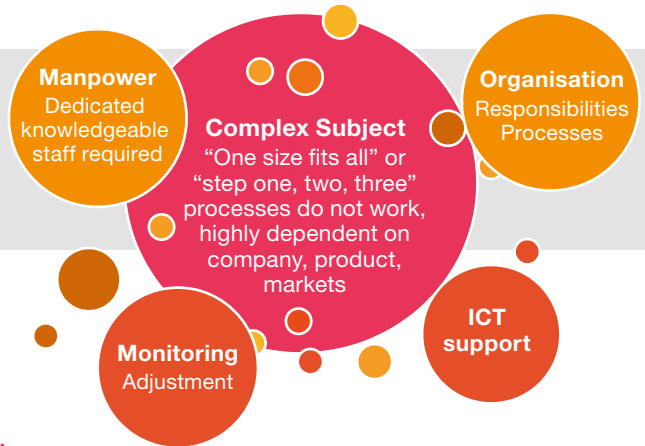




# Export control

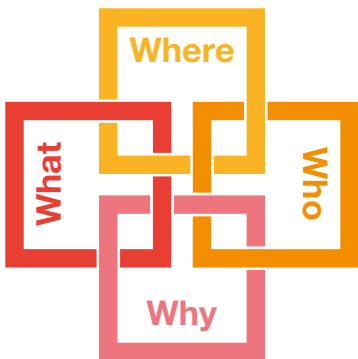
Start thinking about export control and sanctions

# The challenges you face



- **Complex legal environment** where multiple regulations may apply – especially for international supply chains and payment transactions
- **Fast changing export controls and sanctions environment**
- **Implications to nearly all areas within the organisation** like R&D, Procurement, Marketing, Sales, Finance/Accounting, Human Resources, Information and Communications Technology
- **No “best practice” application**, it all depends on the individual company
- **Increased enforcement actions** of the regulators with the threat of heavy fines and/or being sanctioned

## The fab four questions of export control



### Where do you deliver to?

Is the delivery or country of final destination under embargo?



### Who is involved in the transaction?

Is one of your business partners (incl. Banks) on a Sanctioned Parties List? Beware the 50 % rule!\*



### Why are you delivering your items?

What is the end-use? Do the goods have **any connection** to weapons of mass destruction?

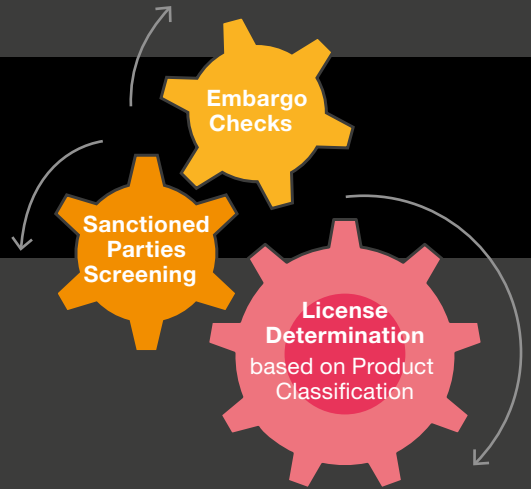


### What items are you supplying?

Are the goods on any goods control list?

\*Any entity owned in the aggregate, directly or indirectly, 50% or more by one or more blocked persons is itself considered to be a blocked person.

# The core of the export control and sanctions processes



## Why export control and sanctions management

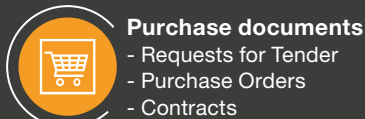
- **Business continuity**
- **Flexible and resilient supply chain**
- **Efficient compliant transactions**
- **Preservation of company image** and being seen as a trustworthy business partner
- **Automation and improvement of processes**
- **Enablement of traceability and reporting**
- **Enhanced governance**
- **Avoidance of penalties** (civil and criminal fines as well as personal liability)

## What needs to be checked

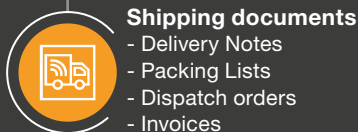
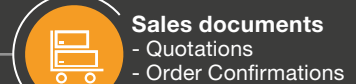
### Databases



### Transactions



### Outgoing payments



# When should you start thinking about export control and sanctions?

**Whenever you are buying from outside your home country or exporting**

- Launch of new products and/or services
- Make/Buy decisions
- Relocation of manufacturing sites
- Setting up of/adjustment of supply chains
- Supply Chain Risk Management
- Being or having a US subsidiary
- Mergers and Acquisitions
- Carve Outs/Divestments
- Data transfers and cloud computing

## How we support you

### Services we provide

| Status                                                                                                                                                                                           | Set up                                                                                                                                                                                                                                                          | Support                                                                                                                                                                                                                                                                                                                   | On track                                                                                                                                                                                              | Worst case                                                                                                                              |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"><li>- Initial check-ups</li><li>- Awareness training</li><li>- Analytics</li><li>- Controls review</li><li>- Sanity checks</li><li>- Risk assessment</li></ul> | <ul style="list-style-type: none"><li>- Training and seminars</li><li>- Export control organisation</li><li>- Internal compliance program</li><li>- Export control classification</li><li>- Global trade management tools</li><li>- Change management</li></ul> | <ul style="list-style-type: none"><li>- Contact for all export control related questions</li><li>- Regulatory watch</li><li>- Product classification</li><li>- Training/Seminars</li><li>- Employee qualification</li><li>- Review of commercial transactions</li><li>- Solution enhancement</li><li>- Helpdesk</li></ul> | <ul style="list-style-type: none"><li>- Update risk assessment</li><li>- Export control reviews (internal and/or external)</li><li>- Update KPIs</li><li>- Identification of potential gaps</li></ul> | <ul style="list-style-type: none"><li>- Litigation support</li><li>- Authority audit preparation</li><li>- Corrective actions</li></ul> |

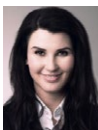
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