

# Export Control Compliance at General Electric



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# GE Today

GE is an advanced technology, services, and finance company taking on the world's toughest challenges. Dedicated to innovation in energy, health, transportation, and infrastructure, GE operates in more than 100 countries and employs about 300,000 people worldwide

# General Electric Operating Units

## Energy



- Energy Services
- Oil & Gas
- Power & Water

## Transportation



- Locomotives
- Signaling & Communications

## Healthcare



- X-ray & Ultrasound Technologies
- Molecular Imaging

## Aviation



- Commercial, Marine, and Military Engines
- Flight Management and Avionics

## Home & Business Solutions



- Appliances & Lighting
- Intelligent Platforms

## Capital



- Commercial Lending & Leasing
- Consumer

## Global Growth & Operations



- Growth in Key Global Markets

# GE's Export Control Compliance Program

# International Control Regimes and National Export Control Laws



United National Resolutions



Missile Technology Control Regime  
Nuclear Suppliers Group



Wassenaar Arrangement

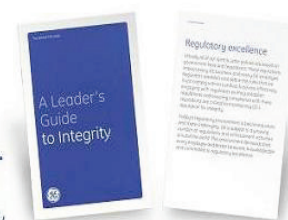


Australia Group

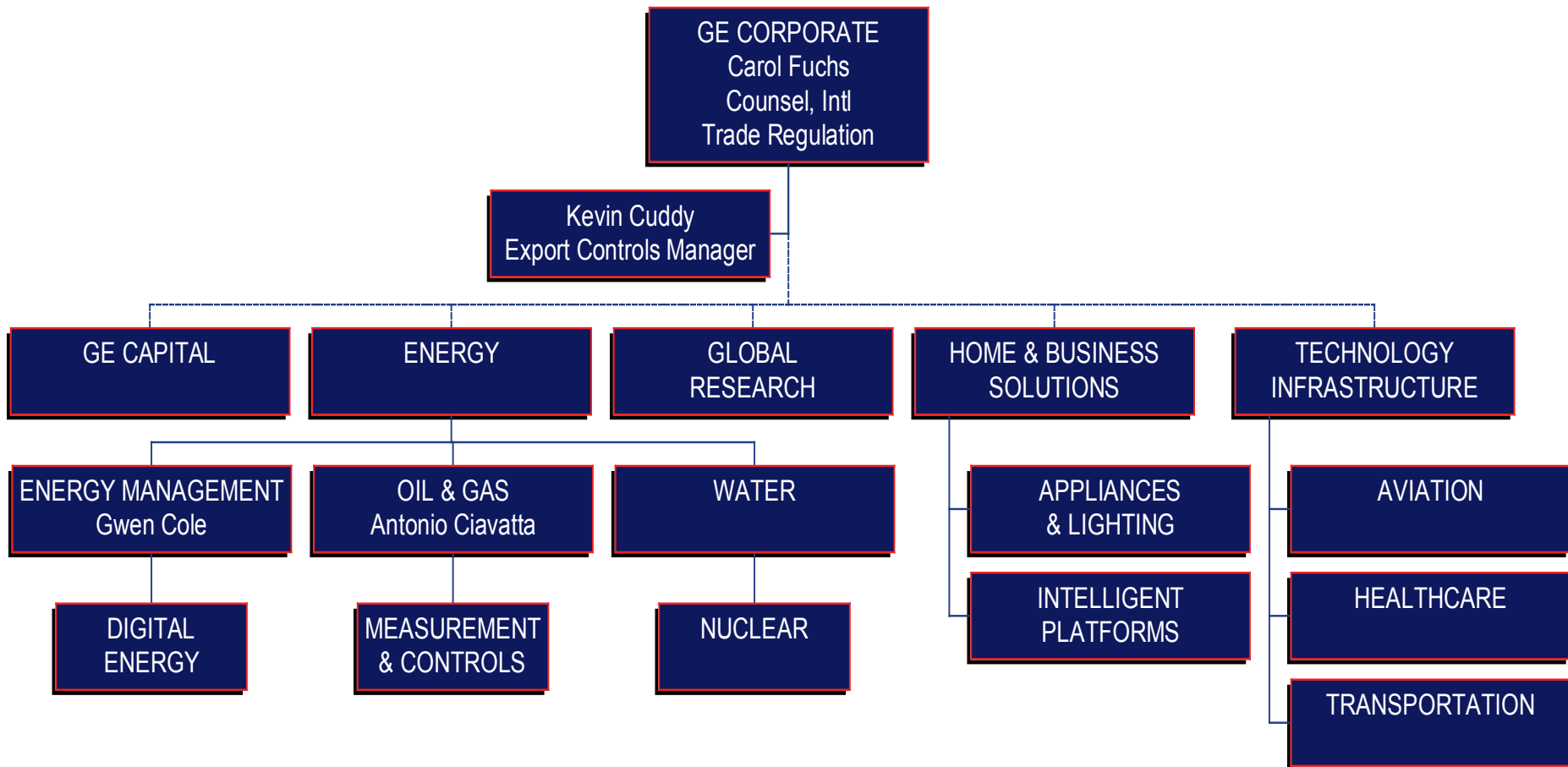


# GE International Trade Controls Compliance Policy Excerpts

- **Follow relevant ITC regulations of all countries in which you operate** and your business's own ITC procedures as they relate to importing, exporting and re-exporting goods, technology, software, services and financial transactions, including following licenses and authorizations obtained and retaining appropriate ITC records.
- Understand who is receiving **controlled technical information** to ensure you obtain any necessary authorization prior to discussing or transmitting documents.
- Carefully watch for **warning signs or “red flags”** of extraordinary requirements, improper customs clearance, illegal activities or any other violations of this or related GE policies..
- **Request guidance** from your business's ITC personnel or company legal counsel if you are unsure whether your transaction requires authorization
- Check the **export classification** of the product, software, service or technology prior to export and re-export to determine whether any authorization is required. Follow your business' process to **ensure jurisdiction and classification are determined prior to export.**
- **Screen your transactions** against all applicable rules that restrict transactions with certain sanctioned countries, persons and prohibited end uses, such as nuclear proliferation, chemical/biological weapons and ballistic missiles.



# GE International Trade Compliance Structure



# How We Comply with Export Control Laws

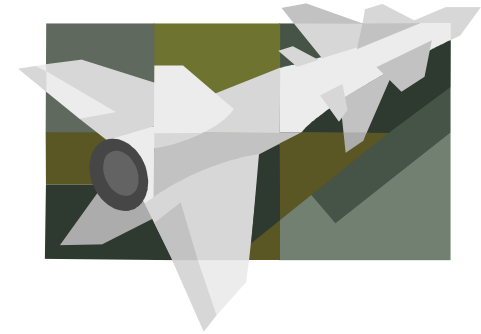


# The Four W's of Export Control Compliance

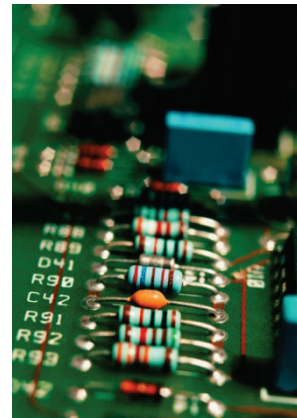


# WHAT is being exported?

“Military” or  
“Defence”



“Dual Use”



# To WHERE Is the Item Being Exported?



Is the destination of the export a country of concern? Is an export license required?



Is the destination country a strategic ally or an adherent to a multilateral export control regime?



Is the destination of the export a country subject to unilateral or multilateral sanctions?



Does the exporting country have its own export control laws and regulations?

# To WHOM Is the Item Being Exported?



Is this a customer that I have dealt with on many occasions in the past?



Is the customer involved in any military or chemical, nuclear, or biological weapons proliferation activities?

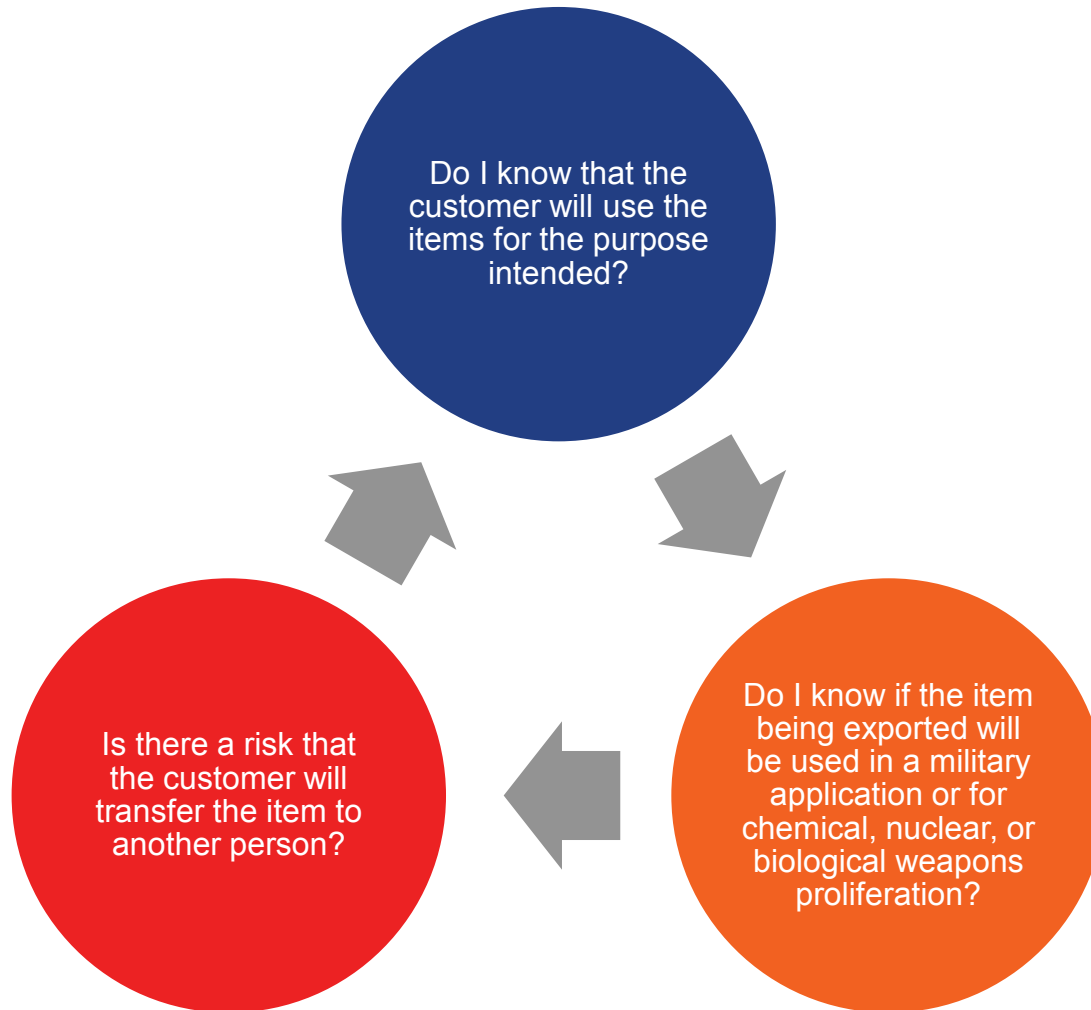


Has the customer been screened?



Is there anything about the transaction that raises a “red flag”?

# WHY Is the Customer Purchasing This Item? What is the End-Use?



Preventing Unauthorized Diversion Is Key to Compliance.

# Questions?

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