International Shipping Issues and Export Controls

NATASCHA FINNERTY
EXPORT COMPLIANCE OFFICER

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617 496-7557

SI'S EXPORT COMPLIANCE PROGRAM

- Export Compliance Officer (ECO)
  - Position was created in 2013
  - ECO is located at SAO, Cambridge, MA
  - Responsible for both SAO and SI export compliance issues
  - Coordinate closely with OSP's Compliance Officer, OGC and OIR
  - Need to nominate a Shipping Manager for each unit

- SI's Empowered Officials
  - Presently at NASM and SAO (2)

“Export” Activities

- Export of goods to a foreign country
  - “Deemed export” –Transfer of technology to a non-US person
  - Services or procurement where specifications are provided
- Movement to certain US possessions
- Transfer of funds to a foreign country

SI's EXPORT COMPLIANCE PROGRAM

- Conduct training and "fact-finding"
  - Find out where exports and imports are occurring and by whom
- Ensure there are procedures for **export and import** and **they are updated**:
  - Export documentation, export licensing, export clearance, and import
  - Intentional compliance

Fact Finding

- How does the international shipment process start at your Unit?
  - Export from SI to a research site
  - Export directly from a vendor
- How often do you export?
- To which countries?
- Are there written procedures?

Fact Finding – cont'd

- Do SI personnel travel to the loan/research site?
- Do they bring items with them?
  - Are they "tools of the trade"?
  - Consumables?
  - Other items?
- Who creates the documentation?
- Who files the EEI? (Electronic Export Information)
- Who maintains records?

Our Export Compliance Goals

Movement of Goods

- Ensure export clearance requirements are met
- Export licenses/license exceptions are obtained

1. *Export documentation is complete*
2. *File – EEI*
3. *Maintain Export records*

Export Compliance Overview

1. Introduction to Export Laws
2. Agencies that regulate controlled items or data
3. Typical tangible items that may need an export license

1. Introduction to Export Laws

- US Government considers exporting a **privilege**

- Regimes internationally coordinate ways to restrict trade of strategic goods with "adversaries"

- Other reasons for regulations and controls:
  - Further US foreign policy
  - Record statistics to calculate the balance of trade
  - Thwart terrorism and drug trafficking
  - Reduce regional stability risks
  - Stop trade over items that contribute to conventional weapons or weapons of mass destruction
  - Prevent dangers to travel by transport of hazardous items

2. Agencies that regulate controlled items or data

- **Directorate of Defense Trade Controls, US Dept. of State**
  - Regulates defense articles and technology, including applicable space-related activities
- **Bureau of Industry and Security, US Dept. of Commerce**
  - Regulates "dual use" commercial items and items that have a strategic purpose with respect to national security, foreign policy, missile technology, proliferation, regional stability and crime control
- **Office of Foreign Assets Controls**
  - Licenses all exchanges and financial transactions with embargoed countries
- **Bureau of Census**
  - Requires export clearance to record trade statistics

. Agencies that regulate controlled items or data (cont'd)

- **Bureau of Census**
  - Requires export clearance to record trade statistics

- **Customs and Border Protection**
  - Signs off on ITAR licenses
  - Conducts checks on EEI filings
  - Enforces rules at the airport
  - Levies fines,
  - Detains shipments

3. Typical "tangible" items that may need an export license

- The items that may be regulated fall on the US Munitions List or Commerce Control List:
  - Instruments like detectors and spectrometers
  - Certain chemicals and laboratory equipment
  - Underwater acoustics or cameras
  - Certain biological items and specimens
  - Infrared and optics, night vision technologies
  - Military aircraft and other military-rated items, - space suits, uavs
  - Gyros, computers, software with encryption
    - Or other regulations – FDA, FCC, hazardous, wildlife protection

PROCESS

1. PI or PM calls me about a proposed export or import
2. I send the Import/Export Checklist.
3. The PI/PM completes the Export Checklist as much as (s)he can.
4. We look at export license, shipping, clearance, duty and haz mat issues

EXAMPLES

- SCBI – Researcher wants to send/take items for studying birds to Ecuador

- Lithium batteries
- Transceivers
- Tags

Export Decisions

- 1. What is it?
  - Is the item on a list for control?
  - e.g., certain aircraft equipment, space suits, optics, computers, spectrometers, gyroscopes, chemicals, materials, biological items.
  - Is it hazardous, magnetic, regulated for medical or other reasons? TSCA – for toxic materials

  - How do these requests come in?

Sample export checklist

HARDWARE EXPORTS AND DESCRIPTION	RESPONSE	COMMENTS
1. Name of Program		
2. PI/PM PI/PM email and phone		
3. Date of Planned Export		
4. Date it needs to be there		
5. Type of equipment		
6. Location of equipment now		
7. Permanent or Temporary export		
8. If temporary, when is it coming back?		
9. Has property transfer form been completed?		
10. Controlled under ITAR or EAR?		
11. What is ECCN/ITAR Category?		
12. Does it need a license? (ECO)		
13. If yes, has license been obtained? (ECO)		
14. Check Denied Persons List and country (ECO)		

EXPORT PROCESS

What is it?

I classify the shipment as controlled or not controlled (EAR99)

Who is shipping it? Direct from vendor or SI?

What are INCO terms?

Batteries will be shipped directly by vendor

Other items are hand carried

Export Types and Steps

1. Hand Carry – Call airline for baggage rules.
   A few days before, I am contacted and help with the Commercial Invoice and docs
2. Exported by vendor – Look at docs The freight forwarder or courier files the Electronic export Information EEI and provides the Internal Transaction Number (ITN) from the AES system.
   a. The ITN is typed on the Commercial Invoice.
   b. The filer provides the EEI report.

Export Types and Steps

- 3. We arrange the export with a freight forwarder –
  - We need a power of attorney, Inco term on documents, need to provide SLI, need to get docs back and file them.

- 4. We are booking the shipment (Fed Ex)
  - We need to create the invoice and EEI filing, when required

Does Electronic Export Information need to be filed or is there an exemption?

- Is the value of the export over $2500 or is the item subject to an export license?
  - The export needs to be filed in the Bureau of Census Automated Export System. The shipping company can do it for SI but we need to get the filing number and a copy for our records. Also required for Puerto Rico and some US possessions.
- Not required (Needs to be on the invoice)
  - Is it going to Canada? 30.36 of Foreign Trade Regulations (FTR)
  - Is it a tool of the trade? 30.37 c of FTR

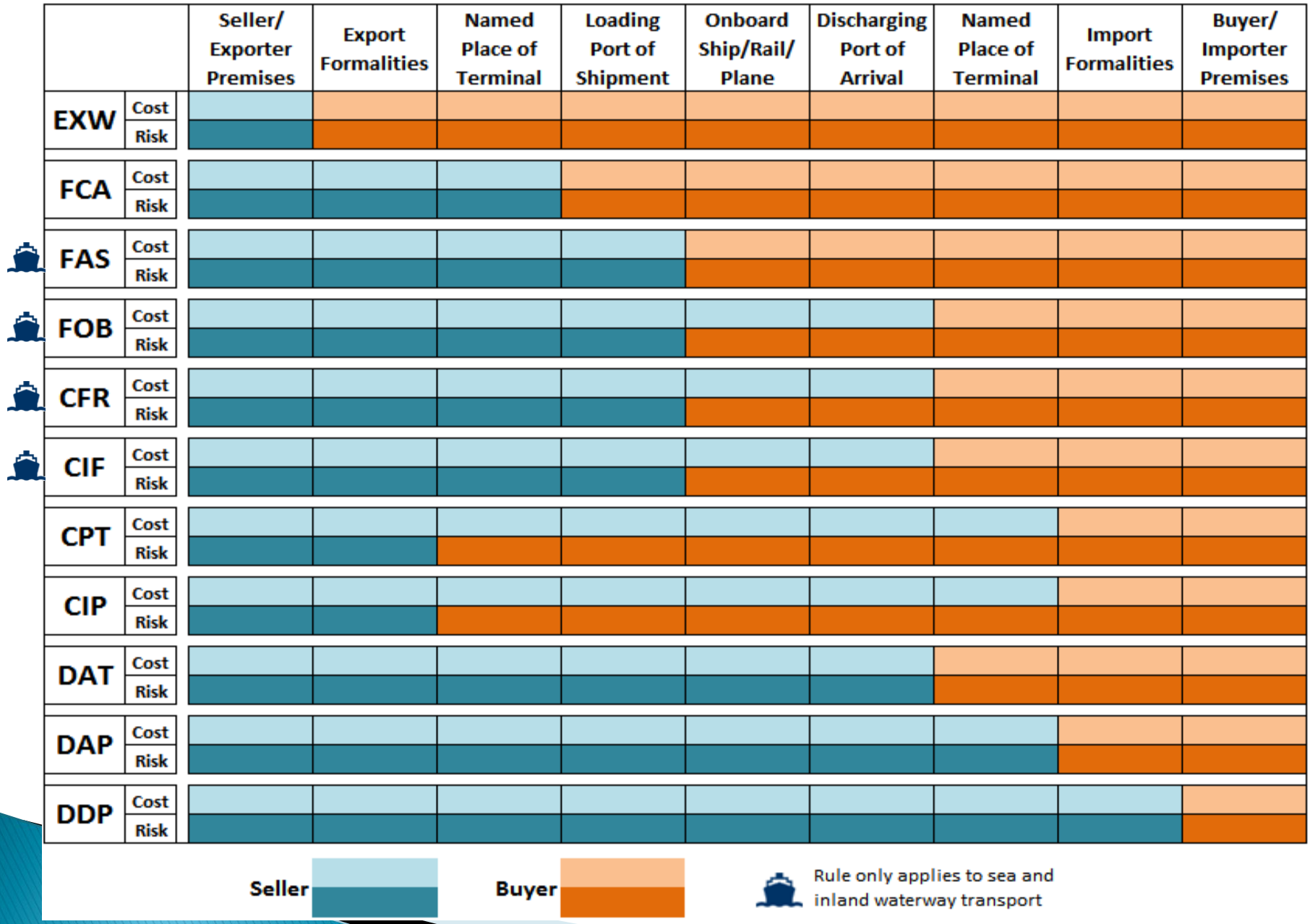
Export License Decisions (cont'd)

- 3. Who is receiving it?
  - We need to check the name against the government denial lists
- 4. What are they doing with it?
  - (Is it missile, nuclear, chemical, biological related?)
- 5. Where is it going?
  - Is the item going internationally or to a US possession like Puerto Rico?
  - Make sure the country is not subject to trade restrictions (e.g., Cuba, Iran, North Korea, Sudan and Syria)
  - Is there a Trade agreement with that country?

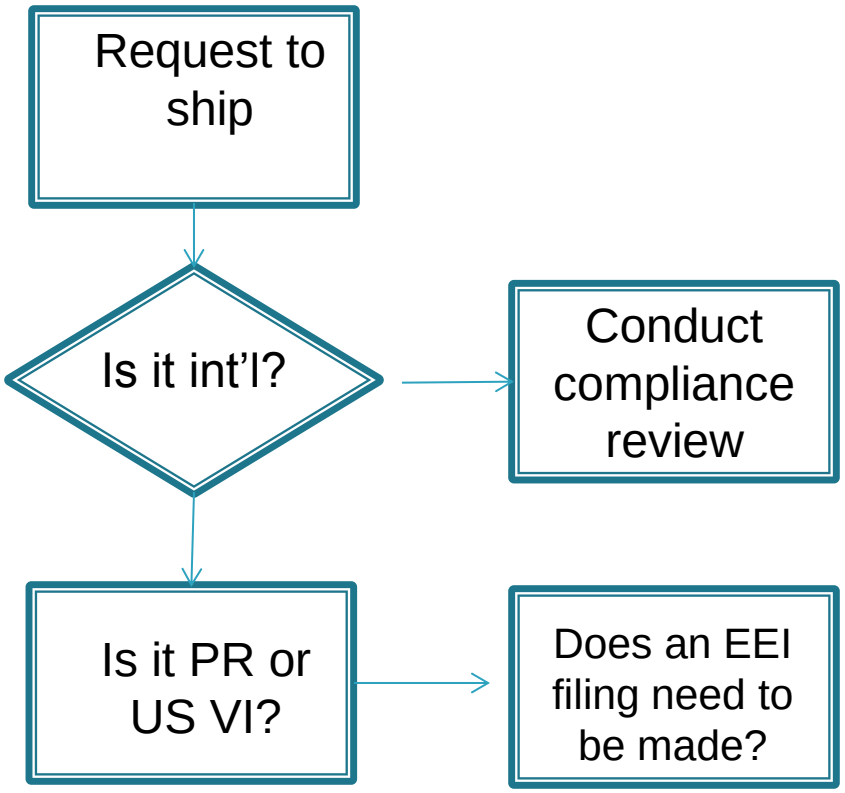
The Money Issues

- Purchasing Req – What are INCO terms – who is paying for import, duty, taxes, insurance, etc.?
- We work through details about freight forwarder – do we have power of attorney for import and export?
- Who is filing? If the freight forwarder is, do we need to give them an SLI?

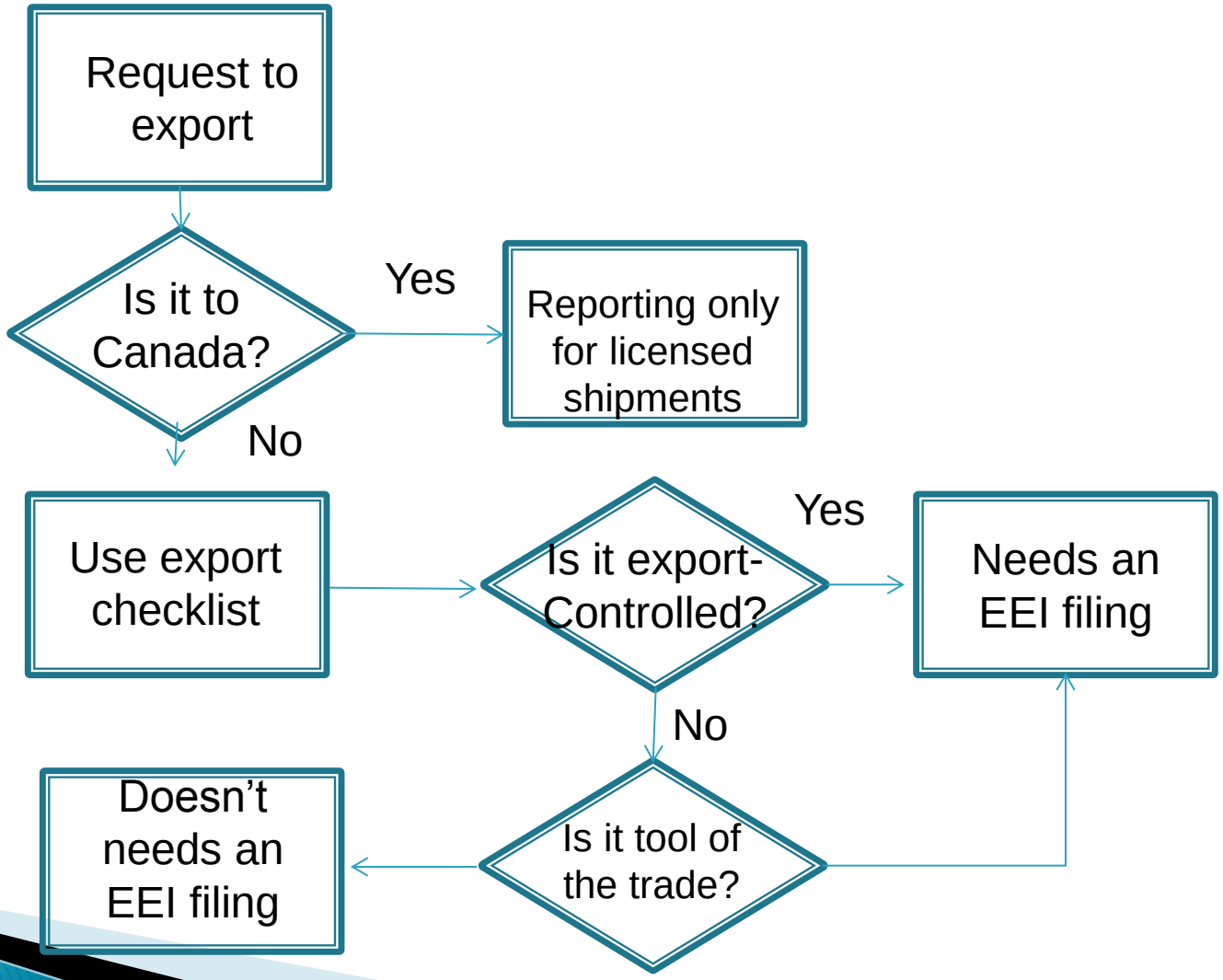
Incoterms® 2010 Reference Chart



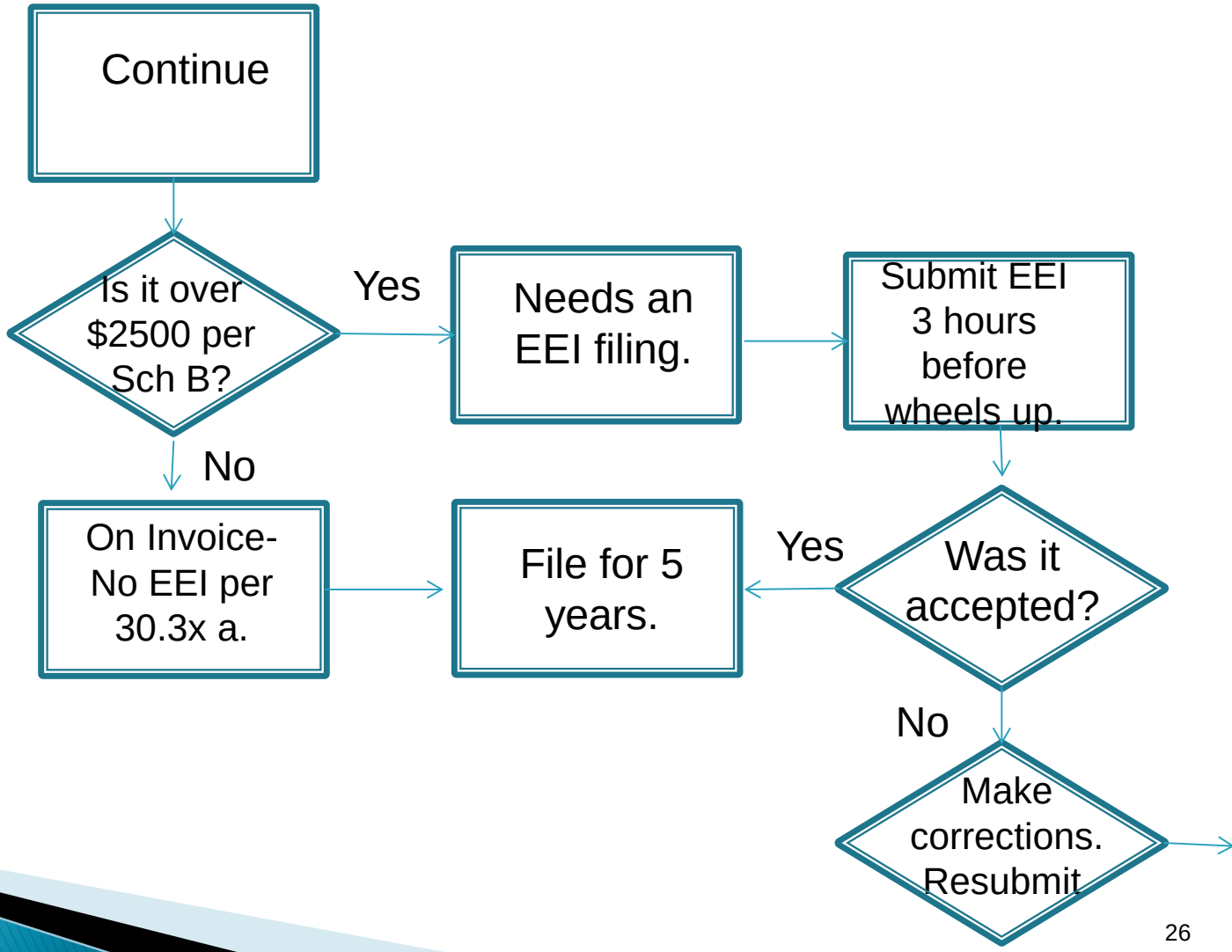
Decision tree



Compliance Review



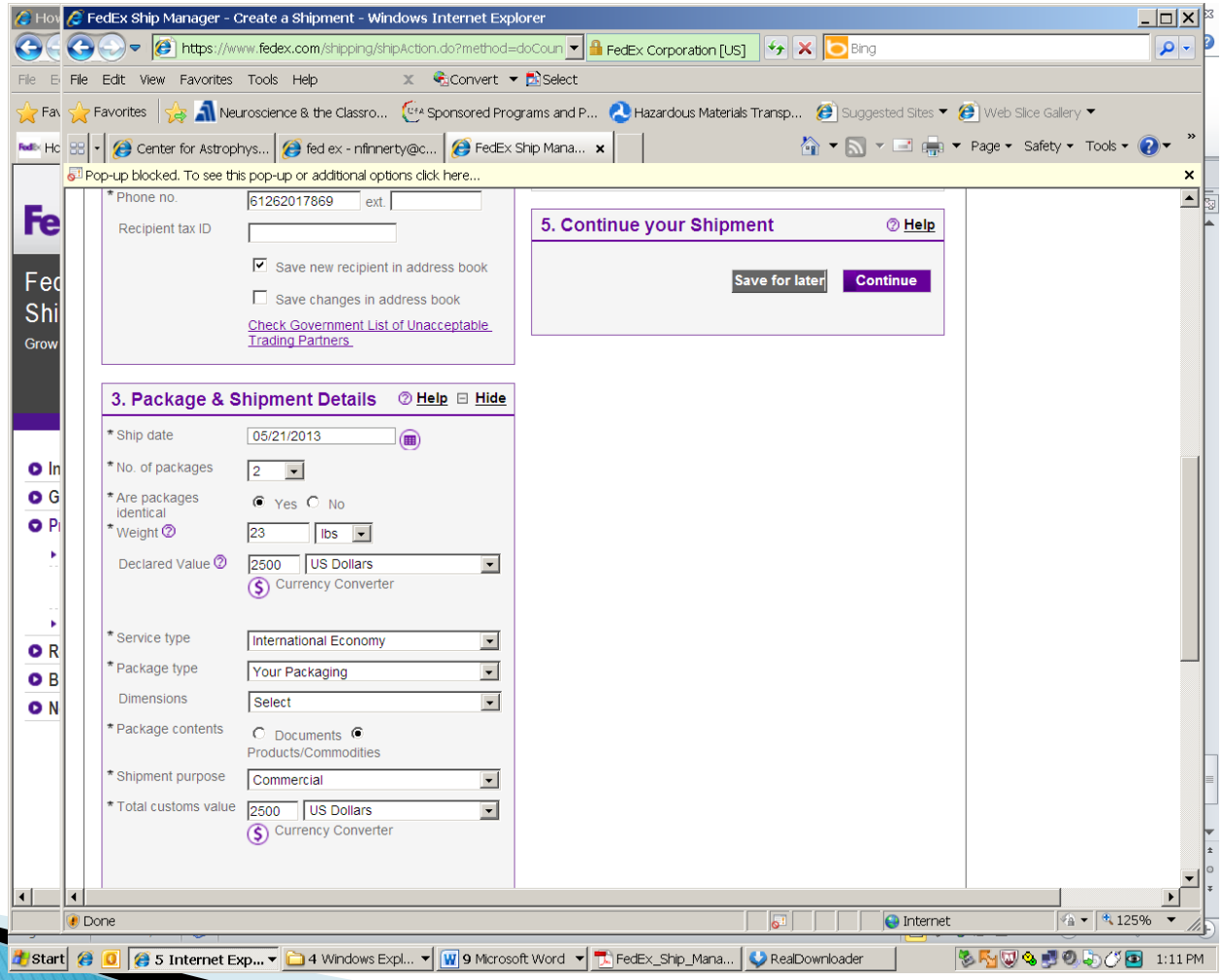
COMPLIANCE REVIEW



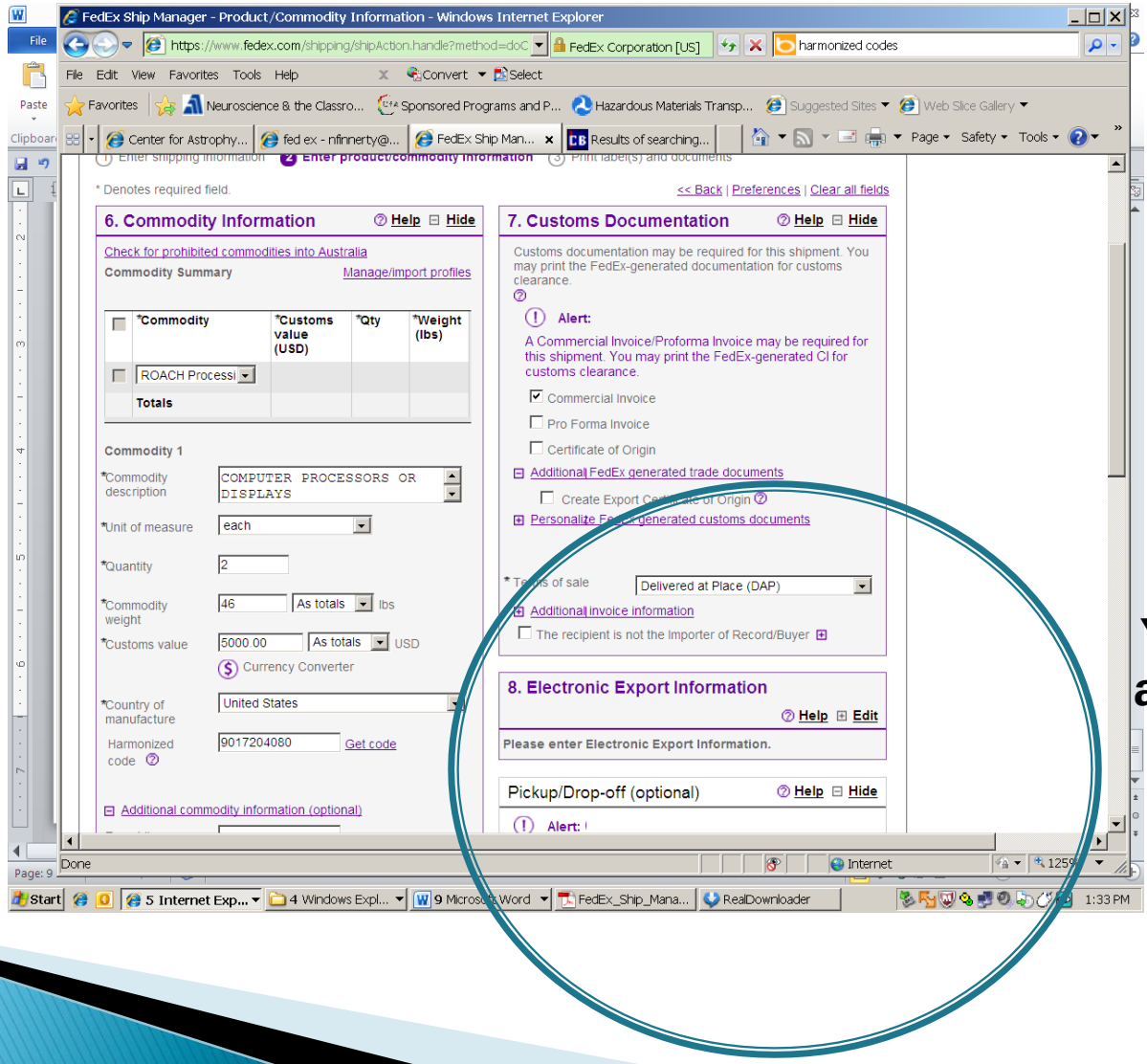
Export Document preparation

- What you need to know
  - INCO terms and responsibility
  - Description
  - Country of Origin
  - If it is a regulated item for the importing country
  - VAT, duties, taxes.
  - Value
  - Sch B number – export code
  - License code if applicable
  - Import code

Exporting with Fed Ex

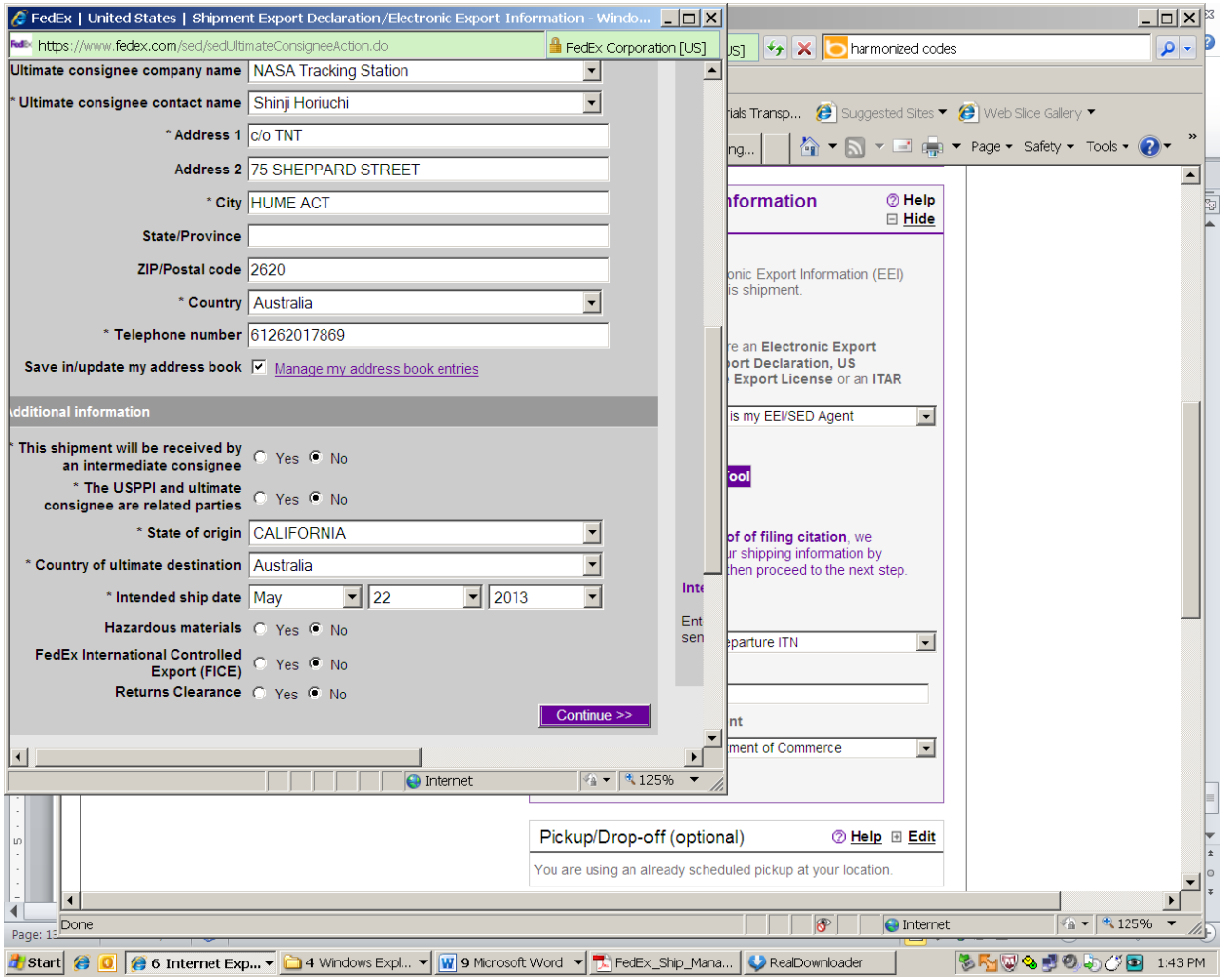


Exporting with Fed Ex

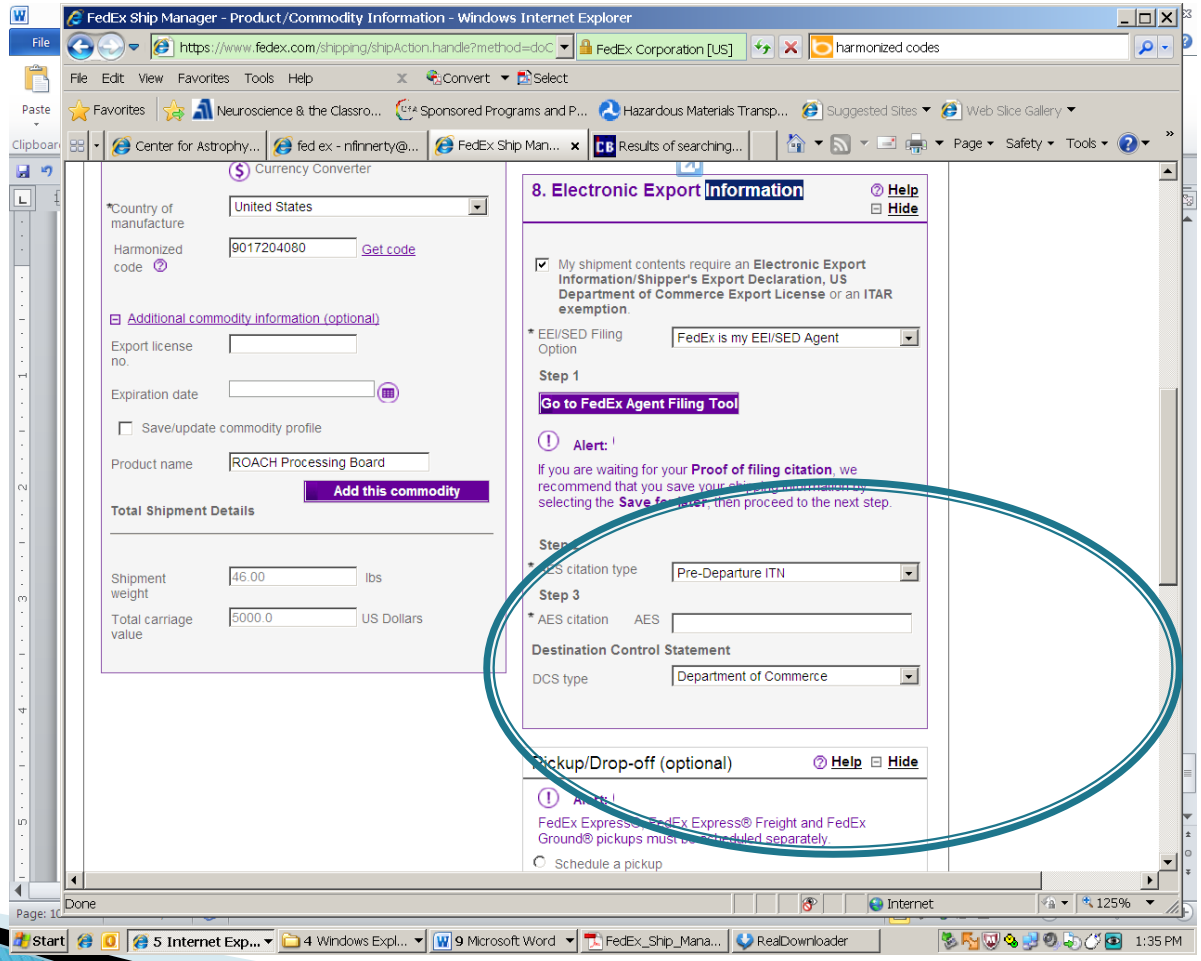


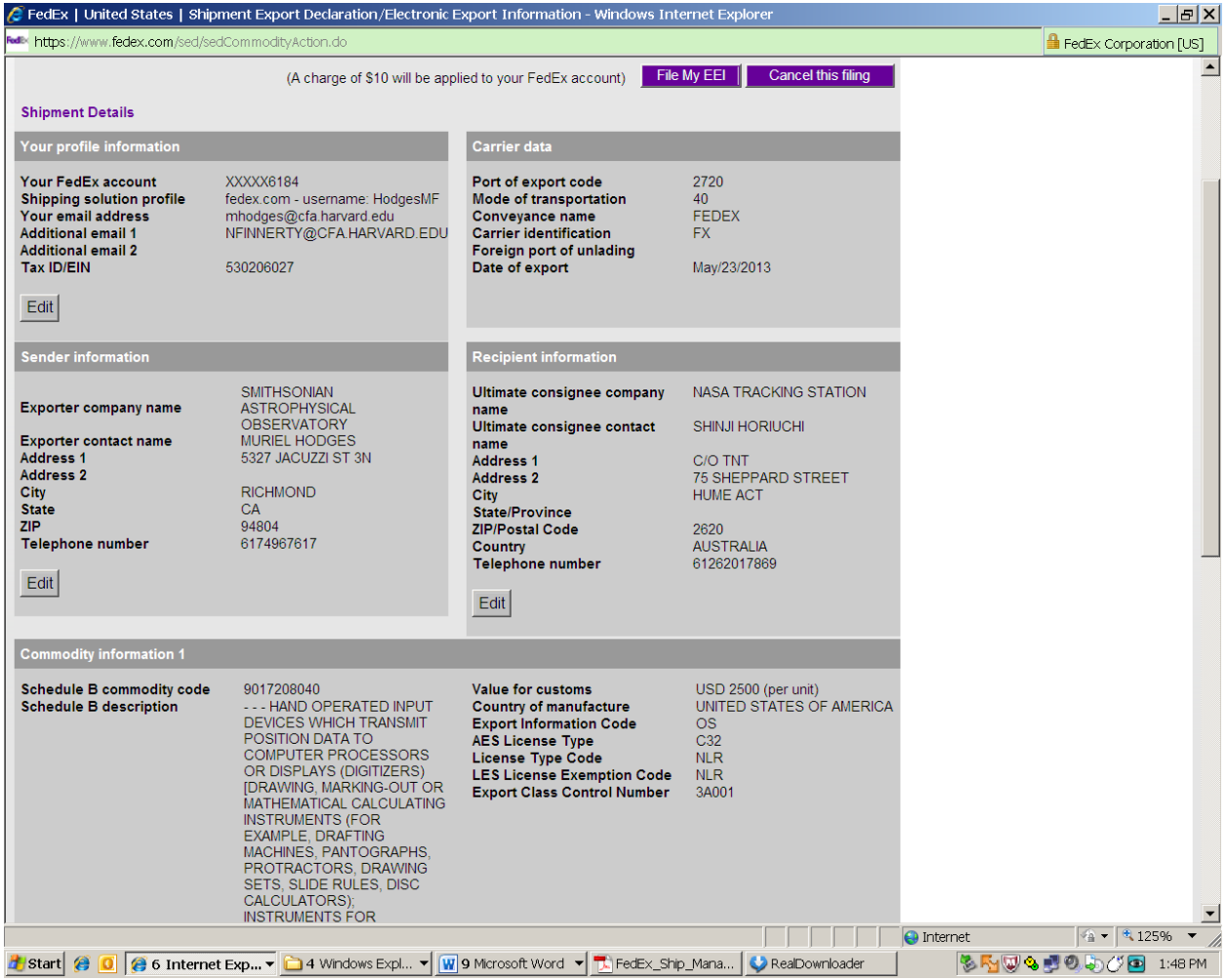
EEI Filing

You need to activate this


FedEx | United States | Shipment Export Declaration/Electronic Export Information - Windo...
https://www.fedex.com/sed/sedUltimateConsigneeAction.do
FedEx Corporation [US]
Ultimate consignee company name
NASA Tracking Station
* Ultimate consignee contact name
Shinji Horiuchi
* Address 1
c/o TNT
Address 2
75 SHEPPARD STREET
* City
HUME ACT
State/Province
ZIP/Postal code
2620
* Country
Australia
* Telephone number
61262017869
Save in/update my address book
Manage my address book entries
additional information
* This shipment will be received by an intermediate consignee
* The USPPI and ultimate consignee are related parties
* State of origin
CALIFORNIA
* Country of ultimate destination
Australia
* Intended ship date
May
22
2013
Hazardous materials
FedEx International Controlled Export (FICE)
Returns Clearance
Yes
No
Continue >>
Internet
125%
harmonized codes
Suggested Sites
Web Slice Gallery
Page
Safety
Tools
Help
Hide
Export License or an ITAR
Pickup/Drop-off (optional)
Help
Edit
You are using an already scheduled pickup at your location.
Done
Start
6 Internet Exp...
4 Windows Expl...
9 Microsoft Word
FedEx_Ship_Mana...
RealDownloader
1:43 PM

Tell them if it is EAR or ITAR




FedEx | United States | Shipment Export Declaration/Electronic Export Information - Windows Internet Explorer
https://www.fedex.com/sed/sedCommodityAction.do
FedEx Corporation [US]
(A charge of $10 will be applied to your FedEx account)
File My EEI
Cancel this filing
Shipment Details
Your profile information
Your FedEx account XXXXX6184
Shipping solution profile fedex.com - username: HodgesMF
Your email address mhodges@cfa.harvard.edu
Additional email 1 NFINNERTY@CFA.HARVARD.EDU
Additional email 2
Tax ID/EIN 530206027
Edit
Carrier data
Port of export code 2720
Mode of transportation 40
Conveyance name FEDEX
Carrier identification FX
Foreign port of unlading
Date of export May/23/2013
Sender information
Exporter company name SMITHSONIAN ASTROPHYSICAL OBSERVATORY
Exporter contact name MURIEL HODGES
Address 1 5327 JACUZZI ST 3N
Address 2
City RICHMOND
State CA
ZIP 94804
Telephone number 6174967617
Edit
Recipient information
Ultimate consignee company name NASA TRACKING STATION
Ultimate consignee contact name SHINJI HORIUCHI
Address 1 C/O TNT
Address 2 75 SHEPPARD STREET
City HUME ACT
State/Province
ZIP/Postal Code 2620
Country AUSTRALIA
Telephone number 61262017869
Edit
Commodity information 1
Schedule B commodity code 9017208040
Schedule B description - - - HAND OPERATED INPUT DEVICES WHICH TRANSMIT POSITION DATA TO COMPUTER PROCESSORS OR DISPLAYS (DIGITIZERS) [DRAWING, MARKING-OUT OR MATHEMATICAL CALCULATING INSTRUMENTS (FOR EXAMPLE, DRAFTING MACHINES, PANTOGRAPHS, PROTRACTORS, DRAWING SETS, SLIDE RULES, DISC CALCULATORS); INSTRUMENTS FOR
Value for customs USD 2500 (per unit)
Country of manufacture UNITED STATES OF AMERICA
Export Information Code OS
AES License Type C32
License Type Code NLR
LES License Exemption Code NLR
Export Class Control Number 3A001
Internet
125%
Start
6 Internet Exp...
4 Windows Expl...
9 Microsoft Word
FedEx_Ship_Mana...
RealDownloader
1:48 PM

ACME WIDGET
30 EXCHANGE STREET
PORTLAND ME 04101 USA

PROFORMA INVOICE

DATE: September .5, 2005 **INVOICE NUMBER:** 800202

SOLD TO:
KIM JONG IL CORPORATION
371-51 KASAN-DONG KEUMCHON-KU
SEOUL KOREA

PURCHASE ORDER NBR:
SALES ORDER NBR:
FREIGHT: FREIGHT COLLECT
COUNTRY OF ORIGIN: U.S.A.
LOADING ON BOARD/DISPATCH AT/FROM: PORTLAND INTL
FOR TRANSPORTATION TO: INCHEON AIRPORT-KOREA
NUMBER OF PACKAGES: 1
GROSS WEIGHT: 400 KGS

DIMENSIONS: 70X50X48 (IN)

COMPLETE SHIPMENT

COVERING

COMMODITY DESCRIPTION	QUANTITY	UNIT PRICE	AMOUNT
8515292000			
WIDGET REWORK SYSTEM			
MODEL: PINNACLE 500	1 SYSTEM		USD38,000.00
WITH STANDARD ACCESSORIES			

+PRICE TERM IS FCA ACME PLANT, PORTLAND ME
+COUNTRY OF ORIGIN USA

TOTAL FCA ACME PLANT, PORTLAND ME // USD 38,000.00

PAYMENT TERMS: CASH IN ADVANCE OR IRREVOCABLE CONFIRMED LETTER OF CREDIT PAYABLE AT THE COUNTERS OF A U.S. BANK. ALL PRICES ARE UNITED STATES DOLLARS.
PLEASE FAX THIS PROFORMA BACK TO US AS CONFIRMATION OF YOUR ORDER.

THIS ORDER CONFIRMED BY:

THESE COMMODITIES, TECHNOLOGY OR SOFTWARE WERE EXPORTED FROM THE UNITED STATES IN ACCORDANCE WITH THE EXPORT ADMINISTRATION REGULATIONS. DIVERSION CONTRARY TO UNITED STATES LAW PROHIBITED.

CERTIFIED TRUE AND CORRECT

ACME WIDGET

.....
Authorized Signature

File No: L0011006

Proforma Invoice

- An invoice received before a sale is consummated, informing the buyer about the sale.
- Often used as an export quotation.
- Pro forma invoices are often used in foreign trade as the buyer's proof of future sale when applying for import licenses and letters of credit.

ACME WIDGET
30 EXCHANGE STREET
PORTLAND ME 04101 USA

COMMERCIAL INVOICE

DATE: September 25, 2005 **INVOICE NUMBER:** 800202

SOLD TO:
KIM JONG IL CORPORATION
371-51 KASAN-DONG KEUMCHON-KU
SEOUL KOREA

CONSIGNED TO:
HANVIT BANK

NOTIFY ACCOUNTEE:
KIM JONG IL CORPORATION
371-51 KASAN-DONG KEUMCHON-KU
SEOUL KOREA

DRAWN UNDER HANVIT BANK, SEOUL KOREA IRREVOCABLE DOCUMENTARY CREDIT NUMBER MDIK9008NU60030 DATED AUGUST 8, 2005.

PURCHASE ORDER NBR: SP-00706/ILSSAN
SALES ORDER NBR: 80039
FREIGHT: FREIGHT COLLECT
COUNTRY OF ORIGIN: U.S.A.
LOADING ON BOARD/DISPATCH AT/FROM: PORTLAND, ME
FOR TRANSPORTATION TO: BUSAN PORT-KOREA
NUMBER OF PACKAGES: 1
GROSS WEIGHT: 400 KGS
NET WEIGHT: 350 KGS
DIMENSIONS: 70X50X48 (IN)

COMPLETE SHIPMENT

COVERING

COMMODITY DESCRIPTION	QUANTITY	UNIT PRICE	AMOUNT
8515292000 WIDGET REWORK SYSTEM MODEL: PINNACLE 500 WITH STANDARD ACCESSORIES	1 SYSTEM		USD38,000.00

+PRICE TERM IS FCA ACME PLANT, PORTLAND ME
+COUNTRY OF ORIGIN USA

EXPORT LICENSE: NLR // ECCN: EAR99 IMPORT LICENSE: N/A

TOTAL FCA ACME PLANT, PORTLAND ME // USD 38,000.00

SHIP VIA: OCEANAIR INC.

THESE COMMODITIES, TECHNOLOGY OR SOFTWARE WERE EXPORTED FROM THE UNITED STATES IN ACCORDANCE WITH THE EXPORT ADMINISTRATION REGULATIONS. DIVERSION CONTRARY TO UNITED STATES LAW PROHIBITED.

CERTIFIED TRUE AND CORRECT

ACME WIDGET

.....
Authorized Signature

X2013112112345 or
No EEI per 30.36 a

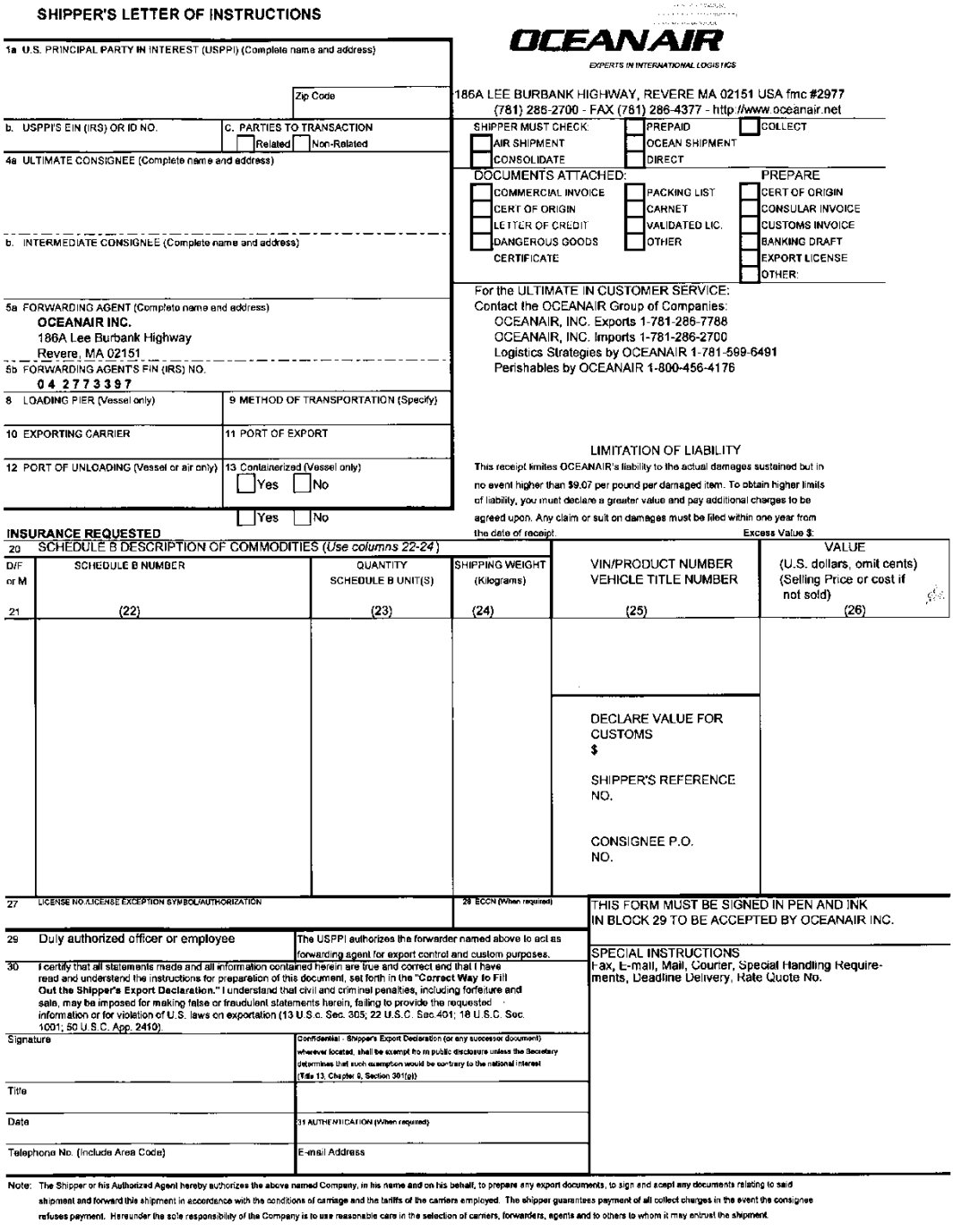
File No: L0011006

Commercial Invoice

- A complete record of the transaction between the exporter and importer.
- Reports the content of the shipment and serves as the basis for all other documents about the shipment.
- Important document for foreign customs authorities. Used to assess duty.

Shipper's Letter of Instructions

- The Shipper's Letter of Instruction (SLI) provides shipping instructions to the shipper's freight forwarder.
- Often this document will include billing terms and charges, as well as documentation preparation instructions if the shipper is not providing those documents.
- This form is often used as the basis for the forwarder generate other forms, such as the SED/AES.



SHIPPER'S LETTER OF INSTRUCTIONS

OCEANAIR
EXPERTS IN INTERNATIONAL LOGISTICS

186A LEE BURBANK HIGHWAY, REVERE MA 02151 USA fmc #2977
(781) 286-2700 - FAX (781) 286-4377 - http://www.oceanair.net

1a U.S. PRINCIPAL PARTY IN INTEREST (USPPI) (Complete name and address)

Zip Code

b. USPPI'S EIN (IRS) OR ID NO.

c. PARTIES TO TRANSACTION ☐ Related ☐ Non-Related

4a ULTIMATE CONSIGNEE (Complete name and address)

b. INTERMEDIATE CONSIGNEE (Complete name and address)

5a FORWARDING AGENT (Complete name and address)
OCEANAIR INC.
186A Lee Burbank Highway
Revere, MA 02151

5b FORWARDING AGENT'S EIN (IRS) NO.
04 2773397

8 LOADING PIER (Vessel only)

9 METHOD OF TRANSPORTATION (Specify)

10 EXPORTING CARRIER

11 PORT OF EXPORT

12 PORT OF UNLOADING (Vessel or air only)

13 Containerized (Vessel only) ☐ Yes ☐ No

☐ Yes ☐ No

SHIPPER MUST CHECK: ☐ PREPAID ☐ COLLECT
☐ AIR SHIPMENT ☐ OCEAN SHIPMENT
☐ CONSOLIDATE ☐ DIRECT

DOCUMENTS ATTACHED:
☐ COMMERCIAL INVOICE ☐ PACKING LIST
☐ CERT OF ORIGIN ☐ CARNET
☐ LETTER OF CREDIT ☐ VALIDATED LIC.
☐ DANGEROUS GOODS CERTIFICATE ☐ OTHER

PREPARE
☐ CERT OF ORIGIN
☐ CONSULAR INVOICE
☐ CUSTOMS INVOICE
☐ BANKING DRAFT
☐ EXPORT LICENSE
☐ OTHER:

For the ULTIMATE IN CUSTOMER SERVICE:
Contact the OCEANAIR Group of Companies:
OCEANAIR, INC. Exports 1-781-286-7788
OCEANAIR, INC. Imports 1-781-286-2700
Logistics Strategies by OCEANAIR 1-781-599-6491
Perishables by OCEANAIR 1-800-456-4176

LIMITATION OF LIABILITY
This receipt limites OCEANAIR's liability to the actual damages sustained but in no event higher than $9.07 per pound per damaged item. To obtain higher limits of liability, you must declare a greater value and pay additional charges to be agreed upon. Any claim or suit on damages must be filed within one year from the date of receipt.

INSURANCE REQUESTED Excess Value $:

20 SCHEDULE B DESCRIPTION OF COMMODITIES (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)

DECLARE VALUE FOR CUSTOMS
$

SHIPPER'S REFERENCE NO.

CONSIGNEE P.O. NO.

27 LICENSE NO./LICENSE EXCEPTION SYMBOL/AUTHORIZATION

28 ECCN (When required)

THIS FORM MUST BE SIGNED IN PEN AND INK IN BLOCK 29 TO BE ACCEPTED BY OCEANAIR INC.

29 Duly authorized officer or employee

The USPPI authorizes the forwarder named above to act as forwarding agent for export control and custom purposes.

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).

SPECIAL INSTRUCTIONS
Fax, E-mail, Mail, Courier, Special Handling Requirements, Deadline Delivery, Rate Quote No.

Signature

Confidential - Shipper's Export Declaration (or any successor document) wherever located, shall be exempt fro m public disclosure unless the Secretary determines that such exemption would be contrary to the national interest (Title 13, Chapter 9, Section 301(g))

Title

Date

31 AUTHENTICATION (When required)

Telephone No. (Include Area Code)

E-mail Address

Note: The Shipper or his Authorized Agent hereby authorizes the above named Company, in his name and on his behalf, to prepare any export documents, to sign and acept any documents relating to said shipment and forward this shipment in accordance with the conditions of carriage and the tariffs of the carriers employed. The shipper guarantees payment of all collect charges in the event the consignee refuses payment. Hereunder the sole responsibility of the Company is to use reasonable care in the selection of carriers, forwarders, agents and to others to whom it may entrust the shipment.

Sample AES Entry

AES Electronic SED Declaration Printed On: 10/03/05

Shipment Header Information

Shipment Ref:	01568472	Export Date:	10/01/05
AWB/BOL:	932-93545023	Mode:	Air
Origin-US State:	MA MASSACHUSETTS	Related:	Y
Port of Export:	0401 BOSTON, U.S.A.	Routed:	N
Ult Dest:	IE IRELAND	Hazardous:	N
Carrier:	VIRGIN ATLANTIC AIRWAYS	Carrier Code	VS

Transaction Parties

Details	USPPI/SHIPPER	FNPPI/CONSIGNEE	FORWARDER
Name:	XYZ COMPANY	XYZ COMPANY LTD	OCEANAIR INC
Address:	ZZ WILLIAMS ST	SHANNON INDUSTRIAL ATTN ANGUS MALLON	186A BURBANK HIGHWAY
City/Zip:	DANVERS,MA 01923	SHANNON IRELAND, IE	REVERE, MA 02151
Country:	US	IE	US
EIN:	22-1258310		04-277339700
Contact:	JIM NOT TOO SURE		
Phone:	978-508-1100		781-286-2700

Line Item Details

Line	D/F	Schedb No	Primary	Secondary	Gross Wt	Value
1	D	1301900000	3 KG		7 KG	7837.50

Description: NATURAL GUMS, GUM RESINS, RESINS AND BALSAMS NESOI

License: NLR ECCN: OTDC Reg No.: C33

Other Information

SED Submitted to Customs: 10/04/02 20:21

ITN No: X20021004036693

Comment: ES1996 SHIPMENT ACCEPTED - MUST VERIFY DATA

US Certificate of Origin

The undersigned Hadleigh Frank
(Owner or Agent)

Cash & Long Power Suppiles, 915 Doncaster Drive, PAULSBORO, NJ 08066, US
(Name and Address of Shipper)

declares that the following mentioned goods shipped on United Parcel Service on the date 07/19/00 consigned to:

Perkins Import, 4220 Rue de la Paix, Paris 75001, FR

are the product of the United States of America.

MARKS AND NUMBERS	NO. OF PKGS BOXES OR CASES	WEIGHT IN KILOS GROSS	DESCRIPTION
Bill of Lading/Air WayBill No.: 73E69283NKN 01091012	1	22.7	Aluminium Windshield Wiper Assemblies for Automobiles

Sworn to before me
this 19 day of July 2000 Hadleigh Frank
Signature of Owner or Agent

The Louisville Chamber of Commerce
a recognized Chamber of Commerce under the laws of the State of Kentucky, 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 North America.

Secretary Lou Johnson

U.S. DEPARTMENT OF HOMELAND SECURITY
Bureau of Customs and Border Protection

OMB No. 1651-0098
See back of form for Paperwork Reduction Act Notice.

NORTH AMERICAN FREE TRADE AGREEMENT
CERTIFICATE OF ORIGIN

Please print or type

19 CFR 181.11, 181.22

Bill of Lading / Air Waybill No. :

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

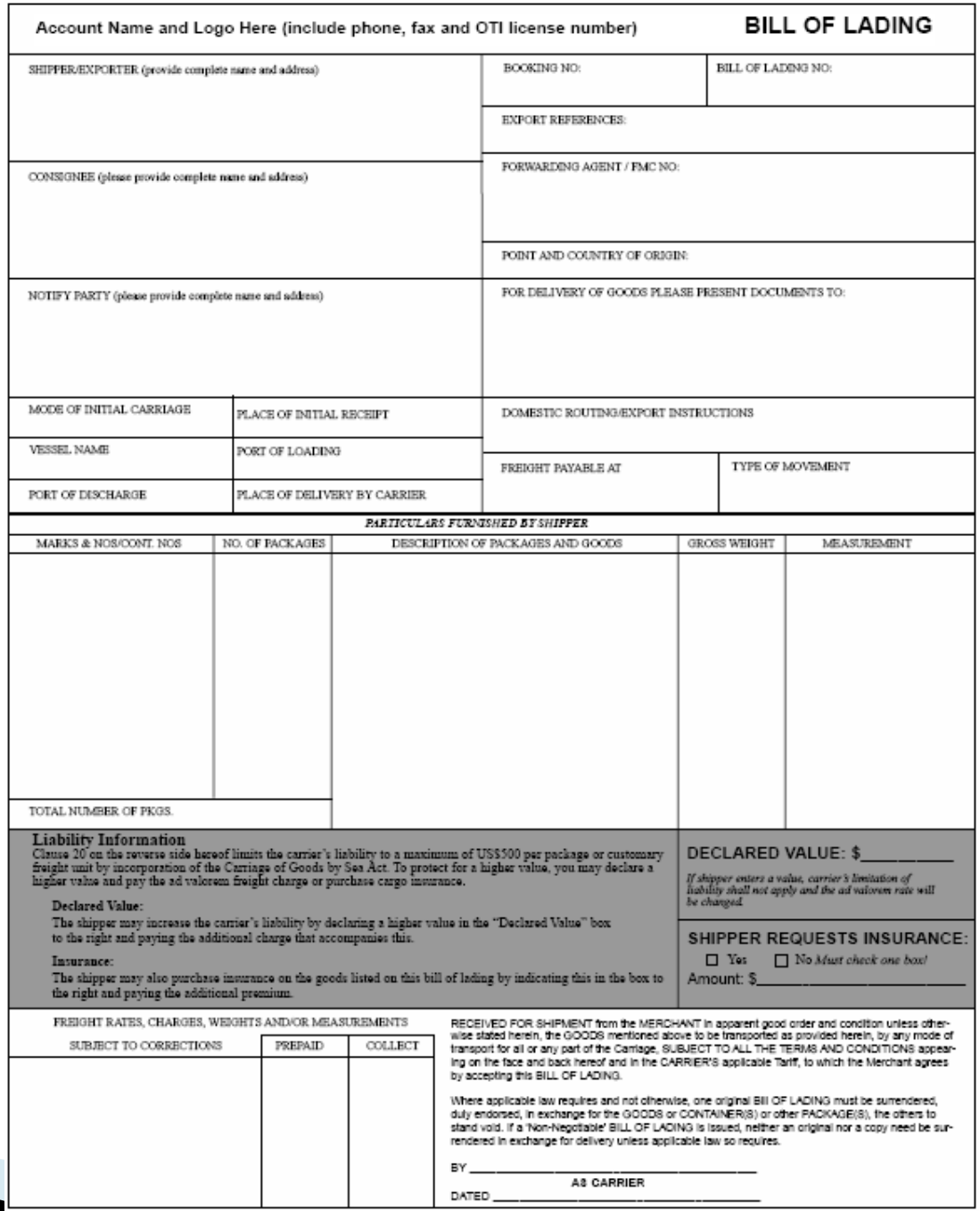
- THE INFORMATION ON THIS DOCUMENT IS TRUE AND ACCURATE AND I ASSUME THE RESPONSIBILITY FOR PROVING SUCH REPRESENTATIONS. I UNDERSTAND THAT I AM LIABLE FOR ANY FALSE STATEMENTS OR MATERIAL OMISSIONS MADE ON OR IN CONNECTION WITH THIS DOCUMENT;
- I AGREE TO MAINTAIN AND PRESENT UPON REQUEST, DOCUMENTATION 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 *(Print or Type)*		11d. TITLE	
	11e. DATE *(MM/DD/YYYY)*	11f. TELEPHONE NUMBER ▶	*(Voice)*	*(Facsimile)*

CBP Form 434 (04/97)

Bill of Lading

- Transport document
- Serves as carrier's receipt of goods
- Evidence of contract of carriage
- Document of title when endorsed
- Can be negotiable or non-negotiable ("straight")



Account Name and Logo Here (include phone, fax and OTI license number)

BILL OF LADING

SHIPPER/EXPORTER (provide complete name and address)	BOOKING NO:	BILL OF LADING NO:
	EXPORT REFERENCES:	
CONSIGNEE (please provide complete name and address)	FORWARDING AGENT / FMC NO:	
	POINT AND COUNTRY OF ORIGIN:	
NOTIFY PARTY (please provide complete name and address)	FOR DELIVERY OF GOODS PLEASE PRESENT DOCUMENTS TO:	
MODE OF INITIAL CARRIAGE / PLACE OF INITIAL RECEIPT	DOMESTIC ROUTING/EXPORT INSTRUCTIONS	
VESSEL NAME / PORT OF LOADING	FREIGHT PAYABLE AT	TYPE OF MOVEMENT
PORT OF DISCHARGE / PLACE OF DELIVERY BY CARRIER		

PARTICULARS FURNISHED BY SHIPPER

MARKS & NOS/CONT. NOS	NO. OF PACKAGES	DESCRIPTION OF PACKAGES AND GOODS	GROSS WEIGHT	MEASUREMENT
TOTAL NUMBER OF PKGS.				

Liability Information

Clause 20 on the reverse side hereof limits the carrier's liability to a maximum of US$500 per package or customary freight unit by incorporation of the Carriage of Goods by Sea Act. To protect for a higher value, you may declare a higher value and pay the ad valorem freight charge or purchase cargo insurance.

Declared Value:
The shipper may increase the carrier's liability by declaring a higher value in the "Declared Value" box to the right and paying the additional charge that accompanies this.

Insurance:
The shipper may also purchase insurance on the goods listed on this bill of lading by indicating this in the box to the right and paying the additional premium.

DECLARED VALUE: $_____

If shipper enters a value, carrier's limitation of liability shall not apply and the ad valorem rate will be charged.

SHIPPER REQUESTS INSURANCE:
☐ Yes ☐ No *Must check one box!*
Amount: $_____

FREIGHT RATES, CHARGES, WEIGHTS AND/OR MEASUREMENTS SUBJECT TO CORRECTIONS	PREPAID	COLLECT

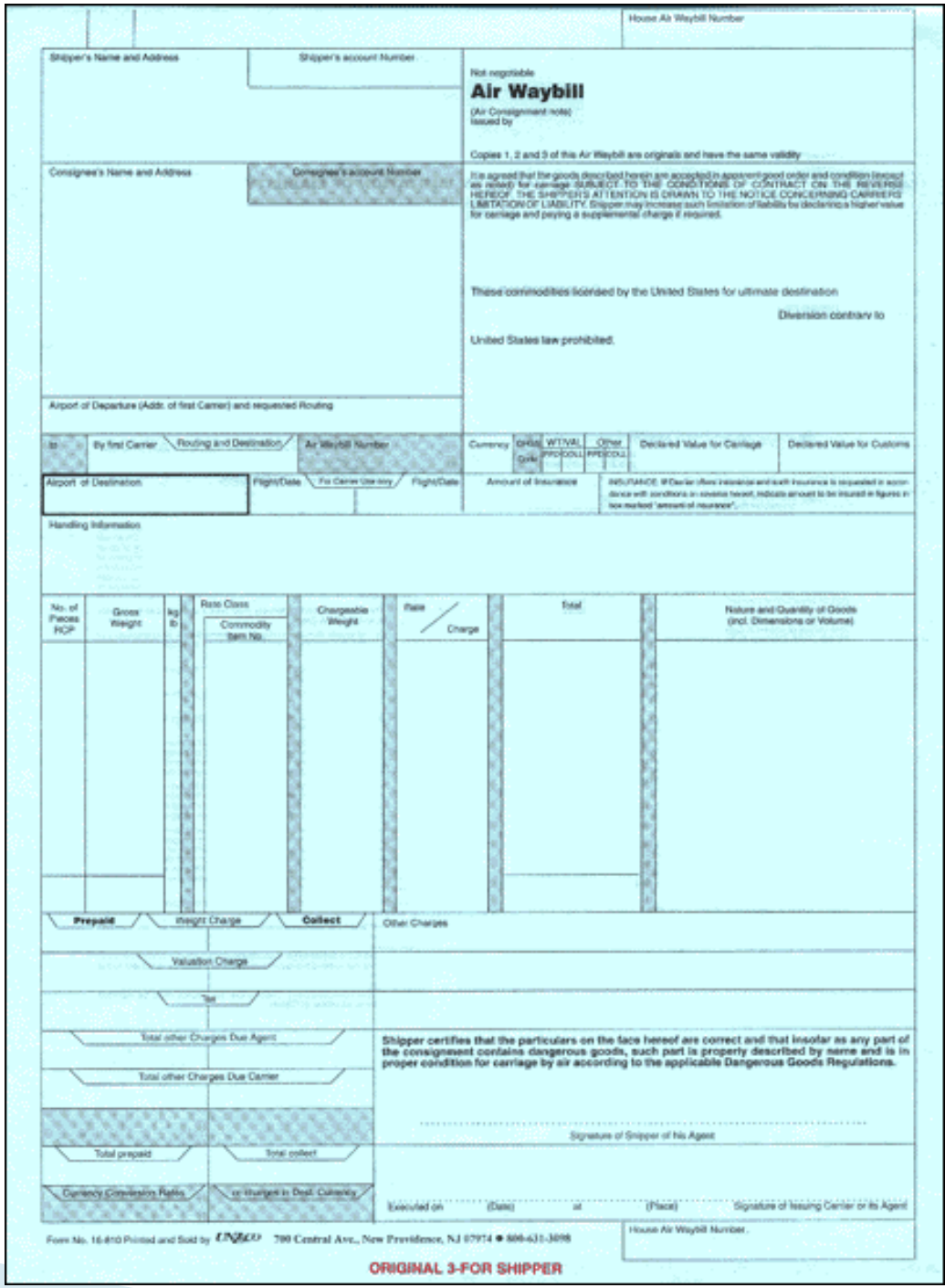
RECEIVED FOR SHIPMENT from the MERCHANT in apparent good order and condition unless otherwise stated herein, the GOODS mentioned above to be transported as provided herein, by any mode of transport for all or any part of the Carriage, SUBJECT TO ALL THE TERMS AND CONDITIONS appearing on the face and back hereof and in the CARRIER'S applicable Tariff, to which the Merchant agrees by accepting this BILL OF LADING.

Where applicable law requires and not otherwise, one original Bill OF LADING must be surrendered, duly endorsed, in exchange for the GOODS or CONTAINER(S) or other PACKAGE(S), the others to stand void. If a 'Non-Negotiable' BILL OF LADING is issued, neither an original nor a copy need be surrendered in exchange for delivery unless applicable law so requires.

BY _____
AS CARRIER
DATED _____

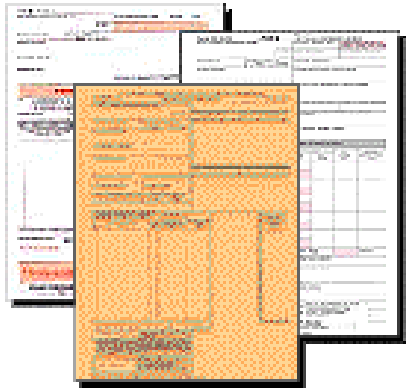
Air Waybill

- Air transport document
- Serves as carrier's receipt of goods
- Evidence of contract of carriage
- Non-negotiable
- A "House" airwaybill is issued by a freight forwarder for consolidated air shipments



Other Common Export Documents

- Packing List
- Dock Receipt
- Customs Power of Attorney



Heading/ Subheading	Stat. Suf-fix	Article Description	Unit of Quantity	Rates of Duty 1 General	Rates of Duty 1 Special	Rates of Duty 2
8507 (con.)		Electric storage batteries, including separators therefor, whether or not rectangular (including square); parts thereof (con.):				
8507.40		Nickel-iron storage batteries:				
8507.40.40	00	Of a kind used as the primary source of electrical power for electrically powered vehicles of subheading 8703.90	No.	3.4%	Free (A,AU,B,BH, CA,CL,E,IL,J,JO, MA,MX,OM,P,PE, SG)	40%
8507.40.80	00	Other	No.	3.4%	Free (A,AU,B,BH, C,CA,CL,E,IL,J, JO,MA,MX,OM,P, PE,SG)	40%
8507.80		Other storage batteries:				
8507.80.40	00	Of a kind used as the primary source of electrical power for electrically powered vehicles of subheading 8703.90	No.	3.4%	Free (A,AU,B,BH, CA,CL,E,IL,J,JO, MA,MX,OM,P,PE, SG)	40%
8507.80.80		Other:		3.4% 1/	Free (A,AU,B,BH, C,CA,CL,E,IL,J, JO,MA,MX,OM,P, PE,SG)	40%
	10	Lithium-ion batteries	No. kg			
	20	Nickel-metal hydride batteries	No. kg			
	50	Other	No. kg			
8507.90		Parts:				
8507.90.40	00	Of lead-acid storage batteries	X	3.5%	Free (A,AU,B,BH, C,CA,CL,E,IL,J, JO,MA,MX,OM,P, PE,SG)	40%
8507.90.80	00	Other	X	3.4%	Free (A,AU,B,BH, C,CA,CL,E,IL,J, JO,MA,MX,OM,P, PE,SG)	40%

Existing U.S. Free Trade Agreements

Australia	**Bahrain**	**CAFTA-DR**
Chile	**Colombia**	**Israel**
Jordan	**Korea**	**Morocco**
NAFTA	**Oman**	**Panama**
Peru		**Singapore**

EXPORT COMPLIANCE PROGRAM

- Goal is to prevent violations
- Demonstrate "Due diligence"
- The elements are based on published best practices guidelines by the US Departments of State, Commerce and Treasury for
  - International Traffic in Arms Regulations (ITAR)
  - Export Administration Regulations (EAR)
  - Foreign Trade Regulations (FTR)
  - Foreign Asset Control Regulations (FACR)
  - US Customs requirements (Treasury)

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AESDirec
Schedule
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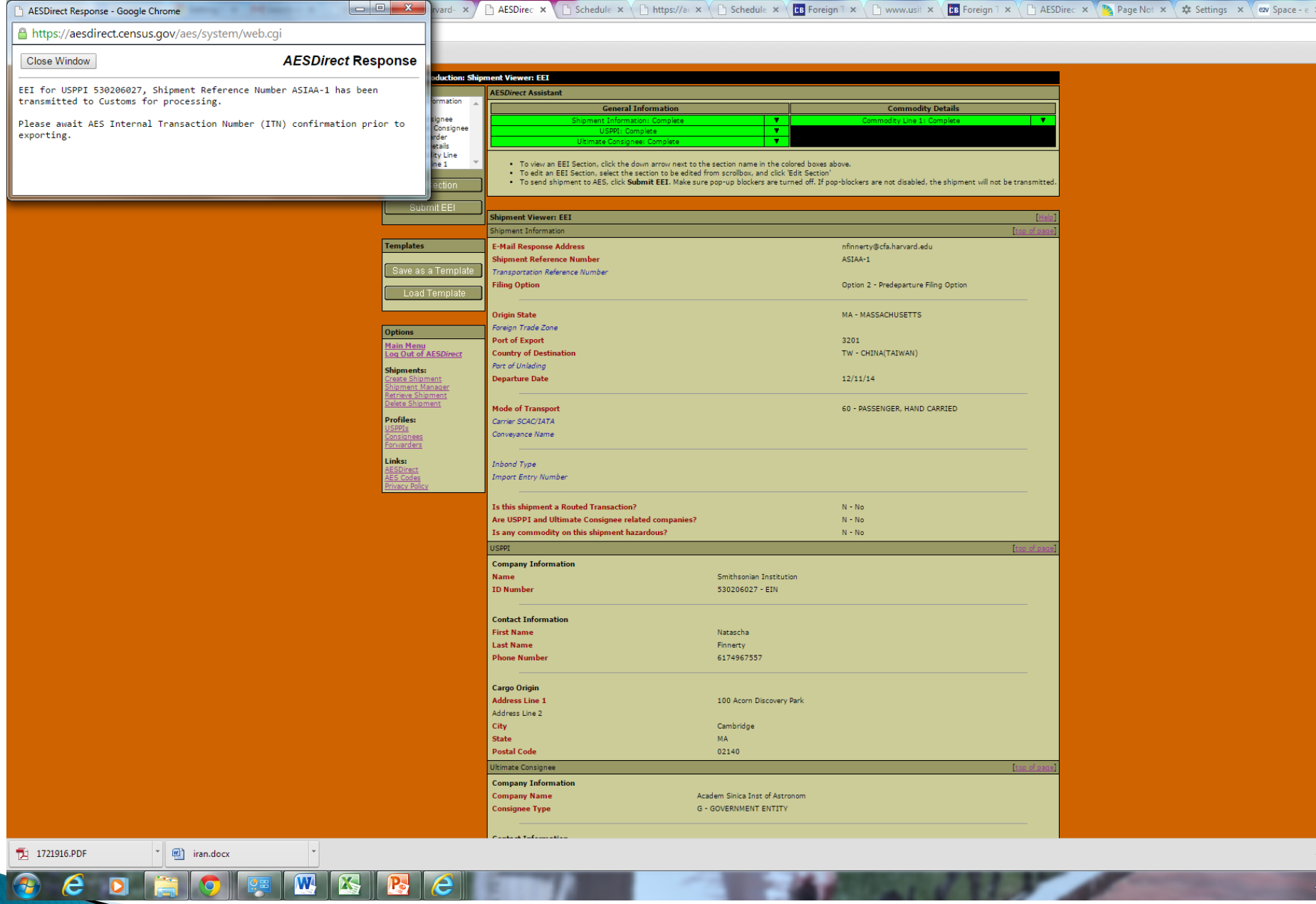
Apps
Govt sites
Imported From Firef...
AESDirect Production: Shipment Viewer: EEI
Shipment Information
USPPI
Ultimate Consignee
Intermediate Consignee
Freight Forwarder
Equipment Details
Add Commodity Line
Commodity Line 1
Edit Section
Submit EEI
Templates
Save as a Template
Load Template
Options
Main Menu
Log Out of AESDirect
Shipments:
Create Shipment
Shipment Manager
Retrieve Shipment
Delete Shipment
Profiles:
USPPIs
Consignees
Forwarders
Links:
AESDirect
AES Codes
Privacy Policy
AESDirect Assistant
General Information
Shipment Information: Complete
USPPI: Complete
Ultimate Consignee: Complete
To view an EEI Section, click the down arrow next to the sect
To edit an EEI Section, select the section to be edited from s
To send shipment to AES, click Submit EEI. Make sure pop-
Shipment Viewer: EEI
Shipment Information
E-Mail Response Address
Shipment Reference Number
Transportation Reference Number
Filing Option
Origin State
Foreign Trade Zone
Port of Export
Country of Destination
Port of Unlading
Departure Date
Mode of Transport
Carrier SCAC/IATA
Conveyance Name
Inbond Type
Import Entry Number
Is this shipment a Routed Transaction?
Are USPPI and Ultimate Consignee related companies?
Is any commodity on this shipment hazardous?


AESDirect Response - Google Chrome
https://aesdirect.census.gov/aes/system/web.cgi
Close Window
AESDirect Response
EEI for USPPI 530206027, Shipment Reference Number ASIAA-1 has been transmitted to Customs for processing.
Please await AES Internal Transaction Number (ITN) confirmation prior to exporting.
Shipment Viewer: EEI
AESDirect Assistant
General Information
Shipment Information: Complete
USPPI: Complete
Ultimate Consignee: Complete
Commodity Details
Commodity Line 1: Complete
To view an EEI Section, click the down arrow next to the section name in the colored boxes above.
To edit an EEI Section, select the section to be edited from scrollbox, and click 'Edit Section'
To send shipment to AES, click Submit EEI. Make sure pop-up blockers are turned off. If pop-blockers are not disabled, the shipment will not be transmitted.
Submit EEI
Templates
Save as a Template
Load Template
Options
Main Menu
Log Out of AESDirect
Shipments:
Create Shipment
Shipment Manager
Retrieve Shipment
Delete Shipment
Profiles:
USPPIs
Consignees
Forwarders
Links:
AESDirect
AES Codes
Privacy Policy
Shipment Viewer: EEI
Shipment Information
E-Mail Response Address nfinnerty@cfa.harvard.edu
Shipment Reference Number ASIAA-1
Transportation Reference Number
Filing Option Option 2 - Predeparture Filing Option
Origin State MA - MASSACHUSETTS
Foreign Trade Zone
Port of Export 3201
Country of Destination TW - CHINA(TAIWAN)
Port of Unlading
Departure Date 12/11/14
Mode of Transport 60 - PASSENGER, HAND CARRIED
Carrier SCAC/IATA
Conveyance Name
Inbond Type
Import Entry Number
Is this shipment a Routed Transaction? N - No
Are USPPI and Ultimate Consignee related companies? N - No
Is any commodity on this shipment hazardous? N - No
USPPI
Company Information
Name Smithsonian Institution
ID Number 530206027 - EIN
Contact Information
First Name Natascha
Last Name Finnerty
Phone Number 6174967557
Cargo Origin
Address Line 1 100 Acorn Discovery Park
Address Line 2
City Cambridge
State MA
Postal Code 02140
Ultimate Consignee
Company Information
Company Name Academ Sinica Inst of Astronom
Consignee Type G - GOVERNMENT ENTITY
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iran.docx

Any questions, please ask!

- Natascha Finnerty
- Export Compliance Officer

- 617 496-7557

- nfinnerty@cfa.harvard.edu or export@si.edu