

## CTPAT Importer Security Questionnaire

To Whom It May Concern:

Gebrüder Weiss, Inc. is a certified participant of the Customs Trade Partnership Against Terrorism (CTPAT) program, a partnership between the trade community and U.S. Customs and Border Protection (CBP), designed to establish supply chain security processes to prevent terrorist devices and other contraband from entering the global supply chain.

As a member of the CTPAT program, Gebrüder Weiss, Inc. is required to engage with all of our business partners. Gebrüder Weiss, Inc. can aid you in developing and maintaining a security program within the guidelines of the CTPAT program, with emphasis on ensuring the integrity of all U.S bound shipments.

Together we will work to prevent the introduction of unauthorized materials into any cargo, container, trailer or other shipping conveyance. The CTPAT minimum security criteria is available at website (<https://www.cbp.gov/border-security/ports-entry/cargo-security/ctpat>). After reviewing the criteria, you should implement any security and/or trade compliance improvements necessary to comply, and consider applying for CTPAT membership, if eligible.

CTPAT is a voluntary government-business initiative designed to build cooperative relationships that strengthen and improve overall international supply chain and U.S. border security. Through this initiative, CBP is asking businesses to ensure the integrity of their security practices and communicate and verify the security guidelines of their business partners within the supply chain.

If you are a member of the CTPAT program, we ask you to complete only pages 2 and 9 of the questionnaire and return it to Gebrüder Weiss, Inc.

If you are not a member of the CTPAT program, we ask that you complete and return the attached questionnaire in full. We can also offer you consulting services if you do wish to join the CTPAT program, simply reach out to our Head Office Compliance Team who can get you started in the right direction.

Please complete the attached questionnaire to the best of your ability (electronically or in hardcopy) and return it within ten days of receipt to:

Gebrüder Weiss, Inc.  
251 Wille Road, Suite C  
Des Plaines, IL 60018  
Attention: Head Office Compliance  
Phone: 847-795-4300  
Email: [460VTUSAHeadofficeHSEQCompliance@gw-world.com](mailto:460VTUSAHeadofficeHSEQCompliance@gw-world.com)

Thank you in advance for your time and cooperation.

Yours faithfully,

Gebrüder Weiss, Inc.

# CTPAT Importer Security Questionnaire

Customer / Supplier Information				
Company Name				
Type of Business				
Address				
City		State		Zip
Respondent's Name				
Respondent's Title				
Telephone		Fax		
Email				
Date of Completion				

CTPAT Information	
Indicate CTPAT Status	<input type="checkbox"/> <b>Certified **</b>
	<input type="checkbox"/> <b>GW linked for monitoring within the CTPAT Portal</b>
	<input type="checkbox"/> <b>Pending Application</b> (proceed to page 3 to complete questionnaire)
	<input type="checkbox"/> <b>Not Applicable</b> (proceed to page 3 to complete questionnaire)

Foreign Security Programs	Yes	No	Foreign Program(s)
Are you part of any other Foreign Security Program?	<input type="checkbox"/>	<input type="checkbox"/>	

**\*\* Certified CTPAT Participants:** Completion of the questionnaire is optional.

**\*\* GW will request monitoring through the CTPAT portal**

## CTPAT Importer Security Questionnaire

I. Business Partner Requirement	Yes	No	N/A	Notes / Additional Information
Do you have written and verifiable processes for the selection of business partners including manufacturers, product suppliers and vendors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

II. Physical Security and Access Controls	Yes	No	N/A	Notes / Additional Information
Are written standards in place by the company for access and physical security?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the building(s) constructed of sufficiently sturdy materials to resist unlawful entry and protect against outside intrusion?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are the premises secure with adequate locking and monitoring devices for all doors, windows, gates, and fences?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does the company have any video surveillance cameras in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
If so, are tapes of security cameras stored and rotated on a regular basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Do the cameras operate 24 hours a day and are they regularly checked?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are there any motion detectors and alarm systems securing the premises?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are the premises secured by security personnel or is access to the property otherwise limited?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are the premises secured by fence or barrier?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is adequate lighting provided inside and outside Company facility to include parking areas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Do the alarm systems utilized by the company link automatically to local law enforcement officials?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is there security warning signage on the premises?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is there a procedure accounting for keys or RFID cards that have been given to employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are controls in place to prevent unauthorized individuals from entering the premises?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does your company utilize check-in procedures for visitors to the premises?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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II. Physical Security and Access Controls	Yes	No	N/A	Notes / Additional Information
Does your company require positive photo identification of each visitor that is to be logged in or admitted to the premises?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are all the employees readily identified and required to wear identification badges?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are employees required to use a card reader to gain access to the premises?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are visitors badges issued?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are visitors escorted throughout the premises by an authorized employee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are there procedures in place to notify Customs, police, or fire department and similar authorities of abnormal or illegal activity spotted by employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does your company have master emergency plan in the event of catastrophic activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are periodic security reviews conducted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

III. Procedural Security and Documentation Processing	Yes	No	N/A	Notes / Additional Information
Does your company perform a daily security check of the premise?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are all mail packages checked carefully upon presentation at the premises?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are any procedures in effect for challenging the entrance of unauthorized personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are the receiving and loading dock areas secure with access restricted only to authorized personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is there a designated individual or individuals in charge of security to supervise the introduction and removal of cargo to the premises?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are procedures in place to verify that cargo is properly marked, weighed, counted documented and verified against the manifest document?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are there written procedures in place regarding the security of the receiving and loading dock?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are procedures in place to properly verify the identification of truckers and their cargo?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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III. Procedural Security and Documentation Processing	Yes	No	N/A	Notes / Additional Information
Are procedures in place to ensure reconciliation of cargo with documentation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are shortages and overages accounted for?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are the procedures for accounting for shortages and overages in writing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does your company have a system to track cargo movement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are procedures in place to ascertain how long cargo has remained in inventory in the warehouse or facility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are procedures in place for verifying the seals on containers, trailers and rail cars?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are procedures in place to notify Customs and other law enforcement agencies of anomalies or illegal activities suspected by the company?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does your company have appropriate procedures for the storage of empty and full containers and to prevent unauthorized access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does your company ensure that documentation is legible, accurate, and has not been altered in any manner?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are complete records kept of all inbound and outbound cargo?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are hazardous materials subject to special procedures in keeping with DOT regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are procedures in place for adhering to regulations of any other relevant governmental agencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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IV. Container Security	Yes	No	N/A	Notes / Additional Information
Procedures must be in place to verify the physical integrity of the container structure prior to stuffing, to include the reliability of the locking mechanisms of the doors. A seven-point inspection process is recommended for all containers: <ul style="list-style-type: none"> <li>• Front wall</li> <li>• Left side</li> <li>• Right side</li> <li>• Floor (inside length verified)</li> <li>• Ceiling / Roof</li> <li>• Inside / outside doors</li> <li>• Outside, Undercarriage</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Written procedures must stipulate how seals are to be controlled and affixed or removed to or from loaded containers - to include procedures for recognizing and reporting compromised seals and/or containers to U.S. Customs and Border Protection or the appropriate foreign authority. Only designated employees should distribute / remove container seals for integrity purposes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Containers must be stored in a secure area to prevent unauthorized access and/or manipulation. Procedures must be in place for reporting and neutralizing unauthorized entry into containers or container storage areas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

V. Personnel Security	Yes	No	N/A	Notes / Additional Information
Are written standards maintained with respect to screening prospective employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are appropriate background checks conducted on potential employees, including criminal background checks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does your company have a documented code of conduct that it expects employees to adhere to?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is attendance kept at the office, and are procedures in place to account for irregular or inadequate attendance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are procedures in place to make appropriate checks with the U.S. Customs and Border Protection regarding a potential employee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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V. Personnel Security	Yes	No	N/A	Notes / Additional Information
Does your company have an employee procedures manual in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are employees encouraged either formally or informally to report any suspicious activities or anomalies on the premises?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

VI. Education and Training Awareness	Yes	No	N/A	Notes / Additional Information
Does your company have a security awareness program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does your program recognize the awareness of and importance of maintaining cargo integrity and determining and addressing unauthorized access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does the program recognize the importance of notifying authorities of suspicious activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are there any incentives given to your employees for active participation in such programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does your company issue periodic reminders as to the importance of security awareness?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does your company participate in, produce, or attend seminars regarding security awareness and their relation to the international trade process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

VII. Information Technology Security	Yes	No	N/A	Notes / Additional Information
Automated systems must use individually assigned accounts that require a periodic change of password. IT security policies, procedures and standards must be in place and provided to employees in the form of training.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
A system must be in place to identify the abuse of IT including improper access, tampering or the altering of business data. All system violators must be subject to appropriate disciplinary actions for abuse.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are there written procedures in place regarding computer access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are passwords changed periodically?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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VII. Information Technology Security	Yes	No	N/A	Notes / Additional Information
Are controls in place so that access to your information/computer system is protected?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does your company use passwords, screen ID's and firewalls for such protection?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is access to the company information (computer) system immediately eliminated upon termination of an employee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is there a periodic review of information systems by the company?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are the transactions in the information system traceable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

VIII. Other Security Measures
Please use the space below to describe vulnerabilities or additional security measures you have or plan to put in place that were not previously covered.

Additional information on the CTPAT program is available on the web at:

[U.S. Customs and Border Protection: CTPAT](#)



# CTPAT Importer Security Questionnaire

## Importer Confirmation & Acknowledgement Statement For Broker CTPAT Program

As an import client of GW CHB, I/we will cooperate with GW CHB in executing its supply chain security program and fulfilling our mutual responsibilities to reasonably comply with CBP's CTPAT program.

I/we understand that GW CHB or its authorized agent may verify the importers (named below) security program on an as needed basis, to ensure that it meets all of GW CHB's CTPAT vendor requirements. I/we pledge to actively support and cooperate with GW CHB in continuously evaluating and improving overall supply chain security efforts in support of the CTPAT initiative.

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Company: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Tel: \_\_\_\_\_

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

Email: \_\_\_\_\_

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

Title: \_\_\_\_\_

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