestic or foreign indicator indicates if the goods exported are of domestic or foreign origin as defined in [15 CFR 30.1\(c\)](#). Report foreign goods separately from goods of domestic production even if the commodity classification number is the same.
  - (i) **Domestic.** Exports of domestic goods include: Those commodities that are grown, produced, or manufactured (including commodities incorporating foreign components) in the United States, including goods exported from U.S. FTZs, Puerto Rico, or the U.S. Virgin Islands; and those articles of foreign origin that have been enhanced in value or changed from the form in which they were originally imported by further manufacture or processing in the United States, including goods exported from U.S. FTZs, Puerto Rico, or the U.S. Virgin Islands.



(ii) **Foreign.** Exports of foreign goods include those commodities that are grown, produced, or manufactured in foreign countries that entered the United States including goods admitted to U.S. FTZs as imports and that, at the time of exportation, have undergone no change in form or condition or enhancement in value by further manufacture in the United States, in U.S. FTZs, in Puerto Rico, or in the U.S. Virgin Islands.

**26. Schedule B / HTS Number and Commercial Commodity Description For Vehicles: VIN/Year, Make, Model and Vehicle Title Number are also required.** – Enter all of the 10-digit Schedule B or HTSUSA numbers that apply to your shipment here. The full 10 digits are required.

Report a commercial / generic commodity description that will allow CBP and other government agencies to recognize the product, to identify that it falls into the Schedule B classification, and in the case of licensed cargo, to identify that the product is clearly the product described on the license. **This field is not intended for the description from the Schedule B table.**

For Used Self Propelled Vehicles (as described in the CBP regulations part 192.1 and listed on AESTIR Appendix U, filing is required for all values (even those \$2500 or less) 72 hours prior to export.

- Enter all of the 10-digit Schedule B or HTSUSA numbers that apply to your shipment here.
- **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.
- **Commercial Commodity Description:** You should not copy the Schedule B description into this field. 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.
- **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 hours 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.

**27. Quantity in Schedule B / HTS 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 shipped for that Schedule B. If the Schedule B unit is kgs., you must report the net 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.

- FTR 15 CFR 30.6(a)(15) Primary Quantity: The quantity is the total number of units that correspond to the first unit of measure specified in the Schedule B or HTSUSA. Where the unit of measure is in terms of weight (grams, kilograms, metric tons, etc.), the quantity reflects the net weight, not including the weight of barrels, boxes, or other bulky coverings, and not including salt or pickle in the case of salted or pickled fish or meats. For a few commodities where “content grams” or “content kilograms” or some similar weight unit is specified in Schedule B or HTSUSA, the quantity may be less than the net weight. The quantity is reported as a whole unit only, without commas or decimals. If the quantity contains a fraction of a whole unit, round fractions of one-half unit or more up and fractions of less than one-half unit down to the nearest whole unit. (For example, where the unit for a given commodity is in terms of “tons,” a net quantity of 8.4 tons would be reported as 8 for the quantity. If the quantity is less than one unit, the quantity is 1).

*Note: Some Schedule B / HTS numbers have a secondary quantity that must also be reported.*

**28. DDTC Quantity and DDTC Unit of Measure** – 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.

- DDTC Unit of Measure (UOM) – FTR 15 CFR 30.6(b)(16)(v): 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.
- DDTC Quantity – FTR 15 CFR 30.6(b)(16)(vi): This quantity is for the article being shipped. The quantity is the total number of units that corresponds to the DDTC UOM code.
- The DDTC UOM and DDTC Quantity will likely be different from the Schedule B / HTS UOM/Qty.

**29. Shipping Weight (in Kilos)** – Report the weight in kilos for each Schedule B.

- FTR 15 CFR 30.6(a)(16): The shipping weight is the weight in kilograms, which includes the weight of the commodity, as well as the weight of normal packaging, such as boxes, crates, barrels, etc. The shipping weight is required for exports by air, vessel, rail, and truck, and required for exports of household goods transported by all methods. For containerized cargo in lift vans, cargo vans, or similar substantial outer containers, the weight of such containers is not included in the shipping weight. If the shipping weight is not available for each Schedule B or HTSUSA item included in one or more containers, the approximate shipping weight for each item is estimated and reported. The total of these estimated weights equals the actual shipping weight of the entire container or containers.

**30. ECCN, EAR99 or USML Category No.** – The USPPPI is responsible for classifying their products to determine licensing requirements, if any. The USPPPI should always complete this field as the USPPPI is responsible for licensing determination.

ECCN – The 5-character ECCN from the Commerce Control List. (Start with the [Commerce Control List Index](#)).

EAR99 – for goods that are not on the Commerce Control List or controlled under the ITAR. Note: A product is only EAR99 if it is not controlled under the ITAR and is not on the Commerce Control List

USML Category Code – for goods controlled under the ITAR.

- Report either:
  - The 5-character ECCN for products listed on the Commerce Control List;
  - EAR99 if your product is not listed on the Commerce Control List (CCL) or controlled under the International Traffic in Arms





- Regulations (ITAR); or
  - The 2-character U.S. Munitions List category code for products that are controlled (ITAR).
- **ECCN:** FTR [15 CFR 30.6\(b\)\(6\)](#): Export Control Classification Number (ECCN): The number used to identify items on the Commerce Control List (CCL), [Supplement No. 1 to 15 CFR Part 774](#) of the EAR. The ECCN consists of a set of digits and a letter.  
The CCL is also accessible on-line at <http://www.bis.doc.gov/index.php/regulations/export-administration-regulations-ear>. Guidance on how to use the CCL and determine your ECCN is provided by the Bureau of Industry and Security's (BIS) Office of Exporter Services in Washington, DC Headquarters at (202) 482-4811 and in their Western Regional Offices in California on (949) 660-0144 or (408) 998-8806.
  - **EAR99:** Items that are not classified under an ECCN and that are not controlled by the Department of State are designated "EAR99". EAR99 items generally consist of low-technology consumer goods and do not require a license in many situations. However, if your proposed export of an EAR99 item is to an embargoed country, to an end-user of concern or in support of a prohibited end-use, you may be required to obtain a license if it is not subject to a General License.
  - **USML Category Number:** As noted in FTR [15 CFR 30.6\(b\)\(16\)\(iv\)](#), for items controlled by the Department of State, report the DDTC category number of the articles, service or technical data being exported (see [22 CFR 121 - The U.S. Munitions List \(USML\)](#)).

**31. 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" in this column.

Note: SME items on the U.S. Munitions List (USML) are designated with an asterisk (\*).

- 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 (\*).*
- FTR [15 CFR 30.6\(b\)\(16\)\(ii\)](#): DDTC Significant Military Equipment (SME) indicator. A term used to designate articles on the USML ([22 CFR 121](#)) for which special export controls are warranted because of their capacity for substantial military utility or capability. See [22 CFR 120.7](#) and [121.1\(a\)\(2\)](#) for definitions of SME and [22 CFR 121.1](#) for items designated as SME articles.

**32. Export License No., License Exception Symbol, DDTC Exemption 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.

If the license determination applies to all lines, clearly indicate that on the form.

Note: EAR99 products are not always "NLR" and all products that qualify for "NLR" are not necessarily EAR99.

- EAR [15 CFR 758.1\(g\)](#): For each item on the AES record, you must show the license authority: License number, License Exception, or No License Required (NLR).
- FTR: [15 CFR 30.6\(b\)\(5\)](#): Export license number/CFR citation/KPC number. License number, permit number, citation, or authorization number assigned by the Department of Commerce, BIS; Department of State, DDTC; Department of the Treasury, OFAC; Department of Justice, DEA; Nuclear Regulatory Commission; or any other federal government agency.
- Note re: ACM#: [22 CFR 126.16](#) (Australia) & [22 CFR 126.17](#) (United Kingdom): Enter an Approved Community Member Number (ACM#) if your ITAR license exemption is pursuant to the Defense Trade Cooperation Treaties between the U.S. and the United Kingdom or Australia. The ACM# format for the United Kingdom must begin with UK followed by 9 numbers. The ACM# format for Australia must begin with DTT followed by 8 numbers.

**33. Value at the Port of Export (US 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.

- FTR [15 CFR 30.6\(a\)\(17\)](#): 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 USPP'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.  
**(i) Selling price.** The selling price for goods exported pursuant to sale, and the value to be reported in the EEI, is the USPP'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.

**34. License Value by item (if applicable) (US Dollars)** – The license value field became effective April 5, 2014 – required for all licensed shipments: Enter the license value for each line item being shipped under the license.

- Required for all licensed transactions:  
Enter the license value for each item being shipped under the license ([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 **for the line item / quantity** currently being exported.
- **Important Note:** You should only report the value of the items being exported at that time – not the total value of the license or of that commodity.
- **WARNING! Reporting inaccurate license value may prematurely exhaust your license.**

**35. 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.

- For Department of State, DDTC licensed transactions: Enter your Directorate of Defense Trade Controls (DDTC) Registration Number (also referred to as the Registration Code.)
- FTR [15 CFR 30.6\(b\)\(16\)\(i\)](#): Report the DDTC Registration Number assigned by the DDTC to persons who are required to register per [22 CFR Part 122](#) of the ITAR ([22 CFR parts 120 through 130](#)), and have an authorization (license or exemption) from DDTC to export the article.



- Before applying for ITAR licenses or using an ITAR license exemption, exporters must first register with DDTC.) DDTC Registration Numbers must always be shown in exactly six characters. Examples of acceptable registration number formats: M-1234 or M12345.

**36. Eligible Party Certification** – If you are moving cargo against an ITAR exemption, you must select “Yes” or “No” to certify eligibility.

- FTR [15 CFR 30.6\(b\)\(16\)\(iii\)](#): DDTC eligible party certification indicator. Certification by the U.S. exporter that the exporter has self-certified for the exemption and as 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.

**37. 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.** – Check if you are authorizing the named forwarder to file the EEI on your behalf.

- 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. See [15 CFR 30.1\(c\)](#) – Definitions and [15 CFR 30.3\(c\)\(1\)\(ii\)\(B\)](#).
- This is the minimum required language. You can add language as determined by your legal counsel.

**38. “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).”** – Certification to truth and accuracy of information provided.

**39. USPPI E-mail Address** – Insert the email address of the authorized USPPI contact.

- Insert the email address of the authorized USPPI contact.

**40. USPPI Telephone No.** – Insert telephone number of the authorized USPPI contact.

- FTR [15 CFR 30.6\(a\)\(1\)\(iv\)](#) Contact Information: Show contact’s telephone number.

**41. Printed Name of Duly Authorized Officer or Employee:** – Insert the name of the individual in your (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.

- FTR [15 CFR 30.6\(a\)\(1\)\(iv\)](#) Contact Information: Show contact’s full name.

**42. Signature** – Sign

For electronic signature validation, type in UPPERCASE letters.

- If opting to use an electronic signature the USPPI must type the full name of the signatory in UPPERCASE letters in the signature box.
- If submitting this SLI via email, the email will serve as validation of the signature. The email address should include the name of the individual and/or company.

**43. Title** – Title of the USPPI authorized contact.

- Enter title of the authorized officer or employee.

**44. Date** – Enter the date that you are signing this form.

- Enter the date that you are signing this form.