

# KEEPING THE MOST SENSITIVE GOODS OUT OF THE MOST DANGEROUS HANDS.

## OUR MISSION

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To protect U.S. national security, homeland security, foreign policy and economic interests through a law enforcement program with a singular focus on export controls.

Export Enforcement (EE) is an elite law enforcement organization recognized for its expertise, professionalism, integrity and accomplishments. EE consists of the Office of Export Enforcement (OEE), the Office of Enforcement Analysis (OEA) and the Office of Antiboycott Compliance (OAC). EE's core mission is to prevent and deter exports of the most sensitive items to illicit end-users and uses, to embargoed destinations, and prevent Weapons of Mass Destruction (WMD) and other sensitive goods and technologies from falling into the hands of proliferators and terrorists. Our Special Agents accomplish their mission through preventative and investigative enforcement activities to include pursuing appropriate criminal and administrative sanctions against export violators and to ensure that parties involved in U.S. commercial transactions do not engage in prohibited boycott activities.

## EXPORTER COMPLIANCE

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Informed, voluntary compliance with U.S. export controls by the export trade community is an important contribution to U.S. National Security and a key component of the Bureau of Industry and Security's (BIS) export administration and enforcement programs. All parties to U.S. export

transactions must ensure their exports fully comply with all statutory and regulatory requirements.

Compliance not only involves controlled goods and technologies, but also restrictions on shipping to certain countries, companies, organizations, and/or individuals. BIS works closely with the export trade community to raise awareness of compliance best practices and "red flags" of potential illicit export activities, and to identify and act on export violations, including preventing foreign nationals from illegally obtaining, releasing, or transferring controlled U.S. technology from within the U.S.

Visit [www.bis.doc.gov](http://www.bis.doc.gov) to view the following lists that may be relevant to your export or reexport transaction: **Denied Persons List, Entity List, Unverified List, Specially Designated Nationals List, Debarred List, and Nonproliferation Sanctions.**

You can receive e-mail notifications of major changes to the BIS website or receive notifications about regulatory changes and seminars by signing up for the "e-mail notification service" at [www.bis.doc.gov](http://www.bis.doc.gov).

## VOLUNTARY SELF DISCLOSURES

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BIS encourages the submission of Voluntary Self Disclosures (VSDs) by parties who believe they may have violated the Export Administration Regulations (EAR). VSDs are an excellent indicator of a party's intent to comply with U.S. export control requirements and may provide BIS important

information on other ongoing violations. BIS carefully reviews VSDs received from disclosing parties to determine if violations of the EAR have occurred and to determine the appropriate corrective action when violations have taken place.

Additional information regarding VSDs can be found in Part 764.5 of the EAR, or the enforcement section of our website [www.bis.doc.gov](http://www.bis.doc.gov).

## FREIGHT FORWARDER RESPONSIBILITIES

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Members of the international forwarding community play a key role in ensuring the security of the global supply chain, stemming the flow of illegal exports.

Forwarding agents have compliance responsibilities under the EAR even when their actions are dependent upon information or instructions given by those who use their services. However, hiring an agent, whether a freight forwarder or some other agent, to perform various tasks, does not relieve a party of its compliance responsibilities.

Agents are responsible for the representations they make in filing export data. Moreover, no person, including an agent, may proceed with any transaction knowing that a violation of the EAR has, is about to, or is intended to occur. It is the agent's responsibility to understand its obligations. Agents and exporters should determine if "Red Flags" are present, exercise due diligence in inquiring about them, and ensure that suspicious circumstances are not ignored. Failure to do so could constitute a violation of the EAR.

## KNOW YOUR CUSTOMER

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### Examples of “Red Flag” indicators include:

- ◆ The customer or its address is similar to one of the parties found on the Commerce Department’s [BIS’s] list of denied persons.
- ◆ The customer is reluctant to offer information about the end-use of the item.
- ◆ The product’s capabilities do not fit the buyer’s line of business.
- ◆ The item ordered is incompatible with the technical level of the country to which it is being shipped.
- ◆ The customer is willing to pay cash for a very expensive item when the terms of sale would normally call for financing.
- ◆ The customer has little or no business background.
- ◆ The customer is unfamiliar with the product’s performance characteristics but still wants the product.
- ◆ Routine installation, training, or maintenance services are declined by the customer.
- ◆ Delivery dates are vague, or deliveries are planned for out of the way destinations.
- ◆ A freight forwarding firm is listed as the product’s final destination.
- ◆ The shipping route is abnormal for the product and destination.
- ◆ Buyer is evasive or unclear about whether the purchase product is for domestic use, for export, or reexport.

## EXPORT ENFORCEMENT FIELD OFFICES

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**BOSTON** (617) 565-6030  
(MA, VT, NH, ME)

**CHICAGO** (630) 705-7010  
(IL, IN, MI, MO, MN, IA, ND, SD, NE, WI)

**DALLAS** (214) 767-9294  
(TX, KS, AR, OK, LA)

**HOUSTON** (281) 372-7130  
(Southern TX)

**LOS ANGELES** (949) 251-9001  
(Southern CA, AZ, CO, NM, Southern NV, HI, AK)

**MIAMI** (954) 356-7540  
(FL, GA, AL, MS, PR, VI)

**NEW YORK** (718) 370-0070  
(NY, NJ, PA)

**SAN JOSE** (408) 291-4204  
(Northern CA, WY, MT, UT, ID, WA, OR, Northern NV)

**WASHINGTON, D.C.** (703) 487-9300  
(VA, MD, DE, WV, NC, SC, TN, OH, KY)

For licensing assistance, please contact one of our Export Counselors at the following regional offices:

**WASHINGTON, D.C.** (202) 482-4811  
**NORTHERN CALIFORNIA** (408) 998-8806

**To report a possible violation, please contact the Export Enforcement Hotline at:  
1-800-424-2980**



## OFFICE OF EXPORT ENFORCEMENT

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## INDUSTRY OUTREACH



U.S. DEPARTMENT OF COMMERCE  
BUREAU OF INDUSTRY AND SECURITY  
EXPORT ENFORCEMENT