

Smithers, Inc. CHB

123 N. South St., Suite #123, City, State, 12345
Tel: 123-123-1234 | Fax: 456-456-4567 | E: email@email.com



You may put the applicant's letterhead here.
Regardless of whether you include a letterhead, please provide the applicant's name, address, phone, and email address within the application information.

U.S. Customs and Border Protection
Name of Center of Excellence and Expertise
Broker Management Officer
Street Address
City, State Zip Code



The processing Center contact information can be found on the Broker page at CBP.gov.
<https://www.cbp.gov/trade/programs-administration/customs-brokers>

January 1, 2023



Include the date of application

Broker Management Officer:

Pursuant to 19 CFR 111.19(b), I hereby submit this application for a National Permit.

I list below my (my organization's) information:

- Applicant Name: Smithers, Inc.
- Applicant License Number: 12345
- Date license was issued: January 10, 2010



(1) Indicate the applicant's name, license number, and license issuance date.
INDIVIDUAL: If an individual license holder is applying for a national permit, then the individual should include his or her name & information here.
ORGANIZATION: If an organization licensee is applying for a national permit, the "applicant name" will be the organization's name, "applicant license number" will be the organization's license number, etc. (2) The name and company title of the individual completing the application must also be provided in the application document.

I list below the address, telephone number and email address of the office designated by the applicant as the office of record, as defined in 111.1, regarding all activities conducted under the national permit:

123 N. South St., Suite #123, City, State, 12345
123-123-1234
djohnson@smithers.com



(4) This address information will be on the national permit

I list below the name, telephone number, and email address of the knowledgeable point of contact to be available to CBP in and outside normal operating hours to respond to customs business:

Susan Jones
123-123-5678
sjones@smithers.com



(5) After initial submission, the POC information may be updated through the broker's ACE portal account.



I list below the address where the original records (physical and/or electronic) will be retained and the name, telephone number and email address of the individual who will be responsible for broker-wide record maintenance and financial recordkeeping requirements.

1789 N. South St., Suite #123, City, State, 12345

Jonathan Smith

123-123-6789

jsmith@smithers.com



(9)(10) After initial submission, the records address and recordkeeping contact information may be updated through the broker's ACE portal account.

I list below my name, title, broker license number, date of issuance, of the individual broker who will exercise responsible supervision and control over the activities of the applicant conducted under the national permit:

John Doe

Chief Compliance Officer

Lic. #98765, Issued 4/7/1989



Only one broker can be the "qualifier," and a broker can only qualify one national permit. This means that if you qualify a company's national permit, you will not be able to simultaneously qualify your own or another company's national permit.

Please find enclosed application fee payment or evidence of payment; a list of all employees with the information prescribed in 19 CFR 111.28; a copy of the documentation issued by the state authority that establishes legal status and reserves our business name; the name, license number, office address, phone number, and email address of each licensed broker; and a supervision plan.



(3)(6)(7)(8)(11) If an organization, include the documentation establishing its legal status and details required on each licensed broker employee.

Regards,

Don Johnson

Don Johnson, Chief Compliance Officer

Smithers, Inc. CHB



INDIVIDUAL: The application must be submitted by the individual license holder.

ORGANIZATION: The application must be submitted by a licensed broker with the authority to apply for a national permit on behalf of the applicant, (e.g., an officer of the company, or other employee granted authority).



Guidance on Expectations for a Supervision Plan

U.S. Customs and Border Protection (CBP) modernized the customs broker regulations outlined in 19 CFR 111 through the publication of two final rules – Modernization of the Customs Broker Regulations ([87 FR 63267](#)) and Elimination of Customs Broker District Permit Fee ([87 FR 63262](#)). The final rules were published on October 18, 2022 and are effective on December 19, 2022.

Pursuant to 19 CFR 111.19(b)(8), brokers are required to provide a supervision plan describing how responsible supervision and control will be exercised over the customs business conducted under the national permit, including compliance with 19 CFR 111.28. This rule applies to brokers who are approved for national permits on or after the effective date of the Final Rules. Brokers whose national permits were issued prior to the effective date of the Final Rules are not required to provide a supervision plan pursuant to the regulation. However, CBP wishes to emphasize that having an up-to-date supervision plan in place is highly encouraged and should be a best practice for every permit holder.

Every individual broker operating as a sole proprietor, every licensed member of a partnership that is a broker, and every licensed officer of an association or corporation that is a broker, must exercise responsible supervision and control (see § 111.28(a)) over the customs business transacted by the sole proprietorship, partnership, association, or corporation. A sole proprietorship, partnership, association, or corporation must employ a sufficient number of licensed brokers relative to job complexity, similarity of subordinate tasks, physical proximity of subordinates, abilities and skills of employees, and abilities and skills of the managers, among other relevant considerations.

The broker should consider each responsible supervision and control factor when developing the supervision plan and provide detailed information on the business practices established to ensure high quality customs broker service to its clients. Additional guidance on 19 CFR 111.28(a) Responsible Supervision and Control can be found on the [Customs Broker Modernization Regulations](#) webpage at CBP.gov.

