



# Global Back Office, LLC

*International Risk, Process and Cost Management*

## INFORMED COMPLIANCE

### KEY COMPLIANCE REQUIREMENTS:

EXPORT	IMPORT
Destination Country and Parties Screening	Origin Country and Parties Screening
Export Licensing	Country of Origin Records
Anti-Boycott Compliance	Valuation
Shipper's Export Declaration (AES)	HTUS Classification
HTUS/Schedule B Determination	Finance Verification
Record Retention	Record Retention
Free Trade Agreement Records- Origin	Free Trade Agreement Records- Origin/HT
Red Flag Indicators	Broker Management

Plus **GENERAL** requirements to screen for Anti-Bribery and Money Laundering violations, and to have a designated person responsible to lead compliance activities.

### RESOURCES:

- ◆ Bureau of Industry & Security: <http://www.bis.doc.gov/>
  - "Lists to Check" for Screening
  - Export Licensing
  - Anti-Boycott
  - Red Flag Indicators
  - Shipper's Export Declaration (AES)
  - Record Retention
  
- ◆ Directorate of Defense Trade Controls (ITAR) <http://pmdrtc.state.gov/>
  - Licensing- Military, Defense Items
  
- ◆ OFAC, US Department of Treasury: <http://www.treas.gov/offices/enforcement/ofac/sdn/>
  - Specially Designated Nationals Screening and Trade Sanctions (Destination Country)
  - Money Laundering
  
- ◆ Department of Census: <http://www.census.gov/foreign-trade/schedules/b/index.html>
  - Schedule B Determination (Exports)
  
- ◆ United States International Trade Commission: <http://www.usitc.gov/tata/hts/bychapter/index.htm>
  - Harmonized Tariff of US

- ◆ Trade Information Center (US Department of Commerce): <http://www.ita.doc.gov/td/tic/>
  - Schedule B, HTS Schedules, licensing
  - Country Import Information, Tariffs & Taxes
  - Foreign documentation requirements, market reports
  - Free Trade Agreements
  
- ◆ U.S. Customs & Border Security: <http://www.customs.gov>
  - Import and Export Forms, Documents
  - Rules of Origin
  - Classification
  - Valuation, Finance Verification, Record Retention, Broker Management
  - Regulatory Audits