



C-TPAT Security Questionnaire for Licensed U.S. Customs Brokers

1.) Are you an active U.S. Licensed Customs Broker?

Do you have a business office staffed in the US?

Do you have an active U.S. Customs Broker's License and Filer Code of record ID(s) in either of the following formats: (Please state which, and your number)

- A.) ##### Customs Broker's License Serial Number (OR)
- B.) ### Filer Code

Do you have a designated company officer that will be the primary cargo security officer responsible for C-TPAT?

How do you intend to commit to maintaining CBP's C-TPAT Security Guidelines for Brokers?

Have you provided CBP with a C-TPAT supply chain security profile, which identifies how you, the broker, will meet, maintain and enhance internal policy to meet the C-TPAT Security Guidelines for Brokers?

Are you C-TPAT certified? If yes, please list your Status Verification Interface number (SVI).

Procedural Security:

List the procedures for notifying Customs and other law enforcement agencies whenever anomalies or illegal activities related to security issues are detected or suspected.

Documentation Processing: Consolidators should make their best efforts to ensure that all information provided by the importer/exporter, freight forwarder, etc., and used in the clearing of merchandise/cargo, is legible and protected against the exchange, loss or introduction of erroneous information.

For accuracy purposes is the information received including the shipper and consignee name and address, first and second notify parties, description, weight, quantity, and unit of measure being maintained?

List the procedures for recording, reporting, and or investigating shortages and overages of merchandise / cargo.

List the procedures for tracking the movement of incoming and outgoing cargo.

How is computer access and information safeguarded?

Does the company participate in the Automated Manifested System (AMS) and are all submissions complete, legible, accurate and submitted in a timely manner pursuant to Customs regulations?

Personnel Security:

Does the company have established internal processes to screen perspective employees, and verify applications?

Do these processes include background checks and other tests depending on the particular employee function involved?

Are these processes consistent with federal, state, and local regulations and statutes?

Education and Training Awareness: A security awareness program should include notification being provided to Customs and other law enforcement agencies whenever anomalies or illegal activities related to security are detected or suspected.

Are there recognition programs for active employee participation in security controls?

What training in documentation fraud and computer security controls does the company have in place?

C-TPAT Compliance:

Are you eligible for C-TPAT Certification? Yes or No
(You must be conducting business within the United States to receive certification).
Have you applied for certification? If yes, have you received your certification?

If you answer “yes” to the last question, please provide with your questionnaire a copy of your C-TPAT certification or certification number.

Other Security Accredited Organizations:

Do you participate in other programs designed to certify supply chain security?

If yes, please provide the name and contact information of these organization(s) and advise your level of participation. If you have received any certification from these organizations, kindly provide documents that reflect your certification.

Company Name:

Signature:

Manager

Name: _____

Date:

After the form is completed, kindly send via fax, PDF, or mail back to your Penrod representative. Sorry, we cannot accept typed signatures; we must have an actual signature.