



Export Controls

ASSIST4

Software, consultancy and services for global trade and supply chain management

AEB ■■■■

— Export control solutions for defense and dual-use industries

Are you certain that you are shipping goods with an appropriate export license? How confident are you that your sales team have authorized clearance in place before commencing negotiations with prospects? Does your export documentation comply with all relevant regulations? Do you have procedures in place to ensure that your export licenses pending expiry are reapplied for in a timely manner? Does your organization have appropriate tools in place to manage technology transfers? Does EAR or ITAR apply to your business?

Businesses that unwittingly export goods without the proper licenses are not immune to prosecution. And the penalties can be harsh: Violations of European and US export control regulations can result in hefty fines and even imprisonment. Export authorizations and special privileges already granted may be revoked, and it may be difficult to obtain further export authorizations in the future.

Be confident. Be secure. Use ASSIST4 to manage your export controls

ASSIST4 secures your logistics processes against risks thus helping you to avoid unintended violations and the potential penalties associated with these.

Fully integrated into your business processes

AEB's solution suite is fully-integrated into standard business processes. Administrators are able to ensure compliance from the initial point of contact with a prospect during the sales phase right through to shipment of goods to the customer. Importantly, all of this information is retained within a single system. The solution provides, therefore, a single point of audit for European or US official bodies demonstrating due diligence and compliance, at all times.



— License management: At the heart of export control compliance

A license is required for the export or transport of goods that are deemed critical and that are shipped to specific countries or if unlisted goods are intended for a particular end use.

Licenses are not just required when exporting what are obviously “sensitive goods”. Many other goods are subject to licensing requirements. Primary among them are goods that can be used for both civilian and military purposes – known as dual-use goods. Bullet-proof glass, for example, can be used to protect employees but also to equip tanks. Aluminum casings can be

used to produce both ammunition cartridges and lipstick tubes.

Licenses fully integrated into your export controls processes

Licenses used in the export control process – such as UK OGELs, OIELs, and SIELs or US DSPs and license exceptions – can be fully managed and administered in ASSIST4. As goods are shipped, complete records of which license was used to export / re-export a particular item are maintained within the system, including control of inbound movements for ITAR. All

relevant validity periods as well as value and quantity limits are automatically monitored to ensure that the exported goods adhere to the license conditions. Furthermore, the details of licenses used for the shipments can then be transmitted directly in the export declaration to the relevant national customs authority. The Export License Management module enables full record-keeping for export licenses including data about their usage in the physical goods shipment process and in technology transfers.

— Not only physical goods controls: Software and technology

Export controls do not apply only to physical merchandise. Sanctions apply to all goods – including software and technology. System descriptions, technical specifications, and blueprints need to be checked, since such documents may contain information subject to licensing requirements.

A license may be required merely to make software or technology available online, send it by e-mail to a foreign business partner, or bring it (in hard or soft copy) on a business trip abroad. Technology transfers (“intangible exports”) are extremely difficult for any company to keep track of. However, companies that have export licenses in

place must record technology transfers which have been undertaken against each of these.

Managing technology transfers

ASSIST4 provides an easy way for companies to manage technology transfers taking place throughout the organization and can be made available to a large number of people even if they are located at distributed sites. Full details of technology transfer requests (customer/prospect, product, dates, etc.), approvals, and usage against a particular license are maintained within the system thus providing an audit trail for administrators and official bodies.

This secure web-based application provides an easy way for you to manage technology transfers taking place throughout your organization. Employees are able to submit requests to the export controls administrator(s) to determine whether the activities they are undertaking are covered by existing export licenses or authorized clearances. If these already exist, then the administrator is able to advise the employee of the corresponding license via the web-based application. Otherwise, as the administrator is notified of the requirement at an early stage, the application process for a new export license can commence.

Key features

Export license management

- Management of all relevant data for licenses (such as those issued by UK, German, and US authorities)
- Export licenses can be assigned to shipment items thereby ensuring that the export license data is automatically displayed on relevant Customs, commercial, and other documentation
- Licenses are automatically decremented on value and quantity as they are used in shipments - where applicable.
- Restrictions of export license usage according to consignees, countries, products, etc.
- Handling of temporary licenses (due/ actual date of returns, etc.)
- Integrated archive for revision-secure storage of export license documents
- Handling of additional license types such as trade control licenses
- Administrator-configurable warnings that notify system users of upcoming license & EUU expiries and depletions
- Recording of consignee and end-use undertaking data

Technology transfers management

- The application features a series of fields via which the user can clearly specify the activity they are undertaking (e.g. customer/ prospect, product, dates, etc.)
- The solution is web-based and therefore can be made available to a large number of people even if they are located at distributed sites throughout your organization
- All requests for clearance are centrally recorded in the system thus providing an audit trail for administrators and official bodies
- Status codes giving users and administrators clear indications of the status of each request
- Usage levels can be used to determine export controls training requirements
- Administrators can identify requirements for export licences at an early stage, thus ensuring that their applications are made at the earliest opportunity

EAR & ITAR management

- Management of all relevant data for EAR and ITAR licenses
- Revision control to support General Correspondence licenses
- A 'three stock process' to manage the decrement of items by quantity. This monitors the remaining stock to be fulfilled by a supplier, items within stores, and those already dispatched
- Management of license agreements and amendments
- Capture of key master data (such as USML, ECCN, Security Classification)
- Automated ITAR statements for shipping documents
- ITAR license application document
- Reference to open licenses
- Update management of ITAR licenses

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