




Customs Invoicing Instructions for Suppliers Shipping to:

**Navistar México, S. de R.L. de C.V.,
International Parts Distribution, S. de R.L. de C.V.
Navistar Canada ULC,
Navistar, Inc.**

 Customs Invoicing Instructions [PR-38]	Document Number: PUR-4003	
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<i>Written by:</i> Carol Demuth	<i>Reviewed/ Approved by:</i> Dave Logan	- 1 -
		This Document Applies to: X Truck X Engine X Service Parts

FORWARD

The purpose of this publication is to communicate to suppliers to **Navistar- U.S., Canada, Mexico**, and the **International Parts Distribution Centers** the various Customs documentation and distribution requirements. These instructions cover direct and indirect shipments (i.e. consolidation center) to **Navistar Inc., Navistar Canada, Navistar Mexico**, and the **International Parts Distribution** facilities.

ORGANIZATION

These instructions are divided by shipped from country (Canada, U.S., Mexico & all countries outside of North America) and include appendices with document examples. Please refer to the section/s which pertain/s to your shipping location/s.

While this organization results in some duplication of material, it provides the convenience of only having to focus on the one country section for your shipping location, plus the appendix.

NOTE

While information contained herein is intended to provide guidance on the preparation and distribution of shipping documents for Customs purposes, suppliers are required to exercise **reasonable care** in gathering updated information in order to abide by each government's compliance regulations. This information is provided to be a helpful tool. Please advise if any errors are detected. It is the supplier's responsibility to know and comply with any unique law or statute.

MAINTENANCE PROCEDURE

The dynamics of the global regulatory environment mandates changes to our procedures from time to time. Therefore, in the spirit of *shared responsibility*, we encourage all suppliers to submit written comments or recommended changes for consideration in the next revision to:

Navistar, Inc.
Attn: Carol Demuth
Global Trade Compliance, Sr. Manager
2701 Navistar Drive
Lisle, IL 60532 USA
E-mail: carol.demuth@navistar.com
Phone: 331-332-7245

SUPPLIER COMPLIANCE

Navistar cannot build trucks or engines and service our mutual customers unless suppliers comply with the instructions contained in this manual. If these instructions are not carried out, clearance delays and expensive non-value-added costs may result.

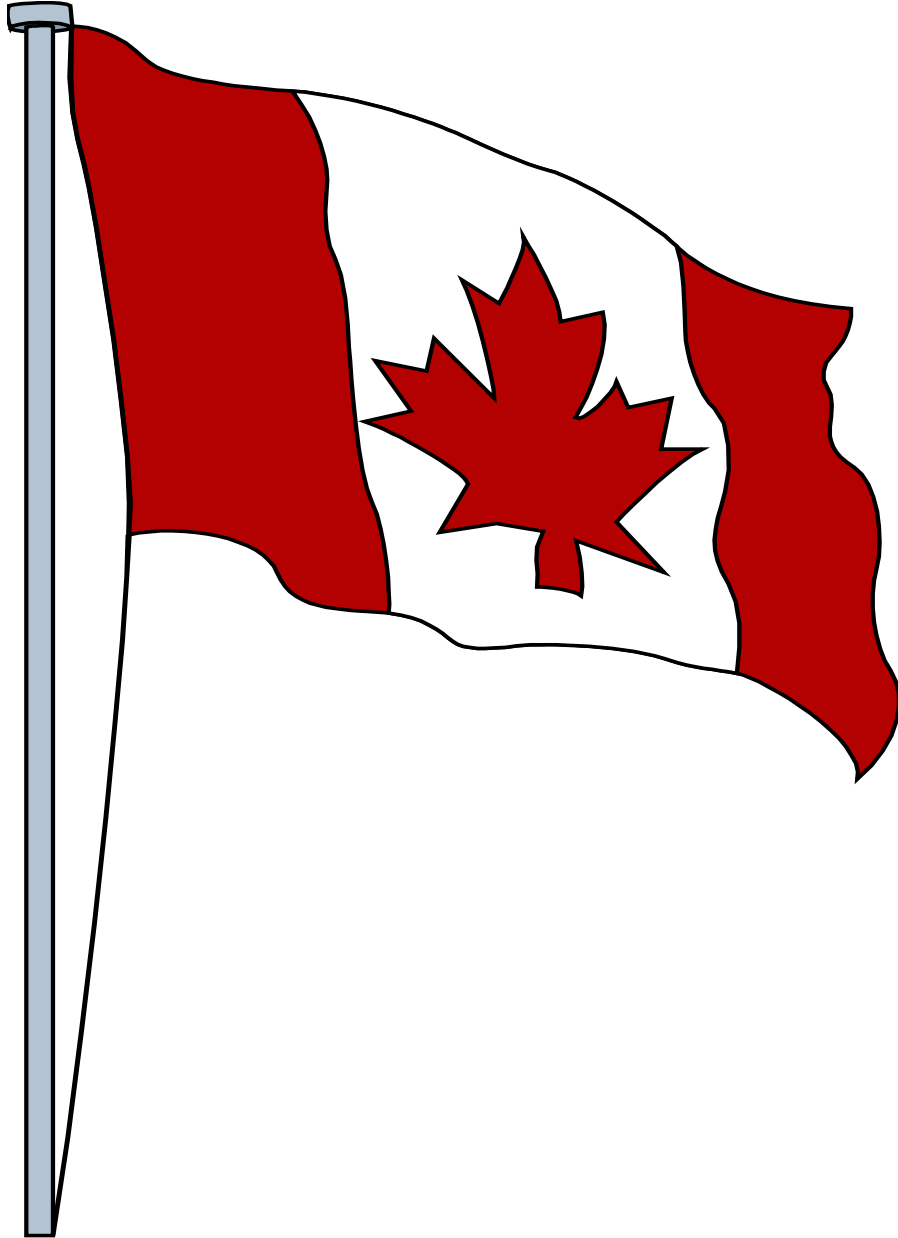
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1.0 Canadian Suppliers



NAVISTAR, INC.
CUSTOMS INVOICING INSTRUCTIONS, (PR-38)

1.1 Shipments to U.S. Destinations

1.1.1 Routing & Logistics

For routing & logistics support, please go to www.navistarsupplier.com and click on the link for logistics questions and information or call 800-323-4338 for assistance from Navistar's partner, XPO Logistics.

1.1.2 Authorized U.S. Customs Broker

All Canadian shipments are to clear U.S. Customs at the first port of entry into the U.S. The Customs broker contacts are:

Team email: dscrelease@livingstonintl.com
Copy email: DSC_Shift_Supervisors@livingstonintl.com

9AM-5PM: Belinda Watson
Phone: 734-941-2050 Ext 73714
Email: bwatson@livingstonintl.com

3PM-11PM: Tina Trupiano
Phone: 734-941-2050 Ext 73729
Email: trupiano@livingstonintl.com

11PM-7AM: Juan Romero
Phone: 734-941-2050 X 73730
Email: jromero@livingstonintl.com

In order to ensure the use of an authorized Customs broker, the following must be typed in the body of the bill of lading or on the airway bill for each shipment:

"U.S. CUSTOMS CLEARANCE BY LIVINGSTON INTERNATIONAL, INC."

Questions concerning Navistar shipments may also be addressed to Livingston at: 734-941-2050 "Team 8." There is 24/7 coverage at this number.

1.1.3 Special Customs Invoice Instructions

(a) Incoterm & Named Place

Purchases are typically subject to INCOTERM FCA – Supplier's Dock (as established with Navistar's Supply Manager in each individual case), INCOTERMS 2010. FCA & the appropriate named place or other agreed upon terms must be included on the invoice.

(b) Racks & Containers

The part numbers of reusable containers and racks must be declared on export invoice along with one of the following statements:

- "Containers are returnable." The invoice should reflect a fair market value/reusable container or rack.
- "Containers are non-returnable and costs are included in selling price."
- "Containers are non-returnable and costs are not included in selling price." Container price must be provided on the invoice.

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CUSTOMS INVOICING INSTRUCTIONS, (PR-38)

If the racks or containers are Navistar owned, contact Charles.nevius@navistar.com or his back-up, mike.priault@navistar.com for country of origin & value

(c) Invoice Quality

In order to meet U.S. Customs' stringent invoicing requirements and avoid delays in transit, it is imperative that suppliers prepare a complete and accurate list of the actual cargo being shipped. To facilitate this process, complete instructions can be found in Appendix A and on the www.navistarsupplier.com portal under Supplier Guidelines, Terms & Conditions, then click on the link to Customs Export Invoice Templates. There will be an Excel template to populate with another tab containing field by field definitions and resource references.

Note that when exporting engines &/or vehicles, the engine's serial number must be declared on the invoice.

(d) Direct vs. Indirect Shipments

When preparing the commercial invoice, the “**ship to**” address must reflect the physical destination of the goods. For example, a Canadian supplier may be selling material to the U.S. Company with an ultimate destination of Springfield, OH. This material may be routed through a consolidation center. Per 1.1.1, XPO Logistics will advise.

(e) Advance Shipping Number

For shipments to Navistar facilities in Mexico, Canada & the U.S. from suppliers in Mexico, Canada & the U.S.: an ASN (Advance Shipping Notice Number) must be included on the invoice.

(f) Parties to the Transaction

When selling & shipping to Navistar in the U.S.:

- Navistar, Inc. 2701 Navistar Dr, Lisle, IL 60532 is the **buyer/purchaser**.
- Navistar, Inc. PO Box 59007, Knoxville, TN37950-9007 is the **remit to party**.
- Navistar, Inc. Springfield, Tulsa, Huntsville, etc is the **ship to or consignee**.

1.1.4 Country of Origin Marking

Every article, or its container, entering the United States must be marked with the country of origin/manufacture in English. The marking must be in a conspicuous place as legibly, indelibly and permanently as the nature of the article will allow. This is required to inform the ultimate purchaser of the country of origin. It must also be stated on the shipping invoice.

There are two groups of purchases that are distinct from a country of origin marking perspective. They are:

- Manufacturing/Assembly Operations
- Service/Aftermarket

Material purchased for a manufacturing/assembly operation is usually bulk-packed in returnable containers. The containers must be marked/tagged with the country of origin of the parts and the individual parts should be marked, when feasible.

Material purchased for service/aftermarket use must be marked with the country of origin at the time of import, and if packaged for resale, the packaging itself must be marked.

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CUSTOMS INVOICING INSTRUCTIONS, (PR-38)

The country of origin marking rules require that the country of origin font be of the same size or larger and in close proximity to any other reference to a city, state and/or country.

1.1.5 Documentation and Distribution Requirements

(Less-Than-Truckload (LTL), Truckload (TL), Railroad & Parcel Routing)

The following summarizes the required documents and their method of distribution:

- One (1) copy of the packing list
- One (1) copy of the bill of lading
- Two (2) copies of the commercial invoice

These documents are to be placed in a sealed envelope and marked “For Presentation to Livingston International, Inc.” The envelope is to move with the shipment by attaching it to the carrier copy of the bill of lading.

Under no circumstances are shipments to leave your facility without the above documents.

Additionally, a complete set of documents must be faxed to Livingston at 877-548-7277 or emailed to uscst08@livingstonintl.com.

1.1.6 Container and Trailer Security

Navistar participates in the U.S. Customs – Industry joint initiative called the “Customs-Trade Partnership Against Terrorism,” (“C-TPAT”). In accordance with C-TPAT requirements, all shipments must be sealed to protect against the introduction of unauthorized material and/or persons. At the point-of-loading, procedures must be in place to maintain the integrity of the shipping containers and trailers. A high security seal must be affixed to all loaded containers and trailers bound for the U.S. All seals must meet or exceed the current PAS ISO 17712 standard for high security seals.

1.2 Shipments From Canada to Mexican Destinations

1.2.1 Routing & Logistics

As a general rule, in-bond transit is not required between Canada and Mexico. Goods shipped should be USMCA certified and a consumption entry should be made. If the invoice shows an origin other than Canada, Mexico or the U.S. and the shipment is high value, or if in doubt, contact the U.S. Customs broker contained in 1.1.2, prior to the shipment's departure for guidance.

For routing & logistics support, please go to www.navistarsupplier.com and click on the link for logistics questions and information or call 800-323-4338 for assistance from Navistar's partner, XPO Logistics

1.2.2 Authorized Mexican Customs Broker

All Canadian ground shipments destined for Mexico must stop in Laredo, Texas, to initiate the U.S. export and Mexican Customs clearance process.

- (a) **For Ground Shipments:** New suppliers must contact the Navistar Mexico Foreign Trade group at mexicoFTC@Navistar.com prior to the first shipment destined to Mexico to receive instructions on which broker is to be used for their shipments. The two authorized brokers are:

**NAVISTAR, INC.
CUSTOMS INVOICING INSTRUCTIONS, (PR-38)**

- i. Buckland Global Trade Services
10302 Interstate 35 Frontage Rd.
Laredo TX 78045
Phone: 956 724-4463
navistar@buckland.com

- ii. Gonzalez de Castilla Inc.
11929 Sara Road
Laredo, TX 78045
Phone: 956 722 5207
international@gdec.info

(b) For Air Shipments:

- i. Regular Shipments: Airfreight from the Canada to any of our facilities in Mexico should land in Laredo, TX for truck transport the remainder of the delivery. These are exported out of the U.S. and imported into MX by the Authorized Mexican Customs Brokers mentioned above according to shipping instructions provided by Navistar Global Logistics.

- ii. Hot Shipments/Charters: Airfreight moving from the U.S. and Canada should go to Monterrey's International Airport. These are cleared by NAD Brokerage and documents must be sent to:

NAD Global (Aeropuerto Internacional **Mariano Escobedo, Monterrey, N.L.**)
Contact: David Rangel
Email: david.rangel@nadglobal.com
Phone: 011 521 833 439 0604

1.2.3 Special Customs Invoice Instructions

(a) Incoterm & Named Place

Purchases are typically subject to INCOTERM FCA – Supplier's Dock or Port of Export (as established with Navistar's Supply Manager in each individual case), INCOTERMS 2010. FCA & the appropriate named place or other agreed upon terms must be included on the invoice.

(b) Racks & Containers

Part number of reusable containers and racks must be declared on commercial invoice along with one of the following statements:

- "Containers are returnable."
 - If the receiving location is an IMMEX company, which Navistar in Escobedo is, the invoice should reflect a value of \$1.00 USD/reusable container or rack.
 - If the receiving location is **not** an IMMEX company, which is Navistar in Querétaro, the invoice should reflect the fair market value/reusable container or rack.

- "Containers are non-returnable and costs are included in selling price."
- "Containers are non-returnable and costs are not included in selling price." Container/rack price must be provided on the invoice.

**NAVISTAR, INC.
CUSTOMS INVOICING INSTRUCTIONS, (PR-38)**

If the racks or containers are Navistar owned, Contact Charles.nevius@navistar.com or his back-up, mike.priaulx@navistar.com for country of origin & value.

(c) Invoice Quality

To comply with Mexican Customs' stringent requirements and avoid delays, suppliers must prepare a complete and accurate list of the cargo being shipped. To facilitate this process, instructions can be found in APPENDIX A and on the www.navistarsupplier.com portal under Supplier Guidelines, Terms & Conditions, then click on the link to Customs Export Invoice Templates. There will be an Excel template to populate with another tab containing field by field definitions and resource references.

Note that when exporting engines &/or vehicles, the engine's serial number must be declared on the invoice.

(d) Advance Shipping Number

For shipments to Navistar facilities in Mexico, Canada & the U.S. from suppliers in Mexico, Canada & the U.S., an ASN (Advance Shipping Notice) number **must** be included on the invoice.

(e) Line 1 & Line 2 Distinction

The 011/Line 1 or 065/Line 2 should be noted after the company name in the "Ship To" field of the invoice.

1.2.4 Direct vs. Indirect Shipments

When preparing the Customs invoice, the "**Ship to**" address must reflect the physical flow of the goods. All direct & indirect shipments destined to any of our Mexican subsidiaries must stop in Laredo, TX.

- (a) For ground shipments, please use the corresponding "**Ship to**" address for TL and LTL being sure to insert the 011/Line 1 or 065/Line 2 or the Truck Specialty Center (TSC) after the company name as appropriate:

<p>International Parts Distribution S.de R.L C.V. c/o Gonzalez De Castilla, Inc. 11929 Sara Rd Laredo, TX 78045 Phone: (956) 722-5207</p>	<p>Navistar México, S. de R.L. de C.V. 0_/Line _ c/o Buckland Global Trade Services 10302 Interstate 35 Frontage Rd. Laredo TX 78045 Phone: (956) 724-4463</p>	<p>Navistar México, S. de R.L. de C.V. 0_/Line _ c/o Buckland Global Trade Services Truck Specialty Center (TSC) 10302 Interstate 35 Frontage Rd. Laredo TX 78045 Phone: (956) 724-4463</p>
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- (b) Please use the corresponding "**Sold to**" address for TL and LTL:

<p>Navistar México, S. de R.L. de C.V. Av. Ejército Nacional, No. 904, Piso 8 Col. Palmas Polanco C.P. 11560, México. CDMX RFC: CMI950920TR8</p>	<p>International Parts Distribution S. de R.L. de C.V. Av. Ejército Nacional, No. 904, Piso 8 Col. Palmas Polanco C.P. 11560, México. CDMX RFC: IPD0410052WA</p>
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NAVISTAR, INC.
CUSTOMS INVOICING INSTRUCTIONS, (PR-38)

- (c) For air shipments, please use the above “**Ship to**” & “**Sold to**” addresses, substituting the NAD air broker as listed in 1.2.2. (b) for the name, address & phone number of the brokers provided in this section.

- (d) For Canadian suppliers shipping from Mexican locations, all Canadian suppliers that sell and invoice productive materials to Navistar México, and/or International Parts Distribution, produced and shipped directly by a company established within Mexico, (e.g. a Mexican subsidiary, maquiladora, etc.), must notify the Corporate Foreign Trade Compliance Department and the Mexico Foreign Trade Compliance Department in order to establish the process required by the Mexican Government between the supplier’s entity located in Mexico and the Navistar entity in Mexico.

Contacts:

Jose Alday
Foreign Trade Compliance Mgr, Mexico
+52 (81) 8154 2000 x2183
jose.alday@navistar.com

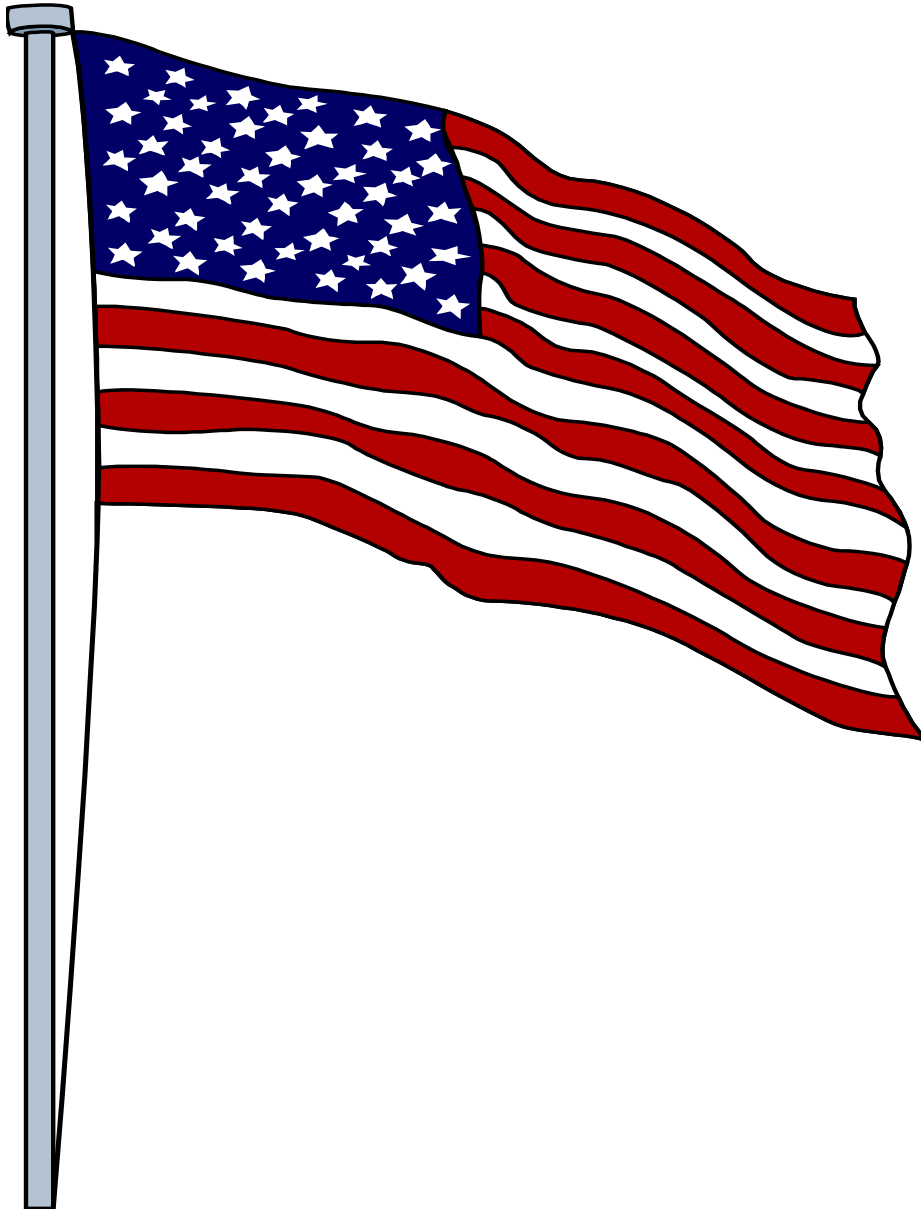
Carol Demuth
Global Trade Compliance, Sr. Mgr
331-332-7245
carol.demuth@navistar.com

1.2.5 Container and Trailer Security

In accordance with C-TPAT requirements, all shipments [Less-Than-Truckloads (LTL) and Full Truckloads (FTL)] must be sealed to protect against the introduction of unauthorized material and/or persons.

The manufacturer/Shipper shall be responsible for the sealed container/trailer until the carrier assumes control. Seals are to be affixed at manufacturer point of origin (loading). Seals are to be of the high security type as per ISO guidelines (ISO/PSA 17712, Freight Containers-Mechanical Seals).

2.0 U.S. Suppliers



NAVISTAR, INC.
CUSTOMS INVOICING INSTRUCTIONS, (PR-38)

2.1 Shipments to Canadian Destinations

2.1.1 Routing & Logistics

For routing & logistics support, please go to www.navistarsupplier.com and click on the link for logistics questions and information or call 800-323-4338 for assistance from Navistar's partner, XPO Logistics

2.1.2 Authorized Canadian Customs Broker

- (a) **Parts & Vehicle Shipments** - All U.S. shipments are to clear Canadian Customs at the first port of entry into Canada. In order to ensure the authorized Customs broker is used, the following note must be typed in the body of the bill of lading or on the airway bill:

“CANADIAN CUSTOMS CLEARANCE BY **BUCKLAND** CUSTOMS BROKERS LTD.”

All shipments to Canada for Navistar are coordinated through Buckland's Windsor Office. Please contact Buckland at The Ambassador Bridge, Suite 254 in Windsor, Ontario at:

Phone: 1-866-966-9359

Fax: 1-866-966-4836 or

Email: opswo@buckland.com

Sub-agents change from time to time at other ports of entry. If there is any doubt regarding clearance instructions or location, please contact Buckland Customs Brokers for instructions.

For further, general information on Buckland Customs Brokers go to:

<https://www.buckland.com>

- (b) **Returns of Reusable Containers & Racks** - All U.S. shipments are to clear Canadian Customs at the first port of entry into Canada. In order to ensure the authorized Customs broker is utilized, the following note must be typed in the body of the bill of lading or on the airway bill:

“CANADIAN CUSTOMS CLEARANCE BY **LIVINGSTON INTERNATIONAL, INC.**”

Carriers or drivers must provide PARS information to the broker at least three hours prior to arrival. A coversheet for this transmission is found here:

[\(https://www.livingstonintl.com/form/coversheet-canadian-imports/\)](https://www.livingstonintl.com/form/coversheet-canadian-imports/)

Livingston may be contacted at:

Phone: 1-888-871-4999, ask for team 95

Email: Cst49895@livingstonintl.com

FAX: 1-866-548-4685

Shipment status: 1-866-548-7277

- (c) **Navistar Defense Shipments** – These shipments are also cleared by Livingston International. Refer to (b) above for contact information.

2.1.3 Special Customs Invoice Instructions

(a) Incoterm & Named Place

Purchases are typically subject to INCOTERM FCA – Supplier's Dock or Port of Export (as established with Navistar's Supply Manager in each individual case), INCOTERMS 2010. FCA & the appropriate named place or other agreed upon terms must be included on the invoice.

Unless otherwise instructed, all transactions sold to Navistar Canada will be cleared in Navistar Canada's name.

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(b) Racks & Containers

The part numbers of reusable containers and racks must be declared on export invoice along with one of the following statements:

- “Containers are returnable.” The invoice should reflect a fair market value/reusable container or rack.
- “Containers are non-returnable and costs are included in selling price.”
- “Containers are non-returnable and costs are not included in selling price.” Container price must be provided on the invoice.

If the racks or containers are Navistar owned, contact Charles.nevius@navistar.com or his back-up, mike.priault@navistar.com for country of origin & value.

(c) Invoice Quality

In order to meet Canada Customs’ stringent invoicing requirements and avoid delays in transit, it is imperative that suppliers prepare a complete and accurate list of the actual cargo being shipped. To facilitate this process, refer to the following website:

<http://www.cbsa-asfc.gc.ca/publications/form-formulaires/ci1-eng.html>

Note that when exporting engines &/or vehicles, the engine’s serial number must be declared on the invoice.

Canada Customs has implemented the Administrative Monetary Penalty System (AMPS) whereby penalties are assessed for inaccurate or incomplete data. Penalties resulting from supplier error will be billed back to the offending suppliers.

(d) Advance Shipping Number

For shipments to Navistar facilities in Mexico, Canada & the U.S. from suppliers in Mexico, Canada & the U.S., an ASN (Advance Shipping Notice Number) must be included on the invoice.

(e) Parties to the Transaction

When selling to Navistar Canada:

- Navistar Canada ULC, 5500 North Service Road, Suite 401, Burlington, Ontario L7L 6W6 is the sold to/buyer/purchaser.
- Navistar, Inc. PO Box 59007, Knoxville, TN37950-9007 is the remit to party.
- The Navistar Hannon or Edmonton warehouse or a dealer may be the ship to or consignee.

2.1.4 Country of Origin Marking:

Every article entering Canada, or its container, must be marked with the country of origin/manufacture. The marking must be in a conspicuous place as legibly, indelibly and permanently as the nature of the article will allow. This is required to inform the ultimate purchaser of the country of origin.

There are two kinds of purchases that are distinct from a country of origin marking perspective:

- Manufacturing/Assembly Operations
- Service/Aftermarket

Material purchased for a manufacturing/assembly operation is usually bulk-packed in returnable containers. The containers must be marked/tagged with the country of origin of the parts and the individual parts should be marked, when feasible.

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Material purchased for service/aftermarket use must be marked with the country of origin at the time of import, and if packaged for resale, the packaging itself must be marked. Country of origin marking rules require that the country of origin font be in the same size or larger and in close proximity to any reference to another city and state or province. Commercial invoices must also have the origin stated on them.

2.1.5 Direct vs. Indirect Shipments

When preparing the commercial invoice, the “**Ship to**” address must reflect the physical flow of the goods. For example, an U.S. supplier may be selling material to the Canadian Company with an ultimate destination of the Hannon, ON PDC. Per 2.1.1, please contact XPO Logistics for routing instructions.

2.1.6 Documentation and Distribution Requirements

Less-Than-Truckload (LTL), Truckload (TL), Parcel & Air

The following summarizes the required documents and their method of distribution:

- One (1) copy of the packing list
- One (1) copy of the bill of lading
- Four (4) copies of the commercial invoice

The above documents are to be placed in a sealed envelope and marked “*For Presentation to Buckland Customs Brokers Ltd.*” (Or, “*For Presentation to Livingston International Customs Brokerage*” as the case may be.) The envelope is to move with the shipment by attaching it to the carrier’s copy of the bill of lading.

Under no circumstances is a shipment to leave your facility without the above documents.

Additionally, a complete set of documents must be emailed or faxed or emailed to the corresponding brokerage office per Section 2.1.2 of this document. **It must also include the shipping or pro number (PARS).**

2.2 Shipments From the United States to Mexican Destinations

2.2.1 Routing & Logistics

All U.S. ground shipments destined for Mexico must stop in Laredo, Texas, to initiate the U.S. export and Mexican Customs clearance processes.

For routing & logistics support, please go to www.navistarsupplier.com and click on the link for logistics questions and information or call 800-323-4338 for assistance from Navistar’s partner, XPO Logistics

2.2.2 Authorized U.S. Export Filing Agent & Mexican Customs Broker

(a) New suppliers must contact the Navistar Mexico Foreign Trade group at mexicoFTC@Navistar.com prior to the first shipment destined to Mexico to receive instructions on which broker to use. All U.S. ground shipments are to have AES transmissions submitted by a U.S. forwarder (either the supplier’s forwarder or one of the following) and Mexican Customs documentation prepared by one of the following:

NAVISTAR, INC.
CUSTOMS INVOICING INSTRUCTIONS, (PR-38)

- i. Buckland Global Trade Services
10302 Interstate 35 Frontage Rd.
Laredo TX 78045
Phone: 956 724-4463
navistar@buckland.com

- ii. Gonzalez de Castilla, Inc.
11929 Sara Road
Laredo, TX 78045
Phone: 956 722 5207
international@gdec.info

(b) For Air Shipments:

- i. Regular Shipments: Airfreight from the U.S. to any of our facilities in Mexico should land in Laredo, TX for truck transport the remainder of the delivery. These are exported out of the U.S. and imported into MX by the Authorized U.S. Forwarders/Mexican Customs Brokers mentioned above according to shipping instructions provided by Navistar Global Logistics.

- ii. Hot Shipments/Charters: Airfreight from the U.S. to any of our facilities in Mexico should be sent to Monterrey's International Airport. The U.S. forwarder will need to file the AES transmission. These shipments are cleared through Mexican Customs by NAD and documents must be sent to:
NAD Global (Aeropuerto Internacional **Mariano Escobedo, Monterrey, N.L.**)
Contact: David Rangel
Email: david.rangel@nadglobal.com
Phone: +52 1 833-439-0604

2.2.3 Special Customs Invoice Instructions

(a) Incoterm & Named Place

Purchases are typically subject to INCOTERM FCA – Supplier's Dock (as established with Navistar's Supply Manager in each individual case), INCOTERMS 2020. FCA & the appropriate named place or other agreed upon terms must be included on the invoice.

(b) Racks & Containers

Part number of reusable containers and racks must be declared on commercial invoice along with one of the following statements:

- "Containers are returnable."
 - If the receiving location is an IMMEX company, which Navistar in Escobedo is, the invoice should reflect a value of \$1.00 USD/reusable container or rack.
 - If the receiving location is **not** an IMMEX company, which is Navistar in Querétaro, the invoice should reflect the fair market value/reusable container or rack.
- "Containers are non-returnable and costs are included in selling price."
- "Containers are non-returnable and costs are not included in selling price." Container/rack price must be provided on the invoice.

If the racks or containers are Navistar owned, contact Charles.nevius@navistar.com or his back-up, mike.priault@navistar.com for country of origin & value.

NAVISTAR, INC.
CUSTOMS INVOICING INSTRUCTIONS, (PR-38)

(c) Invoice Quality

In order to meet Mexican Customs' stringent invoicing requirements and avoid delays in transit, it is imperative that suppliers prepare a complete and accurate list of the actual cargo being shipped. To facilitate this process, complete instructions with a sample invoice can be found in APPENDICES A and E, and on the www.navistarsupplier.com portal under Supplier Guidelines, Terms & Conditions, then click on the link to Customs Export Invoice Templates. There will be an Excel template to populate with another tab containing field by field definitions and resource references.

Note that when exporting engines &/or vehicles, the engine's serial number must be declared on the invoice.

(d) Advance Shipping Number

For shipments to Navistar facilities in Mexico, Canada and the U.S. from suppliers in Mexico, Canada & the U.S., an ASN (Advance Shipping Notice) number **must** be included on the invoice.

2.2.4 Direct vs. Indirect Shipments

When preparing the Customs invoice, the “**ship to**” address must reflect the physical flow of the goods. For U.S. suppliers shipping material to any of our Mexican subsidiaries, all direct and indirect shipments must stop in Laredo, TX.

For Direct Materials (EDI/ERS/Manual), please invoice “011/Navistar Mexico Line 1” & “065/Navistar Mexico Line 2” on separate invoices and include the line reference in the “Ship To” section of the invoice.

(a) For ground shipments, please use the corresponding “**Ship to**” address for TL and LTL:

<p>International Parts Distribution S. de R.L. de C.V. c/o Gonzalez De Castilla, Inc. 11929 Sara Rd Laredo, TX 78045 Phone: (956) 722-5207</p>	<p>Navistar México, S. de R.L. de C.V. 0__/Line __ c/o Buckland Global Trade Services 10302 Interstate 35 Frontage Rd. Laredo TX 78045 Phone: (956) 724-4463</p>	<p>Navistar México, S. de R.L. de C.V. 0__/Line __ c/o Buckland Global Trade Services Truck Specialty Center (TSC) 10302 Interstate 35 Frontage Rd. Laredo TX 78045 Phone: (956) 724-4463</p>
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(b) Please use the corresponding “**Sold to**” address for TL and LTL:

<p>Navistar México, S. de R.L. de C.V. Av. Ejército Nacional, No. 904, Piso 8 Col. Palmas Polanco C.P. 11560, México. CDMX RFC: CMI950920TR8</p>	<p>International Parts Distribution S. de R.L. de C.V. Av. Ejército Nacional, No. 904, Piso 8 Col. Palmas Polanco C.P. 11560, México. CDMX RFC: IPD0410052WA</p>
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(c) For air shipments, please use the above “**Ship to**” & “**Sold to**” addresses, substituting the NAD air broker as listed in 2.2.2.(b) for the name, address & phone number of the authorized Mexican Customs Brokers.

(d) For U.S. suppliers shipping from Mexican locations, all U.S. suppliers that sell and invoice productive materials to Navistar México, S. de R.L. de C.V., and/or International

NAVISTAR, INC.
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Parts Distribution, produced and shipped directly by a company legally established within Mexico (e.g. a Mexican subsidiary, maquiladora, etc.), must notify the Corporate Foreign Trade Compliance Department and the Mexico Foreign Trade Compliance Department in order to establish the process required by the Mexican Government between the legal entity located in Mexico and the Navistar entity in Mexico.

Contacts:

Jose Alday
Foreign Trade Compliance Mgr, Mexico
+52 (81) 8154 2000 x2183
jose.alday@navistar.com

Carol Demuth
Global Trade Compliance, Sr. Mgr
331-332-7245
carol.demuth@navistar.com

2.2.5 Documentation and Distribution Requirements

Less-Than-Truckload (LTL), Truckload (TL), Parcel & Air

The following summarizes the required documents and their method of distribution:

- One (1) copy of the packing list
- One (1) copy of the bill of lading
- One (1) copy of the commercial invoice

The above documents are to be placed in a sealed envelope and marked “*For Presentation to Buckland Global Trade Services, Inc.*” (Or, “*For Presentation to Gonzalez de Castilla Inc.*,” as the case may be.) The envelope is to move with the shipment by attaching it to the carrier’s copy of the bill of lading.

Under no circumstances is a shipment to leave your facility without the above documents.

Additionally, a complete set of documents must be emailed or faxed or emailed to the corresponding brokerage office per Section 2.2.2 of this document.

2.2.6 Container and Trailer Security

In accordance with C-TPAT requirements, all shipments, [Less-Than-Truckloads (LTL) and Full Truckloads (FTL)], must be sealed to protect against the introduction of unauthorized material and/or persons.

The manufacturer/Shipper shall be responsible for the sealed container/trailer until the carrier assumes control. Seals are to be affixed at manufacturer point of origin (loading). Seals are to be of the high security type as per ISO guidelines (ISO/PSA 17712, Freight Containers-Mechanical Seals).

3.0 Mexican Suppliers



NAVISTAR, INC.
CUSTOMS INVOICING INSTRUCTIONS, (PR-38)

3.1 Routing & Logistics

For routing & logistics support, please go to www.navistarsupplier.com and click on the link for logistics questions and information or call 800-323-4338 for assistance from Navistar's partner, XPO Logistics.

3.2 Authorized Freight Forwarder

All shipments from suppliers located in Mexico (with destinations of United States or Canada), Mexican suppliers are instructed to ship to in care of Navistar's Customs broker in Laredo, TX.

- XPO will arrange carriers for pickup. Supplier should contact XPO and NOT the carrier.
- Subject to INCOTERM FCA – Supplier's Dock (or as established with Navistar's Supply Manager in each individual case).

3.3 Authorized Customs Brokers

Into the U.S.:

All suppliers located in Mexico must provide a copy of the shipment documentation to UPS for Customs clearance for shipments with U.S. destinations.

Contact: upsnavistarteam@ups.com
956-727-0758

Daniel Cantu – Operations Supervisor
Phone: 956- 693-5668
Email: danielcantu@ups.com

To ensure use of Navistar's broker, the following must be included on the bill of lading:

“U.S. Customs Clearance by UPS.”

Into Canada:

- (a) All parts suppliers located in Mexico must provide a copy of the shipment documentation to Buckland for CA Customs clearance for shipments with destination in Canada.

Contact: Amanda Menard
Phone #: 866-966-9359 x4813
navistarops@buckland.com

- (b) Returns of Reusable Containers & Racks - To ensure the correct Customs broker is used, the following note must be typed in the body of the bill of lading or on the airway bill:

“CANADIAN CUSTOMS CLEARANCE BY LIVINGSTON INTERNATIONAL, INC.”

Carriers or drivers must provide PARS information to the broker at least three hours prior to arrival. A coversheet for this transmission is found here:

[\(https://www.livingstonintl.com/form/coversheet-canadian-imports/\)](https://www.livingstonintl.com/form/coversheet-canadian-imports/)

Please contact Livingston at:
Phone: 1-888-871-4999, ask for team 95
Cst49895@livingstonintl.com
FAX: 1-866-548-4685
Shipment status: 1-866-548-7277

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Out of MX: All suppliers in MX use their own broker for export clearance.

Into MX: Suppliers shipping from Mexican locations must notify the Mexico Foreign Trade Compliance Department in order to establish a process to fulfill Mexican Governmental requirements between the supplier's entity located in Mexico and the Navistar entity in Mexico.

Jose Alday, Mexico Foreign Trade Compliance Manager
+52 (81) 8154 2000 x2183
jose.alday@navistar.com

3.4 Special Customs Invoice Instructions

(a) Incoterm & Named Place

Purchases are typically subject to INCOTERM FCA – Supplier's Dock (or as established with Navistar's Supply Manager in each individual case), INCOTERMS 2020. FCA & the appropriate named place or other agreed upon terms must be included on the invoice.

(b) Racks & Containers

The part numbers of reusable containers and racks must be declared on export invoice along with one of the following statements:

- "Containers are returnable." The invoice should reflect a fair market value/reusable container or rack.
- "Containers are non-returnable and costs are included in selling price."
- "Containers are non-returnable and costs are not included in selling price." Container price must be provided on the invoice.

If the racks or containers are Navistar owned, contact Charles.nevius@navistar.com or his back-up, mike.priaulx@navistar.com for country of origin & value.

(c) Invoice Quality

To fulfill Customs' stringent invoicing requirements and avoid delays in transit, it is imperative that suppliers prepare a complete and accurate list of the actual cargo being shipped. To facilitate this process, invoice instructions can be found in Appendix A and on the www.navistarsupplier.com portal under Supplier Guidelines, Terms & Conditions, then click on the link to Customs Export Invoice Templates. There is an Excel template to populate with another tab containing field by field definitions and resource references.

Note that when exporting engines &/or vehicles, the engine's serial number must be declared on the invoice.

(d) Direct vs. Indirect Shipments

When preparing the commercial invoice, the "**Ship to**" address must reflect the physical destination of the goods. Some material may need to be routed through a consolidation center. Per 3.1, contact XPO Logistics for routing instructions.

(e) Advance Shipping Number

For shipments to Navistar facilities in Mexico, Canada & the U.S. from suppliers in Mexico, Canada & the U.S., an ASN (Advance Shipping Notice) number **must** be included on the invoice.

(f) Line 1 & Line 2 distinction

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For Direct Materials (EDI/ERS/Manual) shipped to our plant in Mexico, please invoice "011/Navistar Mexico Line 1" & "065/Navistar Mexico Line 2" separately. Also note whether the shipment is destined to the Technical Service Center (TSC).

(g) Parties to the Transaction

When selling & shipping to Navistar in the U.S.:

- Navistar, Inc. 2701 Navistar Dr, Lisle, IL 60532 is the buyer/purchaser.
- Navistar, Inc. PO Box 59007, Knoxville, TN37950-9007 is the remit to party.
- Navistar, Inc. Springfield, Tulsa, Huntsville, etc is the ship to or consignee.

When selling to Navistar Canada:

- Navistar Canada ULC, 5500 North Service Road, Suite 401, Burlington, Ontario L7L 6W6 is the sold to/buyer/purchaser.
- Navistar, Inc. PO Box 59007, Knoxville, TN37950-9007 is the remit to party.
- The Navistar Hannon or Edmonton warehouse or a dealer may be the ship to or consignee.

3.5 Country of Origin Marking

Every article entering the United States or Canada, or its container, must be marked with the name of the country of origin/manufacture in English. The marking must be in a conspicuous place as legibly, indelibly and permanently as the nature of the article will allow. This is required to inform the ultimate purchaser of the country of origin. It must also be stated on the shipping invoice.

There are two groups of purchases that are distinct from a country of origin marking perspective:

- Manufacturing/Assembly Operations
- Service/Aftermarket

Material purchased for a manufacturing/assembly operation is usually bulk-packed in returnable containers. The containers must be marked/tagged with the country of origin of the parts and the individual parts should be marked, when feasible.

Material purchased for service/aftermarket use must be marked with the country of origin at the time of import, and if packaged for resale, the packaging itself must be marked. The country of origin marking rules require that the country of origin font be in the same size or larger and in close proximity to any other reference to a U.S. city and/or state.

3.6 Documentation and Distribution Requirements

(Less-Than-Truckload (LTL), Truckload (TL), Railroad & Parcel Routing

The following summarizes the required documents and their method of distribution:

- One (1) copy of the packing list
- One (1) copy of the bill of lading
- Two (2) copies of the commercial invoice

These documents are to be placed in a sealed envelope and marked "For Presentation to insert the appropriate broker's name per section 3.3" The envelope is to move with the shipment by attaching it to the carrier copy of the bill of lading.

Under no circumstances are shipments to leave your facility without the above documents.

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3.7 Container and Trailer Security

In accordance with C-TPAT requirements, all shipments [Less-Than-Truckloads (LTL) and Full Truckloads (FTL)] must be sealed to protect against the introduction of unauthorized material and/or persons.

The manufacturer/Shipper shall be responsible for the sealed container/trailer until such a time as the carrier assumes control. Seals are to be affixed at manufacturer point of origin (loading). Seals will be of the high security type as per ISO guidelines (ISO/PSA 17712, Freight Containers-Mechanical Seals).

4.0 Global Suppliers



NAVISTAR, INC.
CUSTOMS INVOICING INSTRUCTIONS, (PR-38)

4.1 Global Supplier Shipments to U.S. Destinations

4.1.1 Routing & Logistics

For routing & logistics support, please go to www.navistarsupplier.com and click on the link for logistics questions and information or call 800-323-4338 for assistance from Navistar's partner, XPO Logistics.

Irrespective of the shipment type, the invoicing instructions in this document must be followed to ensure a smooth JIT (Just In Time) logistics flow.

4.1.2 Authorized U.S. Customs Broker

All shipments are to clear U.S. Customs at the first port of entry into the U.S. The Customs broker contacts are:

Primary contact:	Email box: Navistar_Air_Sea@livingstonintl.com
Primary Address	27215 Northline Rd Taylor, MI
Toll Free:	866-548-7277

Primary contact:	Leticia Galindez
Phone:	734-941-2050, x73751
Email:	lgalindez@livingstonintl.com

To ensure the use of Navistar's authorized Customs broker, the following must be typed in the body of the bill of lading or on the airway bill for each shipment:

"U.S. CUSTOMS CLEARANCE BY LIVINGSTON INTERNATIONAL."

4.1.3 Special Customs Invoice Instructions

(a) Incoterm & Named Place

Purchases are typically subject to INCOTERM FCA – Supplier's Dock (or as established with Navistar's Supply Manager in each individual case), INCOTERMS 2020. FCA & the appropriate named place or other agreed upon terms must be included on the invoice.

(b) Racks & Containers

Part number of reusable containers and racks must be declared on commercial invoice along with one of the following statements:

- "Containers are returnable." The invoice should reflect the fair market value/reusable container or rack.
- "Containers are non-returnable and costs are included in selling price."
- "Containers are non-returnable and costs are not included in selling price." Container/rack price must be provided on the invoice.

If the racks or containers are Navistar owned, contact Charles.nevius@navistar.com or his back-up, mike.priaulx@navistar.com for country of origin & value.

(c) Invoice Quality

To fulfill U.S. Customs' stringent invoicing requirements and avoid delays in transit, it is imperative that suppliers prepare a complete and accurate list of the actual cargo being shipped. To facilitate this process, complete instructions can be found in APPENDIX A and on the

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www.navistarsupplier.com portal under Supplier Guidelines, Terms & Conditions, then click on the link to Customs Export Invoice Templates. There is an Excel template to populate with another tab containing field by field definitions and resource references.

Note that when exporting engines &/or vehicles, the engine's serial number must be declared on the invoice.

(d) Direct vs. Indirect Shipments

When preparing the commercial invoice, the “**ship to**” address must reflect the physical destination of the goods. For example, a supplier may be selling material to the U.S. Company with an ultimate destination of Springfield, OH. This material may be routed through a consolidation center. Per 4.1.1, please contact XPO Logistics, for specific instructions.

(e) Parties to the Transaction

When selling & shipping to Navistar in the U.S.:

- Navistar, Inc. 2701 Navistar Dr, Lisle, IL 60532 is the buyer/purchaser.
- Navistar, Inc. PO Box 59007, Knoxville, TN37950-9007 is the remit to party.
- Navistar, Inc. Springfield, Tulsa, Huntsville, etc is the ship to or consignee.

4.1.4 Country of Origin Marking

Every article, or its container, entering the United States must be marked with the name of the country of origin in English. A marking of “EU” is not accepted as the EU consists of a union of countries. The marking must clearly identify a specific country. The marking must be in a conspicuous place as legibly, indelibly and permanently as the nature of the article will allow. This is required to inform the ultimate purchaser of the country of origin. It must also be stated on the shipping invoice.

There are two groups of purchases that are distinct from a country of origin marking perspective:

- Manufacturing/Assembly Operations
- Service/Aftermarket

Material purchased for a manufacturing/assembly operation is usually bulk-packed in returnable containers. The containers must be marked/tagged with the country of origin of the parts and the individual parts should be marked, when feasible.

Material purchased for service/aftermarket use must be marked with the country of origin at the time of import, and if packaged for resale, the packaging itself must be marked. The country of origin marking rules require that the country of origin font be in the same size or larger and in close proximity to any other reference to a U.S. city and/or state.

4.1.5 Documentation and Distribution Requirements

(a) Air or Ocean Routing

The following summarizes the required documents and their method of distribution:

- One (1) copy of the packing list
- One (1) copy of the bill of lading
- Two (2) copies of the commercial invoice

These documents are to be placed in a sealed envelope and marked “For Presentation to Livingston International.” The envelope is to move with the shipment by attaching it to the carrier copy of the bill of lading.

Under no circumstances are shipments to leave your facility without the above documents.

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Additionally, a complete set of documents must be emailed to Navistar_Air_Sea@livingstonintl.com or call 866-548-7277.

(b) Ocean Shipments – ISF

Per the Importer Security Filing (ISF) regulations, before ocean-bound merchandise may be imported into the United States, the importer or their agent, (the authorized Customs Broker, Livingston Int'l for Navistar), must submit certain information electronically to Customs & Border Protection (CBP). This electronic submission is known as the ISF. To reiterate, this filing is only required for vessel shipments; it is not required for cargo arriving by other modes.

Refer to Appendices G & H for the template and procedure to be used to transmit the requisite data elements. Also note the following:

- The ISF must be filed at the lowest bill of lading possible (i.e., at the house bill of lading level, if applicable).
- The filing must be made on the same day that cargo is booked; and ***in no case later than 48 hours prior to loading the vessel*** per Navistar's policy.
- For timing purposes – 12:01 a.m. EST is considered the start of the day.
- Saturdays, Sundays and U.S. federal holidays are not considered working days for this purpose.
- Filings are to be emailed to Livingston Int'l, at Navistar_Air_Sea@livingstonintl.com
- Late filings or erroneous data transmitted may result in monetary penalties assessed by CBP, increased inspections and the delay of cargo. Penalties will be charged back to the responsible party.

4.1.6 Container and Trailer Security

Navistar participates in the U.S. Customs – Industry joint initiative called the “Customs-Trade Partnership Against Terrorism,” (“C-TPAT”). In accordance with C-TPAT requirements, all shipments must be sealed to protect against the introduction of unauthorized material and/or persons.

The manufacturer/Shipper shall be responsible for the sealed container/trailer until such a time as the carrier assumes control. Seals are to be affixed at manufacturer point of origin (loading). Seals will be of the high security type as per ISO guidelines (ISO/PSA 17712, Freight Containers-Mechanical Seals).

4.2 Global Supplier Shipments to Mexican Destinations

4.2.1 Routing & Logistics

There are process differences when shipping to locations in Mexico, i.e. shipments may travel in-bond through the U.S. for export, or have a consumption entry prepared to enter U.S. commerce prior to export. The carrier informs the broker, prior to the shipment's departure of the manifested items, and the broker determines what type of entry should be made.

For routing & logistics support, please go to www.navistarsupplier.com and click on the link for logistics questions and information or call 800-323-4338 for assistance from Navistar's partner, XPO Logistics.

4.2.2 Authorized Customs Brokers

(a) For Air & Ocean Shipments Destined to Mexico Consolidated to the U.S.:

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Livingston International is the Customs Broker. The following summarizes the required documents and their method of distribution:

- One (1) copy of the packing list
- One (1) copy of the bill of lading
- Two (2) copies of the commercial invoice

These documents are to be placed in a sealed envelope and marked "For Presentation to Livingston International." The envelope is to move with the shipment by attaching it to the carrier copy of the bill of lading or air waybill.

Under no circumstances are shipments to leave your facility without the above documents.

Additionally, a complete set of documents must be emailed to Navistar_Air_Sea@livingstonintl.com or call 866-548-7277.

(b) For Ocean Shipments Destined to Mexico Consolidated to the U.S.:

Ocean shipments to the U.S. have an Importer Security Filing requirement, for which Livingston International is also responsible. Refer to section 4.1.5 (b) for the details about this requirement.

(c) For Critical Air Shipments Destined to Mexico:

Navistar's Materials' team will provide instructions where the flight should land, either in Laredo, TX, USA or in Monterrey, MX.

- i. Airfreight landing in Laredo, TX is trucked the remainder of the delivery through Mexico. Each supplier will receive specific instructions by Navistar Mexico Foreign Trade Compliance and Materials Planning groups on the broker to be used. Email the export documents for these shipments to:

Buckland Global Trade Services for production parts
10302 Interstate 35 Frontage Rd.
Laredo TX 78045
Phone: 956 724-4463
navistar@buckland.com

Gonzalez de Castilla Inc. for Queretaro aftermarket parts
11929 Sara Road
Laredo, TX 78045
Phone: 956 722 5207
international@gdec.info

- ii. Airfreight landing in Mexico should go to Monterrey's International Airport. These are cleared by NAD Brokerage and documents must be sent to:

NAD Global (Aeropuerto Internacional **Mariano Escobedo, Monterrey, N.L.**)
Contact: David Rangel
Email: david.rangel@nadglobal.com
Phone: 011 52 1 8334390604

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4.2.3 Special Customs Invoice Instructions

(a) Incoterm & Named Place

Purchases are typically subject to INCOTERM FCA – Supplier’s Dock (or as established with Navistar’s Supply Manager in each individual case), INCOTERMS 2020. FCA & the appropriate named place or other agreed upon terms must be included on the invoice.

(b) Racks & Containers

Part number of reusable containers and racks must be declared on commercial invoice along with one of the following statements:

- “Containers are returnable.”
 - If the receiving location is a Mexican IMMEX company, which Navistar in Escobedo is, the invoice should reflect a value of \$1.00 USD/reusable container or rack.
 - If the receiving location is **not** a Mexican IMMEX company, (i.e. Navistar in Querétaro), the invoice should reflect the fair market value/reusable container or rack.
- “Containers are non-returnable and costs are included in selling price.”
- “Containers are non-returnable and costs are not included in selling price.” Container/rack price must be provided on the invoice.

If the racks or containers are Navistar owned, contact Charles.nevius@navistar.com or his back-up, mike.priault@navistar.com for country of origin & value.

(c) Invoice Quality

To comply with Customs’ stringent requirements and avoid delays, suppliers must prepare a complete and accurate invoice. To facilitate this process, instructions can be found in APPENDIX A and on the www.navistarsupplier.com portal under Supplier Guidelines, Terms & Conditions, then click on the link to Customs Export Invoice Templates. There will be an Excel template to populate with another tab containing field by field definitions and resource references.

Note that when exporting engines &/or vehicles, the engine’s serial number must be declared on the invoice.

(d) Line 1 & Line 2 distinction

For Direct Materials (EDI/ERS/Manual) shipped to our plant in Mexico, please invoice “011/Navistar Mexico Line 1” & “065/Navistar Mexico Line 2” separately. Also note whether the shipment is destined to the Technical Service Center (TSC).

4.2.4 Names & Addresses for Invoicing Purposes

Please use the corresponding “**Sold to**” names and addresses:

Navistar México, S. de R.L. de C.V. Av. Ejército Nacional, No. 904, Piso 8 Col. Palmas Polanco C.P. 11560, México. CDMX RFC: CMI950920TR8	International Parts Distribution S. de R.L. de C.V. Av. Ejército Nacional, No. 904, Piso 8 Col. Palmas Polanco C.P. 11560, México. CDMX RFC: IPD0410052WA
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Global suppliers shipping from Mexican locations must notify the Corporate and the Mexico Foreign Trade Compliance Departments of all flows of productive materials to be sold and invoiced to

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Navistar México, S. de R.L. de C.V., and/or International Parts Distribution, produced and shipped directly by a company legally established within Mexico (e.g. a Mexican subsidiary, maquiladora, etc.), in order to establish a process required by the Mexican Government between the legal entity located in Mexico and the Navistar entity in Mexico.

Contacts:

Jose Alday

Mexico Foreign Trade Compliance Manager

+52 (81) 8154 2000 x2183

jose.alday@navistar.com

Carol Demuth

Foreign Trade Compliance Mgr, Global Ops

331-332-7245

carol.demuth@navistar.com

4.2.5 Documentation and Distribution Requirements

(a) Truck Specialty Center

TSC orders are manual purchase orders pertaining to a specific department within Navistar Mexico. To ensure these parts are not mixed with other shipments, TSC shipments should have the following added to the invoice and its envelope. "TSC MATERIAL - Attn: Logistics Coordinator." In addition, the TSC purchase order number must be included on the invoice. TSC Packing Lists, Commercial Invoices, and Bills of Lading should be emailed to navistardocs@buckland.com

(b) Air Shipments

A complete commercial invoice, packing list and bill of lading must be emailed Buckland, or NAD (email addresses provided in 1.2.2.) depending on whether the shipment is considered regular or a hot shipment.

The following summarizes the required documents in hard copy:

- Three (3) copies (per destination) of the **Packing List/Slip** – with a **Quick Receive Label** affixed to the pack list
- One (1) **Master Bill of Lading** summarizing multi-destination shipments, including bill of lading number, date, consignee, carrier name, weight & pieces for each destination
- One (1) copy of the **Bill of Lading** for each destination (TSC, IPD and Navistar México are considered as distinct destinations)
- Four (4) copies of the **Commercial Invoice/s**

The following summarizes their method of distribution:

- **For the Carrier - In a sealed envelope** Two (2) **Packing Lists** and Two (2) copies of the **Commercial Invoice** stapled to the One (1) **Master Bill of Lading** or **Bill of Lading**
- **With the Freight** - One (1) **Packing List** and Two (2) **Commercial Invoices** placed on the freight in a brightly colored envelope marked clearly "Packing List". The envelope must be fastened to the outside of the last container loaded of every shipment so that it is readily available when the trailer is opened.

Under no circumstances is a shipment to leave your facility without the above documents.

4.2.6 Container and Trailer Security

In accordance with C-TPAT requirements, all shipments must be sealed to protect against the introduction of unauthorized material and/or persons. The manufacturer/Shipper shall be responsible for the sealed container/trailer until such a time as the carrier assumes control. Seals are to be affixed at manufacturer point of origin (loading). Seals will be of the high security type as per ISO guidelines (ISO/PSA 17712, Freight Containers-Mechanical Seals).

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4.3 Shipments to Canadian Destinations

4.3.1 Routing & Logistics

For routing & logistics support, please go to www.navistarsupplier.com and click on the link for logistics questions and information or call 800-323-4338 for assistance from Navistar's partner, XPO Logistics.

Irrespective of the shipment type, the invoicing instructions in this document must be followed to ensure a smooth JIT (Just In Time) logistics flow.

4.3.2 Authorized Canadian Customs Brokers

All shipments are to clear Canadian Customs at the first port of entry into Canada. In order to ensure the authorized Customs broker is used, the following note must be typed in the body of the Cargo Control Document, bill of lading or on the airway bill:

(a) Importer is Navistar Canada, Inc or UpTime Parts, LLC (as the case may be)
"CANADIAN CUSTOMS CLEARANCE BY BUCKLAND CUSTOMS BROKERS LTD."

All shipments to Canada for Navistar Canada or UpTime Parts are coordinated through Buckland's Windsor Office. Buckland can be reached at the Ambassador Bridge, Suite 254 in Windsor, Ontario:

Phone: 1-866-966-9359
Fax: 1-866-966-4836
bucklandwo@bucklandcustoms.com

Sub-agents change from time to time at other ports of entry. If there is any doubt regarding clearance instructions or location, please contact Buckland Customs Brokers for instructions.

For further, general information on Buckland Customs Brokers go to: <https://www.buckland.com>

(b) Importer is Navistar, Inc or Navistar Defense, LLC (as the case may be)
"CANADIAN CUSTOMS CLEARANCE BY LIVINGSTON INTERNATIONAL, INC"

All shipments to Canada for Navistar, Inc. and Navistar Defense are coordinated through Livingston Customs Broker. The group assigned to Navistar is Team 95. They may be contacted at:

1-888-871-4999, ask for team 95
cst49895@livingstonintl.com

4.3.3 Special Customs Invoice Instructions

(a) Incoterm & Named Place

Purchases are typically subject to INCOTERM FCA – Supplier's Dock (or as established with Navistar's Supply Manager in each individual case), INCOTERMS 2020. FCA & the appropriate named place or other agreed upon terms must be included on the invoice.

(b) Racks & Containers

The part numbers of reusable containers and racks must be declared on export invoice along with one of the following statements:

- "Containers are returnable." The invoice should reflect a fair market value/reusable container or rack.
- "Containers are non-returnable and costs are included in selling price."
- "Containers are non-returnable and costs are not included in selling price." Container price must be provided on the invoice.

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If the racks or containers are Navistar owned, contact Charles.nevius@navistar.com or his back-up, mike.priaulx@navistar.com for country of origin & value.

(c) Invoice Quality

In order to meet Canada Customs' stringent invoicing requirements and avoid delays in transit, it is imperative that suppliers prepare a complete and accurate list of the actual cargo being shipped. To facilitate this process, refer to the following website:
<http://www.cbsa-asfc.gc.ca/publications/form-formulaires/ci1-eng.html>

Note that when exporting engines &/or vehicles, the engine's serial number must be declared on the invoice.

Canada Border Services Agency has implemented the Administrative Monetary Penalty System (AMPS) whereby penalties are assessed for inaccurate or incomplete data. Penalties resulting from supplier error will be billed back to the offending suppliers.

(d) Pre-Alerts

For shipments to Canadian facilities from outside North America, suppliers do not need to provide an ASN, as pre-alerts are required from the forwarder or carrier.

(e) Parties to the Transaction

When selling to Navistar Canada:

- Navistar Canada ULC, 5500 North Service Road, Suite 401, Burlington, Ontario L7L 6W6 is the sold to/buyer/purchaser.
- Navistar, Inc. PO Box 59007, Knoxville, TN37950-9007 is the remit to party.
- The Navistar Hannon or Edmonton warehouse or a dealer may be the ship to or consignee.

4.3.4 Country of Origin Marking:

Every article entering Canada, or its container, must be marked with the country of origin in English. The marking must be in a conspicuous place as legibly, indelibly and permanently as the nature of the article will allow. This is required to inform the ultimate purchaser of the country of origin.

There are two groups of purchases that are distinct from a country of origin marking perspective. They are:

- Manufacturing/Assembly Operations
- Service/Aftermarket

Material purchased for a manufacturing/assembly operation is usually bulk-packed in returnable containers. The containers must be marked/tagged with the country of origin of the parts and the individual parts should also be marked, when feasible.

Material purchased for service/aftermarket use must be marked with the country of origin at the time of import, and if packaged for resale, the packaging itself must also be marked. The marking rules require that the country of origin font be of the same size or larger and in close proximity to any reference to another city, state and/or country. Commercial invoices must also include the origin.

4.3.5 Direct vs. Indirect Shipments

When preparing the commercial invoice, the “**ship to**” address must reflect the physical flow of the goods. For example, a supplier may sell material to the Canadian Company with an ultimate destination of the Hannon, ON PDC. Per 4.3.1, please contact XPO Logistics for routing instructions.

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4.3.6 Documentation & Distribution Requirements

Ocean & Air

The following summarizes the required documents and their method of distribution:

- One (1) copy of the packing list
- One (1) copy of the cargo control document and/or bill of lading
- Four (4) copies of the commercial invoice

The above documents are to be placed in a sealed envelope and marked "*For Presentation to Customs Broker.*" (Insert the broker's name as directed in 4.3.2.) The envelope is to move with the shipment by attachment to the carrier's copy of the bill of lading.

Under no circumstances is a shipment to leave your facility without the above documents.

Additionally, a complete set of documents must be emailed or faxed to the Customs Broker's office per Section 4.3.2 of this document. It must also include the cargo control number (PARS).

4.3.7 Container and Trailer Security

In accordance with C-TPAT requirements, all shipments must be sealed to protect against the introduction of unauthorized material and/or persons. The manufacturer/Shipper shall be responsible for the sealed container/trailer until such a time as the carrier assumes control. Seals are to be affixed at manufacturer point of origin (loading). Seals will be of the high security type as per ISO guidelines (ISO/PSA 17712, Freight Containers-Mechanical Seals).

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Appendix A

Invoice Requirements

Throughout these instructions, special emphasis has been placed on two key process elements within the global logistics chain. Namely:

- Commercial invoice quality, and
- Commercial invoice distribution

The purpose of these instructions is to identify the minimum data that ***must*** appear on a commercial invoice for use by Navistar's Customs brokers and is also required by Customs authorities.

- Shipper/Seller [name, address and tax identification of the seller of the goods]
- Ship To/Consignee [name, address and tax identification of the party receiving the goods]
- Sold To/Bill To [name, address and tax identification of the buyer if different than consignee]
- Country of Origin of the Goods [if variation by part number, must be shown by line]
- Province of Origin [if Country of Origin is Canada]
- Invoice Date
- Invoice Number
- Currency of Settlement
- Navistar Part Number
- Description of Each Part [must be able to link the invoice description to the USMCA COO description; also, **SEE APPENDIX B FOR AN EXPLANATION OF THE RULES FOR PROVIDING AN ACCEPTABLE DESCRIPTION OF GOODS FOR CUSTOMS' USE**]
- Quantity of Each Part Number
- Unit of Measure
- Unit Price of Each Part Number
- Extended Price of Each Part Number
- Incoterms & Named Place - per contract or purchase order terms, ie. "FCA - Laredo" or "DAT - Port of Import"
- Terms of Sale - per contract or purchase order terms, ie. 2% net 30
- Clear Statement the Seller and Buyer are Not Related
- If the shipment contains reusable containers, then include the reusable container reference number, the description (including the word "reusable"), origin & value. Origin & value (to be declared when returning empty containers) may be obtained from Charles.nevius@navistar.com or his back-up, mike.priaulx@navistar.com.
- For shipments to Mexico, Canada & the U.S. from suppliers in Mexico, Canada & the U.S. only: ASN (Advance Shipping Notice) number is required to be included on the invoice. For shipments to North America from outside North America, suppliers do not need to provide an ASN, as pre-alerts are required from the forwarder instead.

Appendix B

Description Instructions for Customs Purposes

In support of Navistar's commitment to compliance, a detailed description of each good, material, asset, and/or returnable container, including the Navistar part number, is required on the commercial invoice. It is the description for each good that is:

- a) Determines of a Harmonized Tariff Schedule Classification; which
- b) Determines the duty to be paid by Navistar.

Based on this process, an inaccurate or incomplete description can have adverse consequences. Namely:

- a) An overpayment of duty, which indicates a lack of control
- b) An underpayment of duty, which may result in fines and/or penalties
- c) A shipment delay pending written clarification from the supplier to Navistar's Customs broker prior to release of the goods by Customs authorities

It is beyond the scope of these instructions to provide specific guidelines to describe all goods that Navistar Inc. purchases. However, if the description of the good answers the following questions, the broker will be in a position to classify the goods accurately for Customs' purposes.

- a) What is the good?
- b) What is the good made of?
- c) What are the physical characteristics of the good? i.e. rating, gauge, dimensions, etc.
- d) What are the material or chemical properties of the good?
- e) What is the good used for?

Not every good requires that the description incorporate an answer to all of the above questions. If you are in doubt as to the adequacy of your descriptions, please consult your Customs broker or your legal staff.

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Appendix C
FTA Certification Timing

Navistar, Inc
2701 Navistar Drive
Lisle, IL 60532 USA

Re: FTA Certification Solicitation & Response Timing

To: Navistar North American Suppliers,

This letter is to inform you of certification timing expectations in response to various solicitations. It is important to note that suppliers are contractually obligated to meet these requirements.

United States – Mexico -Canada Agreement (USMCA) Documentation Requirements

USMCA certificates and, for ineligible product, country of origin documentation is to be provided as follows:

- Submit Certificates by «DueDate».
- In your response, please include:
 - Your Supplier Site ID («SupplierCode»)
 - The Solicitation ID («ResolvedReqReferenceNumber»)
 - Your customer’s name, (Navistar, NewStream &/or UpTime Parts)
- Please respond for all products regardless of USMCA eligibility.
- Include Country of Origin even if the products do not qualify for USMCA.
- For each request received, create a new certificate; please do not continue to add parts to a previously submitted USMCA certificate.
- If the products are obsolete, confirm in writing next to the product.
- Use the continuation page attached, if needed.
- Add any other products being supplied to Navistar, NewStream &/or UpTime Parts on the USMCA certification.

In some cases, in order to certify, suppliers must request USMCA certification from their tier two suppliers, being careful to request timely responses. Navistar recognizes that occasionally there may be extenuating circumstances that require additional time to obtain/provide this documentation. In consideration of these circumstances, Navistar has established the following performance metrics for providing USMCA and origin documentation:

Type of Solicitation Request

- Emergency (part crossed the border at significant duty cost)
- Monthly (all other parts that crossed border and new parts)
- Annual (all active parts)

**Performance Metric: %
Req’d Parts With USMCA
Documentation Provided**

100% within 7 calendar days
100% within 30 business days
45% within 45 business days
100% within 90 business days

- Navistar’s solicitation process through Livingston includes a request with up to five (5) but no less than three (3) follow-up requests prior to the due date.
 - 3 of the 5 follow ups are automated emails, except for Emergencies with 2 automated emails.
 - 2 of the 5 follow ups could be a direct email or call from the solicitation team.
- If a response has not been received by the due date or if the promise date is missed, 3 past due follow ups will be sent. If a response is still not received, supplier may be escalated to Navistar’s Procurement Management.
- Delinquent suppliers, meaning suppliers not providing a response by the due date, will see the deficiency noted on the supplier’s scorecard.

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Failure to achieve the above performance metrics will result in notation on supplier's scorecard.

Note: For parts with country of origin of Mexico, U.S., or Canada, but indicated as ineligible on the USMCA certificate, Navistar may request supporting documents to confirm ineligibility. In addition, Accumulation value and LVC certification may be requested.

Should you have questions, please don't hesitate to contact me.

Thank you for your support and cooperation,

Carol Demuth
Global Trade Compliance, Sr. Manager
331-332-7245
carol.demuth@navistar.com

Appendix D

Module Reference Numbers

What is a Module Reference Number (MRN)?

- ❑ An MRN is a system generated number that represents a unique collection or set of part numbers associated with a job number. MRN is principle to the ABR process but can also be applied to collections of high level parts associated with a job number, i.e. kits. The MRN is not contained in the Bills of Material.
- ❑ The MRN can be transmitted ONLY in 866 Sequence Shipment Authorizations.
- ❑ Since the MRN is unique to a specific set of parts, whenever ANYTHING changes within that set, a new MRN will be generated. These changes include: raised suffixes on part numbers; addition of part number(s); deletion of part number(s); change in quantity required of any part number(s).
- ❑ Because the MRN is unique to a collection of parts, a single MRN can be associated with multiple job numbers.
- ❑ A single MRN can be transmitted from multiple plants.
- ❑ MRN's require both Navistar and its suppliers to change existing processes to accommodate this new reference number

The Effect on Customs Invoices

- ❑ Receiving of ABR parts at Navistar's production facilities is set to occur at the MRN level. (Suppliers are required to transmit all ABR data in the 856 ASN at the Job Level with the MRN)
- ❑ To make this possible, the supplier's customs invoice must be shown at the MRN level with the corresponding Job Numbers.
- ❑ E-1 shows a sample customs invoice detailing the other required pieces of information: MRN Description, MRN quantity, Unit of Measure (UOM), MRN Price, Extended Price, Currency Type, and Country of Origin.

The Effect on USMCA

- ❑ To support Navistar's USMCA processes, the supplier must certify both the MRN and Feature level part numbers.
- ❑ It is the supplier's responsibility to provide this certification for all current MRN combinations in an electronic format.
- ❑ Please note the examples and instructions shown on E-2. Trace Value is only required for transmissions and engines.

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Appendix E

Sample Customs Invoice or Proforma Invoice

Shipper/Seller

Name
Address
US Tax ID

Invoice Date

Invoice Number

ASN Number
Purchase Order
Sales Term:
Parties to the Transaction

FCA – Port of Export
Not Related

Sold To

Name
Address
Tax ID

Consignee/Delivery Address

Name
Address

MRN Number	Job Number	Description	Serial Number	MRN Quantity	UOM	MRN Price	Extended Price
AA33E862C7	123	Diesel Engine	NXS83147	1	Ea.	\$500	\$500
AA33E862C7	456	Diesel Engine	NXS83148	1	Ea.	\$500	\$500
AA33E862C7	789	Diesel Engine	NXS83149	1	Ea.	\$500	\$500
BE2A621FC7	1010	Diesel Engine	NXS83150	1	Ea.	\$600	\$600
				4			\$2,100

Currency Type

U.S. Dollars

Country of Origin

United States

These items are controlled by the U.S. Government and authorized for export only to the country of ultimate destination for use by the ultimate consignee or end-user(s) herein identified. They may not be resold, transferred, or otherwise disposed of, to any other country or to any person other than the authorized ultimate consignee or end-user(s), either in their original form or after being incorporated into other items, without first obtaining approval from the U.S. government or as otherwise authorized by U.S. law and regulations

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Appendix F

Example MRN USMCA Certificate

UNITED STATES-MEXICO-CANADA FREE TRADE AGREEMENT (USMCA)									
2020 CERTIFICATION OF ORIGIN CONTINUATION PAGE(S)									
Supplier Code: 22043						Year: 2020			
Request ID: 1620683									
Part Number	Supplier Product Code	Description of Good(s)	Tariff Number	Origin Criterion	Certification Indicator	Qualification Method	Country of Origin	Accumulation Value (USD)	Labor Value Content Requirement
0025399E	0025399E	22043X1 ENGINES	840820	B	D		US		YES
005AFFB9	005AFFB9	22043X1 ENGINES	840820	B	D		US		YES
01D25967	01D25967	22043X1 ENGINES	840820	B	D		US		YES
03E2F5E3	03E2F5E3	ENGINE - DIESEL	840820	B	D		US		YES
046F5DBA	046F5DBA	22043X1 ENGINES	840820	B	D		US		YES
049A75D9	049A75D9	ENGINE - DIESEL	840820	B	D		US		YES
04FF9EE9	04FF9EE9	22043X1 ENGINES	840820	B	D		US		YES
06717CD3	06717CD3	ENGINE - DIESEL	840820	B	D		US		YES
06DF89EA	06DF89EA	22043X1 ENGINES	840820	B	D		US		YES
06EB2F6E	06EB2F6E	ENGINE - DIESEL	840820	B	D		US		YES
073A0EAE	073A0EAE	ENGINE - DIESEL	840820	B	D		US		YES
075E38B6	075E38B6	ENGINE - DIESEL	840820	B	D		US		YES
093BF197	093BF197	22043X1 ENGINES	840820	B	D		US		YES
0A93BE0D	0A93BE0D	ENGINE - DIESEL	840820	B	D		US		YES

Supplier Code:

The supplier code for USMCA purposes is the first five digits of the standard seven digit supplier code

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Appendix G

ISF Transmission Template

	ISF Notification	
<p>Return completed form to Navistar_air_sea@livingstonintl.com at least 48 hours prior to lading the main vessel.</p>		
Date of Request:		
Invoice (optional):		
Ocean Carrier SCAC/MBL:		
Amended Carrier SCAC/HBL (If Required):		
House Bill of Lading:		
Master Bill of Lading:		
Container No. & Type:		
Feeder Vessel / Voyage Number:		
Origin Port of Loading:		
Tranship Port of Arrival:		
Date of Departure @ Origin:		
Mother Vessel Name and Voyage Number:		
Transshipment Port Departure Date:		
Port Of Discharge Arrival Date:		
Manufacturer Name and Address: (or if not known, then Seller)	Duns or EIN	
Seller Name and Address:	Duns or EIN	
Buyer Name and Address:	Duns or EIN	
		Carrier Consolidator Name and Address: Duns or EIN
		Container Stuffing Location Name and Address: Duns or EIN
		Consignee/Ship to Name and Address: Duns or EIN
Navistar Part Number	Description	Country of Origin
Part #:	Description: Manufacturer/Seller:	Origin:
Part #:	Description: Manufacturer/Seller:	Origin:
Part #:	Description: Manufacturer/Seller:	Origin:
Part #:	Description: Manufacturer/Seller:	Origin:
Part #:	Description: Manufacturer/Seller:	Origin:
Part #:	Description: Manufacturer/Seller:	Origin:
Part #:	Description: Manufacturer/Seller:	Origin:
Part #:	Description: Manufacturer/Seller:	Origin:

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Appendix H

ISF Procedures

ISF FILING PROCEDURES FOR SUPPLIERS, FORWARDERS & STEAMSHIP LINES REVISION: March 2019

Failure to file, late filings and/or erroneous ISF information can result in a \$5,000 to \$10,000/incident fine to Navistar. Penalties will be charged back to the responsible parties.

The ISF form must be completed and returned to Livingston International the same day that cargo is booked, and in no case later than 48 hours prior to loading the main vessel. Saturdays, Sundays and U.S. holidays are not considered working days for this purpose.

The Freight Forwarder or Steamship Line assigned by our Freight Forwarder will defend, indemnify and hold harmless Navistar, Inc. against any and all costs, damages, losses, liabilities, expenses, judgments, fines, settlements and any other amounts of any nature, including reasonable attorneys' fees arising from late or erroneous Importer Security Filings caused by late or deficient documentation received.

The commercial invoice must contain Navistar part numbers and must accompany Navistar's completed ISF form. Lack of part numbers will delay the ISF filing & create a potential late file for which a penalty may be incurred. If an invoice is not provided, or if the invoice lacks part numbers or buyer & seller names & addresses, please escalate to the supplier contacts listed in the SOP.

Information and forms should be sent to the following email address:

Navistar_Air_Sea@livingstonintl.com

Use this email address for all ISF filing notifications

RESPONSIBLE PARTY*	REQUIREMENT
1. Supplier → Forwarder	1. Invoice with Navistar part #'s, buyer & seller names & addresses
2. Steamship Line → Forwarder	2. Vessel Departure Date - this is the departure date of the main vessel destined to the U.S. If using a feeder vessel, the departure date from the exporting country must also be provided.
3. Forwarder or Steamship Line → Forwarder	3. Bill of Lading Number - if multiple, provide the lowest AMS #, (house or regular/simple bill #)
4. Shipper for full containers/ Consolidator for LCL → Forwarder	4. Container Stuffing Location
5. Consolidator → Forwarder	5. Consolidator (Stuffer) Name & Address

* The forwarder provides all data from the various parties to _Navistar_air_sea@livingstonintl.com (Navistar's Customs Broker).

Detailed ISF information can be obtained at:

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