



## Pacific Northwest National Laboratory

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# EXPORT CONTROLS

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# PURPOSE

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**Background**

**Definition**

**Process**

**Consequences**

# BACKGROUND

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- **Why export controls?**
  - **Economic well-being**
  - **National security**
- **Program authority**
  - **Dept. of Commerce (15 C.F.R. 730-774)**
  - **Dept. of State (22 C.F.R. 120-130)**
  - **Dept. of Treasury (31 C.F.R. 500)**

# WHAT IS AN EXPORT?

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Shipment, transfer, or transmission of commodities (items, technical information or source code) out of the United States to a foreign entity (individual, corporation, agency, institution or government).

**NOTE: Exports can occur within the United States and are considered “deemed exports,” which also may require a license.**

# HOW DO WE EXPORT?

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## Shipments

- aircraft
- ship
- mail

## Electronically

- E-mail
- fax

## Verbally

- phone calls
- conferences

## Hand Carry

# EXPORT PROCESS

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- Determine if the export is authorized and if the commodity requires an export license
  - Review applicable references
    - CCL (Commerce Control List – Dept. of Commerce)
      - governs most export controlled commodities
    - ITAR (International Traffic in Arms Regulation – State Dept.)
      - governs items of military use/application and “dual-use” items
  - If required, obtain export license
- Ship/transfer the commodity

## !!! CONSEQUENCES !!!

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- Possible loss of export privileges
- Company could be fined **\$250K** (per violation)
- Individual could be fined **\$1M** and/or imprisoned for **20 years** (per violation)
- Possible loss of clients

\*Violations may be mitigated by filing a voluntary self disclosure (VSD)

# REFERENCES

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- Dept. of Commerce - [www.bis.doc.gov](http://www.bis.doc.gov)
  - Frequently Asked Questions  
[www.bis.doc.gov/ExportLicensingQandQ.htm](http://www.bis.doc.gov/ExportLicensingQandQ.htm)
- Dept. of State – [www.pmddtc.state.gov](http://www.pmddtc.state.gov)
- Sanction lists
  - [www.bis.doc.gov/ComplianceAndEnforcement/ListsToCheck.htm](http://www.bis.doc.gov/ComplianceAndEnforcement/ListsToCheck.htm)

# QUESTIONS?

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