

DEPARTMENT OF HOMELAND SECURITY  
Transportation Security Administration

OMB control number 1652-0040  
Exp. 08/31/2019

**APPLICATION FOR NEW OR RENEWAL SECURITY THREAT ASSESSMENT (STA)**  
**All fields are to be completed unless otherwise noted**

**SECTION I. General Information**

Current STA Number (STA Renewals Only):					
Current Employer Name		Current Employer Corporate Address			
City	State	Zip	Employer Phone Number		
IAC Principal (Refer to Page 5 For Definition)		IAC Principal Title (If IAC Principal)			
<input type="checkbox"/> Yes <input type="checkbox"/> No					
Name (First, Middle, Last Suffix) (As it appears on the document presented -See Instructions)					
SSN (Optional)	Previous and Other Names Used (First, Middle, Last Suffix- If Applicable) (See Instructions)				
Previous and Other Names Used (First, Middle, Last Suffix- If Applicable) (See Instructions)		Email Address			
Daytime Phone Number		Date of Birth (MM/DD/YYYY)		Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	
Place of Birth (City, State, Country)		Country of Citizenship			
US Passport Number or Certificate of Birth Abroad Number (if applicable)					
Alien Registration Number (if applicable)		Naturalization Date (if applicable)			
Naturalization Certificate Number (if applicable)					
Current Mailing Address					
City	State	Country	Zip Code		
Current Residential Address					
City	State	Country	Zip Code		
Start Date at this Address		End Date at this Address			
Previous Residential Address (if applicable, see instructions section)					
City	State	Country	Zip Code		
Start Date at this Address		End Date at this Address			

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Previous Residential Address (if applicable, see instructions section)								
City		State		Country		Zip Code		
Start Date at this Address						End Date at this Address		
Previous Residential Address (if applicable, see instructions section)								
City		State		Country		Zip Code		
Start Date at this Address						End Date at this Address		
Previous Residential Address (if applicable, see instructions section)								
City		State		Country		Zip Code		
Start Date at this Address						End Date at this Address		
<b>SECTION II. Applicant Acknowledgement</b>								
<p>This information I have provided on this application is true, complete, and correct to the best of my knowledge and belief and is provided in good faith, I understand that a knowing and willful false statement, or an omission of a material fact, on this application can be punished by fine or imprisonment or both (see section 1001 of Title 18 United States Code), and may be grounds for denial of authorization or in the case of parties regulated under this section, removal of authorization to operate under this chapter, if applicable. I acknowledge that if I do not successfully complete the Security Threat Assessment (STA), the Transportation Security Administration (TSA) may notify my employer. If TSA or other law enforcement agency becomes aware that I may pose an imminent threat to an operator or facility, TSA may provide limited information necessary to reduce the risk of injury or damage to the operator or facility.</p>								
Applicant Signature						Date		
<p>I have authenticated the identity and work authorization of the individual for whom this STA application is being submitted by reviewing a Photo Identification issued by a government authority and work authorization documents as required under 49 C.F.R. § 1540.203(c)(11), and I acknowledge that I am required to retain the individual's application (either in electronic or hardcopy format) for 180 days following at the end of the individual's service as required under 49 C.F.R. § 1540.203(d).</p>								
<b>SECTION III. Employer Acknowledgement</b>								
Employer Signature						Date		

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**Who Needs to Complete a Security Threat Assessment:** The following sections are contained in the Code of Federal Regulations.

**§1548.15 Access to cargo: Security Threat Assessments for individuals having unescorted access to cargo.**

- a) Before an indirect air carrier authorizes and before an individual performs a function described in paragraph (b) of this section
  - 1) Each individual must successfully complete a security threat assessment or comparable security threat assessment described in part 1540 subpart C of this chapter; and
  - 2) Each indirect air carrier must complete the requirements in part 1540 subpart C.
- b) The security threat assessment required in paragraph (a) of this section applies to the following:
  - 1) Each individual who has unescorted access to cargo and access to information that such cargo will be transported on a passenger aircraft; or who performs certain functions related to the transportation, dispatch or security of cargo for transport on a passenger aircraft or all-cargo as specified in the direct air carrier's security program; from the time -
    - i. Cargo to be transported on all cargo aircraft operator with a full all-cargo program under § 1544.01 (a) or by a foreign air carrier under § 1546.10(a) or (b) of this chapter, is accepted by the indirect air carrier, until the indirect air carrier transfers the cargo to an aircraft operator or foreign air carrier.
  - 2) Each individual the indirect air carrier authorizes to screen cargo or to supervise the screening of cargo under § 1548.21.

**§1548.16 Security Threat Assessment for each proprietor, general partner, officer, director, and certain owners of the entity.**

- a) Before an indirect air carrier permits a proprietor, general partner, officer, director, or owner of the entity to perform those functions
  - 1) The proprietor, general partner, officer, director, or owner, of the entity must successfully complete a security threat assessment or comparable security threat assessment described in part 1540 subpart C of this chapter; and
  - 2) Each indirect air carrier must complete the requirements in 49 CFR part 1540, subpart C.
- b) For purpose of this section, owner means
  - 1) A person who directly or indirectly own, controls, or has power to vote 25 percent or more of any class of voting securities or other voting interests of an IAC or applicant to be an IAC; or
  - 2) A person who directly or indirectly controls in any manner the election of a majority of the directors (or individuals exercising similar functions) of an IAC, or applicant to be an IAC.
- c) For purposes of this definition of owner
  - 1) Members of the same family must be considered to be one person.
    - i. Same family means parents, spouses, children, siblings, uncles, aunts, grandparents, grandchildren, first cousins, stepchildren, stepsiblings, and parents-in-law, and spouses of any of the foregoing.
    - ii. Each member of the same family, who has an ownership interest in an IAC, or an applicant to be an IAC, must be identified if the family is an owner as a result of aggravating the ownership of interests of the same family, any voting interest of any family member must be taken into account.
    - iii. In determining the ownership of interests of the same family, any voting interest of any family member must be taken into account.
  - 2) Voting securities or other voting interest means securities or other interests that entitle the holder to vote for or select directors (or individuals exercising similar functions).
- d) Each indirect air carrier, or applicant to be an indirect air carrier, must ensure that each proprietor, general partner, officer, director, and owner, of the entity has successfully completed a Security Threat Assessment under part 1540, subpart C, of this chapter not later than a date to be specified by TSA in a future role in the Federal Register.

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**§1549.111 Security Threat Assessment for personnel of certified cargo screening facilities.**

- a) Scope. This section applies to the following:
- 1) Each individual the certified cargo screening facility authorizes to perform cargo screening or supervise cargo screening.
  - 2) Each individual the certified cargo screening facility authorizes to have unescorted access to cargo at any time from the time it is screening until the time it is tendered to another certified cargo screening facility, an indirect air carrier under 49 CFR part 1548 for transport on a passenger aircraft, an aircraft operator under part 1544, or a foreign air carrier under part 1546.
  - 3) The senior manager or representative of its facility in control of the operations.
  - 4) The security coordinators and their alternates.
- b) The security threat assessment required in paragraph (a) of this section applies to the following:
- 1) Each individual who has unescorted access to cargo and access to information that such cargo will be transported on a passenger aircraft; or who has unescorted access to cargo that has been screened for dispatch, or security of cargo for transport on a passenger aircraft or all-cargo aircraft, as specified in the aircraft operator's security program - from the time
    - i. The cargo reaches a location where an aircraft operator with a full all-cargo program consolidates or inspects it pursuant to security program requirements until the cargo enters an airport Security Identification Display Area or is transferred to another TSA regulated aircraft operator, foreign air carrier, or indirect air carrier; or
    - ii. An aircraft operator with a full program accepts the cargo until the cargo
      - Enters an airport Security Identification Display Area
      - Is removed from the destination airport; or
      - Is transferred to another TSA regulated aircraft operator, foreign air carrier, or indirect air carrier.
  - 2) Each individual the aircraft operator authorizes to screen cargo or to supervise the screening of cargo under § 1544.205.

**§1544.228 Access to cargo and cargo screening: Security Threat Assessments for cargo personnel in the United States.**

This section applies in the United States to each aircraft operator operating under a full program under § 1544.101(a) or a full all-cargo program under § 1544.101(h).

- a) Before an aircraft operator authorizes and before an individual performs a functions described in paragraph (b) of this section
- 1) Each individual must successfully complete a security threat assessment or comparable security threat assessment described in part 1540 subpart C of this chapter; and
  - 2) Each aircraft operator must complete the requirements in part 1540 subpart C.
- b) The security threat assessment required in paragraph (a) of this section applies to the following:

**§1546.213 Access to cargo: Security Threat Assessments for cargo personnel in the United States.**

This section applies in the United States to each foreign air carrier operating under § 1546.101 (a), (b), or (e).

- a) Before a foreign air carrier authorizes and before an individual performs a functions described in paragraph (b) of this section
- 1) Each individual must successfully complete a security threat assessment or comparable security threat assessment described in part 1540 subpart C of this chapter; and
  - 2) Each aircraft operator must complete the requirements in part 1540 part C.
- b) The security threat assessment required in paragraph (a) of this section applies to the following:
- 1) Each individual who has unescorted access to cargo and access to to cargo that has been screened for transport on a passenger aircraft or all-cargo aircraft, as specified in the foreign air craft operator's or foreign air carrier's security program-from the time
    - i. The cargo reaches a location where a foreign air carrier under § 1546.101 (e) consolidates or inspects it pursuant to security program requirements, until the cargo enters an airport Security Identification Display Area or is transferred to another TSA regulated aircraft operator, foreign air carrier, or indirect air carrier; or
    - ii A foreign air carrier under § § 1546.101 (a) or (b) accepts the cargo, until the cargo
      - Enters an airport Security Identification Display Area
      - Is removed from the destination airport; or

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- Is transferred to another TSA regulated aircraft operator, foreign air carrier, or indirect air carrier.
- 2) Each individual the foreign air carrier authorizes to screening cargo or to supervise the screening of cargo under § 1546.205.

### **Instructions for Completing Section I.**

**Country of Citizenship:** If the applicant is a U.S. citizen born abroad please provide the 10-digit document number from the applicant's Certificate of Birth Abroad, Form DS-1350. If the applicant has been naturalized as a US Citizen, please provide your US passport number or Date of Naturalization and Naturalization Certificate Number. Be sure to designate that you are a US citizen if you have been naturalized.

**Alien Registration Number:** Please provide your Alien Registration Number if you are not a US citizen. Please do not enter an "A" before the Alien Registration Number.

**Residential/Physical Address Information:** Please provide the last 5 years of residential address information (no PO Boxes). use the back of the form or attach an additional sheet if you need to submit more than 5 residential addresses.

**Social Security Number:** Social Security Number is optional but failure to provide it may result in a delay or prevent completion of Security Threat Assessment.

**IAC Principal Division:** Anyone who is a proprietor, general partner, officer, director, or owner of the entity. Owner means a person who directly or indirectly own, controls, or has power to vote 25 percent or more of any class of voting securities or other voting interests of an IAC or applicant to be an IAC; or a person who directly or indirectly controls in any manner the election of a majority of the directors (or individuals exercising similar functions) of an IAC, or applicant to be an IAC.

### **Examples of Previous and Other Names:**

#### **Example A:**

Name: Melissa Anna Brown

Name on the Government picture ID and Work authorization are the same.

Melissa Ann Brown must be listed as the Applicants Name in the STA Application Name field.

#### **Example B:**

Name: Melissa Anna Brown

Government picture ID names Melissa Anna Brown but the Work authorization names Melissa A. Brown.

Melissa Anna Brown must be listed as the Applicants Name in the STA Application Name field AND Melissa A. Brown must be listed on the STA Application Previous and Other Names field.

#### **Example C:**

Name: Melissa A. Brown

Government picture ID names Melissa A. Brown but the Work authorization names Melissa Anna Brown.

Melissa Anna Brown must be listed as the Applicants Name in the STA Application Name field AND Melissa A. Brown must be listed on the STA Application and Other Names field.

**NOTE:** If the Applicant has a middle name that does not appear on the ID or work authorization, or if the Applicant is known by more than one name, each name must be included in the Previous and Other Names data field. If the Applicant uses an initial as part of his/her name, the initial must be spelled out in the Previous and Other Names data field with the rest of the Applicants full name.

**Previous and Other Names include Alias, Nicknames, Maiden Names.**

**Privacy Act Statement: Authority:** The authority for collecting this information is 49 U.S.C. §§ 114 and 44901.

**Principal Purpose:** This information is needed to verify your identity and to conduct a Security Threat Assessment to evaluate your suitability for completing the functions required by this position.

**Routine Uses:** Routine uses of this information include disclosure to TSA contractors or other agents who are providing services relating to the Security Threat Assessments; to appropriate governmental agencies for law enforcement or security purposes, or in the interests of national security; to foreign and international governmental authorities in accordance with law and international agreement; or for this routine uses identified in TSA system of records, DHS/TSA 002 Transportation Security Threat Assessment System. **Disclosure:** Failure to furnish your SSN may result in delays in processing your application, but will not prevent completion of your Security Threat Assessment. Furnishing the other information is mandatory and failure to provide it may result in you not being granted authorization to have unescorted access to air cargo subject to TSA security requirements.

**Paperwork Reduction Act Burden Statement:** TSA is collecting this information to qualify entities pursuant to 49 CFR §§ 1548.15, 1548.16, 1549.111, 1544.288, and 1546.213. The public burden for this collection of information is estimated to be approximately 15 minutes. This is a mandatory collection of information. Send comments regarding this burden estimate or any other aspect of this collection to: TSA-11, Attention: PRA 1654.0040 601 South 12th Street, Arlington, VA 22202. An agency may not conduct or sponsor, and persons are not required to, a collection of information unless it displays a currently valid OMB control number. The OMB control number assigned to this collection is 1652-0040, which expires 08/31/2019.

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