



# FOREIGN SUPPLIER STANDARD OPERATING PROCEDURE KELLOGG U.S. IMPORTS

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This standard is in place to ensure efficient and timely delivery of cargo from international supply points to Kellogg Company's locations or third party destinations within the United States.

**No shipments from foreign locations will be accepted without Kellogg Routing Instructions on file and no Routing Instructions will be issued without Kellogg confirming the U.S. HTS Classification code.**

These procedures can not be interpreted as a substitute for compliance with applicable governmental regulations. It is the foreign supplier's responsibility to understand and comply with all export/import laws and regulations of the appropriate countries. Kellogg Company will not be responsible for the foreign supplier's failure to follow applicable export/import requirements.

Deviation from these instructions may result in unexpected delays, unnecessary costs and U.S. Government imposed fines, penalties, inspections, and/or seizure of inbound shipments for non-regulatory compliance.

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### **1. GENERAL REQUIREMENTS**

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#### **1.1.0 PURPOSE**

To ensure all foreign suppliers ONLY ship product to Kellogg locations, or third party destinations within the United States when Kellogg Routing Instructions are on file for each shipment: either in blanket format; for standard routine shipments, or on a per shipment basis; for all non-routine shipments.

To ensure all foreign suppliers acting as importer of record into the US contact Kellogg’s Foreign Trade Department with any questions regarding the HTSUS classification.

To ensure all foreign suppliers contact Kellogg’s Foreign Trade Department for directive prior to shipping any product via courier service.

To ensure all foreign suppliers provide detailed product information for accurate HTS (tariff) classification prior to shipping and prior to requesting the FDA Prior Notice (if applicable).

To ensure all foreign suppliers clearly understand their responsibility of requesting FDA Prior Notice when shipping to the United States for Kellogg food imports.

To ensure all foreign suppliers provide complete and accurate documentation for U.S. Customs clearance and record retention.

To ensure all foreign suppliers accurately file the required Importer Security Filing (ISF) data elements prior to vessel loading in the foreign port for all ocean shipments.



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### 1.1.1 SCOPE:

This procedure applies to any supplier; Kellogg related party or any other group who exports products, materials or components (including samples) to the United States with Kellogg Company, or one of its third party destinations, noted as the consignee.

### 1.1.2 REFERENCES

Title 19 Code of U.S. Federal Regulations

### 1.1.3 DEFINITIONS

- Anti-dumping:** Additional duties assessed against a product found by the International Trade Commission to be sold at less than fair value to importers in the U.S. “Dumping” occurs when a foreign supplier or manufacturer sells the product in the U.S. for less than its cost of production, or less than the sale price in the home market.
- Assists:** Any item (i.e. premium, machine, machine part, ingredient, packaging, engineering services, etc.), which Kellogg Company or its 3<sup>rd</sup> Party affiliates provide to a foreign (non-domestic Kellogg and non-Kellogg) manufacturer/supplier either free of charge or below market value for use in or addition to product that is then exported into the United States.
- AWB/BOL:** Air Waybill (air freight) and Bill of Lading (ocean or intermodal) are non-negotiable transport documents that the carrier issues. These documents are evidence of contract of carriage and confirm the ports of loading and unloading.
- CBP** Customs and Border Protection is a federal law enforcement agency of the United States Department of Homeland Security charged with regulating and facilitating international trade, collecting import duties, and enforcing U.S. regulations, including trade, drug and immigration laws.
- Commercial Invoice:** Invoice used for shipping purposes. Other acceptable invoices include, but are not limited to, *Customs Invoice*, *Shipping Invoice* or *Invoice*. By U.S. law, all *Pro-forma Invoices* must be replaced with a *Commercial Invoice*. Therefore, it is required that all Kellogg-related and non-related suppliers use a *Commercial* or *Customs Invoice* and not a *Pro-forma Invoice*. The *Commercial Invoice* must be in English and the value must be in USD.
- Country of Origin:** The country where the goods were originally produced or manufactured. The Country of Origin is **not** necessarily the country from which the goods were shipped.



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<b>ETS/ETA:</b>	Estimated Time of Shipping and Estimated Time of Arrival. These are shipping terms noting the expected or planned time of shipping at port of origin and estimated time of arrival at port of destination.
<b>FCL (FTL):</b>	Full Container Load (ocean) or Full Truck Load (intermodal) consigned to the importer.
<b>FDA:</b>	Food and Drug Administration is an agency of the US Department of Health and Human Services, responsible for protecting and promoting public health through the regulation and supervision of <b>food safety</b> , tobacco products, dietary supplements, prescription and over-the-counter pharmaceutical drugs (medications), vaccines, biopharmaceuticals, blood transfusions, medical devices, electromagnetic radiation emitting devices (ERED), veterinary products, and cosmetics.
<b>HTS:</b>	Harmonized Tariff Schedule is the primary resource for tariff classification of imports into the United States. The HTS is based on the international Harmonized Commodity Coding and Classification System (Harmonized System) of six digits, which has been established by the World Customs Organization.
<b>INCO Terms:</b>	International Commercial Terms that identify the trade contract responsibilities and liabilities between buyer and seller.
<b>ISF (10+2):</b>	Importer Security Filing is a pre-alert to U.S. Customs that identifies specific data elements prior to loading at the foreign port for all ocean shipments.
<b>LCL (LTL):</b>	Less than Container Load (ocean) or Less than Truck Load (intermodal) for shipments not large enough to fill a full container.
<b>OTR:</b>	Over-the-Road is a transportation term identifying truck shipments.
<b>Packing List:</b>	Required document for U.S. Customs clearance. This document provides a detail of each item contained within the shipment, the piece count and in which package it is contained. The Packing List also identifies the number of packages with their gross and net weights.

## **2. U.S. HTS CLASSIFICATION REQUIREMENTS**

To receive Routing Instructions from Kellogg's U.S. Foreign Trade Department, all suppliers must first submit detailed product information for proper U.S. tariff classification. It is imperative that this information is complete and accurate. Please reference the [Required Information for Importing Forms](#), which specifically identify data points for each type of product (i.e. finished food items/ingredients; machinery/spare parts and miscellaneous items). Also, please note that dependant on the item, the U.S. Foreign Trade Department may require additional information for proper classification. For machine parts, the U.S. Foreign Trade Department will need to verify the application for proper classification.



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### **2.1.0 GENERAL DATA ELEMENTS FOR ALL PRODUCTS**

- ❖ Product name
- ❖ Product description
- ❖ Quantity and specific unit of measure
- ❖ Intended use of product
- ❖ Manufacturer's contact information –name, address, etc.
- ❖ Country of origin
- ❖ Packaging detail
- ❖ Supplier's foreign Schedule B Number

### **2.1.1 SPECIFIC DATA ELEMENTS FOR FINISHED FOOD PRODUCTS, SEMI FINISHED & RAW INGREDIENTS**

- ❖ Confirm FDA registration
- ❖ Provide a complete ingredient listing with percentages – exact percentages are required for wheat, cocoa and sugar for proper classification
- ❖ Identify the production process
- ❖ Identify the growing and harvest seasons
- ❖ Identify product consistency (i.e. frozen, liquid, powder)
- ❖ Fruits/vegetables – identify the form (i.e. fresh, frozen, dried, freeze dried, etc.) confirm if wild or cultivated
- ❖ Flour – identify the source (i.e. wheat, corn, etc.) confirm the color and seasons of growing and harvest
- ❖ Confirm the packaging used – the material that is in direct contact with the food item

### **2.1.2 SPECIFIC DATA ELEMENTS FOR MACHINES**

- ❖ Provide the machine's supplier part and serial numbers
- ❖ Identify the machine's function (i.e. packaging, production, oven, etc.)
- ❖ Identify the machine's power source (i.e. electric, gas, air, etc.)
- ❖ Confirm the machine's output (watt, kilowatt or horsepower)
- ❖ Confirm if AC or DC
- ❖ Confirm what the machine is being used for – describe the application
- ❖ Confirm if the machine is complete
- ❖ Confirm if there are additional spare parts

### **2.1.3 SPECIFIC DATA ELEMENTS FOR MACHINE PARTS**

- ❖ Provide the supplier part number
- ❖ Identify the material composition of the part (i.e. steel, plastic, rubber, etc. – for steel and plastic, please specify the type)
- ❖ Confirm if the part can function on its own or if it's a component of another part
- ❖ Identify the function of the section of the machine that this part is intended
- ❖ Identify the application – what is being produced, packaged, cooked, etc.



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- ❖ Identify the machine's power source (i.e. electric, gas, air, etc.)
- ❖ Confirm if the spare parts were to be assembled if they would make a complete piece of machinery
- ❖ If the part is a motor, specify the output and if AC/DC
- ❖ If the part is a bearing, please contact the U.S. Foreign Trade Department for directive

### 2.1.4 MISCELLANEOUS PREMIUM ITEMS

- ❖ A sample or picture is required for proper classification

## 3. SHIPPING ADVICE – REQUIRED PRE-ALERT

Prior to shipping cargo via air, ocean, intermodal or courier to the United States, notification with shipping details must be received by Kellogg's U.S. Customs broker and Kellogg's U.S. Foreign Trade Department. Once notification is received, Kellogg Routing Instructions will be provided. Products CANNOT be sent to the United States without Kellogg Routing Instructions on file. Failure to comply with this requirement will result in the shipment being returned to the foreign supplier.

Note: pre-alerts are also required for any commercial item that is being hand carried into the United States.

Each pre-alert must include a copy of the following information:

- |              |                          |   |   |
|--------------|--------------------------|---|---|
| <b>3.1.0</b> | <b>AIR<br/>FREIGHT</b>   | <ul style="list-style-type: none"><li>• Name of the arriving airline</li><li>• Flight Number</li><li>• ETA and Airport location</li><li>• Master Air Waybill #</li><li>• House Airway Bill number (if applicable)</li><li>• Name/Location for whom the shipment is intended including contact information</li></ul> | <ul style="list-style-type: none"><li>• Kellogg Purchase Order Number</li><li>• Full description of the goods</li><li>• Commercial Invoice</li><li>• Packing List</li></ul>                             |
| <b>3.1.1</b> | <b>OCEAN<br/>FREIGHT</b> | <ul style="list-style-type: none"><li>• Name of the vessel</li><li>• ETA and Port of Entry</li><li>• Ocean Bill of Lading Number</li><li>• Name/Location for whom the shipment is intended including contact information</li></ul>  | <ul style="list-style-type: none"><li>• Kellogg Purchase Order Number</li><li>• Full description of the goods</li><li>• Commercial Invoice</li><li>• Packing List</li><li>• ISF Filing (10+2)</li></ul> |
| <b>3.1.2</b> | <b>COURIER</b>           | <ul style="list-style-type: none"><li>• Airway Bill</li><li>• Confirm values on Invoice match the AWB</li><li>• Name/Location for whom the shipment is intended including contact information</li></ul>   | <ul style="list-style-type: none"><li>• Kellogg Purchase Order Number</li><li>• Full description of the goods</li><li>• Commercial Invoice</li><li>• Packing List</li></ul>                             |
| <b>3.1.3</b> | <b>INTER-<br/>MODAL</b>  | <ul style="list-style-type: none"><li>• Bill of Lading</li><li>• ETA and Port of Entry</li><li>• Name/Location for whom the shipment is</li></ul>   | <ul style="list-style-type: none"><li>• Kellogg Purchase Order Number</li><li>• Full description of the goods</li><li>• Commercial Invoice</li></ul>  |



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intended including contact information

- Packing List

- 3.1.4 MEXICAN** Supplier's Mexican broker must provide the "Pedimento" and Kellogg's U.S. Customs broker  
**RAIL** must provide the Entry Number prior to loading on the rail for U.S. Customs clearance.

#### **4. REQUIRED SHIPPING DOCUMENTS**

All documents must be prepared accurately in ENGLISH and clearly legible, regardless of output type (i.e. scan to print, fax or hard copy).

##### **4.1.0 COMMERCIAL or CUSTOMS INVOICE**

The foreign supplier must prepare each commercial or customs invoice and declare all items included within the shipment on the commercial or customs invoice. An additional invoice is to be sent to Accounts Payable for invoicing.

##### **4.1.1 HEADER DETAIL**

Every Commercial or Customs invoice must include the following information:

- ❖ Complete contact information including company name and address with contact name and telephone number for the following entities:
  - *Supplier*, i.e. exporter
  - *Buyer*, i.e. importer
  - *Consignee*, i.e. ship-to party
  - *Shipper*, i.e. ship-from (if different than the supplier).
- ❖ Printed name and signature of the responsible employee who has knowledge, or can readily obtain knowledge, of the transaction.
- ❖ Terms of Sale - terms as defined on the agreement between the buyer and the supplier.
- ❖ Freight Payment -INCO Terms – i.e. FCA, FOB, DDU –as defined on the agreement between the buyer and the supplier
- ❖ Commercial Invoice number and invoice date.
- ❖ Commercial value in **US Dollars**.
- ❖ Value amount on Commercial/Customs invoice must match the EDI invoice.
- ❖ Discounts / Commissions (if applicable).
- ❖ Any Royalties or License Fees (if applicable).
- ❖ Port of Entry – Destination port in the U.S. where Customs clearance will take place.
- ❖ *Actual Transportation Charges* – including packaging and inland freight, must be identified separately on the commercial invoice if billable. **Estimated transportation charges are not permitted.**





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- ❖ Statement on invoice for all air/courier shipments, ocean shipments regardless of origin and all Canadian shipments regardless of mode of transportation will have the following statement: *“Documents to be turned over to Russell A. Farrow (U.S.) Inc”* with the appropriate contact information (reference appendix for broker contact information).

### 4.1.2 LINE ITEM DETAIL

Each line item on the Commercial or Customs invoice must include:

- ❖ Detailed non-abbreviated description of product, including name by which item is known; model number, material and/or part number (SKU); grade or quality and if the item is new or used. For foreign Kellogg entities, all *special promotional items require a suffix number but a new SKU, or part number, is preferred.*
- ❖ Kellogg Purchase Order number -or applicable reference number (i.e. Cost Center number or General Ledger number).
- ❖ Country of Origin -*The country where the goods were originally produced or manufactured.* Not necessarily the country where the items are purchased, distributed or shipping from.
- ❖ Item quantities and unit of measure for each product.
- ❖ HTS (Harmonized Tariff Schedule) code –item identifier for US Customs – ***The supplier must first confirm the Classification code with Kellogg’s U.S. Foreign Trade Department for each item on the commercial invoice prior to shipping!***

### 4.1.3 FCL SHIPMENTS – REQUIRED INFORMATION

- ❖ Container Stuffing Location- complete address, including postal codes (physical location where shipment is loaded into the container).
- ❖ Consolidator name and complete address, including postal codes (party that loads or arranges for the loading of the shipment into the container).

Note: for LCL shipments, the freight forwarder or consolidator is responsible for supplying the Container Stuffing Location and the Consolidator information.

### 4.1.4 SAMPLE SHIPMENTS

All Commercial and/or Pro-forma Invoices for sample shipments *must* include a Kellogg Purchase Order number. If a Kellogg Purchase Order number was not issued, then an applicable reference number (i.e. Cost Center number or General Ledger number) must be included on the commercial invoice, in addition to the name and contact information of the requestor.

If Kellogg Company is the Importer of Record, the supplier may not ship the sample shipment without contacting the U.S. Foreign Trade Department and having Routing Instructions on file.





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All food items or any item that is applied to the skin or hair – even if it is a sample, requires FDA Prior Notice and must be filed prior to shipping.

“No Charge” sample product(s) must have a declared actual “market value” for U.S. Customs clearance. The declared value must reflect the value of the item had it been sold to the Kellogg Company or another company within the United States at the time of shipping.

### 4.1.5 U.S. GOODS RETURNED SHIPMENTS

The foreign supplier must contact the Foreign Trade Department for Routing Instructions prior to shipping any item to the U.S. which has been manufactured within the United States. For all U.S. Goods shipments being returned with an aggregate value of **\$1,250.00 or more**, the foreign supplier must also include the following declaration on the Commercial or Customs invoice with signature:

I, \_\_\_\_\_, DECLARE THAT TO THE BEST OF MY KNOWLEDGE AND BELIEF THE ARTICLES HEREIN SPECIFIED WERE EXPORTED FROM THE UNITED STATES, FROM THE PORT OF \_\_\_\_\_ ON OR ABOUT \_\_\_\_\_, 20\_\_\_\_, AND THAT THEY ARE RETURNED WITHOUT HAVING BEEN ADVANCED IN VALUE OR IMPROVED IN CONDITION BY ANY PROCESS OF MANUFACTURE OR OTHER MEANS. THE REASON FOR THE RETURN IS \_\_\_\_\_.

In addition, a Manufacturer’s Affidavit must be provided for all shipments with a US Country of Origin (regardless of the commercial value). This affidavit is obtained from the US manufacturer and must be completed on their letterhead – reference the attached Manufacturer’s Affidavit template.

### 4.2.0 PACKING LIST

For LCL shipments, the foreign supplier must prepare 2 copies of a packing list, which must be in *English* or accompanied by an English translation.

- ❖ The first copy of the packing list shall be placed inside the carton, box or crate, which is to be marked “packing list enclosed”.
- ❖ The second copy of the packing list shall be placed in an envelope attached to each separate shipment.

The packing list shall be folded such that no description of the product is visible from the outside.

For FCL shipments, the foreign supplier must prepare only 1 copy of a packing list, which must be in *English* or accompanied by an English translation.



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### 4.2.1 HEADER DETAIL

Every Packing List must include the following information:

- ❖ Complete contact information including company name and address with contact name and telephone number for the following entities:
  - *Supplier*, i.e. exporter
  - *Buyer*, i.e. importer
  - *Consignee*, i.e. ship-to party
  - *Shipper*, i.e. ship-from (if different than the supplier).
- ❖ Commercial or Customs invoice number and invoice date.
- ❖ Kellogg Purchase Order number(s)
- ❖ Invoice package/carton and piece/pallet quantities.
- ❖ Invoice gross and net weights in metric.
- ❖ Measurements (L x W x H) in metric and/or Cubic Volume in metric.

### 4.2.2 LINE ITEM DETAIL

Each line item on the Packing List must include:

- ❖ Detailed non-abbreviated description of product, including name by which item is known; model number, material and/or part number (SKU); grade or quality and if the item is new or used. For foreign Kellogg entities, all *special promotional items require a suffix number but a new SKU, or part number, is preferred.*
- ❖ Item quantities and unit of measure for each product.
- ❖ Total number of boxes or other package type in the shipment.
- ❖ Item gross and net weights in metric.

### 4.3.0 BILL OF LADING / WAYBILL

The foreign supplier shall prepare the Airway Bill for courier shipments and provide the forwarder or carrier with the information necessary to prepare the Bill of Lading or Waybill for all ocean, intermodal and air shipments.

### 4.3.1 HEADER DETAIL

Every Bill of Lading or Air Waybill must include the following information:

- ❖ Forwarder or carrier's name and address
- ❖ Foreign supplier's complete name and address



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- ❖ Foreign supplier's warehouse, factory or 3rd Party Logistics provider with complete name, address and contact information
- ❖ Ship-to consignee/delivery destination complete name, address and contact information
- ❖ Notify party (if any)
- ❖ Reference Field: Kellogg Purchase Order number(s)
- ❖ Complete description of the goods
- ❖ Gross and net weights in metric
- ❖ INCO Terms: FCA, FOB or DDU
- ❖ U.S. Harmonized Tariff Code (as previously confirmed by Kellogg's U.S. Foreign Trade Department)

### 4.3.2 **MODE SPECIFIC DETAIL**

- ❖ **AIR** For air transportation, the Air Waybill must include:
  - Master Air Waybill number and if applicable, House Air Waybill #
  - Origin airport
  - Destination airport
- ❖ **OCEAN** For ocean transportation, the *foreign supplier must*:
  - Follow U.S. Customs 24-Hour Manifest and Importer Security Filing (ISF) rules and regulations.
  - Request EXPRESS Bills of Lading
  - Book one container per Bill of Lading (no multiple containers per BOL is permitted)

For ocean transportation, the Bill of Lading must include:

  - Master Bill of Lading number and if applicable, House Bill of Lading #
  - Acronym LCL or FCL
  - Container number
  - Seal number (for FCL shipments only)
  - Foreign port of departure
  - Port of discharge/unloading
  - Destination port
- ❖ **TRUCK /RAIL** For OTR or Intermodal transportation, the Bill of Lading must include:
  - Ground Bill of Lading number
  - Seal number (for FTL shipments only)
  - Destination port



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### 4.4.0 CERTIFICATE OF ORIGIN

The foreign supplier must supply a Certificate of Origin in English with the country of manufacture noted. If the country of origin is Mexico or Canada, a NAFTA Certificate of Origin is required.

The foreign supplier shall inform Kellogg Company on a timely and continuous basis of any changes to an item's information including its country of origin.

## 5. DOCUMENTATION DISTRIBUTION

All shipping documents must accompany the shipment. Copies of Express Bills of Lading and commercial documents should be sent via e-mail to Kellogg's Customs Broker.

- 5.1.0 AIR FREIGHT** ❖ Required documents include Express Airway Bill, Commercial Invoice, Packing List and Certificate of Origin.

*\*For AIRFREIGHT, the supplier is required to provide copies of all shipping documents 2 business days prior to the departure date.*

- 5.1.1 OCEAN FREIGHT** ❖ Required documents include Express Ocean Bill of Lading, Commercial Invoice, Packing List, Certificate of Origin and the ISF Filing Document. Note: Fumigation Certificates are also required for all palletized shipments originating or shipping from China.

*\*For OCEAN FREIGHT, the supplier is required to provide copies of all shipping documents 4 business days prior to vessel loading date.*

- 5.1.2 OTR / INTER-MODAL** ❖ Required documents include Straight Bill of Lading, Commercial Invoice, Packing List and Certificate of Origin.

*\*For OVER THE ROAD, INTERMODAL, the supplier is required to provide copies of all shipping documents 2 hours prior to shipping.*

- 5.1.3 COURIER** ❖ Required documents include copy of Air Waybill, Commercial Invoice, Packing List and Certificate of Origin.

*\*For COURIER, the supplier is required to provide copies of all shipping documents the same date of export.*

NOTE: Kellogg's preferred carrier is **DHL**



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NOTE: All transportation documents must include a “Notify Party”, which would be Kellogg’s Customs Broker.

NOTE: Other required documents (when applicable):

- ❖ Certificate of Free Trade Agreement – NAFTA, CAFTA, etc.
- ❖ FDA Prior Notice
- ❖ ISF Data Sheet
- ❖ Textile Declaration
- ❖ Radio Frequency Declaration

### **6. FREE TRADE AGREEMENT CERTIFICATIONS**

All suppliers who ship products to the United States, which are consigned to Kellogg Company and qualify as “originating” from a country with a free trade agreement with the U.S., must provide a valid certificate of free trade for each item shipped. Documentation supporting the free trade agreement must be maintained by the supplier for 5 years from the date of the shipment.

### **7. FDA PRIOR NOTICE AUTHORIZATION REQUIREMENT**

The U.S. Food and Drug Administration requires pre-alerts for all shipments bound for the United States that contain any item that can be consumed or applied to the body such as food, ingredients, perfume, cosmetics, tattoos, etc. **This includes SAMPLES of these types of products.**

#### ***7.1.0 FDA PRIOR NOTICE***

- ❖ Any package containing an item as referenced above must have an FDA Prior Notice completed. The foreign manufacturer must be FDA registered and have an FDA registration number on file with FDA’s permission to import.

If the foreign supplier is not the manufacturer, the manufacturer’s FDA registration number must be obtained in order to request FDA Prior Notice from the US Customs broker and ship to the United States.

An exception to this requirement for FDA Prior Notice is for low quantity food samples (valued under \$200 USD) that are being sent to the United States via courier service (i.e. DHL) from Kellogg’s global related party locations for research and analysis purposes only and not for resale or human or animal consumption. These types of shipments must be verified by both the US requestor and the foreign related party shipper by completing the **Purpose Statement**.

If the purpose is truly only for research and analysis purposes and not for human or animal consumption or resale and valued under \$200 USD, the foreign related party shipper must also provide the following statement on both the product packaging and shipment packaging (in permanent ink) and on all customs documentation for compliance purposes: ***Contains food samples***



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*intended solely for quality assurance, research or analysis purposes. Not for human or animal consumption and not for resale.* In this instance, no FDA Prior Notice Number is required and Kellogg's U.S. Foreign Trade Team will not require detailed product information to classify the HTSUS or the FDA Product Code. However, they will require a review of the Customs Invoice and the Purpose Statement to verify the shipment falls within this exception to FDA Prior Notice and U.S. Customs entry filing.

- ❖ FDA Prior Notice filing requirements differ based on mode of transportation. All modes of transportation require the Prior Notice to be requested no sooner than 5 days prior to a product's arrival in the US, and no later than the following as the FDA Prior Notice Number is valid for only 10 calendar days:
  - *Motor Carrier* – 2 hours prior to arrival at the US border
  - *Rail* – 4 hours prior to arrival at the US border
  - *Air* – prior to shipping
  - *Ocean* – 5 days from arriving at US port of unloading
  - *Courier* - prior to shipping

### 7.1.1 INFORMATION REQUIRED FOR PRIOR NOTICE FILING

To be provided to Kellogg's Customs Broker:

- ❖ Shipper's Name, address, telephone, fax, e-mail address and FDA registration #
- ❖ Manufacturer's name, address, manufacturer's ID # and FDA registration #
- ❖ Consignee's name, address and FDA registration #
- ❖ Country of Origin (country of manufacture)
- ❖ Complete description and quantities (include unit of measure) of each item on the shipment
- ❖ Carrier name, mode of transportation, and tracking number
- ❖ Expected ship date
- ❖ Kellogg's confirmed HTSUS and FDA Product Code classification

### 7.1.2 FDA PRIOR NOTICE NUMBER

The assigned Customs Broker will then provide the requestor with an FDA Prior Notice Authorization (PNA) number that confirms it was submitted and accepted by the FDA *but only after the supplier has provided the broker with Kellogg's confirmation of the HTSUS classification code and FDA Product Code in addition to the manufacturer's FDA registration number.*

NOTE: Shipper must ensure this FDA PNA number is included on the shipping documentation. *If the shipment contains food for research and analysis purposes and is not for resale or for human or animal consumption, the following wording should be included instead of the FDA PN number: "R&D purposes only no PN required".*



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NOTE: Any US import shipments containing food, ingredients or items applied to the body (including cosmetics, tattoos, etc.) that arrives in the United States without the FDA Prior Notice Authorization, will be refused and returned to the supplier or be destroyed at the supplier's expense **unless it is confirmed for research and analysis purposes, and not for sale or human or animal consumption.**

### ***8. IMPORTER SECURITY FILING (ISF) REQUIREMENT***

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All foreign suppliers are required to complete the Importer Security Filing, also known as 10+2, data sheet for ALL ocean shipments shipped to the United States.

NOTE: A copy of the ISF Request will be provided with Kellogg's Routing Instructions.

#### ***8.1.0 DATA POINTS 1 – 8***

Suppliers must submit the ISF 10+2 Data Sheet a minimum **2 days prior to vessel LOADING**. This is to assure Customs Border Protection (CBP) that the ISF is completed, submitted and approved by CBP on time, as required by U.S. Import Regulations.

Points 1 thru 8– Must be relayed to Kellogg's US Customs Broker:

1. Seller Name and Address
2. Buyer Name and Address
3. Importer of Record Number / FTZ Applicant ID#
4. Consignee Number
5. Manufacturer or Supplier Name and Address
6. Ship to Party
7. Country of Origin
8. Commodity HTS Number

#### ***8.1.1 DATA POINTS 9 - 10***

Must be relayed to U.S. Customs and Border Protection ASAP but **no later than 24 hours prior to vessel arrival**:

9. Container Stuffing Location
10. Consolidator / Stuffer – Name and Address

Non-compliance will result in penalties of up to \$5,000 USD per violation, which will be charged back to the supplier.





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### ***9. TEXTILE DECLARATION***

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A Textile Declaration must be completed and sent with all textile shipments (badges, totes, etc). This is a required document for U.S. Customs and Border Protection clearance in addition to confirming the manufacturer's identification code ("MID"). The MID is based upon the name and address of the manufacturer performing the operation that confers origin on the textile (i.e. where the last substantial transformation of the product occurred).

### ***10. RADIO FREQUENCY DECLARATION***

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A Federal Communications Commission Form 740 must be completed and sent with the shipment for all electronic devices (monitors, cameras, computers, phones, recording devices, etc).

### ***11. LICENSES / TRADE MARK AGREEMENTS***

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Kellogg Company adheres to all laws and regulations for articles bound by license and trade mark agreements. The Foreign Supplier must confirm if there are any license or royalty fees and include this value on the Commercial/Customs Invoice in addition to providing a copy of the Agreement for U.S. Customs clearance. If the fees are payable indirectly via a 3rd Party (non-Kellogg) company, then the Foreign Supplier must provide a statement with the value and include a copy of the agreement for U.S. Customs clearance. If there is not a license fee or royalty associated with the shipment, the Foreign Supplier must provide a statement on the Commercial/Customs Invoice confirming this.

### ***12. EXPORT PACKAGING REQUIREMENTS***

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Packaging and Labeling Requirements specific to importing into the United States include:

- ❖ All wooden packaging materials must be ISPM15 compliant. Shipments packaged in wood material and originating from China must have a Certificate of Fumigation. Failure to comply with this requirement will result in the return of the goods back to its origin along with fines and/or penalties.
- ❖ The supplier's foreign supplier shall provide products in packaging suitable for export to the designated carrier or freight forwarder.
- ❖ The supplier or his agent is required to properly block and brace all shipments to secure the load from moving within the container for the entire shipment, door to door, per International Maritime Standards regardless of shipment size. Failure to do so may result in damage claims.
- ❖ U.S. Customs and Border Protection requires all containers transiting via ocean vessel are sealed using ISO/PAS 17712 Standard seals or bolts. For more information about these requirements, please visit the U.S. Government's Customs and Border Protection website at: [www.customs.gov](http://www.customs.gov)



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### 13. COUNTRY OF ORIGIN MARKING REQUIREMENTS

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#### 13.1.0 GENERAL LABEL REQUIREMENTS

- ❖ Legible, i.e. not hard to read
- ❖ Indelible, i.e. must not fade or smear
- ❖ Permanent as nature of article permits, i.e. will not fall off unless deliberately removed
- ❖ Conspicuous, i.e. easy to find – not hidden by any additional labeling.
- ❖ In English
- ❖ Font size be the same or larger than the rest of the label verbiage
- ❖ Must indicate the complete name and address of the “ultimate purchaser” that is, generally the last party in the United States who will receive the product in the form in which it was imported.

#### 13.2.0 COUNTRY OF ORIGIN COMPLIANCE PROCEDURE

- ❖ All articles produced, procured or repaired by or for Kellogg Company, including “no charge” items provided or returned to Kellogg Company, must be marked with the correct country of origin - *The country where the goods were originally produced or manufactured.* This includes: finished products, sub-assemblies, parts, media recorded with software programs, manuals, accessories, samples and supply items.
- ❖ Outer packaging must be marked with the Country of Origin of their contents.
- ❖ Articles manufactured outside the U.S. shall be marked: Made in XXX (where XXX is the full English name of the country of origin).
- ❖ Articles manufactured in the U.S. shall be marked as such under the Federal Trade Commission (FTC) requirements:
  - Assembled Articles – marked i.e. “Assembled in the US of US and Non-US components”.
  - Non-assembled Articles – marked i.e. “Produced in the US of US and Non-US components”.

*Please note that under current law, “Made in U.S.A.” or similar markings may only be used for products that are all of U.S. origin, i.e. made from virtually 100% USA-origin materials and labor. The standards for “Made in U.S.A.” markings are significantly more stringent than those for foreign country of origin marking and are regulated by the Federal Trade Commission (FTC).*

#### 13.3.0 COVERING OR REMOVAL OF COUNTRY OF ORIGIN MARKING

The country of origin marking should **never** be removed or defaced, nor may it be covered, obscured or concealed by other labels, such as freight forwarding or shipping labels or instructions, on the article or on the package or container.



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\*Non compliance to these U.S. Customs and Border Protection regulations could result in the seizure of the shipment and/or civil penalties of up to \$50,000 per occurrence and/or criminal penalties\*

### ***14. ANTI-DUMPING / COUNTERVAILING DUTIES***

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Some imported products into the United States carry duties assessed in addition to the standard tariff rate of duty, called “Anti-Dumping Duties” or “Countervailing Duties”. Thus, it is imperative that a full detailed description of each item is provided on the Commercial Invoice in addition to noting the name and address of the manufacturer!

Kellogg is known to import honey and roller/spherical bearings. Prior to shipping either of these items, contact Kellogg’s U.S. Foreign Trade Team for complete routing instructions for adherence to U.S. Customs regulations.

**NOTE: All articles subject to anti-dumping or countervailing duties are NOT to be shipped to Kellogg Company via courier service. In addition, these articles should be invoiced on separate invoices and ship on separate house bills of lading if they are ordered together with other items.**

### ***15. ASSISTS***

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U.S. Customs requires any assists to be reported at the time of import filing and can be added to one shipment or a number of shipments for a specific period of time. The foreign supplier must first identify any item that was provided either free of charge or below market value for use in the production of product for the Kellogg Company and then notify the U.S. Foreign Trade Team prior to issuing the commercial invoice. Assists include machines and their parts, inserters, test equipment, premiums, coupons, samples, etc.

### ***16. INTERNATIONAL AIR/COURIER SHIPMENTS***

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- ❖ Where the Kellogg Company is the Importer of Record, the U.S. Customs Broker for Air and Courier Shipments for all Kellogg products, will be Russell A. Farrow (U.S.) Inc
  - For all shipments *150 lbs or under*, **DHL** *must* be the selected carrier.
  - For all air shipments *151 lbs or more*, **Expeditors** *must* be the selected carrier.
- ❖ For all Kellogg routed courier shipments, use Kellogg’s Courier Account Number (to be provided with the routing instructions). When completing the online bill of lading, provide Kellogg’s Purchase Order Number (450#) for reference field #1 and Kellogg’s Cost Center Number for reference field #2.
- ❖ Please note that all articles subject to anti-dumping or countervailing duties are NOT to be shipped to the Kellogg Company via courier service! This includes honey and ball bearings.



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### 17. REVISIONS

Revision Number	Revision Detail	Date	Initial
3	Purpose, General Requirements, Section 7 FDA Prior Notice, Appendix Request for Information Form Food/Ingredients	2/1/2013	PS
4	Section 7 FDA Prior Notice, Appendix Request for Information Form Food/Ingredients	2/8/13	PS
5	Section 7 FDA Prior Notice, Appendix Request for Information Form Food/Ingredients and Appendix	3/22/13	PS
6	Section 7 FDA Prior Notice, Appendix Request for Information Form Food/Ingredients and Appendix	4/22/13	PS

### APPENDIX

#### 1 KELLOGG APPROVED CARRIER INFORMATION

Courier Carrier	<b>DHL</b>	cs.kelloggscorporation@dhl.com 1-866-797-8600
Air Carrier	<b>Expeditors</b>	www.expeditors.com 206-674-3400

#### 2 KELLOGG APPROVED BROKER CONTACT INFORMATION

U.S. Customs Broker - Air, Courier and Ocean Shipments	<b>Russell A. Farrow (U.S.) Inc</b> <a href="mailto:Kellogg.Air.Notice@farrow.com">Kellogg.Air.Notice@farrow.com</a>	4950 W. Dickman Road Battle Creek, MI 49037 PH: 269-966-4549 FAX: 269-966-4546
	• Rahjah Stahlhood      Rahjah.Stahlhood@farrow.com	
	• Laura Dowdle          Laura.Dowdle@farrow.com	
U.S. Customs Broker - Canadian Border	<b>Russell A. Farrow (U.S.) Inc</b> <a href="mailto:Kellogg.Notice@farrow.com">Kellogg.Notice@farrow.com</a>	28825 Goddard Road Romulus, MI 48174 Phone : (734) 955-7799 Fax: (734) 955-6486
Day Shift ext. 243	• Renee Griffiths      Renee.Griffiths@farrow.com	
Day Shift ext. 242	• Debbie Durecka      Debbie.Durecka@farrow.com	



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Afternoon ext. 235	• Vincent Williams	Vincent.Williams@farrow.com	
Overnight ext. 231	• Jocelyn White	Jocelyn.White@farrow.com	
U.S. Customs Broker - Mexican Imports - Laredo	<b>Montemayor</b>		602 Nafta Blvd. Laredo, Texas 78045 PH: 956-727-8922 FAX: 956-725-3796
	• Elizabeth Hernandez	liz@dmm-inc.com	
	• Socorro Herrera	Socorro@dmm-inc.com	
U.S. Customs Broker - Mexican Imports - Mexicali	<b>RL Jones</b>		1778 Cimetta Rd Ste A Calexico, CA 92231 PH: 760-357-3177 FAX: 760-357-7028
	• Gloria Padilla	gpadilla@rljones.com	
	• Eduardo Molina	shippers@rljones.com	

### 3 **KELLOGG CONTACT INFORMATION**

<b>Kellogg U.S. Foreign Trade Team</b>			
<b><a href="mailto:USForeignTrade@kellogg.com">USForeignTrade@kellogg.com</a></b>			
67 W. Michigan Ave. Battle Creek, MI 49016 Fax: 269-961-3483			
<b>Sue Vargas</b>	Sr. Supply Chain Analyst – Imports	sue.vargas@kellogg.com	PH: 269-961-2345
<b>Laura Winsborrow</b>	Sr. Supply Chain Analyst – Exports & Back-up for Sue Vargas for Imports	laura.winsborrow@kellogg.com	PH: 269-961-6514
<b>Leah Peterson</b>	Sr. Supply Chain Analyst – Premium Imports	leah.peterson@kellogg.com	PH: 269-961-9244
<b>Aline Harvel</b>	Manager Int'l Supply Chain Operations	aline.harvel@kellogg.com	PH: 269-961-2673
<b>Pamala Sturhan</b>	U.S. Foreign Trade Compliance Manager	pamala.sturhan@kellogg.com	PH: 269-961-9264
<b>April Campbell</b>	U.S. Foreign Trade Compliance Auditor	april.campbell@kellogg.com	PH: 269-961-6268



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### 4 FOREIGN SUPPLIER CHECKLIST

#### 4.1.0 REQUIRED ON EVERY SHIPMENT

- † Provide detailed product information for HTS Classification **prior to shipping** via the Request for Information Forms.
- † Have Kellogg Routing Instructions on file – either in blanket form for routine shipments or on a per shipment basis
- † Provide Pre-Alert/Shipping Advice –to the appropriate Kellogg Customs Broker per Foreign Supplier Standard Operating Procedure
- † Provide complete and detailed Commercial or Customs Invoice (No Pro-forma Invoices are accepted) per Kellogg's Foreign Supplier Standard Operating Procedure
- † Provide complete and detailed Packing List per Kellogg's Foreign Supplier Standard Operating Procedure
- † Provide complete and detailed Bill of Lading or Air Waybill per Kellogg's Foreign Supplier Standard Operating Procedure
- † Provide proper Country of Origin Marking per Kellogg's Foreign Supplier Standard Operating Procedure
- † Provide proper export packaging for international transportation

#### 4.2.0 REQUIRED WHEN APPLICABLE

- † Provide detailed product information with regards to packaging to FDA Product Code classification **prior to shipping** via the Request for Information Forms.  
Prior Notice for all FDA related products (i.e. food, ingredients, perfume, cosmetics, tattoos, etc.)
- † Have Kellogg Routing Instructions on file – either in blanket form for routine shipments or on a per shipment basis
- † Note on the Commercial/Customs Invoice if the shipment is a sample – confirm if it is free of charge and what its purpose is (i.e. testing, warranty part, etc.)
- † Provide the U.S. Goods Returned Statement on the Commercial Invoice and complete the Declaration Form for the Importation of Goods with U.S. Country of Origin for U.S. Goods Returned shipments
- † Complete the Declaration Form for Goods with Repairs / Alterations from Abroad
- † Provide a valid NAFTA or CAFTA Certificate of Origin
- † Provide a Textile Certificate for all textile shipments
- † Provide a Frequency Declaration for all electronic device shipments
- † Provide a Fumigation Certificate for all palletized shipments originating from China
- † Confirm Royalty or License Fee for all Trademark related products – If no extra charge, provide a statement on the Commercial Invoice confirming this fact
- † Contact Kellogg's U.S. Foreign Trade Department prior to shipping any honey or ball bearings
- † Contact Kellogg's U.S. Foreign Trade Department prior to shipping anything via Courier service – (UPS is the preferred carrier)



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**5 ISF DATA SHEET**

Attention: \_\_\_\_\_

Fax: \_\_\_\_\_

From: \_\_\_\_\_

Date: \_\_\_\_\_

**Re: Importer Security Filing request ISF 10+2**

**1. Seller.** Name and address of the last known entity by whom the goods are sold or agreed to be sold. If the goods are to be imported otherwise than in pursuance of a purchase, the name and address of the owner of the goods must be provided. A widely recognized commercially accepted identification number (such as the Dun and Bradstreet Data Universal Numbering System (DUNS number) may be provided in lieu of the name and address.

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**2. Buyer.** Name and address of the last known entity to whom the goods are sold or agreed to be sold. If the goods are to be imported otherwise than in pursuance of a purchase, the name and address of the owner of the goods must be provided. A widely recognized commercially accepted identification number (such as the DUNS number) for this party may be provided in lieu of the name and address.

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**3. Importer of record number/FTZ applicant identification number.** Internal Revenue Service (IRS) number. Employer Identification Number (EIN), Social Security Number (SSN), or CBP assigned number of the entity liable for payment of all duties and responsible for meeting all statutory and regulatory requirements incurred as a result of importation. For goods intended to be delivered to a foreign trade zone, the IRS number, EIN, SSN, or CBP assigned number of the party filing the FTZ documentation with CBP must be provided.

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**4. Consignee number(s).** IRS number, EIN, or CBP assigned number of the individual(s) or firm(s) in the U.S. On whose account the merchandise is shipped.

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**5. Manufacturer (or supplier).** Name and address of the entity that last manufactures, assembles, produces, or grows the commodity or name and address of the party supplying the finished goods in the country from which the goods are leaving. In the alternative the name and address of the manufacturer (or supplier) that is currently required by the import laws, rules and regulations of the U.S. (i.e., entry procedures) may be provided (this is the information that is used to create the existing manufacturer identification (MID) number for entry purposes). A widely recognized commercially accepted identification number (such as the DUNS number) for this party may be provided in lieu of the name and address. CBP states that it will not accept the current MID as an alternative to the complete name and address of the manufacturer.

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**6. Ship to party.** Name and address of the first deliver-to party scheduled to physically receive the goods after the goods have been released from customs custody. A widely recognized commercially accepted identification number for this party (such as the DUNS number or Facilities Information and Resources Management System (FIRMS) code, when applicable) may be provided in lieu of the name and address.

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**7. Country of origin.** Country of manufacture, production, or growth of the article, based upon the import laws, rules and regulations of the U.S. \_\_\_\_\_

**8. Commodity HTS number.** Duty/statistical reporting number under which the article is classified in the HTS. The HTS number must be provided to the six-digit level, but may be provided up to the 10-digit level. This data element can only be used for entry purposes if it is provided at the 10-digit level or greater by the importer of record or its licensed customs broker.

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**9. Container stuffing location.** Name and address(es) where the goods were stuffed into the container. For break bulk shipments, as defined in 19 CFR 149.1, the name and address(es) of the physical location(s) where the goods were made "ship ready" must be provided. A widely recognized commercially accepted identification number (such as the DUNS number) for this element may be provided in lieu of the name and address.



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**10. Consolidator (stuffer).** Name and address of the party who stuffed the container or arranged for the stuffing of the container. For break bulk shipments, as defined in 19CFR 149.1, the name and address of the party who made the goods “ship ready” or the party who arranged for the goods to be made “ship ready” must be provided. A widely recognized commercially accepted identification number (such as the DUNS number) for this party may be provided in lieu of the name and address.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
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**Items 1 through 4 are required to be transmitted no later than 24 hours prior to vessel departure.**

**Items 5 through 8 are required to be transmitted no later than 24 hours prior to vessel departure, but can be modified up to 24 hours prior to vessel arrival at a U.S. Port.**

**Items 9 and 10 are required to be transmitted no later than 24 hours prior to vessel arrival at a U.S. Port.**



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### 6 *REQUIRED INFORMATION FOR IMPORTING –FINISHED FOODS/INGREDIENTS FORM*

Please complete this form for any shipments containing food or ingredients, with destination or origin of U.S., for proper HTSUS and FDA Product code (imports) or Schedule B (exports) classification (each food item or ingredient being shipped)

<b>Kellogg PO# or other reference #:</b>	
<b>International Commercial Terms:</b>	
<b>Product's Common Name:</b>	
<b>Product's Complete Description, Use and Weight:</b>	
<b>Specify if Finished Food or Ingredient:</b>	
<b>Finished Food's Country of Origin:</b> not necessarily the country of export	
<b>Finished Food's Production Process:</b>	
<b>Manufacturer's Name, Address:</b>	
<b>Manufacturer's Contact Information:</b>	
<b>Manufacturer's FDA Registration Number:</b> (Finished Food)	
<b>Consignee's Name, Address:</b>	
<b>Consignee's Contact Information:</b>	
<b>Shipment Detail:</b> (i.e. cartons, pallets, boxes, etc. with quantities)	
<b>Food Related Process Indication Code</b> (reference <b>blue</b> tab) - imports only	
<b>Package Detail Code:</b> (reference <b>brown</b> tab - what material is in direct contact with the food) - imports only	

<b>Ingredient Listing Name</b>	<b>Percentage</b> (must equal 100%)	<b>Product Consistency</b> (i.e. frozen, liquid, powder, etc.)	<b>Natural /Artificial</b>	<b>Actual Country of Origin of Ingredient</b>  (Not necessarily where it is purchased from)	<b>Quantity and Unit of Measure</b>	<b>Manufacturer's Contact Information</b>  (If different than above)	<b>Manufacturer's FDA Registration number</b>  (If different than above)	<b>Foreign Supplier's Schedule B Number</b>  (if known)



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**7 REQUEST FOR INFORMATION FORM FOOD & INGREDIENTS – EXTENDED LIST OF QUESTIONS**

**NOTE:** Ingredients lists need to be with percentages

- 1 Finished food containing chocolate, need to confirm the percentage of cocoa on a defatted basis of all ingredients including any coatings or fillings.**

Also, please specify the type of chocolate coating (if applicable)

- a. enrobed (covered in chocolate)
- b. drizzled with chocolate
- c. has bed of chocolate (bottom only is covered)

- 2** Ingredients of **chocolate**, specify percentage by weight of the following:

- a. milk solids
- b. butterfat
- c. cocoa
- d. sugar

Specify the size and form of the chocolate (i.e. block, slab, bar, chip, liquid, paste, powder, granular or other).

Specify all the other ingredients with their percentages, if applicable.

Specify if packaged for retail sale

Specify the price per kilogram

- 3 Finished food or ingredients containing sugar - need to specify:**

- a. the origin of the sugar (i.e. cane, beet, etc.)

- 4 Sugar as an ingredient - need to specify:**

- a. the origin of the sugar (i.e. cane, beet, etc.)
- b. the sugar's polarity
- c. the price per kilogram
- d. any other ingredient including coloring or flavoring matter with percentages

- 5 Glucose - need to specify percentage of fructose or sucrose**

- 6 Honey - need to specify:**

- a. natural or artificial or combination
- b. color of the honey (i.e. white or lighter, extra light amber, light amber, amber or darker)
- c. confirm if packaged for retail sale or not

- 7 Flour, meal, etc. - need to specify:**

- a. flour origin - (i.e. wheat, corn, barley, rice, etc.)
- b. the growing season - (i.e. winter, spring, etc.)
- c. how coarse the grains are - can the grains be sifted thru a sieve easily (i.e. fine powder/grain)?

**Example:** Wheat or Muslin Flour - options are: Hard Spring, Durum Wheat, White Winter or Other



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- 8 **Cereal grains** including finished food **RTEC** - need to specify:
- a. grains are roasted/toasted or a combination of non-roasted/toasted and roasted/toasted
  - b. if the RTEC contains sugar or other sweetening matter. If yes, what is the source of the sugar (i.e. cane, beet, etc.)

- 9 **Rice** - need to specify:
- a. the manufacturing process (i.e. parboiled, semi-milled, etc.)
  - b. polished or non-polished
  - c. grain type (i.e. jasmine, certified organic, broken, etc.)
  - d. grain size (i.e. short, medium or long)

- 10 **Cereal bars** - specify how the bar is prepared (not necessarily how the ingredients are prepared):
- a. cold formed or baked

**Example:** Difference between 1904.10 and 1904.20 is if the cereal is prepared from roasted or unroasted cereal flakes or from mixtures of unroasted cereal flakes and roasted cereal flakes or swelled cereals. Another indicator is if the cereal bar has high sugar content or any coatings, compounds, which may make it more like a confectionary 1704 classification.

- 11 **Biscuits, cookies, crackers, Pop Tarts, sandwiches, pastries**, etc. - need to specify the following ingredients with their exact percentages (excluding all coverings or fillings):
- a. flour content (all grain in flour form)
  - b. sugar and other sweetening matter content (added sugar)
  - c. fat content
  - d. water content

To qualify as a Sweet Biscuit, the item must have at least a combined percentage of 50% by weight or more of (flour, fat and sugar or other sweetening matter)

It must have no more than 35% by weight of fat and no more than 12% by weight of water

NOTE: these ingredients (fat, flour, water and sugar) are for the biscuit portion of the food item and all percentages for fillings or coatings/compounds should NOT be included in the calculation

- 12 **Dried fruit** - need to specify:
- a. if fruit contains any other ingredient (i.e. sugar, juice, etc.) with the percentages
  - b. if contains other ingredient, specify if infused or covered or soaked
- 13 **Fruit or vegetables** - need to specify:
- a. if wild or cultivated (especially for blueberries)
  - b. the time of harvest (i.e. June/July, etc.)



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**8 RESEARCH AND DEVELOPMENT PURPOSE STATEMENT FOR KELLOGG'S US IMPORT OF FOOD  
SAMPLES**

**INTENDED FOR CONSUMPTION OR RESALE**

*Description of food article :*

*Kellogg U.S. Requestor/Receiver Statement:*

*Date:*

*Purpose of US import is for R&D Testing Purposes and is Intended for Human or Animal Consumption or Resale*

*I declare that the information given is true and correct to the best of my knowledge:*

*That the articles described above are being requested for import into the United States for Kellogg  
Company's R&D Testing purpose, which may result in potential human or animal consumption or for  
resale.*

*Name:*

*Title:*

*Kellogg Company U.S.*

*Location:*

*Signature: \_\_\_\_\_*

*Note: Requestor's signature must be handwritten - no electronic signatures permitted as  
being authentic*

*Kellogg Foreign Location Shipper Statement*

*Date:*

*Name of manufacturer:*

*Address of manufacturer:*

*Manufacturer's FDA #:*

*I declare that to the best of my knowledge, this shipment is being sent to the United States for Kellogg Company's import as identified above  
by the US requestor. In addition, I have prepared all documentation appropriately to comply with US FDA and US Customs regulations,  
ensuring the manufacturer of the goods is registered with the FDA and their FDA registration number has been provided above. I also  
confirm I will request FDA Prior Notice via Kellogg's approved U.S. Customs broker prior to shipping, aware the number is only valid for 10  
calendar days.*



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**Research and Development Purpose Statement for Kellogg's US Import of Food Samples**

**NOT INTENDED FOR CONSUMPTION OR RESALE**

**Description of food article :**

**Kellogg U.S. Requestor/Receiver Statement:**

**Date:**

Purpose of US import is for R&D Analytical Purposes and **NOT Intended** for Human or Animal Consumption or Resale

I declare that the information given is true and correct to the best of my knowledge:

*That the articles described above are being requested for import into the United States for Kellogg Company's R&D Analytical purposes only and are not intended for any human or animal consumption or resale.*

**Name:**

**Title:**

**Kellogg Company U.S. Location:**

**Signature:** \_\_\_\_\_

Note: Requestor's signature must be handwritten - no electronic signatures permitted as being authentic

**Kellogg Foreign Location Shipper Statement:**

**Date:**

**Name of manufacturer:**

**Address of manufacturer:**

**Commercial Value:**

*I declare that to the best of my knowledge, this shipment is being sent to the United States for Kellogg Company's import as identified above. In addition, I have ensured the required statement is hand written with permanent ink on both the product packaging and outer shipping container also included on the commercial and shipping documentation and the term No Prior Notice Required is referenced on the DHL Air Waybill. The commercial value is NOT more than \$200 USD.*





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### 9 HONEY COMPLIANCE DOCUMENT

*This Form is for completion of any shipment containing honey, which may be subject to Anti-dumping and/or Countervailing duties*

Kellogg Purchase Order #:	
Manufacturer's Name:	
Manufacturer's Address:	
Manufacturer's Contact Information:	
Manufacturer's FDA Registration Number:	
If blended honey, please confirm percent of total:	

Complete the following if the honey is blended together with honey from another source:

Kellogg Purchase Order #:	
Manufacturer's Name:	
Manufacturer's Address:	
Manufacturer's Contact Information:	
Manufacturer's FDA Registration Number:	
If blended honey, please confirm percent of total:	

Supplier's Name:	
Supplier's Address:	
Supplier's Contact Information:	
Supplier's FDA Registration Number:	

Source Name:

Source Company:

Date:



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### 10 REQUIRED INFORMATION FOR IMPORTING –MACHINES FORM

<b>Kellogg PO# or other reference #:</b>	
<b>International Commercial Terms:</b>	
<b>Manufacturer's Name, Address:</b>	
<b>Country of Origin - where produced/manufactured</b>	
<b>Shipper's Name, Address (if different than manufacturer):</b>	
<b>Shipper's Contact Information:</b>	
<b>Country of Export</b>	
<b>Consignee's Name, Address:</b>	
<b>Consignee's Contact Information:</b>	
<b>Mode of Transportation</b>	
<b>Carrier</b>	
<b>Packaging Detail (#, weight and dims)</b>	
<b>Total Shipment Weight</b>	
<b>Machine's Common Name:</b>	
<b>Machine's Part and/or Serial Number</b>	
<b>Machine's function:</b> (i.e. extruding, packaging, oven/cooking, other - need to specify)	
<b>Kellogg's Application:</b> (if known, what is being produced, baked, packaged)	
<b>Power Source:</b>	
<b>If electric source, specify AC/DC:</b>	
<b>Specify Output:</b> (i.e. watts, KW or Horsepower)	
<b>Is the machine complete?</b> No, please complete the Request for Information Form for Spare Parts and list each individual part for proper HTSUS classification	
<b>Are there any additional spare parts in this shipment?</b> Yes, please complete the Request for Information Form for Spare Parts for each additional spare part for proper HTSUS classification	



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### 11 REQUIRED INFORMATION FOR IMPORTING –SPARE PARTS FORM

Kellogg PO# or other reference #:	
International Commercial Terms:	
Shipper's Name, Address:	
Shipper's Contact Information:	
Country of Export	
Consignee's Name, Address:	
Consignee's Contact Information:	
Mode of Transportation	
Carrier	
Packaging Detail (#, weight and dims)	
Total Shipment Weight	
If the Spare Parts were to be assembled, would they make a complete piece of machinery or equipment? If yes, please complete the Request for Information Form for Machinery as well	

Part's Common Name	Supplier Part #	Kellogg Part # (if applicable)	Confirm if Part is custom made for the application - Answer <i>Custom Made</i> or <i>Universal</i>	What is the Part's Function?	Can the part function on its own? Y/N	What is the Part's Material Composition?	Application - What is the Machine's Name?	What is the Machine's Function (section of the machine where part is being applied)	What Kellogg product is the machine being used for?	Manufacturer's Name	Manufacturer's Location (city and country)	Export Schedule B Classification #

Additional Information from **Purple** Tab



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### *12 REQUEST FOR INFORMATION FORM SPARE PARTS – EXTENDED LIST OF QUESTIONS*

#### General Information Required for all Parts

Need to specify the following:

- a. Material composition
- b. Function / Use

- 1 **Articles of Plastic** - specify the following:
  - a. specify type of plastic (i.e. polymers or ethylene, polymers of propylene, etc.)
  - b. material composition with percentages
  - c. size, shape
  - d. function/use
- 2 **Articles of Rubber** - specify the following:
  - a. specify type of rubber (i.e. natural, synthetic, etc.)
  - b. material composition with percentages - if synthetic, specify percentage of dry polymers or other reinforced composition
  - c. size, shape
  - d. function/use
- 3 **Articles of Steel** - specify the following:
  - a. specify type of steel (i.e. stainless, galvanized, etc.)
  - b. size, shape
  - c. thickness
  - d. function/use
- 4 **Articles of Aluminum or Other Metals** - specify the following:
  - a. specify type of metal (i.e. copper, aluminum, iron, zinc, etc.)
  - b. size, shape
  - c. thickness
  - d. function/use
- 5 **Screws** - specify the following:
  - a. threaded or self tapping
  - b. diameter (mm)
  - c. length (mm)
  - d. material composition
- 6 **Washers / Bolts** - specify the following:
  - a. threaded or non-threaded
  - b. diameter (mm)
  - c. length (mm)
  - d. material composition
- 7 **Transmission or conveyor belts** - specify the following:
  - a. material composition
  - b. application



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- 8 Springs / Leaves** - specify the following:
- a. Specify if helical, hairsprings, cross sectional
  - b. material composition
  - c. diameter (mm)
  - d. length (mm)
  - e. thickness (mm)
- 9 Lubricating preparations** - specify the following:
- a. use
  - b. material composition with percentages
- 10 Tubes, Pipes, Fittings** - specify the following:
- a. use
  - b. material composition
  - c. straight, elbow
- 11 Taps, Cocks, Valves** - specify the following:
- a. material composition
  - b. use (i.e. liquid, gas, air)
  - c. type:
    - pressure reducing;
    - eleohydraulic or pneumatic transmissions;
    - check (nonreturn) valves;
    - safety or relief valves
  - d. pressure rating
- 12 Pumps** - specify the following:
- a. material composition
  - b. use (i.e. liquid, gas, air)
  - c. type:
    - concrete;
    - hand;
    - fuel injection;
    - vacuum
  - d. hand or foot operated
- 13 Fans** - specify the following:
- a. type (i.e. table, floor, wall, window, ceiling or roof)
  - b. includes a self contained electric motor?
  - c. if contains motor, what is the motor's output?
- 14 Pulleys / Hoists** - specify the following:
- a. type
    - of elevators;
    - of conveyors



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- 15      Wheels, Gears and Gearing** - specify the following:
- a. material composition
  - b. toothed, not toothed - if toothed, how many teeth?
  - c. size, shape
  - d. thickness
  - e. function/use
- 16      Chain Sprockets** - specify the following:
- a. material composition
  - b. function/use
  - c. forged or other
- 17      Speed Changers** - specify the following:
- a. material composition
  - b. function/use
  - c. fixed ratio speed changer or other
- 18      Motors**- specify the following:
- a. output (i.e. AC/DC)
  - b. horsepower
  - c. wattage
  - d. application / use



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## 13 REQUIRED INFORMATION FOR IMPORTING –BEARINGS FORM

This Form is for completion of any shipment containing bearings, which may be subject to Anti-dumping duties

Kellogg Purchase Order #:	
Manufacturer's Name, Address and Contact Information:	

Please check all that apply:

☐ **BALL**

- |  |   |                                     |                                     |
|--|---|-------------------------------------|-------------------------------------|
| <input type="checkbox"/> Integral Shaft  | <b>outside diameter (mm)</b>                |                                     |                                     |
| <input type="checkbox"/> Thrust          |   |                                     |                                     |
| <input type="checkbox"/> Angular Contact | <input type="checkbox"/> wheel hub unit     | <input type="checkbox"/> flanged    |                                     |
| <input type="checkbox"/> Radial          | <input type="checkbox"/> full capacity type | <b>outside diameter (mm)</b>        |                                     |
|  | <input type="checkbox"/> single row         | <input type="checkbox"/> double row | <input type="checkbox"/> triple row |
| <input type="checkbox"/> Other (specify) |   |                                     |                                     |

☐ **ROLLER**

- |                                      |   |  |                                    |
|--------------------------------------|---|--|------------------------------------|
| <input type="checkbox"/> Spherical   |   |  |                                    |
| <input type="checkbox"/> Tapered     | <b>outside diameter of cup (mm)</b>     | <input type="checkbox"/> cups/cones combined | <input type="checkbox"/> cups only |
|                                      | <input type="checkbox"/> wheel hub unit | <input type="checkbox"/> flanged?            |                                    |
| <input type="checkbox"/> Needle      | <b>length (mm)</b>                      | <b>diameter of rolling unit (mm)</b>         |                                    |
| <input type="checkbox"/> Cylindrical | <b>length (mm)</b>                      | <b>diameter (mm)</b>                         |                                    |

☐ **COMBINATION Ball/Roller – Roller/Roller**

- |   |                    |                                      |
|---|--------------------|--------------------------------------|
| <input type="checkbox"/> Ball/Spherical roller            |                    |                                      |
| <input type="checkbox"/> Ball/Needle roller               | <b>length (mm)</b> | <b>diameter of rolling unit (mm)</b> |
| <input type="checkbox"/> Ball/Cylindrical roller          |                    |                                      |
| <input type="checkbox"/> Other (specify elements present) |                    |                                      |

☐ **HOUSED (indicate type of housing below)**

- |                                  |                                    |                                       |  |
|----------------------------------|------------------------------------|---------------------------------------|--|
| <input type="checkbox"/> Take up | <input type="checkbox"/> Cartridge | <input type="checkbox"/> Hanger units | <input type="checkbox"/> Other (specify) |
| Type of bearings                 |                                    |                                       |  |
| Roller Element dimensions:       |                                    | <b>length (mm)</b>                    | <b>diameter (mm)</b>                     |

☐ **PLAIN SHAFT**

- ☐ Housed ☐ Un-housed ☐ Spherical Bearings

☐ **BEARING PARTS** **Name of Part(s)**

Type: ☐ Ball ☐ Roller ☐ Ball/Roller-Roller/Roller ☐ Plain Shaft ☐ House

If balls, what is its intended use?

If needles, what are the dimensions or rolling element? **length (mm)** **diameter (mm)**

Are imported items completely finished? Y/N (if no, please provide specifics)

Source Name:

Source Company:

Date:





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### 14 REQUIRED INFORMATION FOR IMPORTING –MISCELLANEOUS ITEMS

Kellogg PO# or other reference #:	
International Commercial Terms:	
Shipper's Name, Address:	
Shipper's Contact Information:	
Country of Export	
Consignee's Name, Address:	
Consignee's Contact Information:	
Mode of Transportation	
Carrier	
Packaging Detail (#, weight and dims)	
Total Shipment Weight	

Item's Common Name	Supplier Part #	Kellogg Part # (if applicable)	Item's Material Compositi on	What is the Item's Function ?	Application - What is the Item's Applicatio n?	Is the Item a part of something else? If so, what?	Manufact urer's Name	Manufact er's Location (city and country)	Export Schedule B Classification #

Additional Information from **Orange Tab**



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### ***15 REQUEST FOR INFORMATION FORM MISCELLANEOUS ITEMS – EXTENDED LIST OF QUESTIONS***

#### **General Information Required for all Items**

Need to specify the following:

- a. Material composition
- b. Function / Use

**NOTE: SAMPLE or PICTURES ARE REQUIRED FOR ALL MISCELLANEOUS ITEMS FOR PROPER CLASSIFICATION**

*exception is for computers/laptops or computer software*

- 1 Articles of Plastic** - specify the following:
  - a. specify type of plastic (i.e. polymers or ethylene, polymers of propylene, etc.)
  - b. material composition with percentages
  - c. size, shape
  - d. function/use
- 2 Articles of Rubber** - specify the following:
  - a. specify type of rubber (i.e. natural, synthetic, etc.)
  - b. material composition with percentages - if synthetic, specify percentage of dry polymers or other reinforced composition
  - c. size, shape
  - d. function/use
- 3 Articles of Steel** - specify the following:
  - a. specify type of steel (i.e. stainless, galvanized, etc.)
  - b. size, shape
  - c. thickness
  - d. function/use
- 4 Articles of Aluminum or Other Metals** - specify the following:
  - a. specify type of metal (i.e. copper, aluminum, iron, zinc, etc.)
  - b. size, shape
  - c. thickness
  - d. function/use
- 5 Articles of Textiles** - specify the following:
  - a. woven or knitted
  - b. weight - thread count
  - c. type of fabric - composition with **percentages** (i.e. cotton, rayon, silk, etc.)
  - d. if garment, specify item's application - gender/age (i.e. boy's t-shirt, woman's blouse, baby's fitted pajama's)
- 6 Computers / Automatic Data Processing Machines** - specify the following:



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- a. weight - 10kg or more?
- b. units suitable for physical incorporation into automatic data processing machines?
- c. new/used
- d. software installed
- e. monitor, keyboard, etc.

**7 Computer Software** - specify the following:

- a. commercial sale / other
- b. use

**8 DVD/CD** - specify the following:

- a. audio or video
- b. content (i.e. training, business documents, pictures, video, etc.)

**9 Journals / Books** - specify the following:

- a. material composition with percentages
- b. use / function (i.e. technical, professional, other - specify)
- c. number of pages
- d. binding and cover detail (i.e. spiral bound, glued, hard cover or soft cover, etc.)
- e. if any graphics or motifs (i.e. monograms, etc.)

**10 Paper** - specify the following:

- a. weight
- b. size - (i.e. 8x10)
- c. ruled, non-ruled
- d. if any graphics or motifs (i.e. monograms, etc.)

**11 Balls** - specify the following:

- a. function
- b. age appropriation
- c. toy or official sports equipment
- d. size (outside diameter)

**12 Bags, Covers, Sleeves, Etc.** - specify the following:

- a. function/use
- b. material composition with percentages
- c. reusable or non-reusable

**13 Clocks / Watches** - specify the following:

- a. digital or clockwork
- b. if clockwork, how many jewels



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c. material composition with percentages

d. if battery is included, what is the size, voltage, rechargeable and brand - packaged inside clock/watch or in packaging?

**14 Miscellaneous Items with Batteries Included in Packaging Separate from Item**

- a. size of battery
- b. voltage
- c. brand of battery
- d. rechargeable or not

**15 Pens** - specify the following:

- a. tip size
- b. ball point or felt tip

**16 Toys** - specify the following:

- a. age appropriation
- b. material composition with percentages
- c. function or use

**17 Item with 2 or more functions** - specify the following:

- a. all functions
- b. age appropriation
- c. material composition with percentages
- d. reference other questions if noted above



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**16 DECLARATION FORM FOR THE IMPORTATION OF GOODS WITH U.S. COUNTRY OF ORIGIN**

Foreign Shipper:

Address:

City, State & Zip:

Country of Exportation:

**Declaration by Foreign Shipper – 19 CFR 10.1(a)(1)**

I, \_\_\_\_\_, declare that to the best of my knowledge and belief, the articles herein specified were exported from the United States, from the port of \_\_\_\_\_ on or about \_\_\_\_\_, 19\_\_\_\_\_, and that they are returned without having been advanced in value or improved in condition by any process of manufacture or other means.

Product Name	Product Number	Quantity	Description	Value (USD)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Foreign Supplier Representative's Name

\_\_\_\_\_  
Foreign Supplier Representative's Title

---

**Declaration by Importer – 19 CFR 10.1(a)(2)**

I, \_\_\_\_\_, declare that the (above) (attached) declaration by the foreign shipper is true and correct to the best of my knowledge and belief, that the articles were manufactured by \_\_\_\_\_ (name of manufacturer) located in \_\_\_\_\_ (city and state), that the articles were not manufactured or produced in the United States under subheading 9813.00.05, HTSUS, and that the articles were exported from the United States without benefit of drawback.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Kellogg Company Representative's Name

\_\_\_\_\_  
Kellogg Company Representative's Title



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**17 MANUFACTURER'S AFFIDAVIT FOR GOODS OF U.S. ORIGIN**

**Manufacturer's Affidavit for Kellogg Company**

Date:

Name of manufacturer:

Address of manufacturer:

Description of returned articles (model, serial number, etc):

I declare that the information given is true and correct to the best of my knowledge and belief:

*That the articles described above are the growth, produce, or manufacture of the United States and have been sold to Kellogg Company of the United States on or about (month) (year).*

Name:

Title:

Company name:

Signature: \_\_\_\_\_



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**18 DECLARATION FORM FOR THE IMPORTATION OF GOODS WITH REPAIRS / ALTERATIONS**

Manufacturer/ Shipper:

Address:

City, State & Zip:

Country of Manufacture / Repair - Alterations:

**Declaration from person who performed repairs or alterations – 19CFR 10.8(a)(1)**

I, \_\_\_\_\_, declare that the articles herein specified are the articles which, (in the condition in which they were exported from the United States), were received by me (us) on \_\_\_\_\_, 19\_\_\_\_, from \_\_\_\_\_ (name and address of owner or exporter in the United States); that they were received by me (us) for the sole purpose of being repaired or altered; that only the repairs or alterations described below were performed by me (us); that the full cost or (when no charge is made) value of such repairs or alterations are correctly stated below; and that no substitution whatever has been made to replace any of the articles originally received by me (us) from the owner or exporter thereof mentioned above.

Product Name	Product Number	Qty	Description of the Repair	Original Value (USD) declared for exportation	Value of Repairs /Alterations (USD)	Total Value of Article after Repairs /Alterations (USD)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Foreign Supplier Representative's Name

\_\_\_\_\_  
Foreign Supplier Representative's Title

**Declaration by the importer – 19CFR 10.8(a)(2)**

I, \_\_\_\_\_, declare that the (above) (attached) declaration by the person who performed the repairs or alterations abroad is true and correct to the best of my knowledge and belief; that the articles were not manufactured or produced in the United States under subheading 9813.00.05, HTSUS; that such articles were exported from the United States for repairs or alterations and without benefit of drawback from \_\_\_\_\_ (port) on \_\_\_\_\_, 19\_\_\_\_; and that the articles entered in their repaired or altered condition are the same articles that were exported on the above date and that are identified in the (above) (attached) declaration.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Kellogg Representative's Name

\_\_\_\_\_  
Kellogg Representative's Title