



Simon & Schuster

Vendor Guidelines

**For Simon and Schuster product and for
product distributed by S&S on behalf
of distribution clients**

Effective Date: 01/2026

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Delivery Instructions

Simon & Schuster has 2 Distribution Centers:

Riverside, NJ DC	Jackson, TN DC
Receiving Dept. 100 Front Street Riverside, NJ 08075 Main #: 856-461-6500 Delivery appointment scheduling Hours: 7am to 4pm EST (856) 824-2475	Receiving Dept. 565 Gerdau Drive (Previously 565 Ameristeel Rd) Jackson, TN 38305 Main #: 731-574-9182 Delivery appointment scheduling Hours: 7:30am to 3pm CST Please e-mail for appointment: ssjacksonreceiving@simonandschuster.com

Delivery appointments are required. Appointments can be made from Monday through Friday, on non-Holidays. Appointments made over the weekend will not be verified until the next workday.

Appointments must be made at least 24 hours in advance of delivery. The following information is required to obtain a delivery appointment:

- Shipper Company Name
- ASN Number (Domestic shipments will not be assigned an appointment without an ASN)
- Purchase Order Number(s) / Bind Order Number(s)
- ISBN Numbers / SKU
- Quantity Per ISBN / SKU
- Number of Pallets and/or Cartons
- PRO / BOL Number
- Total Weight
- Trailer Number
- Seal Number

Simon & Schuster reserves the right to refuse shipments if:

- Carrier is late for the appointment
- Missing Advance Shipment Notification (ASN)
- Arrives without an appointment
- Does not satisfy receiving requirements
- Trailer appears unsafe to enter

If your freight arrives without an appointment, our receiving department will try to accommodate. However, unscheduled deliveries will be put last behind other arriving loads that were properly scheduled. If it becomes impossible to offload your product because an appointment was not made, we may find it necessary to refuse your shipment or delay to a subsequent day. **SIMON & SCHUSTER WILL NOT BE HELD ACCOUNTABLE FOR ANY CHARGES THAT MAY RESULT FROM THE DELAY OR REFUSAL OF UNSCHEDULED DELIVERIES.**

[Delivery Instructions \(continued\)](#)

Receiving Verification

S&S receiving personnel will validate the quantity and preliminary condition of the goods received and request the driver or delivery personnel to sign the Bill of Lading acknowledging delivery of goods including any notation of shortages, overages, refusals, and or damages to products delivered.

Please be aware that concealed damages or shortages that are found at a time after the receiving process will be communicated to the Vendor and charged back accordingly.

The expectation is that all trucks coming to Simon and Schuster for delivery will have a trailer seal attached. The presence of the trailer seal and the seal number will be noted on the receiving documents. Trailers without seals will be unloaded but the lack of the seal will also be noted on the receiving documents in case of any issues.

SAFETY IS OF PRIME CONCERN

- S&S will refuse inbound loads if the trailer appears to be unsafe to enter
- Carrier Drivers are responsible to check trailer wheels
- Receiving Docks at S & S are equipped with mechanical trailer restraint systems. It is the Carrier Drivers responsibility to insure that:
 - Δ Trailer is properly & securely coupled with the restraint prior to allowing unloading
 - Δ Restraint is fully uncoupled before driving away.

***Please be advised processing of receipts may take up to two weeks if additional sortation or prep is needed**

Cartons and Packing

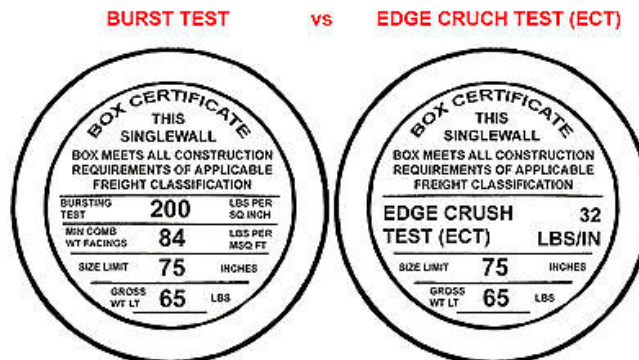
Carton Construction

Printer / Packager provided cartons are required to be sufficiently robust to permit future shipping of the full case via parcel shipping services (UPS, USPS, and FedEx). In order to assure this, we require all cartons meet these specifications:

Materials - Single-Wall Corrugated Fiberboard

Book Type	Minimum Certification*
Hardcover	ECT 44 or 200# Test
Paperback	ECT 32 or 200# Test

***The bottom flap of all cartons must be stamped with a Box Certificate confirming the specification is achieved**



Carton Weights

Gross weight per carton must not exceed 37 lbs. without prior approval from S&S. In the event prior approval is given, all cartons that are over the maximum weight must have a warning label affixed to the carton. Warning labels should be large, brightly colored and prominent on all applicable cartons. The label should specify that the weight of the carton exceeds 37lbs.

Carton Dimensions

Carton size for any title should remain uniform for all subsequent shipments of the title, regardless of printing. Carton sizes should be selected according to the following parameters:

	<u>Minimum</u>	<u>Maximum</u>
Carton Height	5"	13"
Carton Width	9 3/8"	15 1/2"
Carton Length	8 1/2"	22"

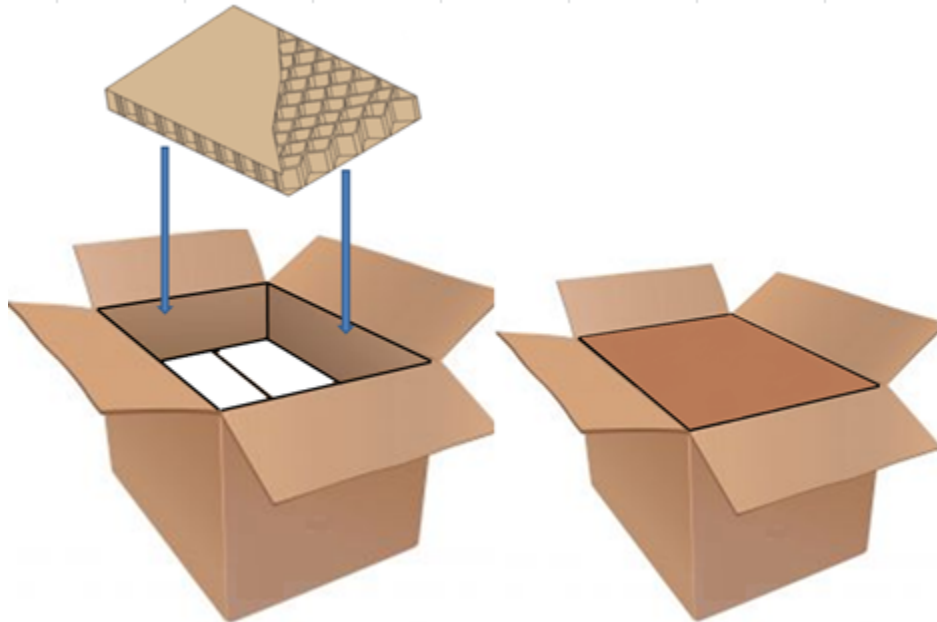
Note the **height of a carton must not exceed the length of the carton.** In other words: **the height should never be the largest dimension of the package.** This is because the box would be prone to tumbling when traveling on parcel conveyor systems.

[Cartons and Packing \(continued\)](#)

Carton Packing

Cartons must be sufficiently strong & abundantly filled to provide the vertical strength required to support double stacking of pallets during transit and storage. They must also be packed tightly & filled so there is no notable horizontal movement when a carton is handled as a shipping container on conveyors systems & through parcel shipping networks (UPS, FedEx, and Canpar).

- Books should be packed flat and spine-to-spine, in the carton.
- The carton should be designed so the books fit without any spaces after filler is applied.
- All space must be adequately filled preferably with flat corrugated filler sheets, bubble-wrap, or honeycomb cardboard. The objective is to avoid damages.
- Space inside the cartons leads to increased risk of damages and is an unacceptable practice. In addition to the costs incurred to remedy carton void, compliance chargebacks of \$10 per carton will be assessed.
- In a print run the carton filler should remain consistent through the entire printing.
- **The use of “peanuts” or air bags is not acceptable.**



Carton Quantities

- Vendor must adhere to the carton quantity on the purchase order.
- Carton quantities must be consistent for all printings unless specifically requested and approved by Simon & Schuster.
- Partial carton quantities will not be accepted

Cartons and Packing (continued)

Carton Closure

- Cartons taped by machine, a 1 3/4" or wider tape should be used.
- The **gauge** of the tape must not be less than 2 MILS thick. The tape should be clear or beige adhesive and not the reinforced paper type.
- Cartons must NOT be individually banded.

Carton Packing Changes

- In the event that the unit and/or carton packing parameters change, Simon & Schuster must be notified of the change. Such changes could be the unit dimension, unit weight, carton dimension, carton weight, carton quantity, carton space filler, pallet quantity, pallet weight, etc...
- All approved changes/exceptions must be "flagged" on the paperwork.

Advanced Ship Notifications (ASN)

EDI Requirements

All inbound product shipments to the Simon & Schuster in must be preceded by an EDI transmission of ASN documents using industry standard inbound 856 transaction set. In the case of a new vendor/bindery, a setup and testing process must be followed before transmitting any “live” data.

For EDI customers:

Simon and Schuster Ecommerce
edics@simonandschuster.com
100 Front Street
Riverside, NJ 08075

ASN documents are required to include the following:

- Pack Quantity
- Carton Size—Length, Width and Height
- Carton Weight
- Number of cartons per pallet
- Barcode License Plate Number (LPN) – To identify the Serial Shipping Container Code(SSCC) in a GS1-128 (UCC/EAN-128) bar code. Associates the carton to contents data in the ASN transmission.

For non-EDI customers please contact SPS below for set up and training for ASN.

SPS commerce contact phone 888-739-3232
SPS commerce contact email:Support@spscommerce.com

Implementation/Initial Training
implementation@spscommerce.com

LPN Label Format

A uniquely numbered License Plate Number (LPN) must be applied to all pallets. This number must be in a standard Serialized Shipping Container Code (SSCC) format and must be linked to the ASN transmission. Exclude lower case letters when creating an LPN.

- Bar code Size - Barcode must be at least 1.5” in Height and 4”in Length
- Label Size - Label must be at least 2” in Height and “5” in Length

For detailed instruction on how to create a valid LPN # visit the link below, download the BISG Container Labeling Guidelines

[Guidelines for Shipping Container Labeling - Book Industry Study Group](#)

LPN LABEL PLACEMENT

The label showing the LPN barcode identifying the pallet must be put on the lower right corner of each pallet contained in a shipment. Label needs to be adhered to a carton not on the stretch-wrap. When loading pallets onto a trailer, the UCC-128 shipping label / LPN Barcode should be facing the door of the trailer. This requirement is for ease of receipt on the receiving dock.

Product Specifications

Each shippable/sellable unit must have an International Standard Book Number (ISBN) that is barcoded, as well as printed numerically above the barcode on the lower back side of the cover/jacket. The barcode must be scan able and the printed ISBN must be human readable. These requirements should also be followed for ARC and Galley editions of any titles. Each unit must also contain a US price and Canadian price if applicable, in print and human readable on the back cover/jacket.

Make sure items intended to be sold together as a single ISBN (i.e. sets) are packaged and uniquely barcoded as a single unit. The ISBN of the individual units within the set should not be visible when the unit is packaged together.

Carton Markings

Carton Label Requirements

Labels or stencils are required on two sides of every carton (one long side and one short side). The purchase/bind order will provide instructions on the product information that should be on the content label. This information will be noted in the special instructions box. Any additional marking is prohibited without prior approval.

LAYOUT

- Label cartons beginning at the bottom RIGHT on two sides (i.e. one end and one side).
- Wrap around labels are acceptable. If applying wrap around labels to cartons, place the label so that one half is on the long side of the carton on the bottom RIGHT, and the other half is on the short end of the carton on the bottom left.
- Black ink should be used for print.
- The label should not be printed closer than 1 ¼" from any edge of the carton.
- All bar codes must have a minimum height of 0.5 inches, however it is highly preferred that a height of 0.75 inches is used and must scan the proper information.
- In order to support high speed scanning, use a minimum dimension of 0.015 inch (15 mils).
- There must be a "quiet zone" or white space of at least 0.25 inches following the bar-code.
- The recommended minimum label width is 6 inches, and the minimum label height is 4 inches.
- ISBN must be a minimum of .25 inches or 25 point font.
- Human Readable ISBN
- We highly recommend that carton label is certified by BISG.

Go to link below to view the BISG guidelines -

<https://www.bisg.org/barcoding-guidelines-for-the-us-book-industry>

ZONES

The product label information should appear in the zoned layout defined below in the listed sequence. All bar codes must follow the UCC/EAN-128 guidelines and technical specifications as defined in this document.

Zone 1- Product Information: Human Readable

- **Title**
- **Author**
- **Publisher**
- **On-Sale Date** This field is only to be included on first printing titles. The on-sale date is provided on the Purchase Order in the 'special instructions' area.
- **Country of Origin**

Zone 2- Publisher Information: Human Readable and/or Bar Coded

- **Publisher Purchase Order Number (Human readable and Bar Coded)**
- **Cover Four Bar Code Designation (Human readable) EAN,UPC or E/U**
- **Printing Number – Printing number – Year of printing (Human readable and Bar Coded)**

Carton Markings (continued)

Zone 3- Product Information: Human Readable and Bar Coded

- Carton Quantity
- ISBN 13: ISBN 13 should be the only ISBN printed on the carton label
- Carton Weight
- Cover Price (US/CAD)

APPLICATION IDENTIFIERS EAN/UCC-128 Symbology					
Zone	Field Name	AI	Use	Format	Example
2	Publisher Purchase Order	251	Used to identify the purchase order from the publisher to the binder.	n3 + an..30	Publisher PO = 123456 Data = 251123456
	Printing Number	10	Used to identify the printing number for the publisher.	n2 + an..18	Printing Number = 12-05 Data = 101205
3	Carton Quantity	30	To identify the total number of units contained in the shipping container.	n2 + n..6	Carton Quantity = 24 Data= 3024
	ISBN	01	To encode the ISBN of the product in UCC/EAN-128 format	n2 + n14 n14 = P+978+ISBN+C Where: P=1 ISBN = first nine digits of ISBN C= Check Digit	ISBN = 1-234-56789-0 n14 = 19781234567894 Data = 0119781234567894
	Carton Weight	3401	To identify the weight of the shipping container	n4 + n6	Weight = 20.0 lbs Data = 3401000200
	Cover Price	9012Q	To display the US cover price in a bar-coded format. Implies two decimal places. For a non-US cover price, the appropriate ISO currency identifier should be used.	n4 + a1 + n..∞ + a3	Cover Price = \$25.00 USD Data = 9012Q2500USD OR Cover Price = \$35.00 CAD Data = 9012Q3500CAD

Information provided by the DEIG Guidelines for Shipping Container Labeling

EXAMPLE LABEL



Note on Bar Coding the ISBN in Zone 3:

While the human readable ISBN 13 is to be printed to the right of the barcode on the Product Label, it must be encoded in the bar code as a 14-digit identifier utilizing GS1-128(UCC/EAN-128) symbols. This identifier, also known as GTIN 14(Global Trade Item Number), includes the Application identifier, "01", and a fixed prefix of '1' that is required and is used when you will need to recalculate the check digit.

Calculating the GTIN-14

To figure out the calculations for encoding the IBSN in GTIN-14 format please refer to The Book Industry Study Group (BISG) link below:

<https://www.gtin.info/>

Or you can go to this website and enter the correct numbers and have it calculated for you.

<https://www.gtin.info/check-digit-calculator/>

Using the check digit calculator on this website, go down to the GTIN-14 and enter the number as follows: Using the ISBN below of 978-1-234-56789-7 as an example.

Prefix the ISBN with '1' (package level indicator indicating a standard case pack), then drop the original check digit of '7' (the last digit) and enter into the first box 1 978 123456789 and hit the "Calculate" button. Your new check digit is 4 and the GTIN-14 is 19781234567894.

Product Label Approvals

If necessary, Product Labels can be sent to "rivvendorcompliance@simonandschuster.com" for approval. Be aware that label approvals may take up to 3 business days.

In order for labels to be approved, Simon and Schuster require a sample label in PDF format (Excel if necessary), that is fully populated.

***Simon and Schuster does not approve label content. Vendors are responsible for ensuring label content is correct based on the provided purchase order.**

[Shipping Label/LPN Requirements](#)

Shipping Label Format

Standard UCC-128 label format on 4" x 6" or 4" x 7" should be used that is linked to the ASN transmission. If you are not capable of generating this format, please use the following guidelines for generating a pallet barcode label.

LPN LABEL REQUIREMENTS (to be used if Standard UCC 128 Shipping Label cannot be produced)

A uniquely numbered License Plate Number (LPN) must be applied to all pallets. This number must be in a standard Serialized Shipping Container Code (SSCC) format and must be linked to the ASN transmission. Exclude low case letters when creating a LPN.

- Bar code Size
 - The bar code must be at least 1.5" in Height and 4" in Length
- Label Size
 - The label must be at least 2" in Height and 5" in Length
- For detailed instruction on how to create a valid LPN # (whether using the Standard UCC- 128 label or an LPN Label), visit the link below.

<https://www.bisg.org/products/guidelines-for-shipping-container-labeling>

Label Placement/Pallet Placard

The Standard UCC- 128 Shipping Label or LPN label must be put on the lower right corner of each pallet contained in a shipment (must be on the carton and not on the stretch-wrap). When loading pallets onto a trailer, the 128 shipping label or LPN MUST be facing the door of the trailer. This requirement is for ease of receipt on the receiving dock. Please be aware that Vendors will be charged back if Simon and Schuster personnel have to take extra time to handle pallets not loaded onto trailers in this manner.

Pallets must include a placard detailing the number of pallets and number of cartons. If bound for an S&S facility, note the bind order number. When shipping directly to a customer display the customer's purchase order number.

Pallet placard example

Simon and Schuster's PO # _____
Carton Count _____
Pallet # _____ of _____

Pallet Specifications

Note: Pallet sizes are different for each distribution center

Type and Size Riverside NJ

45" X 42" two-way solid wood
Flush or Wing
At least 3 bottom deck boards
Pallet jack able
Maximum top deck board gap 4"
Max height 53" from the floor

Type and Size Jackson TN

48"X40" GMA
Flush
At least 3 bottom deck boards
Pallet jack able
Max top deck board gap 4"
Max height 52" from floor

*Stretch wrap all pallets tightly to avoid shifting of cartons during transit

*Good quality—no broken or loose boards

Upon request S&S may provide pallets to our printers for Simon & Schuster product. Please be aware that pallets cannot be requested in any quantity under 20 pallets. Printers will have to source their own pallets in the event that less than 20 pallets are needed for a shipment. Pallet size will still be subject to Simon and Schuster requirements. For non-Simon & Schuster (client) product, please contact your purchase order originator for pallet requests and inquiries. ***Please anticipate your need for additional pallets at least one month in advance.***

Pallet Quantities

- Pallets should be stacked in a way that maximizes the number of cartons per pallet in a standard configuration with consistent number of cartons per layer. Pallet quantities must be consistent. This means once the number of cartons and books per pallet is established for a title that profile should remain for that first printing and all subsequent printings. Please do not allow cartons to overhang the edge of the pallet.
- The layers should have an alternate pattern or should be interlocking (not column stacked). In the case where cartons cannot be interlocked, please secure pallet layers with tape to ensure stability.



Pallet Specifications (continued)

- Carton layering on pallets must be consistent for all printings unless a change order is specifically requested and approved by Simon & Schuster. Carton quantities on each layer of the pallet should be consistent for the entire pallet.
- Titles and printings must never be mixed on one pallet. If sending a single title at different price points, these must never be mixed on one pallet
- The gross pallet weight must not exceed 2,000 lbs.
- Pallet tops and pallet banding is prohibited.
 - Vendors who have been approved to ship LOOSE stock to the Simon and Schuster facility are allowed to employ pallet banding and pallet tops. All other vendors will receive chargebacks for the removal of the bands or pallet tops as per the non-compliance schedule on page 24.

Multiple POD titles: (Pack quantities of 10)

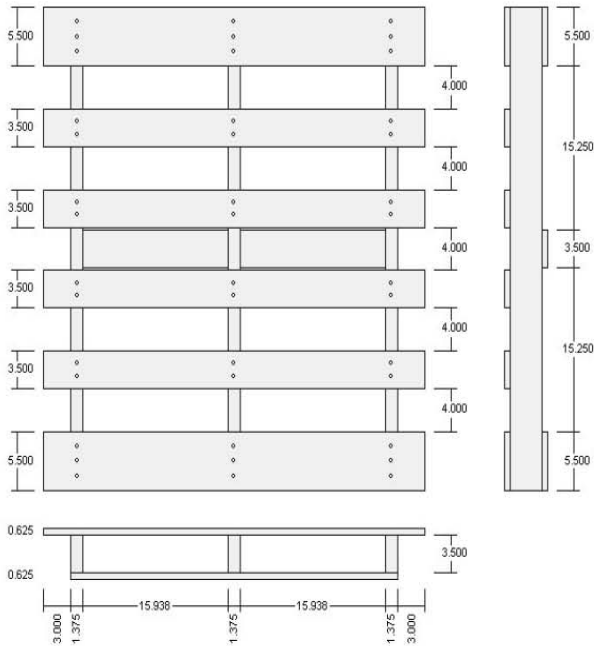
- 10 or 20 units of one SKU: can be mixed on pallets. These quantities/pallets are put away directly to split case locations.
- 30 – 90 units of one SKU: can be mixed on pallets. These quantities/pallets are put away directly to reserve locations.
- 100 units or greater of one SKU: Each SKU must be on its own pallet, no mixing with other SKU's.

Customer Specific Attribute Stock

- We request that all Customer Specific Attribute Stock that is shipped in to have placards on all 4 sides of the pallets (shin high – low level) that read:
 - **ATTRIBUTE STOCK – Customer Name**

Figure 1: 45" X 42" Pallet Construction

Pallets must be made of Solid Wood to ensure structural integrity throughout the shipping/ receiving process.

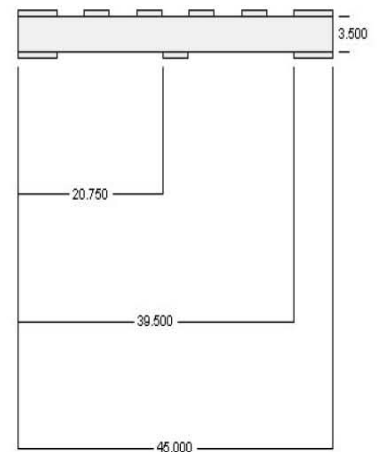
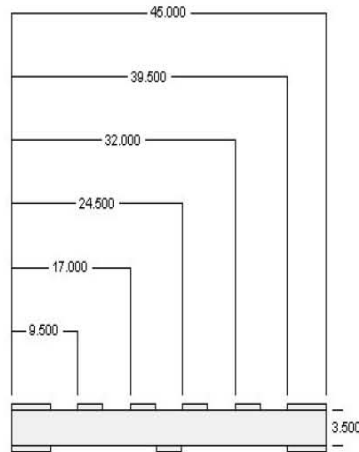


Cut List

Component Type	Qty	Item	Description	Material
Stringer	3	1.375x3.5x45 SW1	1.375 x 3.500 x 45.000	SW
Top Deck	2	0.625x5.5x42 SW1	0.625 x 5.500 x 42.000	SW
Bottom Deck	4	0.625x3.5x42 SW1	0.625 x 3.500 x 42.000	SW
	2	0.625x5.5x36 SW1	0.625 x 5.500 x 36.000	SW
	1	0.625x3.5x36 SW1	0.625 x 3.500 x 36.000	SW

Notes

Total Board Footage: 11.33465 board feet



Shipping Documents

Packing List

- A packing list detailing all information must accompany each shipment and should be indicated in a prominent manner to the Receiving Department.
- The necessary details are as follows for each title shipped:
 - ISBN 13
 - Price
 - Title Description
 - Total carton count
 - Number of books per carton
 - Total quantity shipped
 - Bind order number
 - Total pallet count
 - Carrier

In the event that an exception or change is made, flag the change in the paperwork. All exceptions must first be approved by Simon & Schuster.

- If more than one printing is being sent on a truck, the packing list should indicate how many pallets there are for each printing.

Note: Titles and Printings cannot be mixed on a pallet.

- Cartons containing the packing list must be clearly marked “Packing List Enclosed”.
- Only one title per carton is acceptable.
- Packing lists must be faxed or emailed to delivery appointment contact prior to shipment arrival.

Bill of Lading Requirements

Printers must follow the Voluntary Interindustry Commerce Solutions (VICS) standard format for all bills of lading.

<https://www.gs1us.org/content/dam/gslus/documents/industries-insights/gsl-us-bill-of-lading-guideline-r4.0-apr-06-2015.pdf>

Freight Terms

All BOL for **Simon & Schuster** (not clients) products must be clearly marked as follows:

PREPAID - Third Party Billing

Technical Traffic Consultants
PO Box 1606
Pearl River, NY 10965

LTL/TL

Simon & Schuster, LLC
c/o Redwood SCS
PO Box 51692
Livonia, MI 48151, USA

Shipping Documents (continued)

All BOLs should be marked for billing according to the specific Client's instructions on the Purchase Order that was provided. **Do not use the 3rd party billing address above unless specific approval has been granted.**

Shipper & Consignee Information – for Simon & Schuster prepaid shipments

Shipper

Your company name
Address
City, State Zip

Consignee Information Riverside NJ

Simon & Schuster
Riverside Distribution Center
Receiving Department
100 Front Street
Riverside, NJ 08075

Consignee Information Jackson TN

Simon and Schuster
Jackson Distribution Center
Receiving Department
565 Gerdau Drive
Jackson, TN. 38305

Shipment Information

- Actual carton count and number of pallets
- Simon & Schuster's Bind / Purchase order number(s)

Two copies of the bill of lading should be given to the carrier at the time of shipment. Carrier is to retain one copy for his files and attach the second copy to the freight bill.

Inbound freight bills without a bill of lading copy attached will be sent back to the carrier.

The carrier should be instructed that all shipments must have delivery appointments.

Imports - All copies of all Bill of Ladings, Packing List and Invoices must be faxed or emailed in advance to our Transportation department.

If you have questions on routing the shipments, please contact our Transportation Department, (see contacts page 24).

Direct Customer Deliveries

Direct deliveries are shipments to our customers (all shipments consigned to destinations other than the Riverside Distribution Center).

1. NO shipments may be made to a customer without an approved Simon & Schuster invoice. This will be supplied by the Bindery Coordinator (see contacts).
2. Upon completion of the order the following bill of lading information must be faxed or emailed to the Bindery Coordinator (see contacts). This communication must occur on the same day as the shipment.
Invoice number, date of shipment, quantity shipped, total weight, carton count, carrier name and signature.
3. For **PREPAID** shipments - Mark the BOL with the notation "Bill All Freight Charges" to:

PREPAID - Third Party Billing

Technical Traffic Consultants
PO Box 1606
Pearl River, NY 10965

LTL/TL

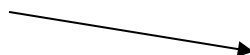
Simon & Schuster, LLC
c/o Redwood SCS
PO Box 51692
Livonia, MI 48151, USA

For **COLLECT** shipments the BOL should be marked **COLLECT** and reference the customer's 3rd party billing address.

4. All drop shipments should be packed on 48" x 40" refurbished GMA pallets, unless specifically noted otherwise for special customer requests.
5. Bindery must adhere to the customer's Vendor Guidelines (contact the bindery coordinator for details).
6. Bindery must include customer purchase order on all pallet placards (see below).

Failure to comply with timely notification or any of the above requirements can result in substantial compliance charges.

Pallet placard example



Customer's PO # _____
Carton Count _____
Pallet # _____ of _____

Routing Instructions

Please contact the transportation department for any questions regarding shipments to Simon & Schuster (see page 5 for contacts).

Air Freight Shipments and International Shipments

Only the S&S transportation department may authorize the use of air freight or send international shipments. When requesting the approval and billing information for air freight and international shipments please contact the transportation department (see page 5 for contacts). Unauthorized use of Air Freight will result in a chargeback of the differential cost and compliance charge.

For S&S Product only

Cartons should be floor loaded in the container when shipped from overseas. Cartons should not be imported on pallets.

Freight Forwarder: DSV Air & Sea, Attn: (refer to DSV link below for contact name by country)
Send notification of shipping and forward shipping documents to the below e-mail address:
lcdl.sstransportationoutbound@simonandschuster.com

DSV

<https://www.dsv.com/en/support/find-dsv>

Overseas shipments should be floor loaded and not palletized. Please follow standard S&S guidelines for cartoning instructions.

Please list as the consignee on all paperwork:

Simon and Schuster
1230 Avenue of the Americas
New York, NY 10020 USA

C-TPAT (Customs-Trade Partnership Against Terrorism)

Simon & Schuster is a certified C-TPAT (Customs-Trade Partnership Against Terrorism) company and expects all of the suppliers to meet the recommendations/guidelines of the program. The C-TPAT program is a voluntary Government-Industry program designed to increase security at our borders.

If you are an overseas bindery, you will be required to complete Simon & Schuster's C-TPAT Security Questionnaire. Please contact our Transportation Manager to obtain this form and to answer any questions you may have related to Simon & Schuster's participation in the program.

For additional information, please visit the below link to CBP (US Customs & Border Patrol):
[CTPAT: Customs Trade Partnership Against Terrorism | U.S. Customs and Border Protection](#)

Cost to Cure Non-Compliance

If Simon & Schuster feel necessary due to quality problems or non-compliance with these standards, Simon & Schuster reserves the right to charge the vendor for out-of-pocket costs incurred to cure such defects. This is not a compliance penalty.

However, if a vendor exhibits a significant or ongoing disregard for these requirements then S&S reserves the right to assess compliance penalties described in the compliance penalties section.

PENALTIES FOR NON-COMPLIANCE

Summarized below are the charge back amounts that Simon & Schuster may, at its option, assess for various non-compliance issues. The charge backs are specific to shipments that sent directly to our distribution center. The vendor will also be responsible for vendor violations fees that Simon & Schuster may incur from our customers due to non-compliance when shipping directly to a customer. **All chargeback's will be deducted from your next remittance invoice.**

There will be a flat fee of \$140 per ISBN/SKU that will be assessed, in addition to the below compliance charges.

<u>PENALTY AMOUNTS</u>	<u>NON-COMPLIANCE ISSUE</u>
<i>Non-Compliant Cartons</i>	
\$500 per title	Carton dimensions (+/-) inch from Publisher supplied specifications, including changes to dimensions after first shipment without approval.
\$10 per carton	Cartons exceeded the established weight limit.
\$250 plus \$25 per carton	Actual quantity in carton differs from Publisher supplied information, including changes made after first shipment without approval.
\$10 per carton	Books are not packed flat and spine to spine.
\$10 per carton	Insufficient space filler.
\$10 per carton	Tape width is incorrect.
\$10 per carton	Carton was banded
<i>Improper Labeled or Marked Carton</i>	
\$10 per carton	Failed to follow standards for carton label or marking.
\$1000 per title	Failure to use the UCC/EAN-128 symbology for bar-codes.
\$10 per carton	Label or marking not on 2 sides.
\$10 per carton	Label or marking placement is incorrect.
<i>Documentation</i>	
\$500 per Shipment	Packing List not included in shipment or not clearly marked.
\$500 per Shipment	Required information is not on Packing List.
\$500 per Shipment	Packing List not e-mailed or faxed.

Penalties for Non Compliance Continued

PENALTY AMOUNTS

NON-COMPLIANCE ISSUE

Non-Compliant Pallets

\$25 per pallet	Incorrect pallet size
\$25 per pallet	Pallet was not stacked to maximize the number of cartons on a pallet.
\$25 per pallet	ASN label not on pallet.
\$25 per pallet	ASN label placement is incorrect.
\$25 per pallet	Banding or pallet tops on pallet.
\$25 per pallet	Actual pallet quantity differs from Publisher supplied specifications, including any changes to pallet quantities after first shipment.
\$25 per pallet & Labor to restack the cartons on a new pallet	Broken or unusable pallets used

Non-Compliant Shipments

\$10 per discrepancy	Failure to mark "Prepaid 3 rd Party" on Simon & Schuster product bill of lading.
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Non-Compliant Electronic ASN Transmission or Web Site

\$500 per shipment	Electronic ASN file or Web Site file not received before shipment.
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Non-Compliant Routing / Carrier Selection

Full freight cost plus any penalties or additional costs assessed by our customers as a result of such error	Failure to follow Routing Instructions
additional costs assessed by our customers as a result of such error	Failure to follow Routing Instructions

[Contacts](#)

Department	E-Mail
Transportation & Routing Resource for outbound transportation and routing requirements (domestic and international) , carrier issue and CTPAT information	SSTransportation@simonandschuster.com
Purchasing Pallet requests	SSPurchasing@simonandschuster.com
Receiving General questions regarding carton/pallet specifications, ASN transmission or setup issues and valued added services	SSReceiving@simonandschuster.com
Vendor Compliance Vendor guideline questions, label approvals, receiving requirements and chargeback inquiries	RIVVENDORCOMPLIANCE@SIMONANDSCHUSTER.COM
EDI General questions regarding EDI transmission	edics@simonandschuster.com
Bindery Shipments General questions regarding direct bindery shipments	SSBindshipments@simonandschuster.com