



Defense Trade News

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Special Center Section

New Leaders for Defense Trade

Bureau of Politico-Military Affairs Gets New Leadership

A Message to Industry

from the Assistant Secretary of State for Politico-Military Affairs

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Defense Trade Advisory Group

Government-Private Sector Partnership in Action

The Department of State established the Defense Advisory Group (DTAG) on March 26, 1992. A public notice of the group's creation appeared in the Federal Register on April 2. The first meeting of the group was held on July 10 in the State Department's Loy Henderson Auditorium, and was attended by approximately 80 people. Observers from other government agencies, Congressional offices, and the media also attended. The 45 DTAG members who attended come from defense firms, academia, and other organizations.

William Schneider, Jr., President of International Planning Services, chairs the DTAG. Ambassador James Woolsey of the law firm Shea & Gardner is Vice-Chair.

Then Assistant Secretary of State for Politico-Military Affairs Richard A. Clarke opened the session by explaining why the DTAG was established and what benefits he hoped would result from the institution. From its commitment to reduce impediments to legitimate defense exports, the Department established the DTAG to allow for regular consultation with defense trade experts from the private sector.

Charles A. Duelfer, former Director of the Center for Defense Trade, briefed the group on the work of the Center and the Bureau of Politico-Military Affairs. His talk was followed by brief remarks from the chairpersons of each of the three Working Groups, describing how they see their individual groups functioning within the overall DTAG framework.

The Policy Working Group, chaired by Schneider, will focus on broad issues concern-

ing defense trade, technology transfer, and arms sales. Some of the issues which might be addressed include EC-92, the NATO Code of Conduct for Intra-Alliance Defense Trade, defense conversion, and foreign ownership of U.S. firms.

Under the leadership of Ramona B. Hazera of Northrop Corporation, the Regulatory Working Group will advise the Department on how to improve U.S. regulations and procedures governing defense trade. The International Munitions List (IML) is another topic for consideration.

John B. Walsh of Boeing Defense & Space Group will head the Technical Working Group. This group will address technical issues related to the U.S. Munitions List. The Technical Working Group will rotate members, based upon the issues before it.

The DTAG encourages broad participation and welcomes recommendations from all defense trade representatives, regardless of whether they are formal DTAG members or not.

The Center for Defense Trade's Office of Defense Trade Policy (DTP) serves as the DTAG Secretariat. DTP provides administrative support for the DTAG, prepares reports of its proceedings, and maintains all written products resulting from DTAG consultations. Direct questions or comments about the DTAG to:

Office of Defense Trade Policy
PM/DTP, Room 7815
Washington, D.C. 20520-7815
Phone: (202) 647-4231
Fax: (202) 647-4232 ♦

Partnership of Concerns

DTAG Chairman Discusses Government-Private Sector Cooperation

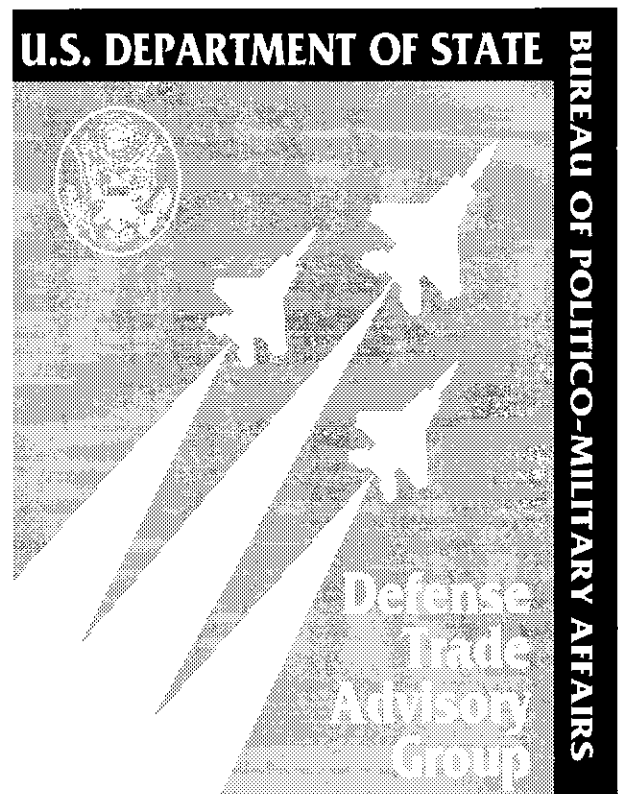
Editor's note: William Schneider, Jr., chairman of the Defense Trade Advisory Group (DTAG), addressed the groups opening meeting on July 10, 1992. The following message, provided exclusively to Defense Trade News, outlines the DTAG aims and objectives.

The Defense Trade Advisory Group (DTAG) has been established to support the Department of State in carrying out its responsibilities in the area of commercial arms transfers. Within the context of the Department's obligation to identify U.S. foreign policy and national security interests to justify specific arms transfers, the DTAG will provide advice from individuals with expertise in the policy, regulatory, and technical aspects of arms transfer policy. The DTAG will advise the Department of developments in the international and domestic market which bear on the implementation of its export promotion and regulatory mission. Members of the DTAG are selected on the basis of individual expertise rather than institutional affiliation.

To implement the DTAG advisory mission, activities will normally take place through three working groups; policy, regulatory, and technical. The Department's decision to establish the DTAG reflects its recognition of the role arms transfers play in the implementation of American foreign policy objectives abroad, and the strengthening of the defense-industrial base at home. The DTAG will ad-

vise the Department on constructive approaches to collaboration in international arms transfers, and the strengthening of bilateral and multilateral Memoranda of Understanding to facilitate successful American participation in the internationalization of the defense industry.

The DTAG will assist the Department in keeping abreast of current trends in the international defense market affecting its arms transfer responsibilities in areas such as offsets, finance, foreign regulatory practices, and export promotion activities of other nations by providing detailed, precise, and operational recommendations. ♦



DTAG Leadership

Stewards of the Working Groups

Following are biographies of the leadership of the Defense Trade Advisory Group (DTAG).

William Schneider, Jr.: Chairman of the DTAG and of the Policy Working Group. He is president of International Planning Services, Arlington, Virginia. He has served in both the Legislative and Executive branches of the U.S. Government from 1971 to 1986, including service as Associate Director for National Security and International Affairs in the Office of Management and Budget, and Under Secretary of State for Security Assistance, Science, and Technology. An economist by training, with a Ph. D from New York University, he has also been a professional staff member of New York's Hudson Institute.

R. James Woolsey: Vice-Chairman of the DTAG. Ambassador Woolsey is a partner of the law firm, Shea & Gardner, Washington, D. C. He has served as General Counsel to the Senate Armed Services Committee (1970-73), as Under Secretary of the Navy (1977-79), and as Ambassador and U.S. Representative to the Negotiation on Conventional Armed Forces in Europe (CFE) in Vienna (1989-91). He is a 1968 graduate of Yale Law School and earned an M.A. in 1965 as a Rhodes Scholar at St. John's College of Oxford University. He is a Regent of the Smithsonian Institution and has served on three Presidential Commissions; on Strategic Forces (1983), Defense Management (1985-86), and Federal Ethics Law Reform (1989).

Ramona B. Hazera: Chairperson of the Regulatory Working Group. Hazera who works for Northrop Corporation, a multinational

aerospace and electronics firm, has been Manager, International Licensing since 1982. She manages all aspects of defense and commercial licensing and international technology transfer, and is responsible for Latin American regional marketing analysis. On the Board of Directors of the Society of International Affairs (SIA), Hazera is a former president of that organization. She also chaired numerous defense industry committees and directed several licensing conferences. She has written a number of articles on defense trade for publication and is coauthor of a defense licensing handbook soon to be published.

John B. Walsh: Chairman of the Technical Working Group. Formerly Vice President, Research and Engineering Programs, Boeing Defense and Space Group, he was named Vice President Strategic Analysis at Boeing in March 1992. Prior to joining Boeing, Walsh held the Department of Defense Chair in Systems Acquisition Management and was Dean of the Executive Institute at the Defense Systems Management College, from which he now holds the title of Professor Emeritus. He has held a variety of other positions; military, government, and civilian, including Assistant to the President's Science Advisor and Assistant Secretary General for Defense Support, NATO. He is also the author of four text books, many articles and technical papers and is a licensed professional engineer. Walsh earned a Bachelor of Electrical Engineering from Manhattan College and an M.S. degree from Columbia University. ♦

Trade with Former Eastern Bloc Countries

Policy on Arms Exports to Former Soviet Union & Warsaw Pact

Historically, the United States maintained a general policy of denial of licenses for export of U.S. Munitions List (USML) items to countries on the "Prohibited List," Section 126.1 of the International Traffic in Arms Regulations (ITAR). The former Soviet Union and members of the Warsaw Pact organization have been on this list. On July 12, 1991, the Department approved the removal of Hungary, Poland, and Czechoslovakia from the list.

Remaining on the list at this time are Albania, Bulgaria, Cambodia, Cuba, Estonia, Latvia, Lithuania, North Korea, Mongolia, Romania, the Soviet Union, and Vietnam. The prohibitions that applied to the Soviet Union remain applicable to the 12 newly independent republics of Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Russia, Tajikistan, Turkmenistan, Ukraine, and Uzbekistan. The general policy of denial of export licenses for USML items will remain in effect for countries still on the list. The possibility exists, however, for waiver of the denial and approving an export on an exceptional basis.

Removing a country from the prohibited list lifts the general presumption of denial of licenses for direct commercial sales of defense articles and services to that country. No country is eligible for government-to-government sales (FMS), however, until a Presidential determination of eligibility is made under Section 53 of the Foreign Assistance Act of 1961, as amended, and Section 3(a)(1) of the Arms Export Control Act, as amended. To date, such determinations have been made only for Hungary, Poland, and Czechoslovakia.

Lifting the prohibition against direct commercial sales to a country allows U.S. companies to sell defense articles and provide defense services and to utilize companies in that country to do subcontract and joint venture

work, subject to license or other approval by the Office of Defense Trade Controls (DTC), and COCOM approval where necessary, on a case-by-case basis. In conjunction with the decision to remove Hungary, Poland, and Czechoslovakia from the prohibited destinations list, interim policy guidance was prepared to clarify exactly which USML items could be exported. This guidance will be valid for the transfer of items under the FMS program as well, whenever determinations of FMS eligibility are made.

The following is the policy which applies to defense trade, commercial, and government-to-government, with those countries already removed from the prohibited list, and to additional countries as they are removed.

The proposed export of technology, parts, or components that represent an upgrade or modernization of existing military systems will be evaluated in light of arms control, proliferation, regional stability, and technology transfer concerns.

In considering export licenses and other related requests, especially requests for reexport authority, particular regard will be given to the recipient country's progress in implementing defense export control policies and procedures consistent with U.S. accountability requirements.

COCOM obligations and procedures, where applicable, will continue to apply.

Priority will be given to exports for end use in civilian applications having public health or public safety aspects.

Export of Missile Technology Control Regime (MTCR) Category 1 commodities will not be approved. Category 2 exports will be considered on a case-by-case basis, with appropriate end use assurances required for any approved transfer.

Approval for the export of items related to chemical and biological warfare (CBW) will be strictly limited to protective articles, such as individual chemical agent detectors.

Full review will continue for

- all items controlled by non-proliferation regimes,
- all lethal USML items, and
- for all USML items going to military, paramilitary, or security organizations.

Export licenses or other approvals relating to significant military equipment, either as a complete weapon or weapons system, will be reviewed using the following criteria.

- Does it introduce new military capabilities into the region?
- Does it contribute to a regional arms race?
- Does it maintain a preexisting defensive capability?

For updates or additional information, contact:

Office of Defense Trade Policy
PM/DTP, Room 7815
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Phone: (202) 647-4231
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Yugoslavia Embargo

UN and U.S. Sanctions Continue

Following the outbreak of hostilities in the former Yugoslavian republic, the United States, along with its European allies, imposed a general arms embargo in an effort to

curtail the level of violence inflicted upon the Yugoslavian population. Shortly afterwards, the United Nations Security Council also supported an arms embargo aimed at suppressing long-term conflict. The Security Council imposed stringent economic and political

sanctions against Serbia and Montenegro for their involvement in perpetuating the conflict. The provisions and requirements of both the U.S. and UN arms embargoes remain in effect.

U.S. Actions. The U.S. embargo began on July 11, 1991, for all of the former Yugoslavia. It remains in effect until further notice. The provisions of the U.S. embargo are indicated below.

The U.S. suspended all licenses for export of items covered by the U.S. Munitions List (USML), Section 121.1 of the International Traffic in Arms Regulations (ITAR).

- The embargo includes spares and repair parts.



- The State Department's Office of Defense Trade Controls (DTC) is currently returning without action all applications for licenses and other approvals for USML items intended for export to all former Yugoslav republics.
- Requests for export of items for civilian end-use outside the republics of Serbia and Montenegro are being evaluated on a case-by-case basis.

The U.S. will not approve government-to-government sales of defense articles and services.

Security assistance under the International Military Education and Training (IMET) program has been suspended.

On May 30, 1992, the President signed Executive Order 12808, immediately blocking all property and interest in property in the United States of the Government of the Socialist Federal Republic of Yugoslavia, the Government of the Federal Republic of Yugoslavia, the Government of Serbia, and the Government of Montenegro. The Executive Order does not include property belonging to the republics of Croatia, Slovenia, Bosnia, Hercegovina, and Macedonia.

On June 5, 1992, the President signed Executive Order 12810, ordering the United States to comply with all provisions of UN Security Resolution 757. This included a broad ban against any transactions or financial dealings with the Federal Republic of Yugoslavia (Serbia and Montenegro).

UN Actions. The UN Security Council adopted Resolution 757 on May 30, 1992. The resolution instructs all member states to prevent:

- The import or export of all commodities and products originating in or going to the Federal Republic of Yugoslavia (Serbia and Montenegro), not including supplies intended strictly for medical purposes and foodstuffs;
- The Federal Republic of Yugoslavia (Serbia and Montenegro) or any commercial, industrial, or public utility within the Federal Republic of Yugoslavia (Serbia or

Montenegro) acquiring any funds or other financial or economic resources;

- Any aircraft to take off from, land in, or overfly their territory if it is destined to land in or take off from the territory of the Federal Republic of Yugoslavia (Serbia or Montenegro);
- Any dealings with aircraft registered in or operated on behalf of the Federal Republic of Yugoslavia (Serbia or Montenegro);
- Scientific and technical cooperation involving persons or groups officially sponsored by or representing the Federal Republic of Yugoslavia (Serbia or Montenegro);
- Claims against a person, persons, or company which has business dealings with the Federal Republic of Yugoslavia (Serbia or Montenegro) that were adversely effected by the embargo.
- Resolution 757 will not apply to the United Nations Protection Force (UNPROFOR), the Conference on Yugoslavia, the European Community monitoring mission, and items in transit through the Federal Republic of Yugoslavia (Serbia or Montenegro) in accordance with the UN Sanction Committee's guidelines.

UN Resolution 757 affects only Serbia and Montenegro. Two other resolutions, 713 and 743, apply to all the former Yugoslavian Republics.

- Security Council Resolution 713, adopted September 25, 1991: under paragraph 6, the UN Security Council announced its decision to implement a "general and complete embargo on all deliveries of weapons and military equipment to Yugoslavia." This resolution remains in force.
- Under Security Council Resolution 743 of February 21, 1992, the arms embargo does not apply to UNPROFOR in Yugoslavia.

For further developments, contact:

Office of Defense Trade Policy
 PM/DTP, Room 7815
 Washington, D.C. 20520-7815
 Phone: (202) 647-4231
 Fax: (202) 647-4232 ♦

Identifying High-Risk Exports

Standards for Industry Screening of Potential Exports

Applicants must ascertain the specific end-user and end-use prior to submitting an export application to the Office of Defense Trade Controls (DTC). Exporters must also ascertain the specific end-user and end-use prior to claiming an exemption under the International Traffic in Arms Regulations (ITAR, 22C.F.R. §123.9).

To aid applicants and exporters in performing this duty, DTC developed standards to use when analyzing a proposed export transaction in order to identify a high-risk export. If a proposed transaction appears risky, the applicant or exporter should be especially cautious and exert every effort to verify the information presented on end-user and end-use. The following "Standards for Identifying High-Risk Exports" appeared as Public Notice 1081 in the Federal Register on September 26, 1988 (See 53 Fed. Reg. 37382).

1. Requested equipment does not match known requirements or inventory of the foreign end-user.
2. Requests for spare parts are in excess of projected needs or are for systems not in the foreign end-user's inventory.
3. There is a private intermediary in the proposed export, particularly in sales involving major weapon systems.
4. Customer or purchasing agent is reluctant to provide foreign end-use or foreign end-user information.
5. Performance/design requirements are incompatible with the foreign end-user's resources or environment, or with the foreign consignee's line of business.
6. Stated end-use is incompatible with the customary or known applications for the equipment being purchased.
7. Stated end-use is incompatible with the foreign consignee's line of business.
8. Stated end-use is incompatible with the technical capability of the foreign consignee or end-user.
9. Customer is willing to pay cash for a large value item or order.
10. Little or no customer business background information is available.
11. Apparent lack of customer familiarity with the commodity's performance/design characteristics or uses.
12. Customer/purchasing agent refuses installation or service contracts that are normally accepted in similar transactions.
13. Vague delivery dates or delivery locations that are inconsistent with the type of commodity or established practices.
14. Freight forwarders are designated as foreign consignees or foreign end-users.
15. Use of foreign intermediate consignee(s) whose location/business is incompatible with purported foreign end-user's nature of business or location.
16. Packaging or packing inconsistent with shipping mode and/or destination.
17. Suspect or inadequate information is available on foreign intermediate consignee or foreign end-user.
18. Evasive responses to questions regarding any of the foregoing, as well as whether equipment is for domestic use, export or reexport. ♦

Guidelines for Preparing CJs

Outline for Commodity Jurisdiction Requests

The purpose of a commodity jurisdiction (CJ) request is to determine whether an item requires a Department of State license to export. A company in doubt about the jurisdiction of an item should request a CJ determination. CJ requests can also be used to ask that an item be moved from State Department to Commerce Department jurisdiction. Anyone can request a CJ determination on any item, but it should be kept in mind that this will only identify the proper licensing authority, and is not a license or approval to export an item.

The CJ Process. Requests for CJ determinations should be submitted to the Office of Defense Trade Controls (DTC) in the form of a letter along with supporting documents identifying the item to be reviewed. Once received by DTC, each CJ is assigned a case number, and copies are forwarded to other interested U.S. Government agencies for review and comment. Nine complete sets of the CJ (letter and attachments) should be sent to DTC to avoid delay in the interagency coordination process. Upon receipt of other agency recommendations, DTC makes a jurisdictional determination which is then provided to the requestor in writing.

Preparing the CJ Package. Use the following guidelines in preparing the CJ letter and supporting documentation. Prepare all correspondence on company letterhead.

- **Subject Line.** On the subject line, identify the letter as a "Commodity Jurisdiction Request for (item or items)." Be as specific as possible when identifying an item. Give a complete description, including the manufacturer, the model and/or part number, in addition to the name of the item. If a previous CJ is being appealed, provide the previous CJ case number.
- **Description.** State what the item is, what it is a component of, what it does, how it

works, and any other information that describes the item.

- **Origin of Commodity.** State what the item was originally designed for and/or why the item was created. Identify whether the item was designed specifically for military use, for commercial use, or for both military and commercial use. Give examples to support the claim. If the item was developed for a U.S. Government agency or with U.S. Government funding, please state so and identify the agency. It is also helpful in this section of the letter to provide a brief product history.
- **Current Use.** Describe all current uses for the item, and state whether or not uses have changed significantly over time. Indicate only what an item "is used for," rather than what it "can be used for." Identify whether most of the product market is military or commercial.
- **Special Characteristics.** Describe any military standards or specifications that the item is designed to meet. Describe in detail any special characteristics of the item, such as radiation-hardening, hard points, TEMPEST capability, intelligence gathering capability, etc. If the item uses image intensification tubes, give the level of technology (e. g. , Gen II, Gen III, etc.). If the item uses encryption algorithms, state what the encryption is for and describe the algorithm. Check with the CJ staff before submitting CJ requests for mass market software containing encryption.
- **Other Information.** In this section, provide any other information that would be helpful in making a jurisdictional determination. If the applicant believes that an item should fall under a particular jurisdiction, this is the place to make the case. Name the recommended agency (State or Commerce), the U.S. Munitions List Category or ECCN number, and the reasons for the recommendation.
- **Attachments.** Include brochures, specification sheets, marketing literature, technical data, or any other document that will assist the government in making a determination.

Getting Your Request to DTC. When sending your CJ request to DTC, be careful to address it correctly in order to avoid delays. If sending it through the U.S. Postal Service system (other than Express Mail), use the following address:

Office of Defense Trade Controls
PM/DTC, SA-6, Room 200
U.S. Department of State
Washington, D. C. 20522-0602

If you send your request by a courier service such as UPS, Federal Express, or Express Mail, address it as follows:

Office of Defense Trade Controls
PM/DTC, SA-6, Room 200
U.S. Department of State
1701 N. Fort Myer Drive
Arlington, VA 22209-3113

What Happens Next? DTC will normally process a CJ case in approximately 45 days. This includes the time needed to resolve conflicting interagency views and to complete the internal review process. Processing time, however, will vary depending upon the complexity of the case (e. g. , need for additional interagency coordination, additional reviews, etc.) You will be advised when the processing time required is in excess of 45 days.

CJ Case Status. Status of cases may be obtained by calling the CJ staff at (703) 875-5655 or 875-7041. Upon receipt at DTC, a CJ request is assigned a case number and entered into the DTC data banks before being forwarded to the CJ staff. After 7 to 10 days, applicants should call the CJ staff to obtain the case number. With this number, status of the request can be obtained by calling the automated license status line, ALISS at (703) 875-7374. Applicants who subscribe to the Remote On-Line Bulletin Board (ROBB), can obtain status information via computer on (703) 875-6650.

Requests for Reconsideration. If an applicant disagrees with a DTC determination in a case, or if it is believed that changes in export regulations cause a transfer of jurisdiction, a request for reconsideration can be submitted. The format for a request for reconsideration is identical to an original CJ request. The case number and title of the CJ to be reconsidered should be given in the subject line. In the body of the request for reconsideration, specific and detailed reasons for the submission should be given along with appropriate justification and any other relevant information.

Points of Contact. For additional information, the points of contact at DTC are Major Gary Oncale (703)875-5655) and Christopher Elder ((703) 875-7041). They can also be contacted by fax at (703) 875-6647. ♦

Expedited CJ's For Mass Market Software

New Procedures Speed Jurisdictional Transfer for Software that Contains Encryption

On April 27, 1992, as a result of public comments on proposed rule changes regarding cryptographic devices covered by the U.S. Munitions List (USML), the Department of State published a revised USML which clarified the cryptographic devices and technical data that are subject to USML controls. Additionally, on July 20, the State Department published an interim final rule that announced a procedure to allow quicker transfer to the Commerce Department's Commerce

Control List (CCL) of some mass market software products with encryption.

The criteria for determining eligibility of a mass market software for expedited handling is outlined in paragraphs 1 and 2 in the box on page 13. All commodity jurisdiction (CJ) requests for mass market software products with encryption will be reviewed using the criteria given in the checklist in one of the following manners:

- Requests for review of products which meet the criteria listed in paragraphs 1 and 2 will be processed within 7 working days of receipt of a properly completed request.
- Those requests for products which meet only the criteria in paragraph 1 will be processed within 15 days or the requestor will be notified to provide additional information within 15 working days. When additional information is requested, the request will be processed within 15 working days of the receipt of the requested information.
- Products that do not meet the listed criteria are not eligible for expedited handling and will be processed using the normal CJ procedures as described in 22 C.F.R. §120.5.

Applicants who want an expedited CJ on an entire product line must submit separate CJ requests for each product. A mass market software commodity that runs on multiple operating systems, however, can be submitted as a single CJ request.

Seven-Day Cases. The following procedures must be used in the preparation and submission of CJ requests eligible for 7-day handling.

a. If the software product meets the criteria in paragraphs 1 and 2 (see box on page 13), the applicant must call the Office of Defense Trade Controls (DTC) to obtain "Supplemental Form For Mass Market Software Expedited Review" which contains a test vector. The test vector must be used in the CJ review process to confirm that the software has properly implemented the approved encryption algorithm(s). Points of contact at DTC are Major Gary Oncale at (703) 875-5655 or Chris Elder at (703) 875-7041.

b. Upon receipt of the test vector, the applicant must encrypt the test plain text input provided using the commodity's encryption routine (RC2 and/or RC4) with the given key value. Do not preprocess the test vector by any compression or any other routine that changes its format. Place the resultant test cipher text output in hexadecimal format on the "Supplemental Form For Mass Market

Software Expedited Review," and submit the form with the CJ request.

c. The following information must be provided in the CJ request letter.

- The subject line must state "Mass Market Software with Encryption — 7 Day Expedited Review Requested."
- State the name of the software product being submitted for review. Remember that a separate CJ request must be submitted for each product.
- In the body of the letter, state that you have reviewed the software which is the subject of the CJ request, and determined that it meets the criteria of paragraphs 1 and 2 of the "Criteria For Determining Eligibility of A Mass Market Software Product For Expedited Handling."
- State how the software has been written to preclude user modification of the encryption algorithm, key management mechanism, and key space.
- Provide the following information on the software product:
 - Whether the software uses the RC2 and/or the RC4 algorithm and how the algorithm(s) is(are) used. If both of these algorithms are used in the same product, also state how the functionality of each is separated to assure that no data is operated on by both algorithms.
 - Preprocessing information on plain text data before encryption (e.g., the addition of header information or compression of the data).
 - Postprocessing information on cipher text data after encryption (e.g., the addition of clear text header information or packetization of the encrypted data).
 - Whether or not a public key algorithm or a symmetric key algorithm is used to encrypt keys and the applicable key space.

Additional Information on Source Code Requests. A CJ request to transfer the source code of a mass market software product that meets the criteria listed in paragraphs 1 and 2 must also:

continued on page 14

Criteria for Determining Eligibility of a Mass Market Software Product for Expedited Handling

1. In accordance with the Note in 22 C.F.R. § 121.1 Category XIII(b)(1), published on July 20, 1992, a mass market software product that meets all the criteria established in this paragraph will be processed in fifteen working days from receipt of the properly completed CJ request:
 - a. The commodity must be mass market software. Mass market software is computer software that is available to the public via sales from stock at retail selling points by means of over-the-counter transactions, mail order transactions, or telephone call transactions.
 - b. The software must be designed for installation by the user without further substantial support by the supplier. Substantial support does not include telephone (voice only) help-line services for installation or basic operation, or basic operation training provided by the supplier.
 - c. The software includes encryption for data confidentiality.
2. In accordance with the Note in 22 C.F.R. § 21.1 Category XIII(b)(1), published on July 20, 1992, a mass market software product that meets all the criteria established in this paragraph will be processed in seven working days from receipt of the properly completed CJ request:
 - a. The software meets all the criteria established in paragraphs 1a, 1b, and 1c, above.
 - b. The data encryption algorithm must be RC4 and/or RC2 with a key space of 40 bits. The RC4 and RC2 algorithms are proprietary to RSA Data Security, Inc. To ensure that the subject software is properly licensed and correctly implemented, contact RSA Data Security at (415) 595-8782.
 - c. If both RC4 and RC2 are used in the same software, their functionality must be separate. That is, no data can be operated upon by both routines.
 - d. The software must not allow the alteration of the data encryption mechanism and its associated key spaces by the users or any other program.
 - e. The key exchange used in data encryption must be:
 - (i) a public key algorithm with a key space less than or equal to a 512 bit modules and/or
 - (ii) a symmetrical algorithm with a key space less than or equal to 64 bits.
 - f. The software must not allow the alteration of the key management mechanism and its associated key space by the user or any other program.

continued from page 12

- Reference the applicable executable product that was transferred to the Department of Commerce.
- Include information on whether or not the source code has been modified by deleting the encryption algorithm, its associated key management routine(s), and all calls to the algorithm from the source code, or provide the encryption algorithm and associated key management routine(s) in object code with all calls to the algorithm hidden. Provide all technical details on how the source code was modified.
- Include a copy of the sections of the source code that contain the encryption algorithm, key management routine(s), and their related calls.
- Provide any additional information which you believe would assist in the review process.

d. Mail your completed CJ request letter according to the instructions in the box on page 15.

Fifteen-Day Cases. The following information outlines procedures for preparation and submission of CJ requests eligible for 15-day handling.

- a. If the software product meets only the criteria in paragraph 1 (see box on page 13), two copies of the CJ request must be prepared. See page 15 instructions on sending completed CJ requests to DTC.
- b. The following information must be provided in the CJ request letter.

- The subject line must be "Mass Market Software with Encryption — 15 Day Expedited Review Requested."
- Give the name of the software product being submitted for review. Remember that a separate CJ request must be submitted for each product.
- In the letter, state that you have reviewed the software and determined that it meets the criteria of paragraph 1 of the "Criteria For Determining Eligibility of A Mass Market Software Product for Expedited Handling."
- State that a duplicate copy has been sent to the 15-day CJ Request Coordinator.
- Include brochures, specifications, or other documentation relating to the software, as well as any additional descriptive information which you believe would assist in the review process.

Additional Information. Prior to submitting a CJ request, contact Major Gary Oncale at (703) 875-5655 or Chris Elder at (703) 875-7041. This will facilitate the submission of the proper documentation. Although DTC will accept expedited CJ requests via fax, courier, or overnight mail, fax is recommended to avoid delays incurred due to in-house processing of mail.

See box on page 15 for the CJ Team fax number and instructions for transmission of CJ requests by this method or via mail or express delivery. DTC suggests that applicants call Major Oncale or Chris Elder one day after transmitting CJ requests to verify receipt and obtain the assigned CJ case number for future reference. ♦

Transmitting Requests for Expedited CJ Determinations

Facsimile Transmission DTC Copy of CJ Requests (both 7- and 15-day requests)

To avoid delays, this is the preferred method for sending expedited CJ requests.

CJ requests for either 7- or 15-day processing transmitted via Fax should be sent to (703) 875-5845. The cover letter should be addressed to Director, Office of Defense Trade Controls, ATTN: Maj Gary Oncale—(insert 7 or 15) Day CJ Request.

Via Courier or Overnight Mail

A. If the software meets the criteria for seven- day processing, send one copy to:

U.S. Department of State
Office of Defense Trade Controls
PM/DTC, SA-6, Room 200
ATTN: Maj Gary Oncale—7-Day CJ Request
1701 N. Fort Myer Drive
Arlington, VA 22209-3113

B. If the software meets the criteria for fifteen-day processing, make two copies. Send the first copy to:

U.S. Department of State
Office of Defense Trade Controls
PM/DTC, SA-6, Room 200
ATTN: Maj Gary Oncale—15-Day CJ Request
1701 N. Fort Myer Drive
Arlington, VA 22209-3113

The second copy must be sent by Express Mail to:

ATTN: 15 Day CJ Request Coordinator
P.O. Box 246
Annapolis Junction, MD 20701-0011

DEPARTMENTS

U.S. Customs at DTC



A U.S. Customs Undercover Case Involving a Deadly Substance

(Editor's Note: The following article is reprinted from Volume 24, No. 3 of Customs Today. The article, by SSA Richard F. Kennan, was titled "Deadly Nerve Gas." The U.S. Customs Service Office of Enforcement, as the lead federal agency in export enforcement, utilizes a variety of investigative techniques and undercover "sting" operations to catch criminals. The following article recalls the events which lead to the arrest of a suspect who attempted to illegally procure one of the most deadly items controlled by the International Traffic in Arms Regulations. (See Tips and Tidbits, page 22).

On the morning of November 23, 1988, a singular telephone call was made from a business office in Summit, New Jersey, to London, England.

Telephone calls are far from unique in themselves. It was perhaps one of 10 million made in the United States that morning. But the content of this particular call would echo loudly throughout the world.

For the casual listener, the conversation would seem innocuous enough: two businessmen, a product name, request for a quote, delivery times, et cetera. To the incidental listener, this was hardly unusual.

The phone call in question was made by a New Jersey businessman in response to a fax message received the day before. Eager for

business, Juwhan Yun carefully dialed the London number and was put through to Charles Caplan immediately.

The casual listener heard two well acquainted professionals exchange pleasantries and then get down to business. Caplan was interested in a product called Sarin and gave Yun the chemical name: methyl fluoro-phosphonate isopropyl. And he wanted 500 units as soon as possible.

To the casual listener, this might have been a new toothpaste or cleanser, urgently needed for the London market. Or a new antibiotic being ordered by a pharmaceutical house or a weed-resistant fertilizer or a motor oil additive.

Yun listened carefully, making notes, asking for more details and promising instant action. Sourcing, pricing, and delivery, after all, were his forte.

The accidental listener in an adjoining office would not have even raised an eyebrow at the preceding telephone call. It was the everyday conversation of two commodity traders working for percentages and margins, supplying so many metric tons of this or bushels of that to the world market.

However, there were listeners, but not unintentional listeners. There were listeners whose job it was to eavesdrop—not on just anyone—but on the telephone conversations of Juwhan Yun. For Yun, a savvy and prosperous Korean-American exporter, was the subject of a federal wiretap concerning his munitions business. And Charles Caplan was an international arms diverter, a convicted felon in the United Kingdom, notorious for his Iranian and Libyan dealings.

Sarin. And the supervisor of the wiretap knew well what Sarin was. It was the deadliest poison gas ever produced, developed by the Nazis in the early stages of World War II and tested upon humans in the death camps during the Final Solution. Sarin, a non-persistent nerve gas also known as GB, was so efficient that it required no improvement or refinement over the years.

That Charles Caplan was interested in Sarin meant that the Iran-Iraq peace talks were not going smoothly. The Iranians were interested in their own Final Solution.

Antidote to genocide. On October 31, 1988, U.S. Customs special agents "went up" on a unique wiretap in Newark, New Jersey.

It was the first time in law enforcement history that any federal agency had intercepted fax messages, as well as conversations, on a wiretap.

Not to be confused with telex, fax is the modern day replacement for business communication over telephone lines, enabling the conversing parties to exchange documents instantaneously.

Whenever Yun, doing business as Komex International, sent or received a fax message, the SAC/Newark Strategic Group got a copy simultaneously. One of the features that makes fax so popular is security; its unique digital nature guarantees total privacy-almost.

To break that security, Customs imported experimental equipment from Denmark and used it on-line in a court-ordered interception designed around this completely untested piece of equipment.

From late June 1988 through January 1989, the Strategic Group also had an undercover agent interacting with Yun. The undercover, posing as a munitions supplier, was negotiating with Yun for Tow missiles, Stinger missiles, classified U.S. missile technology, radar systems, and other munitions items for export, unlaw-

fully, to Yun's clients in Iran and the People's Republic of China.

These items, embargoed from export to both countries, forced Yun to establish a sophisticated code system with the undercover and the end-users to ease communication and negotiations. Shortly after the November 23 telephone conversation with Caplan, Yun asked the U.S. Customs undercover agent if he could provide Sarin in large quantity for export, clandestinely, to Iran. The answer was yes. Yun provided the code word—"saccharine."

Saccharine. During the following 45 days, Yun, Caplan, and the Customs undercover agent negotiated the sale and exportation of the Sarin. Caplan indicated that the buyer was interested in the Mark 94, a 500-pound explosive device containing 108 pounds of liquid Sarin, designed to be dropped from an aircraft. Information was also furnished Yun concerning the Mark 116, another 500-pound bomb nicknamed "Weteye" because it contained 348 pounds of Sarin. Weteye was undoubtedly the most lethal 500-pound package ever created by man.

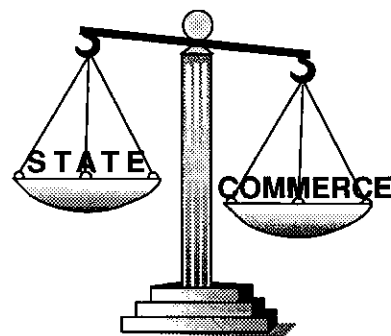
On January 9, 1989, Yun traveled to London to meet Caplan and his principals, concluding the financial transactions involving the Sarin. While there, he opened an account at the Korea First Bank under a fictitious name for the purpose of wire transferring funds to his American supplier. On the following day he returned to the States.

Crank shafts. On January 12, 1989, Yun was arrested by special agents as he entered the Hemisphere Center in Newark. He was enroute to meet with the supplier of Sarin, whose office turned out to be that of the Special Agent in Charge.

In a meeting on the previous day, Yun had stated that Caplan desired 500 Mark 94 and 500 Mark 116 bombs as an "initial order." Additionally, he gave the undercover agent instructions to misdescribe the Sarin as machinery, specifically "crankshafts," on the

continued on page 22

Commodity Jurisdiction Determinations



The following chart provides selected Commodity Jurisdiction (CJ) determinations. The commodity descriptions are intentionally general to ensure the confidentiality of all proprietary information related to the individual cases. These determinations apply only to the specific commodity reviewed in the CJ process. If you believe one of your products is similar to one of those listed as having been placed on the Commerce Department's Commerce Control List (CCL), please submit a CJ request letter (ITAR) § 120.5. Refer to the articles "Guidelines for Preparing CJs" and "Expedited CJs For Mass Market Software" in this issue, and "Class and Multiple CJ Requests" in Vol. 3, No. 1, January 1992, for guidance in preparing the CJ request letter.

COMMODITY	JURISDICTION	COMMODITY	JURISDICTION
Air Conditioners, Shipboard	CCL 8A94F	Explosives, RDX and PETN Based	USML V (a)
Air Vehicle, Specifically Designed for Surveillance and Reconnaissance	USML VIII (a)	GPS Receiver, Capable of Receiving only C/A Navigation Code	CCL 7A94F
Battery Charger, not Specifically Designed for Military Use	CCL 9A96G	High Temperature Superconductivity Technology	CCL 3E01A
Broaching Machine	CCL 2B18A	Liquid Hydroxyterminated Polybutadiene (HTPB), Not Meeting Parameters for USML Control	CCL 1C31B
Building Access Control Equipment	CCL **	Logarithmic Video Amplifier Integrated Circuit	USML XI (d)
Cargo Trucks With the Ability to Mount a Weapons Kit	USML VII (d)	Mass Data Storage System	CCL 4A96G
Modified to Remove the Ability to Mount a Weapons Kit	CCL 9A18A	Military Fuel Thickener	USML V (b)
Cargo Hook for Use on Helicopters	CCL 9A94F	Modular Avionics Systems Designed for Commercial Aircraft	CCL **
Cellular Telephone System	CCL 5A11A	Designed for Military Tanker/Transport Aircraft	USML XI (a)(2)
Commercial Imaging System, Employing a Military Gen II Image Intensification Tube	USML XII (e)	Munitions Demilitarization Equipment & Related Technical Data	USML XXI
Computer, Ruggedized for Industrial Use	CCL **	Photovoltaic (Solar) Cells Specifically Designed for Space Application	USML VIII (j)
Control Display Specifically Designed for Military Helicopters	USML VIII (j)	Printer, Ruggedized for Industrial Use	CCL 4A96G
Copy Protection Software Program	CCL **	Protective Helmet, not Specifically Designed for Military Use	CCL 0A18A
Cryptographic Components for Implementation of the DES Algorithm	USML XIII (b)	Quartz Filters and Discriminators, Designed or Modified for Military Application	USML XI (e)
Disk Drives Designed or Modified for Military or Space Application	USML XI (e) & USML VIII (j)	Radiation Hardened Microelectronic Integrated Circuit, Designed for Use in Space	USML XI (c)(3)
Not Designed or Modified for Military or Space Application	CCL 4A96G	Radiation Hardened Equipment for Use in Space Applications	USML VIII (j)
Drilling Probe	CCL 7A23B	Random Password Generator	CCL 5A11A
Electrical Power Generating Systems Specifically Designed for Military Aircraft	USML VIII (j)	Rate of Fire Recorder & Components Specifically designed for Use with Small Calibre Weapons	USML XII (a) & (c)
Electronic Mail Program	CCL 5D13A	Reversible Hydraulic Motor Pump	CCL 9A94F
Emission Microscope Containing a Gen III Image Intensification Tube	USML XII (e)	Satellite Television Receivers Employing Digital Decryption Capability not Limited to Audio, Video, or Management Functions	USML XIII (b)(1)
Engine Monitors Programmed for Commercially Certified Engines	CCL 9A94F		
Programmed for Military Engines	USML VIII (j)		

COMMODITY	JURISDICTION	COMMODITY	JURISDICTION
Sealant, Used in Aircraft Fuel Tanks	CCL **	Software Designed to Analyze and Integrate Battlefield Intelligence	USML XIII (a)
Signal Analysis System, Without TEMPEST Library	CCL 4A03A	Sonar Image Processing System	CCL 6A94F
With TEMPEST Library	USML XI (b)	Space Rover, not Space Qualified	CCL 9A96G
Silicone Brake Fluid	CCL **	Switched Filter Banks	CCL 3A96G
Software Specifically Designed for Military Data Collection and Analysis	USML XVIII	Synthesizers, not Specifically Designed for Military Use	CCL 3A93F
Software, using Encryption for Authentication, Virus Protection	CCL **	Tactical Airborne Navigation System Designed for Military Use	USML XI (a)(2)
Software for Password Decryption	USML XIII (b)	Technical Data on Small Calibre Weapons	USML I & II
Software Designed for Geographic Data Collection and Analysis	CCL **	Test Sets Specifically Designed to Test Military Meteorological Equipment	USML XI (e)
Software, Employing Encryption for User Authentication	CCL **	Time Management Software	CCL 5D13A
Software using Data Encryption Standard (DES) to Encrypt Files	USML XIII (b)	Tomography Equipment Related Technical Data	CCL 9B07A CCL 9E03A
		Trichloroacetonitrile	USML XIV (a)

** A specific Export Commodity Classification Number (ECCN) was not provided by the Department of Commerce. For the ECCN number, please file a commodity classification request with the Bureau of Export Administration (BXA), Department of Commerce, P.O. Box 273, Washington, DC 20044.

Personnel Updates

Brian McCleary recently completed his assignment to the Bureau of Politico- Military Affairs, where he served as Deputy Director of the Office of Defense Trade Policy (DTP) and as Executive Editor of *Defense Trade News*. Following a temporary assignment to the Commerce Department's Bureau of Export Administration (BXA), he returned to the State Department as Advisor to the Deputy Secretary, with responsibilities for policy and resource issues.

New Leaders for Defense Trade

Bureau of Politico-Military Affairs Gets New Leadership

The Center for Defense Trade enters the new Fiscal Year with a change of leadership. Robert L. Gallucci was confirmed as the Assistant Secretary of State for Politico-Military Affairs on July 13, succeeding Richard A. Clarke. Rand Beers, currently the Deputy Assistant Secretary of State for Security Assistance and Defense Trade, replaced Charles A. Duelfer. Both gentlemen bring extensive defense trade experience to their new positions.

Robert L. Gallucci. Previously the Senior Coordinator responsible for nonproliferation and nuclear safety initiatives in the former Soviet Union for the Deputy Secretary of State, he assumed his duties as Assistant Secretary of State for Politico-Military Affairs on July 13. Gallucci returned to Washington from New York this past February where he had been the Deputy Executive Chairman of the UN Special Commission overseeing the disarmament of Iraq.

Gallucci began his foreign affairs career at the Arms Control and Disarmament Agency in 1974. In 1978 he became a division chief in the State Department's Bureau of Intelligence and Research, and from 1979 to 1981 was a member of the Secretary of State's Policy Planning Staff. He has served as an office director in both the Bureau of Near Eastern and South Asian Affairs and the Bureau of Politico-Military Affairs. In 1984 Gallucci was named Deputy Director General of the Multi-national Force and Observers in Rome where he served until 1988. He then joined the faculty of the National War College where he served until his departure for the UN in 1991. He was born in Brooklyn, New York, and

earned his bachelors degree from the State University of New York at Stony Brook, followed by a masters and doctorate in political science from Brandeis University. Before joining the State Department he taught at several colleges and universities including Swarthmore, Johns Hopkins, and Georgetown. He has written a number of publications on political-military issues, including *Neither Peace Nor Honor: The Politics of American Military Policy in Vietnam* (Johns Hopkins University Press, 1975). In 1991 he was the recipient of the Department of the Army's Outstanding Civilian Service Award.

Rand Beers. A member of the Senior Executive Service, he is currently the Deputy Assistant Secretary of State for Security Assistance and Defense Trade in the Bureau of Politico Affairs (PM). He joined the Foreign Service in 1971, after serving 4 years in the U.S. Marine Corps. Prior to assuming his current duties, he served 4 years as the Director for Counterterrorism and Counternarcotics on the National Security Council Staff. Beers is no stranger to the PM Bureau, having previously served as the Deputy for Strategy and Operations and as Coordinator for Regional Affairs and Security Assistance. He has also served as Director of the Office of Security Analysis and the Office of International Security Policy, as well as Deputy Director of the Office of Policy Analysis. During his tenure in the Foreign Service, Beers was Deputy Political Advisor to the Supreme Allied Commander, Europe. A native of Washington, D.C., he received a BA in History from Dartmouth in 1964, and an MA in History from the University of Michigan in 1971.



United States Department of State

*Assistant Secretary of State
for Politico-Military Affairs*

Washington, D.C. 20520



Robert L. Gallucci

A Message to Industry

There has been a lot of change in how State handles defense trade since I last worked in PM. I've returned to a much invigorated process—State has put real effort into restructuring the arms export function to make it work better for American exporters—nevertheless, the international market has never been tougher. This means we will have to be more innovative and focused in our efforts to regulate munitions exports and support the defense industry. That is our charge from Acting Secretary Eagleburger, and we are ready to work with the defense export community in meeting this challenge. The newly-established Defense Trade Advisory Group is one example of this Administration's commitment to join with you to make munitions control work. I look forward to your advice and support.

Our door is always open.

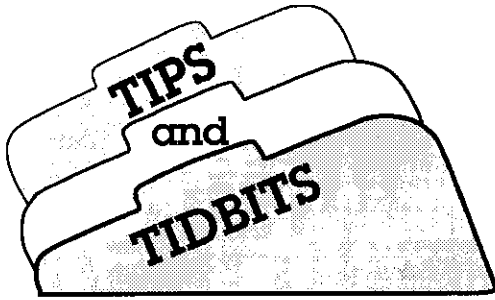
A handwritten signature in black ink, appearing to read "R. Gallucci".

continued from page 17

export paperwork to avoid U.S. Customs detection. He then told the undercover to procure a phony export license, at a cost of \$50,000, to be on the safe side. Yun was arrested. Caplan, his confederate, was indicted on two felony counts, and is still at large in the United Kingdom.

On September 18 1989, Yun was sentenced to 30 months in prison for conspiracy to violate the Arms Export Control Act.

In his sentencing memorandum to the court, Assistant United States Attorney Mark S. Olinsky cited the following chilling fact: Juwhan Yun would have earned \$2.5 million, at a minimum, for his part in the saccharine conspiracy—and the shipment of Sarin contained in excess of one billion lethal doses. ♦



Reporting Export Control Violations

The Office of Defense Trade Controls (DTC) works closely with U.S. Customs in the investigation of export control diversions and other violations of the Arms Export Control Act (AECA). Individuals having knowledge of violations of the AECA are encouraged to call DTC at (703) 875-5650 and report them. All allegations will be carefully reviewed and appropriate follow-up action will be taken. This number is staffed Monday through Friday during the hours of 9 am to 4 pm. At other times, information can be left on the answering machine tape. Callers are asked to leave a name and contact number in the event DTC or Customs must obtain additional information. Information provided will be held in the strictest confidence.

During the past 10 years, the U.S. Customs Service has successfully seized over \$870 million in illegal exports at our ports and borders and has arrested over 1,800 defendants. Many of the significant cases were accomplished with information and assistance provided by private industry. Suspicious activities involving possible violations of export laws should be reported to your local U.S. Customs Office or to the U.S. Customs Law

Enforcement Coordinator at DTC (Tom Smith at (703) 875-7049). All information provided to Customs in connection with suspected violations will remain confidential. Suspected violations of the Arms Export Control Act can also be reported to DTC at (803) 875-5650

Defense Trade News Available in Electronic Form

Defense Trade News is now electronically available to the general public. Beginning with the January 1992 issue (Volume 3, Number 1), *Defense Trade News* is available to subscribers of the Computer Information Delivery Service (CIDS). For subscription information, contact the CIDS Message Center at (703) 802-5070 (specify State Department) or write to: CIDS—State Department, Martin Marietta Corporation, 4795 Meadow Wood Lane, Chantilly, VA 22021.

DTC Registrant Code Can Have More Digits

In the article on registration in our July issue (Volume 3, Number 3, July 1992, page 13) reference was made to the final four digits of the PM/DTC Company Code as the identification of the registrant. While most registration codes have a hyphen and four digits (e.g., 1292-4321), the number of registrants has made it necessary to issue five digit codes to some newly-registered firms. These PM/DTC Company Codes do not have a dash separating the expiration date and company identification (e.g., 129254321). The first four digits of the code will continue to identify the month and year of expiration of registration, while the remaining digits will identify the specific registrant. ♦

ELISA Update

DOD offers electronic bulletin board. DTSA (Defense Technology Security Administration) is the DOD (Department of Defense) agency which reviews most of the export license applications for defense articles. DTSA provides status of export license applications direct to the exporter whenever the application has been referred to DOD. The Export License Advisor (ELISA) is a remote electronic bulletin board system that provides up-to-date status information to the exporter. The system was established in 1985 and is accessible via computer world-wide. Over 200 registered users contact ELISA 3,000 times annually.

ELISA Operation. ELISA operates 24 hours a day, except for 7-10 AM, Monday through Friday, Eastern Standard Time when the system status is updated on business days to reflect the most current status. Instructions on the use of ELISA are provided upon accessing the system via the telephone information line at (703) 697-6109. Each new applicant establishes an individual password during the initial session. To receive status information, callers must have the export license application number assigned by the Department of State or Commerce. ELISA will display the following formatted information:

Application Number	Date Received	Date Closed	Status or Action	Action Officer Name & Telephone Number
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Additional Information. ELISA users may also submit suggestions, comments, or questions about pending license applications directly to DTSA using the electronic mail capability within the program. The ELISA system administrator will quickly respond to user input. For further information, please contact Lt. Col. Ken Freshwater, Chief of DTSA's Information Services Division, by Datafax as the preferred mode for routine items at (703) 693-5305, or via telephone for urgent requests at (703) 697-7840.

Department of Defense
Export License Status Advisor

ELISA (703) 697-6109

Remote Electronic Bulletin Board
Operating 24 Hours Daily
(Except 7-10 AM Eastern Time, Mon-Fri)

1200 or 2400 Baud, No Parity,
8 Data Bits & 1 Stop Bit

Editors Note: Look for additional articles about DTSA and its role in the defense trade process in upcoming issues.

All About Contacting DTC

Principal Sections and Phone Numbers of the Office of Defense Trade Controls

One of the main goals of the Office of Defense Trade Controls (DTC) is easy information access for industry, from the status of a license application to the latest policy on exports to a particular country. The following general information, office functional descriptions, and directory (which contains names, phone numbers, and, where relevant, duty assignments and initials for DTC personnel) will enhance industry access to essential information.

Office and Telephone Hours. DTC's office hours are 8:15 am to 5 pm, Monday through Friday (excluding Federal holidays). Because of the volume of incoming license applica-

tions and other paperwork, however, DTC requests that licensing officers not be called until after 11 am. Licensing officers should also not be called to obtain license status information. This information can be obtained automatically through ALISS (from a Touch-Tone phone), or ROBB (via computer). You can also contact the License Status Staff during the hours of 9 am to 12 noon and 2 to 5 pm. Eastern Standard Time, Monday through Friday. DTC receives a large volume of calls each day, so callers are asked to be patient. Mail and facsimile queries might also be considered for requests that are not urgent or time sensitive.

Office of the Director

Name	Position	Phone Area Code (703)
William B. Robinson	Director	875-7050
Charles A. Ray	Special Assistant to the Director	875-5664
Sandra Glenn	Office Administrator	875-7050
Michael T. Dixon	Deputy Director	875-6625
Rose H. Biancaniello	Acting Deputy Director	875-6618
MAJ Marsha Finley	Managing Editor, <i>Defense Trade News</i>	875-5660

Arms Licensing Division

- Reviews and takes final action on all license applications or other requests for authority regarding the export and temporary import of defense articles and defense services.
- Coordinates interagency review of applications and other requests in the staffing process.
- Reviews, coordinates and takes final action on commodity jurisdiction cases.
- Provides license status information.

Rose H. Biancaniello	Division Chief	875-6618
Myrna McKee	Secretary	875-6643

Name	Position	Phone Area Code (703)
Nora T. Hunter (NTH)	Munitions Control Analyst Companies A thru J for categories reviewed by Branch. <ul style="list-style-type: none"> • All DSP-61s and DSP-73s • DSP-5s for spare parts under \$500,000 • All license amendments • All amendments to Agreements Companies A, B, H, I (all categories)	875-6637
Carolyn L. Lancaster (CLL)	Munitions Control Analyst Category VIII (fixed wing aircraft) <ul style="list-style-type: none"> • All DSP-5s (except spare parts under \$500,000), • DSP-85s, GCs, and Distribution Agreements 	875-6616
Suzanne M. Palmer (SMP)	Munitions Control Analyst Companies K thru Z, Categories I and III <ul style="list-style-type: none"> • All DSP-5s, 85s, GCs, and Distribution Agreements 	875-5657
Kenneth M. Peoples (KMP)	Munitions Control Analyst Category IV (torpedoes, space vehicles), Category V, Category VIII (spacecraft & satellites), Category XI (space electronics, VHSIC, GPS), Category XII (weapons and space guidance/control systems), Category XIV (nuclear radiation detection/measuring devices), Category XVI (nuclear weapons), all SDI cases <ul style="list-style-type: none"> • All DSP-5s (except spare parts under \$500,000), • DSP-85s, GCs, and Distribution Agreements 	875-6619
Agreements Section		
LCDR L. Paul James (LPJ)	Munitions Control Analyst All Manufacturing License and Technical Assistance Agreements for Companies A, B, C, M/Mc	875-7044
Maj. Martin E. Maier (MEM)	Munitions Control Analyst All Manufacturing License and Technical Assistance Agreements for Companies D, H, I, J, K, L, N, O, P, Q, T	875-5653
Sue Plant (SAP)	Munitions Control Analyst All Manufacturing License and Technical Assistance Agreements for Companies E, F, G, S, U, V, W, W, Y, Z	875-5844

Name	Position	Phone Area Code (703)
Commodity Jurisdictions Section		
MAJ Gary Oncale (GMO)	Munitions Control Analyst	875-5655
Christopher Elder	Staff Assistant	875-7041

Compliance Analysis Division

- Registers all U.S. manufacturers and exporters of defense articles and those furnishing defense services.
- Ensures compliance with federal regulations.
- Coordinates and directs action on issues of debarment, licensing eligibility, and voluntary (written and oral) disclosure.

Clyde G. Bryant	Division Chief	875-6629
Nadia Brown	Secretary	875-6650
Thomas R. Smith	Coordinator for Enforcement, U.S. Customs Service	875-7049
Annette McKisson	Exodus Liaison, U.S. Customs Service	875-6630
Robert Huffman	Compliance Clerk	
Ruth Jackson	Compliance Specialist	875-5085
Celeste Lewis	Compliance Specialist	875-6649
Nancy Meyer	Compliance Specialist	875-5659
Mary Sweeney	Compliance Specialist	875-6628
Eva Tyler	Compliance Specialist	875-7051
Martha A. Wright	Compliance Specialist	875-5080
Wendy Payne	Compliance Operations Specialist (Registration)	875-6653

Administrative Section

- Comprised of several support specialists and contract data entry operators. Receives and distributes all office correspondence.
- Processes license applications and other requests for approval upon receipt.
- Handles cases through various stages of processing including: assigning case number and action officer, data entry, preparation for interagency staffing, receipt and distribution of interagency comments, and final distribution of cases.

Journice Fleming	Chief of Section	875-6644
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Computer Support Staff

- Maintains U.S. Government database on commercial defense trade.
- Provides legislative and executive branches of government with regular reports.
- Point of contact for Automated License Status (ALISS) and Remote On-line Bulletin Board (ROBB).
- Companies wishing to subscribe to ROBB should contact the systems manager.

James DePalma	Systems Manager	875-7391
LeRoy L. Mills	Computer Operator	875-6645
Randy Watkins	Computer Operator	875-6646



**U.S. Department of the Treasury
Office of Foreign Assets Control**

**“Specially Designated Vessels”
Vessels in which the Government of Iraq and/or
Specially Designated Nationals of Iraq
have an Interest: Iraq**

October 1992

This publication is designed as an unofficial reference tool listing "Specially Designated Vessels," i.e., Vessels in which the Government of Iraq and/or Specially Designated Nationals of Iraq have an interest to assist the public in complying with the various programs administered by the Office of Foreign Assets Control. A list of vessels in which Cuba or Vietnam have an interest was published separately (*Defense Trade News*, July 1992). These lists are not intended as a substitute for official listings published in the *Federal Register*. New *Federal Register* notices with regard to Specially Designated Vessels of any sanctioned government may be published at any time. Users are advised to check the *Federal Register* routinely for additional names or other changes to these lists. Current information with regard to these lists may be obtained by calling the Office of Foreign Assets Control.

WARNING: Vessels identified on these lists are blocked property in which a sanctioned government has an interest and are subject to all the prohibitions applicable to that sanctioned government. This means that the vessels cannot be used in any manner by U.S. persons and that the vessels will be taken into custody if they enter U.S. waters.

EDITOR'S NOTE: *This is the third and last of a series of tear-out sections referencing the Specially Designated Nationals (SDN's) and Prohibited Vessels.*

For further information contact the:

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"Specially Designated Vessels"

October 1992

Alphabetical listing of vessels in which the Government of Iraq and/or Specially Designated Nationals of Iraq have an interest:

Vessel Name	Ship Type	DWT	Call Sign	Owner
AIN ZALAH	Tkr	36,330	HNAZ	Iraqi Oil Tankers Company, Basrah, Iraq
AL ANBAR	Tug	N/A	YIAV	Government of the Republic of Iraq. Managed by the State Organization of Iraqi Ports, Basrah, Iraq
AL FAO	Res	80	YIAN	State Org. of Iraqi Ports
AL KARAMAH	Tkr	12,882	HNKM	Iraqi Oil Tankers Company
AL KHALIDA	Tkr	7,155	HNKD	Iraqi Oil Tankers Company
AL MANSUR	Ycht	1,223	HNMR	Iraqi State Enterprise for Water Transport
AL MERBID	Svc	4,649	YIMD	State Org. of Iraqi Ports
AL MOSUL	Svc	1,219	YIAS	State Org. of Iraqi Ports
AL NAJAF	Svc	4,740	YINF	State Org. of Iraqi Ports
AL NASR	Svc	2,444	DDRH	State Org. of Iraqi Ports
AL NASR	Tkr	1,502	HNNR	Iraqi Oil Tanker Company
AL OMARAH	Tug	320	YIAW	State Org. of Iraqi Ports
AL RAMADI	Tug	320	YIAI	State Org. of Iraqi Ports
AL RASHEED	Svc	304	YIBE	State Org. of Iraqi Ports
AL RATBA	Tkr	544	YIBA	State Org. of Iraqi Ports
AL SHUMOOKH	Tug	375	N/A	State Org. of Iraqi Ports
AL WALEED	Res	N/A	YIBF	State Org. of Iraqi Ports
AL ZAB	Tug	N/A	YIBH	State Org. of Iraqi Ports
AL ZAWRAA	Cgo	3,549	HNZW	Iraqi State Enterprise for Water Trans- port, Baghdad
AL-ALYAA	Tug	375	N/A	State Org. of Iraqi Ports
AL-AMIN	Tug	368	YIAM	State Org. of Iraqi Ports
AL-BAATH	Tkr	9,928	HNBT	Iraqi Oil Tankers Company
AL-BAKR	Res	390	YIBR	State Org. of Iraqi Ports
AL-BAYAA	Brg	1,662	HNHB	Iraqi State Enterprise for Water Trans- port. Formerly the HIBOOB.
AL-ENTISAR	Tug	375	N/A	State Org. of Iraqi Ports
AL-HATHER	Tug	368	YIHR	State Org. of Iraqi Ports
AL-KARRKH	Tug	368	YIKH	State Org. of Iraqi Ports
AL-KHALIJ AL-ARABI	Svc	4,740	YIKA	State Org. of Iraqi Ports
AL-NOHOODH	Tug	375	YINU	State Org. of Iraqi Ports
AL-QADISIYA	Ycht	100	HNKS	Iraqi State Enterprise for Water Trans- port
AL-RESSAFA	Tug	368	YIRF	State Org. of Iraqi Ports
AL-SAHIL				
AL-ARABI	Svc	6,396	HNSA	Iraqi State Enterprise for Sea Fisheries, Basrah, Iraq
AL-THIRTHAR	Tkr	524	YITH	State Org. of Iraqi Ports
AL-WAHDAH	Tug	149	YIWH	State Org. of Iraqi Ports
ALABID	Brg	1,662	HNDB	Iraqi State Enterprise for Water Trans- port. Formerly the SANABUL.

Vessel Name	Ship Type	DWT	Call Sign	Owner
ALEDREESI	Cgo	3,550	HNID	Iraqi State Enterprise for Water Transport
ALFARABI	Cgo	8,342	HNFB	Iraqi State Enterprise for Water Transport
ALFARAHIDI	Tkr	149,441	HNFR	Iraqi Oil Tankers Company
ALFIDAA	Brg	1,662	HNFD	Iraqi State Enterprise for Water Transport. Formerly the SILOWAT.
ALKHANSAA	Cgo	3,525	HNKN	Iraqi State Enterprise for Water Transport
ALKINDI	Cgo	8,342	HNKI	Iraqi State Enterprise for Water Transport
ALMUSTANSIRIYAH	Tkr	155,210	HNMS	Iraqi Oil Tankers Company
ALMUTANABBI	Tkr	130,241	HNMB	Iraqi Oil Tankers Company
ALNAJAF	Svc	4,740	YINF	State Org. of Iraqi Ports
ALQADISIYAH	Tkr	155,210	HNQS	Iraqi Oil Tankers Company
ALSUMOOD	Svc	6,977	YISD	State Org. of Iraqi Ports
ALTAAWIN				
ALARABI	Cgo	13,634	HNAI	Iraqi State Enterprise for Water Transport
ALWAHDA	Brg	1,662	HNAD	Iraqi State Enterprise for Water Transport
ALWASITTI	Cgo	8,343	HNWS	Iraqi State Enterprise for Water Transport
ALYARMUK	Tkr	149,371	HNKY	Iraqi Oil Tankers Company
ALZUBAIR	Svc	4,640	YIZR	State Org. of Iraqi Ports
AMURIYAH	Tkr	155,210	HNAM	Iraqi Oil Tankers Company
ANTARA	Svc	508	YIBD	State Org. of Iraqi Ports
ARBEEL	Tug	320	YIBB	State Org. of Iraqi Ports
BABA GURGUR	Tkr	36,397	HNGR	Iraqi Oil Tankers Company
BABYLON	Cgo	13,656	HNBB	Iraqi State Enterprise for Water Transport
BADR 7	Svc	647	N/A	Government of the Republic of Iraq, Ministry of Oil, State Company for Oil Projects, Baghdad, Iraq. (flag: Saudi Arabia)
BAGHDAD	Svc	2,900	YIAD	State Org. of Iraqi Ports
BAGHDAD	Cgo	13,656	HNBD	Iraqi State Enterprise for Water Transport
BALQEES	RO/RO	3,985	HNBL	State Organization for Iraq Government
BAROON	Fsh	6,953	HGHRA	(a.k.a. SEABANK (#129) a.k.a. BAHAR AL ARABI, a.k.a. ALBAHR ALARAH owned by Baroon Shipping Company, S Library Ramp, Gibraltar. Last known registry is Belize.
BASRA	Svc	2,906	YIAB	State Org. of Iraqi Ports
BASRAH	Cgo	13,656	HNBS	Iraqi State Enterprise for Water Transport
BUZURGAN	Tkr	36,400	HNBR	Iraqi Oil Tankers Company
DAMASCUS	Tug	149	YIDS	State Org. of Iraqi Ports
DAMEN				
GORINCHEM 5716	Svc	N/A	N/A	State Org. of Iraqi Ports
DAMEN				
GORINCHEM 5717	Svc	N/A	N/A	State Org. of Iraqi Ports
DAMEN				
GORINCHEM 5718	Svc	N/A	N/A	State Org. of Iraqi Ports
DEYALA	Tug	350	YIBJ	State Org. of Iraqi Ports
DIJLAH	Tug	356	HNDJ	State Org. of Iraqi Ports
DIVING LAUNCH 1	Svc	N/A	N/A	State Org. of Iraqi Ports
DIWANIYA	Tug	350	YIBK	State Org. of Iraqi Ports
DOCKAN	Tkr	528	YIDN	State Org. of Iraqi Ports
DUMP BARGE I	Svc	1,330	J8IY	Whale Shipping Ltd., c/o State Org. of Iraqi Ports (flag: Gibraltar)

Vessel Name	Ship Type	DWT	Call Sign	Owner
DUMP BARGE II	Svc	1,330	J8IZ	Whale Shipping Ltd., c/o State Org. of Iraqi Ports (flag: Gibraltar)
DUMP BARGE III	Svc	1,330	J8JA	Whale Shipping Ltd., c/o State Org. of Iraqi Ports (flag: Gibraltar)
FIRE BOAT No. 705	Svc	N/A	N/A	State Org. of Iraqi Ports
FIRE BOAT No. 706	Svc	N/A	N/A	State Org. of Iraqi Ports
FOREL	Fsh	1,163	HNFL	Rafidain Fisheries Co. Ltd., Basrah, Iraq
FURAT	Tug	350	HNFT	State Org. of Iraqi Ports
GAZA	Svc	2,422	YIGZ	State Org. of Iraqi Ports
HAMDAN	Tug	387	YIHM	State Org. of Iraqi Ports
HEET	Tug	89	N/A	State Org. of Iraqi Ports
HILLAH	Svc	6,709	YIAR	State Org. of Iraqi Ports
HIMREEN	Svc	508	YIHN	State Org. of Iraqi Ports
HITTIN	Tkr	155,210	HNHT	Iraqi Oil Tankers Company
IBN KHALDOON	Svc	12,670	HNIN	State Org. of Iraqi Ports
IBN MAJID 6	Svc	N/A	N/A	Iraqi State Company for Oil Projects (flag: Saudi Arabia)
IMHEJRAN	Tug	386	YIMH	State Org. of Iraqi Ports
JABHA	Tug	244	YIJA	State Org. of Iraqi Ports
JAMBUR	Tkr	35,338	HNJM	Iraqi Oil Tankers Company
JAMHORIA	Tug	368	YIJR	State Org. of Iraqi Ports
KEFAL	Fsh	1,170	HNKL	Rafidain Fisheries Co. Ltd.
KERBALA	Svc	N/A	N/A	State Org. of Iraqi Ports
KHALID IBIN AL WALEED	Svc	2,235	YIBM	State Org. of Iraqi Ports
KHANAQIN	Tkr	35,338	HNKQ	Iraqi Oil Tankers Company
KHAWLA BINT AL ZAWRA	RO/RO	3,985	HNKH	Iraqi State Enterprise for Water Transport
KIRKUK	Tkr	35,338	HNKK	Iraqi Oil Tankers Company
MANDALI	Svc	6,977	YIQS	State Org. of Iraqi Ports. Formerly the ALKADISIYAH.
MAYSALOON	Tug	368	YIMY	State Org. of Iraqi Ports
MEASAN	Tug	310	YIMN	State Org. of Iraqi Ports
METHAQ	Tug	248	YIMQ	State Org. of Iraqi Ports
MOON LADY	RO/RO	3,985	HNNZ	Pandora Shipping Co., S.A., Honduras. Managed by Petra Navigation & International Trading Co. Ltd., Amman, Jordan. Formerly the Iraqi-owned AL-ZAHRAA. (flag: Honduras)
NAGROOR	Fsh	140	N/A	Government of the Republic of Iraq, Ministry of Agriculture & Agrarian Reform, State Fisheries Company, Baghdad, Iraq
NAINAWA	Tug	310	YINW	State Org. of Iraqi Ports
NISR	Svc	744	YISR	State Org. of Iraqi Ports
NO. 1	Svc	30	N/A	State Org. of Iraqi Ports
NO. 2	Svc	30	N/A	State Org. of Iraqi Ports
NUWAIBI	Fsh	140	N/A	Iraqi State Fisheries Co.

Vessel Name	Ship Type	DWT	Call Sign	Owner
OHOD 5	Svc	N/A	N/A	Iraqi State Company for Oil Projects (flag: Saudi Arabia)
OHOD 6	Svc	N/A	N/A	Iraqi State Company for Oil Projects (flag: Saudi Arabia)
OHOD 7	Svc	N/A	N/A	Iraqi State Company for Oil Projects (flag: Saudi Arabia)
OROoba	Tug	368	YIOB	State Org. of Iraqi Ports
OTORI MARU No. 2	Svc	N/A	N/A	State Org. of Iraqi Ports
PALESTINE	Svc	4,649	YIFN	State Org. of Iraqi Ports
PILOT 393	Svc	N/A	N/A	State Org. of Iraqi Ports
PILOT 394	Svc	N/A	N/A	State Org. of Iraqi Ports
POLICE 1	Ptrl	N/A	N/A	State Org. of Iraqi Ports
POLICE 2	Ptrl	N/A	N/A	State Org. of Iraqi Ports
POLICE 3	Ptrl	N/A	N/A	State Org. of Iraqi Ports
RADHWA 18	Tug	N/A	N/A	Iraqi State Company for Oil Projects
RADHWA 19	Tug	N/A	N/A	Iraqi State Company for Oil Projects
RADHWA 20	Tug	N/A	N/A	Iraqi State Company for Oil Projects (flag: Saudi Arabia)
ROBIAN	Fsh	129	N/A	Iraqi State Fisheries Company
RUMAILA	Tkr	36,330	HNRM	Iraqi Oil Tankers Company
SAIF SAAD	Svc	742	N/A	State Org. of Iraqi Ports
SAMARRA	Fer	N/A	YIBC	State Org. of Iraqi Ports
SANAM	Svc	508	YISM	State Org. of Iraqi Ports
SBOOR	Fsh	129	HRN2	Iraqi State Fisheries Company
SEABANK	Fsh/Cgo	6,953	HQHR4	Trading & Maritime Investments, Honduras. Managed by Arab Trans Trade Co. S.A.E., Alexandria, Egypt. Formerly the Iraqi-owned AL-BAHAR AL-ARABI (flag: Honduras)
SEAMUSIC II	Cgo	26,7329	HYH2	Seamusic Shipping Co. Ltd., c/o Thenamaris Ships Management, Athens, Greece. Vessel seized by Government of Iraq. (flag: Malta)
SEBAA NISSAN	Tug	368	YISN	State Org. of Iraqi Ports
SHABOOT	Fsh	1,163	HNLK	Rafidain Fisheries Co. Ltd.
SHATT AL BASRAH	Fsh	404	HNSR	Iraqi State Fisheries Company
SHOROOK	Svc	403	YISH	State Org. of Iraqi Ports
SHU' ALAH	Tug	N/A	N/A	State Org. of Iraqi Ports
SIHAN	Tug	387	YISI	State Org. of Iraqi Ports
SINAI	Svc	1,286	N/A	State Org. of Iraqi Ports
SINJAR	Svc	N/A	YIAY	State Org. of Iraqi Ports
SKY SEA	Cgo	8,334	HNRZ	Pandora Shipping Co. S.A., Honduras. Managed by Petra Navigation & International Trading Co. Ltd., Amman, Jordan. Formerly the Iraqi-owned ALRAZI. (flag:Honduras)
SOLNECHNIK	Fsh	404	UOJE	Iraqi State Fisheries Company
SULAIMANIYAH	Svc	N/A	YIAG	State Org. of Iraqi Ports

Vessel Name	Ship Type	DWT	Call Sign	Owner
SURVEY LAUNCH No. 1	Res	N/A	N/A	State Org. of Iraqi Ports
SURVEY LAUNCH No. 2	Res	N/A	N/A	State Org. of Iraqi Ports
SURVEY LAUNCH No. 3	Res	N/A	N/A	State Org. of Iraqi Ports
TADMUR	Tkr	3,627	HNTD	Iraqi Oil Tankers Company
TAHREER	Svc	4,649	YITR	State Org. of Iraqi Ports
TARIK IBN ZIYAD	Tkr	118,139	HNTZ	Iraqi Oil Tankers Company
THEEQAR	Tug	220	YIAC	State Org. of Iraqi Ports
UR	Tug	368	YIUR	State Org. of Iraqi Ports
WORK BOAT No. 6	Brg	N/A	N/A	State Org. of Iraqi Ports
WORKSHIP 3	Svc	N/A	N/A	State Org. of Iraqi Ports
YANBU 31	Svc	N/A	N/A	Iraqi State Company for Oil Projects (flag: Saudi Arabia)
YOUSIFAN	Tug	386	YIYN	State Org. of Iraqi Ports
ZAIN AL	Cgo	9,247	HNZQ	Iraqi Enterprise for Water Transport
ZAMZAM	Tkr	544	YIAZ	State Org. of Iraqi Ports
ZANOOBIA	Cgo	3,549	HNZN	Iraqi State Enterprise for Water Transport. Represented by Ceylon Shipping Co., Colombo, Sri Lanka.
ZUBAIDY	Fsh	N/A	YIBO	State Org. of Iraqi Ports
1 ATHAR	Tkr	1,502	HNAR	Iraqi Oil Tankers Company
1 HURIZAN	Tkr	1,502	HNHN	Iraqi Oil Tankers Company
7 NISSAN	Tkr	1,502	HNNN	Iraqi Oil Tankers Company

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