

# Appendix D: Forms



Here, you will find examples of common documents used in the export process. It is not an exhaustive compilation.

Some of these may be examples of things your company would complete; others would mainly be completed by freight forwarders or companies shipping on your behalf.

Prior to shipping an export order, talk to your shipper of choice or your local U.S. Commercial Service office. They can help you determine which specific documents are required.

## **Air Waybill**

Document for air shipments.

## **Straight Bill of Lading**

Required document when goods are shipped by truck, rail, or ship.

## **Pro Forma Invoice**

Price quotation from the seller to the buyer.

## **Export Quotation Worksheet**

Related to the pro forma invoice.

## **Commercial Invoice**

Required document with contact, content, and cost information.

## **Certificate of Origin**

Must be provided if requested by the buyer or a foreign Customs agency.

## **NAFTA Certificate of Origin**

Required if requested when shipping goods to/from Mexico and Canada. Covers qualifying goods only; i.e., goods that meet NAFTA rule of origin. Must be prepared and signed by the exporter.

## **Packing List**

Contents of shipment plus size information.

## **Insurance Certificate**

Documentary evidence that the goods are insured against loss, damage, or theft.

## **Shipper's Letter of Instructions**

Provide if requested. Often prepared by the freight forwarder.

## **Letter of Credit**

Sample letter of credit with instructions. Seller doesn't get paid until the terms are met.

## **Draft Transmittal Letter**

Issued by the exporter to the importer for the purpose of receiving payment.

House Air Waybill Number

Shipper's Name and Address

Shipper's Account Number

Not negotiable

# Air Waybill

(Air Consignment note)  
Issued by

Copies 1, 2 and 3 of this Air Waybill are originals and have the same validity

Consignee's Name and Address

Consignee's Account Number

It is agreed that the goods described herein are accepted in apparent good order and condition (except as noted) for carriage SUBJECT TO THE CONDITIONS OF CONTRACT ON THE REVERSE HEREOF. THE SHIPPER'S ATTENTION IS DRAWN TO THE NOTICE CONCERNING CARRIERS' LIMITATION OF LIABILITY. Shipper may increase such limitation of liability by declaring a higher value for carriage and paying a supplemental charge if required.

These commodities licensed by the United States for ultimate destination

Diversion contrary to

United States law prohibited.

Airport of Departure (Addr. of first Carrier) and requested Routing

To	By first Carrier	Routing and Destination	Air Waybill Number	Currency	CHGS Code	WT/VAL PPD COLL	Other PPD COLL	Declared Value for Carriage	Declared Value for Customs
Airport of Destination	Flight/Date	For Carrier Use only	Flight/Date	Amount of Insurance	INSURANCE: If Carrier offers insurance and such insurance is requested in accordance with conditions on reverse hereof, indicate amount to be insured in figures in box marked "amount of insurance."				

Handling Information

No. of Pieces RCP	Gross Weight	kg lb	Rate Class		Chargeable Weight	Rate / Charge	Total	Nature and Quantity of Goods (incl. Dimensions or Volume)
			Commodity Item No.					
Prepaid			Weight Charge		Collect		Other Charges	
			Valuation Charge					
			Tax					
			Total other Charges Due Agent				<p><b>Shipper certifies that the particulars on the face hereof are correct and that insofar as any part of the consignment contains dangerous goods, such part is properly described by name and is in proper condition for carriage by air according to the applicable Dangerous Goods Regulations.</b></p> <p>..... Signature of Shipper or his Agent</p>	
			Total other Charges Due Carrier					
			Total prepaid		Total collect			
Currency Conversion Rates			cc charges in Dest. Currency		Executed on (Date)		at (Place) Signature of Issuing Carrier or its Agent	

House Air Waybill Number



## Straight Bill of Lading—Instructions

1. Shipper (From)—Enter the company name and address of the shipper (consignor).
2. Point of Origin (At)—Enter the city and state of the actual shipping point.
3. Date of Shipment—Enter the date of the shipment, the date the carrier took control of the merchandise.
4. Truck/Freight—check the “Truck” block if shipment is to move by truck, or the “Freight” block if the shipment is to move by rail.
5. Shipper’s No.—Enter a unique control number to reference the shipment with the carrier.
6. Carrier—Enter the name of the company that will take initial control of the shipment and cause its delivery to the consignee.
7. Agent’s No.—Enter carrier’s control number, if known or required.
8. Consigned to—Enter the full name of the final recipient of the shipment, the ultimate consignee; also enter the mailing or street address of the ultimate consignee, if different than destination, for carrier notification purposes.
9. Destination—Enter the street address, city, and ZIP code where the carrier will make delivery to the Consignee in Field 8.
10. Route—If applicable, enter the route the carrier will take to the consignee. This Field may also be used to specify docks, warehouses, etc., and to specify any intermediate carriers.
11. Delivering Carrier—If applicable, specify the carrier that will deliver the shipment to the ultimate consignee at the destination, but only if different than the carrier entered in Field 6.
12. Vehicle/Car No.—Enter any vehicle identifying numbers or initials, if applicable.
13. No. Packages—Enter the total number of packages per line item; if the packages are consolidated on a pallet or in an outer container, note this information on a second line. For example: 112 PKGS 3 Pall.
14. Description of Shipment—Enter the description of each line item, noting the type of package (carton, barrel, etc.) and the quantity per package. Since the correct freight classification is essential in describing an item, there must be a separate line item for each different freight classification description. If more than one type of packaging is used per freight classification, a separate entry must be used for each type of package. Enter any special package markings, special handling requirements, and delivery instructions. Note: For hazardous material items, special provisions must be met in completing this field.
15. Weight—Enter the total gross weight, in pounds, for each line item. For bulk shipments, the TARE and net weights should also be referenced in the description field. For package shipments, include the weights of pallets and skids. The total weight of the merchandise should be shown after the last line item, with pallet and dunnage weights shown separately.
16. Class or Rate—Enter either the five-digit class (per the Uniform Freight Classification or the National Motor Freight Classification) or a two-digit class rate (a percentage of the first class 100 rate) per line item. This information may be determined by contacting the carrier.
17. Without Recourse—Per standard bill of lading terms, the shipper is ultimately liable for freight charges, even when the shipment is sent on a collect basis to the consignee. By signing this statement, the shipper is released from the liability of freight charges for collect shipments delivered by the carrier to the consignee without the carrier’s collecting the freight charges. For prepaid shipments, leave blank.
18. Prepaid Shipments—Enter “Prepaid” if shipment is to be paid for by the shipper. If this field is left blank, the carrier will seek to collect the freight charges from the consignee (see Field 17).
19. Prepayments Received—Carrier enters any payments received in advance from the shipper for the shipment.
20. Charges Advanced—Carrier enters any advanced charges for the shipment, if applicable.
21. C.O.D. Shipment—First, check whether the freight charges are prepaid (the carrier bills the shipper) or collect (the carrier deducts the freight charges from the amount collected from the consignee). Second, enter the amount to be collected for the merchandise itself—be sure to include the freight charges. Third, enter any collection fees, if applicable. Enter total charges to be collected by carrier.
22. Shipment Declared Value—When the weight charged by the carrier is dependent upon the value of the shipment, the dollar value per unit of measure (for example, \$100.00/pound) must be stated by the shipper—enter this information in Field 14.
23. Shipper—Enter the company name of the shipper.
24. Shipper’s Agent—Enter the signature of the individual preparing the shipment for the shipper.
25. Carrier’s Agent—The carrier’s agent will sign here prior to taking control of the shipment.
26. Permanent Address—Enter the permanent (business) mailing address of the shipper. This may be the same as for Field 1.
27. Certification—A signature is required by the U.S. Department of Transportation after this statement for all shipments of hazardous material.

**PRO FORMA INVOICE/EXPORT ORDER**

SHIPPER	Tech International 1000 J Street, N.W. Washington, DC 20005	Ph. 202-555-1212 Fax 202-555-1111
CUSTOMER	Gomez Y. Cartagena Aptdo. Postal 77 Bogota, Colombia	
SHIP TO (if different than Customer):		
NOTIFY (Intermediate Consignee):		

PRO FORMA INVOICE NO.	Col.91-14	DATE	July 12
COMMERCIAL INVOICE NO.		DATE	
CUSTOMER REFERENCE	LTR	DATE	July 9
TERMS OF SALE	CIP Buenaventura, Colombia		
	(INCOTERMS 2000)		
SHIP VIA	AIR	EST. SHIP DATE	60 DAYS FROM RECEIPT OF ORDER AND LETTER OF CREDIT

PART NUMBER	UNIT OF MEASURE	QUANTITY	DESCRIPTION	UNIT PRICE	TOTAL PRICE
2-50	EA	3	Separators in accordance with attached specifications	\$14,750.00	\$44,250.00
14-40	EA	3	First-stage Filter Assemblies per attached specifications	\$ 1,200.00	\$ 3,600.00
custom	EA	3	Drive units - 30 hp each (for operation on 3-phase 440 v., 50 cy. current) complete with remote controls	\$ 4,235.00	\$12,705.00
			TOTAL EX WORKS Washington, D.C. domestic packed...		\$60,555.00
			Export processing, packaging, prepaid inland freight to Dulles international Airport & forwarder's handling charges		\$ 3,115.00
			TOTAL FCA WASHINGTON DULLES AIRPORT		\$60,555.00
			Estimated air freight and insurance		\$ 2,960.00
			TOTAL Est. CIP Buenaventura, Colombia		\$66,630.00
			Estimated gross weight 9,360 lbs. • Estimated cube 520 cu. meters Export packed 4.212 kg. • Export packed 15.6 cu. meters		

1. All prices quoted herein are US dollars.
2. Prices quoted herein for merchandise only are valid for 60 days from July 12.
3. Any changes in shipping costs or insurance rates are for account of the buyer.

ADDITIONAL CHARGES FREIGHT <input type="checkbox"/> Ocean <input checked="" type="checkbox"/> Air <u>INCLUDED</u> CONSULAR/LEGALIZATION _____ INSPECTION/CERTIFICATION _____ SPECIAL PACKING _____ INSURANCE <u>INCLUDED</u> _____ _____		<input checked="" type="checkbox"/> LETTER OF CREDIT Bank _____ <input type="checkbox"/> DRAFT Terms _____ <input type="checkbox"/> OPEN ACCOUNT Terms _____ <input type="checkbox"/> OTHER _____ _____ CURRENCY OF PAYMENT <u>USDOLLARS</u>
---	--	---

# EXPORT QUOTATION WORKSHEET

DATE _____	REF/PRO FORMA INVOICE NO. _____
COMMODITY _____	EXPECTED SHIP DATE _____
CUSTOMER _____	PACKED DIMENSIONS _____
COUNTRY _____	PACKED WEIGHT _____
PAYMENT TERMS _____	PACKED CUBE _____

PRODUCTS TO BE SHIPPED FROM \_\_\_\_\_  
 TO \_\_\_\_\_

SELLING PRICE OF GOODS: \$ \_\_\_\_\_

**SPECIAL EXPORT PACKING:**

\$ \_\_\_\_\_ quoted by \_\_\_\_\_  
 \$ \_\_\_\_\_ quoted by \_\_\_\_\_  
 \$ \_\_\_\_\_ quoted by \_\_\_\_\_ \$ \_\_\_\_\_

**INLAND FREIGHT:**

\$ \_\_\_\_\_ quoted by \_\_\_\_\_  
 \$ \_\_\_\_\_ quoted by \_\_\_\_\_  
 \$ \_\_\_\_\_ quoted by \_\_\_\_\_ \$ \_\_\_\_\_

Inland freight includes the following charges:

- unloading     pier delivery     terminal     \_\_\_\_\_

**OCEAN FREIGHT**

	quoted by _____	tariff item	
\$ _____	_____	# _____	_____
\$ _____	_____	# _____	_____
\$ _____	_____	# _____	_____

Ocean freight includes the following surcharges:

- |  |                                     |
|--|-------------------------------------|
| <input type="checkbox"/> Port congestion     | <input type="checkbox"/> Heavy lift |
| <input type="checkbox"/> Currency adjustment | <input type="checkbox"/> Bunker     |
| <input type="checkbox"/> Container rental    | <input type="checkbox"/> Wharfage   |
| <input type="checkbox"/> _____               | <input type="checkbox"/> _____      |

**INSURANCE**     includes war risk  
 rate: \_\_\_\_\_ per \$100 or \$ \_\_\_\_\_

**TOTAL OCEAN CHARGES**    \$ \_\_\_\_\_  
 notes: \_\_\_\_\_

**AIR FREIGHT**

	quoted by _____	spec code	
\$ _____	_____	# _____	_____
\$ _____	_____	# _____	_____
\$ _____	_____	# _____	_____

Air freight includes the following surcharges:

- Fuel adjustment  
 Container stuffing  
 \_\_\_\_\_

**INSURANCE**     includes war risk  
 rate: \_\_\_\_\_ per \$100 or \$ \_\_\_\_\_

**TOTAL AIR CHARGES**    \$ \_\_\_\_\_ \$ \_\_\_\_\_  
 notes: \_\_\_\_\_

**FORWARDING FEES:**

Includes:     Courier Fees     Certification Fees     Banking Fees     \_\_\_\_\_ \$ \_\_\_\_\_

**CONSULAR LEGALIZATION FEES:** \$ \_\_\_\_\_

**INSPECTION FEES:** \$ \_\_\_\_\_

**DIRECT BANK CHARGES:** \$ \_\_\_\_\_

**OTHER CHARGES:** \_\_\_\_\_ \$ \_\_\_\_\_  
 \_\_\_\_\_ \$ \_\_\_\_\_

**TOTAL:**     FOB \_\_\_\_\_     C & F \_\_\_\_\_  
                    FAS \_\_\_\_\_     CIF \_\_\_\_\_ \$ \_\_\_\_\_

## COMMERCIAL INVOICE

SELLER: <div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">1</div>	INVOICE No. <div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">4</div> <span style="float: right;">DATE</span>
SOLD TO: <div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">2</div>	CUSTOMER REFERENCE No. <div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">5</div> <span style="float: right;">DATE</span>
SHIP TO (if different than Sold To): <div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">3</div>	TERMS OF SALE <div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">6</div>
	TERMS OF PAYMENT <div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">7</div>
	CURRENCY OF SETTLEMENT <div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">8</div>
	MODE OF SHIPMENT <div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">9</div> <span style="float: right;">BILL OF LADING / AWB</span>

QTY	DESCRIPTION	UNIT OF MEASURE	UNIT PRICE	TOTAL PRICE
<div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">10</div>	<div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">11</div>	<div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">12</div>	<div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">13</div>	

PACKAGE MARKS: <div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">15</div>	TOTAL COMMERCIAL VALUE: <div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">14</div>
	MISC. CHARGES: (packing, insurance, etc.) <div style="text-align: center; border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 5px auto; display: flex; align-items: center; justify-content: center;">16</div>
	TOTAL INVOICE VALUE:

CERTIFICATIONS:

17

I certify that the stated export prices and description of goods are true and correct:

\_\_\_\_\_

(SIGNED)

TITLE: \_\_\_\_\_

## Commercial Invoice—Instructions

1. Seller—The name and address of the principal party responsible for effecting export from the United States. The exporter as named on the export license.
2. Sold To—The name and address of the person/company to whom the goods are shipped for the designated end use, or the party so designated on the export license.
3. Ship To (if different than Sold To)—The intermediate consignee—that is, the name and address of the party who effects delivery of the merchandise to the ultimate consignee, or the party so named on the export license or forwarding agent. The name and address of the duly authorized forwarder acting as agent for the exporter.
4. Invoice No.—Invoice number assigned by the exporter.
5. Customer Reference No.—Overseas customer's reference or order number.
6. Terms of Sale—Delivery and payment terms of sales agreement.
7. Terms of Payment—Describe the terms, conditions, and currency of settlement as agreed upon by the vendor and purchaser per the pro forma invoice, customer purchase order, and/or the letter of credit.
8. Currency of Settlement—Currency agreed upon between seller and buyer as payment.
9. Mode of Shipment—Indicate air, ocean, surface.
10. Qty—Record total number of units per description line.
11. Description—Provide a full description of items shipped, the type of container (carton, box, pack, etc.), the gross weight per container, and the quantity and unit of measure of the merchandise.
12. Unit of Measure—Record total net weight and total gross weight (includes weight of container) in kilograms per description line.
13. Unit Price / Total Price—Record the unit price of the merchandise per the unit of measure; compute the extended total value of the line.
14. Total Value of the Invoice—Total value of the invoice.
15. Package Marks—Record in this field, as well as on each package, the package number (for example, "1 of 7," "3 of 7," etc.), shipper's company name, country of origin (for example, "Made in USA"), destination port of entry, package weight in kilograms, package size (length x width x height), and shipper's control number (optional).
16. Misc. Charges: (packing, insurance, etc.)—Record any miscellaneous charges that are to be paid by the customer, such as export transportation, insurance, export packaging, inland freight to pier, etc.
17. Certifications—Any certifications or declarations required of the shipper regarding any information recorded on the commercial invoice.



**CERTIFICATE OF ORIGIN**

SHIPPER/EXPORTER <b>1</b>		COMMERCIAL INVOICE NO. <b>5</b>	DATE
		CUSTOMER PURCHASE ORDER NO. <b>6</b>	B/L, AWB NO. <b>7</b>
		COUNTRY OF ORIGIN <b>8</b>	DATE OF EXPORT <b>9</b>
CONSIGNEE <b>2</b>		EXPORT REFERENCES <b>10</b>	
		AIR/OCEAN PORT OF EMBARKATION <b>11</b>	
NOTIFY: INTERMEDIATE CONSIGNEE <b>3</b>		EXPORTING CARRIER/ROUTE <b>12</b>	
FORWARDING AGENT <b>4</b>			

QUANTITY <b>13</b>	NET WT. (Kilos) <b>14</b>	GROSS WT. (Kilos) <b>15</b>	DESCRIPTION OF MERCHANDISE <b>16</b>

PACKAGE MARKS:  
**17**

The undersigned **18** \_\_\_\_\_ (Owner or Agent), does hereby declare for the above named shipper, the goods as described above were shipped on the above date and consigned as indicated and are products of the United States of America.  
 Dated at \_\_\_\_\_ **19** \_\_\_\_\_ on the \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_  
 Sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_ **20** \_\_\_\_\_  
 \_\_\_\_\_  
 SIGNATURE OF OWNER OR AGENT

The \_\_\_\_\_ **21** \_\_\_\_\_, a recognized Chamber of Commerce under the laws of the State of \_\_\_\_\_, has examined the manufacturer's invoice or shipper's affidavit concerning the origin of the merchandise, and, according to the best of its knowledge and belief, finds that the products named originated in the United States of America.  
 Secretary \_\_\_\_\_ **22** \_\_\_\_\_

Form No. 19-906 Printed and Sold by UNZ&CO 201 Circle Drive N, Suite 104, Piscataway, NJ 08854 (800) 631-3098 www.unzco.com

## Certificate of Origin—Instructions

1. Shipper/Exporter—Name and address of principal party responsible for effecting export from the United States.
2. Consignee—Name and address of the party receiving the merchandise.
3. Notify: Intermediate Consignee—Name and address of the party in a foreign country who effects the delivery of the merchandise.
4. Forwarding Agent—Name and address of the freight forwarder.
5. Commercial Invoice No.—Number assigned by the exporter.
6. Customer Purchase Order No.—Number assigned by the exporter.
7. B/L, AWB No.—Provided by the freight forwarder or carrier.
8. Country of Origin—Actual country of origin of the goods.
9. Date of Export—Date of actual export from the United States.
10. Export References—Any special reference numbers assigned by the exporters.
11. Air/Ocean Port of Embarkation—Port from which the goods are shipped.
12. Exporting Carrier/Route—Name of air carrier or vessel and flight number or voyage number.
13. Quantity—The total number of packages, cartons, boxes, skids, etc., per description line.
14. Net Wt. (Kilos)—Total weight of all packages per description line, excluding outer packaging but including inner packaging, in kilograms.
15. Gross Wt. (Kilos)—Total weight of all packages per description line, excluding outer packaging but including inner packaging, in kilograms.
16. Description of Merchandise—Full description of items shipped, type of container, gross weight per container, and unit of measure of the merchandise. May also include cross-references to purchase order or commercial invoice numbers.
17. Package Marks—The marks recorded on each package, usually including shipper's company name, country of origin (for example, "Made in USA"), destination port of entry, and customer's company name; may also include a shipper's control number and the customer's import license number. "Number" refers to the numbering of the packages in the shipment (for example, – "1 of 30," "2 of 30," etc.).
18. The Undersigned—Name of the individual completing and signing the certificate (see Field 20). May be the exporter or agent of the exporter.
19. Date—Date the certificate of origin was prepared and signed.
20. Signature—The signature of the owner, employee, or agent appearing in Field 18.
21. Chamber of Commerce—Name of local chamber of commerce (and state) certifying the origin of the merchandise.
22. Secretary—Authorized signature of the local chamber of commerce secretary, and that organization's seal.

**NORTH AMERICAN FREE TRADE AGREEMENT  
CERTIFICATE OF ORIGIN**

19 CFR 181.11, 181.22

1. EXPORTER NAME, ADDRESS AND EMAIL	2. BLANKET PERIOD
	FROM
	TO
TAX IDENTIFICATION NUMBER:	
3. PRODUCER NAME, ADDRESS AND EMAIL	4. IMPORTER NAME, ADDRESS AND EMAIL
TAX IDENTIFICATION NUMBER:	TAX IDENTIFICATION NUMBER:

5. DESCRIPTION OF GOOD(S)	6. HS TARIFF CLASSIFICATION NUMBER	7. PREFERENCE CRITERION	8. PRODUCER	9. NET COST	10. COUNTRY OF ORIGIN

I CERTIFY THAT:

- THE INFORMATION ON THIS DOCUMENT IS TRUE AND ACCURATE AND I ASSUME THE RESPONSIBILITY FOR PROVING SUCH REPRESENTATIONS. I UNDERSTAND THAT I AM LIABLE FOR ANY FALSE STATEMENTS OR MATERIAL OMISSIONS MADE ON OR IN CONNECTION WITH THIS DOCUMENT;
- I AGREE TO MAINTAIN AND PRESENT UPON REQUEST, DOCUMENTATION NECESSARY TO SUPPORT THIS CERTIFICATE, AND TO INFORM, IN WRITING, ALL PERSONS TO WHOM THE CERTIFICATE WAS GIVEN OF ANY CHANGES THAT COULD AFFECT THE ACCURACY OR VALIDITY OF THIS CERTIFICATE;
- THE GOODS ORIGINATED IN THE TERRITORY OF ONE OR MORE OF THE PARTIES, AND COMPLY WITH THE ORIGIN REQUIREMENTS SPECIFIED FOR THOSE GOODS IN THE NORTH AMERICAN FREE TRADE AGREEMENT AND UNLESS SPECIFICALLY EXEMPTED IN ARTICLE 411 OR ANNEX 401, THERE HAS BEEN NO FURTHER PRODUCTION OR ANY OTHER OPERATION OUTSIDE THE TERRITORIES OF THE PARTIES; AND
- THIS CERTIFICATE CONSISTS OF  PAGES, INCLUDING ALL ATTACHMENTS.

11.	11a. AUTHORIZED SIGNATURE	11b. COMPANY
	11c. NAME	11d. TITLE
	11e. DATE	11f. TELEPHONE NUMBERS <i>(Voice)</i> <span style="margin-left: 100px;"><i>(Facsimile)</i></span>

**PAPERWORK REDUCTION ACT STATEMENT:** An agency may not conduct or sponsor an information collection and a person is not required to respond to this information unless it displays a current valid OMB control number and an expiration date. The control number for this collection is 1651-0098. The estimated average time to complete this application is 15 minutes. If you have any comments regarding the burden estimate you can write to U.S. Customs and Border Protection, Office of Regulations and Rulings, 90 K Street, NE., Washington DC 20229.

## NORTH AMERICAN FREE TRADE AGREEMENT CERTIFICATE OF ORIGIN INSTRUCTIONS

For purposes of obtaining preferential tariff treatment, this document must be completed legibly and in full by the exporter and be in the possession of the importer at the time the declaration is made. This document may also be completed voluntarily by the producer for use by the exporter. Please print or type:

- FIELD 1: State the full legal name, address (including country), e-mail, and legal tax identification number of the exporter. Legal taxation number is: in Canada, employer number or importer/exporter number assigned by Revenue Canada; in Mexico, federal taxpayer's registry number (RFC); and in the United States, employer's identification number or Social Security Number.
- FIELD 2: Complete field if the Certificate covers multiple shipments of identical goods as described in Field #5 that are imported into a NAFTA country for a specified period of up to one year (the blanket period). "FROM" is the date upon which Certificate becomes applicable to the good covered by the blanket Certificate (it may be prior to the date of signing this Certificate). "TO" is the date upon which the blanket period expires. The importation of a good for which preferential treatment is claimed based on this Certificate must occur between these dates.
- FIELD 3: State the full legal name, address (including country), e-mail and legal tax identification number, as defined in Field #1, of the producer. If more than one producer's good is included on the Certificate, attach a list of additional producers, including the legal name, address (including country) and legal tax identification number, cross-referenced to the good described in Field #5. If you wish this information to be confidential, it is acceptable to state "Available to CBP upon request". If the producer and the exporter are the same, complete field with "SAME." If the producer is unknown, it is acceptable to state "UNKNOWN."
- FIELD 4: State the full legal name, address (including country), e-mail, and legal tax identification number, as defined in Field #1, of the importer. If the importer is not known, state "UNKNOWN"; if multiple importers, state "VARIOUS."
- FIELD 5: Provide a full description of each good. The description should be sufficient to relate it to the invoice description and to the Harmonized System (H.S.) description of the good. If the Certificate covers a single shipment of a good, include the invoice number as shown on the commercial invoice. If not known, indicate another unique reference number, such as the shipping order number.
- FIELD 6: For each good described in Field #5, identify the H.S. tariff classification to six digits. If the good is subject to a specific rule of origin in Annex 401 that requires eight digits, identify to eight digits, using the H.S. tariff classification of the country into whose territory the good is imported.
- FIELD 7: For each good described in Field #5, state which criterion (A through F) is applicable. The rules of origin are contained in Chapter 4 and Annex 401. Additional rules are described in Annex 703.2 (certain agricultural goods), Annex 300-B, Appendix 6 (certain textile goods) and Annex 308.1 (certain automatic data processing goods and their parts). **NOTE: In order to be entitled to preferential tariff treatment, each good must meet at least one of the criteria below.**

### Preference Criteria

- A The good is "wholly obtained or produced entirely" in the territory of one or more of the NAFTA countries as referenced in Article 415. **Note: The purchase of a good in the territory does not necessarily render it "wholly obtained or produced."** If the good is an agricultural good, see also criterion F and Annex 703.2. (Reference: Article 401(a) and 415)
- B The good is produced entirely in the territory of one or more of the NAFTA countries and satisfies the specific rule of origin, set out in Annex 401, that applies to its tariff classification. The rule may include a tariff classification change, regional value-content requirement, or a combination thereof. The good must also satisfy all other applicable requirements of Chapter 4. If the good is an agricultural good, see also criterion F and Annex 703.2. (Reference: Article 401(b))
- C The good is produced entirely in the territory of one or more of the NAFTA countries exclusively from originating materials. Under this criterion, one or more of the materials may not fall within the definition of "wholly produced or obtained", as set out in article 415. All materials used in the production of the good must qualify as "originating" by meeting the rules of Article 401(a) through (d). If the good is an agricultural good, see also criterion F and Annex 703.2. (Reference: Article 401(c))
- D Goods are produced in the territory of one or more of the NAFTA countries but do not meet the applicable rule of origin, set out in Annex 401, because certain non-originating materials do not undergo the required change in tariff classification. The goods do nonetheless meet the regional value-content requirement specified in Article 401(d). This criterion is limited to the following two circumstances:
1. The good was imported into the territory of a NAFTA country in an unassembled or disassembled form but was classified as an assembled good, pursuant to H.S. General Rule of Interpretation 2(a), or
  2. The good incorporated one or more non-originating materials, provided for as parts under the H.S., which could not undergo a change in tariff classification because the heading provided for both the good and its parts and was not further subdivided into subheadings, or the subheading provided for both the good and its parts and was not further subdivided.
- NOTE: This criterion does not apply to Chapters 61 through 63 of H.S. (Reference: Article 401(d))**
- E Certain automatic data processing goods and their parts, specified in Annex 308.1, that do not originate in the territory are considered originating upon importation into the territory of a NAFTA country from the territory of another NAFTA country when the most-favored-nation tariff rate of the good conforms to the rate established in Annex 308.1 and is common to all NAFTA countries. (Reference: Annex 308.1)
- F The good is an originating agricultural good under preference criterion A, B, or C above and is not subject to a quantitative restriction in the importing NAFTA country because it is a "qualifying good" as defined in Annex 703.2, Section A or B (please specify). A good listed in Appendix 703.2B.7 is also exempt from quantitative restrictions and is eligible for NAFTA preferential tariff treatment if it meets the definition of "qualifying good" in Section A of Annex 703.2. **NOTE 1: This criterion does not apply to goods that wholly originate in Canada or the United States and are imported into either country. NOTE 2: A tariff rate quota is not a quantitative restriction.**
- FIELD 8: For each good described in Field #5, state "YES" if you are the producer of the good. If you are not the producer of the good, state "NO" followed by (1), (2), or (3), depending on whether this certificate was based upon: (1) your knowledge of whether the good qualifies as an originating good; (2) your reliance on the producer's written representation (other than a Certificate of Origin) that the good qualifies as an originating good; or (3) a completed and signed Certificate for the good, voluntarily provided to the exporter by the producer.
- FIELD 9: For each good described in field #5, where the good is subject to a regional value content (RVC) requirement, indicate "NC" if the RVC is calculated according to the net cost method; otherwise, indicate "NO." If the RVC is calculated over a period of time, further identify the beginning and ending dates (MM/DD/YYYY) of that period. (Reference: Article 402.1, 402.5)
- FIELD 10: Identify the name of the country ("MX" or "US" for agricultural and textile goods exported to Canada; "US" or "CA" for all goods exported to Mexico; or "CA" or "MX" for all goods exported to the United States) to which the preferential rate of CBP duty applies, as set out in Annex 302.2, in accordance with the Marking Rules or in each party's schedule of tariff elimination.  
For all other originating goods exported to Canada, indicate appropriately "MX" or "US" if the goods originate in that NAFTA country, within the meaning of the NAFTA Rules of Origin Regulations, and any subsequent processing in the other NAFTA country does not increase the transaction value of the goods by more than 7 percent; otherwise indicate "JNT" for joint production. (Reference: Annex 302.2)
- FIELD 11: This field must be completed, signed, and dated by the exporter. When the Certificate is completed by the producer for use by the exporter, it must be completed, signed, and dated by the producer. The date must be the date the Certificate was completed and signed.

CBP Form 434 (11/14)

# PACKING LIST

© Copyright 2001 Unz & Co.

\_\_\_\_\_ 20 \_\_\_\_\_  
Place and Date of Shipment

To \_\_\_\_\_

Gentlemen:

Under your Order No. \_\_\_\_\_ the material listed below  
was shipped \_\_\_\_\_ via \_\_\_\_\_  
To \_\_\_\_\_

Shipment consists of: _____ Cases _____ Packages _____ Crates _____ Cartons _____ Bbls. _____ Drums _____ Reels _____	Marks    
---	-----------------------

\* LEGAL WEIGHT IS WEIGHT OF ARTICLE PLUS PAPER, BOX, BOTTLE, ETC., CONTAINING THE ARTICLE AS USUALLY CARRIED IN STOCK.

PACKAGE NUMBER	WEIGHTS IN LBS. or KILOS			DIMENSIONS			QUANTITY	CLEARLY STATE CONTENTS OF EACH PACKAGE
	GROSS WEIGHT EACH	*LEGAL WEIGHT EACH	NET WEIGHT EACH	HEIGHT	WIDTH	LENGTH		

Form No. 30-036 Printed and Sold by **UNZCO** 201 Circle Drive N, Suite 104, Piscataway, NJ 08854 (800) 631-3098 www.unzco.com

ORIGINAL

OPEN POLICY NO.

CERTIFICATE NO.

A2310

2952305

FOREMAN'S FUND INSURANCE COMPANY
SAN FRANCISCO, CALIFORNIA
ATLANTIC DIVISION, 110 WILLIAM STREET
NEW YORK, NEW YORK 10038

\$125,000.000

The company named above in consideration of premium in the amount of and at rates as arranged and subject to the Conditions and Warranties specified and/or attached hereto, does by this policy insure

ASSURED Metalworking Machines, Inc.

as well in their own name as in that of those to whomsoever the subject matter of this Policy does, may, or shall appertain.

IN THE SUM OF One hundred twenty-five thousand and 00/100-----

UPON steel grinders with accessories

CONTAINER-HOUSE/HOUSE
CONTAINER-PORT/PORT
CONTAINER-OTHER
NON-CONTAINER

VALUED AT SUM OR SUMS INSURED

LADEN (UNDER DECK) ON BOARD THE VESSEL/AIRLINE: S/L Adventurer B/L OR SAILING DATE: 9-30-2006
(LOST OR NOT LOST) AT AND FROM (INITIAL POINT/PORT): Interior USA via Baltimore TO (FINAL POINT/PORT): Taipei Taiwan via Kaoshiung
LOSS IF ANY PAYABLE TO THE ORDER OF THE ASSURED AT: destination

Insured against all risks of physical loss or damage from any external cause irrespective of percentage, but excluding the risks excluded by the "F.C.&S." and/or "S.R.&C.C." warranties on the reverse side of this policy except to the extent that such risks may be specifically covered by endorsement also warranted free from any claim arising out of the inherent price of the goods insured or consequent upon loss of time or market.

This insurance attaches from the time the goods leave the warehouse at the place named in the policy for the commencement of the transit and continues during the ordinary course of transit until the goods are delivered to the final warehouse at the destination named in the policy.

It is a condition of this insurance that there shall be no interruption or suspension of transit unless due to circumstances beyond the control of the Assured.

The risks covered by this policy include loss, damage, or expense resulting from explosion howsoever or wheresoever occurring, irrespective of percentage, but it is especially understood and agreed that this wording is not intended to cover any of the risks excluded by the F.C.&S. and/or S.R.&C.C. Warranties set forth elsewhere in the policy.

In the event of the vessel, wharf, warehouse, conveyance, or other cargo being fumigated by order of property constituted authority and damage arises therefrom to the goods insured hereunder, this Company agrees to indemnify the Assured for such damage irrespective of percentage.

General Average and Salvage Charges payable according to United States laws and usage and/or as per Foreign Statement and/or as per York-Antwerp Rules (as prescribed in whole or in part) in accordance with the Contract of Affreightment.

In cases of any loss or misfortune, it shall be lawful and necessary for the Assured, his or their factors, servants and assigns, to sue, labor, and travel for, in, and about the defense, safeguard, and recovery of the interest insured, or any part thereof, without prejudice to this insurance; to the charges whereof this Company shall contribute according to the rate and quantity of the sum hereby insured; nor shall the acts of the Assured or the Company in recovering, saving, or preserving the property insured, in case of disaster, be considered as a waiver or acceptance of abandonment.

In case of any agreement, act, or omission of the Assured, prior or subsequent to loss, whereby any right of recovery of the Assured for loss or damage to any property insured hereunder against any Carrier or Bailee, is released, impaired, or lost, which would on acceptance of abandonment or payment of loss by this Company have inured to its benefit, but for such agreement, act, or omission, this Company shall pay for the loss only to the extent its right of recovery was not released, impaired, or lost.

This insurance is subject to the American Institute Marine Extension Clauses (1943) and the following American Institute Clauses as if the current form of each were endorsed hereon:
South America 60-Day Clause S.R.&C.C. Endorsement War Risk Insurance

It is hereby understood and agreed that in case of loss and damage to the property insured under this policy, same shall be immediately reported as soon as the goods are landed, or the loss is known or expected, to the nearest agent of this Company as designated on the reverse side hereof.

(See reverse side for further terms and conditions which are hereby made a part of this Policy.)

NOTE--It is necessary for the assured to give prompt notice to underwriters when he becomes aware of an event for which he is "held covered" under this policy and the right to such cover is dependent on compliance with this obligation.

In witness whereof the company named above has caused this policy to be signed by its duly authorized officers, but this policy shall not be valid unless countersigned by an authorized representative of this Company or the Assured.

Secretary

President

Endorsement -

Counteragreed at Baltimore MD 9-30-2006
Date

<b>1a. U.S. PRINCIPAL PARTY IN INTEREST (USPPI)</b> (Complete name and address)		INLAND CARRIER	SHIP DATE	PRO NO.
		ZIP CODE		<b>2. DATE OF EXPORTATION</b>
<b>b. USPPI'S EIN (IRS) OR ID NO.</b>		<b>c. PARTIES TO TRANSACTION</b> <input type="checkbox"/> Related <input type="checkbox"/> Non-related		<b>3. TRANSPORTATION REFERENCE NO.</b>
<b>4a. ULTIMATE CONSIGNEE</b> (Complete name and address)		<b>SPECIAL INSTRUCTIONS</b>		
<b>b. INTERMEDIATE CONSIGNEE</b> (Complete name and address)				
<b>5a. FORWARDING AGENT</b> (Complete name and address)				
<b>5b. FORWARDING AGENT'S EIN (IRS) NO.</b>		SHIP VIA <input type="checkbox"/> AIR <input type="checkbox"/> OCEAN <input type="checkbox"/> CONSOLIDATE <input type="checkbox"/> DIRECT		
		<b>SHIPPER'S LETTER OF INSTRUCTIONS</b>		
<b>6. POINT (STATE) OF ORIGIN OR FTZ NO.</b>		<b>7. COUNTRY OF ULTIMATE DESTINATION</b>		
<b>8. LOADING PIER</b> (Vessel only)		<b>9. METHOD OF TRANSPORTATION</b> (Specify)		<b>14. CARRIER IDENTIFICATION CODE</b>
<b>10. EXPORTING CARRIER</b>		<b>11. PORT OF EXPORT</b>		<b>15. SHIPMENT REFERENCE NO.</b>
<b>12. PORT OF UNLOADING</b> (Vessel and air only)		<b>13. CONTAINERIZED</b> (Vessel only) <input type="checkbox"/> Yes <input type="checkbox"/> No		<b>16. ENTRY NUMBER</b>
				<b>17. HAZARDOUS MATERIALS</b> <input type="checkbox"/> Yes <input type="checkbox"/> No
				<b>18. IN BOND CODE</b>
				<b>19. ROUTED EXPORT TRANSACTION</b> <input type="checkbox"/> Yes <input type="checkbox"/> No

<b>20. SCHEDULE B DESCRIPTION OF COMMODITIES</b> (Use columns 22-24)					
D/F or M (21)	SCHEDULE B NUMBER (22)	QUANTITY - SCHEDULE B UNIT(S) (23)	SHIPPING WEIGHT (Kilograms) (24)	VIN/PRODUCT NUMBER/ VEHICLE TITLE NUMBER (25)	VALUE (U.S. dollars, omit cents) (Selling price or cost if not sold) (26)

<b>27. LICENSE NO./LICENSE EXCEPTION SYMBOL/AUTHORIZATION</b>		<b>28. ECCN</b> (When required)	<b>SHIPPER MUST CHECK</b> <input type="checkbox"/> PREPAID OR <input type="checkbox"/> COLLECT
<b>29. Duly authorized officer or employee</b>		The USPPI authorizes the forwarder named above to act as forwarding agent for export control and customs purposes.	
<b>30. I certify that all statements made and all information contained herein are true and correct and that I have read and understand the instructions for preparation of this document, set forth in the "Correct Way to Fill Out the Shipper's Export Declaration." I understand that civil and criminal penalties, including forfeiture and sale, may be imposed for making false or 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).</b>		<b>C.O.D. AMOUNT \$</b>	
Signature		<b>31. AUTHENTICATION</b> (When required)	
Title		<b>SHIPPER'S REQUESTS INSURANCE</b> <input type="checkbox"/> Yes \$ _____ <input type="checkbox"/> No <small>If Shipper has requested insurance as provided for at the left hereof, shipment is insured in the amount indicated (recovery is limited to actual loss) in accordance with the provisions as specified in the Carrier's Tariffs. Insurance is payable to Shipper unless payee is designated in writing by the shipper.</small>	
Date			
Telephone No. (Include Area Code)			
E-mail address			

BE SURE TO PICK UP TOP SHEET AND SIGN THE FIRST BUFF EXPORT DECLARATION WITH PEN & INK.

Form 19-305 Printed and Sold by **UNZCO** 201 Circle Drive N, Suite 104, Piscataway, NJ 08854 (800) 631-3098 www.unzco.com

INTERNATIONAL BANKING GROUP

ORIGINAL

# Bizbank Corporation

P.O. BOX 1000, ATLANTA GEORGIA 30302-1000  
CABLE ADDRESS: BizbC  
TELEX NO. 1234567  
SWIFT NO. BBZABC 72

OUR ADVICE NUMBER: EA0000091  
ADVICE DATE: 08MAR2006  
ISSUE BANK REF: 3312/HBI/22341  
EXPIRY DATE: 23JUN2006

\*\*\*\*AMOUNT\*\*\*\*  
USD\*\*\*\*25,000.00

**BENEFICIARY:**  
THE WALTON SUPPLY CO.  
2356 SOUTH N.W. STREET  
ATLANTA, GEORGIA 30345

**APPLICANT:**  
HHB HONG KONG  
34 INDUSTRIAL DRIVE  
CENTRAL, HONG KONG

WE HAVE BEEN REQUESTED TO ADVISE TO YOU THE FOLLOWING LETTER OF CREDIT AS ISSUED BY:

THIRD HONG KONG BANK  
1 CENTRAL TOWER  
HONG KONG

PLEASE BE GUIDED BY ITS TERMS AND CONDITIONS AND BY THE FOLLOWING:

CREDIT IS AVAILABLE BY NEGOTIATION OF YOUR DRAFT(S) IN DUPLICATE AT SIGHT FOR 100 PERCENT OF INVOICE VALUE DRAWN ON US ACCOMPANIED BY THE FOLLOWING DOCUMENTS:

1. SIGNED COMMERCIAL INVOICE IN 1 ORIGINAL AND 3 COPIES.
2. FULL SET 3/3 OCEAN BILLS OF LADING CONSIGNED TO THE ORDER OF THIRD HONG KONG BANK, HONG KONG NOTIFY APPLICANT AND MARKED FREIGHT COLLECT.
3. PACKING LIST IN 2 COPIES.

EVIDENCING SHIPMENT OF : 5000 PINE LOGS—WHOLE—8 TO 12 FEET  
FOB SAVANNAH, GEORGIA

SHIPMENT FROM : SAVANNAH, GEORGIA TO: HONG KONG  
LATEST SHIPPING DATE : 02JUN2006

PARTIAL SHIPMENTS NOT ALLOWED TRANSSHIPMENT NOT ALLOWED

ALL BANKING CHARGES OUTSIDE HONG KONG ARE FOR BENEFICIARY'S ACCOUNT.  
DOCUMENTS MUST BE PRESENTED WITHIN 21 DAYS FROM B/L DATE.

AT THE REQUEST OF OUR CORRESPONDENT, WE CONFIRM THIS CREDIT AND ALSO ENGAGE WITH YOU THAT ALL DRAFTS DRAWN UNDER AND IN COMPLIANCE WITH THE TERMS OF THIS CREDIT WILL BE DULY HONORED BY US.

PLEASE EXAMINE THIS INSTRUMENT CAREFULLY. IF YOU ARE UNABLE TO COMPLY WITH THE TERMS OR CONDITIONS, PLEASE COMMUNICATE WITH YOUR BUYER TO ARRANGE FOR AN AMENDMENT.



U.S. \$ **1** \_\_\_\_\_ **2** 20 \_\_\_\_\_

\_\_\_\_\_ **3** of this *FIRST* of Exchange (Second unpaid)

Pay to the Order of **4** \_\_\_\_\_ **5** \_\_\_\_\_ United States Dollars

for Value received and charge the same to account of **6** \_\_\_\_\_

To \_\_\_\_\_

No. **7** \_\_\_\_\_ **8** \_\_\_\_\_ Authorized Signature

**9** \_\_\_\_\_

**10** \_\_\_\_\_

Date

Gentlemen:

We enclose Draft Number **11** \_\_\_\_\_ and documents below

**12**  for collection,

for

for payment/negotiation under L/C

**13**

BILLS OF LADING	B/L COPY	COMM. INV.	INS. CTF.	CTF. ORIG.	CONS. INV.	PKNG. LIST	WGT. CTF.	OTHER DOCUMENTS

Please handle in accordance with instructions marked "X"

- Deliver all documents in one mailing. **14**
- Deliver documents in two mailings.
- Deliver documents against payment if sight draft, or acceptance if time draft. **15**
- All charges for account of drawee. **16**
- Do not waive charges.
- Protest for non-payment / non-acceptance. **17**
- Do not protest.
- Present on arrival of goods. **18**
- Advise non-payment / non-acceptance by airmail / cable giving reasons. **19**
- Advise payment / acceptance by airmail / cable

IN CASE OF NEED refer to:

Name **20** \_\_\_\_\_

Address \_\_\_\_\_

who is empowered by us:

- a  To act fully on our behalf, i.e., authorize reductions; extensions, free delivery, waiving of protest, etc.
- b  To assist in obtaining acceptance or payment of draft, as drawn, but not to alter its terms in any way.

OTHER INSTRUCTIONS: **21** \_\_\_\_\_

Please refer all questions concerning this collection to:

Shipper

Freight Forwarder: **22** \_\_\_\_\_

**23** \_\_\_\_\_

Authorized Signature

## Draft Transmittal Letter—Instructions

1. U.S. Dollars—Enter the entire amount to be collected; if not in U.S. dollars, specify currency.
2. Date—enter the date the draft is issued.
3. of this First Exchange (Second Unpaid)—Enter the terms of payment (also called the “tenor” of the draft); at 45 days, at sight, at 30 days B/L, etc. “Second Unpaid” refers to the duplicate copy of the draft (“of this Second Exchange, First Unpaid”); once payment has been made against either copy, the other becomes void.
4. Pay to the Order of—Enter the name of the party to be paid (seller, “payee”); this may be the seller or the seller’s bank, and will be the party to whom the foreign buyer’s bank will remit payment.
5. United States Dollars—Enter the amount from Field 1 in words; if payment is not to be made in U.S. dollars, block out “United States Dollars” and enter correct currency.
6. Charge to Account of—Enter the name and address of the paying party (buyer “drawee”). For letter of credit (L/C) payments, enter the name and address of the buyer’s opening bank as well as the L/C number and issue date.
7. Number—Enter an identification, or draft number, as assigned by the seller to reference the transaction.
8. Authorized Signature—The signature of the authorized individual for the seller or the seller’s agents (“drawer”).
9. Forward Draft to—Enter the name and address to whom the draft is being sent. Unless this is a letter of credit being negotiated in the United States, this should be the name and address of a foreign bank.
10. Forwarding Date—Enter the date the draft is being sent to the bank in Field 9.
11. Draft Number—Enter the seller’s draft number, as noted in Field 7.
12. Purpose of Draft—Check the applicable box if the draft is part of letter of credit negotiation, a collection, or an acceptance.
13. List of Documents—Enter the number and type of each original and duplicate document to be included with this transmittal letter. Any document attached will eventually be released to the buyer.
14. Deliver All Documents—Check either “deliver all documents in one mailing” or “deliver documents in two mailings.” Generally, documents are delivered in one mailing.
15. Deliver Documents Against—Ensure that the type of draft attached (Field 3) is compatible with the “deliver against” instructions. Sight drafts should accompany “deliver against payment” instructions, while time drafts should accompany “deliver against acceptance” instructions.
16. Bank Charges—The correspondent bank will not pay unless all charges are collected. Based on your agreement with the buyer, indicate which party is responsible for both the remitting and presenting bank’s charges. By checking “all charges of account of drawee,” the buyer is responsible for these charges; if the buyer does not pay (or is not to pay) these charges, and if “do not wave charges” has not been checked, the seller will be billed for expenses incurred.
17. Protest—Check “Protest” (specify “for non-payment” or for “non-acceptance,” depending on the type of draft attached—see instruction for Field 15) if you wish the correspondent bank to process written, notarized documentation in event that the buyer refuses to pay or accept the draft. Additional bank expenses associated with a protest are usually charged to the seller.
18. Present on Arrival—Check if you wish the draft to be presented on the arrival of the goods to the buyer.
19. Advise—Check the appropriate fields, and block out the non-applicable terms, if you wish to be advised of payment/acceptance or non-payment or non-payment/non-acceptance.
20. in Case of Need—Enter the representative of the seller in the country to which the draft and documents are going, if one exists; check the box which describes the representative’s authority.
21. Other Instructions—Enter any instructions to either the remitting or correspondent banks, such as remittance instructions, clarification of protest procedures, multiple-draft instructions, etc.
22. Refer All Questions—Enter the name of the contact, and his/her address and telephone number, in the seller’s country; specify if this contact is employed by the shipper (seller) or the seller’s agent (freight forwarder).
23. Authorization—Enter the person authorized to sign the transmittal letter (see Field 8), the date prepared, and the authorized person’s signature.