

Progress Rail

A Caterpillar Company

MATERIAL RETURN INSTRUCTIONS

Progress Rail – Core Management LaGrange, IL 60525 cores@progressrail.com

Effective December 1, 2016, all rebuild cores, warranty return material, and repair and return parts should be shipped to EMD's core return processing center, unless noted below:

Progress Rail Locomotive Inc.
Attn: Core Processing Center
4400 NW 41st Street
Docks 20-23
Riverside, MO 64150
Receiving Hours: 7 a.m. – 6 p.m. M thru F
Contact: Stephen Currier – (816) 905-2628

Effective January 1, 2017, all shipments that are sent to the former core receiving facility will be rejected back to the shipper/customer.

The Riverside, MO address is to be used for all core returns, with the following **exceptions** – these major components must be shipped directly to these Progress Rail rebuild processing facilities as defined below:

Note: The Western Reman facility in Winnipeg has closed. Crankshafts and additional engine components noted below are to be returned to the Western Reman facility in Peru, IN.

TRACTION MOTORS, COMBOS & WHEEL AXLE & GEAR ASSEMBLIES

Shipments originating outside of the US:

Progress Rail – San Luis Potosi
Circuito Exportación #391
Parque Industrial Tres Naciones
San Luis Potosi, S.L.P. Mex CP 78395
Receiving Hours: 7:00 a.m. - 7:00 p.m. - M thru F
Contact: Alex Sandoval Ph: 011-52 444 804-1800

Shipments within US – Contact Your EMD Inside Sales Representative to be directed to appropriate EMD Return Location:

Progress Rail
130824 Lockwood Road
Gering Ind. Park South Bldg
Gering, NE 69341
Receiving Hours: 7:00 a.m. - 4:00 p.m. - M thru F
Contact: Kendra Marx (308) 436-2575 – Ext. 220

Progress Rail
3909 Cincinnati Street
Rocklin, CA 95765
Receiving Hours: 7:00 a.m. - 2:30 p.m. - M thru F
Contact: Hilary Helmond - (916) 645-6006

Progress Rail
3500 South Cowan Road
Dock #27
Muncie, IN 47302
Receiving Hours: 7:00 a.m. - 3:30 p.m. Eastern Time - M thru F
Contact: Contact Alejandro Avila – (765) 256-1066

TURBOCHARGERS [ONLY]

Progress Rail, Material Services Bldg.
Dock H
9301 W. 55th Street
LaGrange, IL 60525
Receiving Hours: 6:00 a.m.- 2:00 p.m.- M thru F
Contact: Jonathan “Jay” Howard – (708) 387-5110

POWER ASMS AND POWER ASM SUB-COMPONENTS / CRANKSHAFTS, VALVE BRIDGES, ADAPTER SCREENS, CLUTCHES AND SPRING DRIVE GEARS:

Progress Rail
588 West 7th Street
Peru, IN 46970
Receiving Hours: 6:00 a.m. - 10:00 p.m. Eastern Time - M thru F
Contact: Joetta McGowan - (765) 472-2002 – X232

ENGINES

Progress Rail
425 Ingersoll Rand Road
Mayfield, KY 42066
Receiving Hours: 6:30 a.m. - 2:30 p.m. - M - F
Contact: Shelby Riley – (270) 251-7023

MAIN GENERATORS/ALTERNATORS

Contact your Progress Rail Inside Sales Representative

MATERIAL RETURN INSTRUCTIONS

Ship-to Locations for Cores:

The ship-to locations for core shipments are listed above.

Return Tags:

Please note that ALL return material must include the appropriate material identification Return Tag. The return tag must contain the Customer Purchase Order number, EMD UTEX part number, quantity returned and the description. Majors must contain Serial Number identification on the return goods tag.

For warranty material please completely fill out and attach an EMD **S-tag** to all components returned for processing.

All materials returned against a claim, must include the return material authorization (RMA) attached to the material.

NOTE: Unused claim material should **NOT** be returned to a Progress Rail core return processing facility.

The appropriate return address for returning unused material against a claim is provided to you in the Progress Rail "Authorization to Return Material" claim form. You may also contact your Inside Sales Representative to verify the return address.

To order "A", "S" and/or "Hold for Service" return material tags please contact Jennifer Miller of APL at jemiller@PROGRESSRAIL.com

When ordering, please provide the following information:

1. Qty of boxes required - (Qty of 500 per box)
2. "Ship to" address
3. "Attn To:"
4. Shipping method: If expedited freight is required, please be sure to provide your UPS Account #, etc.

PROGRESS RAIL RETURN TAGS

White Non-Warranty Return “A” Tag

EMD 1165E 03/95 NO.

A 0055731

Serial No. for Major Components

A 0055731

Ship To Electro-Motive Diesel, Inc.

Customer

Customer Location (City & State) Date

P.O. No. Part No. Qty.

Description

ZRE (RMA) No. (if known) FOR EMD USE ONLY

Date Rec'd Rec'd. By Location

Bailed property of Electro-Motive Diesel, Inc. owner


Customer

Attach This Tag To Material Being Returned

The following information is required to process core material

- **Customer Name**
- **Customer location (city and state) where material is being shipped from**
- **Date**
- **P.O. or ZRE # (RMA #)**
- **Part # (THIS HAS TO BE THE UTEX #)**
- **Quantity**
- **Description of material**
- **Serial Number (REQUIRED for MAJOR components ONLY) - Please write in above tag number as shown in tag illustration above**

Yellow Warranty Return “S” Tag

EMD 1187 03/05 NO. S 0124751 Attach This Tag To Material Being Returned	WARRANTY		S 0124751	
	Ship To  Electro-Motive Diesel, Inc.			
Customer				
Customer Location (City & State)			Date	
P.O. No.	Qty.	Part No.	Serial No.	
Description				
ZRE (RMA) No. (if known)			ZW SERVICE NOTIFICATION	
FOR EMD USE ONLY			Bailed property of Electro-Motive Diesel, Inc. owner	
Date Rec'd	Rec'd. By	Location		
Customer				

The following information is required to process your warranty core material

- **Customer Name**
- **Customer location (city and state) where material is being shipped from**
- **Date**
- **P.O. #**
- **Quantity**
- **Part #**
- **Serial #**
- **Description of material**
- **ZRE # (RMA #)**
- **ZW Service notification #**

International Material Shipments to the U.S.

To ensure smooth transportation and timely US Customs release upon arrival, it is imperative all shippers to follow these guidelines.

The Customer Service Department or the Engineering Service Representative **must authorize all material returns** to the United States. This authorization will be granted in a written document ([Authorization Form](#)) indicating the Claim or Warranty number and the instructions for the return of the material. They will provide all instructions and necessary documentation for transit of the material to its final destination in the United States.

The shipper must follow all instructions as indicated on the Authorization Form. It is the shipper's responsibility to contact the carrier specified in the return instructions, book the material to its final destination in the United States, arrange for pick-up times and organize the shipping.

All shipments shall be returned under the shipping term **(INCOTERM) DAP** (Delivered at Place). The shipper will pay for the transportation from origin to destination and EMD will be responsible for importation duties and taxes into the United States.

All material (packaging) must be physically marked with the EMD Part#, Description, Country of Origin and quantity. The marking must be identifiable at all stages during the shipping process. The marking must be consistent with the information provided on all shipping documents.

Any value declared in the shipping documents must be provided by either the Customer Service Department or the Engineering Service Representative. The commercial invoice shall list **EMD part number**, part description, item serial number, and item price (value) in USD. In most cases, a CORE part number will be issued to represent the value of a defective part or component.

In order to maintain an adequate pool of used parts for rebuilt components and to control the production process UTEX and R&R materials must be in transit from the customer **within one month after the return has been approved.**

I. AIR AND OCEAN SHIPMENTS TO U.S.

The authorized customs broker for **all air and ocean shipments** to the United States is UPS Supply Chain Solutions, Inc.

E-mail: Electro-Motive_Diesel@ups.com

The shipper must indicate UPS Supply Chain Solutions, Inc. as the "[First Notify Party](#)" on the Bill of Lading and booking documents.

For Air Shipments, the following documents must be completed and send to electro-motive_diesel@ups.com:

- **Bill of Lading** at the lowest level (House or Regular)
- **Commercial Invoice** – [US Invoice Requirements](#)
- **Packing List**
- **Declaration of Foreign Shipper** for U.S. goods returned - [DFS](#)

FOR ALL OCEAN SHIPMENTS in addition to the documents identified above, ISF filing notification is required. The [ISF 10 Form](#) must be completed in its entirety. Instructions how to complete the form are placed in the fourth tab of the document. Please refer to our [ISF Instruction](#) for any questions about the ISF process. All documentation for ocean shipments shall be sent to upsacleisf@ups.com ; electro-motive_diesel@ups.com and isf@progressrail.com:

The completed ISF 10 Form must be send to the above emails no-later than 72 hours BEFORE loading the container on vessel destined to U.S.

In instances where EMD is fined because of a late, incomplete and/or erroneous data transmission, the customer will bear responsibility for the full amount of the penalty, as well as any other loss or expense incurred by EMD.

When **Original Bills of Lading** are issued, the shipper shall prepare three sets of documentation and distribute them as follows:

- **One set** mailed via express courier to EMD's Customs Broker
UPS Supply Chain Solutions, Inc. - Cleveland Branch
Attention: **Electro Motive Diesel Team**
6940 Engle Road, Suite C
Middleburg Hts., OH 44130
Phone: 440-239-3814
Fax: 440-287-7534
E-mail: Electro-Motive_Diesel@ups.com
- **One set** mailed via express courier to EMD Headquarters:
Electro-Motive Diesels, Inc.
9301 W. 55th Street, LaGrange, IL 60525
Attention: **Customs Department**
E-mail: CustomsRequests@progressrail.com
Phone: (708) 387-5466 or (708) 387-6490
- **One set** filed and kept for future reference or claims.

Note: The customs broker cannot release a shipment into the United States without original shipping documents.

Foreign shippers, including foreign suppliers and customers that ship material to the United States via ocean containers are required to visually inspect sea worthy containers (prior to loading) or trailers for shipments from Mexico or Canada. It is a requirement that all containers and trailers destined to the United States be sealed with a high security seal that would require destruction to be removed. It is the responsibility of the foreign shipper to ensure that all manifests and/or bills of lading or other documentation submitted for cargo to be shipped are complete and includes all pertinent seal information. All seals must meet or exceed the minimum ISO PAS 17712 security requirements. For more information related to high security seals, please reference www.cbp.gov and search Container Seals or www.progressrail.com and located under Supply Chain, Supply Chain Security, C-TPAT Bulletin Compliance with ISO's 17712 Standards for High Security Seals for additional information.

II. Land shipments from Canada & Mexico

Mexican and Canadian contract maintenance facilities are authorized to return warranty and claim materials without Customer Service Department or Engineering Service Representative authorization. Both facilities have the technical expertise to qualify material for export purposes and they are also connected to SAP. They must, however, contact the Customer Service Department to determine the value, EMD part number and any other related information for the part being returned.

Other customers from Canada and Mexico must contact the Customer Service Department or the Engineering Service Representative to request authorization to return material to the United States.

The authorized customs broker for material shipped from **CANADA** is **Russell A. Farrow**:

FAX: 877-632-7769
E-MAIL: uscustomsdocs@farrow.com

The authorized customs broker for material shipped from **MEXICO** is **NASKA CHB**:

E-MAIL: export@naskachb.com
TEL: 956-791-6266

For all shipments from Mexico and Canada the shipper shall prepare the documents listed below and provide to the broker:

- **Bill of Lading at the lowest level (House or Regular)**
- **Commercial Invoice**
- **Packing List**
- **Declaration of Foreign Shipper for U.S. goods returned.**

Authorization to Return Material to EMD - Example

To: (Customer or Distributor's Name)
Attention: (Customer or Distributor's Contact)
Date:
Regarding: Authorization to Return Material
Your Reference: (Customer P.O. Number)

Note: EMD Distributors must forward these instructions to their customers if material is shipped from customer location.

This letter is authorization for (Customer or Distributor's Name) to return (Enter Qty, Part Number, and Description) for (Enter repair and return price credit here).

Please prepare and ship the return material according to the following instructions:

1. EMD (Enter EMD return Sales Document #) must be marked on all documentation and packaging.
2. To receive full credit, all return material must be new, salable, and in its original packaging.
3. If there is no original packaging, you must properly package the material to avoid any damage during return transit.
4. Light oil, such as a mixture of kerosene and SAE Engine Oil, should protect unpainted and raw metal parts.
5. Attach the enclosed Return Material Tags to each piece of material being returned in a visible place by wrapping the tag wire around the part for immediate identification upon arrival.
6. All Return Material Tags must include your return address and complete field information as requested.
7. If material weighs less than 300 pounds, ship airfreight; if it weighs more than 300 pounds, ship ocean freight.
8. Material is to be returned per [EMD's ROUTING GUIDE](#) within 30 days of this letter, to the appropriate EMD facility, as indicated. Do not use a courier to return material.
9. If the material loses additional value in return transit, EMD will determine the amount of customer responsibility and adjust customer accounts accordingly.
10. For all ocean shipments, please complete the attached [ISF10 Form](#) as indicated in the [Instructions](#) document and follow the process described in our [ISF Procedure](#). **At least 72 hours prior to vessel's departure** you must provide us with an electronic copy of the following documents: Commercial Invoice, Packing List, Ocean Bill of Lading, ISF 10 Form, and Declaration of Foreign Shipper. The information should be forwarded to: upscleisf@ups.com ; electro-motive_diesel@ups.com and isf@progressrail.com.
11. Depending on transport method you should request from the carrier the Ocean Bill of Lading number at the lowest level (that is transmitted into the AMS), or, for an air shipment, the Air Bill of Lading. Note: The Bill of Lading must indicate UPS Supply Chain Solutions, Inc. (UPS-SCS, Inc.) as FIRST NOTIFY PARTY in order to facilitate US Customs clearance and avoid delays in the transit of your material. The address and information is marked below:
12. Keep one set of the following shipping documents in the event they are requested for customs authorities or EMD:
 - Original Ocean Bill of Lading
 - ISF-10 Form (if applicable)
 - Declaration of Foreign Shipper
 - Commercial Invoice.
13. You **MUST** accompany every shipment with an original copy of the following shipping documents:
 - This authorization letter
 - Bill of Lading
 - Completed Declaration of Foreign Shipper form
 - Completed Commercial Invoice
14. Mail two of the sets of Original Ocean Bill of Lading and support documents via express courier (DHL, FEDEX, UPS, etc) to:

SET 1:

UPS Supply Chain Solutions, Inc. - Cleveland Branch
Attn: [Electro Motive Diesel Team](#)
6940 Engle Road, Suite C
Middleburg Hts., OH 44130
Phone: 440.239-3814
Fax: 440-287-7534
E-mail: Electro-Motive_Diesel@ups.com

SET 2:

Electro-Motive Diesel
Attn: [Customs Department](#)
9301 West 55th Street
LaGrange, IL 60525 USA
Fax: (708) 387-6603
Phone: (708) 387-5466 or (708) 387-6490
E-mail: CustomsRequests@progressrail.com

Declaration of Foreign Shipper - Example

DECLARATION OF FOREIGN SHIPPER

I, **(SHIPPER'S NAME)**, declare that to the best of my knowledge and belief the articles herein specified were exported from the United States, from the port of **(ASKS FOR THE US PORT OF EXPORT FROM WHICH THE MATERIAL WAS ORIGINALLY SHIPPED. UNKNOWN IS AN ACCEPTABLE RESPONSE IF THIS INFORMATION IS NOT KNOWN)** on or about **(ASKS FOR THE DATE OF EXPORT OF THE MATERIAL FROM THE US. IT IS ALSO OKAY TO RESPOND UNKNOWN IF THE DATE IS NOT AVAILABLE)**, and that they are returned without having been increased in value or improved in condition by any process of manufacture or other means.

Shipper Name & Address:**(PROVIDE NAME OF THE COMPANY AND SHIPPING ADDRESS)**

Shipment Identification:**(PROVIDE SHIPMENT, B/L OR TRUCK NUMBER)**

Signature and Capacity:**(SHIPPER'S POSITION AND SIGNATURE)**

Convenience Returns

* Overstocked materials or material ordered in error may be returned at the customer's convenience. In such cases, unless the commercial department dictates otherwise, the customer will be the importer of record into the United States.

* The process for returning this material is the same as that previously mentioned above with the exception that the material must be returned DDP (Delivered Duty Paid.) EMD will not be responsible for the transportation, importation duties, ISF filing and taxes for these shipments.