

# **Progress Rail**

*A Caterpillar Company*

## **Progress Rail, a Caterpillar Company**

*International Trade Compliance*  
[isf@progressrail.com](mailto:isf@progressrail.com)  
*Revision Date: 10/16/2019*

### **I. AIR AND OCEAN SHIPMENTS TO U.S.**

UPS is one of Rail Division's authorized customs broker for **air and ocean shipments** to the United States. Rail Division includes Progress Rail Locomotive, Progress Rail Services, Progress Rail Manufacturing, Progress Rail Welding and other Progress Rail Services subsidiaries.

**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**

490 Supreme Dr.  
Bensenville, IL 60106  
Phone: 630-787-5034

**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. US Customs regulations require all importers causing the arrival of Ocean shipments to US to submit Importer Security Filing (ISF) to US Customs and Border Protection Agency "CBP" no less than 24 Hours **before loading** the container on vessel destined to U.S. Failure to comply with the ISF requirements could result in denial of entry, monetary penalties (\$5,000 to \$10,000 per violation), increased inspections and delay of cargo. Failure to submit an ISF when required, submitting late ISF and submitting inaccurate ISF are all ISF violations. All information required for ISF filing must be entered in the ISF-10 form and the completed form sent to the emails identified below. Instructions of how to complete the form are in tab 4.

Rail Division requires all Ocean shippers (customers returning products and suppliers) to follow the instructions below when the transportation is being arranged by the customer or supplier.

## Non-UPS Carried Shipments

- The shipper is to complete the ISF-10 form in its entirety. The Shipper is to work with the Freight Forwarder to gather information that is not available to the shipper, i.e. container stuffing location, consolidator name and address, etc. Rename and save the completed form with the Shippers name and the House Bill number.
- Send the completed form along with the Bill of Lading, Commercial Invoice and Packing List to: [progressrail@ups.com](mailto:progressrail@ups.com) and [isf@progressrail.com](mailto:isf@progressrail.com). List the Shipper's name and House Bill Number in the Email subject line.
- Once UPS has completed the ISF filing, UPS will respond to the shipper's email.
- If the ISF-10 form is incomplete or contains invalid information, UPS will reply informing the shipper of the issue.
- The shipper is to follow UPS instructions to gather and timely resubmit all requested information.

## UPS Carried Shipments

- The Shipper is to contact UPS origin office for the scheduling / booking of the Ocean shipment.
- The Shipper is to complete the ISF-10 form in its entirety and provide to UPS Origin office.
- If the ISF-10 form is incomplete or contains invalid information, UPS origin office will directly contact the Shipper with instructions.
- The shipper is to follow UPS origin instructions to gather and resubmit to UPS all information on time.

Rail Division requires ISF-10 form to be sent to UPS **no later than 72 hours prior to loading the container aboard the vessel at the foreign port**. This will ensure that a late filing penalty is not issued by CBP.

Failure to provide all required information accurately and on time could result to serious consequences for Rail Division. In instances where Rail Division is fined because of a late, incomplete and/or erroneous data transmission by the Shipper, the party required to provide the ISF information will bear responsibility for the full amount of the fine, as per Purchase Order Terms and Conditions and/or Authorization to Return Material.

More information on ISF can be found at the following link:

<http://www.cbp.gov/border-security/ports-entry/cargo-security/importer-security-filing-102>

These requirements are mandatory for all parties shipping via Ocean to any Rail Division US location. For any questions about this instruction or the ISF process, contact Rail Division ISF coordinator Allen Baumgarte at the following email address [abaumgarte@progressrail.com](mailto:abaumgarte@progressrail.com) or by phone at 708-387-3992. 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 shipper 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  
Attention: **Progress Rail Team**  
490 Supreme Dr.  
Bensenville, IL 60106  
Phone: 630-787-5034  
E-mail: [Progressrail@ups.com](mailto:Progressrail@ups.com)
  
- **One Set** mailed via express courier to:  
Progress Rail Locomotive  
Attention: **Allen Baumgarte**  
9301. W 55<sup>th</sup> St  
LaGrange, IL 60525
  
- **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**

**Russell A. Farrow** is one of Rail Division's authorized customs broker for **shipments** from **CANADA** and **Mexico** to the United States. Rail Division includes Progress Rail Locomotive, Progress Rail Services, Progress Rail Manufacturing, Progress Rail Welding and other Progress Rail Services subsidiaries.

FAX: 877-632-7769

E-MAIL: [uscustomsdocs@farrow.com](mailto:uscustomsdocs@farrow.com)

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**