



Broker Known Importer Program- CBP Compliance Questionnaire

As your customs broker of choice, we have a fiduciary responsibility to represent you before US Customs and Border Protection (and other government agencies) regarding the goods you import. A new initiative by US Customs requires that we certify that you either have – or don't have- a strong internal compliance program. We are thus obligated to know more about your business so that we can represent you the best way possible when entering goods on your behalf.

We will review this document with you as a result of our "reasonable care" process. The result of this process will allow US Customs & Border Protection to more accurately determine which shipments will be subject to examination, and for them to know that we, your broker, have reviewed your business practices so that we can claim, correctly, that we more fully understand your business. We want to proudly certify that you are a known importer – hence this questionnaire.

Your Company Name: _____

Address: _____

City: _____ State: _____ Zip: _____

Contact Name: _____ Phone: _____

Signature: _____ Email: _____

Title: _____

Please retain a copy of this signed and dated document for your records. This is an important compliance document that will be used by Mainfreight Inc.'s import brokerage professionals to ensure all importations comply with US Customs & Border Protection and any other applicable import regulations and requirements.

Once completed, please return to your local Mainfreight Inc. brokerage office, or you can scan it and send it to us at chb@mainfreightusa.com.

A Mainfreight Inc. Licensed Customs Broker will then contact you to review the document in full and ask any clarifying questions.



1. Do you have a Continuous Bond?

Yes

No

If not, how many shipments to you expect to import in the coming year? _____

2. Right to Make Entry:

Under federal law, only the importer of record has the right to make entry of imported goods. The importer of record is the owner or purchaser of the imported goods and includes any party with a financial interest in a transaction such as:

The actual owner of the goods

- The actual purchaser of the goods
- A buying or selling agent
- A person or firm who imports on consignment
- A person or firm who imports under loan or lease
- A person or firm who imports for exhibition at a trade fair
- A person or firm who imports goods for repair or alteration or further fabrication, etc.

Based on the above definition, do you have right to make entry on the goods you plan to import?

Yes

No

3. Classification

Classification is the process of assigning a 10 digit number from the Harmonized Tariff Schedule of the United States to a product. Every item that arrives in the U.S. from a foreign country must be classified. The classification of an item determines its duty rate and whether it requires clearance by any other government agency.

If you are not familiar with the classification process, see here to get an idea of what is involved:

<http://hts.usitc.gov/>

Please indicate how you will handle the classification of your products:

I will provide all necessary classifications

My broker will classify my products based on information I provide.

If you will be providing classifications, please indicate if you have a spreadsheet or other database listing all of your product numbers with their corresponding classification:

Yes

No



4. Valuation

Additions to transaction value:

The entered value of imported merchandise must include the following items:

- Packing costs
- Selling commissions
- Assists which consist of is any of the following items if supplied directly or indirectly, and free of charge or at reduced cost by the buyer of the imported merchandise for use in connection with the production or the sale for export to the United States of the merchandise:
 - Materials, components, parts and similar items incorporated in the imported merchandise.
 - Tools, dies, molds, and similar items used in the production of the imported merchandise.
 - Merchandise consumed in the production of the merchandise.
 - Engineering, development, artwork, design work and plans and sketches, that are undertaken elsewhere than in the United States, and are necessary for the production of the imported merchandise.
- Any royalty or license fee related to the imported merchandise that the buyer is required to pay, directly or indirectly, as a condition of the sale of the imported merchandise for exportation to the United States
- The proceeds of any subsequent resale, disposal, or use of the imported merchandise that accrue, directly or indirectly, to the seller.

4a. Please indicate if any of the above items apply to the goods you will be importing:

- Yes
 No

4b. If yes, please indicate if the price shown on the commercial invoice includes the cost of these items:

- Yes
 No

5. Deductions from transaction value:

If the price shown on the commercial invoice includes charges for transportation, insurance or other related services incident to the international shipment of your merchandise from the country of exportation, these charges may be deducted from the value of the merchandise if:

You know the actual amount of these charges. Estimated charges cannot be deducted.

- You provide us with a document that shows the actual charges. Acceptable documents include:
 - An invoice or written contract separately listing freight/insurance costs
 - A freight/insurance invoice
 - Through bill of lading which shows the charges
 - Proof of payment of the freight/insurance charges



Please indicate if there will be deductions from the transaction value:

- Yes
- No

6. Related Party Transactions

CBP requires that an indication be made as to whether you as the importer are related to any of your overseas suppliers. CBP defines related parties as any one of the following situations:

- Members of the same family, including brothers and sisters (whether by whole or half- blood), spouse, ancestors, and lineal descendants.
- Any officer or director of related organizations, as well as those organizations themselves.
- An officer or director of an organization and an officer or director of another organization, if each individual also is an officer or director in the other organization.
- Partners
- Employer and employee
- Any person directly or indirectly owning, controlling, or holding with power to vote, 5 percent or more of the outstanding voting stock or shares of a related organization and the organization itself.
- Two or more persons directly or indirectly controlling, controlled by or under common control with, any other person.

Please indicate if you are related to any of your suppliers:

- Related (Please send a list of all suppliers you are related to)
- Not Related

7. Buying Commissions

Please indicate if you have any Buying Agency Agreements involved in your importation.

- No Buying Agency Agreement
- Buying Agency Agreement (Please supply our office with a copy of this agreement)

8. Anti-Dumping and Countervailing Duties

Are any of the goods you import subject to anti-dumping or countervailing duties?

- Yes
- No

If so, please provide the countries of origin, names of the foreign manufacturers and case numbers you believe are applicable:

9. Free Trade Agreements

9a. Are any of the goods you import eligible for reduced or free duty under any of the various Free Trade Agreements?

- Yes (if yes, please provide the certifications needed to claim duty preferential treatment)
- No



9b. If yes, please indicate which Free Trade Agreements apply to your merchandise:

- United States-Australia Free Trade Agreement
- Automotive Products Trade Act
- United States-Bahrain Free Trade Agreement Implementation Act
- Agreement on Trade in Civil Aircraft
- North American Free Trade Agreement
- United States-Chile Free Trade Agreement
- African Growth and Opportunity Act
- Caribbean Basin Economic Recovery Act
- United States-Israel Free Trade Area
- United States-Jordan Free Trade Area Implementation Act
- Agreement on Trade in Pharmaceutical Products
- Dominican Republic-Central America-United States Free Trade Agreement Implementation Act
- Uruguay Round Concessions on Intermediate Chemicals for Dyes
- United States-Caribbean Basin Trade Partnership Act
- United States-Morocco Free Trade Agreement Implementation Act
- United States-Singapore Free Trade Agreement
- United States-Oman Free Trade Agreement Implementation Act
- United States-Peru Trade Promotion Agreement Implementation Act
- United States-Korea Free Trade Agreement Implementation Act
- United States-Colombia Trade Promotion Agreement Implementation Act
- United States-Panama Trade Promotion Agreement Implementation Act

10. Drawback

Do you claim duty drawback on any goods exported from the U.S.?

- Yes
- No

11. Binding Rulings

Please advise if you have obtained any binding rulings from CBP and provide copies.

- Yes
- No

12. Trademark and/or Copyright Certifications

12a. Please indicate whether any of the items you import contain trademarks or copyrights.

- Yes
- No

12b. If the answer is "yes," are you the owner of the mark?

- Yes
- No



12c. If you are not the owner of the mark, do you have a trademark/copyright authorization letter from the actual owner?

- Yes
- No

Please forward an updated listing of the trademarks/copyrights and related authorization letters (if applicable) that appear on your imported products. We would like to ask that you provide any updated letters as they come available; this will prevent any unnecessary delays or costs should CBP require copies of same when examining shipment documentation or when conducting an intensive exam.

13. Country of Origin Marking

Every article of foreign origin entering the United States must be legibly and conspicuously marked with the English name of the country of origin unless an exception from marking is provided for in the law. Are your imported goods properly marked?

- Yes
- No

14. Other Government Agencies

14a. Please indicate if your goods are subject to regulation by any of the following other government agencies:

- FDA
 - Cosmetics
 - Drugs
 - Radiation-emitting devices
 - Food – food-related items
- USDA
- Fish & Wildlife
- EPA
- DOT
- Steel License
- ATF
- TSCA
- Other (please identify): _____

14b: Who is the person we can contact at your company to request the information we will need in order to clear your goods thru the other government agencies listed above?

Name: _____ Email/Phone: _____

15. C-TPAT

C-TPAT is the “Customs and Trade Partnership Against Terrorism” program. Participants are required to take steps to secure their supply chain and in return are provided various benefits by CBP. For more information on C-TPAT, please see here:

http://www.cbp.gov/xp/cgov/trade/cargo_security/ctpat/



15a. Please indicate your C-TPAT status:

C-TPAT Certified

C-TPAT Certificate Number: _____

Not C-TPAT Certified

16. Reconciliation

Reconciliation is a CBP program which allows an importer to file entries with the best available information at the time with the understanding that certain data may change.

For more information on reconciliation, see here:

http://www.cbp.gov/xp/cgov/trade/trade_programs/reconciliation/

Please indicate if you are a reconciliation participant:

Yes

No

We can file your reconciliation entry on your behalf, if you desire. Just let your Mainfreight CHB contact know – we'll take it from there.

17. Duty Payments

Duty must be paid to CBP 10 days after your shipment is released. Mainfreight will add a disbursement fee should we outlay these funds on your behalf. Please indicate the method you use to pay your duty:

Importer's ACH Payer Unit Number: _____ (this is our default method)

Broker's ACH – disbursement fee or COD applies for duty payments made on your behalf.

Periodic Monthly Statement

Note that if you do not have your own ACH duty payment account set up with US Customs, we will be pleased to provide the necessary documentation to apply for this direct duty payment program. Payment of duty via the Importer's ACH account is our default method for the duty payment process, and we encourage your participation.

18. Import History

18a. Has the company had merchandise seized or been subject to any penalties or demands for liquidated damages in the last five years?

Yes

No

18b. Other than post-entry corrections, has the company made any voluntary tenders or prior disclosures to CBP in the last five years?

Yes

No

18c. Has the company received any Requests for Information (CF 28) or Notices of Action (CF 29) from CBP in the last two years?

Yes

No



18d. Has the company been the subject of a Focused Assessment or other CBP initiated review/audit in the last five years?

- Yes
- No

18e. Is the company a participant in any trusted trader program such as Importer Self Assessment?

- Yes
- No



Reviewed by Mainfreight, Inc. Licensed Broker: _____
(Signature of Licensed Broker here)

Date: ____ / ____ /20 ____

Branch: _____

TKIP: T NT