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**BEX**

# **SANSCREEN**

Sanctioned-party list screening

Product description

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Take no chances!

In order that your export business makes an essential contribution to a successful development of a company and doesn't become a risk, you have to ensure the verification of legal export and EU-restrictions.

SANSCREEN is your safeguard that sanctioned-party lists are verified without additional manual effort and that suspicious addresses are indicated. A possible infringement is avoided beforehand.

## 1 Technical setting /background/history

The Foreign Trade Law acts on the assumption of the principle of freedom of foreign trade. However, the Foreign Trade Law contains rules to prevent extensive disruptions of external correlation of the Federal Republic of Germany. Based on this the German Foreign Trade Regulations contain precise limitation and obligations to obtain a permit. An essential part of export monitoring are measurements to fight terrorism. SANSCREEN enables safeguarding the worldwide trading in accordance to the current valid regulations and restrictions.

The European Union enacted restrictive measurements to fight terrorism with the regulation (EC) No. 881/2002 of 27.05.2002. Corresponding to the included designation, identified persons, groups or organizations that are on the lists, are not allowed to be provided, whether directly or indirectly, with financial assets or economical resources.

The definition of economic resources comprises assets of all kind, irrespective if they are material or immaterial, movable or immovable, that are not about money, but that they may be used to acquire money, goods or services. Therefore, the direct or indirect supply of goods to persons, groups or organizations on the sanction list, irrespective of their receiving country, is forbidden.

### Obligations for businesses

- Companies are obliged to comply with the requirements of export control. In particular they have to check whether the persons involved in the delivery are listed on the anti-terrorism lists.
- The management and their duly authorized institutions and individuals must take reasonable organization measures, to ensure with a sufficient likelihood that no foreign trade violations are committed by negligence or intent.
- In order that the export control regulations and the sanction list screening are being followed, one member of the board of directors or of the executive committee is responsible personally.

## 2 Two Solutions

### 2.1 ASP-Solution through our computer center

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no asset costs for software

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pay per use – transparent and fair

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connection of ERP-system easily possible

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automatic update

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higher data security and availability in own computer center (ISO27001 certified)

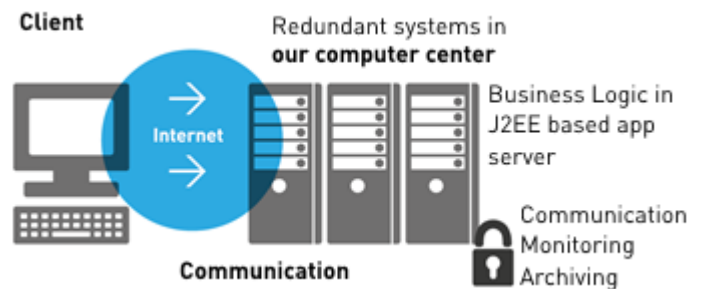
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permanent monitoring

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working at own workplace

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### 2.2 In-house solution in your company

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one-time license acquisition

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updates (annual maintenance fee)

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complete integration in your IT environment

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onsite installation

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customized program modifications (if needed)

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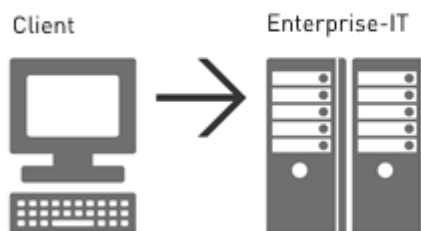
customized program extensions (if wished)

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maintaining the data in the 'own house'

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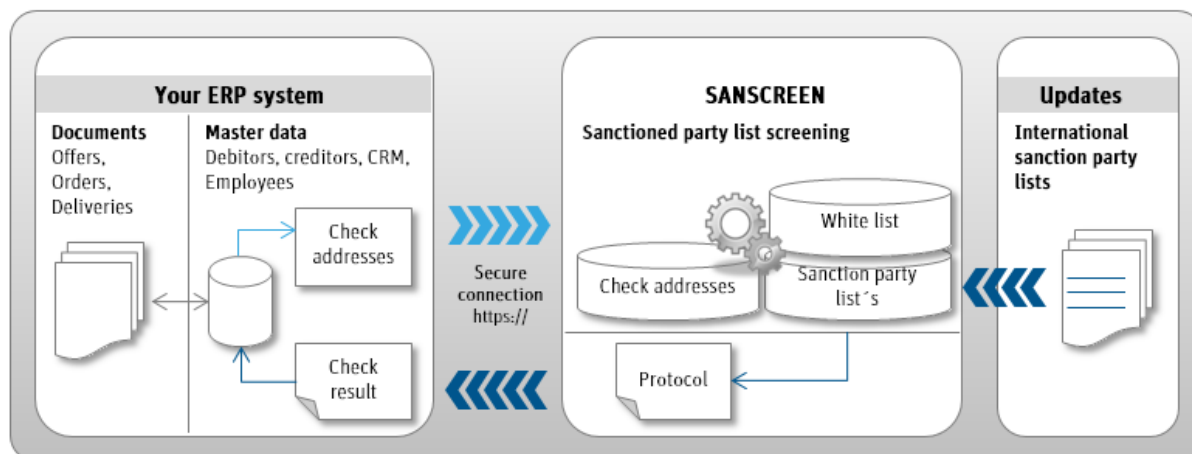
#### System architecture in your company



### 3 Sanctioned-party list screening with SANSSCREEN

You can screen single records directly (e.g. applicant addresses, new customers, changes of customer addresses) as well as screen the whole address master (debtors, creditors, staff) in regular batch runs by connecting your feeder system.

Extensive logging keeps track of transactions and also allows for the verification of screenings at a later date. Optical characteristics within the software help with efficient and user-friendly handling.



The functionalities of SANSSCREEN are based on the current legal regulations, which are binding for companies:

- Regulation (EC) No 881/2002 of 27 May 2002 - Measures against the Al-Qaida network
- Regulation (EC) No 753/2011 of 01 August 2011 - Measures against certain persons, groups, undertakings and entities in view of the situation in Afghanistan
- Regulation (EC) No 2580/2001 of 27 December 2001 - Measures against other terror suspects

#### 3.1 Sanctioned-party lists as data basis

The following sanctioned-party lists are basically included:

- **EU\_CFSP**  
Issuer: European Union External Action: Common Foreign and Security Policy  
Name: Consolidated list of persons, groups and entities subject to EU financial sanctions
- **GB\_HMT**  
Issuer: HM Treasury, Office of Financial Sanctions Implementation  
Name: Consolidated list of Financial Sanctions Targets in the UK
- **US\_SDN**  
Issuer: Office of Foreign Assets Controls, U.S. Department of Treasury  
Name: Specially Designated Nationals And Blocked Persons List
- **US\_DPL**  
Issuer: Bureau of Industry and Security, U.S. Department of Commerce  
Name: Denied Persons List
- **CH\_SECO**  
Issuer: Staatssekretariat für Wirtschaft SECO  
Name: Consolidated List



If required, the following additional lists are available optionally for the product versions professional and compact extended:

- **US\_EL**  
 Issuer: Bureau of Industry and Security, U.S. Department of Commerce  
 Name: Entity List
- **US\_LSDP**  
 Issuer: U.S. Department of State, Directorate of Defense Trade Controls  
 Name: List of Statutorily Debarred Parties
- **US\_LADP**  
 Issuer: U.S. Department of State, Directorate of Defense Trade Controls  
 Name: List of Administratively Debarred Parties
- **US\_UL**  
 Issuer: Bureau of Industry and Security, U.S. Department of Commerce  
 Name: Unverified List
- **JP\_METI**  
 Issuer: METI Ministry of Economy, Trade and Industry  
 Name: End User List
- **US\_NPL**  
 Issuer: U.S. Department of State, Bureau of International Security and Nonproliferation  
 Name: Nonproliferation List
- **EU\_IRAN**  
 Issuer: Europäische Kommission / Rat der europäischen Kommission  
 Name: Iran Embargo  
 This list is not like the other anti-terror sanctioned-party lists but is part of the Iran embargo and therefore separately available.
- **EU\_RUSD**  
 Issuer: European Commission / Council of the European Commission  
 Name: Russia Embargo for Dual-use goods  
 This list is not like the other anti-terror sanctioned-party lists but is part of the Russia embargo and therefore separately available.
- **EU\_RUSK**  
 Issuer: European Commission / Council of the European Commission  
 Name: Russia Embargo for the capital market  
 This list is not like the other anti-terror sanctioned-party lists but is part of the Russia embargo and therefore separately available.
- **US\_NONSDN**  
 Issuer: Office of Foreign Assets Controls, U.S. Department of Treasury  
 Name: Consolidated Sanctions List
- **PEP List**  
 Issuer: info4c  
 Name: Politically exposed persons (PEP)

### 3.2 Check algorithm

The data is pre-processed for fast address search. When processing the to be searched anti-terrorist lists, different spellings, translation errors and phonetic similarities are already taken into account. Additional information on address parts is provided here for the efficient search.

The optimized search index allows a quick comparison to the existing anti-terror entries

When searching for addresses, it is our goal to keep the so-called "false-positive" rate small, but also to find every possible entry that belongs to an anti-terrorist address. In addition to the fuzzy-based algorithms, the search uses a distance function which determines a similarity measure between the "vectors" of the address to be searched and "the vectors" of the anti-terrorist address. In addition to the similarity of the entries, the distance function used also takes into account the relevance of a word area.

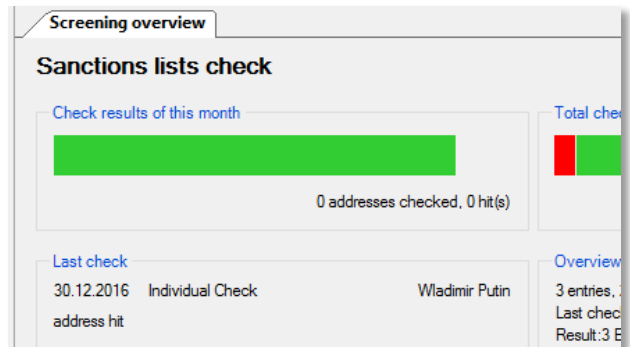
## 4 Your benefits at a glance

### 4.1 Overview of screenings

Everything at a glance!

Simplified traffic light presentation enables quick orientation

Info and statistics of past screenings



### 4.2 Protocol

Complete logging of performed screening

Filter function enables you to find the respective screening protocol quickly

| Date             | Type             | File name | Reference | Result      |
|------------------|------------------|-----------|-----------|-------------|
| 30.12.2016 11:26 | Individual Check |           |           | address hit |
| 30.12.2016 11:23 | Individual Check |           |           | address hit |
| 30.12.2016 11:22 | Individual Check |           |           | address hit |
| 30.12.2016 11:22 | Individual Check |           |           | address hit |

### 4.3 Interfaces

A high degree of flexibility for integrating any feeder systems

Interface via webservice or CSV-file

From a manual import or complete automation

### 4.4 Optional: Integration in AES FOR YOU!

Add-on module: integration of the address screening (consignee) in the export declaration

By starting the saving process in AES FOR YOU! an automated screening in the background is performed

Direct notification within the plausibility check

Available for the product versions *professional* and *compact extended*



## 5 Change history

| Date       | Editor | Change description                                    |
|------------|--------|---|
| 03.01.2017 | extern | Translation   |
| 03.01.2017 | MAC    | Finalization of document                              |
| 29.06.2017 | HAA    | New List: NON-SDN                                     |
| 28.09.2018 | HAA    | Update Name and Issuer of Sanction Lists              |
| 16.01.2019 | HAA    | Correction  |
| 18.03.2019 | HAA    | New Russia and Administratively Debarred Parties List |

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