

**APPENDIX TO “ADDENDUM TO THE PROVIDER AGREEMENT
TO ELECTRONICALLY FILE AND MAINTAIN GRAIN WAREHOUSE RECEIPTS
AND U.S. WAREHOUSE ACT DOCUMENTS” (FORM WA-460-2) FOR
GRAIN ELECTRONIC WAREHOUSE RECEIPTS (EWR)**

I. Grain EWR Information Requirements

FSA, in administration of the U.S. Warehouse Act (USWA), the regulations found at 7 CFR Part 735, the Farm Service Agency’s (FSA) WA-460 and WA-460-2, and this Appendix, may at any time require the Provider to furnish information beyond the minimum requirements contained herein.

A. Required Information

The Provider shall, at a minimum, make available the following information fields on all EWRs that will be available to be filled in by USWA and non-USWA warehouse operators issuing EWRs in their central filing system (CFS), if required for marketing assistance loans by USDA or as agreed to by the issuer of the EWR and the initial recipient. The Provider shall advise warehouse operators that it is the warehouse operator’s responsibility to supply the necessary data to complete each element, as applicable, when generating a EWR.

Grain EWRs:

- License number, if applicable ^{1/}
- Warehouse receipt number (as assigned by DACO or the applicable licensing authority)
- License type (the legal entity under whose authority the warehouse receipt is issued), US if federally licensed, the two letter Postal abbreviation if State licensed, or NL if not licensed, will without exception be displayed in front of the warehouse receipt number and shown as an integral part of the warehouse receipt number
- Issuance date (date that the EWR is first recorded in the Provider’s system)
- Suspension date (if applicable) (date that the warehouse operator, at the depositor’s request for a paper warehouse receipt, provisionally suspends that EWR, issues a interim paper warehouse receipt and enters its registered serial number in the Provider’s system)
- Conversion date (if applicable) (date that a warehouse operator has possession of and cancels the interim paper warehouse receipt and reinstates that suspended EWR in the Provider’s system)
- Cancellation date (date that the EWR is terminally recorded in the Provider’s system)
- Warehouse receipt status (Active/Suspended/Canceled)

Warehouse receipt use indicator (as applicable) (Customary, CCC Loanable or Board of Trade Registrar)
Indicate whether the warehouse receipt is “Non-Negotiable” or “Negotiable” according to the nature of the warehouse receipt
Name of warehouse operator issuing the EWR (Legal Entity)
Name of warehouse
Location of warehouse where the commodity was deposited (City), (County) and (State)
Received from (Depositor)
Current Holder
Previous Holder
Bin or container number (if Identity Preserved)
Warehouse Code (Commodity Credit Corporation’s (CCC) Uniform Grain and Rice Storage Agreement (UGRSA)
Storage (Commingled or Identity Preserved)
Interim paper warehouse receipt number (referenced when applicable when replacing EWR)
Paper warehouse receipt number (if applicable when replaced by an EWR)
Received by Truck, Rail or Barge (if applicable)
Storage start date
Rate of storage charges (as applicable) (specify multiple/variable rates in the Remarks Section)
Amount of prepaid storage charges, (if applicable)
Amount of prepaid in and out elevation charges, (if applicable)
Date to which storage has been prepaid through, (if applicable)
Kind of Commodity
Variety of Grain (When applicable, name of specific variety or specialty such as Organic)
Grade, Class, Subclass or Special Grade (U.S. Number)
Vomitoxin Parts per Million (if applicable)
Aflatoxin Parts per Billion (if applicable)
Dockage percentage
Gross pounds of commodity including dockage
Net pounds of commodity (less dockage)
Gross amount of the commodity (including dockage) (Bushels, CWT, etc.)
Net amount of the commodity (less dockage) (Bushels, CWT, etc.)
Grade statement (incorporated into the warehouse operator’s electronic profile for EWRs)
Grade Inspection certificate number, if applicable
Authorized warehouse receipt signature (name of person on file with applicable licensing authority authorized to issue this EWR)
Remarks section (When applicable; a text box for warehouse operator’s remarks)

Terms and conditions (Refer to Section II for USWA-licensed warehouse operators, Section III for State-licensed warehouse operators and Section IV for warehouse operators not subject to regulation by Federal or State Warehouse Licensing Authorities for the terms and conditions that apply to each EWR that must be furnished by the warehouse operator issuing the EWRs).

^{1/} Enter Federal or State warehouse license number. If not subject to regulation by Federal or State Warehouse Licensing Authorities, zero fills the field.

B. Additional Information

The Provider shall, at a minimum, make the elements listed below available to every USWA warehouse operator, State-licensed warehouse operator and warehouse operators not subject to regulation by Federal or State Warehouse Licensing Authorities who issue EWRs in their CFS. The Provider shall advise warehouse operators that it is the warehouse operator's responsibility to supply the necessary data to complete this element. FSA's 460-2 and this Appendix do not restrict the number of additional fields that may be made available to State licensing authorities or warehouse operators.

(CCC) (UGRSA) (Y or N)

Quality factors applicable to the specific commodity necessary for a producer to obtain a CCC marketing assistance loan

C. Required elements that can be modified without the warehouse operator being the holder

FSA will allow the warehouse operator to modify the elements, "date through which storage has been paid", "storage start date", or "prepaid in or out charges" without being the holder of the EWR. The Provider shall notify the current holder of the EWR of any changes.

D. Suspending an EWR to issue an Interim Paper Warehouse Receipt

When suspending a EWR to issue an interim paper warehouse receipt, the Provider shall advise the warehouse operator to first suspend the EWR, enter the interim paper warehouse receipt serial number into the applicable EWR data field, and print on the face of the interim paper warehouse receipt the suspended EWR number.

E. Converting a Paper Warehouse Receipt to a EWR

When converting an outstanding paper warehouse receipt to an EWR, the Provider shall advise the warehouse operator to first take possession of and cancel the paper warehouse receipt, print the replacing EWR serial number on the face of the paper warehouse receipt, and enter the canceled paper warehouse receipt serial number into the applicable EWR data field.

F. Assignment of EWR Serial Numbers

The Provider shall ensure that warehouse operators issue EWRs consecutively within the serial number range(s) assigned by DACO or the applicable licensing authority, and shall ensure that warehouse receipts are issued in sequential order and no duplicate warehouse receipt serial numbers are issued. FSA will assign EWR serial number ranges for warehouse operators who are not subject to regulation by Federal or State Warehouse Licensing Authorities.

G. Trailer Files and Non-Required EWR Data or Information

The Provider shall make available to the users of their CFS, as an outside attachment to an EWR's secured data files, a trailer file that may contain non-required EWR data or information for associated business processes. (Serves as a "sticky note" or "memo" to a specific EWR)

II. Required EWR Information/Profile for USWA-Licensed Warehouse Operators

The following information must be recorded on all EWRs or within the warehouse operator's EWR profile. Each warehouse operator shall have a posted EWR profile. FSA will be responsible for maintaining and updating this information.

The statements:

The Warehouse Operator's business organization type (i.e. sole proprietor, incorporated, partnership, LLC, etc.) and the name of the State whose laws govern that organization [i.e. "a (insert name of State) corporation"].

Insured, and to what extent, by the warehouse operator against loss by fire, lightning and other risks.

The maximum amount of bond or financial assurance underwriting the warehouse receipt.

Weight was determined by a weigher licensed under the USWA.

Grade was determined by
a “Federal Grain Inspection Service grader”,
a “Grader Licensed under the USWA”, or
“Not Graded on Request of Depositor.”

The grade, class, subclass or other special grade stated in this warehouse receipt is in accordance with the Official U.S. Grain Standards, to the extent such Standards are established. If the grade of grain is that for which no Official U.S. Grain Standards are in effect, the grade or other class shall be stated in accordance with the standards, if any, adopted by the local board of trade, chamber of commerce, or by the grain trade generally in the locality in which the warehouse is located, subject to the authorization of the FSA, or in the absence of these standards, in accordance with any standards authorized for the purpose by FSA.

The grade stated in a warehouse receipt is the weighted average of the grades on the applicable inspection certificate(s) or, if an appeal has been taken, the grade will be stated on such warehouse receipt in accordance with the grade as finally determined in such appeal.

The applicable charges claimed by the warehouse operator for storage and other services. Handling and other accrued charges are according to the warehouse operator’s effective public tariff. The warehouse operator shall furnish depositors and warehouse receipt holders the full amount of charges upon request.

In the event the relationship existing between the warehouse operator and any depositor is not that of strictly disinterested custodianship, a statement setting forth the actual relationship.

III. Required EWR Information/Profile for State-Licensed Warehouse Operators

The following information must be recorded on all EWRs or within the warehouse operator’s EWR profile. Each warehouse operator shall have a posted EWR profile. To the extent required under applicable State law, each State licensing authority will be responsible for maintaining and updating the EWR profile information on their licensed warehouse operators with respect to warehouse receipts and public disclosures.

The statements:

The Warehouse Operator’s business organization type (i.e. sole proprietor, incorporated, partnership, LLC, etc.) and the name of the State whose laws govern that organization [i.e. “a (insert name of State) corporation”].

Insured, and to what extent, by the warehouse operator against loss by fire, lightning and other risks.

The authority under which the warehouse operator issues warehouse receipts (e.g., State warehouse code for State-licensed warehouses or Uniform Commercial Code).

The maximum amount of bond or financial assurance underwriting the warehouse receipt.

Weight was determined by

a "State of _____ Licensed Weigher", or
"Unofficial Weight by Warehouse Operator" or
"Not Weighed on Request of Depositor".

Grade was determined by

a "Grader licensed under the State of _____ ", or
a "Federal Grain Inspection Service Grader", or
"Unofficially Graded by Warehouse Operator" or
"Not Graded on Request of Depositor."

The grade, class, subclass or other special grade stated in this warehouse receipt is in accordance with the Official U.S. Grain Standards to the extent such Standards are established. If the grade of grain is that for which no Official U.S. Grain Standards are in effect, the grade or other class shall be stated in accordance with the standards, if any, adopted by the local board of trade, chamber of commerce, or by the grain trade generally in the locality in which the warehouse is located, or in the absence of these standards, in accordance with any standards authorized for the purpose by the State licensing authority.

The applicable charges claimed by the warehouse operator for storage and other services. Handling and other accrued charges are according to the warehouse operator's effective public tariff. The warehouse operator shall furnish depositors and warehouse receipt holders the full amount of charges upon request.

In the event the relationship existing between the warehouse operator and any depositor is not that of strictly disinterested custodianship, a statement setting forth the actual relationship.

IV. Required EWR Information/Profile Warehouse Operators Not Regulated by Federal or State Warehouse Licensing Authorities

The following information must be recorded on all EWRs or within the warehouse operator's EWR profile. Each warehouse operator shall have a posted EWR profile. FSA will be responsible for maintaining and updating this information regarding their EWR profile.

It shall be the responsibility of each applicable warehouse operator not regulated by Federal or State Warehouse Licensing Authorities to provide FSA with timely and current information for each of the following items:

The Warehouse Operator's business organization type (i.e. sole proprietor, incorporated, partnership, LLC, etc.) and the name of the State whose laws govern that organization [i.e. "a (insert name of State) corporation").

Insured, and to what extent, by the warehouse operator against loss by fire, lightning and other risks.

The authority under which the warehouse operator issues warehouse receipts (e.g., State statute or Uniform Commercial Code).

The maximum amount of bond or financial assurance underwriting the warehouse receipt. **Special Note:** For warehouse operators not regulated by Federal or State Warehouse Licensing Authorities, FSA will post the maximum bond or financial-assurance underwriting amount as \$00.00 (zero) until FSA is provided irrevocable and sustainable proof of the actual coverage.

Weight was determined by
a "State of _____ Licensed Weigher", or
"Unofficial Weight by Warehouse Operator" or
"Not Weighed on Request of Depositor".

Grade was determined by
a "Grader licensed under the State of _____", or
a "Federal Grain Inspection Service Grader", or
"Unofficially Graded by Warehouse Operator" or
"Not Graded on Request of Depositor."

The grade, class, subclass or other special grade stated in this warehouse receipt is in accordance with the Official U.S. Grain Standards. If the grade of grain is that for which no Official U.S. Grain Standards are in effect, the grade or other class shall be stated in accordance with the standards, if any, adopted by the local board of trade, chamber of commerce, or by the grain trade generally in the locality in which the warehouse is located, subject to the authorization of the FSA, or in the absence of these standards, in accordance with any standards authorized for the purpose by the FSA.

The applicable charges claimed by the warehouse operator for storage and other services. Handling and other accrued charges are according to the warehouse operator's effective public tariff. The warehouse operator will furnish depositors and warehouse receipt holders the full amount of charges upon request.

In the event the relationship existing between the warehouse operator and any depositor is not that of strictly disinterested custodianship, a statement setting forth the actual relationship.

V. Contact:

Chief, Licensing Branch
Warehouse Licensing and Examination Division
Kansas City Commodity Office
P.O. Box 419205 – Stop 9148
Kansas City, MO 64141-6205

Phone: 816-926-6474
Fax: 816-926-1774

(a) Name of Provider

(b) Signature of Provider

(c) Title of Provider

(d) Date

(e) Signature of Deputy Administrator for Commodity Operations

(f) Date

NOTE: The following statement is made in accordance with the Privacy Act of 1974 (5 U.S.C. 552a) and the Paperwork Reduction Act of 1995, as amended. The authority for requesting the following information is the regulations at 7 CFR 735. The information will be used to complete the terms of an agreement between the Provider and the Deputy Administrator for Commodity Operations. Furnishing the requested information is voluntary, however, without it, eligibility to become a provider under the United States Warehouse Act and the decision as to the applicant's eligibility for a provider agreement must be made in part on the basis of the information provided. This information may be provided to other agencies, IRS, Department of Justice, or other State and Federal law enforcement agencies, and in response to a court magistrate or administrative tribunal. The provisions of criminal and civil fraud statutes, including: 18 U.S.C. 286, 287, 371, 641, 651, 1001; 1014, and 31 U.S.C. 3729, may be applicable to the information provided.

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays an OMB control number. The valid OMB control number of this information collection is 0560-0120. The time required to complete this information collection is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. **RETURN THIS COMPLETED FORM TO THE KANSAS CITY COMMODITY OFFICE (KCCO), WAREHOUSE LICENSING AND EXAMINATION DIVISION, POST OFFICE BOX 419205, KANSAS CITY, MO 64141-6205.**

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