



***Export Control
Compliance Tools I:
Restricted Party Screening***

ECAS Webinar Series June 12th, 2013

Visual Compliance: Strengthened Compliance Process

The **VISUAL COMPLIANCE™ RESEARCH EDITION** gives you tangible benefits that include:

Positive screening returns emailed directly from the RESEARCH EDITION to all who need to know, including university administrators and legal counsel

Strengthened compliance system with up-to-date and efficient export classification and Restricted Party Screening processes

Usage Audit Reporting features to prove compliance

Raises the level of compliance at your university as well as enhances your ability to make your export compliance workflow an efficient and sophisticated process

Visual Compliance: Comprehensive Restricted Party Screening

The **VISUAL COMPLIANCE™ RESEARCH EDITION** can screen entities who have dealings of any kind with your university. These entities include students, faculty staff, researchers, sponsors and their associates, suppliers and vendors, even visiting scholars.

With the **RESEARCH EDITION**, you can maintain a high level of compliance with laws that further the national security objectives of the U.S. Government. The solution does have other uses such as finding out if suppliers have been blacklisted by the authorities, if individuals are wanted by law enforcement agencies, or if students have delinquent educational loans.

Visual Compliance: Proving Your Compliance to Federal Authorities

Proving that your compliance system is effective and reliable across your entire organization is as important as performing the screening process on a particular individual or classifying specific items according to ECCN and/or ITAR rules.

Being able to provide such proof demonstrates to federal government agencies that key university staff – from administrators and legal counsel to research project supervisors and associates – are strictly following the compliance procedures that have been laid down for them.

Record Keeping: EAR762

https://www.visualcompliance.com/bis_ear/762.pdf

<http://www.access.gpo.gov/bis/ear/pdf/762.pdf>

Restricted Party Screening Examples

Financial Transactions (for foreign travel):

1. Bank of Maskan, Iran – General Supplies Purchased
2. Agricultural Development Bank, Zimbabwe - PO #ZIMB125-96 – Seed & Fertilizer
3. Al-Barakaat Wiring Service, Minneapolis, Minnesota

Vendors/Collaborators:

4. Valtex International Corporation, California – Vendor of Laboratory Equipment
5. Performance Medical Supplies, Australia – Vendor of Physical Therapy Equipment
6. Baltic State Technical University, Russia - International Collaboration – Faculty of Physics and Mechanics – Agreement – Flight Simulators
7. Infocom Corporation, Inc., Texas, USA – Vendor of Internet Technologies/Computer Company
8. Data Physics Corporation, San Jose California – Vendor of signal processing solutions
9. Suntek Microwave, Inc. Newark CA – Vendor of Instrument Manufacturing for Measuring and Testing Electricity and Electrical Signals

Contractors:

10. Chi Mak - Engineer for Paragon Power, L3 Communications
11. Dongfan Chung – Engineer for Rockwell, Boeing
12. Xiadong Sheldon Meng – Software Contact/Employee for Quantum 3D
13. Consolidated Contract Nursing – Nursing Firm, Cleveland Ohio
14. JS Engineering – Mechanical Engineers, Gardena California

Restricted Party Screening Examples: Case Links #1

Valtex International Corporation

http://www.bis.doc.gov/news/2005/valtexaug_03_05.htm

<http://efoia.bis.doc.gov/exportcontrolviolations/e863.pdf>

Performance Medical Supplies

<http://efoia.bis.doc.gov/exportcontrolviolations/e935.pdf>

Infocom Corporation, Inc

http://www.bis.doc.gov/news/2006/doj01_25_06.htm

<https://bxa.ntis.gov/whatsnewcgi.html?filename=infocomcorp.asc>

Data Physics Corporation

<http://www.usdoj.gov/usao/ut/press/releases/False%20Claims%20Act%20HFB%20case.pdf>

<http://efoia.bis.doc.gov/exportcontrolviolations/e973.pdf>

Suntek Microwave, Inc

<http://www.bis.doc.gov/news/2004/sunteckmay04.htm>

<http://efoia.bis.doc.gov/exportcontrolviolations/e816.pdf>

Restricted Party Screening Examples: Case Links #2

Dongfan Chung:

<http://losangeles.fbi.gov/dojpressrel/pressrel09/la071609.htm>

<http://http://www.cbsnews.com/stories/2009/07/16/national/main5165462.shtml>

<http://www.cnn.com/2009/CRIME/07/16/california.espionage.conviction/index.html>

<http://vzw.cnn.mlogic.mobi/cnn/ne/crime/detail/333028/full;jsessionid=B958A4ECC626AF0D5BA8F094DB58C8BA.live7i>

http://news.yahoo.com/s/ap/20090716/ap_on_re_us/us_economic_espionage

Chi Mak:

<http://losangeles.fbi.gov/dojpressrel/pressrel09/la071609.htm>

<http://www.cnn.com/2005/US/11/15/spy.charges/index.html>

<http://www.cnn.com/2008/CRIME/03/24/us.china.agent/index.html>

<http://www.newser.com/tag/1881/1/chi-mak.html>

Xiadong Sheldon Meng

<http://www.usdoj.gov/criminal/cybercrime/mengCharge.htm>

<http://www.wired.com/threatlevel/2008/06/economic-espion/>

Authorities Contact Information

Office of Defense Trade Controls Licensing: Key Personnel

http://pmddtc.state.gov/about/key_personnel.html

BIS Program Offices - Export Administration

Office of Exporter Services (OExS):

<http://www.bis.doc.gov/about/programoffices.htm>

U.S. Depart. Of the Treasury: Office of Foreign Assets Control

<http://www.treasury.gov/offices/enforcement/key.shtml>

<http://www.treasury.gov/offices/enforcement/ofac/contacts.shtml>



**WHO
Can You Call
With
Questions?**

UC System Export Control Points of Contact

- LBNL Nancy M Ware NMWare@lbl.gov
- UARC Nasa Ames: Scott Fong scott.fong@uarc.ucsc.edu
- UCB Patrick Schlesinger pschlesinger@berkeley.edu
- UCD Craig Allison ccallison@ucdavis.edu
- UCI Marci Copeland marci.copeland@rgs.uci.edu
- UCLA: Claudia Modlin cmodlin@research.ucla.edu
- UCM Deb Motton dmotton@ucmerced.edu
- UCR Charles Greer, Jr charles.greer@ucr.edu
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- UCSD Brittany Whiting brwhiting@ucsd.edu
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