



U.S. Department of Commerce
Bureau of Industry and Security

Annual Report to the Congress for Fiscal Year 2014

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Bureau of Industry and Security Fiscal Year 2014 Annual Report

This report summarizes the activities of the Department of Commerce's Bureau of Industry and Security (BIS) during Fiscal Year 2014, from October 1, 2013, through September 30, 2014.



“The success of paradigm-changing initiatives such as ECR does not occur overnight. Rather, it takes place in stages; much as a large building is constructed starting with the foundation.”

Under Secretary Eric L. Hirschhorn

Background on BIS

BIS advances U.S. national security, foreign policy, and economic objectives by ensuring an effective export control and treaty compliance system, and by promoting continued U.S. leadership in strategic technologies. BIS accomplishes its mission by maintaining and strengthening adaptable, efficient, and effective export control and treaty compliance systems.

BIS administers and enforces controls on the export of items with chiefly commercial uses that can also be used in conventional arms, weapons of mass destruction, terrorist activities, or human rights abuses; less sensitive military items being transferred

from the Department of State under the President's Export Control Reform initiative; and certain crude oil and timber. BIS administers and enforces these controls in coordination with several other agencies. BIS implements these controls primarily through the Export Administration Regulations (EAR). The EAR set forth license requirements and licensing policy for the exports of these items.

Enforcement is an essential aspect of the BIS mission.

Enforcement efforts encourage compliance, prevent and deter violations, disrupt illicit activities, and bring violators to justice. BIS achieves these important objectives through a law enforcement program focused on parties engaged in the export of sensitive commodities, software, and technology to end uses, end users, and destinations of concern.

BIS plays a significant role in the four major multilateral export control regimes and three treaties which deal in different industry sectors: the Australia Group (chemical and biological nonproliferation), the Missile Technology Control Regime, the Nuclear Suppliers Group, the Wassenaar Arrangement (conventional arms and related goods, software, and technologies), the Chemical Weapons Convention (chemical weapons nonproliferation), the Additional Protocol to the U.S.-International Atomic Energy Agency Safeguards Agreement (nuclear weapons nonproliferation), and the Biological Weapons Convention (biological weapons nonproliferation).

BIS also is responsible for a number of functions related to the defense industrial base and enforcing prohibitions related to certain foreign boycotts.



Deputy Under Secretary Daniel O. Hill

BIS consults closely with industry on the development of regulatory policy through its Technical Advisory Committees (TACs). The TACs provide valuable industry input on trends in technology and the practicality and likely impact of export controls. BIS also conducts numerous outreach events throughout the United States and overseas to educate and update the public on export controls and policy.

Export Control Reform Update

In 2009, President Barack Obama directed the agencies involved in administering the U.S. export control system to conduct a broad-based review of export controls in order to enhance national security. This review led to the Export Control Reform (ECR) initiative. One of the key aspects of ECR has been the effort to move less sensitive items (primarily parts and components) from the less flexible U.S. Munitions List (USML) of the International Traffic in Arms Regulations (ITAR), which is administered by the Department of State,

to the more flexible Commerce Control List (CCL) of the Export Administration Regulations (EAR), which is administered by BIS. This effort will increase military interoperability with allied countries, strengthen the U.S. industrial base by reducing incentives for foreign manufacturers to design out and avoid using U.S. parts and components, and allow the U.S. Government to focus resources on the most serious national security and proliferation concerns.

Initial Implementation of ECR

On October 15, 2013, the final rules published by BIS and the Department of State that provided for the initial implementation of ECR became effective. The final rules described those military aircraft and gas turbine engine items warranting continued control on the USML under Category VIII or XIX and described those less sensitive military aircraft and gas turbine engine items moving from the USML to the CCL as “600 series” items. In addition, the final rule established a definition of “specially designed,” provided transition guidance, and described the authority of the Department of State to license or otherwise authorize items subject to the EAR, as agreed upon by the Secretaries of State and Commerce.

Since the initial implementation of ECR, BIS and the Department of State have published, in final form, fifteen of the twenty-one USML categories and corresponding CCL controls. Revised controls for military vehicles, vessels, submarines, materials/miscellaneous items, and other related items became effective on January 6, 2014 after being published on July 8, 2013. Revised controls for military training equipment, energetic materials, personal protective equipment, nuclear

items, launch vehicles/missiles, explosives, and related items were published on January 2, 2014 and became effective on July 1, 2014.

Revisions to Controls on Satellites and Electronics

BIS and the Department of State also finalized revised controls for two significant categories of items— spacecraft and military electronics. Prior to ECR, spacecraft and related items were controlled under USML Category XV due to section 1513 of the Strom Thurmond National Defense Authorization Act for Fiscal Year 1999; thus, USML Category XV was the only part of the USML explicitly required by statute to control commercial items. As a result of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239), the President was authorized to review USML Category XV to determine what items continued to warrant control on the USML. On May 13, 2014, BIS and the Department of State published revised controls for spacecraft and related items. Following publication, revised controls for radiation-hardened integrated circuits became effective on June 27, 2014. Revised controls for all other spacecraft items will become effective on November 10, 2014.

The other significant USML category that was revised during the fiscal year was USML Category XI for military electronics. Military electronics comprise the second largest category in licensing volume behind military aircraft. Following extensive review of industry comments on potential commercial application of various electronics equipment, BIS and the Department of State published revised controls on July 1, 2014, and these controls will become effective on December 30, 2014.

Continued Regulatory Efforts under ECR

Over the course of fiscal year 2014, BIS and its interagency partners continued to review proposed controls for toxicological items under USML Category XIV; fire control, sensors, and night vision items under USML Category XII; and directed energy weapons under USML Category XVIII. BIS anticipates continued work on those categories during fiscal year 2015, as well as working on reviewing common definitions used by the EAR and ITAR and harmonizing such definitions when possible.

ECR Educational and Outreach Activities

During the fiscal year, BIS continued to expend significant resources to inform the regulated community on ECR as additional revised USML categories and CCL controls became effective. BIS conducted more than 125 ECR outreach activities that reached more than 11,700 participants. These outreach activities included weekly teleconferences on specific ECR topics hosted by the Assistant Secretary of Commerce for Export Administration, BIS seminars, industry group meetings and seminars, small and medium-sized business conferences, webinars, and meetings with foreign governments. Further, BIS continued to utilize web-based decision tools to assist exporters. Since BIS posted decision tools on order of review and classifying items subject to the EAR, the decision tools have received more than 48,000 hits on the BIS website. In addition to outreach with the public, BIS continued to support U.S. Customs and Border Protection (CBP) and other law enforcement agents around the United States with updated training materials. Also, BIS continued to work with CBP to implement and announce new requirements for the Automated Export System as additional final rules were

published and became effective throughout the fiscal year.

Strengthening Safeguards under ECR

An additional key aspect of ECR is to create more effective safeguards, or “higher fences,” to keep the most sensitive items and technology away from foreign entities that seek to harm our national interests. In FY 2012, the Administration established the Information Triage Unit (ITU), which is hosted and administered by BIS. The ITU is responsible for assembling, analyzing, and disseminating information from all sources to inform agencies about the bona fides of foreign parties to a license application. During FY 2014, the ITU supported 957 license applications.

On September 11, 2013, BIS published a proposed rule to enhance BIS’s ability to complete end-use checks by strengthening the Unverified List. The rule described the increased U.S. Government insight into potential transactions of concern involving foreign parties for who BIS cannot verify their suitability and reliability to receive items subject to the EAR. In addition, these changes provide more clarity to exporters on how to address “red flags” involving transactions with foreign parties where BIS has been unable to successfully complete an end-use check.

On December 19, 2013, BIS published a final rule strengthening the Unverified List. This change enhances BIS’s ability to conduct end-use checks and increases U.S. Government insight into potential transactions of concern involving foreign parties whose *bona fides* BIS has been unable to verify. On June 16, 2014, BIS added 29 persons to the Unverified List. These persons are ineligible to receive items under a license exception and must sign a

specific end-use statement consenting to an end-use check before receiving items not subject to a license requirement.

BIS and the Department of State also initiated the coordination of end-use checks where USML and CCL items are co-located, so that both organizations expand the number of end-use checks conducted by the U.S. Government. As a result of ECR, opportunities for such coordination will increase where 600 series parts and components are exported to the same location as USML end items.

Executive Order 13558 created the Export Enforcement Coordination Center. The Center strengthens the enforcement of U.S. export laws through the facilitation of partner agency communication and collaboration to keep our nation safe. The Department of Homeland Security (DHS) manages and operates the Export Enforcement Coordination Center. There are two Deputy Directors, one from the Department of Commerce and one from the Department of Justice.

ECR Licensing and Export Statistics

In FY 2014, BIS processed 7,435 export license applications for exports of 600 series items that transferred from the USML to the CCL; of the 600-series licenses, BIS approved 6,297 license applications (84.7 percent), returned 1,121 applications without action (15.1 percent), and denied 17 applications (0.2 percent). In FY 2014, BIS’s average processing time to review a license application for 600 series items was 15.1 days.

Military aircraft and related commodities under ECCN 9A610 was the category of approved license applications with the highest transaction value (\$1.3 billion),

followed by military gas turbine engines and related commodities (9A619 - \$650 million), and ground vehicles and related commodities (0A606 - \$120 million).

For fiscal year 2014, U.S. companies exported over 61,000 shipments for a value of over \$2.1 billion for “600-series” items, and over 100 shipments for a value of over \$8 million for 9x515 items.

Japan, Canada and S. Korea received the largest value of “600-series” items from the U.S. under a BIS authorization. U.S. exporters used a BIS license authorization, a “No License Required” designation to Canada and License Exception Strategic Trade Authorization most often (by value) to export “600-series” items.

Japan, Germany and France received the largest value of 9x515 items from the U.S. under a BIS authorization. U.S. exporters used the “No License Required” designation, BIS license authorization and License Exception Strategic Trade Authorization most often (by value) to export 9x515 items.

The top exports by value of “515 Series” items were classified under 9A515 - \$8.1 million (“Spacecraft” and related commodities) and 9E515 - \$175,000 (“Technology” “required” for the “development,” “production,” operation, installation, repair, overhaul, or refurbishing of “spacecraft” and related commodities).

Russia Sanctions

In response to Russia’s actions in Crimea and continued efforts to destabilize eastern Ukraine, BIS published five regulations restricting trade with Russia. These regulations imposed license requirements on exports to specific Russia entities, specific

items for deepwater, Arctic offshore, and shale exploration and production, and specific items for Russian military end users or end uses.

(Please see Appendix H, page 74, for additional export control reform information.)

Export Control Policy and Regulations



"Export Control Reform will increase military interoperability with allied countries, strengthen the U.S. industrial base by reducing incentives for foreign manufacturers to design out and avoid using U.S. parts and components, and allow the U.S. Government to focus resources on the most serious national security and proliferation concerns."

Assistant Secretary for Export Administration Kevin J. Wolf

Export Licensing

Export License Processing

In FY 2014, BIS processed 30,953 export license applications for transactions. This marked a significant increase from the 24,782 applications processed in FY 2013. BIS approved 25,694 license applications

(83.0 percent), returned 4,946 applications without action (16.0 percent), and denied 313 applications (1.0 percent). In FY 2014, BIS's average processing time to review a license application was 23 days. This includes time for reviews by other agencies.

Crude oil was the category of approved license applications with the highest transaction value. The greatest number of license application approvals under a single commodity classification was for chemical manufacturing facilities and equipment (ECCN 2B350), with 2,872 approved applications for exports and reexports worth \$345.3 million.

License Applications Escalated for Interagency Resolution

Under Executive Order 12981, BIS's Operating Committee (OC) – with membership including the Departments of Commerce, Defense, Energy, and State – is tasked with resolving interagency disagreement on specific license applications. In FY 2014, 353 cases were escalated to the OC for dispute resolution. Of those 353 cases, 21 were further escalated to the Assistant Secretary-level Advisory Committee on Export Policy for resolution.

Exports under License

BIS obtains data from the Bureau of the Census (Census) on exports subject to BIS licensing requirements to evaluate the impact controls have on U.S. exports. For calendar year 2013 (the most recent data available to BIS for this report), U.S. companies exported \$8 billion of licensed items (of which 1.9 percent were exported under a special comprehensive license). Crude petroleum exports were responsible for 68 percent of the value of licensed

exports (\$5.4 billion). BIS licensed exports represented 0.5% of total U.S. exports. Exports under a BIS license exception totaled \$18.7 billion representing 1.2 percent of overall U.S. exports.

BIS continues to work with Census and the Department of Homeland Security's U.S. Customs and Border Protection to improve the Automated Export System (AES) and to increase exporter compliance with the EAR. In FY 2014, BIS made additional changes to AES to prevent the export of controlled items reported under designation "No License Required" in the AES.

Commodity Classifications

To ascertain whether an export license is required from BIS, an exporter needs to classify the item to be exported by determining the ECCN and may request an official classification from BIS. In FY 2014, BIS processed 5,550 classification request applications, including encryption requests, in an average of 28 days.

While exporters can self-classify, they often seek official classification determinations from BIS for business, recordkeeping, or other reasons unrelated to whether a classification could be self-determined.

Validated End-User Program

In FY 2014, there were eleven Validated End Users (VEUs) in China with 40 locations and one in India with two locations. BIS issued two amendments to VEUs. BIS also screened over 1300 customers for the twelve VEUs.

Since the July 2007 start of the VEU program, U.S. companies have made approximately 450 shipments totaling about \$551 million worth of controlled items to

the VEU, including 310 exports worth \$367 million to VEU in FY 2014.

Commodity Classification Determinations and Licensing of Encryption Items

The FY 2010 removal of the commodity classification determination requirements for less sensitive encryption items resulted in a significant decrease in the number of encryption commodity classification requests. The 1,475 requests processed in FY 2014 are less than half the number processed in FY 2010. The encryption registration process, which replaced encryption reviews for many items, continued at a steady pace with 1,350 encryption registrations filed in FY 2014. Many of these registrations are by mobile application developers, both U.S. and foreign. BIS also approved more than 2,000 licenses including encryption items in FY 2014. The number of licenses has remained steady over the past three years, despite increased use of encryption licensing arrangements, which authorize unlimited shipments of encryption products with notification and reporting requirements.

Commodity Jurisdiction Determinations

A commodity jurisdiction (CJ) request is used to determine whether an item or service is subject to the export licensing authority of the Department of Commerce or the Department of State, Directorate of Defense Trade Controls (DDTC). Exporters may request a CJ determination by submitting the request to DDTC, which has final jurisdiction determination authority. In FY 2013, BIS provided recommendations to the State Department on 954 CJ requests in an average of 23 days.

Export Compliance Program

In FY 2014, BIS's Export Management and Compliance Division (EMCD) conducted nine Export Management and Compliance Program (EMCP) reviews of corporate written compliance programs and conducted one seminar on how to develop an EMCP in Houston, Texas.

In addition, EMCD reviewed non-600 series items exported under license exception Strategic Trade Authorization (STA). Ninety six STA reviews were completed during FY 2014: of the 96, nine were conducted on-site with the U.S. exporter. Of these 96 STA export reviews, 85 were completely compliant with STA requirements, and 11 involved minor technical errors.

During FY 2014, EMCD, working with BIS's Office of Technology Evaluation, initiated reviews of other license exception (LE) use. EMCD compliance specialists reviewed approximately 150 exports made under various license exceptions and confirmed compliance with the LE requirements in almost every case. The only exceptions were shipments for which the exporter cited a license exception when the export should have been made under the "No License Required" designation. In addition, EMCD initiated on-site compliance document reviews with exporters. Eight such reviews were completed; one referral was made to Export Enforcement due to multiple inappropriate Automated Export System (AES) filings.

License Determinations

License Determinations (LDs) are used to support enforcement actions by BIS and other agencies connected with potential violations of the EAR. In FY 2014, BIS

completed 522 enforcement LDs for BIS's Office of Export Enforcement in an average of 24 days. In addition, BIS processed 261 LDs for the Federal Bureau of Investigation and 1469 LDs for the Department of Homeland Security in support of investigations of potential unlawful exports.

Foreign Policy-Based Controls

Entity List-related Developments

In FY 2014, BIS implemented the decisions of the End-User Review Committee (ERC), the interagency group that administers the Entity List, and published five Entity List-related rules.

The Entity List identifies foreign parties that are prohibited from receiving some or all items subject to the Export Administration Regulations (EAR) unless the exporter secures a license. Those persons present a greater risk of diversion to weapons of mass destruction (WMD) programs, terrorism, or other activities contrary to U.S. national security or foreign policy interests. By publicly listing such persons, the Entity List is an important tool to prevent unauthorized trade in items subject to the EAR.

BIS can add to the Entity List a foreign party, such as an individual, business, research institution, or government organization, for engaging in activities contrary to U.S. national security or foreign policy interests. In most instances, license exceptions are unavailable for the export, reexport, or transfer (in-country) to a party on the Entity List of items subject to the EAR. Rather, a license is required for such transactions, and a license application is usually subject to a policy of denial. For guidance concerning the prohibitions and license application review policy applicable to a particular party, one should review that

party's entry on the list. Procedures for removal from the Entity List appear in section 744.16 of the EAR. General Orders also may restrict exports to named individuals or entities.

Through publication of these rules, 155 persons (in 183 separate entries) were added to the Entity List for acting contrary to the national security or foreign policy interests of the United States. Additionally, five persons (in seven entries) were removed from the Entity List in response to appeals. Finally, five modifications were made to existing entries on the Entity List.

Export Enforcement



“Export Enforcement is committed to assisting legitimate exporters comply with the EAR while focusing its resources on the cases where companies and individuals are purposely skirting the rules or the exports have caused harm.”

*Assistant Secretary for Export Enforcement
David W. Mills*

This year marked the 32nd anniversary of the establishment of a criminal law enforcement capability within what is now known as the Bureau of Industry and

Security, or BIS, at the Department of Commerce. Over the past years, Export Enforcement at BIS has evolved into a sophisticated law enforcement agency, with criminal investigators and enforcement analysts who are singularly focused on export controls, working closely together with licensing officers within a single bureau of the government. Using our subject matter expertise in the area of export controls, coupled with our unique and complementary administrative enforcement tools, Export Enforcement has also leveraged its relationships with partner law enforcement and intelligence agencies as well as with partners in industry to maximize its impact.

Penalties

BIS investigations in FY 2014 resulted in the criminal conviction of 39 individuals and businesses for export violations, as compared to 52 convictions in FY 2013. The penalties for these convictions came to \$137,808,756 in criminal fines, more than \$1,318,832 in forfeitures, and more than 568 months of imprisonment, compared to \$2,694,500 in criminal fines, more than \$18 million in forfeitures, and more than 881 months of imprisonment in FY 2013.

In FY 2014, BIS investigations resulted in the completion of 48 administrative export and antiboycott actions against individuals and businesses and \$60,567,150 in civil penalties, as compared to 71 actions and \$6,524,955 in civil penalties in FY 2013. Of the 48 actions closed in FY 2014, four involved antiboycott violations that resulted in total civil penalties of \$79,150.

Preventive Enforcement

In FY 2014, BIS continued to emphasize its enforcement activities that focus on

prevention and compliance. Export Enforcement officials participate in the export licensing process by making recommendations on license applications, detaining shipments that may have been undertaken in violation of the EAR, and in some significant cases seeking the issuance of Temporary Denial Orders to prevent imminent export violations.

End-use checks continue to serve as a valuable safeguard and preventive enforcement tool for verifying the bona fides of foreign end-users, ensuring that exported items have been or will be properly used as authorized, and that license conditions are adhered to. BIS end-use checks have been effective in revealing unauthorized end-uses, including improper or unauthorized diversion, of items subject to BIS jurisdiction.

In FY 2014, BIS completed 1,044 end-use checks in 51 countries. This represents a 1.1 percent increase above the previous year's performance, and a 22.8 percent achievement over FY 2014 goals. Of these, 98 were Pre-License Checks (PLCs), which are conducted to prevent the export of sensitive items to unreliable parties, and 946 were Post-Shipment Verifications (PSVs), which assist the U.S. Government in monitoring such transactions to conclusion. Approximately 62 percent of the checks were conducted by BIS Export Control Officers (ECOs) stationed at U.S. Embassies and consulates in Moscow, Beijing, Hong Kong, New Delhi, Dubai, and Singapore with regional responsibilities. The remaining checks were conducted by Office of Export Enforcement Special Agents and Analysts deployed from the United States to conduct end-use checks in certain countries, or by Foreign Commercial Service Officers and support personnel stationed at various U.S. Embassies. BIS used the results of the

negative checks to prevent future exports to unsuitable end-users and to take enforcement action where appropriate.

In situations where an end-use check indicates that a diversion of U.S.-origin goods has or may have occurred, or because the U.S. Government was unable to conduct the check or was otherwise unable to verify the existence or authenticity of the end-user, the end user may be considered for inclusion on the Entity List or the Unverified List. The presence of a person on the Entity List provides notice to the public that certain foreign parties are prohibited from receiving some or all items subject to the EAR unless the exporter secures a license. Those persons present a greater risk of diversion to weapons of mass destruction (WMD) programs, terrorism, or other activities contrary to U.S. national security or foreign policy interests. Persons listed on the Unverified List are likewise ineligible to receive items subject to the EAR by means of a license exception. Such persons must also sign an end-use statement consenting to an end-use check before receiving any items not subject to a license requirement. In FY 2014, BIS added 29 persons in China, Hong Kong, Russia, and the United Arab Emirates (UAE) to the Unverified List.

BIS completed a significant number of additional preventive enforcement actions in FY 2014, including the issuance of 272 warning letters, 281 detentions, and 149 seizures. Two Temporary Denial Orders, three Temporary Denial Order renewals, and one Temporary Denial Order modification were also completed involving a total of 23 denied parties. 16 Denial Orders were issued under Section 11(h) of the EAA (which authorizes denial of export privileges of parties convicted under certain Federal statutes), and 1,361 outreach contacts were made with industry.

Antiboycott Activities

During FY 2014, four companies agreed to pay civil penalties totaling \$79,150 to settle allegations that they violated the antiboycott provisions of the EAR, as compared to eight companies that agreed to pay civil penalties totaling \$408,705 in FY 2013.

In FY 2014, through the Office of Antiboycott Compliance (OAC), BIS responded to 1,364 requests from companies for guidance on compliance with the antiboycott provisions of the EAR. BIS continued to reach out to exporters, manufacturers, freight forwarders, bankers, and attorneys involved in international trade, and to provide extensive counseling to individual companies with boycott-specific problems.

OAC provided export counseling to several U.S. firms seeking to remove boycott-related language from tenders originating in the UAE, Saudi Arabia, and Qatar. OAC also continued to work with the U.S. Embassy in Baghdad to assist U.S. firms seeking to register their patents in Iraq and to remove boycott-related language from government procurement tenders.

The U.S. has long opposed the Arab League boycott of Israel. The antiboycott provisions that currently appear in the Export Administration Act of 1979 were adopted to encourage or require U.S. firms to refuse to participate in foreign boycotts that the U.S. does not sanction. During FY 2014, officials from the Departments of State, Commerce, and the Treasury, and from the Office of the U.S. Trade Representative, approached individual member governments in advance of Arab League meetings, regional summits and conferences, and as individual opportunities arose, to underline U.S. opposition to the

Arab League boycott of Israel, and to encourage Arab League members to improve their commercial and diplomatic ties with Israel. This message resonates with many Arab League members because they recognize that the Arab League boycott serves as a barrier to participating in the global economy, to attracting foreign investment, and to expanding trade in the region. They also recognize that the boycott has not stifled Israel's growing economy. As a result, several Arab League members have diminished enforcement of what they consider to be the secondary and tertiary aspects of the boycott. In addition, U.S. Embassies throughout the Middle East and North Africa continue to highlight and brief host governments regarding incidents of boycott-related requests made by local companies and government agencies in contracts and commercial documents sent to U.S. firms.

U.S. companies and their subsidiaries have encountered a significant number of boycott-related requests in recent years. Data compiled by OAC indicate prohibited requests received by U.S. firms from Iraq have increased from nine in FY 2008 to 69 in FY 2014. Nearly all of the prohibited requests reported to OAC in FY 2014 were contained in either invitations to bid from the Iraqi Ministry of Health (MOH) (requesting information about a firm's business relationship with Israel) or a boycott questionnaire given to U.S. companies from the Iraqi Patent Office as part of the patent application process. In February 2014, the Iraqi government agreed that bidders on MOH tenders would no longer need to certify compliance with the Arab League boycott of Israel. An OAC representative attended the inaugural meeting of the United States-Iraq Council on Trade and Investment (TIFA Council) in Washington, DC in March 2014. The TIFA Council, established under the

U.S.-Iraq Trade and Investment Framework Agreement (TIFA), focuses on ways to affirm both governments' commitment to increasing bilateral trade and investment. Toward this objective, both governments agreed to ensure that U.S. companies can participate in Iraqi government procurement tenders by reducing unnecessary documentation requirements, thereby reinforcing the Iraqi government's February 2014 commitment.

For additional information related to significant BIS enforcement activities, see Appendices C and D.

Industry Outreach Activities

Seminars and Conferences

BIS's export outreach and educational offerings constitute the first line in BIS's contact with U.S. exporters and provide guidance and transparency to new and experienced exporters regarding the EAR. BIS counseling operations have been instrumental in assisting the exporting community in understanding and complying with critical national security and foreign policy-based regulations. Each year, counselors in the BIS Office of Exporter Services' (OExS) Outreach and Educational Services Division and Western Regional Office provide regulatory, policy and process guidance to tens of thousands of exporters, forwarders, universities and individuals, enabling them to meet their obligations under the EAR.

In FY 2014, BIS added new content to its outreach and education in furtherance of the Export Control Reform Initiative and related regulatory developments. The regulated community was asked to comment on proposed regulations relating to Export Control Reform. BIS continued a series of

outreach activities designed to educate industry on these proposed regulations. BIS's activities included webinars, teleconferences, and on-location panel sessions at various conferences. For example, Assistant Secretary Wolf spoke weekly via teleconference with industry representatives on the Export Control Reform rules, which govern how items previously on the U.S. Munitions List are controlled on the Commerce Control List. These weekly teleconferences allowed BIS to address specific questions from the business community. These calls both educated the regulated community on the reform rules, and helped elicit useful stakeholder feedback.

One-on-one counseling assistance is provided on both coasts for extended periods of operation each day. In addition, counselors conduct dozens of highly regarded and cost-effective seminars throughout the United States in the high technology communities most affected by these regulations. Over the past few years, BIS has developed additional capabilities to offer training online. These services have been particularly useful for small and medium-sized businesses that operate with more limited compliance resources.

In FY 2014, BIS reached 16,860 stakeholders through 180 different types of events, including 2,952 people who attended 33 domestic export control seminars conducted in 11 states and the District of Columbia. These seminars provided guidance to new and experienced exporters regarding the EAR, changes in export policy, and licensing procedures, as well as encryption and technical data issues. Over ninety percent of attendees rated the seminars either "good" or "excellent" in FY 2014. BIS also participated as a speaker or with organized information booths at

several dozen additional events hosted by other organizations.

BIS held its 27th annual Update Conference on Export Controls and Policy between July 29, 2014 and July 31, 2014 in Washington, D.C. The conference attracted over 1,100 participants. Under Secretary of Commerce for Industry and Security Eric L. Hirschhorn and Assistant Secretary of Commerce for Export Administration Kevin J. Wolf provided updates on the progress of the Export Control Reform Initiative. Assistant Secretary of Commerce for Export Enforcement David Mills provided an update on Export Enforcement, highlighting trends and several recent enforcement actions taken by BIS. Assistant Secretary Wolf again offered an open forum session that permitted participants to interact on issues relating to U.S. Munitions List (USML) and Commerce Control List (CCL) changes, industry advisory committee perspectives, and export controls and services for small and medium size enterprises. Update 2014 Conference information, including speeches, videos and presentations, is available on the BIS website.

BIS also holds an annual Export Control Forum in California. This past year it was held on February 24-25, 2014 and attracted approximately 200 attendees, many of whom were from technology firms.

BIS provides an introductory series of easy-to-use training modules. Six of those modules mirror content provided in the "Complying with U.S. Export Controls" seminars that BIS offers around the United States. This service offers exporters and reexporters – particularly small and medium-sized enterprises – a cost-saving mechanism to learn about U.S. export controls.

BIS developed new on-site training programs to assist companies whose products were moved from the State Department's International Traffic in Arms Regulations to the Commerce Department's Export Administration Regulations. These seminars featured regulatory and technical experts from BIS and were offered throughout the United States to help firms get up to speed quickly on the new regulations. OExS conducted four of these seminars in three states, reaching 360 people. OExS also collaborated with the Department of State to participate in a conference featuring subject matter experts from both departments; this conference was attended by 200 people.

BIS supports the interagency Trade Promotion Coordinating Committee (TPCC) as part of the TPCC's U.S. Export Pavilion and Trade Officer Training Conference. It also participates on its own in a number of trade related events. In FY 2014, BIS participated in three TPCC events and three other major trade shows, including PITTCON, the Association of Small Business Development Centers (ASBDC), the American Association of Clinical Chemistry (AACC), the National Customs Brokers & Forwarders Association of America (NCBFAA), and the American Association of Exporters and Importers (AAEI).

BIS continued to support the Census Bureau's coordinated Automated Export System (AES) compliance seminars. In FY 2014, BIS presented in 12 U.S. cities on how to properly determine licensing requirements and report export control requirements in the AES. In addition, BIS prepared exporters and forwarders for the changes in AES to accommodate Export Control Reform.

BIS provided outreach training to more than 200 outbound officers with U.S. Customs and Border Protection in four regional ports through which the majority of munitions exports flow. In addition, BIS videotaped a "live" version of the training for CBP to make available on their website. This ensured that Customs officers understood the Export Control Reform regulatory changes impacting controlled items in order to facilitate legitimate exports and disrupt unauthorized exports.

In addition, BIS continued to focus on the enforcement aspects of expanded outreach and deemed export compliance involving individuals and companies that had not previously submitted applications for actual or deemed export licenses. In FY 2014, BIS's Office of Export Enforcement conducted more than 645 enforcement outreach visits to such individuals and companies within the export community. BIS also initiated 32 leads and cases involving allegations of deemed export licensing violations.

Project Guardian

BIS maintains a constructive and cooperative relationship with the business community through outreach programs sponsored by BIS's Export Enforcement arm. BIS's Project Guardian focuses on specific goods and technologies that illicit proliferation networks actively seek to acquire. BIS contacts U.S. manufacturers and exporters of these goods and technologies to apprise them of these acquisition threats and to solicit cooperation in identifying and responding to suspicious purchase requests. In FY 2014, BIS initiated 206 Project Guardian leads and conducted 103 Project Guardian outreach contacts.

Counseling

BIS received more than 37,718 phone and email inquiries through its counseling programs at BIS's Outreach and Educational Services Division in Washington, DC, and at the Western Regional Office in California. Through these programs, BIS provides guidance on regulations, policies, and practices and helps to increase compliance with U.S. export control regulations.

International Cooperation

BIS participated in the G-7 contact sanctions group meetings on Russia sanctions. These meetings resulted in comparable U.S. and European Union sanctions on Russia.

BIS staff participated in bilateral discussions with Singapore, Hong Kong, and the United Arab Emirates. BIS posted guidance on its website advising U.S. exporters about trade control requirements in these jurisdictions to promote compliance and facilitate secure exports of U.S.-origin items to these destinations.

BIS also briefed management and procurement officials from the United Nations Development Program about U.S. export control requirements for sanctioned and embargoed countries.

BIS continued to support the Department of State's Export Control and Border Security (EXBS) program by providing technical expertise for 14 EXBS funded events in 20 countries.

International Regimes and Treaty Compliance

BIS plays an important role in the U.S. Government's efforts to develop and refine the control lists and operational guidelines

for the four major multilateral export control regimes: the Australia Group (chemical and biological weapons), the Missile Technology Control Regime, the Nuclear Suppliers Group, and the Wassenaar Arrangement (conventional arms and related items).

Australia Group

The Australia Group (AG), a multilateral export control regime, was formed in 1985 to help stem the proliferation of chemical and biological weapons through harmonized export controls. The AG now includes 41 countries and the European Union.

The AG meets annually and communicates between meetings to review and refine the list of controlled chemicals, biological agents, and related equipment and technology. The 2013 Intersessional Implementation Meeting was held from November 18-22, in Budapest, Hungary. The 2014 Plenary Meeting was held from June 2-6 in Paris, France. BIS published a final rule amending the Export Administration Regulations (EAR) to implement the understandings reached at the 2013 Intersessional meeting and the 2014 Plenary meetings. These regulatory changes are described in Appendix A of this report.

In FY 2014, BIS approved 4,332 license applications valued at \$2.0 billion for the export or reexport of items controlled by the AG. BIS denied 4 license applications valued at \$152,000, and returned without action 365 license applications valued at \$240 million.

Missile Technology Control Regime

The United States is a member of the Missile Technology Control Regime (MTCR), a multilateral export control

regime established in 1987. The MTCR currently includes 34 member countries that have agreed to coordinate their national export controls to prevent missile proliferation.

The annual Plenary of the MTCR was held October 14-18, 2013 in Rome, Italy, where MTCR Partner countries continued to discuss the wide range of missile nonproliferation issues, and expressed concern with developments in ongoing missile programs in regions of tension. The Partners also discussed the importance of using all of the tools in the nonproliferation toolkit to inhibit missile proliferation; noted the importance of placing greater focus on intangible technology transfer (ITT) issues; as well as brokering, transit, and transshipment; and agreed to conduct further outreach activities in order to fulfill the Regime's objectives. An Information Exchange (IE) and a Licensing and Enforcement Experts Meeting (LEEM) were also held in conjunction with the Plenary.

Two Technical Experts Meetings (TEM) were held in fiscal year 2014, one in conjunction with the Rome Plenary and one intersessionally in April 2014 in Prague, Czech Republic, to discuss changes to the MTCR Equipment, Software, and Technology Annex. The proposed changes to the MTCR Annex were adopted by the Plenary following the Rome TEM and intersessionally on June 27, 2014, following the Prague TEM. Changes to the MTCR Annex that will necessitate modifications to the EAR include an update to the reference to the standard for aluminum powder, and removing the 8-bit quantization requirement for analog to digital converters usable in missiles and unmanned aerial vehicles.

In FY 2014, BIS approved 400 applications, valued at \$848 million, for the export or

reexport of missile technology-controlled items. In addition, BIS denied seven applications valued at \$5.6 million and returned without action 51 applications valued at \$151 million.

Nuclear Suppliers Group

The Nuclear Suppliers Group (NSG) is a multilateral export control regime that was formally established in 1992 and now includes 48 members. The regime seeks to impede the proliferation of nuclear weapons through the implementation of guidelines for the control of nuclear and nuclear-related exports. Members pursue the aims of the NSG through voluntary adherence to the NSG Guidelines, which are adopted either by consensus or through exchanges of information on developments of nuclear proliferation concern.

The 2nd NSG Outreach Meeting, 1st Technical Experts Group (TEG) Meeting, and 33rd Consultative Group Meeting were held in Vienna, Austria the week of April 7-11, 2014. Technical proposals and papers discussed at the TEG included changes to the controls on dual use machine tools, centrifugal multiplane balancing machines, the General Software Note, induction furnace power supplies, neutron detectors, nuclear reactor controls, and nuclear graphite. The 2nd Information Exchange Meeting (IEM) Outreach Seminar was held April 7 - 8, 2014, and was chaired by the Lawrence Livermore National Laboratory. The IEM Seminar featured presentations by NSG Participating Governments (PG) on national export control systems; licensing dual use goods and end use controls; challenges in export control licensing and enforcement; brokering, fast parcel operators and proliferators' procurement strategies; regulator and licensing authority outreach to industry; and industry best

practices. The IEM also featured presentations by outreach partners India and Pakistan on their respective compliance with NSG Guidelines and on their national nuclear, dual-use, and WMD-related strategic commodity export controls and licensing.

The 2014 NSG Plenary Meeting, 34th Consultative Group (CG) Meeting, the Licensing and Enforcement Experts Meeting (LEEM), and the Information Exchange Meeting (IEM) were held in Buenos Aires, Argentina, from June 23 to 27, 2014. The Plenary endorsed 11 recommendations put forward by the CG Chair. Vigorous discussions took place in the CG and the Plenary on the issue of non-compliance with NSG Transparency and Confidentiality Guidelines. A number of PGs made interventions in favor of India's membership. The United States and others reiterated the request made at the 2013 Plenary for additional information on China's planned exports to Pakistan in support of the Chasma 3&4 and Kanupp 2&3 reactors. A number of PGs made interventions on reported Iranian noncompliance with the Treaty on the Non-Proliferation of Nuclear Weapons (NPT) and called on the Democratic People's Republic of Korea to halt development of its production facilities and return to full compliance with the NPT.

In FY 2014, BIS approved 3,849 applications, valued at \$1.07 billion, for the export or reexport of items controlled for nuclear nonproliferation reasons. In addition, BIS rejected 46 applications valued at \$11.5 million and returned without action 648 applications valued at \$236.5 million.

Wassenaar Arrangement

The Wassenaar Arrangement (Wassenaar) is a multilateral arrangement addressing export controls on conventional arms and sensitive dual use goods and technologies.

Wassenaar was founded in 1996 to replace the East-West technology control program under the Coordinating Committee (COCOM) regime that ended in 1994.

There are currently 41 countries participating in Wassenaar.

Members are required to report approvals, transfers, and denials of certain items controlled under the Wassenaar Arrangement. Reporting denials helps to bring to the attention of member countries attempts to obtain strategic items that may undermine the objectives of Wassenaar.

Wassenaar has continued to keep pace with advances in technology and market trends. It has continued its efforts to contribute to international and regional security and stability by promoting transparency and greater responsibility in the transfer of conventional arms and dual use goods and technologies, thus preventing destabilizing accumulations of such goods and technologies. Wassenaar members have agreed to make further use of the Regional Views exercise, implementing a rotating focus on geographic regions. They also agreed to conduct further work on addressing new challenges, including emerging technologies of concern.

Wassenaar members continued to work actively to make the existing control lists more readily understood and user-friendly for licensing authorities and exporters, and to ensure the detection and denial of undesirable exports. Export controls were strengthened in a number of areas including electronics, lasers and auxiliary power units for aircraft. In addition, certain relaxations

and clarifications were introduced for inertial measurement systems, software for digital computers and non-fluorinated polymeric substances. Wassenaar members also continued to conduct a comprehensive and systematic review of the Wassenaar Lists to ensure their continued relevance. Significant efforts have also been undertaken to promote the Wassenaar Arrangement and to encourage voluntary adherence to Wassenaar's standards by non-Participating States.

Wassenaar continues to undertake outreach in support of its aims and objectives, in particular through post-Plenary briefings, interaction with industry, and bilateral dialogue with non-Participating States. For instance, members held a technical briefing on recent changes to the Wassenaar control lists for a number of non-Participating States.

Treaty Compliance

BIS serves as the lead agency for ensuring U.S. industry compliance with the Chemical Weapons Convention (CWC), also serves as a lead agency for implementation of the Additional Protocol (AP), and participates in activities to strengthen international implementation of the Biological Weapons Convention (BWC).

Chemical Weapons Convention

The United States ratified the Convention on the Prohibition of the Development, Production, Stockpiling, and Use of Chemical Weapons and their Destruction (the Chemical Weapons Convention, or CWC) on April 25, 1997. There are now 192 States Parties to the CWC with the recent accession of Somalia and Syria. The CWC provides for an extensive verification regime to ensure CWC States Parties

adherence to its terms. BIS works actively with the Department of State, other CWC States Parties and the Technical Secretariat (TS) of the Organization for the Prohibition of Chemical Weapons (OPCW) to ensure that all 192 States Parties to the CWC are implementing the CWC's provisions in a rigorous, analytically sound, and equitable manner.

The CWC requires many commercial chemical facilities to submit compliance data in the form of declarations which include chemical production, processing, consumption, and import/export activities, and requires chemical traders to also submit reports on exports and imports of Scheduled chemicals. BIS collects and aggregates this information, and then submits it to the U.S. National Authority (Department of State) to transmit to the Technical Secretariat of the OPCW (TS/OPCW), which is the international organization charged with implementing the CWC.

During FY 2014, BIS collected 739 declarations and reports from 540 facilities and trading companies. BIS managed the inspections at 16 chemical facilities that were selected for inspection by the TS/OPCW, and successfully demonstrated United States compliance with the CWC, protected the facilities' confidential business information and other trade secrets, and minimized the imposed burden.

BIS assisted a U.S. company that was contracted to destroy precursor chemicals from the Syrian chemical weapons program. This included working with the U.S. port of debarkation to prepare for TS/OPCW verification activities on arrival, destruction of the chemicals, and undertaking two subsequent inspections relating to this ongoing activity in FY 2014. Additionally, at the request of one U.S. chemical facility,

BIS conducted a site assistance visit to prepare it for the anticipated CWC-mandated inspection within the year.

BIS also gathered requisite data and prepared congressionally-mandated reports on the implementation of the CWC, including: (1) an annual report on the cost of inspections to both industry and the government; and (2) an annual certification regarding the impact of the treaty on availability of Schedule 1 chemicals to industry.

BIS attended international meetings with States Parties and directly supported the permanent U.S. Delegation to the OPCW (in The Hague, Netherlands) by providing advisors from Washington during meetings of the Executive Council, the Conference of States Parties, and other meetings of the policy-making and technical organs of the OPCW.

U.S. Additional Protocol to the U.S.-International Atomic Energy Agency (IAEA) Safeguards Agreement

The Additional Protocol is a bilateral treaty that supplements and amends verification arrangements under the existing “Agreement between the United States of America and the International Atomic Energy Agency for the Application of Safeguards in the United States” of November 18, 1977 (U.S.-IAEA Safeguards Agreement). The Additional Protocol requires the United States to provide the IAEA with information on certain civil nuclear and nuclear-related items, materials, and activities not currently covered by the Safeguards Agreement.

The Additional Protocol entered into force for the United States on January 6, 2009. Under Executive Order 13458, BIS is the lead agency for all subject commercial

activities and locations not licensed by the Nuclear Regulatory Commission (NRC) or an NRC Agreement State, and not located at certain other government sites. BIS administers the compliance program involving private sector nuclear fuel cycle activities that are not subject to the jurisdiction of the NRC. BIS receives declarations from industry, academia, the NRC and the Department of Energy, to assemble the U.S. national declaration and other reports to the IAEA.

The Additional Protocol declaration for 2014 was submitted to the IAEA on May 15, 2014. This declaration contained 289 changes and new activities. BIS also submitted three of the quarterly reports for the export of nuclear equipment. There were 33 exports in the first quarter, 58 exports in the second quarter, and 36 exports in the third quarter. The data on exports during the fourth quarter were not available prior to this reporting.

Biological Weapons Convention

The Biological Weapons Convention (BWC) prohibits developing, producing, stockpiling, or otherwise acquiring or retaining biological agents or toxins for non-peaceful purposes. The BWC entered into force in 1975. Efforts to develop a verification regime for the BWC failed, in part due to the inability to develop a modality that could appropriately distinguish between peaceful and non-peaceful purposes. In FY 2014, BIS actively supported U.S. Government efforts, in accordance with the *National Strategy for Countering Biological Threats*, to improve the confidence in States Parties’ compliance with the BWC. BIS prepared for and participated in the annual Meeting of Experts, in Geneva, Switzerland (August 4 – 8, 2014), including submitting a paper on

the essentials of export controls. BIS continued to bring the U.S. industry's perspective into discussions on the full range of issues pertinent to the BWC through consultations with its Materials Technical Advisory Committee and various trade and professional associations.

Short Supply Controls

BIS implements short supply controls on western red cedar, as required by section 7(i) of the EAA, and specified other timber as required by the Forest Resources Conservation and Shortage Relief Act, as amended. BIS also controls the export of crude oil pursuant to the Energy Policy and Conservation Act, the Mineral Leasing Act, the Naval Petroleum Reserves Production Act, and the Outer Continental Shelf Lands Act.

U.S. Defense Industrial and Technological Base Programs

BIS's mission includes supporting continued U.S. technology leadership in industries that are essential to U.S. national security. Activities in this regard include:

Administering the Defense Priorities and Allocations System

BIS's administration of the Defense Priorities and Allocations System (DPAS) continues to play an important role in supporting the deployment of U.S. and allied forces abroad, meeting critical national defense and homeland security requirements, and facilitating recovery from natural disasters. The U.S. Government places DPAS priority ratings on approximately 300,000 contracts and orders annually to support national defense requirements.

In FY 2014, BIS published proposed and final rules to amend the DPAS regulation. The final rule clarifies existing standards and procedures by which BIS may require that certain contracts or orders that promote the national defense be given priority over other contracts or orders. The final rule also sets new standards and procedures for such prioritization with respect to contracts and orders for emergency preparedness activities. Finally, the final rule sets new standards and procedures by which BIS may allocate materials, services, and facilities to promote the national defense. The final rule implements provisions in the Defense Production Act Reauthorization of 2009 regarding publication of regulations providing standards and procedures for prioritization of contracts and orders to promote the national defense under emergency and non-emergency conditions. In FY 2014, in cooperation with the Department of Homeland Security, BIS also provided DPAS guidance in support of interagency emergency preparedness activities.

In FY 2014, BIS also worked with relevant Federal agencies and the Congress to secure a five-year reauthorization of the non-permanent provisions of the Defense Production Act of 1950 (DPA), the statutory authority for the DPAS. The President signed the five-year reauthorization into law on September 26, 2014.

Committee on Foreign Investment in the United States

BIS participates in the Committee on Foreign Investment in the United States (CFIUS) by evaluating export control equities in transactions that could result in foreign control of a U.S. business. In FY 2014, BIS worked closely with the Department of Commerce's International

Trade Administration (ITA) and interagency CFIUS partners to review 152 CFIUS filings to determine the effects of those transactions on the national security of the United States. The filings are reviewed pursuant to the Foreign Investment and National Security Act of 2007 regulations published by the Department of the Treasury.

Monitoring the Strength of the U.S. Defense Industrial and Technological Base

In FY 2014, BIS completed two assessments:

U.S. Space Industrial Supply Chain: The principal goal of this assessment was to gain an understanding of the intricate supply chain network supporting the development, production, and sustainment of products and services across the defense, intelligence, civil, and commercial space sectors. In February 2014, BIS completed a short report assessing the impact of export controls on exporters in the Space Industry. This report provided a profile of the 995 respondents, including the products/services they provide, U.S. Government agencies and programs they support, and their non-U.S. based customers. In addition, the report discussed the potential impacts and enhanced sales opportunities that could arise due to upcoming space-related Export Control Reform implementation.

In September 2014, BIS completed another short report assessing employment in the U.S. Space Industrial Base. This report examined general employment statistics and trends of the 3,800 survey respondents including respondents that are dependent on current U.S. Government space programs for their continued viability. These employment trends and statistics included engineers, scientists, and R&D staff who

play a vital role in the U.S. space industrial base. An examination of unfilled vacancies and hiring issues for skilled workers affecting all levels of the supply chain is included as well as a discussion of unique skills and competencies in the U.S. space industrial base.

An additional published mini report on Small Businesses in the U.S. Space Industrial Base will be forthcoming.

BIS also completed the Cost-Metric Assessment of Diminishing Manufacturing Sources and Material Shortages in June 2014. This assessment assembled information from government agencies and industry to provide a common understanding of costs associated with addressing Diminishing Manufacturing Sources and Material Shortages (DMSMS). The survey collected unique data to validate the standardized solution categories utilized and to determine the cost of solutions for solving specific DMSMS problems across the Department of Defense for a variety of weapon systems. This study was done in cooperation with the Department of Defense DMSMS Working Group, which is updating the DMSMS Guidebook SD-22 used by the Armed Services and industry.

BIS also continued work on the Strategic and Critical Materials Supply Chain Assessment. This assessment will examine the condition of the industrial supply chains for titanium, magnesium, rare earth materials, and carbon fiber composites. The goal of the assessment, which is performed in partnership with the Defense Logistics Agency, is to understand the health and competitiveness of material suppliers and to identify potential problems in the supply base.

BIS initiated the Industrial Capabilities Assessment in FY 2014. This assessment is being performed in cooperation with the Department of Defense. This effort will focus on U.S. Government contractors and facilities that design, manufacture, test, and evaluate various defense and high-technology products and their components. Approximately 13,000 facilities will be surveyed over three years.

BIS also completed its eighteenth congressionally mandated report on the impact of offsets in defense trade. The report was transmitted to Congress on December 18, 2013.

In FY 2014, BIS reviewed 81 proposed transfers of excess defense equipment to foreign governments through the Department of Defense's Excess Defense Articles program and provided the Department of Defense with determinations whether these transfers would interfere with the ongoing sales or marketing activities of U.S. industry. BIS also reviewed 107 proposed international armament cooperative agreements and provided the Department of Defense with comments on these agreements' commercial implications and potential effects on the international competitive position of the U.S. defense industrial and technological base.

During FY 2014, BIS continued to co-chair the interagency National Defense Stockpile Market Impact Committee (MIC) with the Department of State's Bureau of Energy Resources. The MIC advises the Defense Logistics Agency regarding proposed plans to sell portions of the material in the stockpile and proposed plans to acquire new material. The advice relates to avoiding undue market disruptions during the sale or acquisition of such materials.

Supporting the U.S. Defense Industry's International Competitiveness

In FY 2014, BIS continued to administer the Department of Commerce's North Atlantic Treaty Organization (NATO) Security Investment Program (NSIP), a certification requirement for U.S. companies interested in competing to supply goods and services in NSIP-funded procurements.

During FY 2014, BIS vetted and approved 254 U.S. firms that were interested in participating in NATO procurement competitions.

Appendix A: Regulatory Changes in Fiscal Year 2014

BIS published 39 notices, rules or other items in the *Federal Register* during FY 2014, including the following:

Export Control Reform (ECR)

On January 2, 2014, BIS published a final rule adding to the Commerce Control List launch vehicles, missiles, rockets, and military explosive devices that the President determines no longer warrant control on the United States Munitions List.

On May 13, 2014, BIS published a final rule adding to the Commerce Control List spacecraft systems and related items that the President determines no longer warrant control on the United States Munitions List.

On July 1, 2014, BIS published a final rule adding to the Commerce Control List military electronics that the President determines no longer warrant control on the United States Munitions List. The same day, BIS published a Notice of Inquiry soliciting public comment on civil uses of certain microwave monolithic integrated circuit (MMIC) power amplifiers, discrete microwave transistors, and bi-static and multi-static radar.

Commerce Control List Clarification

On October 4, 2013, BIS published a rule proposing changes to make the Commerce Control List clearer.

Defense Priorities and Allocation System

On August 14, 2014, BIS published a final rule clarifying existing standards and procedures by which BIS may require that certain contracts or orders that promote the

national defense be given priority over other contracts or orders. The rule also sets new standards and procedures for such prioritization with respect to contracts and orders for emergency preparedness activities.

Entity List

In FY 2014, BIS implemented the decisions of the End-User Review Committee (the interagency group that administers the Entity List) and published ten Entity List-related rules, not including Russian sanctions rules. The majority of persons were added on the basis that they were engaging in activities contrary to U.S. national security or foreign policy interests. Additionally, four rules removed persons from the Entity List. Finally, two rules clarified existing entries on the Entity List.

Country Policy

BIS published five rules implementing sanctions on Russia. On April 16, BIS added one person under two entries to the Entity List. On May 1, BIS added another 13 persons under 14 entries to the Entity List. On July 22, BIS added 11 persons under 12 entries to the Entity List. On August 6, 2014, BIS published a rule implementing sanctions on the Russian energy sector and adding a Russian entity to the Entity List. On September 17, 2014, BIS published a rule adding 10 more Russian entities to the Entity List and adding restrictions on certain military end uses and end users.

Wassenaar Arrangement

On August 4, 2014, BIS published a rule amending the Commerce Control List to implement the agreements reached at the December 2013 plenary meeting of the

Wassenaar Arrangement on Export Controls for Conventional Arms and Dual Use Goods and Technologies. This rule revised control list entries in many CCL categories.

Chemical and Biological Weapons

On March 26, 2014, BIS implemented changes to the Commerce Control List resulting from the 2013 Australia Group plenary meeting and December 2012 intersessional decisions and added Somalia and Syria to the list of States Parties to the Chemical Weapons Convention.

Missile Technology Control Regime

On May 27, 2014, BIS implemented changes to the Commerce Control List based on the 2013 Missile Technology Control Regime plenary agreements.

Nuclear Suppliers Group (NSG)

On August 7, 2014, BIS published a final rule amending the Commerce Control List to implement understandings reached at the 2005, 2012, and 2013 plenary meetings and a 2009 intersessional decision, and adding to the list of NSG participating countries.

Validated End-Users

In FY 2014, BIS implemented the decisions of the End-User Review Committee (the interagency group that administers the Validated End-User Program) and published two rules modifying the list of Validated End-Users in the People's Republic of China and India.

Retrospective Regulatory Review

On April 9, 2014, BIS published a rule proposing revisions to support documentation requirements.

Routed Transactions

On February 6, 2014, BIS published a rule proposing revisions to clarify the responsibilities of parties involved in what are commonly referred to as routed transactions.

Unverified List (UVL)

On December 19, 2013, BIS published a final rule amending the EAR by imposing restrictions on exports, reexports, and transfers involving persons listed on the UVL. These restrictions, including the suspension of license exceptions, enhance U.S. government insight into transactions involving listed persons and support BIS's ability to conduct end-use checks. The rule took effect on January 21, 2014. On June 16, 2014, BIS added 29 persons in China, Hong Kong, Russia, and the United Arab Emirates to the UVL. The suitability and reliability of these persons as parties to transactions subject to the EAR could not be verified through the successful conduct of end-use checks.

Appendix B: Bureau of Industry and Security Administrative Information

Performance Based Programs

BIS has continued to develop performance-based budgets based on OMB guidance. BIS budget submissions continue to be directly tied to the Bureau's performance goals and measures, and BIS will continue to develop performance-based budgets that display the cost of achieving its performance goals. Budget requests are integrated with performance goals and describe the anticipated effects of resource requirements on performance. BIS contributes to three of the Department's five Strategic Goals and Objectives as follows:

1. Trade and Investment - Increasing U.S. exports by broadening and deepening the U.S. exporter base;
2. Data - Improving data based services, decision-making, and data sharing within the Department and with other parts of the Federal government; and
3. Operational Excellence - Strengthening organizational capabilities to drive customer-focused, outcomes-driven mission performance.

The Export Control Reform Initiative combines the efforts of the Commerce USXPORTS Exporter Support System (CUESS) program and a collaborative effort with the Department of Defense to expand the role of USXPORTS to include BIS's licensing process. This effort has initiated multiple projects to support the building and expansion of the BIS mission critical technology platform and orderly retirement of the Export Control Automated Support System (ECASS) mainframe. As

part of this effort, several subprojects are either completed or under way:

1. Simplified Network Application Process Redesign (SNAP-R) enhancements to support submission of Independent Validated License (IVL);
2. Enhancement of entity screening in the Investigative Management System Redesign (IMS-R) application;
3. Establishment of a technology platform to support various self-managed business applications such as the Committee on Foreign Investment in the United States (CFIUS), Offsets, Defense Priorities and Allocations System (DPAS), and Consolidated List;
4. Enhancement of electronic license determination requests in the Investigative Management System Redesign (IMS-R) application and the Commerce USXPORTS Exporter Support System (CUESS) to include requests from external agencies; and
5. Implementation of SIPRNet for the headquarters office and the BIS field offices.

The fully deployed collaborative system will provide BIS business users with a modernized export licensing system while protecting mission critical export control system applications and data from foreign intrusions.

Cooperation with Auditing Agencies and Responses to Requests from the Public and the Courts

BIS program controls are sound and recommendations resulting from the Government Accountability Office (GAO) and the Department of Commerce's Office

of Inspector General (OIG) are being addressed. BIS continues to work with GAO and OIG on their studies of BIS programs and control systems, as well as to address audit findings and recommendations. During FY 2014, we submitted periodic reports to the Office of the CFO and Assistant Secretary for Administration on the status of BIS corrective actions of all open GAO and OIG recommendations. BIS management also monitored the progress of corrective actions on the basis of these reports.

Five GAO studies and one OIG study addressing BIS programs and activities were completed in FY 2014. These studies were:

- 1) Countering Overseas Threats: GAO 14-161
- 2) Sequestration: GAO 14-244
- 3) Reexamining Regulations (Retrospective Regulatory Review): GAO 14-268

4) NASA's Export Control Program: GAO 14-315

5) Federal Software Licenses: GAO 14-413

6) BIS Implementation of Export Control Reforms: OIG-14-028-A

At the end of the fiscal year, one GAO study and one OIG study addressing BIS programs and activities are pending final report:

GAO: Critical Technology Protection Programs (Job Code 121225)

OIG: Continuous Monitoring Strategy and Practices

Appendix C: Summaries and Tables of Closed Export Enforcement Cases

Table 1
Criminal Convictions During Fiscal Year 2014¹

<i>Sentencing Date</i>	<i>Defendant</i>	<i>Criminal Charges</i>	<i>Criminal Sanctions</i>	<i>Case Details</i>
11/13/13	Ronulo Reclusado	One count of conspiracy to violate the International Emergency Economic Powers Act and the Arms Export Control Act in violation of 18 USC 371	60 months in prison; three years of supervised release; and a \$7,500 criminal fine	Export of riflescopes and defense articles to the Philippines
11/15/13	Hamid Reza Hashemi	One count of conspiracy to violate the International Emergency Economic Powers Act in violation of 50 USC 1705 and two counts of violating the International Emergency Economic Powers Act in violation of 18 USC 2 and 50 USC 1705	46 months in prison and one year of supervised release	Export of carbon fiber to Iran
11/15/13	Amir Abbas Tamimi	One count of conspiracy to violate the International Emergency Economic Powers Act in violation of 50 USC 1705	46 months in prison	Export of carbon fiber to Iran
11/26/13	Peter Gromacki	One count of conspiracy to violate the International Emergency Economic Powers Act in violation of 18 USC 371; one count of violating the International Emergency Economic Powers Act in violation of 18 USC 2 and 50 USC 1705; and one count of making false statements in violation of 18 USC 981	Three months in prison; three years of probation; and a \$5,000 criminal fine	Export of carbon fiber to Iran
12/10/13	Mohamad Tabibi	One count of conspiracy to violate the Arms Export Control Act, the International Emergency Economic Powers Act and to defraud the United States in violation of 18 USC 371 and one count of violating the Arms Export Control Act in violation of 22 USC 2778	38 months in prison and a \$32,000 forfeiture	Export of aircraft parts to Iran via the United Arab Emirates

¹ Four convictions are not included in this chart because the information has been sealed by the court.

12/10/13	Ming Zhang	One count of attempting to violation the International Emergency Economic Powers Act in violation of 50 USC 1702 and 1705	57 months in prison and a \$1,000 forfeiture	Attempted export of carbon fiber to China
12/11/13	Stephen Box	One count of larceny in violation of the Uniform Code of Military Justice (UCMJ) Article 81; one count of military property of the United States loss, damage, destruction or wrongful disposition in violation of UCMJ Article 108; and one count of larceny and wrongful appropriation in violation of UCMJ Article 121	18 months in prison	Theft, sale and export of Crossbow eyeglasses to various countries
12/13/13	Mehdi Khorramshahgol	One count of conspiracy to violate the International Emergency Economic Powers Act and the Iranian Transaction Regulations in violation of 50 USC 1705; three counts of willful violation of the International Emergency Economic Powers Act and the Iranian Transaction Regulations in violation of 50 USC 1705; one count of conspiracy to defraud the United States in violation of 18 USC 371; and one count of aiding and abetting a material false statement in violation of 18 USC 1001 and 18 USC 2	36 months in prison and three years of supervised release	Export of industrial parts to Iran
12/16/13	Farhad Jenabfar	One count of conspiracy to commit an offense against the United States and to defraud the United States in violation of 18 USC 371	28 months in prison and a \$50,704 forfeiture	Conspiracy to export military items and aircraft parts to Iran
01/06/14	John Danley	Two counts of conspiracy to commit larceny in violation of UCMJ Article 81 and one count of larceny and wrongful appropriation in violation of UCMJ Article 121	42 months in prison	Theft, sale and export of Crossbow eyeglasses to various countries
01/06/14	Mark Alexander	One count of conspiracy to export waterjet cutting systems from the United States to Iran in violation of 18 USC 371	18 months in prison and three years of supervised release	Conspiracy to export waterjet cutting systems to Iran

01/17/14	Weatherford Production Optimisation (U.K.) Ltd formerly known as Eproduction Solutions U.K. Ltd	One count of violating the International Emergency Economic Powers Act in violation of 50 USC 1705	\$1,000,000 criminal fine	Export of oil industry equipment to Iran
01/17/14	P.D. Drilling Holdings	One count of violating the Trading with the Enemy Act in violation of 50 USC 5 and 18 USC 2	\$1,000,000 criminal fine	Export of oil industry equipment to Iran
01/17/14	Weatherford Services	One count of violating the Foreign Corrupt Practices Act in violation of 15 USC 78dd and 18 USC 2	\$420,000 criminal fine	Export of oil industry equipment to Iran
01/17/14	Weatherford International Ltd. ²	One count of willfully violating and attempting to violate the Trading with the Enemy Act in violation of 50 USC App. 1-44 and one count of willfully violating and attempting to violate the International Emergency Economic Powers Act in violation of 50 USC 1701-1706	\$48,000,000 deferred prosecution agreement penalty	Export of oil industry equipment to Iran
01/17/14	Weatherford International Ltd. ²	One count of knowing failure to implement internal accounting controls in violation of 15 USC 78	\$87,178,256 deferred prosecution agreement penalty	Export of oil industry equipment to Iran
02/20/14	York Yuan Chang	One count of conspiracy to export controlled technology without a license in violation of 50 U.S.C. 1705 and one count of making false statements in violation of 18 USC 1001	Eight months in prison; three years of supervised release; and a \$50,000 criminal fine	Export of electronics technology to the People's Republic of China
02/20/14	Leping Huang	Five counts of failing to file export information with the government in violation of 13 USC 305	Two years of probation and a \$5,000 criminal fine	Export of electronics technology to the People's Republic of China

² Weatherford International Inc. entered into two Deferred Prosecution Agreements with the Government and accepted responsibility for the charges noted.

02/21/14	Hasan Ibrahim	Nine counts of attempted placement of a destructive substance on an aircraft; one count of transportation of hazardous materials without shipping papers in violation of 49 USC 5124; nine counts of transportation of hazardous materials without labels; one count of failure to file export information in violation of 13 USC 305; and two counts of attempted smuggling of goods in violation of 18 USC 554	30 days in prison and three years of probation	Export of hazardous materials and failure to file export information
02/25/14	Lev Steinberg	One count of prohibited foreign trade practices in violation of 15 USC 78dd and one count of violating the International Emergency Economic Powers Act in violation of 50 USC 1705	One year of probation and a \$4,000 criminal fine	Export of weapons scopes to Russia
03/13/14	General Technologies Systems Integration (GTSI)	One count of subscription to a false tax return in violation of 26 USC 7206	Five years of probation	Export of electronics technology to the People's Republic of China
04/18/14	Sammons Coleman	One count of smuggling goods from the United States in violation of 18 USC 554	24 months in prison and one year of supervised release	Export of rifles, components and parts to Germany and the Philippines
04/30/14	John Alexander Talley	One count of conspiracy to violate the International Emergency Economic Powers Act and the Iranian Transaction Regulations in violation of 18 USC 371	30 months in prison and two years of supervised release	Export of computer equipment to Iran
04/30/14	TalleyHo Peripherals Inc.	One count of conspiracy to violate the International Emergency Economic Powers Act and the Iranian Transaction Regulations in violation of 18 USC 371	One year of probation	Export of computer equipment to Iran
05/27/14	Lisong Ma	One count of attempting to violate the International Emergency Economic Powers Act in violation of 50 USC 1705 and 18 USC 2	46 months in prison	Attempted export of Toray carbon fiber to the People's Republic of China
06/17/14	Janiece Hough	One count of smuggling goods from the United States in violation of 18 USC 554	Six months in prison; eight months of home confinement; three years of supervised release; 100 hours of community service; and a \$198,054 forfeiture	Export of stolen U.S. Government property to Germany, Finland and Japan

07/11/14	Randy Dale Barber	One count of conspiracy to commit mail fraud in violation of 18 USC 371 and 1341	Five years of probation; \$37,921 in restitution (joint and severally with additional defendants); and \$413,106 forfeiture (joint and severally with additional defendants)	Export of computer equipment to Iran
07/11/14	Michael Dragoni	One count of conspiracy to commit mail fraud in violation of 18 USC 371 and 1341	Five years of probation; \$37,921 in restitution (joint and severally with additional defendants); and a \$498,706 forfeiture (joint and severally with additional defendants)	Export of computer equipment to Iran
07/11/14	Fortis Data Systems	One count of conspiracy to commit mail fraud in violation of 18 USC 371 and 1341	Five years of probation; \$37,921 in restitution (joint and severally with additional defendants); and a \$498,706 forfeiture (joint and severally with additional defendants)	Export of computer equipment to Iran
07/11/14	Green Cloud LLC	One count of conspiracy to commit mail fraud in violation of 18 USC 371 and 1341	Five years of probation; \$37,921 in restitution (joint and severally with additional defendants); and a \$498,706 forfeiture (joint and severally with additional defendants)	Export of computer equipment to Iran
07/21/14	Qiang Hu	One count of conspiracy to violate export regulations in violation of 50 USC 1705	34 months in prison	Conspiracy to provide false end user information in support of export licenses
08/06/14	Rukhsana Kadri	One count of submission of false export information in violation of 13 USC 305	Three years of probation; a \$30,000 criminal fine; a \$125,262 forfeiture; and 200 hours of community service	False export information submitted related to the export of electronics equipment to the United Arab Emirates

08/06/14	R&A International Logistics	Ten counts of submission of false export information in violation of 13 USC 305	Two years of probation and a \$100,000 criminal fine	False export information submitted related to the export of electronics equipment to the United Arab Emirates
08/19/14	Samer Mehdi	One count of conspiracy to smuggle goods from the United States in violation of 18 USC 371	One year of probation	Conspiracy to export electronics to Paraguay
09/25/14	Qui Hong Li	One count of conspiracy to commit false export information in violation of 18 USC 371 and one count of unlawful export activities in violation of 13 USC 305	Time served in prison; two years of supervised release and a \$1,000 criminal fine	Export of luxury handbags to an OFAC Specially Designated Narcotics Kingpin

Table 2
Department of Commerce Export Enforcement Administrative Cases During Fiscal Year 2014

Order Date	Respondent	Charges	Sections Violated [Number of Charges]	Result
10/09/13	Aeronet, Inc.	Took an action prohibited by a BIS denial order by forwarding computer motherboards designated as EAR99 and valued at approximately \$130,000 to Mahan Airways, a denied person, in the United Arab Emirates (UAE).	764.2(k) [1]	Settlement Agreement – civil penalty of \$27,000.
10/25/13	GrafTech International Holdings Inc.	Exported CGW grade graphite controlled for missile technology reasons and valued at approximately \$524,000 to the People’s Republic of China and India, without the required licenses. (ECCN 1C107.a)	764.2(a) [12]	Settlement Agreement – civil penalty of \$300,000; shall complete an external audit of its export controls compliance program and the export compliance programs of three foreign subsidiaries, GrafTech France S.N.C., GrafTech S.p.A. (Italy), and GrafTech South Africa (Pty.) Ltd. The audit of GrafTech International will apply to all exports and reexports of items on the Commerce Control List. The audit of the three foreign subsidiaries will apply to all exports and reexports of items subject to the EAR.
11/18/13	Ma Labs, Inc. and IT Express Corporation	Took an action prohibited by a BIS denial order by selling and exporting computer motherboards designated as EAR99 and valued at approximately \$130,000 to Mahan Airways, a denied person, in the UAE.	764.2(k) [1]	Settlement Agreement – civil penalty of \$55,000, for which Ma Labs, Inc. and IT Express Corporation are jointly and severally liable.

12/23/13 (amending and superseding order dated 11/26/13)	Weatherford International Ltd., Weatherford Oil Tool Middle East Ltd., Weatherford Production Optimisation (UK) Ltd., Precision Energy Services ULC, and Precision Energy Services Columbia Ltd.	Knowledge and evasion violations involving exports of various types of essential oil and gas equipment to Iran via the UAE and the United Kingdom, and to Syria via the UAE, as well as exports and reexports of the items to Cuba, including via or from Canada, without the required licenses. Multiple steps taken to conceal ultimate destinations of items and avoid detection. Also exported pulse neutron decay tools controlled on nuclear non-proliferation grounds to Venezuela and Mexico without the required licenses. (EAR99, ECCN 3A231)	764.2(e) [91] 764.2(h) [72] 764.2(a) [11]	Settlement Agreement – civil penalty of \$50,000,000, for which the respondents are jointly and severally liable; conduct external audits regarding exports and reexports to embargoed destinations for three calendar years.
12/06/13	Donald V. Bernardo, a/k/a Don Bernardo	Underlying criminal conviction for knowingly and willfully engaging in the business of brokering activities involving Venezuela in negotiating and arranging contracts, purchases, sales, and transfers of a defense article, namely, a C-130 Hercules military transport aircraft, in return for a fee, commission and other consideration, without first registering with the U.S. Department of State.	Section 38 of the AECA	Export privileges denied until November 16, 2016, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
12/13/13	Mohammed Soroush Mahalaty, a/k/a Mohammad Soroush, a/k/a Mike Soroush	Underlying criminal conviction included violating IEEPA by unlawfully, willfully, and knowingly exporting, selling, and supplying financial services from the United States to and in Iran, for the purpose of and with the effect of violating and facilitating the violation of the prohibitions set forth in the Executive Orders and the Regulations issued under IEEPA (including the Iranian Transaction Regulations), by, among other things, specifically using the hawala system to transfer money into Iran that the defendant believed was intended for investment in Iran.	IEEPA	Export privileges denied until October 3, 2017, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).

12/13/13	Igor Bobel	Underlying criminal conviction for knowingly and willfully exporting and attempting to export, and causing to export, from the United States to a European country, an L-3 CNVD-T2 and two Night Force NXS 8-32x56, which were designated as defense articles on the United States Munitions List, without the required Department of State licenses.	Section 38 of the AECA	Export privileges denied until May 11, 2017, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
12/13/13	Andrew Vincent O'Donnell	Underlying criminal conviction for aiding and abetting by others known and unknown, knowingly and willfully exporting and attempting to export EOTech Holographic Weapon Sights from the United States to Hong Kong and VLTOR Modular Upper Receivers from the United States to Japan, which are designated as defense articles on the United States Munitions List, without the required Department of State licenses.	Section 38 of the AECA	Export privileges denied until August 1, 2021, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
12/23/13	Smith International (North Sea) Limited	Reexported drilling tools and equipment from the UAE to Syria valued at approximately \$174,000, without the required BIS licenses. (EAR99)	764.2(a) [9]	Settlement Agreement – civil penalty of \$130,000.
12/27/13	Amplifier Research Corporation	Exported U.S.-origin amplifiers controlled for national security reasons and valued at \$2.98 million to the People's Republic of China, Hong Kong, Russia, Singapore, Taiwan, Thailand, Malaysia, Korea, and India without the required licenses. In light of the respondent company's experience with applying for and/or receiving licenses and commodity classifications for items classified under ECCN 3A001, as well as its concealment or falsification of classification and other licensing-related information in connection with some of the exports, the company sold the items with knowledge that a violation of the Regulations would occur. (ECCN 3A001)	764.2(a) [50] 764.2(e) [1]	Settlement Agreement – civil penalty of \$500,000, all of which is suspended; complete a 12-month external audit of its export controls compliance program. (The company did not exercise sufficient oversight of its then-export coordinator, but it did provide substantial cooperation during the course of the investigation, including making a disclosure detailing the export coordinator's actions).

01/03/14	3K Aviation Consulting & Logistics, a/k/a 3K Havacilik Ve Danismanlik SAN. TIC. LTD. ST.; Huseyin Engin Borluca; Adaero International Trade, LLC; Recep Sadettin Ilgin; and Pouya Airline a/k/a Pouya Air	Temporary denial order (TDO) issued based on showing of imminent violation in matter involving the unauthorized reexport from Turkey to Iran of U.S.-origin jet aircraft engines controlled on anti-terrorism grounds.		Initial TDO issued for 180 days.
01/24/14	Mahan Airways; Zarand Aviation a/k/a GIE Zarand Aviation; Gatewick LLC; Pejman Mahmood Kosarayanifard a/k/a Kosarian Fard; Mahmoud Amini; Kerman Aviation a/k/a GIE Kerman Aviation; Sirjanco Trading LLC; Ali Eslamian; Mahan Air General Trading LLC; Skyco (UK) Ltd.; Equipco (UK) Ltd.; and Mehdi Bahrami	Temporary denial order (TDO) originally issued based on showing of imminent violations in matter involving the re-export of three U.S.-origin Boeing 747 aircraft to Iran and the intended re-export of three additional 747s, false statements to BIS regarding the ultimate destination and end-user of the aircraft, and a failure to comply with a BIS order to return the three additional aircraft to the U.S. This matter also has involved exports or reexports of a McDonnell Douglas MD-82, Airbus aircraft with U.S.-origin engines, and other items subject to the Regulations.		TDO Renewal. Order issued renewing denial of export privileges for 180 days.

01/30/14	3K Aviation Consulting & Logistics, a/k/a 3K Havacilik Ve Danismanlik SAN. TIC. LTD. ST.; Huseyin Engin Borluca; Adaero International Trade, LLC; Recep Sadettin Ilgin; Pouya Airline a/k/a Pouya Air; and Evans Meridians Ltd.	Temporary denial order (TDO) issued based on showing of imminent violation in matter involving the unauthorized reexport from Turkey to Iran of U.S.-origin jet aircraft engines controlled on anti-terrorism grounds.		Added Evans Meridians Ltd. as a denied person to the 1/3/2014 TDO.
01/31/14	Ansell Protective Products Inc.	Exported industrial-strength gloves valued at approximately \$43,500 to Iran without the required licenses; took actions to evade the Regulations in connection with attempted unlawful exports to Iran of industrial-strength gloves designated EAR99 and valued at approximately \$30,200. (EAR99)	764.2(a)[2] 764.2(h)[2]	Settlement Agreement – civil penalty of \$190,000.
01/31/14	Comasec SAS	Caused, aided or abetted unlicensed exports to Iran of industrial-strength gloves valued at approximately \$43,500; took actions to evade the Regulations in connection with attempted unlawful exports to Iran of industrial-strength gloves designated EAR99 and valued at approximately \$30,200. (EAR99)	764.2(b)[2] 764.2(h)[2]	Settlement Agreement – civil penalty of \$190,000.
2/19/14	Intevac, Inc.	Deemed exports of national security-controlled technology made by a U.S. company to a Russian national employee in the U.S. without the required licenses and with knowledge that violations would occur. One unlicensed export (transmission) of the technology to a PRC subsidiary. (ECCN 3E001)	764.2(a)[2] 764.2(e)[3]	Settlement Agreement – civil penalty of \$115,000.

03/04/14	Aliaksandr Stashynski	Underlying criminal conviction for conspiring to willfully export from the United States to Belarus export-controlled items, including L-3 x 200xp Handheld Thermal Imaging Cameras, without the required Department of Commerce licenses.	IEEPA	Export privileges denied until February 28, 2023, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
03/19/14	Mostafa Saberi Tehrani, a/k/a Mostafa Saberi and a/k/a Mike Saberi	Underlying criminal conviction for violating IEEPA by knowingly and willfully exporting from the United States to Iran a pump seal, without the required authorization from the Department of the Treasury.	IEEPA	Export privileges denied until September 13, 2018, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
03/20/14	Ernest Chornoletskyy, a/k/a Erik Chornoletskyy	Underlying criminal conviction for violating IEEPA by conspiring to willfully export from the United States to Belarus export-controlled items, including L-3 x 200xp Handheld Thermal Imaging Cameras, without the required Department of Commerce licenses.	IEEPA	Export privileges denied until August 21, 2023, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
03/21/14	Arkema Rotterdam B.V.	Reexported ethyl mercaptan from the Netherlands to Syria without the required U.S. Government authorization. (EAR99)	764.2(a) [1]	Settlement Agreement – civil penalty of \$16,000.
04/10/14	Oil Services & Trading Inc.	Sold or transferred various oil and gas equipment parts subject to the designated as EAR99 the United States to Iran via transshipment through the United Arab Emirates with knowledge that a violation of the Regulation would occur.	764.2(e) [1]	Settlement Agreement – civil penalty \$250,000, of which \$175,000 is suspended during a two-year probationary period under the Agreement and Order.

04/24/14	C.A. Litzler Co., Inc.	Export of a prepreg machine controlled for missile technology reasons and valued at approximately \$825,215 to Spain without the required license. (ECCN 1B001.e)	764.2(a) [1]	Settlement Agreement – civil penalty of \$45,000. (Successor liability under the “substantial continuity” standard. C.A. Litzler Co., Inc. had acquired at least a substantial portion of the predecessor’s assets, as well as the services of a key person, and the predecessor had ceased operating even though it continued to exist as a corporate entity following the acquisition. See also the Western Advanced Engineering Company settlement order dated 6/12/14, below).
05/08/14	Aramex Emirates, LLC	Caused, aided or abetted the unlicensed export and reexport to Syria, via the United Arab Emirates, of network devices and software without the required BIS licenses. The items were controlled for National Security and Anti-Terrorism reasons and as Encryption items and valued in total at approximately \$892,677. (ECCNs 5A002 and 5D002)	764.2(b) [2]	Settlement Agreement – civil penalty of \$125,000.
05/09/14	Juan Victorian Gimenez	Underlying criminal conviction for violating the AECA by knowingly and willfully attempting to export defense articles, namely, AR-15/M-16 firearm barrels, receivers, components, parts and accessories, from the United States to Honduras without the required Department of State licenses.	AECA	Export privileges denied until March 21, 2022, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
05/20/14	Manuel Homero Garces	Underlying criminal conviction for violating the AECA by knowingly and willfully exporting, causing to be exported, and attempting to export and cause to be exported a defense article to Mexico without the required Department of State license.	AECA	Export privileges denied until February 6, 2019, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).

06/06/14	Seyed Mojtaba Atarodi, a/k/a Professor Mojtaba Atarodi	Underlying criminal conviction for violating IEEPA by of knowingly and willfully combining, conspiring, and agreeing with others known and unknown to export and cause the export of goods from the United States to Iran without the required U.S. Government authorization.	IEEPA	Export privileges denied until April 18, 2023, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
06/06/14	Jaime Ariel Amaya-Garcia	Underlying criminal conviction for violating the AECA by knowingly and willfully aiding and abetting the export, and attempting to export and causing the export, to Mexico of assault rifle magazines, which were designated as defense articles on the United States Munitions List, without the required Department of State licenses.	Section 38 of AECA	Export privileges denied until March 16, 2023, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
06/10/14	Bass Pro, LLC	Exported optical sighting devices controlled for Firearms Convention reasons or Crime Control reasons and valued at approximately \$3,513 to Canada, China and Cyprus without the required BIS licenses. (ECCN 0A987)	764.2(a)[9]	Settlement Agreement – civil penalty of \$25,000.
06/12/14	Western Advanced Engineering Company	Exported a prepreg machine controlled for missile technology reasons and valued at approximately \$825,215 to Spain without the required BIS license. (ECCN 1B001.e)	764.2(a)[1]	Settlement Agreement – three-year suspended denial of export privileges.
06/24/14	Kue Sang Chun	Underlying criminal conviction under Section 38 of the AECA for knowingly exporting and causing the export to South Korea of infrared focal plane array detectors and camera engines.		Amended the November 28, 2012 Denial Order to update location and address information regarding the denied person.
06/24/14	Luis Alejand Yanez Almeida	Underlying criminal conviction for knowingly and willfully exporting, causing to be exported, and attempting to export and cause to be exported a defense article to Mexico without the required Department of State license.	Section 38 of the AECA	Export privileges denied until December 8, 2022, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).

06/25/14	Fidel Ignacio Cisneros	Underlying criminal conviction for knowingly and willfully exporting and causing to be exported from the United States to Japan an Acquired Tactical Illuminating Laser Aimer, which was a defense article on the United States Munitions List, without the required Department of State license.	Section 38 of the AECA	Export privileges denied until November 2, 2022, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
07/01/14	3K Aviation Consulting & Logistics, a/k/a 3K Havacilik Ve Danismanlik SAN. TIC. LTD. ST.; Huseyin Engin Borluca; Pouya Airline a/k/a Pouya Air; and Evans Meridians Ltd.	Temporary denial order (TDO) issued based on showing of imminent violation in matter involving the unauthorized reexport from Turkey to Iran of U.S.-origin jet aircraft engines controlled on anti-terrorism grounds.		TDO Renewal. Order issued renewing denial of export privileges for 180 days.
07/22/14	Mahan Airways; Gatewick LLC; Pejman Mahmood Kosarayanifard a/k/a Kosarian Fard; Mahmoud Amini; Kerman Aviation a/k/a GIE Kerman Aviation; Sirjanco Trading LLC; Ali Eslamian; Mahan Air General Trading LLC; Skyco (UK) Ltd.; Equipco (UK) Ltd.; and Mehdi Bahrami	Temporary denial order (TDO) originally issued based on showing of imminent violations in matter involving the re-export of three U.S.-origin Boeing 747 aircraft to Iran and the intended re-export of three additional 747s, false statements to BIS regarding the ultimate destination and end-user of the aircraft, and a failure to comply with a BIS order to return the three additional aircraft to the U.S. This matter also has involved exports or reexports of a McDonnell Douglas MD-82, Airbus aircraft with U.S.-origin engines, and other items subject to the Regulations.		TDO Renewal. Order issued renewing denial of export privileges for 180 days.
08/13/14	Gatewick LLC, a/k/a Gatewick Freight & Cargo Services, a/k/a Gatewick Aviation Services	Conspired to bring about and caused, aided or abetted the export to Iran via the UAE of computer motherboards, items designated as EAR99 and valued at approximately \$130,000, without the required U.S. Government authorization; acted contrary to the terms of a denial order. (EAR99)	764.2(d)[1] 764.2(b)[1] 764.2(k)[1]	Settlement Agreement – civil penalty of \$40,000; export privileges denied for a period of seven years, of which the first two years are active and the remaining five years suspended absent further violations.

09/11/14	Area S.p.A.	Transferred and transported U.S.-origin network performance monitoring equipment controlled on national security and anti-terrorism grounds and related U.S.-origin equipment designated EAR99, items subject to the Regulations and valued in total at approximately \$139,694, from Italy to the state-run Syrian Telecommunications Establishment in Syria, with knowledge that a violation would occur in connection with the items. (ECCN5A002.a.1 and EAR99)	764.2(e)[1]	Settlement Agreement – civil penalty of \$100,000
09/16/14	Ming Suan Zhang	Underlying criminal conviction for violating IEEPA by knowingly, intentionally, and willfully attempting to export one or more spools of Toray type M60jB-3000-50B carbon fiber from the United States to China without the required Department of Commerce license.	IEEPA	Export privileges denied until December 10, 2023, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
09/17/14	Bruce Lam	Respondent Lam engaged in a transaction or took other actions with intent to evade the Regulations, specifically, the designation under General Order No. 3 of United Sources Industrial Enterprises, a Hong Kong company that he owned, in connection with the unlicensed export of attempted export of U.S.-origin electronic components.	764.2(h)[1]	Settlement Agreement – civil penalty of \$250,000; five-year suspended denial of export privileges.
09/17/14	Creative Electronics Ltd.	Respondent Creative Electronics Ltd. engaged in transactions or took other actions with intent to evade the Regulations, specifically, the designation under General Order No. 3 of United Sources Industrial Enterprises (“USIE”), with which Creative Electronics was co-located in Hong Kong and shared its employees, in connection with the export and attempted export of U.S.-origin electronic components; order and obtained U.S.-origin electronic components on USIE’s behalf.	764.2(h)[29] 764.2(a)[29]	Settlement Agreement – civil penalty of \$3.6 million, fully suspended for five years; five-year suspended denial of export privileges.

09/18/14	United Sources Industrial Enterprises	Respondent United Sources Industrial Enterprises (“USIE”) made unlicensed reexports of U.S.-origin electronic components to entities in the UAE designated under General Order No. 3, including to Mayrow General Trading; engaged in transactions or took other actions with intent to evade the Regulations, specifically, USIE’s own designation under General Order No. 3, in connection with the unlicensed export and attempted export of U.S.-origin electronic components.	764.2(a)[10] 764.2(h)[29]	Settlement Agreement – civil penalty of \$4.5 million, with \$400,000 of this amount to be paid over approximately nineteen months and remaining \$4.1 million suspended for five years; five-year suspended denial of export privileges; conduct an external audit covering the two-years preceding the Order and the first year following the Order.
09/25/14	Demetrio Cortez-Salgado	Underlying criminal conviction for knowingly and willfully exporting and causing to be exported, and attempting to export and attempting to cause to be exported, from the United States to Mexico rifles designated as defense articles on the U.S. Munitions List, without the required Department of State licenses.	Section 38 of the AECA	Export privileges denied until September 11, 2023, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
09/26/14	Kintetsu World Express (U.S.A.), Inc.	Caused, aided or abetted the unlicensed export of spiral duct production machines and related accessories, items that were designated as EAR99 and had a value of at least \$250,000, from the United States to China National Precision Machinery Import/Export Corporation (“CPMIEC”), a Chinese entity listed in Appendix A to 31 C.F.R. Chapter V with the bracketed suffix [NPWMD] because it had supplied Iran’s military and Iranian proliferators with missile-related dual-use items.	764.2(b)[1]	Settlement Agreement – civil penalty of \$30,000.
09/30/14	X-TREME Motors LLC, XTREME Outdoor Store, Tyson Preece, Corey Justin Preece and Toby Green	Temporary denial order (TDO) issued based on showing of imminent violation in matter involving the unlicensed export of items controlled for Crime Control reasons to various destinations, including Russia and China.		Initial TDO issued for 180 days.

09/30/14	Ming Xie and related person Horizon RX Systems	Underlying criminal conviction of Ming Xie for knowingly and willfully exporting and causing to be exported from the United States to Hong Kong power amplifiers, defense articles of U.S-origin, without the required Department of State licenses, in violation of the AECA; subsequently knowingly and willfully exported from the United States to China, via Hong Kong, other power amplifiers, items subject to the Export Administration Regulations, without the required Department of Commerce licenses, in violation of IEEPA. (Xie is the president of Horizon. Xie conducted the unlawful export activities involved in his conviction through Horizon).	Section 38 of the AECA and IEEPA	Export privileges denied until May 22, 2023, pursuant to Section 766.25 of the EAR (see also Section 11(h) of the EAA).
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Table 3
Summary of Antiboycott Cases Closed in Fiscal Year 2014

Company Name & Location	Date Order Signed	Alleged Violations	Settlement Amount
TMX Shipping Company, Inc. Virginia Beach, VA	10/31/13	4 x 760.2(d) Furnishing information about business relationships with or in a boycotted country 11 x 760.5 Failure to report receipt of a boycott request	\$36,800
BWI Corporation Glen Burnie, MD	02/12/14	1 x 760.2(d) Furnishing information about business relationships with or in a boycotted country 6 x 760.5 Failure to report receipt of a boycott request	\$9,000
Electro-Motive Diesel, Inc. LaGrange, IL	09/08/14	31 x 760.5 Failure to report receipt of a boycott request	\$26,350

<p>McWane International Sales Corporation Birmingham, AL</p>	<p>09/29/14</p>	<p>1 x 760.2(d) Furnishing information about business relationships with or in a boycotted country</p> <p>4 x 760.5 Failure to report receipt of a boycott request</p>	<p>\$7,000</p>
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**Appendix D:
Boycott Requests reported to the
Office of Antiboycott Compliance, U.S. Department of Commerce**

Country	Prohibited Boycott Requests	Permissible Boycott-Related Requests	Amended Boycott Requests	Boycott Exceptions	Totals
Algeria	0	0	0	5	5
Bahrain	6	2	0	1	9
Iraq	69	0	1	2	72
Jordan	0	0	0	0	0
Kuwait	3	4	0	4	11
Lebanon	3	11	2	3	19
Libya	8	19	1	2	30
Oman	6	4	1	2	13
Qatar	10	52	1	23	86
Saudi Arabia	21	4	3	8	36
Syria	0	0	0	0	0
United Arab Emirates	129	106	9	98	342
Yemen	0	1	0	2	3
Total (Arab League members)	255	203	18	150	626
Bangladesh	0	37	0	29	66
Iran	0	0	0	0	0
Malaysia	0	0	0	71	71
Nigeria	1	0	0	0	1
Pakistan	0	5	0	44	49
Other Countries	3	1	0	5	9
Total (Arab League members and all other countries)	259	246	18	299	822

Prohibited requests describe those requests to take an action that would be prohibited under Section 760.2 of the EAR, mainly actions to enforce the secondary and tertiary aspects of a foreign unsanctioned boycott.

Permissible boycott-related requests are for actions that fall outside the prohibitions of the EAR but nonetheless still require compliance with some level of a foreign unsanctioned boycott.

Amended requests were ones that were prohibited as an initial matter but were subsequently adjusted and reclassified as permissible requests or as exceptions under the EAR.

Exceptions are requests to take actions that would be prohibited, but for a specific provision in the EAR that allows the actions.

Appendix E: Approved Applications for Country Group D:1 and Cuba Fiscal Year 2014

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
ALBANIA			
1A004	PROTECTIVE AND DETECTION EQUIPMENT	1	\$800,000
1A005	BODY ARMOR	1	\$19,693
1A007	DEVICES DESIGNED TO INITIATE ENERGETIC CHARGES	1	\$208,845,000
2B350	CHEMICAL MANUFACTURING FACILITIES AND EQUIPMENT	1	\$6,000,000
3A101	ELECTRONIC EQUIPMENT/DEVICES NOT CONTROLLED BY 3A0	1	\$9,884,200
3A231	NEUTRON GENERATOR SYSTEMS INCLUDING TUBES	2	\$3,270,000
3D101	SOFTWARE FOR THE USE OF CERTAIN ITEMS IN 3A101.B	1	\$120,000
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	1	\$4,884
5D002	SOFTWARE FOR INFORMATION SECURITY	1	\$75,000
6A003	CAMERAS	1	\$19,872

TOTAL APPLICATIONS: 9
TOTAL CCL'S: 10
TOTAL DOLLAR VALUE: \$229,038,649

ARMENIA

0A984	SHOTGUNS, BUCKSHOT, SHOTGUN SHELLS	3	\$94,375
0A987	OPTICAL SIGHTING DEVICES FOR FIREARMS	6	\$12,999
3A101	ELECTRONIC EQUIPMENT/DEVICES NOT CONTROLLED BY 3A0	2	\$4,330,000
3D101	SOFTWARE FOR THE USE OF CERTAIN ITEMS IN 3A101.B	1	\$40,000
3E001	TECHNOLOGY FOR DEV OR PROD OF CERTAIN ITEMS IN 3A/	1	\$1
3E002	OTHER TECHNOLOGY FOR ITEMS IN CATEGORY 3	1	\$1
4D001	SOFTWARE FOR CERTAIN EQUIPMENT/SOFTWARE IN 4A-4D	1	\$1
4E001	TECHNOLOGY FOR DEV/PROD/USE OF CERTAIN EQUIP/SOFTW	1	\$1
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	2	\$14,971
5D001	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 5A001/5B001/	1	\$1
5D002	SOFTWARE FOR INFORMATION SECURITY	2	\$4,789
5E001	TECHNOLOGY FOR DEV/PROD/USE, ETC, OF EQUIP. IN 5A0	1	\$1

TOTAL APPLICATIONS: 14
TOTAL CCL'S: 12
TOTAL DOLLAR VALUE: \$4,497,140

AZERBAIJAN

0A987	OPTICAL SIGHTING DEVICES FOR FIREARMS	1	\$1,600
1A004	PROTECTIVE AND DETECTION EQUIPMENT	6	\$2,479,543
1A007	DEVICES DESIGNED TO INITIATE ENERGETIC CHARGES	2	\$409,182,000
2A983	EXPLOSIVES OR DETONATOR DETECTION EQUIPMENT	1	\$591,877
2B350	CHEMICAL MANUFACTURING FACILITIES AND EQUIPMENT	2	\$46,836
3A101	ELECTRONIC EQUIPMENT/DEVICES NOT CONTROLLED BY 3A0	3	\$2,940,000
3A231	NEUTRON GENERATOR SYSTEMS INCLUDING TUBES	1	\$4,126,350
3A233	MASS SPECTROMETERS	2	\$225,970
3A981	POLYGRAPHS/FINGERPRINT ANALYZERS/CAMERAS/EQUIPMENT	1	\$145,200

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	6	\$1,127,881
5D002	SOFTWARE FOR INFORMATION SECURITY	5	\$1,660,990
6A003	CAMERAS	1	\$8,400
8A620	SUBMERSIBLE VEHICLES, OCEANOGRAPHIC COMMODITIES	1	\$4,549
8E620	TECHNOLOGY CONTROLLED BY 8A620, 8B620 OR 8D620	1	\$1,000
TOTAL APPLICATIONS: 27			
TOTAL CCL'S: 14			
TOTAL DOLLAR VALUE: \$422,542,196			

BELARUS

0A987	OPTICAL SIGHTING DEVICES FOR FIREARMS	3	\$41,981
1A004	PROTECTIVE AND DETECTION EQUIPMENT	2	\$428,657
1C006	FLUIDS AND LUBRICATING MATERIALS	1	\$289
2A999	SPECIFIC PROCESSING EQUIPMENT, N.E.S.	1	\$66,218
2B350	CHEMICAL MANUFACTURING FACILITIES AND EQUIPMENT	1	\$330,694
3A001	ELECTRONIC DEVICES/COMPONENTS	3	\$174,330
3A101	ELECTRONIC EQUIPMENT/DEVICES NOT CONTROLLED BY 3A0	2	\$9,452,942
3D101	SOFTWARE FOR THE USE OF CERTAIN ITEMS IN 3A101.B	1	\$40,000
3E001	TECHNOLOGY FOR DEV OR PROD OF CERTAIN ITEMS IN 3A/	1	\$1
3E002	OTHER TECHNOLOGY FOR ITEMS IN CATEGORY 3	1	\$1
4D001	SOFTWARE FOR CERTAIN EQUIPMENT/SOFTWARE IN 4A-4D	1	\$1
4E001	TECHNOLOGY FOR DEV/PROD/USE OF CERTAIN EQUIP/SOFTW	1	\$1
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	9	\$194,796
5D001	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 5A001/5B001/	1	\$1
5D002	SOFTWARE FOR INFORMATION SECURITY	3	\$12
5E001	TECHNOLOGY FOR DEV/PROD/USE, ETC, OF EQUIP. IN 5A0	1	\$1
6A005	OPTICAL EQUIPMENT (LASERS)	2	\$41,954
TOTAL APPLICATIONS: 25			
TOTAL CCL'S: 17			
TOTAL DOLLAR VALUE: \$10,771,879			

BURMA

5A992	INFORMATION SECURITY EQUIPMENT	1	\$1,400
5D002	SOFTWARE FOR INFORMATION SECURITY	1	\$0
TOTAL APPLICATIONS: 1			
TOTAL CCL'S: 2			
TOTAL DOLLAR VALUE: \$1,400			

CAMBODIA

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
0A606	GROUND VEHICLES AND RELATED COMMODITIES	2	\$113,705
1A004	PROTECTIVE AND DETECTION EQUIPMENT	3	\$126,000
1A005	BODY ARMOR	1	\$3,480
1A007	DEVICES DESIGNED TO INITIATE ENERGETIC CHARGES	1	\$219,340,000
2A983	EXPLOSIVES OR DETONATOR DETECTION EQUIPMENT	2	\$2,022,977
3A002	GENERAL PURPOSE ELECTRONIC EQUIPMENT	1	\$36,480
3A233	MASS SPECTROMETERS	1	\$114,986
TOTAL APPLICATIONS: 11			
TOTAL CCL'S: 7			
TOTAL DOLLAR VALUE: \$221,757,628			

CHINA

EAR99	ITEMS SUBJECT TO THE EAR N.E.S.	40	\$14,403,603
0A987	OPTICAL SIGHTING DEVICES FOR FIREARMS	14	\$2,729,420
0D521	COMMODITY SUBJECT TO EAR NOT LISTED IN GROUP D	3	\$3
0E521	COMMODITY SUBJECT TO EAR NOT LISTED IN GROUP E	3	\$6
1A001	COMPONENTS MADE FROM FLUORINATED COMPOUNDS	1	\$5,840
1A002	COMPOSITE STRUCTURES OR LAMINATES	3	\$3,024,000
1A004	PROTECTIVE AND DETECTION EQUIPMENT	135	\$10,136,787
1A005	BODY ARMOR	1	\$3,400
1A007	DEVICES DESIGNED TO INITIATE ENERGETIC CHARGES	3	\$640,963,500
1B001	EQUIPMENT FOR PRODUCTION OF FIBERS, PREFORMS OR CO	2	\$16,549,335
1B118	CONTINUOUS MIXERS	3	\$670,903
1B119	FLUID ENERGY MILLS	13	\$2,103,950
1B201	FILAMENT WINDING MACHINES	1	\$127,200
1C003	MAGNETIC METALS	2	\$14,238,878
1C006	FLUIDS AND LUBRICATING MATERIALS	15	\$1,406,620
1C007	CERAMIC BASE AND PRECURSOR MATERIALS	1	\$910
1C008	NON-FLUORINATED POLYMERIC SUBSTANCES	9	\$12,053,061
1C010	FIBROUS/FILAMENTARY MATERIALS USED IN MATRIX STRUC	10	\$1,642,447
1C107	GRAPHITE AND CERAMIC MATERIALS	4	\$7,980,575
1C111	PROPELLANTS AND CONSTITUENT CHEMICALS	8	\$182,000
1C202	ALUMINUM AND TITANIUM ALLOYS IN THE FORM OF TUBES/	47	\$10,195,224
1C210	FIBROUS/FILAMENTARY MATERIALS NOT CONTROLLED BY 1C	15	\$2,777,735
1C225	BORON AND BORON COMPOUNDS/MIXTURES AND LOADED MATE	2	\$72,229
1C227	CALCIUM CONTAINING BORON AND OTHER IMPURITIES	1	\$245
1C228	MAGNESIUM CONTAINING IMPURITIES OTHER THAN CALCIUM	2	\$415
1C229	HIGH PURITY BISMUTH WITH LOW SILVER CONTENT	5	\$4,002
1C230	BERYLLIUM	5	\$7,965
1C231	HAFNIUM	13	\$3,879,328
1C232	HELIUM-3 OR HELIUM ISOTOPICALLY ENRICHED IN THE HE	4	\$527,500
1C233	LITHIUM	9	\$47,718
1C234	ZIRCONIUM, WITH A HAFNIUM CONTENT	9	\$9,899,979
1C240	NICKEL POWDER OR POROUS NICKEL METAL	7	\$310,415
1C350	CHEMICALS, PRECURSORS FOR TOXIC CHEMICAL AGENTS	15	\$13,084,939
1C351	HUMAN PATHOGENS, ZOOSES, AND TOXINS	37	\$111,486
1C352	ANIMAL PATHOGENS	2	\$16,000

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
1C981	CRUDE PETROLEUM/TAR SANDS/CRUDE SHALE	6	\$10,092,000,000
1C990	FIBROUS AND FILAMENTARY MATERIALS	1	\$25,000
1C991	VACCINES, IMMUNOTOXINS AND MEDICAL PRODUCTS	1	\$113
1D003	SOFTWARE DESIGNED FOR EQPT CONTROLLED UNDER 1A004	13	\$29,400
1D390	SOFTWARE FOR USE WITH 1C350 MATERIALS	2	\$0
1E001	TECHNOLOGY FOR DEVELOPMENT OF EQUIPMENT UNDER 1A00	10	\$10,009
1E101	TECHNOLOGY FOR DEVELOPMENT OF EQUIPMENT UNDER 1A10	2	\$3
1E104	TECHNOLOGY FOR PRODUCING PYROLYTICALLY DERIVED MAT	1	\$750,000
1E201	TECHNOLOGY FOR USE OF 1A002, 1A202, 1A225 TO 1B225	1	\$1
1E350	TECHNOLOGY FOR USE OF 1C350 CHEMICALS	8	\$10,900,005
1E351	TECHNOLOGY FOR USE OF MICROBIOLOGICAL MATERIALS	6	\$5
2A292	PIPING/FITTINGS/VALVES MADE/LINED WITH NAMED ALLOY	1	\$9,447,109
2A983	EXPLOSIVES OR DETONATOR DETECTION EQUIPMENT	10	\$8,033,458
2B001	NUMERICAL CONTROL UNITS/MOTION CONTROL BOARDS	29	\$27,563,766
2B002	NUMERICALLY CONTROLLED MACHINE TOOLS FOR OPTIC	1	\$700,000
2B003	NUMERICALLY CONTROLLED/MANUAL MACHINE TOOLS	1	\$1,250,000
2B006	DIMENSIONAL INSPECTION/MEASURING SYSTEMS OR EQUIPM	67	\$5,862,416
2B008	ASSEMBLIES/UNITS/INSERTS FOR MACHINE TOOLS IN 2B00	29	\$1,243,560
2B120	MOTION SIMULATORS OR RATE TABLES	1	\$119,957
2B201	MACHINE TOOLS FOR REMOVING OR CUTTING METALS	23	\$9,232,540
2B204	ISOSTATIC PRESSES NOT CONTROLLED BY 2B004 OR 2B104	1	\$1,900,000
2B206	DIMENSIONAL INSPECTION MACHINES, DEVICES OR SYSTEMS	12	\$1,127,720
2B226	VACUUM AND CONTROLLED ENVIRONMENT INDUCTION FURNAC	1	\$95,000
2B227	VACUUM AND CONTROLLED ATMOSPHERE MELTING/CASTING F	1	\$1,516,950
2B230	PRESSURE TRANSDUCERS	141	\$13,471,193
2B231	VACUUM PUMPS	3	\$237,282
2B350	CHEMICAL MANUFACTURING FACILITIES AND EQUIPMENT	376	\$44,146,465
2B351	TOXIC GAS MONITORING SYSTEMS & DEDICATED DETECTORS	7	\$524,168
2B352	EQUIPMENT FOR HANDLING BIOLOGICAL MATERIALS	138	\$18,376,506
2B991	NUMERICAL CONTROL UNITS FOR MACHINE TOOLS	1	\$25,000
2D001	SOFTWARE FOR EQUIPMENT IN CATEGORY 2A/2B	2	\$2
2D002	ADAPTIVE CONTROL/ELECTRONIC DEVICE SOFTWARE	14	\$38,804
2D983	EQUIPMENT CONTROLLED BY 2A983	1	\$2,000
2E001	TECHNOLOGY SUPPORTING EQUIPMENT/SOFTWARE IN 2A/2B/	14	\$13
2E002	TECHNOLOGY SUPPORTING EQUIPMENT/PRODUCTION IN 2A/2	19	\$60,015
2E003	OTHER TECHNOLOGY	2	\$2
2E201	TECHNOLOGY FOR USE OF COMMODITIES CONTROLLED BY 2A	1	\$1
2E301	TECHNOLOGY FOR USE OF COMMODITIES CONTROLLED BY 2B	10	\$9
2E983	SOFTWARE CONTROLLED BY 2D983	1	\$1
3A001	ELECTRONIC DEVICES/COMPONENTS	155	\$84,683,921
3A002	GENERAL PURPOSE ELECTRONIC EQUIPMENT	30	\$2,709,469
3A225	INVERTERS/CONVERTERS/FREQUENCY CHANGERS/GENERATORS	4	\$118,902
3A230	HIGH SPEED PULSE GENERATORS	1	\$30,729
3A231	NEUTRON GENERATOR SYSTEMS INCLUDING TUBES	5	\$22,684,386
3A233	MASS SPECTROMETERS	364	\$54,541,608
3A292	OSCILLOSCOPES AND TRANSIENT RECORDERS	2	\$47,037
3A982	PACKAGED HIGH ELECTRON MOBILITY TRANSISTORS	1	\$75,000
3A992	GENERAL PURPOSE ELECTRONIC EQUIPMENT	1	\$7,287
3A999	SPECIFIC PROCESSING EQUIPMENT, N.E.S.	10	\$339,946
3B001	EPITAXIAL EQUIPMENT FOR SEMICONDUCTORS	67	\$1,459,801,958
3B002	ION IMPLANTATION EQUIPMENT FOR SEMICONDUCTORS	1	\$76,416
3B991	OTHER MFG/TEST EQUIPMENT NOT CONTROLLED BY 3B	12	\$12
3B992	EQUIPMENT FOR THE INSPECTION/TESTING OF COMPONENTS	12	\$12

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
3C001	HETERO-EPITAXIAL MATERIALS	8	\$263,051
3C002	RESIST MATERIALS	8	\$226,658,151
3C003	ORGANO-INORGANIC COMPOUNDS DESCRIBED IN THIS ENTRY	91	\$1,776,930,960
3C004	HYDRIDES OF PHOSPHORUS, ARSENIC, OR ANTIMONY	42	\$168,949,184
3D001	SOFTWARE FOR DEV OR PROD OF EQUIP CERTAIN ITEMS IN	21	\$21
3D002	SOFTWARE FOR USE OF CERTAIN EQUIPMENT CONTROLLED B	61	\$24,855,355
3D003	CAD SOFTWARE FOR SEMICONDUCTOR DEVICES/INTEGRATED	35	\$36
3D991	GENERAL PURPOSE ELECTRONIC EQUIPMENT FOR 3A992	12	\$12
3E001	TECHNOLOGY FOR DEV OR PROD OF CERTAIN ITEMS IN 3A/	315	\$2,000,457
3E002	OTHER TECHNOLOGY FOR ITEMS IN CATEGORY 3	295	\$283
3E003	OTHER "TECHNOLOGY"	34	\$34
3E201	TECHNOLOGY FOR THE USE OF CERTAIN ITEMS IN 3A	3	\$3
3E991	MANUFACTURING AND TEST EQUIPMENT FOR 3B991/92	12	\$12
4A001	RUGGEDIZED ELECTRONIC COMPUTERS/RELATED EQUIPMENT	2	\$98,204
4A994	ITEMS NOT CONTROLLED BY 4A001/4A002/4A003	15	\$65,492
4D001	SOFTWARE FOR CERTAIN EQUIPMENT/SOFTWARE IN 4A-4D	113	\$113
4D002	SOFTWARE TO SUPPORT TECHNOLOGY CONTROLLED BY 4E	9	\$17
4E001	TECHNOLOGY FOR DEV/PROD/USE OF CERTAIN EQUIP/SOFTW	209	\$209
5A001	TELECOMMUNICATIONS/TRANSMISSION EQUIPMENT	1	\$1
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	32	\$7,610,506
5B002	TEST/INSPECTION/PRODUCTION EQUIP FOR INFORMATION S	8	\$870
5D001	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 5A001/5B001/	138	\$144
5D002	SOFTWARE FOR INFORMATION SECURITY	27	\$899,473
5D992	SOFTWARE NOT CONTROLLED BY 5D002	2	\$2
5E001	TECHNOLOGY FOR DEV/PROD/USE, ETC, OF EQUIP. IN 5A0	369	\$2,804
5E002	TECHNOLOGY FOR DEV/PROD/USE OF INFORMATION SECURIT	30	\$850,025
6A001	ACOUSTICS	8	\$37,663,321
6A002	OPTICAL SENSORS	5	\$6,288,311
6A003	CAMERAS	64	\$2,484,940
6A005	OPTICAL EQUIPMENT (LASERS)	74	\$11,797,170
6A203	CAMERAS/COMPONENTS NOT CONTROLLED BY ECCN 6A003	5	\$248,814
6A205	LASERS, OTHER THAN THOSE SPECIFIED IN 6A005	9	\$1,233,150
6A991	MARINE OR TERRESTRIAL ACOUSTIC EQUIPMENT	1	\$0
6E001	TECHNOLOGY FOR DEVELOPMENT OF EQUIPMENT/MATERIALS/	7	\$6
6E002	TECHNOLOGY FOR PRODUCTION OF EQUIPMENT/MATERIALS I	7	\$6
7A003	INERTIAL NAVIGATION SYSTEMS (GIMBALLED/STRAPDOWN)	3	\$831,218
7A103	INSTRUMENTATION, NAVIGATION EQUIPMENT/SYSTEMS NOT	27	\$77,989,228
7A994	OTHER NAVIGATION/AIRBORNE COMMUNICATION EQUIPMENT	1	\$0
7D003	OTHER SOFTWARE	1	\$50,000
7D101	SOFTWARE FOR COMMODITIES CONTROLLED BY 7A001/004,	2	\$501
7E001	TECHNOLOGY FOR DEVELOPMENT OF EQ. CONTROLLED BY 7A	1	\$10,000
7E002	TECHNOLOGY FOR PRODUCTION OF EQ. COTROLLED BY 7A/7	1	\$1
7E004	OTHER TECHNOLOGY	2	\$1,001
7E101	TECHNOLOGY FOR EQUIPMENT/SOFTWARE CONTROLLED BY 7A	3	\$5,501
7E102	TECHNOLOGY FOR PROTECTION AGAINST EMI AND EMP	1	\$1
8A001	SUBMERSIBLE VEHICLES OR SURFACE VESSELS	1	\$28,000,000
8A002	SYSTEMS OR EQUIPMENT FOR SUBMERSIBLE VEHICLES	3	\$40,001
9A001	AERO GAS TURBINE ENGINES	2	\$93,500,000
9B106	ENVIRONMENTAL CHAMBERS AND ANECHOIC CHAMBERS	3	\$431,835
9B990	VIBRATION TEST EQUIPMENT	3	\$1,487,910
9E003	OTHER TECHNOLOGY	3	\$10,100
9E990	TECHNOLOGY FOR THE DEV/PROD/USE OF ITEMS IN 9A990	3	\$90
9E991	TECHNOLOGY FOR THE DEV/PROD/USE WITH ITEMS IN 9A99	1	\$1

TOTAL APPLICATIONS: 3052
TOTAL CCL'S: 141
TOTAL DOLLAR VALUE: \$15,114,221,299

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
CUBA			
EAR99	ITEMS SUBJECT TO THE EAR N.E.S.	213	\$3,283,323,577
1A995	PROTECTIVE AND DETECTION EQUIPMENT	1	\$0
1B999	SPECIFIC PROCESSING EQUIPMENT, N.E.S.	13	\$8
1C990	FIBROUS AND FILAMENTARY MATERIALS	13	\$8
1C991	VACCINES, IMMUNOTOXINS AND MEDICAL PRODUCTS	1	\$62,500
1C992	OIL WELL PERFORATORS	1	\$0
1E994	TECHNOLOGY FOR 1C993 MATERIALS OR 1C994 FLUIDS	13	\$8
2A994	PORTABLE ELECTRIC GENERATORS AND SPECIALLY DESIGNE	3	\$60,000
2B999	SPECIFIC PROCESSING EQUIPMENT, N.E.S.	1	\$0
4A994	ITEMS NOT CONTROLLED BY 4A001/4A002/4A003	3	\$85,591
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	5	\$11,971
5A991	TRANSMISSION ITEMS NOT W/I PARAMETERS IN 5A001	8	\$6,032,653
5A992	INFORMATION SECURITY EQUIPMENT	96	\$329,567,824
5B991	TELECOMMUNICATIONS TEST EQUIPMENT	1	\$750
5D002	SOFTWARE FOR INFORMATION SECURITY	5	\$40
5D991	SOFTWARE FOR DEV/PROD/USE WITH 5B994 TEST EQUIPMEN	1	\$0
5D992	SOFTWARE NOT CONTROLLED BY 5D002	13	\$27,703
7A994	OTHER NAVIGATION/AIRBORNE COMMUNICATION EQUIPMENT	16	\$15,258
7E994	OTHER TECHNOLOGY RELATED TO NAVIGATION OR AVIONICS	1	\$0
8A001	SUBMERSIBLE VEHICLES OR SURFACE VESSELS	1	\$0
8A002	SYSTEMS OR EQUIPMENT FOR SUBMERSIBLE VEHICLES	2	\$0
8A992	VESSELS, MARINE SYSTEMS, EQUIPMENT NOT 8A001/8A002	32	\$8,000,000
9A991	AIRCRAFT AND CERTAIN GAS TURBINE ENGINES N.E.S.	31	\$9
9E991	TECHNOLOGY FOR THE DEV/PROD/USE WITH ITEMS IN 9A99	14	\$8
TOTAL APPLICATIONS: 351			
TOTAL CCL'S: 24			
TOTAL DOLLAR VALUE: \$3,627,187,908			

GEORGIA

0A606	GROUND VEHICLES AND RELATED COMMODITIES	2	\$3,533
0A617	MISCELLANEOUS EQUIPMENT, MATERIALS/COMMODITIES	1	\$1,219
0A984	SHOTGUNS, BUCKSHOT, SHOTGUN SHELLS	2	\$374,928
0A987	OPTICAL SIGHTING DEVICES FOR FIREARMS	6	\$151,939
1A004	PROTECTIVE AND DETECTION EQUIPMENT	1	\$40,800
1A984	CHEMICAL AGENTS, INCLUDING TEAR GAS	1	\$66,137
1A985	FINGERPRINTING POWDERS, DYES, AND INKS	2	\$90,000
1C351	HUMAN PATHOGENS, ZOONOSES, AND TOXINS	1	\$1
2A983	EXPLOSIVES OR DETONATOR DETECTION EQUIPMENT	1	\$212,376

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	7	\$404,793
5D002	SOFTWARE FOR INFORMATION SECURITY	4	\$57,631
9A012	UNMANNED AIR VEHICLE SYSTEMS	1	\$8,695

TOTAL APPLICATIONS: 27
TOTAL CCL'S: 12
TOTAL DOLLAR VALUE: \$1,412,052

IRAQ

EAR99	ITEMS SUBJECT TO THE EAR N.E.S.	1	\$43,400
0A018	ITEMS ON THE INTERNATIONAL MUNITIONS LIST	2	\$157,500
0A606	GROUND VEHICLES AND RELATED COMMODITIES	1	\$422,041
0A985	DISCHARGE TYPE ARMS	1	\$150,000
1A004	PROTECTIVE AND DETECTION EQUIPMENT	25	\$128,137,641
1A005	BODY ARMOR	2	\$2,753,640
1A007	DEVICES DESIGNED TO INITIATE ENERGETIC CHARGES	10	\$488,024,500
1A985	FINGERPRINTING POWDERS, DYES, AND INKS	2	\$101,000
1B999	SPECIFIC PROCESSING EQUIPMENT, N.E.S.	8	\$3,851,640
1C992	OIL WELL PERFORATORS	28	\$1,481,765,794
1C995	MIXTURES CONTAINING PRECURSOR & INTERMEDIATE CHEM	1	\$100,000
1C999	SPECIFIC MATERIALS, N.E.S.	1	\$480
2A291	NUCLEAR REACTOR AND NUCLEAR POWER PLANT RELATED EQ	1	\$600,000
2A983	EXPLOSIVES OR DETONATOR DETECTION EQUIPMENT	1	\$193,756
2B350	CHEMICAL MANUFACTURING FACILITIES AND EQUIPMENT	7	\$1,570,800
2D983	EQUIPMENT CONTROLLED BY 2A983	1	\$1,000
3A002	GENERAL PURPOSE ELECTRONIC EQUIPMENT	1	\$63,840
3A101	ELECTRONIC EQUIPMENT/DEVICES NOT CONTROLLED BY 3A0	3	\$139,288,920
3A231	NEUTRON GENERATOR SYSTEMS INCLUDING TUBES	5	\$7,550,945
3A292	OSCILLOSCOPES AND TRANSIENT RECORDERS	4	\$1,629,715
3A981	POLYGRAPHS/FINGERPRINT ANALYZERS/CAMERAS/EQUIPMENT	2	\$115,000
3D101	SOFTWARE FOR THE USE OF CERTAIN ITEMS IN 3A101.B	1	\$60,000
3D980	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 3A980 AND 3A	2	\$25,980
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	13	\$3,140,216
5D002	SOFTWARE FOR INFORMATION SECURITY	7	\$163,852
6A003	CAMERAS	4	\$224,592
6A006	MAGNETOMETERS/MAGNETIC GRADIOMETERS/COMPENSATION S	1	\$28,000
9A012	UNMANNED AIR VEHICLE SYSTEMS	1	\$352,500
9A610	MILITARY AIRCRAFT AND RELATED COMMODITIES	16	\$134,628,884
9A619	MILITARY GAS TURBINE ENGINES	4	\$527,650
9B610	COMMODITIES ENUMERATED IN 9A610 OR USML CAT VIII	1	\$81,500
9B619	TEST EQUIPMENT ENUMERATED IN 9A619	1	\$299,247
9E610	TECHNOLOGY CONTROLLED BY 9A610	5	\$22,523,000
9E619	TECHNOLOGY CONTROLLED BY 9A619, 9B619, 9C619 9D619	3	\$140,000

TOTAL APPLICATIONS: 140
TOTAL CCL'S: 34
TOTAL DOLLAR VALUE: \$2,418,717,033

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
KAZAKHSTAN			
EAR99	ITEMS SUBJECT TO THE EAR N.E.S.	2	\$2,550,946
0A979	POLICE HELMETS, SHIELDS AND PARTS	1	\$225,826
0A987	OPTICAL SIGHTING DEVICES FOR FIREARMS	100	\$3,560,912
1A004	PROTECTIVE AND DETECTION EQUIPMENT	11	\$243,884
1A985	FINGERPRINTING POWDERS, DYES, AND INKS	1	\$150,000
1B119	FLUID ENERGY MILLS	1	\$26,980
1B201	FILAMENT WINDING MACHINES	2	\$576,920
1D003	SOFTWARE DESIGNED FOR EQPT CONTROLLED UNDER 1A004	1	\$1,400
1E350	TECHNOLOGY FOR USE OF 1C350 CHEMICALS	1	\$75,000
2B350	CHEMICAL MANUFACTURING FACILITIES AND EQUIPMENT	15	\$22,010,017
3A101	ELECTRONIC EQUIPMENT/DEVICES NOT CONTROLLED BY 3A0	1	\$1,080,000
3A981	POLYGRAPHS/FINGERPRINT ANALYZERS/CAMERAS/EQUIPMENT	6	\$11,872,030
3D980	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 3A980 AND 3A	2	\$226,100
4A980	COMPUTERS FOR FINGERPRINT EQUIPMENT, N.E.S.	1	\$16,000,000
4D980	SOFTWARE FOR DEV/PROD/USE WITH 4A980 ITEMS	1	\$100
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	8	\$160,048
5D002	SOFTWARE FOR INFORMATION SECURITY	7	\$20,482
6A001	ACOUSTICS	1	\$1,650,000
6A003	CAMERAS	2	\$20,148
TOTAL APPLICATIONS: 152			
TOTAL CCL'S: 19			
TOTAL DOLLAR VALUE: \$60,450,793			

KOREA DEMOCRATIC PEOPLES REPUBLIC

EAR99	ITEMS SUBJECT TO THE EAR N.E.S.	19	\$4,102,556
2A994	PORTABLE ELECTRIC GENERATORS AND SPECIALLY DESIGNE	1	\$20,000
3A992	GENERAL PURPOSE ELECTRONIC EQUIPMENT	1	\$0
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	4	\$48,316
5A991	TRANSMISSION ITEMS NOT W/I PARAMETERS IN 5A001	3	\$20,151
5A992	INFORMATION SECURITY EQUIPMENT	7	\$129,699
5D002	SOFTWARE FOR INFORMATION SECURITY	2	\$29,400
5D992	SOFTWARE NOT CONTROLLED BY 5D002	5	\$15,385
5E992	TECHNOLOGY FOR INFORMATION SECURITY/CRYPTOLOGY	1	\$0
6E991	TECHNOLOGY FOR EQUIPMENT CONTROLLED BY 6A991/96-98	1	\$0
7A994	OTHER NAVIGATION/AIRBORNE COMMUNICATION EQUIPMENT	1	\$0
TOTAL APPLICATIONS: 21			
TOTAL CCL'S: 11			
TOTAL DOLLAR VALUE: \$4,365,507			

KYRGYZSTAN

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
0A018	ITEMS ON THE INTERNATIONAL MUNITIONS LIST	1	\$15,978
0A978	SAPS	2	\$28,200
0A979	POLICE HELMETS, SHIELDS AND PARTS	3	\$344,848
0A982	THUMBCUFFS, LEG IRONS AND SHACKLES	2	\$49,350
0A984	SHOTGUNS, BUCKSHOT, SHOTGUN SHELLS	4	\$16,512
0A987	OPTICAL SIGHTING DEVICES FOR FIREARMS	5	\$3,694
1A005	BODY ARMOR	1	\$78,978
3A981	POLYGRAPHS/FINGERPRINT ANALYZERS/CAMERAS/EQUIPMENT	1	\$9,534
3D980	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 3A980 AND 3A	1	\$0
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	3	\$353
5D002	SOFTWARE FOR INFORMATION SECURITY	2	\$5
TOTAL APPLICATIONS: 16			
TOTAL CCL'S: 11			
TOTAL DOLLAR VALUE: \$547,452			

LAOS

1A985	FINGERPRINTING POWDERS, DYES, AND INKS	1	\$2,490
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	2	\$21
5D002	SOFTWARE FOR INFORMATION SECURITY	1	\$11
TOTAL APPLICATIONS: 3			
TOTAL CCL'S: 3			
TOTAL DOLLAR VALUE: \$2,522			

LIBYA

0A606	GROUND VEHICLES AND RELATED COMMODITIES	1	\$40,725,000
1A004	PROTECTIVE AND DETECTION EQUIPMENT	1	\$1,757
1A007	DEVICES DESIGNED TO INITIATE ENERGETIC CHARGES	2	\$204,658,280
1A985	FINGERPRINTING POWDERS, DYES, AND INKS	3	\$1,900,001
3A101	ELECTRONIC EQUIPMENT/DEVICES NOT CONTROLLED BY 3A0	3	\$35,975,000
3A231	NEUTRON GENERATOR SYSTEMS INCLUDING TUBES	2	\$14,695,740
3A292	OSCILLOSCOPES AND TRANSIENT RECORDERS	1	\$8,785
3A981	POLYGRAPHS/FINGERPRINT ANALYZERS/CAMERAS/EQUIPMENT	2	\$385,196
3D101	SOFTWARE FOR THE USE OF CERTAIN ITEMS IN 3A101.B	1	\$20,000
3E001	TECHNOLOGY FOR DEV OR PROD OF CERTAIN ITEMS IN 3A/	1	\$10,000
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	2	\$17,918
5D002	SOFTWARE FOR INFORMATION SECURITY	2	\$400,000
5E002	TECHNOLOGY FOR DEV/PROD/USE OF INFORMATION SECURIT	2	\$1,600,000
6A003	CAMERAS	1	\$96,491
9A610	MILITARY AIRCRAFT AND RELATED COMMODITIES	1	\$700,000
9A619	MILITARY GAS TURBINE ENGINES	1	\$300,000
9A980	NON-MILITARY MOBILE CRIME SCIENCE LABORATORIES	1	\$3,120,000
TOTAL APPLICATIONS: 18			
TOTAL CCL'S: 17			
TOTAL DOLLAR VALUE: \$304,614,168			

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
MACAO			
EAR99	ITEMS SUBJECT TO THE EAR N.E.S.	1	\$288
1A004	PROTECTIVE AND DETECTION EQUIPMENT	1	\$2,300
1C010	FIBROUS/FILAMENTARY MATERIALS USED IN MATRIX STRUC	1	\$49,992
1C350	CHEMICALS, PRECURSORS FOR TOXIC CHEMICAL AGENTS	1	\$130
1C351	HUMAN PATHOGENS, ZOOSES, AND TOXINS	1	\$250
3A002	GENERAL PURPOSE ELECTRONIC EQUIPMENT	1	\$58,955
3E001	TECHNOLOGY FOR DEV OR PROD OF CERTAIN ITEMS IN 3A/	1	\$1
3E002	OTHER TECHNOLOGY FOR ITEMS IN CATEGORY 3	1	\$1
4D001	SOFTWARE FOR CERTAIN EQUIPMENT/SOFTWARE IN 4A-4D	1	\$1
4E001	TECHNOLOGY FOR DEV/PROD/USE OF CERTAIN EQUIP/SOFTW	1	\$1
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	12	\$6,299,134
5D001	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 5A001/5B001/	1	\$1
5D002	SOFTWARE FOR INFORMATION SECURITY	5	\$25,242
5E001	TECHNOLOGY FOR DEV/PROD/USE, ETC, OF EQUIP. IN 5A0	1	\$1
TOTAL APPLICATIONS: 18			
TOTAL CCL'S: 14			
TOTAL DOLLAR VALUE: \$6,436,297			

MOLDOVA			
0A978	SAPS	1	\$7,828
0A985	DISCHARGE TYPE ARMS	1	\$7,500
0A987	OPTICAL SIGHTING DEVICES FOR FIREARMS	1	\$1,830
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	5	\$52,702
5D002	SOFTWARE FOR INFORMATION SECURITY	4	\$20,383
6A003	CAMERAS	1	\$337,600
TOTAL APPLICATIONS: 10			
TOTAL CCL'S: 6			
TOTAL DOLLAR VALUE: \$427,843			

MONGOLIA			
2B350	CHEMICAL MANUFACTURING FACILITIES AND EQUIPMENT	1	\$7,366
3E001	TECHNOLOGY FOR DEV OR PROD OF CERTAIN ITEMS IN 3A/	1	\$1
3E002	OTHER TECHNOLOGY FOR ITEMS IN CATEGORY 3	1	\$1
4D001	SOFTWARE FOR CERTAIN EQUIPMENT/SOFTWARE IN 4A-4D	1	\$1
4E001	TECHNOLOGY FOR DEV/PROD/USE OF CERTAIN EQUIP/SOFTW	1	\$1
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	5	\$562,430
5D001	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 5A001/5B001/	1	\$1
5D002	SOFTWARE FOR INFORMATION SECURITY	4	\$710,543
5E001	TECHNOLOGY FOR DEV/PROD/USE, ETC, OF EQUIP. IN 5A0	2	\$4
TOTAL APPLICATIONS: 8			
TOTAL CCL'S: 9			
TOTAL DOLLAR VALUE: \$1,280,348			

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
RUSSIA FEDERATION			
EAR99	ITEMS SUBJECT TO THE EAR N.E.S.	19	\$50,347,027
0A980	HORSES BY SEA	4	\$3,715,000
0A982	THUMBCUFFS, LEG IRONS AND SHACKLES	2	\$10,090
0A984	SHOTGUNS, BUCKSHOT, SHOTGUN SHELLS	6	\$587,294
0A985	DISCHARGE TYPE ARMS	1	\$100,000
0A987	OPTICAL SIGHTING DEVICES FOR FIREARMS	614	\$12,536,521
OD521	COMMODITY SUBJECT TO EAR NOT LISTED IN GROUP D	1	\$1
OE521	COMMODITY SUBJECT TO EAR NOT LISTED IN GROUP E	2	\$3
1A004	PROTECTIVE AND DETECTION EQUIPMENT	13	\$7,821,855
1A007	DEVICES DESIGNED TO INITIATE ENERGETIC CHARGES	1	\$360,000
1A985	FINGERPRINTING POWDERS, DYES, AND INKS	1	\$2,000,000
1B001	EQUIPMENT FOR PRODUCTION OF FIBERS, PREFORMS OR CO	1	\$251,378
1B201	FILAMENT WINDING MACHINES	1	\$164,000
1C003	MAGNETIC METALS	1	\$9,264
1C006	FLUIDS AND LUBRICATING MATERIALS	2	\$116,300
1C010	FIBROUS/FILAMENTARY MATERIALS USED IN MATRIX STRUC	2	\$14,000
1C018	MATERIALS ON THE INTERNATIONAL MUNITIONS LIST	1	\$540,000
1C111	PROPELLANTS AND CONSTITUENT CHEMICALS	1	\$300
1D003	SOFTWARE DESIGNED FOR EQPT CONTROLLED UNDER 1A004	4	\$44,290
1E001	TECHNOLOGY FOR DEVELOPMENT OF EQUIPMENT UNDER 1A00	3	\$3,000
2A983	EXPLOSIVES OR DETONATOR DETECTION EQUIPMENT	5	\$1,850,212
2B001	NUMERICAL CONTROL UNITS/MOTION CONTROL BOARDS	2	\$562,350
2B008	ASSEMBLIES/UNITS/INSERTS FOR MACHINE TOOLS IN 2B00	1	\$47,000
2B350	CHEMICAL MANUFACTURING FACILITIES AND EQUIPMENT	20	\$1,464,770
2B352	EQUIPMENT FOR HANDLING BIOLOGICAL MATERIALS	9	\$4,206,755
2D002	ADAPTIVE CONTROL/ELECTRONIC DEVICE SOFTWARE	1	\$6,200
3A001	ELECTRONIC DEVICES/COMPONENTS	75	\$11,588,098
3A002	GENERAL PURPOSE ELECTRONIC EQUIPMENT	15	\$874,383
3A101	ELECTRONIC EQUIPMENT/DEVICES NOT CONTROLLED BY 3A0	1	\$256,800
3A981	POLYGRAPHS/FINGERPRINT ANALYZERS/CAMERAS/EQUIPMENT	2	\$212,262
3A999	SPECIFIC PROCESSING EQUIPMENT, N.E.S.	1	\$275,065
3B001	EPITAXIAL EQUIPMENT FOR SEMICONDUCTORS	3	\$3,200,001
3B992	EQUIPMENT FOR THE INSPECTION/TESTING OF COMPONENTS	1	\$80,260
3C004	HYDRIDES OF PHOSPHORUS, ARSENIC, OR ANTIMONY	3	\$1,730,460
3D002	SOFTWARE FOR USE OF CERTAIN EQUIPMENT CONTROLLED B	9	\$9
3D003	CAD SOFTWARE FOR SEMICONDUCTOR DEVICES/INTEGRATED	9	\$9
3D980	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 3A980 AND 3A	1	\$0
3E001	TECHNOLOGY FOR DEV OR PROD OF CERTAIN ITEMS IN 3A/	32	\$29
3E002	OTHER TECHNOLOGY FOR ITEMS IN CATEGORY 3	29	\$29
3E003	OTHER "TECHNOLOGY"	9	\$9
4A994	ITEMS NOT CONTROLLED BY 4A001/4A002/4A003	1	\$28,000
4D001	SOFTWARE FOR CERTAIN EQUIPMENT/SOFTWARE IN 4A-4D	20	\$20
4D994	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 4A994/4B994/	1	\$15,000
4E001	TECHNOLOGY FOR DEV/PROD/USE OF CERTAIN EQUIP/SOFTW	20	\$20
4E992	TECHNOLOGY FOR DEV/PROD/USE OF 4A994/4B994/4C994	1	\$14,000
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	18	\$3,556,917
5A992	INFORMATION SECURITY EQUIPMENT	1	\$80,000
5D001	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 5A001/5B001/	17	\$17
5D002	SOFTWARE FOR INFORMATION SECURITY	15	\$1,610,881

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
5D992	SOFTWARE NOT CONTROLLED BY 5D002	9	\$177,799,556
5E001	TECHNOLOGY FOR DEV/PROD/USE, ETC, OF EQUIP. IN 5A0	24	\$39
5E002	TECHNOLOGY FOR DEV/PROD/USE OF INFORMATION SECURIT	5	\$239,733
6A001	ACOUSTICS	2	\$1,080,000
6A002	OPTICAL SENSORS	2	\$43,921
6A003	CAMERAS	18	\$1,115,459
6A005	OPTICAL EQUIPMENT (LASERS)	1	\$135,000
6A006	MAGNETOMETERS/MAGNETIC GRADIOMETERS/COMPENSATION S	1	\$62,000
6E001	TECHNOLOGY FOR DEVELOPMENT OF EQUIPMENT/MATERIALS/	1	\$0
6E002	TECHNOLOGY FOR PRODUCTION OF EQUIPMENT/MATERIALS I	1	\$0
7A003	INERTIAL NAVIGATION SYSTEMS (GIMBALLED/STRAPDOWN)	2	\$192,900
7A103	INSTRUMENTATION, NAVIGATION EQUIPMENT/SYSTEMS NOT	9	\$12,885,628
7D101	SOFTWARE FOR COMMODITIES CONTROLLED BY 7A001/004,	3	\$1,501
7E001	TECHNOLOGY FOR DEVELOPMENT OF EQ. CONTROLLED BY 7A	2	\$2
7E101	TECHNOLOGY FOR EQUIPMENT/SOFTWARE CONTROLLED BY 7A	3	\$4,501
9A001	AERO GAS TURBINE ENGINES	1	\$120,000,000
9A003	GAS TURBINE ENGINE PROPULSION SYSTEMS	3	\$3,018,116
9A004	SPACECRAFT	15	\$1,631,739
9A018	COMMODITIES ON THE INTERNATIONAL MUNITIONS LIST	1	\$15,200
9B002	ON-LINE CONTROL SYSTEMS FOR GAS TURBINE ENGINES	1	\$1,185,460
9D003	SOFTWARE FOR USE OF FADEC FOR CERTAIN PROPULSION S	1	\$1
9E003	OTHER TECHNOLOGY	2	\$5,001

TOTAL APPLICATIONS: 941
TOTAL CCL'S: 71
TOTAL DOLLAR VALUE: \$429,695,636

TAJIKISTAN

EAR99	ITEMS SUBJECT TO THE EAR N.E.S.	2	\$71,358
0A979	POLICE HELMETS, SHIELDS AND PARTS	1	\$24,242
0A987	OPTICAL SIGHTING DEVICES FOR FIREARMS	6	\$2,655
1A004	PROTECTIVE AND DETECTION EQUIPMENT	1	\$28,737
1C992	OIL WELL PERFORATORS	1	\$140
2A983	EXPLOSIVES OR DETONATOR DETECTION EQUIPMENT	1	\$552,000
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	1	\$1
5A991	TRANSMISSION ITEMS NOT W/I PARAMETERS IN 5A001	1	\$93,293
5D002	SOFTWARE FOR INFORMATION SECURITY	1	\$4
5D991	SOFTWARE FOR DEV/PROD/USE WITH 5B994 TEST EQUIPMEN	1	\$900

TOTAL APPLICATIONS: 9
TOTAL CCL'S: 10
TOTAL DOLLAR VALUE: \$773,330

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
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TURKMENISTAN

1A004	PROTECTIVE AND DETECTION EQUIPMENT	3	\$2,384,000
1A007	DEVICES DESIGNED TO INITIATE ENERGETIC CHARGES	1	\$204,647,000
2B350	CHEMICAL MANUFACTURING FACILITIES AND EQUIPMENT	5	\$670,372
3A101	ELECTRONIC EQUIPMENT/DEVICES NOT CONTROLLED BY 3A0	2	\$6,495,000
3A231	NEUTRON GENERATOR SYSTEMS INCLUDING TUBES	1	\$1,620,000
3D101	SOFTWARE FOR THE USE OF CERTAIN ITEMS IN 3A101.B	1	\$60,000
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	2	\$1
5D002	SOFTWARE FOR INFORMATION SECURITY	2	\$4

TOTAL APPLICATIONS: 14
TOTAL CCL'S: 8
TOTAL DOLLAR VALUE: \$215,876,377

UKRAINE

0A984	SHOTGUNS, BUCKSHOT, SHOTGUN SHELLS	6	\$889,995
0A987	OPTICAL SIGHTING DEVICES FOR FIREARMS	34	\$563,951
1A004	PROTECTIVE AND DETECTION EQUIPMENT	2	\$2,686,275
1A005	BODY ARMOR	2	\$7,244
1A007	DEVICES DESIGNED TO INITIATE ENERGETIC CHARGES	2	\$207,126,553
1A613	ARMORED PROTECTIVE EQUIPMENT AND COMPONENTS	6	\$2,262,366
1C018	MATERIALS ON THE INTERNATIONAL MUNITIONS LIST	1	\$1,500,000
1C351	HUMAN PATHOGENS, ZOOSES, AND TOXINS	1	\$1,000
1E613	TECHNOLOGY FOR ITEMS IN 1A613, 1B613 OR 1D613	1	\$2
2A983	EXPLOSIVES OR DETONATOR DETECTION EQUIPMENT	1	\$593,000
2B350	CHEMICAL MANUFACTURING FACILITIES AND EQUIPMENT	2	\$15,600
2E003	OTHER TECHNOLOGY	2	\$2
3A001	ELECTRONIC DEVICES/COMPONENTS	3	\$247,220
3A101	ELECTRONIC EQUIPMENT/DEVICES NOT CONTROLLED BY 3A0	3	\$7,180,000
3A981	POLYGRAPHS/FINGERPRINT ANALYZERS/CAMERAS/EQUIPMENT	6	\$36,950
3D002	SOFTWARE FOR USE OF CERTAIN EQUIPMENT CONTROLLED B	3	\$3
3D003	CAD SOFTWARE FOR SEMICONDUCTOR DEVICES/INTEGRATED	3	\$3
3D980	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 3A980 AND 3A	4	\$0
3E001	TECHNOLOGY FOR DEV OR PROD OF CERTAIN ITEMS IN 3A/	7	\$7
3E002	OTHER TECHNOLOGY FOR ITEMS IN CATEGORY 3	8	\$8
3E003	OTHER "TECHNOLOGY"	3	\$3
4D001	SOFTWARE FOR CERTAIN EQUIPMENT/SOFTWARE IN 4A-4D	3	\$3
4E001	TECHNOLOGY FOR DEV/PROD/USE OF CERTAIN EQUIP/SOFTW	3	\$3
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	6	\$29,628
5D001	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 5A001/5B001/	3	\$3
5D002	SOFTWARE FOR INFORMATION SECURITY	4	\$19
5E001	TECHNOLOGY FOR DEV/PROD/USE, ETC, OF EQUIP. IN 5A0	3	\$3
9E003	OTHER TECHNOLOGY	1	\$5,000
9E619	TECHNOLOGY CONTROLLED BY 9A619, 9B619, 9C619 9D619	1	\$1

TOTAL APPLICATIONS: 85
TOTAL CCL'S: 29
TOTAL DOLLAR VALUE: \$223,144,842

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
UZBEKISTAN			
0A982	THUMBCUFFS, LEG IRONS AND SHACKLES	2	\$2,350
1A004	PROTECTIVE AND DETECTION EQUIPMENT	2	\$220,500
1A005	BODY ARMOR	1	\$861,474
1A985	FINGERPRINTING POWDERS, DYES, AND INKS	1	\$350
2B350	CHEMICAL MANUFACTURING FACILITIES AND EQUIPMENT	2	\$19,644
3A101	ELECTRONIC EQUIPMENT/DEVICES NOT CONTROLLED BY 3A0	1	\$300,000
4D001	SOFTWARE FOR CERTAIN EQUIPMENT/SOFTWARE IN 4A-4D	1	\$1
4E001	TECHNOLOGY FOR DEV/PROD/USE OF CERTAIN EQUIP/SOFTW	1	\$1
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	2	\$1
5D002	SOFTWARE FOR INFORMATION SECURITY	2	\$4
6D003	OTHER SOFTWARE	1	\$1,600,000

TOTAL APPLICATIONS: 11
TOTAL CCL'S: 11
TOTAL DOLLAR VALUE: \$3,004,325

VIETNAM

0A979	POLICE HELMETS, SHIELDS AND PARTS	1	\$37,500
0A985	DISCHARGE TYPE ARMS	1	\$50,000
1A004	PROTECTIVE AND DETECTION EQUIPMENT	7	\$217,532
1C006	FLUIDS AND LUBRICATING MATERIALS	1	\$6,000
1C008	NON-FLUORINATED POLYMERIC SUBSTANCES	2	\$312,000
1C231	HAFNIUM	1	\$110,000
1C234	ZIRCONIUM, WITH A HAFNIUM CONTENT	1	\$1,298
1C350	CHEMICALS, PRECURSORS FOR TOXIC CHEMICAL AGENTS	3	\$941,440
1C351	HUMAN PATHOGENS, ZOOSES, AND TOXINS	1	\$59,741
1D003	SOFTWARE DESIGNED FOR EQPT CONTROLLED UNDER 1A004	1	\$500
1E001	TECHNOLOGY FOR DEVELOPMENT OF EQUIPMENT UNDER 1A00	2	\$1,001
1E350	TECHNOLOGY FOR USE OF 1C350 CHEMICALS	1	\$1
1E351	TECHNOLOGY FOR USE OF MICROBIOLOGICAL MATERIALS	1	\$1
2A983	EXPLOSIVES OR DETONATOR DETECTION EQUIPMENT	1	\$500,000
2B001	NUMERICAL CONTROL UNITS/MOTION CONTROL BOARDS	1	\$380,000
2B006	DIMENSIONAL INSPECTION/MEASURING SYSTEMS OR EQUIPM	2	\$156,035
2B350	CHEMICAL MANUFACTURING FACILITIES AND EQUIPMENT	14	\$401,976
2B352	EQUIPMENT FOR HANDLING BIOLOGICAL MATERIALS	8	\$72,895
2E001	TECHNOLOGY SUPPORTING EQUIPMENT/SOFTWARE IN 2A/2B/	1	\$1
2E002	TECHNOLOGY SUPPORTING EQUIPMENT/PRODUCTION IN 2A/2	1	\$1
2E301	TECHNOLOGY FOR USE OF COMMODITIES CONTROLLED BY 2B	1	\$1
3A001	ELECTRONIC DEVICES/COMPONENTS	6	\$1,162,333
3A002	GENERAL PURPOSE ELECTRONIC EQUIPMENT	1	\$11,859
3A233	MASS SPECTROMETERS	3	\$266,779
3A981	POLYGRAPHS/FINGERPRINT ANALYZERS/CAMERAS/EQUIPMENT	2	\$1,141,520
3B001	EPITAXIAL EQUIPMENT FOR SEMICONDUCTORS	1	\$100,000
3D002	SOFTWARE FOR USE OF CERTAIN EQUIPMENT CONTROLLED B	2	\$2
3D003	CAD SOFTWARE FOR SEMICONDUCTOR DEVICES/INTEGRATED	2	\$2
3E001	TECHNOLOGY FOR DEV OR PROD OF CERTAIN ITEMS IN 3A/	10	\$8
3E002	OTHER TECHNOLOGY FOR ITEMS IN CATEGORY 3	8	\$8
3E003	OTHER "TECHNOLOGY"	2	\$2

CCL	DESCRIPTION	APPLICATIONS	DOLLAR VALUE
4A980	COMPUTERS FOR FINGERPRINT EQUIPMENT, N.E.S.	1	\$40,000
4D001	SOFTWARE FOR CERTAIN EQUIPMENT/SOFTWARE IN 4A-4D	4	\$4
4E001	TECHNOLOGY FOR DEV/PROD/USE OF CERTAIN EQUIP/SOFTW	5	\$5
5A002	SYSTEMS/EQUIPMENT/INTEGRATED CIRCUITS FOR INFO SEC	10	\$106,181
5D001	SOFTWARE FOR DEV/PROD/USE OF ITEMS IN 5A001/5B001/	4	\$4
5D002	SOFTWARE FOR INFORMATION SECURITY	14	\$402,032
5E001	TECHNOLOGY FOR DEV/PROD/USE, ETC, OF EQUIP. IN 5A0	6	\$8
5E002	TECHNOLOGY FOR DEV/PROD/USE OF INFORMATION SECURIT	5	\$4
6A001	ACOUSTICS	1	\$55,172,920
6A003	CAMERAS	5	\$322,944
7A003	INERTIAL NAVIGATION SYSTEMS (GIMBALLED/STRAPDOWN)	1	\$62,238
9A610	MILITARY AIRCRAFT AND RELATED COMMMODITIES	2	\$61,156
9E610	TECHNOLOGY CONTROLLED BY 9A610	1	\$100

TOTAL APPLICATIONS: 99
 TOTAL CCL'S: 44
 TOTAL DOLLAR VALUE: \$62,098,032

Appendix F: Report on Domestic Impact of U.S. Exports to Controlled Countries

In accordance with Section 14(e) of the Export Administration Act of 1979 (EAA), as amended, the Bureau of Industry and Security (BIS) continues to assess the impact on U.S. industry and employment of output from “controlled countries”³ resulting, in particular, from the use of U.S. exports of turnkey plants and manufacturing facilities.

Section 14(e), which was added as an amendment to the Act in 1985, requires the following:

- “... a detailed description of the extent of injury to United States industry and the extent of job displacement caused by United States exports of goods and technology to controlled countries;” and
- “... a full analysis of the consequences of exports of turnkey plants and manufacturing facilities to controlled countries... to produce goods for export to the United States or to compete with United States products in export markets.”

Goods and Technology Exports

In calendar year 2013, U.S. exports to controlled countries totaled \$147.3 billion, which represents a 9.2 percent increase from 2012 levels of \$134.9 billion and about 9.3 percent of total U.S. worldwide exports. Historically, the dollar value of trade with controlled destinations, other than the People’s Republic of China (PRC or China), has been low. China is the largest single export market among the controlled country group, with roughly 82.6 percent of the total. Russia ranks second with roughly 7.6 percent of the total. An analysis of exports by commodity category indicates that electronics, information and communication products, transportation equipment, machinery, chemicals, and waste and scrap represented more than half of the total U.S. exports to controlled countries, especially China. The small share of U.S. exports to controlled countries relative to total U.S. exports (9.3%) suggests that the overall adverse impact through injury to U.S. industry and job displacement is not large, although controls do have greater impact on certain industry sectors and companies.

³ For the purpose of this section, “controlled countries” are: Albania; Armenia; Azerbaijan; Belarus; Burma, Cambodia; China (PRC); Cuba; Georgia; Iraq; Kazakhstan; Kyrgyzstan; Laos; Libya, Macao; Moldova; Mongolia; North Korea; Russia; Tajikistan; Turkmenistan; Ukraine; Uzbekistan; and Vietnam.

Controlled Destinations	Calendar Year 2013 U.S. Export (in millions)
Albania	\$74.4
Armenia	\$91.2
Azerbaijan	\$381.0
Belarus	\$95.1
Cambodia	\$241.2
China (PRC)	\$121,736.4
Cuba	\$359.4
Georgia	\$600.7
Iraq	\$2,021.1
Kazakhstan	\$1,150.1
Kyrgyzstan	\$106.3
Laos	\$24.4
Libya	\$837.0
Macao	\$351.2
Moldova	\$45.6
Mongolia	\$279.5
North Korea	\$6.6
Russia	\$11,136.5
Tajikistan	\$51.9
Turkmenistan	\$261.8
Ukraine	\$1,925.0
Uzbekistan	\$356.4
Vietnam	\$5,036.3
 Total Exports to Controlled Destinations	 \$147,314.9
 Total Exports to All Countries	 \$1,578,892.9
 U.S. Exports to Controlled Destinations as a Percent of Overall U.S. Exports	 9.3%
 Percent of U.S. Exports to Controlled Destinations Requiring a BIS License	 0.4%
 Percent of U.S. Exports to Controlled Destinations Subject to a BIS License Requirement	 1.7%

Although the basis for BIS's export controls are reasons of national security, foreign policy, and short supply, BIS -- as part of its defense industrial base monitoring responsibilities -- reviews on an ongoing basis the potential domestic impact of U.S. technology transfers. U.S. and other Western firms choose to establish production facilities in China for a variety of reasons, including technology transfer requirements imposed by China; a desire to take advantage of China's large pool of labor; the desire for proximity to the market for their products; and a desire to take advantage of business incentives created by Chinese local and national governments. The United States runs a trade deficit with China (\$318.7 billion in 2013), and more than 50 percent of China's exports originate from foreign-invested enterprises. Thus, these practices and trends raise concerns with regard to their impact on the competitiveness of U.S. industry and employment over the long term.

A review of license applications for exports to China in the past year shows that a significant number involve manufacturing equipment and facilities, electronics, and components for use in foreign-invested production facilities. Among the top-valued manufacturing equipment exported in 2013 were telecommunication instruments, equipment for semiconductors, machine tools, and robotics. Examples of the top-valued licensed components are semiconductor manufacturing equipment, mass spectrometers, chemical manufacturing facilities and pressure transducers. Many other types of products, such as civil aircraft, computers, other electronic components, and semiconductor manufacturing equipment under the Validated End-User Program are exported without the need for an export license (i.e., because they are not controlled for national security reasons or are eligible for shipment under a license exception). U.S. government policy is to encourage exports to China of commercial items for civil end uses and end users but not to export military items or commercial items for military end uses.

BIS also monitors certain forms of technology transfer as part of its overall responsibilities for the defense industrial base. These responsibilities include reviewing the impact of offsets on defense trade, participating in the Treasury Department-chaired Committee on Foreign Investment in the United States, and assessing the health and competitiveness of strategic industry sectors. Further information on these activities, including copies of the industrial sector assessments, is available from BIS's website at www.bis.doc.gov.

Turnkey Plants and Facilities Exports

The Export Administration Regulations (EAR) require a license to export certain items for turnkey plants and facilities to controlled destinations. As a result of several revisions to the EAR in recent years, more items for turnkey plants and facilities have become eligible for export to controlled destinations without a license or under a license exception. For example, a license is generally not required for exports to controlled countries (except Cuba and North Korea) of items for turnkey plants and facilities that are designated as EAR99 (the designation for items that are subject to the EAR but not listed on the Commerce Control List). In addition, certain items for turnkey plants and facilities may be listed in a Commerce Control List entry where the applicable reason for control does not require a license to one or more controlled destinations, as indicated in the appropriate Reason for Control column of the Commerce Country Chart.

Other items for turnkey plants and facilities may be eligible for export to controlled destinations under a license exception, such as License Exception CIV (Civil End-Users), which authorizes exports of certain national security-controlled items to civil end users, for civil end uses, in most controlled countries, except Cuba and North Korea; or License Exception TSU (Technology and Software-Unrestricted), which authorizes exports of operation technology and software, sales technology, and software updates, subject to certain conditions.

U.S. export data that are available from the U.S. Census Bureau do not provide the level of specificity needed to identify exports of turnkey plants or items for turnkey plants and facilities. This precludes a thorough assessment of the impact of U.S. exports of items for turnkey plants and facilities to controlled countries. However, the small number of such exports in the past, coupled with the low percentage of U.S. exports destined for controlled countries and items subject to a license requirement, make it reasonable to conclude that the ultimate impact on U.S. production is not significant.

Appendix G: Agricultural Supply Tables and Information

The U.S. Department of Agriculture (USDA) regularly updates the World Agricultural Supply and Demand Estimates (WASDE) report. The most recent report, prior reports, and a schedule of upcoming release dates for new reports may be accessed at:

<http://www.usda.gov/oce/commodity/wasde>

Appendix H: Export Control Reform Links

News About Export Control Reform

- Export Control Reform News

<http://export.gov/%5C/ecr/index.asp>

- Export Control Resources at Export.gov

<http://www.bis.doc.gov/index.php/2012-03-30-17-54-11>

Speeches

- Remarks of Eric L. Hirschhorn, Under Secretary for Industry and Security, at the American Bar Association Conference on FCPA, Economic Sanctions and Export Controls
October 1, 2014

<http://www.bis.doc.gov/index.php/about-bis/newsroom/speeches/148-about-bis/newsroom/speeches/speeches-2014/762-remarks-of-eric-l-hirschhorn-american-bar-association-conference-on-fcpa-economic-sanctions-and-export-controls-october-1-2014>

- Remarks of Bruce Andrews, Deputy Secretary of Commerce, at the BIS Update Conference
July 30, 2014

<http://www.bis.doc.gov/index.php/about-bis/newsroom/speeches/148-about-bis/newsroom/speeches/speeches-2014/732-remarks-by-deputy-secretary-bruce-andrews-at-the-bis-update-conference>

- Remarks of David W. Mills, Assistant Secretary of Commerce for Export Enforcement, at the BIS Update Conference
July 30, 2014

<http://www.bis.doc.gov/index.php/about-bis/newsroom/speeches/148-about-bis/newsroom/speeches/speeches-2014/719-keynote-speech-of-david-w-mills-assistant-secretary-for-export-enforcement-update-conference-july-30-2014>

- Remarks of Kevin J. Wolf, Assistant Secretary of Commerce for Export Administration, at the BIS Update Conference
July 29, 2014

<http://www.bis.doc.gov/index.php/about-bis/newsroom/speeches/148-about-bis/newsroom/speeches/speeches-2014/722-remarks-of-kevin-j-wolf-assistant-secretary-of-commerce-for-export-administration-july-29-2014>

- Remarks of Eric L. Hirschhorn, Under Secretary for Industry and Security, at the BIS Update Conference
July 29, 2014

<http://www.bis.doc.gov/index.php/about-bis/newsroom/speeches/89-about-bis/newsroom/speeches/711-remarks-of-under-secretary-eric-l-hirschhorn-update-2014-conference>

- Remarks of Denis McDonough, White House Chief of Staff, at the BIS Update Conference
July 29, 2014

<http://www.bis.doc.gov/index.php/about-bis/newsroom/speeches/148-about-bis/newsroom/speeches/speeches-2014/716-remarks-by-white-house-chief-of-staff-denis-mcdonough-as-prepared-for-delivery-for-the-bis-update-conference-july-29-2014>

- Remarks of Eric L. Hirschhorn, Under Secretary for Industry and Security, at the Export Control Reform Workshop, Colorado Springs, CO
May 19, 2014

<http://www.bis.doc.gov/index.php/about-bis/newsroom/speeches/89-about-bis/newsroom/speeches/681-remarks-of-under-secretary-eric-l-hirschhorn-at-the-export-control-reform-workshop-colorado-springs-co>

- Remarks of Eric L. Hirschhorn, Under Secretary for Industry and Security, at the Society for International Affairs Fall Conference
October 28, 2013

<http://www.bis.doc.gov/index.php/about-bis/newsroom/speeches/47-about-bis/newsroom/591-remarks-of-eric-l-hirschhorn-under-secretary-for-industry-and-security-society-for-international-affairs-fall-conference-october-28-2013>