

## Compliance with Anti-Terrorist Acts

for Your SAP® Applications

Check of your business processes regarding compliance with anti-terrorist acts for foreign and domestic market businesses:

- + Intelligent screening technology with setting of level of analysis
- + Setting of business activity for lists to be aligned
- + Integrated check of business partner data during creation and maintenance
- + Integrated in SD, MM and HR
- + Decisions made are logged and archived
- + Individual check, batch check and delta check
- + Boycott monitor to display the lists
- + Integration of predefined workflow processes
- + Fault-tolerant search in the boycott list



# Legal Requirement Compliance with Marble Compliance Check

## Legal Framework Functions

In the regulations 2580/2001 881/2002, the European Union bans terrorist organisations and individual persons from providing assets and services at home and abroad. According to § 34 Paragraphs 4 and 7 of the Law on Foreign Trade and Payments, business dealings with sanctioned persons and institutions are liable to prosecution. This means that both goods deliveries and business contacts are prohibited.

In this context, company management is obligated to introduce organisational counteractive measures in accordance with §§13,14 Paragraph 2 of the German Criminal Code. The US authorities "Bureau for Industry and Security (BIS)" and "Office for Foreign Assets Controls (OFAC)" have likewise decreed regulations that also apply for non-US companies. The organisations and individual persons are drawn up in boycott lists.

## Consequences for Your Business Processes

As a result of the implementation of the regulations, critical business processes such as payment, purchasing and sales procedures, as well as process in the Human Resources area, must be checked with regard to the name identity of the business partner against one of the boycott lists. If a correlation is found, the identity of the business partner must be checked and the business relationship discontinued if necessary.

## The Integrated Solution for Your SAP® Application

Marble ComplianceCheck is a solution programmed in ABAP that is integrated in the critical business processes. The business partner data is checked against the boycott lists using intelligent screening technology:

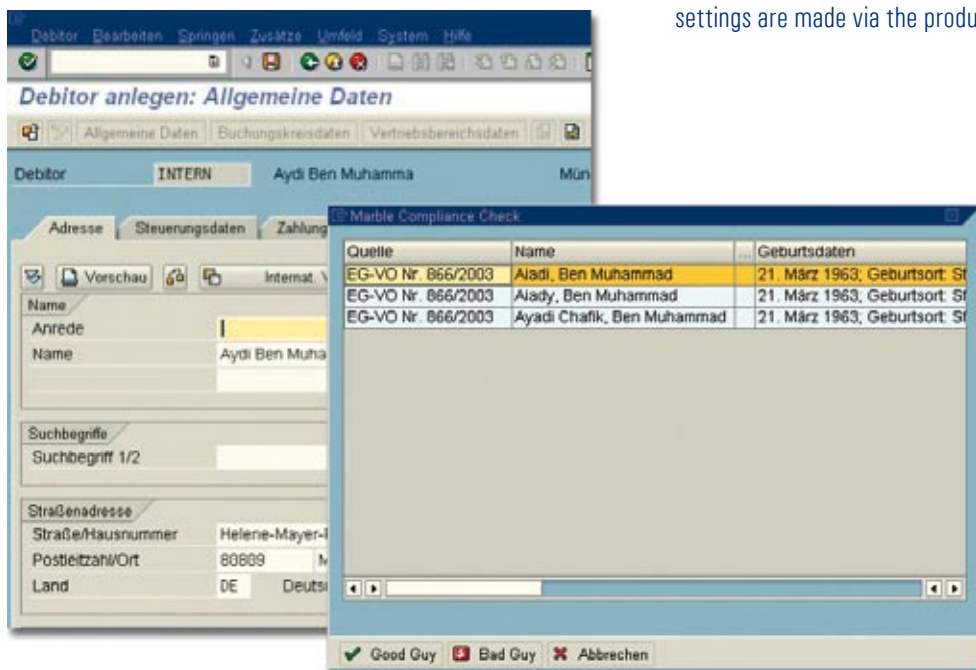
- + EU Regulation
- + US Denied Persons List (DPL)
- + US Unverified List
- + US Entity List
- + Specially Designated Nationals and Blocked Persons
- + Swiss SECO List
- + Personally Black List

When using, creating and maintaining business partner data, creating documents or, for example, maintaining a different goods recipient, the user and the Compliance Officer are informed in the event of a match. The user can see from which list the found record originates from the boycott type.

The hit is qualified and processed further via a processing monitor. Here, the business partner can be defined as a "Good Guy" or a "Bad Guy". All the processing steps are documented and recorded verifiably for this purpose.

## Functions

- + Selection of the boycott lists to be checked
- + Language-independent screening technology
- + Integration of predefined workflows
- + Definition of automated locks
- + Boycott monitor for displaying, qualifying and processing
- + Inclusion of business partners in the "Good Guy List"
- + Definition of own "Personally Black List"
- + Fault-tolerant individual search in the boycott list
- + Setting of various warning levels for the boycott type
- + Log function for continuous documentation
- + Individual check, stock check and delta check
- + Check for customer, vendor, central business partner, HR master record



## Current Up-to-Date Data / Top Technology

The boycott lists are prepared on a day-to-day basis by our service provider and made available in the required data structure as a download. The integrated screening technology provides the highest possible level of efficiency and security. The utilised technology is used successfully in duplicate search solutions (Marble AddressCheck Professional) or in concordance searches (Marble FACT-Finder). The technology used is language-independent here.

## Architecture / System Requirements

Marble ComplianceCheck is programmed in ABAP and is installed in the SAP® system (from 4.6C) via SAP® transports. The screening technology for processing the boycott lists is installed on an available application server. The boycott list is addressed via an RFC destination. The required settings are made via the product's SAP® Customising.

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