



Compliance Platform

OPERATOR TRAINING · TWO PARTS

AI Assistant & Web Agents.

Part 1 — the in-cabinet AI Assistant and its slash commands. Part 2 — connecting Compliance MCP to ChatGPT or Claude and phrasing prompts. Full reference across both surfaces.

Part 1 · AI Assistant User Guide

Part 2 · Web Agents Prompt Scenarios

EN · RU · LV

PART 1

AI Assistant — user guide

The client cabinet includes AI Assistant: a chat interface that understands natural-language questions about sanctions, TARIC and compliance, and can call the platform checks for you. Slash commands open guided forms with exactly the fields each workflow needs.

In this part: how to use the assistant · the 14-command catalog · screening commands (/entity, /audit, /lv-frozen, /vop) · goods commands (/goods, /report, /overview, /embargo, /duty, /measures) · /payment · reference commands (/code, /describe) · /sources · follow-up questions · the MCP tools behind the assistant · tips · exact source IDs.

Type a question, or type / for a guided form.

The assistant understands natural language and can call platform checks for you. For fast starts, slash commands open a form with exactly the fields a workflow needs.

- **Chat interface in the cabinet.** Ask about sanctions, TARIC and compliance in plain language — the assistant picks the right tool and runs the check.
- **Slash commands.** Type / in the input field and select a prepared workflow. Each command opens a form with exactly the fields needed — no guessing which parameters apply.
- **Three main operator entry points.** /entity for KYC and name sanctions, /goods for goods / CN / TARIC, and /payment for ISO 20022 XML.
- **Standalone language versions.** The guide ships in RU and EN; the assistant answers in your interface language.

FIVE COMMAND CATEGORIES

Screening — /entity, /audit, /lv-frozen, /vop

Goods — /goods, /report, /overview, /embargo, /duty, /measures

Reference — /code, /describe

Sources — /sources

Payments — /payment

Fourteen slash commands across five categories.

The main operator entry points are /entity for KYC/name sanctions, /goods for goods/CN/TARIC, and /payment for ISO 20022 XML.

COMMAND	WHAT IT DOES	CATEGORY
/audit	Point-in-time person/company screening for a historical date	Screening
/lv-frozen	Latvian counterparty KYC against the Latvia FID frozen-assets registry	Screening
/entity	Screen a person, company, vessel, aircraft or identifier against sanctions sources	Screening
/vop	Verification of Payee (EPC288-23) for payment screening	Screening
/goods	Guided CN/TARIC form: report, overview, embargo, duty, measures, description, search	Goods
/report	Client-ready HTML report for CN + country	Goods
/overview	Compact CN card: description, duty signal, sanctions	Goods
/embargo	RU/BY goods embargo check by CN code	Goods
/duty	Duty rates only: third-country, customs union, preferential	Goods
/measures	Full TARIC measures: prohibitions, licences, VAT, duties	Goods
/code	Find a CN code by product description	Reference
/describe	CN hierarchy without measures	Reference
/sources	Sanctions and export-control source catalog	Sources
/payment	ISO 20022 payment screening form: one-shot report or persisted PaymentCase	Payments

Screen people, companies, banks, vessels and aircraft.

Search across the configured sanctions sources: EU FSF, OFAC SDN/Non-SDN, US CSL, UN SC, UK UKSL, CH SECO, CA SEMA, AU DFAT, JP MOF, LV FID, EurLex RU 269, EurLex RU 833, EurLex BY 765 and LV FID Frozen.

- **Target type selector.** Person or company (any), legal person, natural person, bank / BIC, vessel, aircraft. The form also accepts an **Address** field — when supplied it is screened as a separate address-match signal, not blended into the name.
- **Individual KYC before account opening.** Natural person · name Petr Olegovich Aven · country RU · DOB 1955-03-16.
- **Company counterparty check.** Company / legal person · name Northbridge Trading Ltd · country RU.
- **Bank / BIC screening.** Bank / BIC · name or BIC SABRRUMM.
- **Registration-number check.** Entity / person · name 40003698011 · registration 40003698011.
- **Vessel screening with ownership.** Vessel · name or IMO 9610903.

WHAT IT RETURNS

Matches with score 0–100, source, regulation, grounds, DOB, registration number and a score explanation.

For OFAC vessels the result also carries vessel particulars (type, flag, tonnage) and the **owner / controller related parties** parsed from the OFAC advanced relationship graph — useful for shadow-fleet and beneficial-owner review.

Re-screen against the sanctions state on a selected past date.

Use it for audit questions such as: "What did we know about client X on transaction date Y?"

- **Uses SCD2 sanctions-list history.** The check reconstructs the exact list state as it stood on the as-of date.
- **Includes delisted records** that were active on the as-of date when **Include delisted** is enabled. For /audit, that flag is **on by default**.
- **Regulator defense example.** "Was company X sanctioned when we processed transaction 2026-04-15?" — name BELKOMMUNMASH · as-of date 2026-04-15 · include delisted: yes.
- **Previous-year KYC audit example.** Name Alexey Nechayev · as-of date 2025-12-01 · include delisted: yes.
- **The summary states** whether each match was **active** or already **delisted** on the selected date.

WHAT TO ASK NEXT

Was the subject active on the selected date? When was it listed and delisted?

How does historical status differ from current status? Show the audit trail.

Can this be used as evidence for retrospective review?

One-click check against the Latvia FID frozen-assets registry.

Checks whether a Latvian SIA, fund or person appears in the registry. This coverage links EU/UN sanctioned principals to Latvian entities with frozen assets.

- **Latvian SIA screening before a deal.** Name Faberlic Baltija SIA.
- **Registration-number lookup.** Latvian reg number 50003698011.
- **Resident individual.** Name Petr Aven.
- **On a match,** the answer names the sanctioned principal and the legal basis — for example Reg. 269/2014 and Petr Olegovich AVEN.

WHAT TO ASK NEXT

Is this a frozen-assets record or a regular sanctions entry? Who is the sanctioned principal?

What ownership / control link is stated? Which Latvian legal basis applies?

What must be checked manually before onboarding?

Screen the payee name for PSP / bank payment compliance.

Verification of Payee under Regulation (EU) 2024/886. Each match returns an explicit decision code.

- **MTCH** — match, allow.
- **CMTC** — close match, manual review.
- **NMTC** — no match, block or investigate.
- **NOAP** — not applicable.
- **The chat card shows** top result code, scenario, normalized match, score, list and the Reg. (EU) 2024/886 audit badge.
- **Before a SEPA transfer.** Payee name as on the payment instruction IVAN PETROVICH IVANOV · country RU · DOB 1970-05-12.
- **Legal person with BIC.** Payee name OAO TRANSNEFT · registration SWIFTRUMM.

WHAT TO ASK NEXT

Which EPC code was returned: MTCH, CMTC, NMTC or NOAP? What does it mean for the payment?

Why close match rather than exact match? Which payer/payee fields should be corrected?

Did name + identifier align?

Universal goods entry point — seven workflows in one form.

Choose a workflow in the form: report, overview, sanctions, duties, measures, description or search. Best option when the operator does not remember the exact command.

WORKFLOW

report

Opens a client-ready HTML compliance report for the CN code + country.

WORKFLOW

overview

Compact CN summary — description, main duty rate, sanctions signal, key measure types.

WORKFLOW

sanctions

RU/BY goods embargo check — direct and group-level matches.

WORKFLOW

duties

Duty rates — third-country, customs-union, preferential.

WORKFLOW

measures

Full TARIC measures — prohibitions, licences, VAT, legal references.

WORKFLOW

description / search

CN hierarchy without measures, or find a CN code by description.

Example — CN/TARIC 7208510000 · country *RU* · date 2026-05-13 · language *EN*. With workflow *report*, it opens a client-ready HTML report.

A full client report, or a compact decision card.

Both are fixed-workflow alternatives to /goods — use them when you already know which depth of output you need.

/REPORT — REPORT FOR CN + COUNTRY

Client-ready HTML report.

Alternative to /goods with the fixed workflow report. Use it when you already know a full report is needed.

Example — CN/TARIC 8517130000 · country CN · language EN.

/OVERVIEW — COMPACT CARD

Quick compliance signal.

Compact CN summary — description, main duty rate, sanctions signal and key measure types. Use when you need a quick look without the full report.

Example — CN/TARIC 8471300000 · country CN · language EN.

WHAT TO ASK NEXT

/report — show legal basis and source links; which prohibitions or licences apply; which footnotes matter; draft an executive summary for the client. · **/overview** — what is the concise decision; is there a duty rate or RU/BY signal; when should the operator request a full report instead.

RU/BY goods embargo, and duty rates in isolation.

Two narrow-scope goods commands for fast, specific answers.

/EMBARGO — RU/BY GOODS EMBARGO

Fast embargo check by CN code.

Checks whether a CN/TARIC code falls under goods sanctions against Russia or Belarus (Reg. 833/2014, Reg. 765/2006). Returns **direct matches** and **group-level matches**.

Steel — CN 7208510000 · RU. **Belarus** — CN 2710120000 · BY.

/DUTY — DUTY RATES ONLY

Just the tariff numbers.

Use when you need **only** duty rates — third-country, customs union or preferential. Omits measures, footnotes and sanctions. Returns amount, expression and regulation per duty measure.

Example — CN 6203420010 · CN · date 2026-05-13.

WHAT TO ASK NEXT

/embargo — direct or group match; at which CN/heading level it triggered; which regulation; should we run the full report. · **/duty** — third-country duty; preferential/customs-union rate; what changes with a different origin country; which date the rate is valid for; which non-duty measures the tool intentionally omits.

The full customs-measures list, machine-readable.

Duties, prohibitions, licences, VAT and legal references — without the HTML report wrapper.

- **Full customs measures.** Every measure type that applies to the code — duties, prohibitions, licences, VAT, plus legal references.
- **Machine-readable output.** No HTML report wrapper — suited to operators and integrations that want the raw measure list.
- **Country optional.** Leave the country empty for a global overview of all measures.
- **Measure type filter.** Optional — for example 277 for an export prohibition.
- **Example.** CN/TARIC 8517130000 · country empty for global overview · measure type optional.

WHAT TO ASK NEXT

Which measure types apply? Are there prohibitions, licences, anti-dumping, VAT or additional codes?

Which conditions / footnotes need review? Should we generate an HTML report?

pain.001 and pacs.008 — two modes, one form.

The assistant validates the message, parses the payment chain, resolves BICs through the deterministic waterfall (local cache → GLEIF → configured providers), screens every participant and prepares an HTML report.

- **One-shot screening** — creates a temporary report and `screening_run_id`. In production the run is durable-temporary in Supabase until TTL, but it does not enter the case register. Tool: `screen_iso20022_payment`.
- **Persist PaymentCase** — saves an audit-ready case: raw XML, message evidence, participant evidence, BIC/GLEIF evidence, matches, warnings and report. Tool: `create_iso20022_payment_case`.
- **To save into cases:** open `/payment` → paste the `pain.001 / pacs.008 XML` → enable **Persist payment case** → submit. The response includes `case_id`; follow-up evidence is loaded with `get_payment_case_evidence`.
- **If the checkbox is off**, the assistant returns a one-shot `run_id`. Follow-up questions read the saved result with `get_payment_screening_run` (by `run_id`, or without arguments for the latest active run). Do not resubmit XML unless a rerun is explicitly asked.
- **Examples.** One-shot — `pacs.008.001.12 · persist off · threshold 75`. Persisted — `pain.001.001.13 · persist on · threshold 75 · as-of date empty` or a specific historical date.

EXPECTED ANSWER

Top decision — clear / review required / hit / integrity error.

Message metadata — type, version, message id, XSD validation status.

Payment chain — role, name, country, identifiers, verdict.

Validation warnings.

Sanctions matches and source/regulation evidence.

`run_id` + expiry for one-shot, or `case_id` + state for a persisted case.

The next step for the operator.

Find a CN code, or read its classification hierarchy.

Two reference commands for classification work — neither returns measures or sanctions.

/CODE — FIND CN CODE

By description or numeric prefix.

Find a CN code by **product description** or **numeric prefix**. Returns matching CN codes with descriptions.

By description — product or prefix `electric motors` · language EN. **By prefix** — `8517`.

/DESCRIBE — CN HIERARCHY

Classification, no measures.

Returns the classification hierarchy and description — chapter → heading → subheading → CN — **without measures or sanctions**.

Example — CN/TARIC `8471300000` · language EN.

WHAT TO ASK NEXT

/code — which code is most likely and why; closest alternatives; what to ask the client (material, use, power, composition, packaging); run overview/report for the selected code. · **/describe** — where the code sits in the hierarchy; parent headings; similar sibling codes; run measures/duties after classification.

The sanctions and export-control source catalog.

Authority, jurisdiction, coverage, update frequency and last daily-sync status — for explainability and audit reports.

- **What it lists.** Each source's authority, jurisdiction, coverage, update frequency and last daily-sync status.
- **Use it** for explainability — when a report or auditor asks where the data came from and how fresh it is.
- **All categories.** Leave the Source category empty to list every category at once.
- **Filtered.** Set Source category to sanctions to see only sanctions sources.

WHAT TO ASK NEXT

Which sources are enabled? When was the last successful refresh? Which sources have daily sync?

Are there disabled / candidate sources? Which jurisdictions are covered?

Which sources are used separately for payment, entity and goods?

Follow-up questions that test the assistant's context.

Useful for demos, QA and operator training — each checks that the assistant keeps context and can read the tool result it already has.

COMMAND	USEFUL FOLLOW-UP QUESTIONS
<code>/entity</code>	Why did this match receive this score? Which aliases matched? Which sanctions lists returned results? Show regulation / program / grounds. Are there ownership or control signals? What should the operator do next?
<code>/audit</code>	Was the subject active on the selected date? When was it listed and delisted? How does historical status differ from current status? Show the audit trail. Can this be used as evidence for retrospective review?
<code>/lv-frozen</code>	Is this a frozen-assets record or a regular sanctions entry? Who is the sanctioned principal? What ownership/control link is stated? Which Latvian legal basis applies? What must be checked manually before onboarding?
<code>/vop</code>	Which EPC code was returned: MTCH, CMTC, NMTC or NOAP? What does it mean for the payment? Why close match rather than exact match? Which payer/payee fields should be corrected? Did name + identifier align?
<code>/goods</code>	Which workflow was selected and why? Which CN code was used? Are there sanctions / prohibitions / licences? Should we open the full HTML report? Which parameters need clarification: origin country, date, additional code?
<code>/report</code>	Show legal basis and source links. Which prohibitions or licences apply? Which footnotes matter? Draft an executive summary for the client. Are there country/date/additional-code limitations?
<code>/overview</code>	What is the concise compliance decision? Is there a duty rate? Is there a RU/BY sanctions signal? Which measure types are present? When should the operator request a full report instead of overview?

Follow-up questions, continued.

The remaining workflows — narrow-scope goods commands, reference commands, sources, and both payment modes.

COMMAND	USEFUL FOLLOW-UP QUESTIONS
<code>/embargo</code>	Is this a direct match or a group-level match? At which CN/heading level did it trigger? Which regulation applies? What if the product only hits a group-level restriction? Should we run the full report?
<code>/duty</code>	What is the third-country duty? Is there a preferential/customs-union rate? What changes with a different origin country? Which date is the rate valid for? Which non-duty measures does this tool intentionally omit?
<code>/measures</code>	Which measure types apply? Are there prohibitions, licences, anti-dumping, VAT or additional codes? Which conditions / footnotes need review? Should we generate an HTML report?
<code>/code</code>	Which code is most likely and why? What are the closest alternatives? What should we ask the client: material, use, power, composition, packaging? Can we immediately run overview/report for the selected code?
<code>/describe</code>	Where does the code sit in the hierarchy? What are the parent headings? Are there similar sibling codes? What does the CN description mean? Should we run measures/duties after classification?
<code>/sources</code>	Which sources are enabled? When was the last successful refresh? Which sources have daily sync? Are there disabled/candidate sources? Which jurisdictions are covered? Which sources are used for payment/entity/goods?
<code>/payment one-shot</code>	Show payment chain: role, name, country, verdict. Who requires review and why? Are there validation warnings? What is the run status and when does it expire? Unresolved BICs or enrichment tasks? Riskiest participant? How do I save this into cases?
<code>/payment case</code>	What is the case_id and state? Show stored evidence. Which case items were created? Is raw XML evidence available? Which participants/validations need analyst review? How do I open the signed case report?

Which real MCP tool sits behind each command.

Every command and natural-language request maps to a concrete MCP tool. Knowing the mapping helps with debugging and operator training.

MCP TOOL	INVOKED THROUGH · WHAT TO ASK NEXT
<code>open_entity_screening_form</code>	<code>/entity</code> , <code>/screen</code> — which fields are required? Should I provide DOB, country or registration number? Which threshold?
<code>screen_entities</code>	<code>/entity</code> , <code>/audit</code> , <code>/lv-frozen</code> , natural KYC request — why this score? Which aliases/identifiers matched? Which lists and regulations? Historical/delisted status?
<code>screen_entity_vop</code>	<code>/vop</code> , payment verification request — which EPC code? What do MTCH/CMTC/NMTC/NOAP mean? Manual review needed? Which payee data to correct?
<code>open_goods_screening_form</code>	<code>/goods</code> — which workflow: report, overview, embargo, duty, measures, description, search? Which parameters are missing?
<code>get_compliance_report</code>	<code>/report</code> , <code>/goods</code> workflow report — legal basis, prohibitions/licences, footnotes, source links, executive summary, Open/Download.
<code>check_trade_compliance</code>	API/MCP direct detailed check — which measures triggered? Are there sanctions? Which raw facts/footnotes matter? Client-ready report needed?
<code>get_overview</code>	<code>/overview</code> , <code>/goods</code> workflow overview — short decision? Duty/sanctions signal? When is a full report needed?
<code>check_sanctions</code>	<code>/embargo</code> , <code>/goods</code> workflow sanctions — direct or group match? Which regulation? Which CN/heading level? Full report needed?
<code>get_duties</code>	<code>/duty</code> , <code>/goods</code> workflow duties — third-country or preferential? Which date? What changes with another origin? Which non-duty measures omitted?
<code>get_measures</code>	<code>/measures</code> , <code>/goods</code> workflow measures — which measure types? Prohibition/licence/anti-dumping/VAT? Conditions and additional codes?

The tool map, continued.

Reference lookups, the ISO 20022 payment tool chain, BIC enrichment and the source catalog.

MCP TOOL	INVOKED THROUGH · WHAT TO ASK NEXT
<code>search_cn_codes</code>	<code>/code</code> , <code>/goods</code> workflow search — which code is most likely? Alternatives? What to clarify with the client? Run overview/report for the selected code?
<code>get_cn_description</code>	<code>/describe</code> , <code>/goods</code> workflow description — where is the code in the hierarchy? Parent/sibling codes? Need measures/duties after classification?
<code>open_payment_screening_form</code>	<code>/payment</code> — one-shot or Persist PaymentCase? How to enable the checkbox? Which XML versions are supported?
<code>validate_iso20022_payment</code>	Natural request to validate XML structure — XSD valid/invalid? Validation warnings? Parsed payment chain? Missing BICs?
<code>screen_iso20022_payment</code>	<code>/payment</code> one-shot — payment chain, participants needing review, warnings, summary counts, source lists/regulations, run status/expiry.
<code>get_payment_screening_run</code>	Follow-up after <code>/payment</code> one-shot — show evidence without rerun: chain, warnings, riskiest participant, summary, run metadata.
<code>create_iso20022_payment_case</code>	<code>/payment</code> with Persist payment case checked — what is the case_id and state? Which case items/evidence were saved? Next steps?
<code>get_payment_case_evidence</code>	Follow-up for a persisted PaymentCase — show raw XML evidence, participants, messages, matches, warnings, case report link.
<code>resolve_payment_bics_agentic</code>	Explicit BIC enrichment/debug request — which BICs are unresolved? Which web-search tasks? Mark all results ⚠ UNVERIFIED (web search); never clear the payment on this alone.
<code>list_sanctions_sources</code>	<code>/sources</code> , freshness/data-coverage questions — which sources are enabled? Last refresh? Daily sync? Disabled/candidate sources? Which sources for entity/goods/payment?

Habits that make the assistant faster and more accurate.

Practical guidance for operators working in the cabinet AI Assistant.

TIP

Natural language works too

You do not have to type a command — "check Northbridge Trading Ltd in OFAC", "give me a report for 7208510000 from Russia", "find CN for electric motors". The assistant picks the tool.

TIP

Slash commands save time

When you know the workflow, the slash form opens with the right fields immediately.

TIP

Languages

TARIC content is available in English and Latvian. The assistant answers in your interface language.

TIP

Limit and threshold

For broad names such as Northbridge Trading Ltd, raise limit up to 200 to see subsidiaries. For stricter screening, raise threshold above 75 to reduce false positives.

TIP

As-of date

Empty means current state. Setting a date switches to historical screening for that date.

TIP

Open / Download HTML & tool arguments

For /report, /goods, /overview and check_trade_compliance the card includes Open report and Download HTML — signed and time-limited. Each slash form has a collapsed Tool arguments JSON block for debugging and training.

The source identifiers used in sanctions filters.

Sanctions source filters accept these exact IDs — useful for precise, reproducible screening scopes.

- **Sanctions source IDs.** EU_FSF, OFAC_SDN, OFAC_NON_SDN, UN_SC, LV_FID, LV_FID_FROZEN, UK_UKSL, CH_SEC0, US_CSL, CA_SEMA, AU_DFAT, UA_NSDC, JP_MOF, EurLex_RU_269, EurLex_RU_833, EurLex_BY_765.
- **The two EU Russia lists are distinct.** EurLex_RU_269 is the EU asset-freeze designation list (Reg. 269/2014); EurLex_RU_833 is the sectoral / trade list.
- **Non-sanctions reference sources.** The broader catalog also includes legal/reference sources such as EU_ML (EU Common Military List) and EU_DUAL_USE (EU Dual-Use Annex I).
- **They are not sanctions filters.** EU_ML and EU_DUAL_USE are source evidence for goods / export-control classification — not entity-screening filters.

WHY EXACT IDS MATTER

Using exact source IDs lets an operator pin a screening run to a precise, named set of lists — and reproduce it later for audit.

It also keeps export-control reference data (Military List, Dual-Use Annex I) cleanly separated from entity sanctions screening.

PART 2

Web Agents — prompt scenarios

For customers who connect Compliance MCP to ChatGPT or Claude. After connection there are no slash commands — the assistant chooses the tool from the natural-language request. This part shows how to phrase prompts, which MCP tool should be called, and what the operator should expect.

In this part: how agents connect and how the assistant chooses a tool · keyword → tool mapping · 18 prompt scenarios across screening, goods/TARIC and ISO 20022 payments · the follow-up question banks · composite multi-tool scenarios · explainability · customer tips · what not to do.

Connect Compliance MCP, then phrase prompts well.

After connection there are no slash commands — the LLM chooses the tool from the keywords in your request.

- **ChatGPT.** chatgpt.com → Connectors → add the Compliance MCP server.
- **Claude.** claude.ai → Settings → Connectors → Add MCP server.
- **Each MCP tool has a description** visible to the model. The LLM decides which tool to call from the keywords in the request — so phrasing matters.
- **Give unambiguous signals.** An 8–10 digit CN code, an ISO-2 country code, "point-in-time" or "VoP" when relevant, and "HTML report" when you need a client-ready report.
- **MCP setup detail** lives in the standalone setup guides (RU and EN) referenced from the source document.

WHY PHRASING MATTERS

No slash commands externally — the request itself is the routing signal.

The clearer the keywords, the more reliably the model picks the right tool. The next slide maps common signals to the tool they trigger.

Keywords in the request map to a tool.

The LLM reads each tool's description and matches it to signals in your prompt.

KEYWORDS IN THE REQUEST	TOOL LIKELY TO BE CALLED
CN code + country + "check", "report", "compliance"	<code>get_compliance_report</code>
CN code + "short", "overview", "summary"	<code>get_overview</code>
CN code + "duty", "tariff"	<code>get_duties</code>
CN code + "measures", "prohibitions"	<code>get_measures</code>
CN code + RU/BY + "sanctions", "embargo"	<code>check_sanctions</code>
CN code + "describe", "hierarchy", "classification"	<code>get_cn_description</code>
Product description without a code	<code>search_cn_codes</code>
CAS RN / CUS / EC number / InChIKey / chemical name	<code>search_chemical_substances</code>
"export control", "dual-use", "EU Military List", "ML", CAS control hint	<code>search_export_control_candidates</code>
Name/company + "screen", "KYC", "SDN", "sanctions list"	<code>screen_entities</code>
Vessel name / IMO + "owner", "operator", "beneficial owner", "shadow fleet"	<code>screen_entities · entity_type=vessel</code>
Vessel/aircraft + "related parties", "owner graph", "manager", "charterer"	<code>lookup_ofac_asset_related_parties → screen_entities</code>
Bank name / BIC / SWIFT + "sanctions", "screen"	<code>screen_entities · entity_type=legal_person</code>
Name/company + "as of date", "point-in-time", "audit"	<code>screen_entities · as_of_date</code>
Payee name + "payment", "VoP", "verification of payee"	<code>screen_entity_vop</code>
ISO 20022 XML, pain.001 or pacs.008	<code>validate_iso20022_payment</code>
ISO 20022 XML + "screen all participants"	<code>screen_iso20022_payment</code>
/payment, "open payment form", "create PaymentCase"	<code>open_payment_screening_form → screen / create case</code>
"where is the data from", "sources", "freshness"	<code>list_sanctions_sources</code>

Scenarios 1–2 · individual KYC and company screening.

Give the assistant the entity type and an identifier where you can.

SCENARIO 1 · INDIVIDUAL KYC BEFORE ACCOUNT OPENING

"Check whether Petr Olegovich Aven (DOB 1955-03-16, Russian citizen) is on EU, OFAC, UN or UK sanctions lists."

Tool — `screen_entities` · query="Petr Olegovich Aven" · date_of_birth="1955-03-16" · country="RU" · entity_type="natural_person".

Expected — matches with score, list name, regulation, grounds, score explanation, and a Review-required signal when the threshold is met.

SCENARIO 2 · COMPANY COUNTERPARTY SCREENING

"Which sanctions lists include Northbridge Trading Ltd PJSC? Show the top 10 matches with regulations."

Tool — `screen_entities` · query="Northbridge Trading Ltd PJSC" · entity_type="legal_person" · limit=10.

Expected — matches from EU FSF, OFAC SDN/Non-SDN, UK UKSL, CH SECO and other lists, with regulation, date listed, grounds and ownership/control context where available.

Scenarios 3–4 · registration number and point-in-time.

An exact identifier match is high-confidence evidence; an as-of date switches the run to historical screening.

SCENARIO 3 · SCREENING BY REGISTRATION NUMBER

"Screen company registration number 1027700132195 and tell me whether the identifier gives an exact match."

Tool — `screen_entities` with `registration_number`.

Expected — identifier matches should be treated as high-confidence evidence and explained separately from fuzzy name matching.

SCENARIO 4 · POINT-IN-TIME / AUDIT SCREENING

"As of 2023-06-01, was this company active on sanctions lists? Include closed historical records."

Tool — `screen_entities` with `as_of_date` and `include_historical_closed=true`.

Expected — historical status, listing/delisting dates, source list and an audit-friendly explanation of what was true on that date.

Scenarios 5 & 5a · vessel screening and related parties.

Vessel screening surfaces the owner / controller; the related-party lookup returns relationship metadata only.

SCENARIO 5 · VESSEL SCREENING AND OWNERSHIP

"Screen vessel LADY R and IMO 9161003 against sanctions sources, and show the owner / controller if listed."

Tool — `screen_entities` · `entity_type="vessel"` · IMO as `registration_number`.

Expected — vessel aliases, IMO-based exact matches, list source, vessel particulars (type, flag, tonnage) and owner/controller related parties. For OFAC vessels these come from the SDN advanced relationship graph — the key signal for shadow-fleet and beneficial-owner review. The answer should name the owner, the relation type and whether the link is current or former.

SCENARIO 5A · OFAC ASSET RELATED-PARTY LOOKUP

"Look up the OFAC owner/operator related parties for IMO 9610903, then tell me what to screen."

Tool — `lookup_ofac_asset_related_parties` · `item_type="vessel"` (also "aircraft") · IMO as `registration_number`.

Rule — **relationship evidence only**. This tool returns relationship metadata; it does not screen or clear those parties. Always run `screen_entities` on the named parties before any compliance decision. A related-party hit is not a sanctions determination on its own.

Scenario 6 · Verification of Payee.

Words like "payment", "VoP", "EPC288-23", "PSP" and "payee" steer the model to the VoP tool.

SCENARIO 6 · VERIFICATION OF PAYEE

"For payment verification, compare payee name 'Northbridge Trading Ltd PJSC' against sanctions records using VoP close-match logic."

Tool — `screen_entity_vop`.

Expected — an EPC-style result code `MTCH`, `CMTC`, `NMTC` or `NOAP`, a scenario label, and what the payment operator should correct or review.

THE FOUR EPC CODES

MTCH — match, allow.

CMTC — close match, manual review.

NMTC — no match, block or investigate.

NOAP — not applicable.

Scenarios 7–8 · full report and quick overview.

Say "client HTML report" when you need a deliverable; "short overview" for a quick card.

SCENARIO 7 · FULL COMPLIANCE REPORT FOR CN + COUNTRY

"Create a client HTML compliance report for CN 7208510000 from RU."

Tool — [get_compliance_report](#).

Expected — Open/Download HTML report, TARIC measures, sanctions signals, legal basis, footnotes, duty context and executive summary.

SCENARIO 8 · QUICK OVERVIEW

"Give me a short overview for CN 8517130000 from CN."

Tool — [get_overview](#).

Expected — description, hierarchy, duty rate, sanctions status when relevant, measure-type summary and a compact HTML card.

Scenarios 9–10 · RU/BY embargo and duty only.

Embargo separates direct from group matches; duty-only intentionally omits non-duty measures.

SCENARIO 9 · RU/BY GOODS EMBARGO

"Is CN 8517130000 restricted for Belarus? Show whether the match is direct or group-level."

Tool — [check_sanctions](#).

Expected — direct matches and group matches separately, the regulation, and the CN/heading level where the restriction triggered.

SCENARIO 10 · DUTY ONLY

"What is the duty rate for CN 8703239013 imported from JP today?"

Tool — [get_duties](#).

Expected — third-country, customs-union or preferential duty rates, the validity date, and a reminder that non-duty measures are intentionally omitted.

Scenarios 11–12 · CN search and classification hierarchy.

Search returns candidates and clarification questions; hierarchy shows where a code sits.

SCENARIO 11 · CN SEARCH BY PRODUCT DESCRIPTION

"Find likely CN codes for smartphones."

Tool — [search_cn_codes](#).

Expected — candidate CN codes, descriptions, and clarification questions such as product type, material, use, power or composition.

SCENARIO 12 · CN HIERARCHY / CLASSIFICATION

"Describe CN 8517130000 and show where it sits in the hierarchy."

Tool — [get_cn_description](#).

Expected — chapter, heading, subheading, selected code and relevant footnotes — without measures or sanctions.

Scenarios 12a–12b · chemical lookup and export control.

Both return candidate classifications — the legal text remains the controlling source.

SCENARIO 12A · CHEMICAL SUBSTANCE LOOKUP (CAS / CUS / EC)

"Find the customs classification for CAS 7782-50-5. Show CUS, EC number and candidate CN codes."

Tool — [search_chemical_substances](#).

Expected — matching substances from the EU ECICS inventory — CUS number, CAS RN, EC number, IUPAC/common name and synonyms, with candidate CN codes. Accepts CAS RN, CUS, EC number, InChIKey or a chemical name/synonym.

SCENARIO 12B · EXPORT-CONTROL / DUAL-USE CANDIDATE CHECK

"Is this item caught by EU dual-use or the EU Military List? Product: 'frequency converter 600 Hz', and check CAS 7440-67-7."

Tool — [search_export_control_candidates](#).

Expected — candidate EU Dual-Use Annex I entries (categories 0–9) and EU Common Military List (ML1–ML22) entries, with CAS-based control hints. These are candidate classifications requiring analyst review — not a final determination.

Scenarios 13–14 · validate XML and screen participants.

The /payment form accepts pain.001 or pacs.008, lets you set threshold / as-of date, and choose one-shot or a saved audit case.

SCENARIO 13 · VALIDATE PAYMENT XML

"Here is a pain.001 XML. Validate the structure and extract the six-node payment chain."

Tool — `validate_iso20022_payment`. **Expected** — message type/version, validation status, payment chain nodes, warnings (missing BICs, invalid code-list values) and XSD status.

SCENARIO 14 · SCREEN ALL PAYMENT PARTICIPANTS

"Open /payment, screen this pacs.008 message, then show the payment chain and explain who needs review."

Primary flow — `open_payment_screening_form`. The form runs one-shot screening or a persisted PaymentCase.

TWO MODES & THE CHECKBOX

One-shot — validates XML, parses the chain, screens participants, returns HTML report + `screening_run_id`. Durable-temporary in Supabase until TTL; not a PaymentCase. Tool: `screen_iso20022_payment`.

Persist PaymentCase — same screening, saved as an audit-ready case. Tool: `create_iso20022_payment_case`.

To tick the checkbox: type /payment → paste XML → enable Persist payment case → submit. The assistant should call `create_iso20022_payment_case` and return a `case_id`. **Follow-up rule:** read a one-shot back with `get_payment_screening_run` — do not resubmit XML.

Reading the payment report without rerunning screening.

These questions work after the report — the agent reads the saved result rather than resubmitting XML.

USER QUESTION	EXPECTED AGENT BEHAVIOR
Show the payment chain — roles, names, countries, verdict.	Read <code>participants[]</code> from <code>get_payment_screening_run</code> ; render role, name, country and <code>screening.status</code> .
Which participants require review and why?	Filter hit / review / error participants, plus validation warnings, BIC mismatch and unresolved BIC.
Are there validation warnings?	Read <code>validation.warnings[]</code> — show code, message, details and audit impact.
What is the run status and when does it expire?	Read <code>screening_run.status</code> , <code>persistence</code> , <code>storage_backend</code> , <code>expires_at</code> , <code>t1l_seconds</code> .
Show source lists and regulations for matches.	Inspect <code>participants[].screening.matches[]</code> — list/source, regulation/program, authority, listing date, source URL.
Unresolved BICs or agentic enrichment tasks?	Inspect <code>agenticBicEnrichment</code> and resolution statuses; mark web-search output as <code>UNVERIFIED</code> .
Formulate the operator next step.	Use top decision + warnings — proceed only if clear; review warnings/mismatches; block or escalate sanctions hits.
Show summary counts.	Read <code>summary.hit_count</code> , <code>review_count</code> , <code>clear_count</code> , <code>warning_count</code> .
Open details for the riskiest participant.	Pick the highest score or hit status; show identifiers, top match, list, regulation, grounds, evidence dates.
How do I save this payment into cases? Can I clear it?	Explain the Persist payment case checkbox; a completed one-shot needs resubmission to persist. Do not clear automatically — require review for warnings, hits or unresolved BICs.

Scenarios 14a–14b · persisted case and agentic BIC enrichment.

Persisting preserves audit evidence; agentic BIC enrichment is a research aid, never a verdict change.

SCENARIO 14A · PERSISTED PAYMENTCASE FROM /PAYMENT

"Create an audit-ready PaymentCase from this ISO 20022 XML and preserve the evidence."

Tool — `create_iso20022_payment_case`, or `/payment` with Persist payment case enabled.

Expected — `case_id`, state, signed HTML report, payment chain, validation warnings, per-participant verdicts and, where applicable, an agentic BIC enrichment section. Follow-up evidence uses `get_payment_case_evidence`.

SCENARIO 14B · AGENTIC BIC ENRICHMENT FOR UNRESOLVED BICS

"This pacs.008 contains BICs that were not resolved by the BIC cache. Prepare web-search tasks for them, but do not change the payment verdict."

Tool — `resolve_payment_bics_agentic`.

Expected — web-search tasks for unresolved BICs only. Not a compliance decision; does not change screening or case results. Any surfaced value must be marked: **UNVERIFIED (web search)** — analyst review and follow-up `screen_entities` required before clearing.

A question bank for every prompt family.

After any prompt family, these questions check that the agent kept context — for demos, QA and training.

PROMPT FAMILY	USEFUL FOLLOW-UP QUESTIONS
entity / KYC	Why this score? Which aliases matched? Which lists returned results? Show regulation / program / grounds. Ownership or control signals? What next?
audit / point-in-time	Was the subject active on the selected date? When listed and delisted? How does historical status differ from current? Show the source audit trail.
VoP	Which EPC code returned — MTCH, CMTC, NMTC, NOAP? Why close match? Which payer fields should be corrected?
lv-frozen	Is this a frozen-assets record or a regular sanctions entry? Who is the sanctioned principal? What ownership/control link is stated?
goods guided	Which workflow was selected and why? Which CN code? Are there sanctions, prohibitions or licences? Should we open the full HTML report?
overview	What is the short compliance decision? Is there a duty rate or RU/BY sanctions signal? When is a full report needed?
report	Show legal basis and source links. Which prohibitions or licences apply? Which footnotes matter? Draft an executive summary.
embargo	Direct or group-level match? Which CN/heading level triggered? Which regulation applies? Should we run the full report?
duty	What is the third-country duty? Is there a preferential rate? What changes with a different origin country?
measures	Which measure types apply? Prohibitions, licences, anti-dumping, VAT or additional codes?
code / describe	Which code is most likely and why? Closest alternatives? What to ask the client? Where is the code in the classification hierarchy?
sources	Which sources are enabled? Last refresh? Daily sync? Disabled/candidate sources? Which sources for entity/goods/payment?
payment	Show the chain. Who requires review and why? Validation warnings? Expiry? Unresolved BICs? Summary counts? Riskiest participant? case_id and state? Stored evidence?

Scenarios 15–16 · source catalog and match-score explanation.

Two explainability prompts — where the data comes from, and why a score landed where it did.

SCENARIO 15 · SOURCE CATALOG AND FRESHNESS

"Where does your sanctions data come from? Show the catalog and last refresh dates."

Tool — `list_sanctions_sources`.

Expected — enabled sources — EU FSF, OFAC SDN/Non-SDN, UN SC, UK UKSL, CH SECO, CA SEMA, AU DFAT, JP MOF, LV FID, LV FID Frozen, UA NSDC, EurLex RU 269 (asset freeze), EurLex RU 833 (sectoral), EurLex BY 765 — with authority, jurisdiction, last refresh, row count and daily-sync status. The catalog also covers export-control / legal-reference sources (EU Dual-Use Annex I, EU Common Military List, ECICS chemicals).

SCENARIO 16 · EXPLAIN A MATCH SCORE

"Why did 'Northbridge Trading Ltd' score 87 rather than 100? Explain the algorithm."

Approach — an explanation based on the MCP methodology — n-gram similarity, primary names and aliases, transliteration, phonetic matching, exact DOB or ID boosts, and threshold filtering.

Scenarios 17–18 · multi-tool workflows in one dialogue.

A single request can trigger two or more tools; the assistant aggregates them into one operator decision.

SCENARIO 17 · KYC + GOODS REPORT IN ONE DIALOGUE

"I am shipping 7208510000 from RU. The recipient is 'Severstal-Metiz LLC'. Create a goods compliance report and screen the company."

Tools — `get_compliance_report` and `screen_entities`.

Expected — two results — a goods HTML report and an entity screening — then an aggregated operator decision.

SCENARIO 18 · PRE-SHIPMENT RU/BY CHECK

"Before shipment: CN 8517130000 to Belarus, counterparty 'Belshina OAO'. Compliance + sanctions screening + verification of payee."

Tools — `check_sanctions`, `screen_entities`, `screen_entity_vop`.

Expected — goods embargo signal, entity sanctions result, VoP code, and a combined go/no-go summary with legal grounds.

Habits that get reliable results over MCP.

Guidance for customers running Compliance MCP inside their own ChatGPT or Claude.

TIP

Quote CN codes exactly

Use 8 or 10 digits without spaces — 7208510000, not 7208 51 0000.

TIP

Use ISO-2 countries

Prefer RU, BY, CN, US, LV, JP, UA.

TIP

Ask for a report when you need HTML

Say "create a client HTML report" to trigger get_compliance_report.

TIP

Name audit mode explicitly

Use "point-in-time", "as of date" or "was it listed on [date]".

TIP

Separate VoP from ordinary screening

Words like "payment", "VoP", "EPC288-23", "PSP" and "payee" steer the model to screen_entity_vop. Follow-up questions work — first search a CN, then "run compliance for that code from CN".

TIP

Languages

Prompts can be in English, Russian or Latvian. TARIC descriptions are available in EN and LV.

Four boundaries that keep results defensible.

The assistant is built to refuse evasion and to insist on grounded, tool-backed answers.

- **Do not ask to bypass sanctions.** The assistant should refuse and avoid tool calls for evasion requests.
- **Do not send unnecessary personal data.** Name, country, DOB and registration number are enough for screening in most cases.
- **Do not rely on a model answer without a tool call.** Ask explicitly to screen against our lists — a plausible-sounding answer is not a screening result.
- **Do not confuse goods embargo with entity screening.** A CN code goes to the goods pipeline; a name goes to the entity screening pipeline. They answer different questions.

THE THROUGH-LINE

Every compliance decision should trace back to a tool result and a named source.

Across both surfaces — cabinet assistant and external MCP — the rule is the same: ground the answer in a tool call, keep the evidence, and let an analyst review anything that warns or hits.