



Shipper's Letter of Instruction (SLI)

UPS Supply Chain Solutions®
May 2023



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SLI Instruction

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Overview

PURPOSE

The Shipper's Letter of Instructions (SLI) is a shipping document, completed by the shipper/exporter, that provides transportation and documentation instructions for a freight forwarder or carrier.

It can also authorize the forwarder to act on behalf of the shipper and to transmit Electronic Export Information (EEI) to the Automated Export System (AES).

TEMPLATE DOCUMENT

The Shipper's Letter of Instruction can be accessed from the UPS Supply Chain Solutions® site.

| SHIPPER'S LETTER OF INSTRUCTION / AIR WAYBILL | | | | | | | | | | AIR FREIGHT SERVICES | | | | | | | | | | | |
|---|--|--|--|---|---|--------------------------------------|-----------------------|---|------------|---|-------------|--------------------------|--|---|--|---|--|---------------------------------------|--|---|--|
| Thank you for shipping via UPS Supply Chain Solutions, Inc. | | | | | | | | | | | | | | | | | | | | | |
| 1. U.S. PRINCIPAL PARTY IN INTEREST (USPPI) (Complete name and address) | | | | | SHIPPER'S ACCOUNT # | | CONSIGNEE'S ACCOUNT # | | GATEWAY | | DESTINATION | | | | | | | | | | |
| ZIP CODE | | | | | DATE OF EXPORTATION | | ORIGIN | | SHIPMENT # | | | | | | | | | | | | |
| 2. USPPI EIN (IRS) OR ID NO. | | | | | On receipt of the shipment described below, UPS Supply Chain Solutions, Inc. (UPS) and its agents are requested and authorized to act as agent for the shipper, prepare and issue carrier's air waybill, sign such air waybill in the name of the undersigned, consign such shipment for carriage to destination or for onward carriage and delivery by any other transportation organization in accordance with the terms and conditions contained in carrier's air waybill, tariffs, rules and regulations, and the UPS Terms and Conditions of Contract, including provisions thereof limiting liability to the shipper's "declared value for carriage," and to prepare and execute in shipper's name any documents required for export. | | | | | | | | | | | | | | | | |
| 3. ULTIMATE CONSIGNEE (Complete name and address) | | | | | | | | | | | | | | | | | | | | | |
| CONSIGNEE CONTACT | | | | | | | | | | | | | | | | | | | | | |
| TELEPHONE | | | | | FORM OF PAYMENT (If no Form of Payment is indicated, shipper shall be liable for charges.) | | | | | | | | | | | | | | | | |
| 4. INTERMEDIATE CONSIGNEE (Complete name and address) | | | | | <input type="checkbox"/> PREPAID <input type="checkbox"/> COLLECT <input type="checkbox"/> CIBL* <input type="checkbox"/> CHECK ON PICK UP <input type="checkbox"/> BILL TO THIRD PARTY *Refer to CIBL # below PAID FOR | | | | | | | | | | | | | | | | |
| 5. FORWARDING AGENT UPS SUPPLY CHAIN SOLUTIONS, INC. 17380 MORRIS ROAD, ALPHARETTA, GA 30005 ID No. 54-308551500 | | | | | RECEIVED BY (Initials) <input type="checkbox"/> SHIPPER <input type="checkbox"/> CONSIGNEE \$ <input type="checkbox"/> THIRD PARTY | | | | | | | | | | | | | | | | |
| 6. USPPI REFERENCE NO. | | | | | 7. ULTIMATE CONSIGNEE TYPE (Choose only one box at right) <input type="checkbox"/> Government Entity <input type="checkbox"/> Direct Consumer <input type="checkbox"/> Reseller <input type="checkbox"/> Other/Unknown | | | | | | | | | | | | | | | | |
| CHECK SERVICES <input type="checkbox"/> PUERTO RICO (Next Day) <input type="checkbox"/> UPS Air Freight Premium Direct <input type="checkbox"/> UPS Air Freight Direct <input type="checkbox"/> UPS Air Freight Consolidated <input type="checkbox"/> UPS Expedited Air Freight (US-MX-CX) <input type="checkbox"/> UPS Expedited Ground Freight (US-MX-CX) | | | | | CHECK OPTIONS <input type="checkbox"/> Door-to-Door Day <input type="checkbox"/> Door-to-Airport <input type="checkbox"/> Airport-to-Airport <input type="checkbox"/> Customs Clearance (Guaranteed for US-MX applies) <input type="checkbox"/> Delivery | | | | | 8. ROUTED EXPORT TRANSACTION <input type="checkbox"/> YES <input type="checkbox"/> NO | | | | | | | | | | | |
| SHIPPER REQUESTS INSURANCE <input type="checkbox"/> Yes -- Enter Amount \$ <input type="checkbox"/> No | | | | | DECLARED VALUE FOR CARRIAGE \$ | | | | | 9. POINT (STATE) OF ORIGIN OR FTZ NO. | | | | | | | | | | | |
| PCS 16. Domestic or Foreign (D/F) | | 17. Schedule B / HTSUS Number and Description (For Vehicles VIN/ Year, Make, Model and Vehicle Title Number is required) | | 18. Quantity in Schedule B / HTSUS Unit(s) and/or DOTC City & UOM | | 19. DOTC Insert a "Y" if Item is SME | | 20. DOTC license line # (If applicable) | | 21. DOTC Eligible Party Certification (If applicable) | | 22. Shipping Weight (KG) | | 23. ECCN / EAR99 (Mandatory) or USML Category (If applicable) | | 24. Export License #, Lic. Exception Symbol, or DOTC Exempt # | | 25. Value at the port of Export (USD) | | 26. License Value (USD) (If applicable) | |
| 27. DOTC Registration Number (If applicable) | | | | | 28. DOTC ACM # (If applicable) | | | | | DOCUMENTS ATTACHED <input type="checkbox"/> COMMERCIAL INVOICE <input type="checkbox"/> CERTIFICATE OF ORIGIN <input type="checkbox"/> CIBL # <input type="checkbox"/> PACKING LIST <input type="checkbox"/> LETTER OF CREDIT <input type="checkbox"/> DANGEROUS GOODS DECLARATION <input type="checkbox"/> BANKING (SIGHT DRAFT) <input type="checkbox"/> EXPORT LICENSE <input type="checkbox"/> IMPORT LICENSE <input type="checkbox"/> OTHER | | | | DOCUMENTS TO BE PREPARED <input type="checkbox"/> INSURANCE CERTIFICATE <input type="checkbox"/> CONSULAR INVOICE <input type="checkbox"/> OTHER <input type="checkbox"/> CERTIFICATE OF ORIGIN <input type="checkbox"/> BANKING (SIGHT DRAFT) PCS L W H Unit of Measure <input type="checkbox"/> IN <input type="checkbox"/> CM | | | | | | | |
| 29. <input type="checkbox"/> Check here if there are any remaining non-licensable Schedule B / HTS Numbers that are each valued below \$2,500. | | | | | 30. <input type="checkbox"/> Check here if the USPPI authorizes the above named forwarder to act as Forwarding Agent for export control Census reporting, Customs purposes and to prepare and submit the Electronic Export Information into the Automated Export System. | | | | | 31. 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. 2401b). | | | | | | | | | | | |
| 32. USPPI E-mail address | | | | | 33. USPPI Telephone No. (include area code) | | | | | 34. Duly authorized officer or employee (printed name) | | | | | | | | | | | |
| 35. Signature | | | | | 36. Title | | | | | 37. Date | | | | | | | | | | | |
| 38. Confidential --- For use solely for official purposes authorized by the Secretary of Commerce (13 U.S.C. 301 (g)). Export shipments are subject to inspection by U.S. Customs Service and/or Office of Export Enforcement. <input type="checkbox"/> I have read and agree to the Terms & Conditions. | | | | | The rules relating to liability of the Warsaw Convention shall apply insofar as the same is governed thereby. UPS shall not be liable for special, incidental or consequential damages. Unless a higher value is declared and an additional charge paid, the liabilities of UPS are limited to an amount set forth in UPS's Terms and Conditions of Contract. The non-negotiable air waybill is subject to UPS's Terms and Conditions of Contract, set forth on the reverse of the Shipper's Receipt. | | | | | | | | | | | | | | | | |
| 39. This shipment is subject to the UPS Air Freight Terms and Conditions of Contract, the parties of which are incorporated by reference, and any Agreement between the parties in effect on the day of shipment. | | | | | SHIPPER'S SPECIAL INSTRUCTIONS Enter your AES Internal Transaction Number (ITN) if EEI data was electronically filed by you: | | | | | | | | | | | | | | | | |
| UPS SUPPLY CHAIN SOLUTIONS, INC. 17380 MORRIS ROAD, ALPHARETTA, GA 30005 | | | | | GOODS RECEIVED IN APPARENT GOOD ORDER AT: <input type="checkbox"/> Shipper's Door <input type="checkbox"/> Service Center <input type="checkbox"/> Carrier Advance <input type="checkbox"/> Residence <input type="checkbox"/> Convention | | | | | | | | | | | | | | | | |
| | | | | | TIME DATE # OF SHIPMENTS ROUTE # EMPLOYEE ID # | | | | | | | | | | | | | | | | |



Glossary Terms

OVERVIEW

A breakdown of terms used in the SLI document descriptions. All definitions are sourced from either the [United States Census Bureau website](#) or [UPS Supply Chain Solutions' Glossary section](#).

Electronic Export Information (EEI)

- The electronic declaration of merchandise leaving the U.S. for export to a foreign country.

Automated Export System (AES)

- It is the system for collecting, processing, and storing Electronic Export Information (EEI) from persons or entities exporting goods from the United States, Puerto Rico, or the U.S. Virgin Islands.

Exporter Identification Number (EIN)

- An exporter identification number (EIN) is required for shipping goods from United States to other foreign country. The EIN is issued by Internal Revenue Service, Department of Treasury. It is filed through the Automated Export System.

U.S. Principal Party in Interest (USPPI)

- The person in the United States that receives the primary benefits, monetary or otherwise, of the export transaction. Person is normally the U.S. seller, manufacturer, order party or foreign entity.

Foreign Trade Zone (FTZ)

- A United States Foreign Trade Zone is a physical, secure area within the US, often located in or close to a Port of Entry. An FTZ is considered outside of the Customs territory of the United States, and so shippers can avoid paying customs duties on items while they remain inside a zone.

Intermediate Consignee

- The person that acts as an agent for a principal party in interest and takes possession of the items for the purpose of effecting delivery of the items to the ultimate consignee.

Ultimate Consignee

- The person, party, or designee that is located abroad and receives the export shipment. This party may be the end user.

Forwarding Agent

- The person in the United States who is authorized by the principal party in interest to facilitate the movement of the cargo from the United States to the foreign destination and/or prepare and file the required documentation.



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Schedule B

- The Schedule B is maintained by the U.S. Census Bureau and is based on the 4- and 6-digit headings and subheadings of the international [Harmonized System \(HS\)](#).

International Traffic in Arms Regulations (ITAR)

- Regulations administered by the Directorate of Defense Trade Controls (DDTC) within the U.S. State Department that provide for the control of the export and temporary import of defense articles and defense services.

Routed Export Transportation

- A transaction in which the Foreign Principal Party in Interest (FPPI) authorizes a US agent to facilitate export of items from the United States on its behalf and file the EEI.

Please Note: There is a new regulation implemented on July 1, 2023 for the EORI number of the consignee to be provided for any shipment going to EU, Norway, Switzerland and Northern Ireland. Though this is not required on the SLI, it is required for shipments going to the above listed destinations.



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SLI Field Descriptions

| Field # | Description | Completion Instructions |
|---------|--|--|
| 1 | U.S. Principal Party in Interest (USPPI) | Add the complete name and address for the USPPI. Be sure to include the 5-digit zip code in its own field. |
| 2 | USPPI EIN (IRS) or ID No. | Enter the USPPI EIN number. This number is issued by the IRS and filed through the Automated Export System. To apply for an EIN number, please visit the IRS website and read through the application steps. |
| 3 | Ultimate Consignee | Enter the Consignee's name and address with contact party name and their telephone number. The Ultimate Consignee is the person, party, or designee that is located abroad that receives the export shipment. |
| 4 | Intermediate Consignee | If this transaction involves a foreign Intermediate Consignee, enter its complete name and address. The Intermediate Consignee may be a bank, forwarding agent, or other person who acts as an agent for a principal party in interest. |
| 5 | Forwarding Agent | This is pre-populated with the UPS Supply Chain Solutions, Inc. corporate address and EIN |
| 6 | USPPI Reference No. | Enter the USPPI's shipment reference number |
| 7 | Ultimate Consignee Type | Check one box indicating the primary business function of the Ultimate Consignee for this shipment. If more than one type applies to the ultimate consignee, report the type that applies most often. It is mandatory that one of these boxes be selected by the USPPI: <ul style="list-style-type: none">• Check the "Government Entity" box if the ultimate consignee is a government-owned or government-controlled agency, institution, enterprise or company.• Check the "Direct Consumer" box if the Ultimate Consignee is 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 |



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| | | <p>provision of services and will not resell or distribute the good.</p> <ul style="list-style-type: none">• Check the "Reseller" box if the ultimate consignee is a non-government reseller, retailer, wholesaler, distributor, distribution center or trading company. <p>Check the "Other/Unknown" box if the ultimate consignee is not a Direct Consumer, Government Entity or Reseller, or whose Ultimate Consignee type is not known at the time of export.</p> |
| 8 | Routed Export Transaction | <p>Indicate if this transaction has been designated a "Routed Export Transaction."</p> <p>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.</p> <p>If designated as a "Routed Export Transaction", the Foreign Principal Party in Interest/FPPI must provide the U.S. Forwarding Agent with a Power of Attorney unless the FPPI has provided the USPPI with written authorization that the USPPI is assuming responsibility for filing the Electronic Export Information in the Automated Export System.</p> |
| 9 | Point (State) of origin or FTZ No. | <p>Enter the state abbreviation for the state from where the shipment begins its journey. For example, a shipment that starts in Georgia and is transported to Florida will show Georgia as the state of origin.</p> <p>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.</p> <p>Enter the Foreign Trade Zone (FTZ) Location ID number if this shipment is originating from FTZ.</p> |
| 10 | Parties to Transaction | <p>Check the "Related" box if this transaction involves trade between a USPPI and an Ultimate Consignee where either party owns directly or indirectly 10 percent or more of the other party.</p> <p>Check the "Non-Related" box if neither party owns a minimum of 10 percent of the other party.</p> |



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| 11 | Country of Ultimate Destination | Enter the name of the country of the ultimate destination. The country of ultimate destination is the country the shipment has its final arrival. |
| 12 | Hazardous Materials | Enter "Yes" or "No" to indicate if the shipment is hazardous as defined by the U.S. Department of Transportation. If "Yes", U.S. law requires the shipper to prepare and sign a separate Dangerous Goods declaration. |
| 13 | Country of Origin (Manufacture) | Enter the name of the country in which the goods were manufactured. |
| 14 | In-bond Type | If this shipment is traveling under a bond, enter the In-Bond Type code here as follows: 36=warehouse withdrawal for Immediate Export 37=warehouse withdrawal for Transportation and Exportation 67=Immediate Exportation from a Foreign Trade Zone (FTZ) 68=Transportation and Exportation from a FTZ. |
| 15 | Entry Number | Enter the In-Bond number as the Entry Number if departing from a Foreign Trade Zone (FTZ). The entry number is used when the goods for the shipment originate in an FTZ. |
| 16 | Domestic or Foreign (D/F) | Enter "D" if the goods are of domestic origin, or "F" if they are of foreign origin. Report foreign goods separately from goods of domestic production even if the commodity classification number is the same. 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 Exports of foreign goods include those commodities that are grown, produced, or manufactured in foreign countries that entered the United as imports |
| 17 | Schedule / HTSUS Number and Description – | Enter the 10-digit Schedule B or Harmonized Tariff Schedule of the United States (HTSUS) commodity classification number. Enter as many different commodity classification numbers as possible that apply |



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| | | <p>to your shipment, each on its own separate line along with its individual details.</p> <p>Report the description of the goods shipped in English and in full detail to distinguish them from other commodity goods.</p> |
| 18 | Quantity in Schedule B/ HTSUS Units) and/or DDTC Qty & UOM | <p>Enter the Quantity and Unit of Measure (UOM) in the type of units that correspond to the first unit of measure specified in the Schedule B or Harmonized Tariff Schedule of the United States (HTSUS). 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 to be declared shall be one.</p> <p>If Schedule B or HTSUS specifies the reporting of a second quantity and different UOM, enter them separately in this box. For example, where the units for a given commodity is shown in terms of "M2" (square meters) and "KG" (kilos), enter both quantities alongwith their respective UOMs as follows: 200 M2/20 KG.</p> <p>If the commodity is covered under the International Traffic in Arms Regulations (ITAR), enter the DDTC quantity and UOM for the article being shipped.</p> |
| 19 | DDTC Insert a "Y" if item is SME | Enter a Y (for Yes) if the commodity is covered under the International Traffic in Arms Regulations (ITAR) and is considered a Significant Military Equipment (SME). |
| 20 | DDTC license line # (if applicable) | Insert the license line number if the commodity is covered by a U.S. Department of State export license. |
| 21 | DDTC Eligible Party Certification (if applicable) | Enter a "Y" (for Yes) or an "N" (for No) to indicate the self-certification by the USPPi for the use of any ITAR license exemption. |



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| 22 | Shipping Weight (Kilograms) | Enter the gross shipping weight in kilograms, which includes the weight of the commodity, as well as the weight of normal packaging, such as boxes, crates, barrels, etc. |
| 23 | ECCN/EAR99 (Mandatory) or USML Category (if applicable) | <p>If the product falls under the jurisdiction of the U.S Export Administration Regulations (EAR), enter the applicable Export Control Classification Number (ECCN)</p> <p>If no ECCN applies, enter EAR99. If the product is under the jurisdiction of the International Traffic in Arms Regulations (ITAR), enter the applicable United States Munitions List (USML) category number.</p> |
| 24 | Export License#, Lic. Exception Symbol or DDTC exemption # | <p>Enter the applicable Export License Number, U.S. Department of Commerce, Bureau of Industry & Security (BIS) License Exception Symbol or DDTC Exemption number for each line below.</p> <p>Show any license number, permit number, citation, or authorization number issued/assigned by the Department of Commerce, BIS; Department of State, Directorate of Defense Trade Controls (DDTC); Department of the Treasury, Office of Foreign Assets Controls (OFAC); Department of Justice, Drug Enforcement Administration (DEA); Nuclear Regulatory Commission (NRC); or any other federal government agency.</p> <p>Most BIS License Exception Symbols consist of three letters. A BIS License Exception is an authorization that allows the export (or reexport under stated conditions) of items subject to the Export Administration Regulations (EAR) that would otherwise require an Export License Number validated by BIS. By using any of the BIS License Exceptions you are certifying that the terms, provisions and conditions for the use of the particular BIS License Exception as described in the EAR have been met. For items that do not require a BIS Export License or are not covered under a BIS License Exception, enter NLR (for No License Required).</p> <p>DDTC Exemption Numbers are established in the International Traffic and Arms Regulations (ITAR) and permit the permanent or temporary export or temporary import of defense articles and technical data by U.S. persons in lieu of obtaining an Export License Number validated by DDTC.</p> |



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| 25 | Value at the port of export (USD) | <p>Enter the total value of the shipment (insurance, inland or domestic freight, and any other charges). The total value will be the selling price rounded to the nearest dollar. If shipment is 50 cents or more, round up to the next whole dollar.</p> <p>Deduct unconditional discounts from the total value of the shipment.</p> <p>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 having been made at the time of export, the selling price to be reported as the market value at the time of export at the U.S. port.</p> |
| 26 | License Value (USD) (if applicable) | <p>If this commodity is covered by an export license, export permit or other authorization received from any U.S. government licensing agency, enter only the license value exclusive of any charges to the U.S. port of export.</p> |
| 27 | DDTC Registration Number (if applicable) | <p>Enter your DDTC Registration Number (also called DDTC Registrant Code) if your export is covered by the International Trade in Arms Regulations (ITAR). DDTC Registration Numbers must always be shown as exactly six characters.</p> <p>Examples of acceptable registration number formats: M-1234 or M12345 where M = Manufacturer/Exporter.</p> |
| 28 | DDTC ACM# (if applicable) | <p>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.</p> |
| 29 | Check if there are any remaining non-licensable Schedule B / HTS Numbers that are each valued below \$2,501. | <p>Check here if there are any remaining non-licensable Schedule B / HTS Numbers that are each valued below \$2,501.</p> |
| 30 | Check if you are authorizing the named forwarder to file the EEI on your behalf. | <p>Check this box if you are acting in support of the USPPi for purposes of preparing and filling the EEI for the shipment.</p> |



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| 31 | USPPI certification on the provision of true and accurate information. | <p>This statement shows that all information noted on this document are correct and accurate:</p> <p>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).</p> |
| 32 | USPPI e-mail address | Enter the e-mail address for the USPPI contact. |
| 33 | USPPI Telephone No. (include Area Code) | Enter the ten (10) digit telephone number of the USPPI contact. Do not show parentheses, dashes, spaces, etc. |
| 34 | Duly authorized officer or employee (printed name) | Enter USPPI contact first and last names. |
| 35 | Signature | <p>Sign here as USPPI representative.</p> <p>Remember to check off box #30 above if you are authorizing the named forwarder to act as Forwarding Agent for export control Census reporting, Customs purposes and to prepare and submit the Electronic Export Information (EEI) to the Automated Export System (AES).</p> |
| 36 | Title | Enter the title of the USPPI authorized contact. |
| 37 | Date | Enter the date that you have signed this form. |