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Policy Name: INBOND Standard Operating Procedure (SOP): Shipments to Schlage de Mexico	Last Revision Date: June 28, 2022	Page: Page 1 of 28

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I. Corporate Policy

It is the policy of Schlage Lock Company, LLC to ensure compliance with US and MX government regulations on importing and exporting. This policy and procedure applies to raw materials, parts, components or other goods transported thru the US for final destination of Schlage de Mexico from any foreign (non-US) supplier:


- A. **Supplier Documentation:** All supplier documentation shall be prepared in accordance with the Documentation requirements shown in the “At A Glance INBOND Shipments to Schlage de Mexico” file. Suppliers must pay special attention to the Packing List requirements for Inbond shipments.
- B. **Southbound Form:** Planner/Buyer (Initiators) must submit a Southbound Form at time of Purchase Order release for all new items to ensure registration in the Mexico Customs system
- C. **Receiving Controls:** Each facility is required to conduct an inspection of all goods received to identify any overages or shortages. All quantity discrepancies identified by Receiving must be communicated to the Schlage de Mexico Customs team IMMEDIATELY.
- D. **Offloading within 24 Hours:** To avoid extremely high ‘per diem’ charges assessed by the ocean carriers (\$80 daily), all trailers must be offloaded by the facilities and returned to the US within 24 hours or sooner.

II. Purpose

Goods are moved “Inbond” thru the US to avoid the unnecessary payment of US Customs duties. In-bond movements must have a “Transportation and Exportation” entry (T&E) prepared by a US Customs Broker. Once the T&E is filed, the cargo moves via a ‘bonded carrier’ to the border. This procedure sets forth the requirements to facilitate the transportation thru and exportation from the US.

The purpose of this Policy & Procedure is to:

- A. ensure Schlage, its manufacturing plants, and its foreign Suppliers comply with US and MX Customs requirements.
- B. prevent the assessment of customs penalties for failure to comply with MX Customs import and discharge requirements.
- C. prevent the added expenses of warehousing and steamship line fees associated with delays associated to lack of information from the suppliers or Planner/Buyers.
- D. provide **instructions to the Suppliers** regarding documentation instructions.
- E. provide **instructions to the freight forwarder** to facilitate cargo movement and tracing.
- F. provide **instructions to the bonded warehouse (IAB)** for creation of the “Schlage Manifest” to support the MX Import Invoice.
- G. provide **instructions to the bonded carrier (LAX Freight)** to facilitate movement of cargo to the Schlage de Mexico plants.

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III. Scope

This policy and procedure applies to raw materials, parts, components or other goods transported through the US for immediate exportation to Schlage de Mexico from any foreign (non-US) supplier.

This SOP does not cover SOMI Inbond shipments to Mexico (see SOMI Import SOP for instructions on SOMI Inbond shipments to Mexico).

IV. Importer Security Filing (ISF)

Under US Customs law, an Importer Security Filing (ISF) must be transmitted to US Customs at least 24 hours **prior to loading any vessel bound for the US**. Failure to file the ISF will result in \$5K penalty per violation.

For all vessel shipments, Suppliers must obtain an Importer Security Filing transaction number prior to physically turning cargo over to the freight forwarder.

Procedure for Supplier to obtain ISF Transaction Number:

1. Obtain bill of lading number from the freight forwarder. Complete Importer Security Filing (ISF) template, using below template applicable to the type of shipment: **“ISF TEMPLATE – INBOND to Schlage de Mexico”**.



ISF TEMPLATE –
INBOND to Schlage

2. Email completed ISF template to the designated filing agent at least 72 hours in advance of sailing.

NOTE: The ISF Filing Agent for Inbond shipments to MX is:
isf@iab-sd.com
The ISF contact is Steve Goding.


3. Obtain ISF transaction number from filing agent (must be documented on the ISF template). The ISF filing agent is required to return the ISF transaction number within 24 hours.
4. Deliver cargo to freight forwarder, and provide copy of final ISF template (reflecting 'ISF Transaction Number') with shipment documentation.

V. Freight Forwarders

INBOND SHIPMENTS:

A. VESSEL SHIPMENTS:

- For ocean shipments moving Inbond to Mexico, **Kuehne + Nagel (KN)** is the designated freight forwarder. KN will be booking on behalf of Allegion on GSA endorsed steamship lines.

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B. AIR SHIPMENTS:

- **Shipments under 65kgs:** Air shipments that weigh less than 65kgs should be forwarded through **DHL Express (DHL)**.
- **Shipments greater than 65kgs:** Air shipments that weigh more than 65kgs should be forwarded through **UPS Supply Chain Solutions (UPS-SCS)**.
- Please refer to [Exhibit 2](#) for a listing of freight forwarder contacts.
- Please refer to the “At A Glance – Inbond Shipments to Schlage de Mexico” below for additional instructions.



At-A-Glance_INBOND Shipments to Schl

VI. Documentation


A. Documentation required from Schlage de Mexico PLANNER / BUYER (INITIATOR):

- **Southbound Form:** Southbound Forms must be completed for all new Oracle part numbers. This form provides key data for registration of new parts into the MX Customs system. It is the responsibility of the Planner/Buyer to provide this form to Customs at the time of, or prior to, creation of the Purchase Order. Please refer to the “Parts and Raw Materials Exported to Schlage de Mexico Procedure – Import/Export Policy 16”.
- The Form must be sent to the Schlage de Mexico Customs team and the US Customs team for review.

B. Documentation required from SUPPLIER:


1. Documents Required from Supplier: The following documents are required at time of entry into the US.

- Importer Security Filing (ISF)
- Commercial Invoice (see requirements below)
- Packing List (see requirements below)
- Bill of Lading, Truck Bill or Airway Bill
- For MOLDS and MACHINERY please include a picture of the serial number and model number (as it appears affixed to the item).

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 **KEY POINT: PLEASE EMAIL THE INVOICE, PACKING LIST AND BILL OF LADING OR AIRWAY BILL TO THE PLANNER BUYER.**

- a. **Invoice Requirements:** The invoice should contain the following information in **English:**
- Consignee Name and Address
 - Delivery Address of MX Plant
 - The date of export
 - The place of export (i.e., origin port);
 - The exporter's name, address, telephone number and name of person with knowledge of the shipment;
 - Place where goods will be imported (Port of Entry);
 - The bill to name and address;
 - The ship to/sold to name and address;
 - Terms of sale (i.e., FOB, CIF, etc.);
 - Invoice number;
 - Invoice date;
 - Buyer's PO and release number should be identified at the top of the invoice;
 - Buyer's part number/item number;
 - Payment terms;
 - Blanket order line item;
 - Detailed description of the merchandise (this includes the grade or quality, the marks, numbers and symbols of the merchandise);
 - Quantities and unit of measure;
 - Unit price of each item;
 - Total value of each item;
 - Total numeric and written value of shipment (i.e., \$1000 – one thousand US dollars);
 - Associated charges in the currency of purchase (i.e., material surcharges, freight costs, other fees, as applicable and not already included in the invoice price per item);
 - The currency of transaction;
 - The country of origin of the goods;
 - US Harmonized Tariff Code (see note below); If you do not have the US Harmonized Tariff Code for a product, please contact the Customs and International Trade Compliance team
 - Packing list number associated with the shipment should be referenced;
 - Page numbers.
 - [Add the Inbond Statement in accordance with the value thresholds established on the AT A GLANCE.](#)
 - FOR MOLDS and MACHINERY: include serial numbers and model numbers


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b. Packing List Requirements:

1. Supplier must create a **separate packing list for each Mexico facility destination** (ENS, TEC, TIJ or SAU). Do not consolidate goods destined for different Mexico facilities onto 1 packing list.
2. The Packing list must be **attached to a pallet or carton**. The packing lists should contain the following information in **English**:
 - Packing list number;
 - Shipping marks (i.e., marks, numbers and symbols of the packages in which the merchandise is packed);
 - Pallet numbers;
 - Country of Origin
 - Carton Numbers;
 - Planner/Buyer's Oracle part number;
 - Product description;
 - Quantity (quantity per carton and total number of cartons should both be listed); Total Quantity per Oracle Part Number
 - Gross weight and unit of measure;
 - Net Weight and unit of measure.
 - PO Number and Release Number
 - Final Destination, indicate:
 - Schlage de Mexico – **XXX**
(replace XXX with applicable Plant Code listed below):
 - **ENS** (for ENSENADA PLANT - ENS Residential)
 - **TEC** (for TECATE PLANT)
 - **TIJ** (for TIJUANA PLANT)
 - **SAU** (for EL SAUZAL PLANT – ENS Commercial)

c. Documentation Instructions

1. Complete all documents following instructions shown in "**At-A-Glance Inbond to Schlage de Mexico Shipping Instructions**". The "AT A GLANCE" document below contains instructions for 3 types of shipments, as follows:
 - Vessel Shipments to Schlage de Mexico
 - Air Shipments (**under 65 kgs**) to Schlage de Mexico
 - Air Shipments (**greater than 65 kgs**) to Schlage de Mexico
2. The "At-A-Glance INBOND Shipments to Schlage de Mexico" provides specific instructions on the following:
 - Sold To Party
 - Deliver To address
 - Final Destination address
 - Notify Party
 - Special Requirements

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- ISF filing agent

It is critical the correct Final Destination address is shown on all documents. If unsure of final destination, contact the Buyer Planner.




At-A-Glance_INBOND Shipments to Schl

C. Documentation required from **US CUSTOMS BROKER** (port of arrival):

1. **Transportation & Exportation (T&E)** – This US Customs Form, the CBP 7512, must be prepared by an Allegion designated broker. The T&E allows for the movement of cargo under an Inbond status to avoid assessment of US duties.
2. **Transportation & Exportation (T&E) Log** – The Vessel Freight Forwarder prepares and distributes this log. The distribution list includes Planner/Buyers so that they can link the bill of lading or house bill of lading number, for ocean shipments, to the T&E, for tracking purposes. (Refer to Exhibit 1).

D. Documentation required from **US BROKER/BONDED WAREHOUSE (IAB)** (port of export):


1. **“Schlage Manifest”** – The bonded facility is responsible for creating the “Schlage Manifest” template for shipments to Schlage de Mexico.
 - Create one “Schlage manifest” per Schlage de Mexico plant.
 - By noon each day, begin creating “Schlage manifest”. By 2 pm, electronically send “Schlage manifest” to MX Customs team (MX Customs team will return commercial invoice to broker by 2:30 pm).
 - Definitions related to each column header is provided below:
 - **Receipt Number:** IAB creates this number thru their warehouse management system. This number is the IAB Warehouse Entry Number.
 - **PO Number:** This number can be obtained from the Packing List and relates to the Planner/Buyer’s Purchase Order Number.
 - **Packing Slip:** This number is the Packing List number.
 - **Vendor Name:** This name is from the Packing List and is the name of the shipper/manufacturer.

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- **Part Number:** This number will be pulled from the **IXPORT** catalog once the Oracle Part number is typed.
- **Oracle Part Number:** This number is located on the Packing List and must be typed in the worksheet. As a result of typing in the Oracle part number, the fields for Unit of Measure, Country of Origin and Weight in kilograms will be populated.
- **Quantity:** This number is located on the Packing List and must be typed in the worksheet.
- **No Ctns:** This is the carton count and must be typed based on the information that is on the Packing List.
- **No Bulks:** Type in the number of bulks from the packing list.
- **Unit Measure:** This number will be pulled from the IXPORT catalog once the Oracle Part number is typed.
- **Vendor Number:** Oracle Number assigned to the Vendor. This number will be pulled from the IXPORT catalog once the Vendor Name is typed.
- **Price:** This value is located on the Invoice and must be typed in the worksheet
- **Country of Origin:** The Country of manufacture will be pulled from the IXPORT catalog once the Oracle Part number is typed.
Note: The clerk can change it if different information is provided on the documentation.
- **Weight KGS:** This number will be pulled from the IXPORT catalog once the Oracle Part number is typed.
- **Active Yes/No:** This field validates/confirms that the Oracle number exist in IXport.
- **Comments:** Use this field to type the T&E number and the name of the Carrier. If there are any issues that you have identified, please also use this field.
- **See Schlage Manifest example attached:**



Manifest%20example%20visual.docx

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E. **Documentation required from Schlage de Mexico Customs team**

1. **Commercial Invoice for Schlage de Mexico** – For shipments to Schlage de MX, the Mexico Commercial Invoice is generated based on the key data provided on the “Schlage Manifest”. This document must be sent electronically to the MX Customs Broker in order to review and add the bar code for the cross border movement.

VII. Customs Trade Partnership Against Terrorism (CTPAT)

As part of US Customs’ CTPAT program (Customs Trade Partnership Against Terrorism), Allegion requires our foreign suppliers to (A) conduct and document container inspections and (B) apply high security seals to containers.

All suppliers must comply with C-TPAT requirements A and B listed immediately below:

A. Conduct a 9-point Container Inspection prior to loading cargo, as well as:


- check the reliability of the locking mechanisms of the container doors,
- document the inspection (using the **“Container Inspection Checklist”** (attached to this document), and
- assign documentation accountability (someone from your company must be assigned the responsibility for container inspections).

NOTE: Container integrity is critical to protect against the introduction into the US of unauthorized material and/or persons.

- The required 9-point container inspection process covers:
 1. Container cleanliness (not filthy; no weeds or seeds)
 2. Pallet cleanliness (not filthy; no weeds or seeds)
 3. Underside of Trailer
 4. Left Wall
 5. Right Wall
 6. Front Wall
 7. Floor
 8. Ceiling
 9. Inside and Outside Door / Hinges
(i.e., Ensure Locking mechanisms are secure)
- **Container Inspection Checklist**
Complete the Container Inspection Checklist (attached below). Suppliers must complete sections I, II, and III for shipments bound for the US, and include the completed form sent on the inside door of the container.



2022%20CTPAT%20
Container%20Insper

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B. Apply a high security Seal to all shipping containers bound for the U.S.

US law requires all containers bound for the U.S. to be secured with a high security SEAL which meets PAS/ISO 17712:2013 standards, as follows:

1. seals must meet or exceed certain standards for strength and durability to prevent accidental breakage, early deterioration (due to weather conditions, chemical action, etc.) or undetectable tampering under normal usage. An 18MM MINIMUM WIDTH DIAMETER for bolt seals is required.
2. seals must be clearly and legibly marked with a unique identification number.
3. The seal is classified as an “H” – High Security Seal

Unused seals must be stored in a secure place and controlled.

Less than container loads must use a secured padlock or similar locking device. Only a limited number of individuals should have access to open this padlock. Once freight is consolidated for shipment to the US, the containers must be sealed with a high security seal.

US Customs Border Protection will assess civil penalties for violations of the container sealing requirement. For additional information/specifications related to the seal requirement, or for any questions on C-TPAT, please contact the Trade Compliance group.

VIII. Country of Origin Marking

All products capable of being marked must be marked with their country of origin. All packaging **MUST BE MARKED** with country of origin.


U.S. Customs laws require each imported article of foreign origin to be marked with the English name of the country of origin. The country of origin marking must be permanent and conspicuous. The origin marking must be permanent so as to remain on the article (or its container) until it reaches the ultimate purchaser. The size of the marking statement should be readily visible by normal handling of the article.

IX. Wood Packaging Materials

Suppliers must ensure all Wood Packaging Materials (WPM) comply with US and international phytosanitary standards as follows:

- all WPM must be properly marked to indicate it has been either heat treated or treated with methyl bromide,
- all WPM must contain the internationally recognized IPPC mark which certifies treatment,
- All WPM must also be free of timber pests.

Note: The marking must be on at least two opposite sides of the article, with a legible and permanent mark approved by the IPPC.

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Wood Packaging Material (WPM) is defined as wood or wood products (excluding paper products, such as corrugated paper cartons) used in supporting, protecting or carrying a commodity (includes tonnage). Wooden packaging materials include:

- pallets,
- crates,
- boxes,
- packing blocks,
- drums,
- cases,
- skids, and
- pieces of wood used to support or brace cargo.

X. Freight Plans

OCEAN VESSEL and AIR CARGO Shipments ONLY:

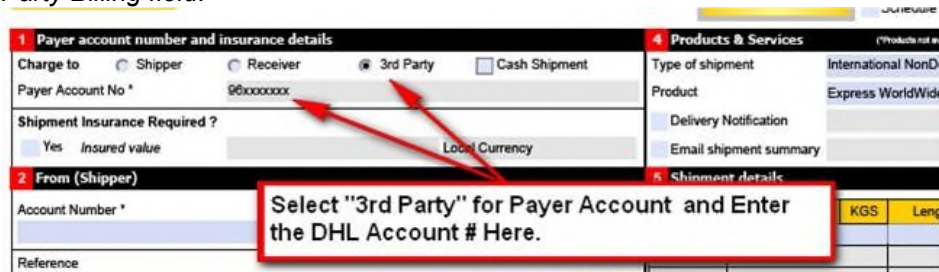
Supplier must ensure the “Bill To” portion of the Bill of Lading reflects TRAX, our Third-Party Payment Provider, and the appropriate address below:

TRAX c/o Allegion


Freight Plan **XXXXX** (replace XXXXX with applicable 5-digit number listed below)
 14500 N. Northsight Blvd., Suite 113
 Scottsdale, AZ 85260-3659 USA

Plant	Freight Plan Number	DHL <65kgs	UPS-SCS >65kgs
Mexico			
Ensenada Plant (ENS Residential) (BC, Mexico)	72386	964 990 311	703 075 465
El Sauzal Plant (ENS Commercial) (BC, Mexico)	72387	964 990 382	544 978 372
Tecate Plant (BC, Mexico)	03398	968 434 288	709 904 460
Tijuana Plant (BC, Mexico)	03362	969 603 498	709 904 478

* DHL (<65 kgs), no reference to TRAX or Freight Plan Number is necessary. The account number will be entered upon shipment creation by the supplier under the 3rd Party Billing field.



The screenshot shows a shipping software interface. In the '1 Payer account number and insurance details' section, the 'Charge to' radio buttons are set to '3rd Party'. The 'Payer Account No *' field contains '96000000'. In the '4 Products & Services' section, 'Express WorldWide' is selected. A red box highlights the '3rd Party' radio button and the 'Payer Account No *' field. A red callout box points to the '3rd Party' option with the text: "Select '3rd Party' for Payer Account and Enter the DHL Account # Here."

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XI. Responsibilities

A. Schlage de Mexico PLANNER / BUYER (INITIATOR):

(1) Southbound Form

It is the Planner/Buyer's responsibility for completing the Southbound Form for any new SKUs to ensure registration in the Mexico Customs system at time of Purchase Order release.

(2) Purchase Orders

The Planner/Buyer is responsible for ensuring that the Purchase Order includes the following **PACKING LIST instructions**:

ALL PACKING LISTS must include the following information:

(a) Final Destination
Schlage de Mexico – **XXX**
(replace XXX with applicable Plant Code listed below)

- **ENS** (for ENSENADA PLANT)
- **TEC** (for TECATE PLANT)
- **TIJ** (for TIJUANA PLANT)
- **SAU** (for EL SAUZAL PLANT)

- (b) Oracle Part Numbers
- (c) Quantity per Oracle Part Numbers
- (d) Descriptions
- (e) PO Number and Release Number


Supplier must provide a separate Packing List for each MX facility.

It is the Planner/Buyer's responsibility to ensure the supplier is complying with the above described requirement. This requirement is listed to facilitate the movement and clearance of the product. Failure to provide a packing list or providing incomplete or consolidated packing lists, will result in delays, and the Planner/Buyer having to resolve the issue with the supplier.

(3) Tracking Shipments –Master Bill of Lading, House Bill of Lading, and T&E Numbers

OCEAN VESSEL SHIPMENTS: The Planner/Buyer will be responsible for obtaining the Master Bill of Lading and House Bill of Lading numbers and tying it to the T&E number on the Kuehne + Nagel T&E log, for ocean shipments. The Planner/Buyer can use the Master Bill of Lading, House Bill of Lading number, and Supplier Name, to locate the T&E number on the log. **It is the T&E number that will allow the Planner/Buyer to track their shipments.**

Questions regarding the shipment can be discussed with the freight forwarder if the shipment has not yet been dispatched to the truck carrier (LAX Freight). If the freight forwarder/broker already sent documents to the truck carrier the Planner/Buyer can contact the plant Receiving Supervisor for the status of the shipment. (Planner/Buyer should consider waiting, at a minimum, 1 full day from

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the date the freight forwarder sent documents to the truck carrier before asking the Receiving Supervisor about the shipment).

AIR SHIPMENTS: The Planner/Buyer must obtain the Airway Bill number to track the shipment in the UPS online tracking system. The UPS online tracking system will allow the Planner/Buyer to track up until the delivery is made to the bonded facility (IAB).

(4) Quantity Discrepancies

It is the Planner/Buyer responsibility to research the reasons for any quantity discrepancies and advise the MX Import Supervisor regarding all discrepancies immediately. The Planner/Buyer will complete the [Receiving Discrepancy Report - Exhibit 4](#). Failure to do so jeopardizes the Maquiladora permit and Schlage de Mexico’s right to import.

B. SUPPLIER:

(1) Importer Security Filing (ISF) Template

For all vessel shipments, Suppliers must obtain an Importer Security Filing transaction number prior to physically turning cargo over to the freight forwarder.



ISF TEMPLATE –
INBOND to Schlage

(2) Documentation

Ensure all documentation provided to Kuehne + Nagel (KN) (for vessel shipments), UPS or DHL (for air shipments) complies with this Inbond SOP:

- Importer Security Filing (ISF) for Inbond vessel shipments
- Commercial invoice
- Packing List
- Bill of Lading, Truck Bill or Airway Bill
- Certificates of Origin


(3) Master Bill of Lading / House Bill of Lading Numbers

Foreign Supplier is to send, via email, the master bill of lading number and house bill of lading number to the Schlage de Mexico Planner/Buyer. This information is used to track the shipment and link to the T&E (where applicable).

C. FREIGHT FORWARDER / BROKER (KN):

(1) Transportation & Exportation (T&E)

It is the freight forwarder’s responsibility to process T&Es prior to vessel arrival, and to coordinate the delivery order and related documentations with the truck carrier, steamship line and/or CFS station timely. Please also include IAB personnel in the email distribution list associated to T&E releases.

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(2) Transportation & Exportation (T&E) Log

The freight forwarder is responsible for maintaining and distributing the T&E log when updates occur.

The broker shall serve as the liaison between the Importer and US Customs for any issues related to Inbond shipment delays.


D. US BROKER / BONDED WAREHOUSE (IAB):

(1) “Schlage Manifest”

- The bonded warehouse staff will create separate manifests for each MX facility (ENS and SAU).
- The bonded warehouse will create manifests covering all product received as of noon each day. The bonded warehouse will electronically send the Manifest by 2pm daily to the Schlage de Mexico Customs team, with a copy to the specific plants’ Receiving and Traffic Supervisors. The bonded warehouse will dispatch the truck, if possible, after receiving the invoice from the MX Customs team.
- For FCL, the bonded warehouse shall prepare the manifest prior to arrival at the MX facility, and electronically send it to MX Customs team. It is required to expedite same day crossings, when possible.
- **When a shipment has missing documents, contact the Planner / Buyer Supervisor for the appropriate facility, and advise them to contact their supplier and provide the missing documents.**
- When the Macro on the Manifest results in missing data, contact the Schlage de Mexico Customs team via email, with the Oracle part number, part description, supplier name and PO Number. If an item is not registered in the MX Customs system, as evidenced by missing data on the Manifest, remove the entire T&E associated to that item from the Manifest and Shipment. It will not ship until it is registered.
- The bonded warehouse personnel (IAB) shall attach a packing list and manifest to the last pallet loaded on the truck or trailer for each plant.

(2) Tracking Log and Fees

IAB is responsible for creating a tracking log of T&Es, Manifest Numbers and associated per diem fees. IAB will need to coordinate further with LAX Freight to ensure the per diem fees are captured. Also, IAB is to include the documentation fees associated with creation of each “Schlage Manifest”.

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E. SCHLAGE DE MEXICO CUSTOMS:

(1) Revise Macro with updated Catalog

On a weekly basis, the MX Customs will send to IAB a revised Manifest with Macros linked to the updated MX Customs System database.

(2) Commercial Invoice

The Schlage de Mexico Customs team will create a commercial invoice based on the data elements provided on the Manifests. If the shipment is combined with material from Ensenada and El Sauzal, the MX Customs team will create a commercial invoice for each plant.

If IAB contacts the Schlage de Mexico Customs team to advise them that the Macro on the Manifests resulted in a blank return, the MX Customs team will notify the Planner/Buyer Supervisor that the shipment is on hold until a Southbound Form is received and registered. The MX Customs team will interface with the MX Customs broker to process the import pedimento.

The MX Customs team will provide a commercial invoice to IAB within 30 minutes of receiving a completed manifest. They will also copy in the Planner Buyers when the email is sent.

F. TRUCK CARRIER (LAX FREIGHT):

(1) Shipments to Schlage de Mexico


- a) LAX Freight will include a copy of the packing list, T&E and manifest with each shipment sent to Schlage de Mexico.
- b) LAX freight must create and submit the Digital Tax Receipt plus the Complement of the Waybill (*Complemento Carta Porte*), and share these 2 documents (PDF file + CFDI) via e-mail to Schlage de Mexico's Customs Team prior to dispatching the southbound shipment.
- c) For any full container loads, LAX Freight will advise IAB as soon as they plan to pick up merchandise from the port. This advance notification to IAB, done via email, will allow IAB to commence creation of the Manifest associated to the container and T&E.
- d) The truck carrier must go to BLS, to pick up the commercial invoice that has the MX Customs bar code on it, before crossing the border.

(2) Closing the T&E

It is LAX Freight's responsibility to close the T&E number in CBP's system. LAX Freight keeps the T&E for recordkeeping purposes.

G. SCHLAGE DE MEXICO PLANTS (WAREHOUSE):

(1) ON LINE TRACKING TOOL FOR SCHLAGE DE MX

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It is the responsibility of the MX Receiving Supervisor to review IAB's online tool for IAB warehouse receipts associated to the Schlage de Mexico inventory. This tool allows him to determine anticipated volumes expected to arrive in MX or to determine the status of shipments if the Planner/Buyer has inquired on the status.

(2) OFFLOADING WITHIN 24 HOURS OF PLANT ARRIVAL FOR FCL

The Receiving Department must ensure Inbond FCL cargo is offloaded within 24 hours of arrival at the plant. For LCL, an immediate offload is required with a 2 hour cap.

(3) REPORTING QUANTITY DISCREPANCIES

The MX Receiving Supervisor is to notify the Planner/Buyer when quantity discrepancies are identified at time of receiving. It is **CRITICAL** that quantity discrepancies are reported in order to ensure correct declarations are made to MX Customs. Failure to do so may lead to revocation of Schlage de Mexico's maquiladora permit.

(4) RECEIVING IN ORACLE

The MX Receiving Supervisor is responsible for receiving parts as per the plants Receiving Procedure.

H. SCHLAGE DE MEXICO PLANTS (SHIPPING):

(1) RETURNING INBOND CONTAINERS WITHIN 24 HOURS OF ARRIVAL


The Traffic Department ensures Inbond containers are returned to LAX Freight within 24 hours to avoid per diem charges.

XII. PENALTIES For Non-Compliance

Penalties for Quantity Discrepancies: Mexico Customs will issue penalties against Schlage de Mexico for failure to declare the correct quantities on its import pedimento. Failure to declare the correct quantities may be perceived by the MX Customs authorities as fraudulent behavior.

Materials imported into Schlage de Mexico's Maquiladora must be "discharged" or exported. Accurate quantities are therefore also required to ensure correct discharge of inventory.

Receiving must notify the Schlage de Mexico Customs team when discrepancies are identified.

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XIII. Allegion Contacts For questions, please contact the following:

TRADE COMPLIANCE		
	Yesenia Gallegos, Trade Compliance Manager	(619) 778-2127 Yesenia.Gallegos@allegion.com
	Fernanda Velarde Trade Compliance Analyst	(619) 210-2207 Laura.Velarde@allegion.com
	Kelly Guzman Trade Compliance Director	(619) 778-4137 Kelly.Guzman@allegion.com
MEXICO TRADE COMPLIANCE		
	Milton Rangel MX Trade Compliance Manager	+52 (665) 845 2246 Milton.Rangel@allegion.com
	Tomas Hernandez MX Customs Supervisor	+52 (646) 182 3157 Tomas.Hernandez@allegion.com
	Monica Cobian MX Compliance Supervisor	+52 (665) 103 6188 Monica.Cobian@allegion.com
GLOBAL LOGISTICS		
	Patrick Bowman Americas Region Logistics Manager	(317) 617-4068 Patrick.Bowman@allegion.com
	Doug Pasquale Global Distribution and Logistics	(317) 420-6300 Doug.Pasquale@allegion.com
SCHLAGE DE MEXICO WAREHOUSE		
Ensenada Plant (ENS/SAU)	Silvia Cardenas Regional Materials Control Manager	+52 (646) 182 3151 Silvia.Cardenas@allegion.com
	Raul Sanchez Supervisor, ENS/SAU Receiving	+52 (646) 116 2121 Raul.Sanchez@allegion.com
Tecate Plant (TEC)	Luis Pinto Materials Team Leader	+52 (655) 118 3468 Luis.Pinto@allegion.com
	Lucia Leal Inventory Control Supervisor	+52 665 3915620 Lucia.Leal@allegion.com

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Tijuana Plant (TIJ)	Alfonso Valentin Warehouse Leader	+52 664 386 0355 Alfonso.Valentin@allegion.com
	Julio Cervantes Warehouse Supervisor	+52 664 188 4529 Julio.Cervantes@allegion.com


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Exhibit 1

TRACKING SHIPMENTS / T&E LOG

1. Tracking Shipments:

- Ask Supplier for Master Bill of Lading Number, House Bill of Lading Number or Tracking number
 - **KN*:** <http://www.kn-portal.com/>
 - **UPS-SCS:** <http://www.ups.com/>
 - **DHL:** <http://www.dhl.com/>

2. T&E Log:

- **Estimated Time of Arrival (ETA) Port:** View this column to determine if the shipment arrived at the Port.
- **T&E # transmitted/accepted:** Confirm the date is before or on the same day as ETA Port. (This information indicates the Broker transmitted the information timely to US Customs. If the date is AFTER ETA, the broker may not be transmitting timely).
- **LAX FRT dispatched & confirmed:** This column indicates the delivery order was issued to the truck carrier and that he confirmed he has the documents to pick up the cargo. This column should have a date within a day or two of the "Available CFS" date for LCL shipments or the "ETA Port" date for FCL. Note, *sometimes* it will take more than 2 days for the container to be available for pickup at the Port.
- **Less than Container Load (LCL):**

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
	KH Ref	MBL No.	Housebill No.	Shipper	PCS	Weight KGS	Vsl	ETA Port	Available CFS	Last free day	T&E #	T&E transmitted / accepted	LAX FRT dispatched & confirmed	Remarks
1														
2	4681-803.012	OOLU3030985931	to be added to log	NINGBO HAIBO	1	100	NYK PHOENIX	3/1/2008	3/4/2008	3/10/08	987555844	3/4/2008	3/5/2008	
3	4633-802.032	OOLU3030985930		IR Fushing	240	3689.23	NYK Phoenix	3/1/2008	3/4/2008	3/10/08	987555726	2/26/2008	3/4/2008	
4	4633-802.030	OOLU3030985930		Lai Yue	19	247.1	NYK Phoenix	3/1/2008	3/4/2008	3/10/08	987555715	2/26/2008	3/4/2008	
5	4633-802.031	OOLU3030985930		I-TEK METAL	78	889.9	NYK Phoenix	3/1/2008	3/4/2008	3/10/08	987555763	26-Feb	3/4/2008	
6	4633-802.039	OOLU3030986260		Golden Fitness	315	4354	NYK Andromeda	3/9/2008	3/11/2008	3/17/08	987555811	3/5/2008	3/12/2008	
7	4681-802.047	kkkush9278049		IR Fushing	73	765	RIALTO BRIDGE	3/9/2008	3/12/2008	3/18/08	987555822	3/5/2008	3/12/2008	
8	4599-803-012	HDMUHKWB9636018		Great Wtsdom	571	5233	Hyundai Duscivery	3/14/2008	3/18/2008	3/24/08	987555870	3/11/2008	3/20/2008	
9	4633-803.012	OOLU3030986471		I-TEK METAL	276	322.9	NYK Atlas	3/15/2008	3/18/2008	3/24/08	987555881	3/11/2008	3/20/2008	
10	4681-803.032	KKLUSH9278981		SHANGHAI	161	2600	SAN PEDRO	3/15/2008	3/18/2008	3/24/08	987555903	3/12/2008	3/20/2008	
11	4681-803.029	HDMUHKWB9636021		MULTITRADE	66	1235	HYUNDAI INDEPENDENCE	3/21/2008	3/26/2008	3/31/08	987555925	3/19/2008	3/25/2008	
12	4599-803.023	HDMUHKWB9636052		GREAT WISDOM	305	2506	HYUNDAI INDEPENDENCE	3/21/2008	3/25/2008	3/31/08	987555936	3/18/2008	3/25/2008	
13	4633-803.018	OOLU3033474240		I-TEK METAL	22	266	NYK ATHENA	3/22/2008	3/25/2008	3/31/08	987555995	3/21/2008	3/27/2008	
14	4599-803.036	HDMUHKWB9636077		Great Wtsdom	429	3562	Hyundai Confidence	3/28/2008	4/1/2008	4/7/08	987556021	3/26/2008	4/2/2008	
15	4633-803.030	OOLU3033490860		Lai Yue	38	647.9	NYK ARGUS	3/30/2008	4/2/2008	4/8/08	987556065	3/27/2008	4/2/2008	
16	4599-803.035	HDMUHKWB9636077		Great Wtsdom	66	1323	HYUNDAI CONFIDENCE	3/28/2008	4/1/2008	4/7/08	987556043	3/27/2008	4/2/2008	
17	4681-803.048	HDMUHKWB9636075		MULTITRADE	36	487	HYUNDAI CONFIDENCE	3/28/2008	4/1/2008	4/7/08	987556054	3/27/2008	4/2/2008	
18	4633-803.031	OOLU3033490860		Golden Fitness	61	847	NYK ARGUS	3/30/2008	4/2/2008	4/8/08	987556032	3/27/2008	4/2/2008	

⏪ ⏩ T&E LCL / T&E FCL / closed LCL / closed FCL /



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• **Full Container Load (FCL):**

	A	B	C	D	E	F	G	H	I	J	K	L	M
	KH Ref	Shipper	MBL #	Housebill No.	Cont. #	Vsl	Berth Terminal	ETA Port	Last free day	T&E #	T&E transmitted / accepted	LAX Frt dispatched & confirmed	Remarks
1													
2	4623802016	LAI YUE	EGLV003800232661	to be added to log	TTNU5848440	EVER UNIFIC	BERTH 233	2/16/2008	2/22/2008	987555704**	New t/e 2/22	202908	*HAY TO CANCEL OLD T&E 987555845 AS CBP POSTED THIS UNDER WRONG SCAC CODE
3	4623802017	TAMWAN FU HSING	EGLV003800232181		MLCU1381892	HATSUENVOY	BERTH 233	2/21/2008	2/28/2008	987555671	2/20/2008	22508	
4	4623802030	I-TEK	EGLV003800303797		UESU2260983	EVER ULYSSES	BERTH 233	3/1/2008	3/6/2008	987555741	2/26/2008	3/3/2008	
5	4623802031	LAI YUE	EGLV003800297134		UGMU6134285	EVER ULYSSES	BERTH 233	3/1/2008	3/6/2008	987555752	2/26/2008	3/3/2003	
6	4623802029	INGERSOL RAND FU HSING	EGLV003800308730		MLCU4774992	EVER ULYSSES	BERTH 233	3/1/2008	3/6/2008	987555730	2/26/2008	3/3/2008	
7	4623802042	TAMWAN FU HSING	EGLV003800361088		TGHU4526644	EVER URBERTY	BERTH 233	3/8/2008	3/13/2008	987555800	3/4/2008	3/11/2008	
8	4623802041	I-TEK	EGLV003800341061		EMCU3168320	EVER URBERTY	BERTH 233	3/8/2008	3/13/2008	987555796	3/4/2008	3/11/2008	
9	4623802040	TAMWAN FU HSING	EGLV003800356564		EMCU1391648	EVER URBERTY	BERTH 233	3/8/2008	3/13/2008	987555785	3/4/2008	3/11/2008	
10	4592803011	WAH YUET	HKLB2ERS587		IPXU3687945	CSCL SEATTLE	TTL TERMINAL	3/15/2008	3/20/2008	987555833	3/5/2008	3/17/2008	
11	4623803013	I-TEK	EGLV003800370362		IMTU3079134	HATSU EXCEL	BETH 233	3/15/2008	3/21/2008	987555892	3/11/2008	3/17/2008	
12	4623803014	TAMWAN FU HSING	EGLV003800414114		FSCU4409125	HATSU EXCEL	BERTH 233	3/15/2008	3/21/2008	987555855	3/11/2008	3/17/2008	
13	4623803025	INGERSOL RAND FU HSING	EGLV003800419183		TGHU4971697	EVER UNIFIC	BERTH 233	3/22/2008	3/28/2008	987555951	3/18/2008	3/24/2008	
14	SAME	SAME	SAME		FSCU4274708	EVER UNIFIC	BERTH 233	3/22/2008	3/28/2008	987555940	3/18/2008	3/24/2008	
15	4623803024	I-TEK	EGLV003800455376		WFHU1058997	EVER UNIFIC	BERTH 233	3/22/2008	4/1/2008	987555962	3/19/2008	3/25/2008	
16	4592803025	WAH YUET	HKLBES402		CCLU3110976	XIN XIA MEN	TTL TERMINAL	3/23/2008	4/1/2008	987555914	3/20/2008	3/27/2008	
17													
18	4592803016	WAH YUET	HKLB2ES393		CCLU2951905	XIN DA LAIN	TTL TERMINAL	3/19/2008	3/26/2008	987555866	3/12/2008	3/24/2008	

• **Contact MX Logistics Supervisor (for shipments to Schlage de Mexico):**

1. If Delivery Order was issued, and merchandise was moved as an Inbond shipment, contact the MX Logistics Supervisor to confirm whether shipment was delivered to the IAB bonded facility. (The MX Logistics Supervisor has access to the IAB warehouse system).
2. If cargo arrived at the IAB bonded facility before noon, expect a delivery to the MX Plant the same day. Contact the MX Receiving Supervisor for the plant to confirm the status.


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Exhibit 2

A. OCEAN VESSEL: KUEHNE+ NAGEL (KN)

Jiangmen

Jiangmen Branch Office
 20-21/F Center Plaza North Tower


➤ Carol Yi – FCL & LCL	
PH: 0086-20-2238-6944	carol.yi@kuehne-nagel.com

Ningbo

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 Liuting Street, Ningbo

➤ Sylvia Fei - FCL	
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➤ Florence Wang - LCL	
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Hong Kong + Yantian

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➤ Jessie Hou - LCL	
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Kaohsiung Branch Office
 Kuehne + Nagel, Inc.
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> Diane Tsao – FCL + LCL	
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Taipei + Keelung

Taipei Branch Office
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Delhi


Delhi Branch Office
 70, Udyog Vihar Phase IV
 Gurgaon, India 122017

> Siddhartha Chaudhury - FCL	
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> Pardeep Saini - LCL	
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Tijuana

Tijuana Branch Office
 Paseo de los Heroes SN, Esquina
 Diego Rivera, Plaza Lincoln Int 209, Zona Rio
 Tijuana, B.C. MX 22010

> Joaquin Castillo – Ocean Freight Manager	
PH:0052-664-972 9470	Joaquin.Castillo@kuehne-nagel.com
> Brenda Razo (FCL) & Francisco Saavedra (LCL)	
PH: 0052-664-972 9470	Brenda.Razo@kuehne-nagel.com Francisco.Saavedra@kuehne-nagel.com

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Minneapolis

Minneapolis Brand Office
1675 Meadow View Road
Suite 100
Eagin, MN 55122

➤ Andrea Birkeland – Operational Account Manager	
PH: 001-651-234-4266	andrea.birkeland@kuehne-nagel.com
➤ Stephanie Klinckman – Ocean Freight Import Manager	
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➤ Jenna Yentsch – Ocean Freight Import Supervisor	
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➤ Kyle Lock – Ocean Freight Import Operator FCL	
PH: 001-651-234-4251	Kyle.Lock@kuehne-nagel.com
➤ Gavin Gates – Ocean Freight Import Operator LCL	
PH: 001-651-234-4250	Gavin.Gates@kuehne-nagel.com

allegion.support@kuehne-nagel.com Escalation Purposes only. Contact regional contacts above for booking and tracking requests.


B. SMALL PACKAGE: DHL Express (DHL)

Customer Service Team – Lead: Chris Johnson
Email: allegion.customercare@dhl.com

Phone (Within US): 1-877-873-2521 x 53553

If outside of the US, please work with your local DHL office for assistance. You can use the links below as well:

- To find the nearest Service Point and its hours of operation, please visit: http://www.dhl.com/en/express/shipping/find_dhl_locations.html
- For more details on E-Shipping tools, please visit: http://www.dhl.com/en/express/resource_center/advanced_shipping.html
- To obtain DHL eMailShip in the language of your choice, please visit: http://www.dhl.com/en/express/resource_center/emailship.html
- To order Supplies: please visit: http://www.dhl.com/en/express/shipping/order_supplies.html

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- **Contact DHL if you need assistance with your first Express shipment—please visit:**
http://www.dhl.com/en/contact_center.html

C. AIR CARGO: UPS SUPPLY CHAIN SOLUTIONS (UPS-SCS)

Strategic Support Desk / Pickups

Phone: 800-648-9333 or 913-693-6300 from outside the US

Email: AllegionGFF@ups.com

Expected Coverage- 24/6 Monday 0700cst – Saturday 2359cst.

Local Offices Identified.

Ningbo

Phone: 86 574 2766-1600

UPS SCS Air Export Mailbox

Email: UPSNGB-Export-Operations-Air@ups.com (DL List)

Phoebe Cen – Supervisor

phoebe.cen@ups.com

Cora Zheng – Assistant Supervisor

corazheng@ups.com

Jasmine Yuan - Manager

jamine.yuan@ups.com

Shanghai

Phone: 86 21 3855 3000

UPS SCS Air Export Mailbox

UPSFFSHAEXPCSRSHATEAM@ups.com (DL List)

Zhao Lauren (aao1npp) Senior Manager Work: 86-21-61057888 Mobile: 13-81887-9327 Email:

lauren.zhao@ups.com

Stephanie Hu - Manager

Stephanie.hu@ups.com

Hong Kong

Phone: 852-2738-5000

UPS SCS Air Export Mailbox

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Billy Chow Manager

billy.chow@ups.com

Fung Brenda Supervisor

Supervisor

Email: bfung@ups.com


Yantian (Shenzhen)

Phone: 86 755 83160688

UPS SCS Air Export Mailbox

Email: upsupsszxairerport@ups.com

Joy Hu – Supervisor - (Included on DL)

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Kenny Mok - Manager - (Included on DL)

Kaohsiung

Phone: 0800-291-300 / 886 7 586 8800
UPS SCS Air Export Mailbox
UPSKHHAIR@ups.com (DL List)

Hsieh Pony – Air Coordinator (included on DL)

Grace Wang – Manager
grace.wang@ups.com

Keelung / Taipei

Imports
Email: UPSTWAIRIMPORT@ups.com (DL List)
Exports
Email: UPSTWAIREXPORT@ups.com (DL List)
Phone: 886 2 6611-7676
Frances Hsu – Asst Manager Exports (Included on DL list)
Grace Wang – Manager
grace.wang@ups.com

Mumbai (Bombay) Nava Sheva

UPSUPSBOMAIEXPORTS@ups.com (DL List)
Phone: 91 022 71726200
Kumar Gupta Vinod – Executive Exports
Zubin Bhagalia – Manager zubin.bhagalia@ups.com


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Exhibit 3

Container Inspection Checklist (CIC)

This example is shown for illustration only; please use Word version attached within this SOP in Section VII.



Instructions to Supplier

Please **complete Sections I, II and III** of this form. Attach completed form with the shipment documentation accompanying the container. Also, please include a copy on the inside door of the container.

Section I. Shipment Information

Date:	Supplier Name:
Carrier Name:	Container Number:
Seal Number:	Container Inspector's Name:

Section II. 9-Point Container Inspection

Note: Containers must be secure, and not contain any of the following:

- Secret compartments in walls, floors, ceiling, etc.
- Un-manifested goods, packages, etc.
- Signs of tampering (fresh paint, peculiar marks, etc.)

Check Box after Exam:

Check <input checked="" type="checkbox"/>	Category	Note any damage or problems with container
	1. Container cleanliness (not filthy; no pests, weeds or seeds)	
	2. Pallet cleanliness (not filthy; no pests, weeds or seeds)	
	3. Underside of Trailer	
	4. Left Wall for concealed walls or hidden articles	
	5. Right Wall for concealed/false walls or hidden articles	
	6. Front Wall for concealed/false walls or hidden articles	
	7. Floor for hidden articles or false floor	
	8. Ceiling	
	9. Inside and Outside Door / Hinges (i.e., Ensure Locking mechanisms are secure)	

Section III. Supplier's Container Inspector's Signature: _____

Section IV. For Completion by Allegion Receiving

Receiving Date:	Seal Number:
Receiving Location:	Receiving Person's Name:

1. Does the seal number match the seal shown in Section 1? Yes No (report "no" answers to Mgmt)
2. Does Container show signs of tampering / anomalies? Yes No (report "yes" answers to Mgmt)
3. Are there any visible pests, weeds, seeds or other contaminants? Yes No (report "yes" answers to Mgmt)
4. Receiving Inspector's Signature _____

*Instructions to **Receiving**: Please save this form for 1 year for CTPAT audits, and report anomalies to Trade Compliance.

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Exhibit 4

Receiving Discrepancy Report

Instructions to Planner/Buyer: Please complete Sections I below. Forward the completed checklist to the Schlage de Mexico Customs team for any quantity discrepancies for Inbond shipments.

Please note: This report should be sent to the Schlage de Mexico Customs team within **2 days** of receiving the merchandise so that they may modify the MX Import Pedimento timely.

Section I.

Date _____

Invoice Number _____

Warehouse Control # _____

Truck # _____

Oracle Part # _____

Quantity Declared _____

Quantity Received _____

Planner/Buyer _____

Name of Person who detected the issue: _____


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Exhibit 5

External Agent Contacts

US BONDED WAREHOUSE / US BROKER:	International Automated Brokers (“IAB”)	
	Steve Goding	619-661-6464 Ext: 3111 sgoding@iab-sd.com
	Edgar Cortes	619-661-6464 Ext: 3105 edgar.cortes@iab-sd.com
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BONDED CARRIER:	LAX Freight	
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