

Customer's R f Q

Id.-No. Division Prod.-Group Running No.

Decision-No.

Running No. EXCO-File :

Name :

acc. decision table EXCO 10  
Department Telefon

(assigned by SE)

1 Requesting Company/Customer/Ordering Company :

First Contact?

Yes [ ] Don't Know [ ] No [ ]  
1 <--- Cust. already checked? [ ] > 1

Name

Street/postbox  
ZIP-code/location

Country

falls under LH - Charts Yes [ ] No [ ]

Already orders?

Customer already approved? [ ] > 2 [ ] > 1

Yes [ ] No [ ] Don't Know [ ]

Coun- List A/B [ ]  
try List C [ ]  
List H [ ]  
COCOM [ ]  
OECD [ ]

Kind of Customer

Private company  
Gouvern. company  
Author./ministry/emb.  
Military  
Other  
Unknown

Type of Industry

Other information

LH - Customer-No.:

HU [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] K [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]

FIRST CONTACT / NOT YET APPROVED:

Check according to customer/enduser criteria (Form EXCO 2) attached

Yes [ ] No [ ]

2 Enduser

Identical to customer

Yes [ ] No [ ] Don't know [ ]

First contact?

Yes [ ] Don't know [ ] No [ ]  
2 <--- Enduser already checked? [ ] > 2

Approved by customer

Yes [ ] No [ ] Don't know [ ]

Enduser already approved? [ ] > 3 [ ] > 2

If enduser is different to customer :

Name

LH - Customer - No.

HU [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] K [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]

Street/postbox  
Zip-code/location

Country

falls under LH - Charts Yes [ ] No [ ]

Already orders?

Yes [ ] No [ ] Don't know [ ]

Coun- List A/B [ ]  
try List C [ ]  
List H [ ]  
COCOM [ ]  
OECD [ ]

Type of End-user

Private company  
Gouvern. company  
Author./ministry/emb.  
Military  
Other  
Unknown

Type of Informat.

FIRST CONTACT / NOT YET APPROVED:

Check according to customer/enduser criteria (Form EXCO 2) attached

Yes [ ] No [ ]

3 Kind of required delivery/service

falls under LH - Charts Yes [ ] No [ ]

Equipment [ ] Similar to order (Order-No. if possible) [ ]  
Spare parts [ ]  
Components [ ] at customer [ ]  
Service [ ]

Intended use : Laboratory [ ] Production [ ] Negativ-certificate available [ ]  
Yes [ ] No [ ] Don't know [ ]  
-> if yes Number [ ]

Useable for production of military usable goods  
Propable use for military purposes  
Order in connection with other LH-orders  
Order in connection with customers' customer orders  
Yes, is known [ ] NO [ ] Don't know [ ]  
Yes, is known [ ] NO [ ] Don't know [ ]  
Yes, is known [ ] NO [ ] Don't know [ ]  
Yes, is known [ ] NO [ ] Don't know [ ]

Checked according to form EXCO 10 Yes [ ] No [ ]

Product/Service in exportation list  
Part I sec. A [ ] Part I sec. D [ ] ECCN [ ]  
Part I sec. B [ ] Part I sec. E [ ] Statistical Number [ ]  
Part I sec. C [ ] Not in export. list [ ]

AL-Nr. [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] Point [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]  
US-Reexport-Criteria [ ]  
TDO Reexport [ ]  
≤ 10 % [ ]  
≤ 25 % [ ]  
Not yet definable [ ]  
Not yet definable [ ]

Proposal of division to Export Responsible

Quote [ ] Can be handled through GIC [ ]  
No quotation [ ] Ask for export permission [ ]

Date/Name  
Signature ..... Technical sales ..... Commercial sales ..... Export responsible of division .....  
Copy to Export Control Department !

Date of entry SE : Date : [ ] [ ] [ ] [ ] [ ] [ ] entered to EXCIS : Date : [ ] [ ] [ ] [ ] [ ] [ ] Sign. : .....

If request falls under LH-Charts  
Date/Signature .....  
Head of Division ..... Head of Export Control Department ..... Export Responsible .....  
EEVPANF.XLS

**Customer Request**

Number ( see form EXCO 1 ) :

Division		Prod.-group		running no.			

Customer

Enduser

Name \_\_\_\_\_ Department \_\_\_\_\_ Telefon \_\_\_\_\_ Country \_\_\_\_\_

running no. EXCO-File:

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(assigned by SE)

- |  | Yes                      | No                       |
|--|--------------------------|--------------------------|
| 1 Is identity of requesting customer / enduser fixed and clear ?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 2 Is any Intermediary agent involved ?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 2a Is this usual in this type of Customer's/enduser's business ?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 3 Does customer give clear and complete information about intended final use ?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 3a Research and development of :   |                          |                          |
| 3b Industrial Production of :  |                          |                          |
| 3c What kind of Problems do you see ?  |                          |                          |
| 4 Does customer give detailed information about location of final use ?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 5 Does customer give unclear information to routine commercial or technical questions ?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 6 Is customer related to military business or under control of defense ministry or armed forces ?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 7 Requested equipment is unlikely in view of customer's usual business or technological level ?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 8 Is equipment to be installed in an area under strict security control or adjacent to military-related facilities ?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 9 Is equipment to be installed in a location that is unusual in light of the character of the equipment ?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 10 Unusual request concerning shipment or labeling of goods ?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 11 Unusual favorable payment terms, prices or other conditions offered or accepted by customer ?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 12 Unusual customer request for excessive confidence regarding final destination or other details ?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 13 Excessive safety or security measures in light of nature of the equipment ?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 14 Request for normally unnecessary devices (e.g.excessive quantity of spare parts) or no request for usually necessary devices for the equipment , and lack of convincing explanation for such request or non-request ? | <input type="checkbox"/> | <input type="checkbox"/> |
| 14a Convincing explanation for such request or non-request ?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 15 No request for performance guarantee, warranty or normal service ?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 16 No request for usually necessary technical assistance, training, installation support ?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 17 Does customer request completion of a partly finished project ?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 18 Access to other parts of customer's plant is restricted to LH-personell ?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 19 The requested Order is part of a major project , customer refuses sufficient information about complete scpoe of project or final destination of the plant ?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 20 Packaging and/or packaging requirements are inconsistent with the shipping mode or stated destination ?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 21 Is requested order suitable to improve existing equipment or plants for military use ?  | <input type="checkbox"/> | <input type="checkbox"/> |

LH

Check BEFORE Contract
(Contract or Final Offer)

Export Control

Form EXCO 3 Release:17.3.82

Customer Number of division Division Prod.-group Running no.
Customer: Name: Department: Telefon:
Date of approval by SE to 'Check of Customer's Request for Quotation' (EXCO 1):

Running No. EXCO-file:

(see form EXCO 1)

1 Customer (Buyer)

Has information about customer changed?

Yes No > 2

If yes, what? Address Delivery conditions Payment conditions Other

Do you have further information about the customer, which have new impact to export control viewpoint?

Yes No

If yes, which?

Customer can be delivered also from actual point of view

Yes No

2 ENDUSER

Has customer given new information about enduser?

Yes No > 3

If yes, what? Address Delivery conditions Payment conditions Other

Do you have further information about the enduser, which have new impact to export control viewpoint?

Yes No

If yes, which?

Enduser can be delivered also from actual point of view

Yes No

3 PRODUCT/SERVICE

Have specs/customer requirements changed giving new impact to export control viewpoint?

Yes No > 4

falls under LH-Charta Yes No

The scope of delivery has also from an actual point of view no subject to license Approval necessary Ability for dual-use

ECCN (AL No.) remained Yes No If no, new number
Statistical number remained Yes No If no, new number

4 INTENDED USE

Has intended use changed? New intended use:

Yes No > 5

According to our knowledge the use of planned LH-delivery/service is not military military unknown

falls under LH-Charta Yes No

5 DOCUMENTS

valid until: is necessary necessary for export insurance are already available are consistent with intended delivery/service US- Reexport-Criteria TDO Reexport <= 10% <= 25%

The delivery contains merchandise of US origin which are subject to US Reexport regulations The necessary licenses are available

Not yet known Yes No

6 Proposal of division to Export Responsible

Accept order Order should not be accepted

Date/Name/ Signature Technical sales Commercial sales Head of division Export Responsible of Division

Checked by SE

Approval to continue business by Export Control YES NO

Date Name Signature Date Name Head of SE Date Name Export Responsible

If request falls under LH-Charta

Date/ Signature Head of Division Head of Export Control Department Export Responsible

Customer's Request

Division

Prod.-group

Running no.

Customer :

.....

Name :

Department

Telefon

Date of approval by SE to ' Check of Customer's Request for Quotation ' (EXCO 1) :

running no. EXCO-file

[Barcode]

( see form EXCO 1 )

APPLICATION FOR

Export license

Approval by SE

Negative Certificate

Customer's Request/Order Documents

Kind of Document

att.

Producer of document

Checked by SE

Decision SE

back to division

(0)

Date

Name

Date

Name

o.k.

not o.k.

Date

(0)

(0)

Customer's request

Check of Customer's R f Q Form EXCO 1

Examination of new Customers Form EXCO 2

Intended use

Customer's Declaration of final destination

Technical specifications

Acceptance criteria

Import license

Document of origin

Offer

Contract

Other:

LH

# Change of Equipment/Service

(between contract and delivery)

## Export Control

Form EXCO 4A release: 17.3.92

Number (see form EXCO 1):

Customer Request

Division  Prod.-group  running no.

Customer:

Name:  Department:  Telefon

LH - Order number  -  -

running no. EXCO-file

(see form EXCO 1)

### REQUEST FOR APPROVAL OF CHANGES

Customer  > 1 Product/Service  > 3

Enduser  > 2 Intended use  > 4

#### 1 CUSTOMER

Address   
Delivery conditions   
Payment conditions

Other  falls under LH-Charta Yes  No

Enduser can be delivered also from actual point of view Yes  > 2 No  > 6

#### 2 ENDUSER

Address   
Delivery conditions

Other  falls under LH-Charta Yes  No

Enduser can be delivered also from actual point of view Yes  > 3 No  > 6

#### 3 INTENDED USE

Change/Extension ..... falls under LH-Charta Yes  No

Enduser can be delivered also from actual point of view Yes  > 4 No  > 6

The purpose of planned change is non military  military  unknown

#### 4 PRODUCT/SERVICE

Change/Extension ..... falls under LH-Charta Yes  No

Enduser can be delivered also from actual point of view Yes  > 5 No  > 6

US-Reexport-Criteria TD0 Reexport ≤ 10% ≤ 25%

Also after requested changes intended delivery/service does NOT require export license  suitable for dual-use  requires export license

#### 5 Documents with regard to changes

Kind of document	att. (X)	Producer of document		Checked by SE		Decision SE		back to division Date
		Date	Name	Date	Name	o.k. (X)	not o.k. (X)	
Technical specs								
Acceptance criteria								
Intended use								
Customer's declaration about final destination								
Import license								
Document of origin								
Spec (change)								
Contract (change)								
Other								

#### 6 Proposal of division to Export Responsible

Delivery o.k.  Changes not acceptable

Date/Name:

Signature

Technical sales

Commercial sales

Export responsible of division

Head of division

Checked by SE

Approval to continue business by Export Control YES  NO

Date Name Signature

Date Name Head of SE

Date Name Export Responsible

If customer order falls under LH-Charta

Date/Signature

Head of Division

Head of Export Control Department

Export Responsible

LH

Examination BEFORE Packaging

Export Control

Form EXCO 5 release: 17.3.92

Customer Order

<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Division	Prod.-group	running no.
LH-Order-No. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

Customer:

running no. EXCO-file

Name :

Department

Telefon

Date of approval by SE to "Check before contract" (form EXCO 3):

(see form EXCO 1)

Changes to prior information

Yes <input type="checkbox"/>	No <input type="checkbox"/> > <b>5</b>
------------------------------	--

If yes,

Customer  > **1**

Product/service  > **3**

If yes, please state details below

Enduser  > **2**

Intended use  > **4**

1 CUSTOMER

Address

Delivery conditions

Payment conditions

Other

Do you have further information about the customer, which have new impact to export control viewpoint ?

Yes <input type="checkbox"/>	No <input type="checkbox"/>
------------------------------	-----------------------------

If yes, which

Customer can be delivered also from an actual point of view

Yes <input type="checkbox"/> > <b>2</b>	No <input type="checkbox"/> > <b>6</b>
---	--

falls under LH-Charta Yes  No

2 END USER

Address

Delivery conditions

Payment conditions

Other

Do you have further information about the enduser, which have new impact to export control viewpoint ?

Yes <input type="checkbox"/>	No <input type="checkbox"/>
------------------------------	-----------------------------

If yes, which

Enduser can be delivered also from an actual point of view

Yes <input type="checkbox"/> > <b>3</b>	No <input type="checkbox"/> > <b>6</b>
---	--

falls under LH-Charta Yes  No

3 PRODUCT SERVICE

There were changes of information/decisions/documents since approval BEFORE contract (form EXCO 3).

Yes <input type="checkbox"/>	No <input type="checkbox"/>
------------------------------	-----------------------------

All changes requiring approval were approved by SE

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

All missing documents are attached

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

All still forthcoming changes until packaging don't require approval.

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

The intended delivery/service also from an actual point of view doesn't require license  has dual-use-capability  REQUIRES LICENSE

falls under LH-Charta Yes  No

US-Reexport-Criteria	TDO
	Reexport
	≤ 10 %
	≤ 25 %

4 INTENDED USE

Also on the actual basis of information the intended use of LH shipment/service is

non military

military

unknown

falls under LH-Charta Yes  No

5 DELIVERY

Goods are ready for packaging Yes  No

Scheduled transfer to carrier

Delivery date at customer's

Penalty starting

D	D	M	M	Y	Y
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6 Proposal of division to Export Responsible

shipping o.k.

NO shipment

Date/Name :  
Signature: .....

Date/Name : Technical sales

Commercial sales

Head of design

Signature: .....

Head of assembly

Export Responsible of division

Head of division

Checked by SE

Approval for packaging

Yes

NO

Date Name Signature

Date Name Head of SE Date Name Export Responsible

If customer order falls under LH-Charta (V.3.1.1)

Date/

Signature Head of Division

Head of Export Control Department

Export Responsible

LH

# Shipping - Release

Export Control

Form EXCO 6 release: 17.3.92

## Customer Order

Division Prod.-group running no.

Customer:

running no. EXCO-file

LH-order no.  -  -

Name: \_\_\_\_\_ Department: \_\_\_\_\_ Telefon: \_\_\_\_\_

Date of approval by SE to "Examination before Packaging" (form EXCO 5): \_\_\_\_\_

(see form EXCO 1)

## Changes to prior information

if yes,

Customer  > 1

Product/service  > 3

If yes, please details below

Enduser  > 2

Intended use  > 4

Yes  No  > 5

### 1 CUSTOMER

Adress  
 Delivery conditions  
 Payment conditions

Do you have further information about the customer, which have new impact to export control viewpoint ?

Customer can be delivered also from an actual point of view

Yes  > 2 No  > 6

falls under LH-Charts Yes  No

### 2 END-USER

Adress  
 Delivery conditions

Do you have further information about the enduser, which have new impact to export control viewpoint ?

Enduser can be delivered also from an actual point of view

Yes  > 3 No  > 6

falls under LH-Charts Yes  No

### 3 PRODUCT / SERVICE

Since "Examination BEFORE Packing" ( form EXCO 5) information/decisions/documents have changed

These changes required approval by SE

All changes requiring approval were approved by SE

All missing requests for changes are attached

Packing cases don't contain additional goods which require any export license

partially	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
partially	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
partially	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
partially	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Head of Assembly

Date

Name:

Signature:

From an actual point of view the intended shipment/service doesn't require license  is dual-use-cap.  REQUIRES license

### 4 INTENDED USE

Also from an actual point of view the intended use of LH - delivery/service is

not military

military

unknown

falls under LH-Charts Yes  No

### 5 SHIPMENT

#### Shipping documents

Export license  
Negative Certificate  
Import License  
Declaration of final destination  
Approval for Packing by SE

valid until  
D D M M Y Y

are necessary

Yes  No

necessary for export-insurance

Yes  No

are available

Yes  No

correspond with facts of business

Yes  No

The documents contain the necessary tariffing-no. ect.

Yes  No

ECCN (AL-no.)

Statistical no.

Shipping address :

Marks of shipping address on cases and documents are consistent

Yes  No

Packing cases are ready for shipping Yes  No

scheduled date of transfer to carrier

D D M M Y Y

Head of shipping

Date

Name:

Signature:

### 6 Proposal of division to Export Responsible

Date/name:

Shipment o.k.

NO SHIPMENT

Signature \_\_\_\_\_

Technical sales

Commercial sales

Export Responsible of division

Head of division

### Checked by SE

Date/name:

### Approval for Shipping

Date/name:

Yes

NO

### Shipping information to SE

Date:

Day of shipment

D D M M Y Y

Signature

Head of SE/ Export Responsible

Head of shipping

Name

Signature

If customer order falls under LH-Charts

Date/

Signature

Head of Division

Head of Export Control Department

Export Responsible

EXAMINATION OF CUSTOMER/ENDUSER			PRODUCT/SERVICE							
			not yet re- leased by SE or necessity of approval unclear	already re- leased by SE or Negative Certificate available	dual - use- product, military use possible	Export list List A military goods	Export list List B Nuclear power	Export list List C other goods of strategical relevance	Export list List D Chemicals- List	Export list List E Biologica- List
a	b	c	d	e	f	g	h	i	k	l
CUSTOMER / ENDUSER	1	Customer AND enduser domestic	4	4	0	1	1	4	1	1
	2	NOT known	1	7	7	1	1	1	1	1
	3	Known, but not yet checked	1	1	1	1	1	1	1	1
	4	checked, MUST NOT be delivered	2	2	2	2	2	2	2	2
	5	checked, can be delivered	1	7	7	8	8	8	8	8

EXAMINATION PRODUCT / COUNTRY			not yet re- leased by SE or necessity of approval unclear	already re- leased by SE or Negative Certificate available	dual - use- product, military use possible	Export list List A military goods	Export list List B Nuclear power	Export list List C other goods of strategical relevance	Export list List D Chemicals- List	Export list List E Biologica- List
a	b	c								
CUSTOMER and/or ENDUSER	6	Country list A/B	3	4	0	9	9	9	9	9
	7	Country list C	3	4	0	9	9	9	9	9
	8	Country list H	3	6	5	9	9	9	9	9
	9	in COCOM- Country	3	4	0	9	9	9	9	9
	10	in OECD-Country	3	4	0	9	9	9	9	9

## DECISION / ACTIVITIES

0	Examination NOT necessary	
1	1. "Check of Customer's Request for Quotation" 2. Application for Approval by SE	—————> form EXCO 1 + EXCO 2 (for customer AND enduser if they are different)
2	no more activities concerning this customer request	
3	1. get product/service information 2. ask for intended use of product/service requested 3. Application for Approval by SE	—————> form EXCO 1 + EXCO 2 —————> form EXCO 1 + EXCO 2 —————> form EXCO 1 + EXCO 2
4	Offer can be processed without approval procedures	
5	1. Ask customer for a written approval of intended use 2 a. prepare application for export license, if intended use is military 2 b. Continue order processing (only LH-internal export control procedures necessary)	
6	Continue in column "f" ( dual use, military use )	
7	Continue in table "Examination Product / Country"	
8	Export license/approval necessary (governmental and LH-internal)	
9	procedure not fixed - ask SE for details	