ABBVIE C-TPAT SUPPLY CHAIN SECURITY QUESTIONNAIRE

AbbVie is a participant in the U.S. Customs supply chain security program called the Customs-Trade Partnership Against Terrorism (C-TPAT). Participation in C-TPAT requires AbbVie to ensure that its overseas suppliers have security processes and procedures in place to protect the integrity of our supply chain. As a valued business partner of AbbVie, we request that you complete the following questionnaire and Memorandum of Understanding and send the completed documents to Agnieszka Bobholz at agnieszka.bobholz@abbvie.com within 30 days of receipt. Failure to complete the security profile may jeopardize our ability to purchase and import materials from your company. If you have any questions about the completion of the questionnaire, please contact Mrs. Bobholz at the above email address. We sincerely appreciate your prompt cooperation with this request.

### A General Business Information

<table>
<thead>
<tr>
<th></th>
<th>Description / Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Company Name:</td>
</tr>
<tr>
<td>2</td>
<td>Address:</td>
</tr>
<tr>
<td>3</td>
<td>Name, Title of Person Completing this Questionnaire:</td>
</tr>
<tr>
<td>4</td>
<td>Expected number of international shipments from your facility to AbbVie U.S. per month, over the next 12 months:</td>
</tr>
<tr>
<td>5</td>
<td>General description of items shipped to AbbVie U.S.:</td>
</tr>
</tbody>
</table>

### B Supply Chain Security Programs

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>Description / Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td>Is your company (or your U.S. parent company or subsidiary) a C-TPAT member? If so, please provide the Status Verification Identification (SVI) number in the Comments section.</td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
<td>Is your company a member of AEO or another WCO accredited security program administered by a foreign customs authority? If so, please indicate which program and provide documented proof of status.</td>
</tr>
</tbody>
</table>

**NOTE:** If you answered “YES” to either of the above questions (confirming your company’s status in C-TPAT, AEO, or similar supply chain security program), you do not need to complete the remainder of this survey.

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<thead>
<tr>
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<tbody>
<tr>
<td>3</td>
<td></td>
<td></td>
<td>Is there a department that is responsible for supply chain security? If so, please name the department in the Comments section.</td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
<td>Is there an employee with responsibility for supply chain security issues? If so, please provide the name and contact information (phone, email) in the Comments section.</td>
</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
<td>Do you conduct risk assessments of your supply chain? If so, please indicate the frequency in the Comments section.</td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
<td>Do you resolve issues identified during the risk assessment?</td>
</tr>
<tr>
<td>7</td>
<td></td>
<td></td>
<td>Do you have written requirements for logistics service providers (freight forwarders, trucking companies, brokers, etc.)?</td>
</tr>
</tbody>
</table>
**ABBVIE C-TPAT SUPPLY CHAIN SECURITY QUESTIONNAIRE**

<table>
<thead>
<tr>
<th></th>
<th>Shipping/Conveyance Security</th>
<th>Yes</th>
<th>No</th>
<th>Description / Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Do you have procedures in place at your container stuffing location to verify the physical integrity of the container (including the locking mechanisms on the doors) prior to stuffing?</td>
<td></td>
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<tr>
<td>2</td>
<td>Do you conduct a 7-point inspection of all containers, prior to stuffing, to ensure the integrity of the:</td>
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</tr>
<tr>
<td></td>
<td>1. Front wall</td>
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<tr>
<td></td>
<td>2. Left side</td>
<td></td>
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<td></td>
<td>3. Right side</td>
<td></td>
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<tr>
<td></td>
<td>4. Floor</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>5. Ceiling and roof</td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>6. Inside and outside doors</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>7. Outside and undercarriage</td>
<td></td>
<td></td>
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<tr>
<td>3</td>
<td>Do you have a procedure for notifying the appropriate authorities if any illegal or suspicious activities are detected?</td>
<td></td>
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<tr>
<td>4</td>
<td>Are containers and trailers stored in a secure area to prevent unauthorized access or manipulation?</td>
<td></td>
<td></td>
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<tr>
<td>5</td>
<td>Is there a procedure for challenging and reporting unauthorized entry into the containers or the container storage area?</td>
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<tr>
<td>6</td>
<td>Do you affix a high security seal to every loaded trailer and container bound for the United States?</td>
<td></td>
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<tr>
<td>7</td>
<td>Do you use seals that meet or exceed the current PAS ISO 17712 standards for high security seals?</td>
<td></td>
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<tr>
<td>8</td>
<td>Do you control which employees have access to (and distribute) the container seals?</td>
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<td></td>
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<tr>
<td>9</td>
<td>Do you have written procedures that describe how the seals are controlled during transit? If yes, do the procedures include:</td>
<td></td>
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<tr>
<td></td>
<td>a) Ensuring that seals are affixed to loaded containers during transit?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>b) Verifying whether seals are intact or exhibit evidence of tampering during transit?</td>
<td></td>
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<td></td>
<td>c) Reporting any compromised/damaged seal to the appropriate authorities?</td>
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### Procedural Security

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<tbody>
<tr>
<td><strong>D</strong></td>
<td>Procedure</td>
<td><strong>Yes</strong></td>
<td><strong>No</strong></td>
</tr>
<tr>
<td><strong>1</strong></td>
<td>Do you have procedures to ensure that all information and documentation used in cargo clearance is legible, complete, and accurate?</td>
<td></td>
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<tr>
<td><strong>2</strong></td>
<td>Do you have procedures for verifying the departing cargo against purchase orders or delivery orders, to ensure the correct items and quantities are being shipped?</td>
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### Physical Access Control

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<tbody>
<tr>
<td><strong>E</strong></td>
<td>Procedure</td>
<td><strong>Yes</strong></td>
<td><strong>No</strong></td>
</tr>
<tr>
<td><strong>1</strong></td>
<td><strong>Employee Access:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a)</td>
<td>Are employees required to show an identification badge when entering your premises?</td>
<td></td>
<td></td>
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<tr>
<td>b)</td>
<td>Do employees use an electronic card reader to gain access?</td>
<td></td>
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<tr>
<td>c)</td>
<td>Are employees only given access to the secure areas needed to perform their duties?</td>
<td></td>
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<tr>
<td>d)</td>
<td>Are employee vehicles subject to search or inspection when entering or leaving the premises?</td>
<td></td>
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<tr>
<td><strong>2</strong></td>
<td><strong>Contractor Access:</strong></td>
<td></td>
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</tr>
<tr>
<td>a)</td>
<td>Are contractors required to show an identification badge when entering your premises?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b)</td>
<td>Do contractors use an electronic card reader to gain access?</td>
<td></td>
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</tbody>
</table>
**ABBVIE C-TPAT SUPPLY CHAIN SECURITY QUESTIONNAIRE**

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<th>Physical Security</th>
<th></th>
<th>Description / Comments</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Are there fences enclosing your cargo handling and storage facilities?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Do you have separate fenced areas that separate your domestic, international, high-value, and dangerous/hazardous cargo?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>If you have fences, are they regularly inspected for integrity and damage?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Are there gates and gate houses that control the entry of vehicles and personnel to your premises?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Are employee and visitor parking areas separated from the cargo handling and</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td></td>
<td>security guards?</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>

Visitor Access: 
3a) Are visitors required to show photo identification upon arrival?
3b) Are visitors required to display a temporary identification badge?
3c) Are visitors required to be escorted by a company employee at all times?
3d) Are visitor vehicles subject to search or inspection when entering or leaving the premises?

Deliveries (including mail): 
4a) Are delivery personnel required to show photo identification upon arrival?
4b) Are arriving mail and packages periodically screened before being delivered to the recipient?

Security Guards: 
5a) Do you have security guards at the facility?
5b) Are security guards on duty all day, every day (24 hours per day, 7 days per week)?
5c) Are the security guards employees of the company?

Do you have a procedure for identifying, challenging, and addressing/removing any unauthorized or unidentified people from your premises?

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<th>ABBVIE C-TPAT SUPPLY CHAIN SECURITY QUESTIONNAIRE</th>
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<tbody>
<tr>
<td>6</td>
<td>Are your buildings constructed of materials that can resist unlawful entry, and are they maintained through periodic inspection and repair?</td>
</tr>
<tr>
<td>7</td>
<td>Are all external and internal windows, gates, and fences secured with locking devices?</td>
</tr>
<tr>
<td>8</td>
<td>Is the issuance of locks and keys controlled by management or security personnel?</td>
</tr>
</tbody>
</table>
| 9 | Is adequate lighting provided inside and outside the facility, in the following areas:  
   a) Entrances and exits?  
   b) Cargo handling areas?  
   c) Storage areas?  
   d) Fence lines?  
   e) Parking areas? |
<p>| 10 | Do you have alarm systems and/or video surveillance cameras to monitor the premises and prevent unauthorized access to cargo handling and storage areas? |
| G | Personnel Security | Yes | No | Description / Comments |
| 1 | Do you verify application information, such as employment history and references, prior to employment? |
| 2 | If allowed by your local regulations, do you conduct background checks for prospective employees? |
| 3 | Do you have procedures for removing identification badges, facility access, and computer system access for terminated/retired employees? |
| H | Information Technology Security | Yes | No | Description / Comments |
| 1 | Do your computer systems require individual user accounts and passwords to gain access? |
| 2 | Do your computer systems require employees to change their passwords on a periodic basis? |
| 3 | Do you monitor your systems to identify abuse, improper access, and/or unauthorized alteration of business data? |
| I | Training and Awareness | Yes | No | Description / Comments |
| 1 | Do you have a security training program to increase employee awareness of the potential storage areas? |</p>
<table>
<thead>
<tr>
<th></th>
<th>ABBVIE C-TPAT SUPPLY CHAIN SECURITY QUESTIONNAIRE</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Are employees made aware of how to address and report a potential supply chain security issue?</td>
</tr>
<tr>
<td>3</td>
<td>Do employees in your shipping/receiving department and mail room receive additional training regarding cargo security?</td>
</tr>
<tr>
<td>4</td>
<td>Do employees receive any special recognition or awards for identifying or reporting issues?</td>
</tr>
</tbody>
</table>
SUPPLY CHAIN SECURITY MEMORANDUM OF UNDERSTANDING

Memorandum of Understanding between AbbVie, Inc. and ___________________________ [enter Company name] to voluntarily participate in a secure supply chain.

This Memorandum of Understanding (hereinafter referred to as “Agreement”) is made between ___________________________ [enter Company name] (hereinafter referred to as “Company”) and AbbVie, Inc. (hereinafter referred to as “AbbVie”).

This Agreement between Company and AbbVie is intended to enhance the joint efforts of each of these entities to develop a more secure global supply chain environment by focusing on the physical security of the production, transportation, and importation of AbbVie merchandise. Company and AbbVie recognize the need to address these security issues in order to maintain an efficient and compliant import and export process.

Company and AbbVie agree to undertake their best efforts to review and identify necessary enhancements, and to develop and implement a verifiable, documented program to maintain a secure global supply chain for AbbVie.

Specifically, Company agrees to:

1. Sign and return this Memorandum of Understanding to AbbVie, via email to Agnieszka Bobholz at agnieszka.bobholz@abbvie.com.

2. Undertake your best efforts to ensure the security and integrity of AbbVie’s product, which includes, but is not limited to, preventing unauthorized materials from being introduced into or shipped with AbbVie’s product.

3. In all instances where Company contracts for the transportation of product shipped to AbbVie, Company will assess the transportation company’s ability to secure AbbVie’s product according to the U.S. Customs and Border Protection’s published recommendations for Carriers. Furthermore, for shipments to the U.S., only C-TPAT certified carriers and freight forwarders will be used.

4. Periodically reevaluate Company’s security procedures and practices according to the U.S. Customs and Border Protection’s published recommendations as applicable.

AbbVie Signature: ____________________________________________________________________
Michael W. Stadler
Director, Global Trade Compliance
Date: ____________________________________________________________________

Company Signature: ____________________________________________________________________
Name: ____________________________________________________________________
Title: ____________________________________________________________________
Date: ____________________________________________________________________

THANK YOU!

Please return the completed questionnaire and signed Memorandum of Understanding to Agnieszka Bobholz at agnieszka.bobholz@abbvie.com.
A signed copy of the Memorandum of Understanding will be returned to you for your files.