US Customs regulations require a Commercial (Customs) Invoice be presented for each shipment entering into US commerce. The following information must be included on all Commercial invoices for shipments to Progress Rail, a Caterpillar Company, which includes Progress Rail Locomotive, Progress Rail Services, Progress Rail Manufacturing, Progress Rail Welding and other Progress Rail Services subsidiaries.)

Custom’s Regulatory and Progress Rail Invoice Requirements

- **Destination:** Port of entry to which the merchandise is destined
- **Parties:** The place and person to whom the merchandise is sold or agreed to be sold
  - Name of the responsible individual / Importer of Record (IOR)
  - *The Seller’s name, address, current contact name and phone number*
  - *The Shipper’s name, address, current contact name and phone number*
  - *The Consignee’s (Ship to party) name, address, current contact name and phone number if different from IOR

- **Detailed description of the merchandise:**
  Name by which it’s known - EMD / PRS Part Number HTSUS
  - The US Harmonized Tariff Schedule number for each part
  - Country of origin marking information
  - Grade or quality
  - Quantities
  - Value; either purchase price or fair market value
  - Type of currency
  - All goods or services used in production (assist, molds, dyes, etc..); excluding good services furnished in the US
    - Any discounts from list or base price
  - Detailed packing list
  - Weights and measures

- **Numbering of invoices and pages**
  - Inv. 1, p. 1.
  - Inv. 2, p. 2.
  - Inv. 2, p. 3.

- **Purchase Order Number**
- **Invoice Number**
- **Shipping Terms (INCOTERMS)**
  - Total Invoice Value. Where applicable include the following statements:
    - Any additional information
• Statement required for transferring of commercial goods where no monetary amount was exchanged:
  o No charge Invoices – All free of charge items must have a commercial value listed, which is the price that would have been paid for the item if it was actually purchased. Mark the invoice with: “value for Customs purposes only”.
  o Reason for the shipment: If the shipment is not a result of a sale, state the reason for the shipment: i.e. “Failed parts returning to supplier for analysis”, “Prototype part for testing purposes only”, “Parts returning to supplier after being shipped in error”, etc.

For any questions concerning the completion of Commercial Invoices please contact the International Trade Compliance Group at:

<table>
<thead>
<tr>
<th>Name</th>
<th>Email Address</th>
<th>Phone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Allen Baumgarte</td>
<td><a href="mailto:abaumgarte@progressrail.com">abaumgarte@progressrail.com</a></td>
<td>708-387-3992</td>
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<td>Shannon Fox</td>
<td><a href="mailto:sfox@progressrail.com">sfox@progressrail.com</a></td>
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</tbody>
</table>

* requirements specific to Progress Rail

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