



## COMPLIANCE || XPRESS

Simple. Online. Secure.

Sanctions list screening and export control checks.

For secure processes in global trade.

# Playing by the rules is child's play with **COMPLIANCE||XPRESS**

Companies that ship goods within the EU or export to countries outside the EU must check whether any



embargoes or licensing requirements apply. **COMPLIANCE||XPRESS** supports you in this task.

**COMPLIANCE||XPRESS** is a certified online solution for automated sanctions list screening.

It also lets businesses run comprehensive checks for national embargoes, goods-specific licensing requirements and end-use:

This makes **COMPLIANCE||XPRESS** the on-demand tool for export controls. Alongside United Nations embargoes there are EU

regulations such as the Dual-Use Regulation plus national export bans and restrictions.

With national and international legislation subject to frequent changes and updates, it's not easy to make sure you're always "playing by the rules" – complying with all export restrictions and anti-terrorism regulations.

## — For secure business processes

Companies active in international commerce must ensure that they do not violate EU anti-terrorism regulations and U.S. requirements and that they are always compliant with the latest export control laws.

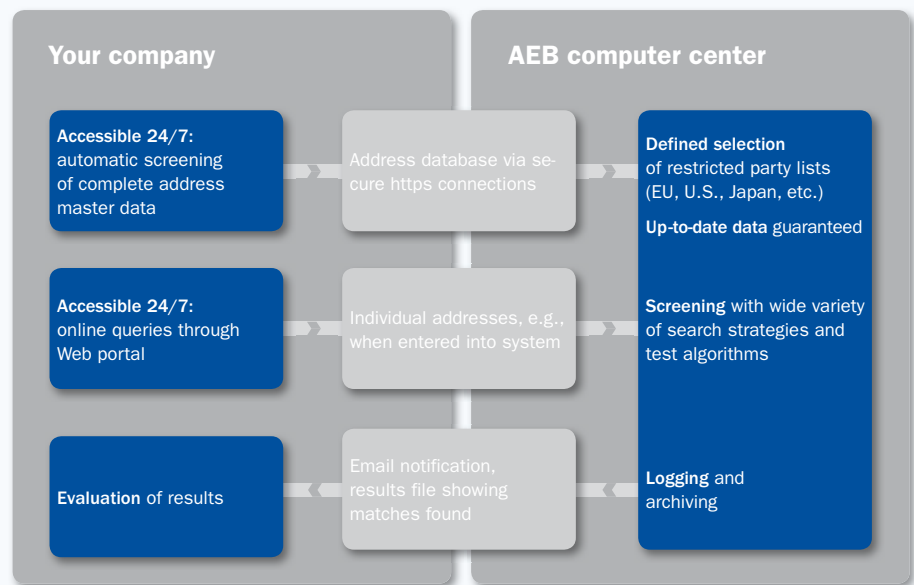
**COMPLIANCE||XPRESS** is your fast track to greater security – easy to use and without a big start-up investment. **COMPLIANCE||XPRESS** helps you quickly determine which laws pertain to a particular shipment and which

licenses are required. All business partner addresses are checked against legally binding sanctions lists. This protects your business processes and prevents violations.



## — How does sanctions list screening in COMPLIANCE || XPRESS work?

Through regular electronic transmissions that you can launch manually or set to run automatically, you send your address master data to COMPLIANCE || XPRESS, a “Web service” based in the AEB computer center. There your addresses are screened for compliance with the binding published sanctions lists in a process that is both automatic and secure. The same applies to your data. That’s because the transmission protocol (https), data management technology (secure zone for each individual client) and AEB’s internal organization are all designed to ensure that your sensitive customer data doesn’t fall into the wrong hands. The security of AEB’s computer center has even been officially confirmed through ISO 27001 certification. Data is transmitted to the AEB computer center through an encrypted connection and then checked. The results are returned to you in the form of a check



log. This way, you are able to document the screening process and refer back to the results, even years later. COMPLIANCE || XPRESS lets you enjoy AEB’s update service and sophisticated

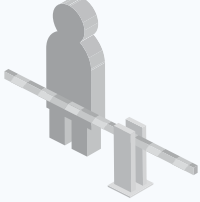
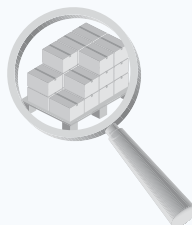

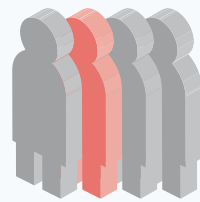

screening functionality. AEB also documents all screening results. You can access check logs and monitoring functions at any time.

## — Comparing addresses is no easy task. But COMPLIANCE || XPRESS has a few tricks up its sleeve:

- Fuzzy logic: identifies similarities using “fuzzy” search algorithms.
- Phonetic agent: takes spelling variants into account (Meier vs. Mayer or Abdul vs. Abd al).
- Typo analyzer: looks at typographical variants (ALL CAPITALS, all lowercase).
- Abbreviation profiler: recognizes abbreviations and transpositions.
- Good Guy lists: optimizes the quality of the screening and ensures smart handling of similar-sounding names.
- Delta view: keeps you informed of changes to sanctions lists and new or deleted entries.
- Delta check: data that has already been checked is compared against delta list entries. Benefits: reduced number of restricted parties for recurring checks, better performance during checks
- Sensitivity: use thresholds to define how sensitive the check should be so that you also find restricted parties with greater typographical variants.
- Unicode-ready: also identifies addresses on restricted party lists written in Cyrillic script, for example – even within a range of minor phonetic spelling variations.

# How does the export control check in COMPLIANCE || XPRESS work?

## — Automatically run the following checks with COMPLIANCE || XPRESS:

 <p><b>Country embargoes?</b></p>	 <p><b>Critical goods?</b></p>	 <p><b>Critical end-use?</b></p>	 <p><b>Critical end user?</b></p>	 <p><b>Subject to U.S. law?</b></p>
Check the countries of the buyer, consignee and destination: Is a total, partial or arms embargo in effect?	Do my goods require a license? Do my goods fall under the Dual-Use Regulation or national restrictions?	Is the intended end-use permissible?	Is my business partner named on a sanctions list?	Do U.S. re-export restrictions (EAR) apply?

## — Regulations applied during a COMPLIANCE || XPRESS screening:

- German Foreign Trade and Payments Act (AWG)
- German Foreign Trade and Payments Regulation (AWV)
- EU Dual-Use Regulation
- U.S. Export Administration Regulations (EAR)
- Coming soon: U.S. International Traffic in Arms Regulations (ITAR)

## — Quick Check

The Quick Check feature lets you run ad hoc checks on individual shipments to make sure they're not critical. Simply enter the countries of the consignee, buyer and destination plus

the material number or – if known – the German "Ausfuhrliste" number or ECCN. You then see an overview of key information for both DE/EU law and U.S. EAR and have the option to

display more detailed information if needed. The Quick Check is ideal for integration into your company intranet and for quick export control checks in sales settings.

## — Don't forget: U.S. export law often applies


U.S. (re-)export law does not just apply to those who export goods from the United States. If you are shipping goods from the UK to France, for example, and the

shipment includes components that originated in the U.S. or were manufactured using U.S. technology, you need to check whether a permit from the U.S. authorities is

required. It depends on the goods you are shipping and on whether the exporting company is a "U.S. person," not whether you are actually exporting something from the U.S.

## Less hassle with COMPLIANCE || XPRESS

COMPLIANCE || XPRESS leverages the savings effects

 of today's on-demand solutions, offering uniquely simple technical support to meet the organizational needs of small and medium enterprises.

AEB shoulders the investments in screening technology, maintains the software, provides the hardware and ensures the data is up to date. All you need to worry about is your standard obligations of securing and documenting your processes.

### **No limit on how often addresses are checked**

You decide how often you wish to run sanctions list screenings. Better too much than too little when it comes to running automated batch screenings of your master data. COMPLIANCE || XPRESS doesn't impose any limits, so you have all your options open. You can even run nightly checks of all your master data. You can also submit an online query at any time to check individual addresses.

## Features of COMPLIANCE || XPRESS

### Features of sanctions list screening

- Regular screening of address masters: monthly, weekly or daily
- Secure transmission through encrypted data interchange
- Low costs
- Automatic updates of all current lists
- All events and screening activities logged and archived
- Good Guys and restricted parties applied and administered in separate lists
- Search strategies and test algorithms designed especially for bulk address checks to ensure high performance

### Features of Export Controls EU

The Export Controls EU module checks your transactions against German and EU law – specifically, the following regulations and guidelines:

- All goods classified in the EU Dual-Use Regulation
- Embargoed countries based on ISO codes
- Check for applicability of general licenses (German and European)
- Check for license requirements based on critical end-use

### Features of Export Controls U.S. EAR

The Export Controls U.S. EAR module runs checks based on the United States Export Administration Regulations (U.S. EAR) – specifically, the following regulations and guidelines:

- Check of goods based on the Commerce Control List (CCL) and Commerce Country Chart (CCC)
- Embargoed countries based on ISO codes
- Check for applicability of license exceptions

