

# 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 PRL's core return processing center, unless noted below:**

**Progress Rail Locomotive Inc.**  
**Attn: Core Processing Center**  
4400 NW 41<sup>st</sup> Street  
Docks 21-24  
Riverside, MO 64150  
Receiving Hours: 7 a.m. – 6 p.m. M thru F  
**Contact: Stephen Currier - Phone number TBD**

From Dec. 1, through Dec. 31, 2016, shipments that are sent to the former core processing center in Springfield, MO will be forwarded to the new facility in Riverside by PRL. **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 is closing. 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 PRL Inside Sales Representative to be directed to appropriate PRL Return Location:**

**Progress Rail**  
175 W. Chicago Avenue  
East Chicago, IN 46312  
Receiving Hours: 7:00 a.m. - 4:00 p.m. - M thru F  
**Contact: Givonya Dickerson – (219) 378-3797**

**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 #24  
Muncie, IN 47302  
Receiving Hours: 7:00 a.m. - 3:30 p.m. - M thru F  
**Contact: TBD – (708) 387-5440**

### TURBOCHARGERS [ONLY]

**Progress Rail, Material Services Bldg.**  
Dock H  
9301 W. 55<sup>th</sup> 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:

**Western Reman, Inc**  
588 West 7<sup>th</sup> 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 PRL 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, PRL 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 PRL **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](mailto: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. <b>A 0055731</b> Attach This Tag To Material Being Returned	Ship To <b>Electro-Motive Diesel, Inc.</b> Customer Customer Location (City & State) _____ Date _____ P.O. No. _____ Part No. _____ Qty. _____ Description _____ ZRE (RMA) No. (if known) _____	Serial No. for Major Components <b>A 0055731</b>									
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="3" style="text-align: center;">FOR EMD USE ONLY</th> </tr> <tr> <td style="width: 33%;">Date Rec'd</td> <td style="width: 33%;">Rec'd. By</td> <td style="width: 33%;">Location</td> </tr> <tr> <td style="height: 20px;"> </td> <td> </td> <td> </td> </tr> </table>	FOR EMD USE ONLY			Date Rec'd	Rec'd. By	Location				
FOR EMD USE ONLY											
Date Rec'd	Rec'd. By	Location									
	Bailed property of Electro-Motive Diesel, Inc. owner  Customer										

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. <b>S 0124751</b> Attach This Tag To Material Being Returned	<b>WARRANTY</b>			<b>S 0124751</b>
	Ship To <b>Electro-Motive Diesel, Inc.</b>			
Customer				
Customer Location (City & State)			Date	
F.O. No.	Qty.	Part No.	Serial No.	
Description				
ZRE (RMA) No. (if known)			ZW SERVICE NOTIFICATION	
<b>FOR EMD USE ONLY</b>				
Date Rec'd	Rec'd. By	Location		
			Bailed property of Electro-Motive Diesel, Inc. owner	
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 PRL will be responsible for importation duties and taxes into the United States.

All material (packaging) must be physically marked with the PRL 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 **PRL 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: [Progressrail@ups.com](mailto:Progressrail@ups.com)**

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

UPS Supply Chain Solutions  
6940 Engle Rd Ste C  
Middleburg Hts, OH 44130  
Phone: 440.239.3814  
Fax: 440.287.7534

**For Air Shipments, the following documents must be completed and send to [progressrail@ups.com](mailto:progressrail@ups.com):**

- **Bill of Lading** at the lowest level (House or Regular)
- **Commercial Invoice** – [US Invoice Requirements](#)
- **Packing List**

**FOR ALL OCEAN SHIPMENTS** in addition to the documents identified above, ISF filing notification is required. The [ISF 10+2 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 [progressrail@ups.com](mailto:progressrail@ups.com) and [isf@progressrail.com](mailto:isf@progressrail.com):

**The completed ISF 10+2 Form must be send to the above emails no-later than 72 hours, not including weekend or holiday, BEFORE loading the container on vessel destined to U.S.**

In instances where PRL 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 PRL.

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 PRL's Customs Broker  
UPS Supply Chain Solutions, Inc. - Cleveland Branch  
Attention: **Progress Rail Team**  
6940 Engle Road, Suite C  
Middleburg Hts., OH 44130  
Phone: 440-239-3814  
Fax: 440-287-7534  
E-mail: [Progressrail@ups.com](mailto:Progressrail@ups.com)
  
- **One set** mailed via express courier to PRL Headquarters:  
Progress Rail Locomotive, Inc.  
9301 W. 55th Street, LaGrange, IL 60525  
Attention: **Customs Department**  
E-mail: [CustomsRequests@progressrail.com](mailto: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.**

## 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, PRL 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](mailto:uscustomsdocs@farrow.com)

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

E-MAIL: [export@naskachb.com](mailto: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 PRL - 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: PRL 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. PRL (Enter PRL 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 [PRL's ROUTING GUIDE](#) within 30 days of this letter, to the appropriate PRL facility, as indicated. Do not use a courier to return material.
9. If the material loses additional value in return transit, PRL will determine the amount of customer responsibility and adjust customer accounts accordingly.
10. For all ocean shipments, please complete the attached [ISF10+2 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+2 Form, and Declaration of Foreign Shipper. The information should be forwarded to: [progressrail@ups.com](mailto:progressrail@ups.com) and [isf@progressrail.com](mailto: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 PRL:
  - 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: [Progressrail@ups.com](mailto:Progressrail@ups.com)

**SET 2:**

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

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## 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.) PRL will not be responsible for the transportation, importation duties, ISF filing and taxes for these shipments.