



Customs Brokerage Compliance Checklist

Licensing & Registration

Ensuring compliance with regulatory requirements for Customs Broker licenses and registrations.

Customs Broker License Number

License Expiration Date

License Status (Active/Inactive/Suspended)

- ☐ Active
- ☐ Inactive
- ☐ Suspended


Jurisdiction(s) Licensed To Operate In

- ☐ United States
- ☐ Canada
- ☐ Mexico
- ☐ Other (Specify in LONG_TEXT)

Other Jurisdictions (If selected above)

Write something...

Copy of Customs Broker License

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Client Due Diligence (CDD)

Verifying client identity, beneficial ownership, and risk profile to comply with anti-money laundering and trade compliance regulations.

Client Business Description

Write something...

Client Entity Type

- ☐ Individual
- ☐ Corporation
- ☐ Partnership
- ☐ LLC
- ☐ Other

Client Tax ID/EIN

Enter a number...


Ultimate Beneficial Owner (UBO) Information (Name, Address, Percentage of Ownership)

Write something...

Countries of Origin for Goods

- ☐ China
- ☐ Vietnam
- ☐ Mexico
- ☐ Canada
- ☐ Germany
- ☐ United States
- ☐ Other

KYC Documentation (e.g., Articles of Incorporation, Passport Copies)

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Entry Filing & Documentation

Focusing on accurate and complete customs entry documentation and adherence to filing requirements.

Entry Type Selection (e.g., Formal, Temporary)

- ☐ Formal Entry
- ☐ Temporary Entry
- ☐ Drawback Entry
- ☐ Bonded Entry

Description of Goods

Write something...

Quantity of Goods

Enter a number...

Weight (kg/lbs)

Enter a number...

Commercial Invoice

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Packing List

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Incoterms (e.g., FOB, CIF)

- ☐ FOB
- ☐ CIF
- ☐ EXW
- ☐ DDP
- ☐ Other

Date of Entry Filing

Any Remarks/Special Instructions for Customs

Record Keeping & Audit Trails

Maintaining comprehensive records and audit trails related to brokerage activities.

Record Retention Policy Last Review Date

Number of years records are retained (minimum)

Summary of Record Keeping Procedures

Sample Record Keeping Policy Document

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Method of Record Storage (Electronic/Physical/Hybrid)

- ☐ Electronic
- ☐ Physical
- ☐ Hybrid

Description of Audit Trail System (if applicable)

Write something...

Frequency of Internal Audits (Record Keeping Focused)

- ☐ Monthly
- ☐ Quarterly
- ☐ Annually
- ☐ Other (Specify)

Summary of recent audit findings and corrective actions taken regarding record keeping.

Write something...

Duty & Tax Management

Ensuring accurate calculation, payment, and reporting of duties, taxes, and other fees.

Duty Calculation Accuracy Rate (Monthly)

Enter a number...

Method for verifying declared values

- ☐ Client provided documentation
- ☐ Independent market research
- ☐ Automated valuation tools

Percentage of Entries with Duty/Tax Discrepancies (Monthly)

Enter a number...

Last Review Date of Duty/Tax Calculation Procedures

Enter date...

Description of Procedures for Handling Overpayments/Underpayments

Write something...


System Used for Duty/Tax Calculation & Reporting

- ☐ Manual Calculation
- ☐ Custom-built System
- ☐ Commercial Software (Specify:)

Number of Audits Performed on Duty/Tax Calculations (Annually)

Enter a number...

Upload sample calculation audit report

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Restricted Party Screening

Implementing procedures to screen against restricted party lists and ensure transactions don't violate export/import controls.

Screening Method

- ☐ Automated Screening Software
- ☐ Manual Review of Lists
- ☐ Hybrid Approach

Restricted Party Lists Screened Against (Select all that apply)

- ☐ OFAC SDN List
- ☐ Denied Persons List (US DOCA)
- ☐ EU Consolidated List
- ☐ United Nations Sanctions Lists
- ☐ Customs-Specific Restricted Parties (e.g., PEPs)

Last Screening List Update Date

Enter date...

Software Used for Screening (if applicable)

Write something...

Procedure for Handling Matches/Potential Matches

Write something...

Example Screening Log/Record (for audit purposes)

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Escalation Path for Match Verification

- ☐ Brokerage Compliance Officer
- ☐ Designated Senior Manager
- ☐ Legal Department

Average Time to Verify Potential Matches (in business days)

Enter a number...

Compliance Training & Awareness

Providing ongoing training to brokerage personnel on relevant customs regulations and compliance procedures.

Last Training Completion Date

Enter date...

Training Modules Covered (Select all that apply)

- ☐ US Customs Regulations (19 CFR)
- ☐ Export Compliance
- ☐ Import Compliance
- ☐ Restricted Party Screening
- ☐ Harmonized Tariff Schedule (HTS) Lookup
- ☐ NAFTA/USMCA Rules of Origin
- ☐ Anti-Money Laundering (AML) Compliance
- ☐ Recordkeeping Requirements

Summary of Training Content Covered

Write something...


Hours of Training Completed (per employee)

Enter a number...

Training Delivery Method

- ☐ Online/Webinar
- ☐ In-Person Workshop
- ☐ Self-Study Materials
- ☐ Combination

Upload Training Certificates/Records (optional)

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Internal Controls & Risk Management

Establishing internal controls to prevent and detect compliance breaches and mitigating identified risks.

Number of Compliance Reviews Conducted Annually

Enter a number...

Risk Assessment Methodology Used

- ☐ Qualitative Only
- ☐ Quantitative Only
- ☐ Combined Qualitative & Quantitative

Summary of Key Risks Identified in the Most Recent Risk Assessment

Write something...

Types of Internal Audits Performed (select all that apply)

- ☐ Entry Accuracy Audits
- ☐ Record Keeping Audits
- ☐ Client Due Diligence Reviews
- ☐ Restricted Party Screening Verification

Date of Last Internal Audit

Enter date...

Summary of Audit Findings and Corrective Actions Taken

Write something...

Method for Monitoring Broker Performance

- ☐ Regular KPI Reviews
- ☐ Client Feedback
- ☐ Internal Audit
- ☐ Other

Designated Person Responsible for Risk Management

Write something...

Reporting & Communication

Defining procedures for reporting compliance issues and maintaining communication with relevant stakeholders (clients, customs authorities).

Date of Last Compliance Report Submission

Enter date...

Summary of Reported Compliance Issues (if any) in the last reporting period

Write something...

Number of Significant Compliance Issues Reported

Enter a number...

Which Regulatory Bodies do you regularly communicate with?

- ☐ CBP (US Customs and Border Protection)
- ☐ CBSA (Canada Border Services Agency)
- ☐ Other (Specify in LONG_TEXT)

Primary Communication Method with Clients Regarding Compliance Matters?

- ☐ Email
- ☐ Phone
- ☐ Written Report
- ☐ Portal/Web Interface

Description of Escalation Procedure for Compliance Issues

Write something...

Date of Last Client Communication Regarding Regulatory Changes

Enter date...