

Sustaining the Future with Compliance

Infineon Technologies Asia Pacific Pte Ltd (IFAP)

Humairah Ibriam
20 July 2017



Agenda

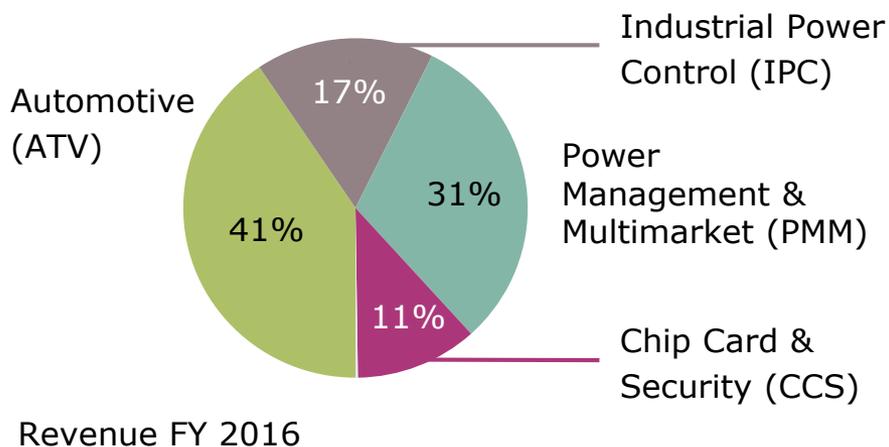
- 1 About Infineon Technologies
- 2 Export Control & Customs Global Directives
- 3 Complying with ECC regulations in IFAP
- 4 Our Aspiration
- 5 Contact Details

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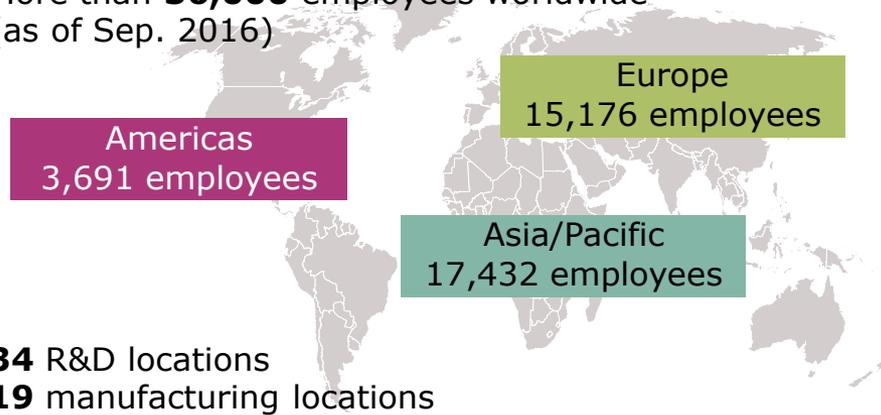
Infineon at a glance

Business Segments

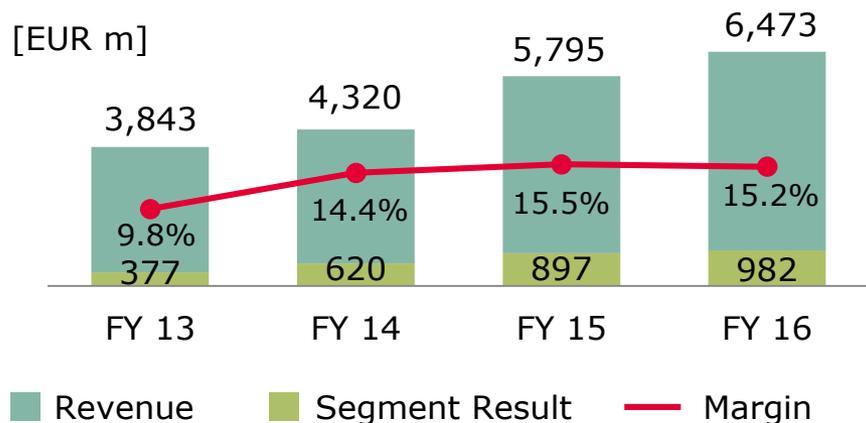


Employees

More than **36,000** employees worldwide (as of Sep. 2016)



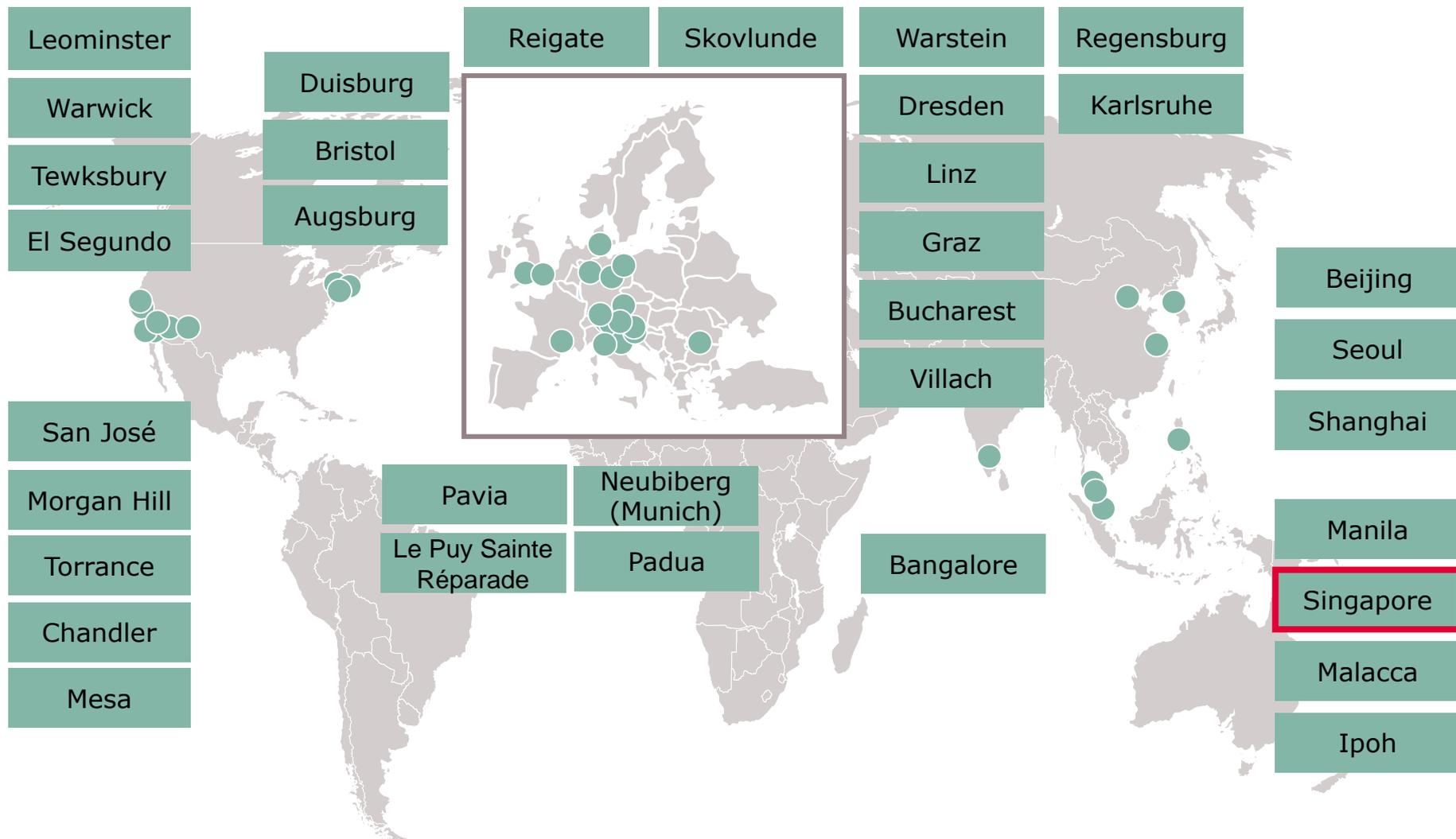
Financials



Market Position

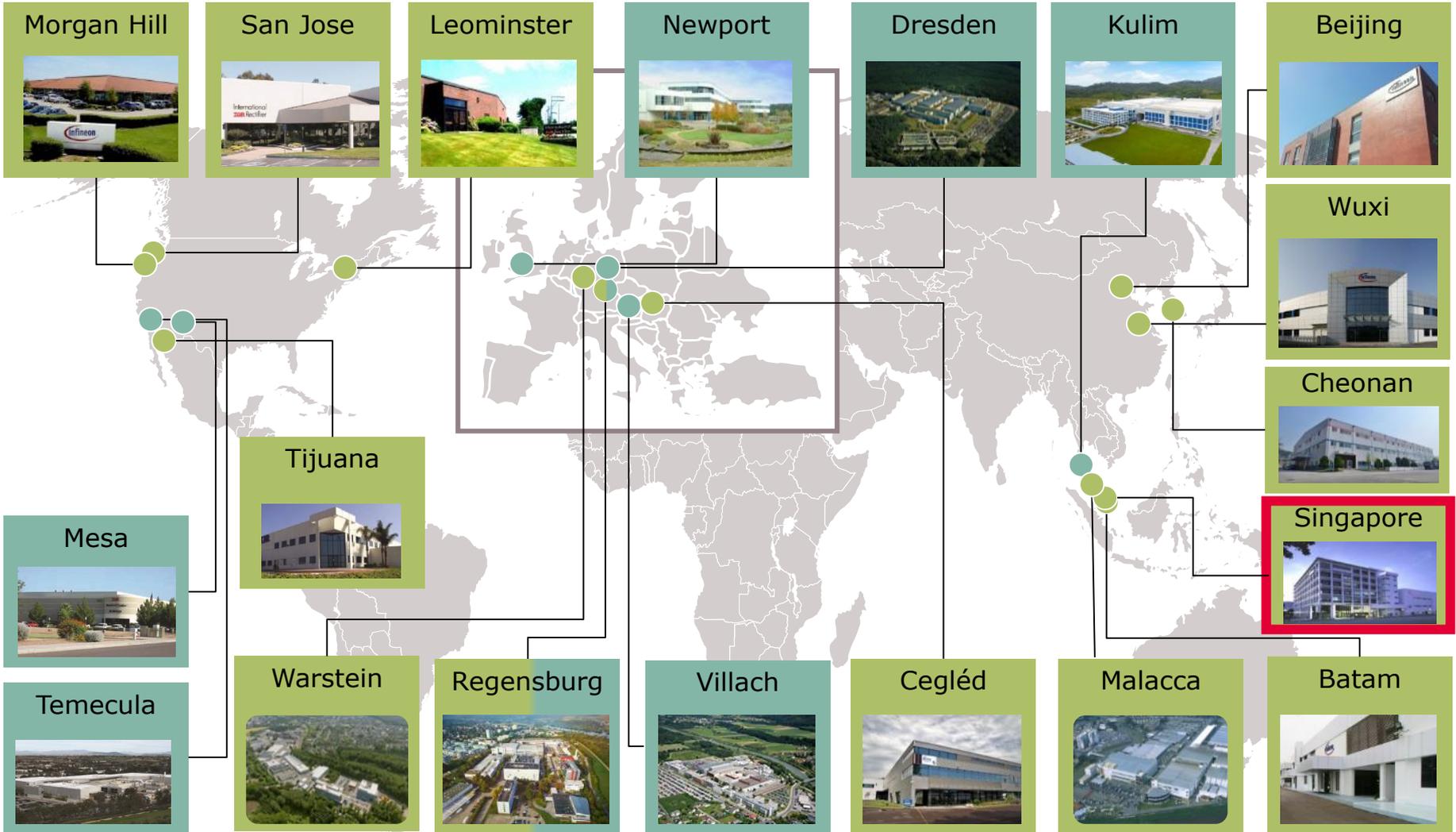


Our global R&D network



Status: 30 September 2016

Worldwide manufacturing sites frontend and backend



● Frontend ● Backend

Status: 30 September 2016

Product range



Automotive (ATV)

- › 32-bit automotive microcontrollers for powertrain, safety and driver assistance systems
- › Discrete power semiconductors
- › Magnetic and pressure sensors
- › IGBT modules
- › Power ICs
- › Radar
- › Transceiver (CAN, LIN, Flex Ray™)*
- › Voltage regulators



Industrial Power Control (IPC)

- › Bare die business
- › Discrete IGBTs
- › Driver ICs
- › IGBT modules (high-power, medium-power, low-power)
- › IGBT module solutions incl. IGBT stacks



Power Management & Multimarket (PMM)

- › Control ICs
- › Customized chips (ASICs)
- › Discrete low-voltage and high-voltage power transistors
- › GPS low-noise amplifier
- › Low-voltage and high-voltage driver ICs
- › MEMS and ASICs for silicon microphones
- › RF antenna switches
- › RF power transistors
- › TVS (transient voltage suppressor) diode



Chip Card & Security (CCS)

- › Smart card (contactless and contact-based) and embedded security ICs
- › Turnkey security solutions e.g. OPTIGA™ Trust, OPTIGA™ TPM
- › Packaging and service portfolio
- › CIPURSE™ open standard based solutions
- › Innovative solutions from basic security RFID and memories to high-end security controllers
- › Leading technologies e.g. SOLID FLASH™, Integrity Guard, Coil on Module

*FlexRay is a trademark licensed by FlexRay Consortium GbR

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Export Control & Customs Goals

Vision

- › All Infineon employees are aware of the potential benefits and risks of Customs and Export Control as an integral part of worldwide business operations.
- › They are supported by uniform and compliant processes and standardized data systems

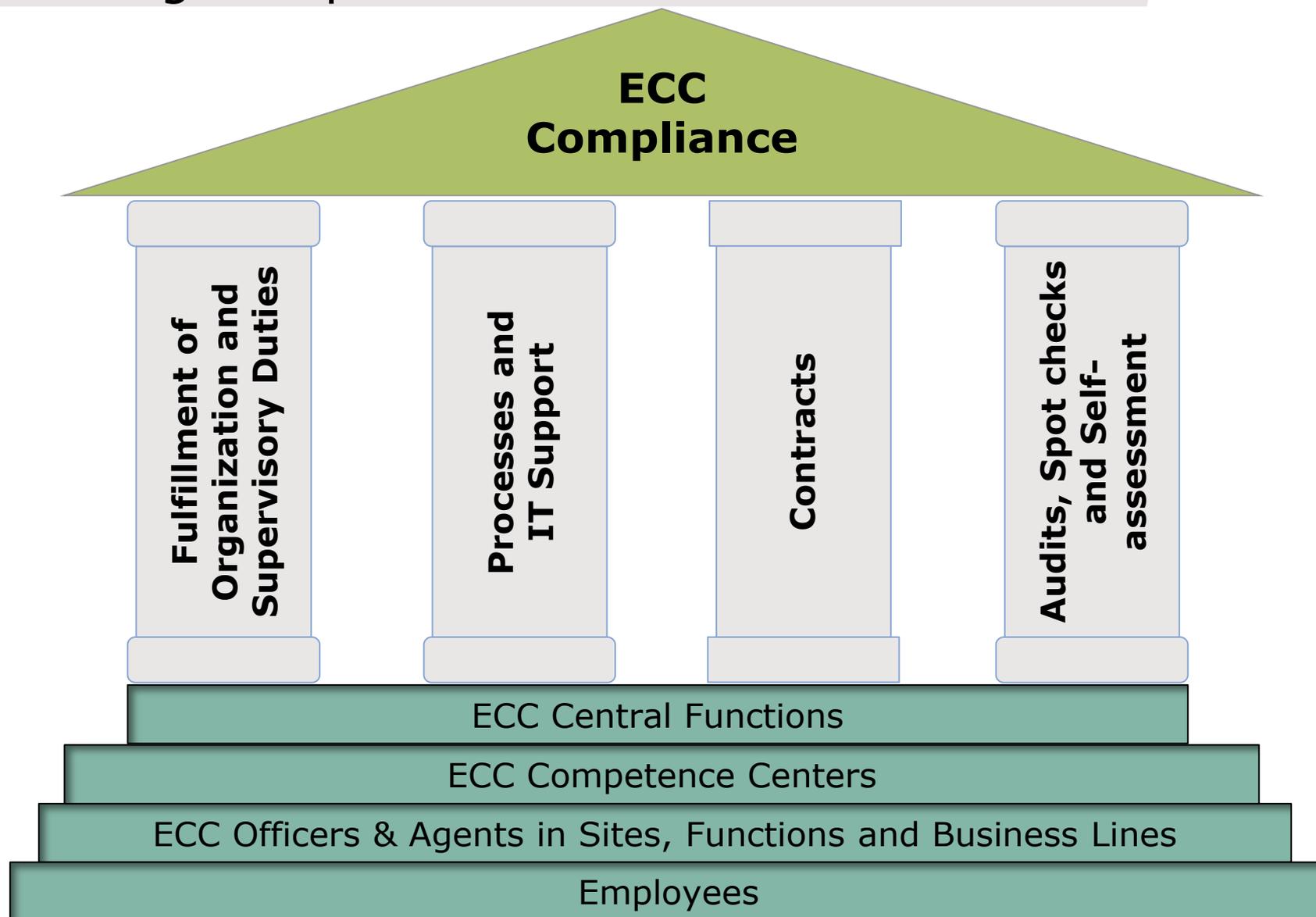
Mission

- › Customer Focus
- › Operational Excellence
- › Profitable Growth
- › Collaborative Leadership

ECC Compliance Approach



Achieving Compliance



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Our Responsibilities

- › Implementation of effective measures concerning export control regulations and foreign trade laws to avoid sanctions and penalties against Infineon Technologies

People & Knowledge

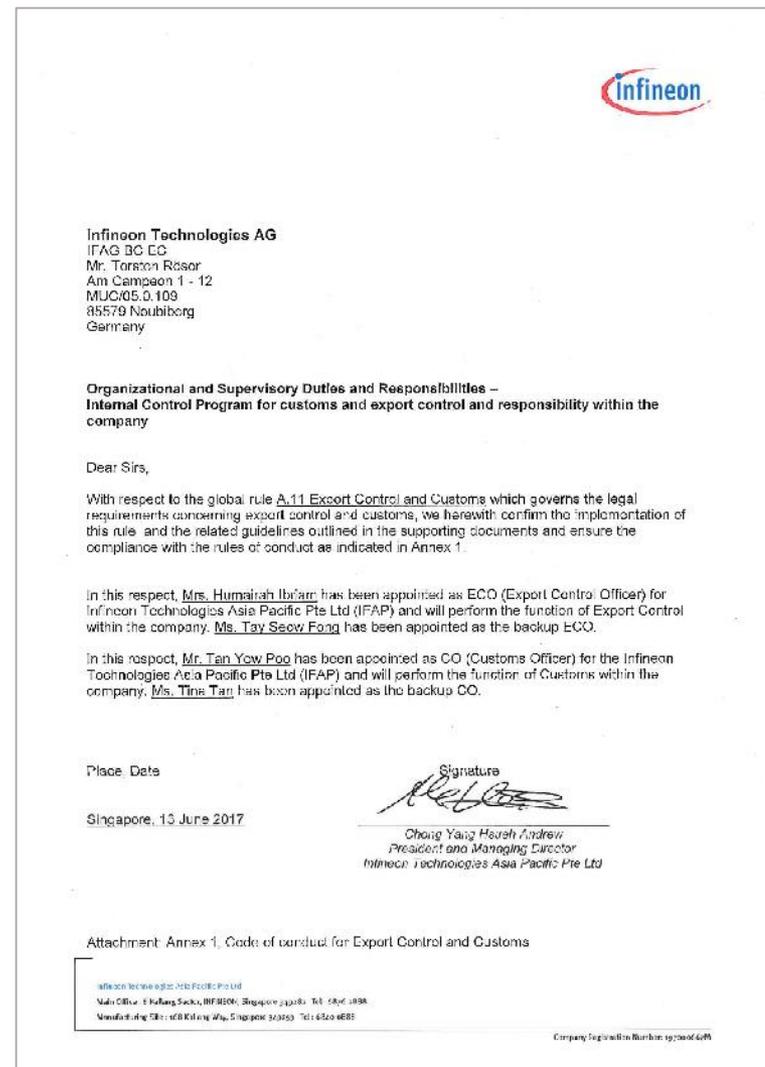


Tools



People

- › Expertise in all offices that we operate in:
 - Nominations of **Export Control Officer (ECO) & Customs Officer (CO)** for every site
 - Nominations of **Export Agents (EA)** for the various function groups
- › Close contact with the relevant authorities in the respective countries



Gathering Knowledge

› External Training

- Seminars
- Workshops

› Internal Training

- Online Learning (mandatory and tracked)
- Classroom-based Learning

› Content

- Basic awareness training for all employees
- Targeted training for the different user groups
- In-depth training for the nominated ECO & EA



Product Screening

> PGS+

	Baunumber	Serial no.	V-SNR	Sales Product	FP Number	SP Number	AL Number	ECCN	ECCN US	SI Class	MY Class	MX Class	HK Class
	51024816	F0025	V66000M7616A31413Z...	SLM 76CF3201P VQFN8	MA000770324	SP000770086	5A002A1A4	N	5A002ENC2	5A002A1A	5A002A1A4	ECBLOCK	5A002A1A
	51025205	F0026	V66000M7616A31513Z...	SLM 76CF3201P VQF...	MA000783606	SP000783286	5A002A1A4	N	5A002ENC2	5A002A1A	5A002A1A4	ECBLOCK	5A002A1A
	51025259	F0001	V66000M7617A30613Z...	SLM 76CF2561P VQFN8	MA000785942	SP000785890	5A002A1A4	N	5A002ENC2	5A002A1A	5A002A1A4	ECBLOCK	5A002A1A
	51025458	F0004	V66000M7615A30813Z...	SLM 76CF3601P VQF...	MA000790442	SP000785884	5A002A1A4	N	5A002ENC2	5A002A1A	5A002A1A4	ECBLOCK	5A002A1A
	51025872	F0006	V66000M7615A30713Z...	SLM 76CF3601P VQF...	MA000802082	SP000802046	5A002A1A4	N	5A002ENC2	5A002A1A	5A002A1A4	ECBLOCK	5A002A1A
	51025927	F0007	V66000M7615A30913Z...	SLM 76CF3601P C	MA000803602	SP000803402	5A002A1A4	N	5A002ENC2	5A002A1A	5A002A1A4	ECBLOCK	5A002A1A
	51026300	F0027	V66000M7616A31313Z...	SLM 76CF3201P VQFN8	MA000824254	SP000823836	5A002A1A4	N	5A002ENC2	5A002A1A	5A002A1A4	ECBLOCK	5A002A1A
	51026463	F0008	V66000M7615A30813Z...	SLM 76CF3601P C	MA000836412	SP000836166	5A002A1A4	N	5A002ENC2	5A002A1A	5A002A1A4	ECBLOCK	5A002A1A

> SAP

Sales: General/Plant **Foreign trade export** Sales text Purchasing Foreign trade import Purcha...

Material SLM 76CF3601P C
 Plant DCAC - DHL Supply Chain

Foreign trade data

Comm./imp. code no. Digital integrated circuits
 Export/import group E/I Mat Group GOAL
 CAS number (pharm.)
 PRODCOM no.
 Control code

Legal Control

Country Singapore

Act	LR	Exp.ctrl class	Grouping
<input type="checkbox"/>	DE	5A002A1A4	TC
<input type="checkbox"/>	MY	5A002A1A4	TC
<input checked="" type="checkbox"/>	SG	5A002A1A	TC
<input type="checkbox"/>	U1	5A002ENC2	TC
<input checked="" type="checkbox"/>	US	N	TC

Product Screening

> Product Classification for 3rd Party Products

ECCN and HTS Information

The following table summarizes the ECCN (Export Control Classification Number) and HTS (Harmonized Tariff Schedule) numbers for many Lenovo hardware products. If you have a question or need the numbers for products not listed below, please e-mail compliance@lenovo.com for ECCN questions or imports@lenovo.com for HTS questions.

Product Type	Product Name	ECCN	HTS
Notebook	IdeaPad	4A994.b	8471300100
Notebook	Lenovo 3000	4A994.b	8471300100
Notebook	Lenovo	4A994.b	8471300100
Notebook	Lenovo Flex	4A994.b	8471300100
Notebook	Lenovo Essential	4A994.b	8471300100
Notebook	ThinkPad and ThinkPad Edge	4A994.b	8471300100
Notebook			
Notebook			

EXPORT DECLARATION

R2D
AMTECH GROUP 

Dear valued customer :

R2D Automation hereby confirms and declares that the following items:

10AE0153 – COMET SINGLE WAFER SORTER ROBOT 200MM 2 STATIONS
 10AE0157 – COMET SORTER ROBOT – SINGLE WAFER 200MM OCR 2LPT

1) are / **are not** dual-use items and have no ECCN classification number
 2) are / **are not** a “strategic item” controlled under Malaysian Strategic Trade Act 2010 (STA)
 3) are / **are not** are controlled under Singapore/European export control regulations

Product Screening

From: IFAP Export Control Sent: Mon 28/3/2016 2:54
To: Marcus Chng; Tham Peng Kuan (IFAP OP BE TS SO UPS FTA)
Cc: IFAP Export Control; 'Or Kok Ann'
Subject: RE: (declaration of any US-origin components and/or technology)

Dear Marcus,

Thank you for your email. You have provided the ECCN EAR99 but indicated that there are no US components in the microscope and that the microscope are made in Japan. May I ask if the microscope was made with US technology? Or could you share how did you derive the ECCN EAR99 for the microscope.

Warm regards,
Seow Fong

From: Marcus Chng
Sent: Monday, March 28, 2016 1:42 PM
To: Tham Peng Kuan (IFAP OP BE TS SO UPS FTA)
Cc: IFAP Export Control; 'Or Kok Ann'
Subject: RE: (declaration of any US-origin components and/or technology)

Hi Tham,

It is confirmed that the microscopes are made in Japan and there are no components from USA. Therefore the ECCN number is EAR99. Thanks.

Best regards,
Marcus Chng

End-Use & End-User Screening

> EUC Tool

☰ EUC



My Open Requests

New Request

EUC2016080100023253

01.08.16

Draft



Request Number:

Initiator: Tay Seow Fong (IFAP BC EC)
 Request: New (Unsaved)
 Status:

Creation Date:
 Approval Date:



HEADER*	PARTNER*	SCREENING*	QUESTIONS*	ATTACHMENTS	INFORMEES	HISTORY
Initiator	Tay Seow Fong (IFAP BC EC)					
Company of Initiator						
Acts on behalf of	<input type="text" value="Select 'Acts on behalf of...'"/> ?					
Check*	<input type="text" value="Customer Check - standard delivery SAP/ ISaR"/> ?					
Title	<input type="text" value="Standard Order Delivery to Customer XXX"/>					
Country*	<input type="text" value="Singapore"/> ?					
IFX Company*	<input type="text" value="Infineon Technologies Asia-Pacific Pte. Ltd."/> ?					
<input checked="" type="button" value="Submit"/>						

End-Use & End-User Screening



End Use(r) Check

EUC No.:	<u>EUC2017060900087</u>	Creation Date:	<u>09.06.2017</u>
Title:	<u>XXX</u>	Approval Date:	<u>09.06.2017 04:42</u>
		Expiration date:	<u>19.06.2017</u>
Initiator			
Company of Initiator	<u>Infineon Technologies China Co. Ltd.</u>		
Acts on behalf of	<u></u>		
Check:	<u>Customer Check - standard delivery SAP/ ISaR</u>		
Country:	<u>China</u>	Region:	<u>APAC</u>
Company:	<u>Infineon Technologies China Co., Ltd.</u>		
Result:	<u>NN</u>		

Partner

Partner Type	SAP No.	Name	Country
Seller		Infineon Technologies Asia Pacific Pte. Ltd.	Singapore
Sender (Supplier)		Infineon Technologies Asia Pacific Pte. Ltd.	Singapore
Customer (Buyer)			
Recipient			
Final Consignee			

Questions and Answers

No.	Question	Answer
7	<p>Are any of the following points unusual for the business concerned?</p> <ul style="list-style-type: none"> - Are there unusual payment terms or financing arrangements? - Are the order placing methods for the stated business unusual? - Is the order volume, packaging or shipping route unusual - contact only via post office box or mobile phone number <p>Sind die folgende Punkte für das angegebene Geschäft ungewöhnlich?</p> <ul style="list-style-type: none"> - gewünschte Zahlungsbedingungen oder Zahlungswege - Auftragsumfang oder - vergabepraktiken - Auftragsvolumen, Verpackung oder Lieferweg - Kontakt ausschließlich über Postfach oder Mobilnummer 	No
10	<p>Is a freight forwarder / broker designated as consignee?</p> <p>Ist der Empfänger ein Spediteur oder Broker?</p>	No
11	<p>Is the supply of goods intended for a customs free zone / free warehouse as ultimate destination outside the European Union?</p> <p>Ist das endgültige Bestimmungsziel unserer Kenntnis nach in einer Freizone / Freilager außerhalb der Europäischen Union?</p>	No
12	<p>Is there any knowledge that the purchaser, recipient or enduser is the military, paramilitary, police, government intelligence or the civil administrative agencies that work for the mentioned bodies?</p> <p>Haben Sie positive Kenntnis, dass Käufer, Empfänger oder Endverwender das Militär, Paramilitär, Polizei, Nachrichtendienst oder eine Verwaltung im Zusammenhang mit den genannten Institutionen ist?</p>	No
15	<p>Will the goods or the technical assistance be used in any of the following connections:</p> <ol style="list-style-type: none"> 1. Nuclear end use 2. NBC weapons, launch vehicle technology or unmanned aerial vehicles 3. Breaches of human rights, democratic principles or freedom of expression 4. Interception or investigation of electronic communication <p>Werden Güter oder technische Unterstützung in irgendeinem der folgenden Zusammenhänge verwendet?</p> <ol style="list-style-type: none"> 1. Kerntechnische Verwendung 2. ABC-Waffen, Trägertechnologie oder unbemannte Flugkörper 3. Verstößen gegen die Menschenrechte, Grundsätze der Demokratie oder Meinungsfreiheit 4. Überwachung oder Unterbindung von elektronischer Kommunikation 	No
16	<p>Will the goods or the technical assistance be used in any of the following connections?</p> <p>Arms related goods, weapons, munition or armaments program</p> <p>Werden Güter oder technische Unterstützung in irgendeinem der folgenden Zusammenhänge verwendet?</p> <p>Rüstungsmaterial, Waffen, Munition oder das Rüstungsprogramm</p>	No

End-Use & End-User Screening

Restricted Party Screening Results

Party type	Name	Country	Entity ID	Entity Name	Entity Address	Entity Country	List Name	Match Score	Decision
Main Customer		United States	ENTITY				GB-FCA-PROHIBITIONS	91%	
Main Customer		United States	ENTITY				DOS-CBWSL-TSN	80%	

Attachments

Approval History

Step	Date Submit / Approval	Initiator / Approver	Result	Comment
Initial	22.05.2017		NN	

Audits

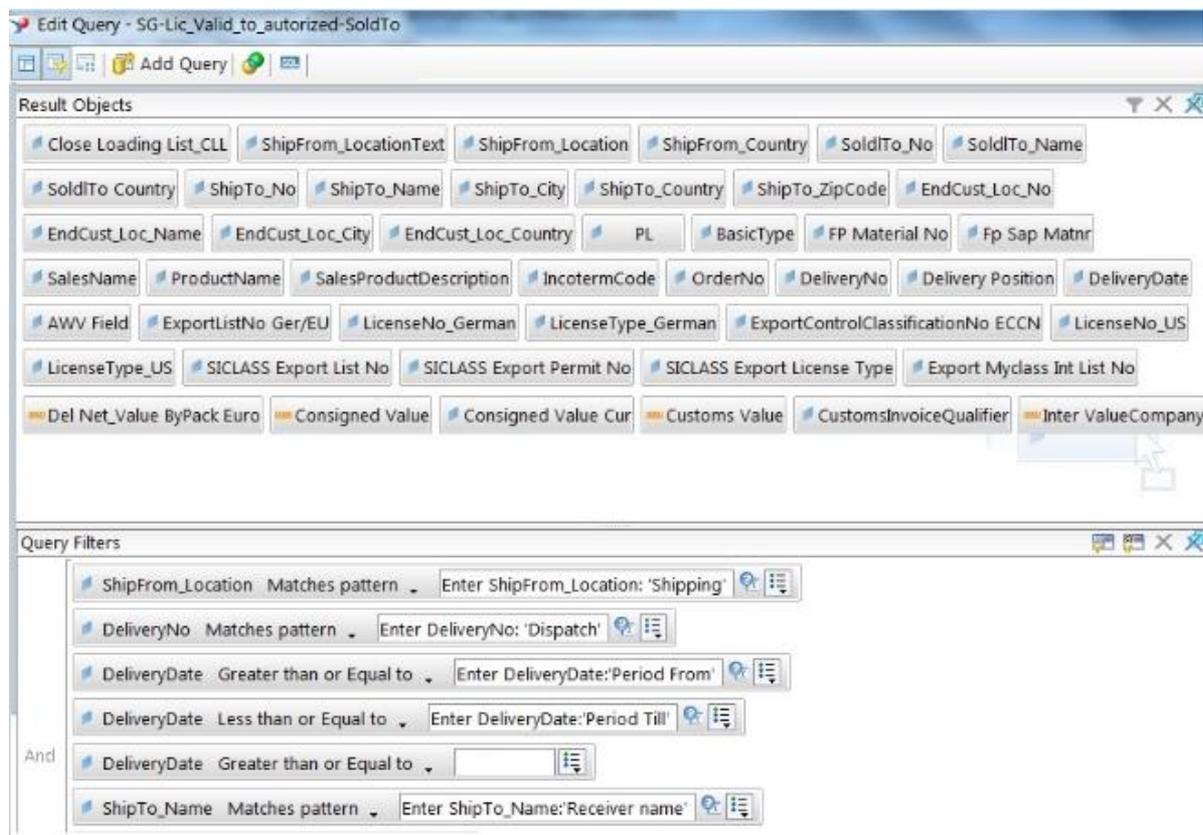


- Legend:
- Sites that IFAP is auditing
 - IFAP is audited by IF HQ
 - IFAP is audited by National Authority

Monitoring

› Forensic Research

- Check for abnormalities in the SAP Dispatch Notes (DN)
- Spot Checks



The screenshot shows the SAP Query Editor interface for a query named 'SG-Lic_Valid_to_authorized-SoldTo'. The 'Result Objects' section lists various fields such as 'ShipFrom_Location', 'SoldTo_No', 'ShipTo_No', 'EndCust_Loc_No', 'SalesName', 'ProductNo', 'IncotermCode', 'OrderNo', 'DeliveryNo', 'Delivery Date', 'LicenseNo_German', 'LicenseType_German', 'ExportControlClassificationNo ECCN', 'LicenseNo_US', 'SICLASS Export List No', 'SICLASS Export Permit No', 'SICLASS Export License Type', 'Export Myclass Int List No', 'Del Net_Value ByPack Euro', 'Consigned Value', 'Consigned Value Cur', 'Customs Value', 'CustomsInvoiceQualifier', and 'Inter ValueCompany'. The 'Query Filters' section contains several filters: 'ShipFrom_Location Matches pattern' with value 'Shipping', 'DeliveryNo Matches pattern' with value 'Dispatch', 'DeliveryDate Greater than or Equal to' with value 'Period From', 'DeliveryDate Less than or Equal to' with value 'Period Till', 'DeliveryDate Greater than or Equal to' (empty), and 'ShipTo_Name Matches pattern' with value 'Receiver name'.

Monitoring

Status	Sites	License Assignment	Classification Value	Export to US and UNSC Embargoed Countries	Country Specific Regulation
	Singapore	<ul style="list-style-type: none"> License was assigned to every order with controlled products Licenses are still within validity period 	No invalid classification for both SICLASS and ECCN	No shipment to embargoed countries	-
	Malaysia (Malacca & Kulim)	<ul style="list-style-type: none"> License was assigned to every order with controlled products Orders were assigned with re-export license when applicable Licenses are still within validity period 	No invalid classification for both MYCLASS and ECCN	No shipment to embargoed countries	No shipment to Israel
	Indonesia	No license is required for re-export	No invalid classification for both ALNR and ECCN	No shipment to embargoed countries	-
	China (Shanghai & Wuxi)	No license is required for re-export	No invalid classification for both ALNR and ECCN	No shipment to embargoed countries	-

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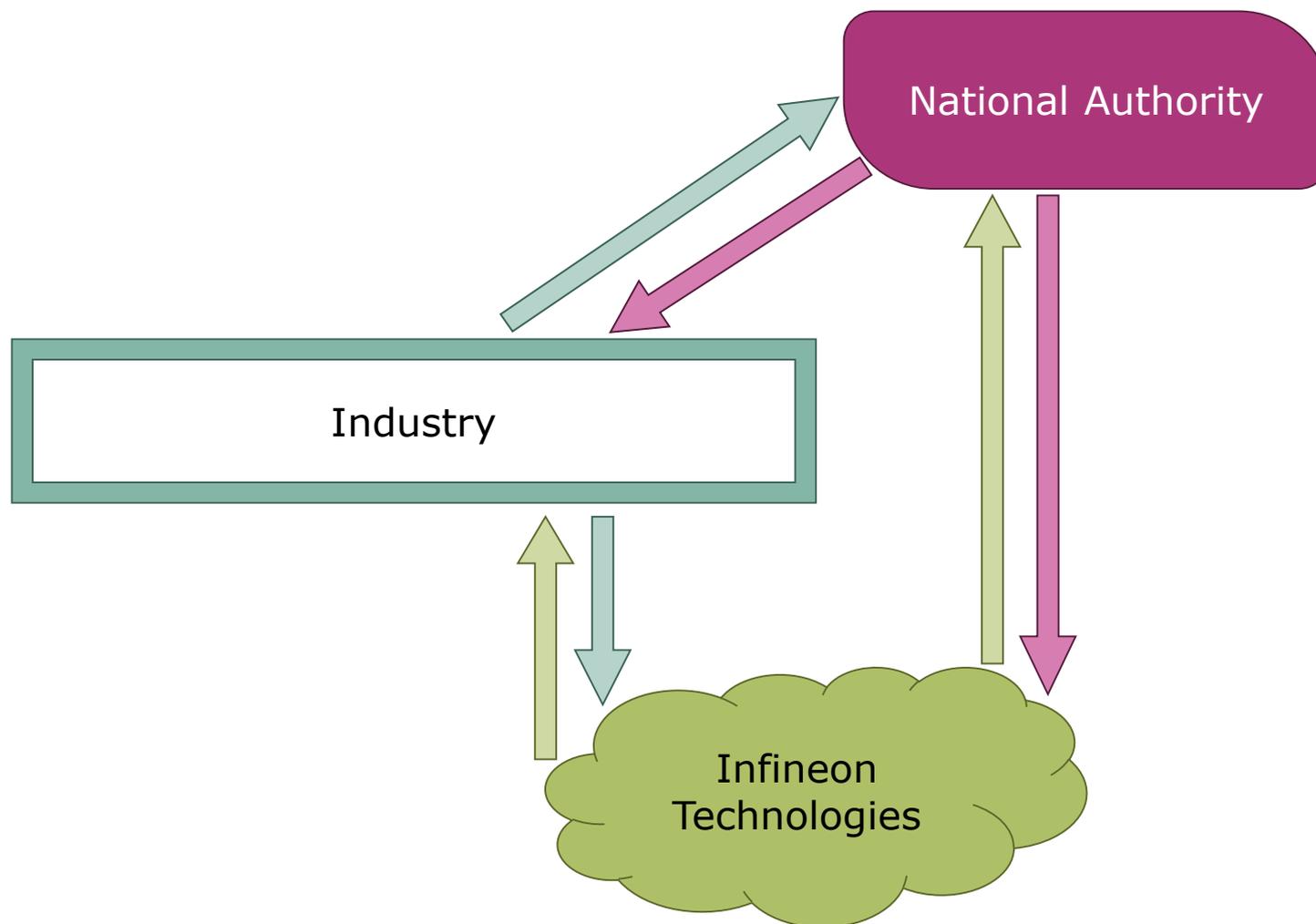
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Reaching for our Aspiration



**Working hand in hand with
the various department,
industry and authorities**

Achieving our Aspiration



What we Aspire to be

A large iceberg floating in the ocean. The tip of the iceberg is visible above the water surface, while the vast majority of the iceberg is submerged below the surface, illustrating the concept of visible vs. hidden aspects.

**“Become *the* worldwide recognized
compliant partner”**

**Working hand in hand with
the various department,
industry and authorities**

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Contact Details

- › Email:
 - Humairah.Ibriam@infineon.com
 - IFAPEXportControl@infineon.com

- › Telephone Numbers
 - Office: +65 6876 3012
 - Mobile: +65 9739 1350



Part of your life. Part of tomorrow.

