

**Section 1 Trader information**

<b>Sub section 1.01 Organisational characteristics</b>		<b>Standard</b>
<b>1</b>	Depending on your legal status, provide the names and addresses of: <ul style="list-style-type: none"><li>• The sole proprietor, or</li><li>• All partners, or</li><li>• All directors, major shareholders and legal representatives of the applicant.</li></ul> <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	
<b>2</b>	Briefly describe your main business activities. <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	
<b>3</b>	Give the location of each site and/or subsidiary of the business involved in international trade and briefly describe the business activities at each location. <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	
<b>4</b>	State if the business and each site/subsidiary, listed at question 3, act within the supply chain: <ul style="list-style-type: none"><li>• In its own name and on its own behalf, or</li><li>• In its own name and on behalf of another person or company, or</li><li>• In the name and on behalf of another person or company.</li></ul> <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	
<b>5</b>	Do you buy from/sell to businesses which are associated to you? No <input type="checkbox"/> Yes <input type="checkbox"/>	
<b>6</b>	Provide details of any independently accredited standards recognised within the UK to which you adhere. <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	

**Sub section 1.02**  
**Internal organisation**

**Standard**

1 Have you documented the internal structure of your business?

No  Yes

2 How many staff are employed in your business?

3 Give the names of your senior personnel involved in the international trade supply chain.

4 Have you documented fallback procedures when key staff are absent?

No  Yes

**Sub section 1.03**  
**Volume of business**

**Standard**

1 Give the annual turnover figure for the last three sets of completed annual accounts. If a new business, state N/A.

2 Provide the annual net profit or loss figure for the last three sets of completed annual accounts. If a new business, state N/A.

3 If you own or use storage sites/premises, give the total storage capacity and average percentage of the storage capacity normally utilised.

4 For each of the following give the number and value of the declarations you have made in each of the last three years.

- Import
- (Re-)export
- Transit

5 For each of the following give the total amount you have paid in each of the last three years.

- Customs duty
- Excise duty
- Import VAT

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6 For each of the following provide an estimate of the number and value of the declarations you expect to make in the next two years.

- Import
- (Re-)export
- Transit

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**Sub section 1.04**  
**Information on customs matters**

**Standard**

1 List the main non-EU countries with which you trade.

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2 Have you documented procedures for the classification of your goods?

No  Yes

3 Do you deal in goods subject to tariff preferences?

No  Yes

4 Have you documented procedures for claiming preferential rates of duty on imports?

No  Yes

5 Have you documented procedures for issuing certificates/invoice declarations at (re-)export?

No  Yes

6 Do you import/(re-)export goods subject to licences, permits, certificates or restrictions?

No  Yes

7 Have you documented procedures for administering these licences?

No  Yes

8 Do you deal in goods subject to anti-dumping duties or countervailing duties?

No  Yes

9 If yes, give details of the manufacturer(s) or countries outside the EU whose goods are subject to the above duties.

10 Have you documented procedures for determining the correct value for duty and VAT (for both imports and (re-)exports)?

No  Yes

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## Section 2 Compliance record

### Sub section 2.01 Compliance history

#### Standard

1 Give brief details of any customs authorisation held or sought by your business which has been withdrawn, suspended or refused in the last three years.

2 Have you documented procedures for identifying and disclosing irregularities/errors to HMRC or other regulatory authorities as appropriate?

No  Yes

3 Give brief details of any compliance errors or irregularities you have discovered in the last three years.

4 Have you taken any remedial action as a result?

No  Yes

### Sub section 2.02 Intelligence information

#### Standard

1 Give brief details of any monetary or non-monetary irregularities for import, (re-)export, handling, transfer or transport of goods you have made in the last three years.

2 Have you taken any remedial action as a result?

No  Yes

3	Give details of any high-risk or controlled goods you handle, for example military goods or technology, dual-use goods, excise goods or CAP goods, hazardous materials.	

**Section 3 The accounting and logistical system of the business**

<b>Sub section 3.01</b>		
<b>Audit trail</b>		<b>Standard</b>
1	Do you maintain a full audit trail of your customs activities?	ISO 9001:2001 Section 6.3
No <input type="checkbox"/> Yes <input type="checkbox"/>		

<b>Sub section 3.02</b>		
<b>Accounting and logistical system</b>		<b>Standard</b>
1	What type of computer system(s) do you use for your commercial and, if used, duty management systems?	ISO 9001:2001 Section 6.3
2	What operating system do you run on your computer system which supports the logistical/accounting operations of your business?	ISO 9001:2001 Section 6.3
3	Which accounting and logistics software applications are used by your business?	ISO 9001:2001 Section 6.3
4	Give the name of the software supplier if the applications used by your business include a specific duty management and/or reporting system.	ISO 9001:2001 Section 6.3
5	Where are your computer activities undertaken?	ISO 9001:2001 Section 6.3

**Sub section 3.03**  
**Internal control systems**

**Standard**

- |   |   |                           |
|---|---|---------------------------|
| 1 | Have you documented procedures by which employees within the purchase, storage, production and sale processes must operate?<br>No <input type="checkbox"/> Yes <input type="checkbox"/> | ISO 9001:2001 Section 7.4 |
| 2 | Have your internal control processes been subject to any internal/external audit?<br>No <input type="checkbox"/> Yes <input type="checkbox"/>   | ISO 9001:2001 Section 7.4 |
| 3 | Have you documented procedures to control your standing data?<br>No <input type="checkbox"/> Yes <input type="checkbox"/>   | ISO 9001:2001 Section 7.4 |

**Sub section 3.04**  
**Flow of goods**

**Standard**

- |   |  |                                 |
|---|--|---------------------------------|
| 1 | Have you documented procedures for the purchase and receipt of non-EU community goods?<br>No <input type="checkbox"/> Yes <input type="checkbox"/>               | ISO 9001:2001 Section 6.3       |
| 2 | Have you documented procedures to control stock movement of goods?<br>No <input type="checkbox"/> Yes <input type="checkbox"/>                                   | ISO 9001:2001 Section 6.3       |
| 3 | Have you documented procedures to control your manufacturing processes?<br>No <input type="checkbox"/> Yes <input type="checkbox"/>                              | ISO 9001:2001 Section 6.3       |
| 4 | Have you documented procedures to control the delivery of goods from stock to your non-EU customers?<br>No <input type="checkbox"/> Yes <input type="checkbox"/> | ISO 9001:2001 Sections 6.3, 7.1 |

**Sub section 3.05**  
**Making customs declarations and the use of customs agents**

**Standard**

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|---|---|-----------------------------|
| 1 | Have you documented procedures for verifying the accuracy of customs declarations including those submitted on your behalf by a third party representative, for example agent, forwarder and so on?<br>No <input type="checkbox"/> Yes <input type="checkbox"/> | ISO 9001:2001 Section 6.2.2 |
|---|---|-----------------------------|

**Sub section 3.06**  
**Procedures for back-up, recovery and fallback and archiving**

**Standard**

- |   |   |  |
|---|---|--|
| 1 | Have you documented procedures for back-up, recovery, fallback, archiving and retrieval of your business records?<br>No <input type="checkbox"/> Yes <input type="checkbox"/> | ISO 9001:2001 Section 6.3<br>ISO 17799:2005<br>ISO 27001:2005<br>ISO norm for standards in IT security |
|---|---|--|

**Sub section 3.07**  
**Information security – protection of security systems**

**Standard**

- 1 Have you documented procedures to protect your computer system against unauthorised access?  
No  Yes

ISO 17799:2005  
ISO 27001:2005  
ISO/PAS 28001:2006 Section A 3.3

**Sub section 3.08**  
**Information security – documentation security**

**Standard**

- 1 Have you documented procedures to control your document security?  
No  Yes

ISO/PAS 28001:2006 Sections A 3.3, 4.2  
ISO 17799:2005  
ISO 27001:2005

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## Section 4 Financial solvency

**Sub section 4.01**  
**Proven solvency**

**Standard**

- 1 Are all your finalised annual accounts up to date?  
No  Yes
- 2 If you are a company, have you submitted your annual accounts to Companies House within the required time limits?  
No  Yes

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## Section 5 Safety and security requirements

**Sub section 5.01**  
**Security assessment conducted by the applicant (self assessment)**

**Standard**

- 1 Who in your business is responsible for safety and security measures?
- 2 Have you undertaken and documented a safety and security assessment?  
No  Yes
- 3 Have you documented your safety and security measures?  
No  Yes
- 4 Have you documented procedures for recording and reporting incidents?  
No  Yes

ISO/PAS 28001:2006 Sections A 3.3, 4.2, 4.3  
ISO 9001:2001 Section 5.5.1  
ISPS Code

ISO/PAS 28001:2006 Sections A 3.3, 4.2, 4.3  
ISO 9001:2001 Section 5.5.1  
ISPS Code

ISO/PAS 28001:2006 Sections A 3.3, 4.2, 4.3  
ISO 9001:2001 Section 5.5.1  
ISPS Code

ISO/PAS 28001:2006 Section A 3.3, 4.2  
ISPS Code

5	Are there any particular security and safety requirements for the goods you are importing/(re-)exporting? No <input type="checkbox"/> Yes <input type="checkbox"/>	ISPS Code
6	If yes, give brief details. <div style="border: 1px solid black; height: 70px; width: 100%;"></div>	ISO/PAS 28001:2006 Sections A 3.3, 4.2, 4.3 ISO 9001:2001 Section 5.5.1 ISPS Code
7	Have you made a threat assessment of your business? No <input type="checkbox"/> Yes <input type="checkbox"/>	ISO/PAS 28001:2006, Section A 4.2 ISPS Code
8	Does your insurance company impose any security requirements on you? No <input type="checkbox"/> Yes <input type="checkbox"/>	ISPS Code
9	Have your customers imposed security requirements on you? No <input type="checkbox"/> Yes <input type="checkbox"/>	ISPS Code

<b>Sub section 5.02 Physical security</b>		<b>Standard</b>
1	Are the external boundaries of your premises secured? No <input type="checkbox"/> Yes <input type="checkbox"/>	ISO/PAS 28001:2006 Section A 3.3 ISPS Code
2	Have you documented procedures to control access through all gates/entrance points? No <input type="checkbox"/> Yes <input type="checkbox"/>	ISO/PAS 28001:2006 Section A 3.3 ISPS Code
3	Do you have locks/security measures for inner and outer doors, windows and gates? No <input type="checkbox"/> Yes <input type="checkbox"/>	ISO/PAS 28001:2006 Section A 3.3
4	Have you documented procedures for the handling of keys? No <input type="checkbox"/> Yes <input type="checkbox"/>	ISO/PAS 28001:2006 Section A 3.3
5	Have you documented procedures for ensuring only authorised staff has access to internal parts of the premises? No <input type="checkbox"/> Yes <input type="checkbox"/>	ISO/PAS 28001:2006 Sections A 3.3, 4.2 ISPS Code
6	Have you documented procedures to protect your premises against unauthorised access by private vehicles? No <input type="checkbox"/> Yes <input type="checkbox"/>	
7	Have you documented procedures for dealing with unauthorised access or intrusion? No <input type="checkbox"/> Yes <input type="checkbox"/>	ISO/PAS 28001:2006 Section A 3.3 ISPS Code
8	Have you documented procedures for checking and maintaining the security of buildings and external boundaries? No <input type="checkbox"/> Yes <input type="checkbox"/>	ISO/PAS 28001:2006 Section A 3.3



**Sub section 5.03****Cargo units****Standard**

1 Do you own the cargo units used by your business?

No  Yes

2 Do you carry out routine inspections of the cargo and tractor units?

No  Yes

3 Have you documented control procedures to monitor the security of cargo units used by your business whilst under your responsibility?

No  Yes

4 Have you documented procedures to deal with incidents of unauthorised access or tampering with a cargo unit?

No  Yes

5 Is the maintenance/repair of the cargo units carried out at your premises or externally?

6 If externally, have you documented procedures for inspection of the cargo units on their return prior to loading?

No  Yes

ISO/PAS 28001:2006 Section A 3.3

ISO/PAS 28001:2006 Section A 3.3  
ISPS Code

ISO/PAS 28001:2006 Section A 3.3

ISO/PAS 28001:2006 Section A 3.3

ISO/PAS 28001:2006 Section A 3.3

**Sub section 5.04**  
**Logistical processes****Standard**

1 Which means of transport are normally used by your business?

2 Is the transport owned by you or an external contractor?

3 If the latter, do you use the contractor on a regular basis and do you have agreements in place outlining responsibilities and procedures for the secure transport of your goods?

4 If you do not use a regular contractor, how do you ensure the safety and security of the transport of your goods?

**Sub section 5.05  
Incoming goods**

**Standard**

1 Have you documented procedures to address safety and security issues surrounding your incoming goods?

No  Yes

ISO 9001:2001 Section 6.2.2  
ISO/PAS 28001:2006 Section A 3.3  
ISO/PAS 17712  
ISO 9001:2000 Section 7.4

2 Have you documented procedures to deal with situations if incoming goods breach security and safety arrangements agreed with your suppliers?

No  Yes

ISO/PAS 28001:2006 Section 3.3

3 Do you ensure that goods are received only in a supervised area?

No  Yes

ISO/PAS 28001:2006 Section 3.3

4 Have you documented procedures for ensuring staff are informed of safety and security measures/arrangements?

No  Yes

ISO/PAS 28001:2006 Section 3.3

5 Have you documented procedures for the receipt of goods which pose a safety and security risk?

No  Yes

ISO 9001:2000 Section 7.4

6 Have you segregated duties between the ordering of the goods, receipt, entering the goods in the system and payment of the invoice?

No  Yes

**Sub section 5.06  
Storage of goods**

**Standard**

1 Have you documented procedures to address the safety and security issues surrounding storage of your goods?

No  Yes

ISO 9001:2001 Section 2.2  
ISO/PAS 28001:2006 Section A 3.3  
ISPS Code  
TAPA (Technology Asset Protection Association) Certificate

**Sub section 5.07  
Manufacture of goods**

**Standard**

1 Have you documented procedures to address the safety and security issues surrounding your manufacturing processes?

No  Yes

ISO/PAS 28001:2006 Section A 3.3

**Sub section 5.08  
Loading of goods**

**Standard**

1 Have you documented physical and documentary procedures to control the loading of goods?

No  Yes

ISO/PAS 28001:2006 Section A 3.3  
ISO/PAS 11712:116  
ISO/PAS 17712  
ISPS Code

2 Have you documented any safety and security measures required by your customers at the time of loading?

No  Yes

ISO/PAS 28001:2006 Section A 3.3

**Sub section 5.09  
Security requirements on suppliers**

**Standard**

1 Do you have any arrangements regarding the implementation of safety and security measures with your suppliers?

ISO/PAS 28001:2006 Section 3.3

No  Yes

**Sub section 5.10  
Personal security**

**Standard**

1 Have you documented procedures on your employment policy that takes into account the security requirements of your business?

ISO/PAS 28001:2006 Section A 3.3

No  Yes

2 Do you train your staff in security and safety requirements?

ISO/PAS 28001:2006 Section A 3.3

No  Yes

3 Do you have security requirements in place for the employment of temporary personnel?

ISO/PAS 28001:2006 Section A 3.3

No  Yes

**Sub section 5.11  
External services**

**Standard**

1 Do you have security requirements incorporated into contractual arrangements with external suppliers, for example security guards, cleaning, maintenance?

ISO/PAS 28001/2006 Section A 3.3

No  Yes

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## Authorisation

HMRC is a data controller under the Data Protection Act 1998. We hold information for the purposes specified in our notification to the Information Commissioner, including the assessment and collection of tax and duties, the payment of benefits and the prevention and detection of crime, and may use this information for any of them. We may get information about you from others, or we may give information to them. If we do, it will only be as the law permits to check the accuracy of information, prevent or detect crime and protect public funds.

We may check information we receive about you with what is already in our records. This can include information provided by you, as well as by others, such as government departments or agencies and overseas tax and customs authorities. We will not give information to anyone outside HMRC unless the law permits us to do so. For more information go to [www.hmrc.gov.uk](http://www.hmrc.gov.uk) and look for Data Protection Act within the search facility.

Under Article 14x of Commission Regulation 1875/2006, HMRC is required to maintain a database of AEO applications, rejections and authorisations. By signing and submitting this application you are agreeing to HMRC exchanging this data with the customs authorities of other member states.

The Commission will also maintain a database of authorised AEOs for access by the public via the Internet. **Inclusion on this list is voluntary.** If authorised, do you agree to the inclusion of your details on that database?

No  Yes

Signed

Name *Use capital letters*

Date

Status of signatory *Sole proprietor, partner, director*