

THE WORLDECR EXPORT CONTROLS AND SANCTIONS FORUM 2014

15-16 October, Dexter House, The Royal Mint, London EC3

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Official evening reception sponsor



Exchange information • Share expertise • Build contacts

Welcome



Tom Blass,
Editor,
WorldECR

Since last year's *WorldECR* Forum, the world has seen a possible easing in relations between Iran and the West, the 'accession' of the Crimean Peninsula by Russia, and the publication of more chapters in the U.S. Export Control Reform Initiative, with significant repercussions for businesses around the globe. It all goes to show that nothing stays static in the field of export controls and sanctions.

Thus, it is amidst an uncertain and changing world that we're extending to you our invitation to attend the the 2014 WorldECR Export Controls and Sanctions Forum. And of one thing you can be assured, we're bringing together a line-up of speakers and panellists of the very highest order – representatives from government, the multilateral community, private legal practice and business – for two days of presentations, panels and discussion.

Topics under discussion will range from product classification in the light of the U.S. ECR, developments within the Wassenaar Arrangement, the possible shape of a reformed EU dual-use export controls regime, through European sanctions law, Asian export controls, issues in the supply chain, best practice on EU voluntary disclosure, rules on encrypted products and 'the Cloud', advice on how to structure and skill an export controls compliance function, and much more...

Getting to know fellow professionals

During the two days of the Forum, there will be ample opportunities to make new contacts with fellow professionals, including coffee breaks and lunch on both days, plus a drinks reception at the end of day 1, kindly sponsored by leading international law firm Fried Frank, all on site at this excellent venue.

Just as we did last year, we will be organising an **optional dinner** on the first evening of the Forum, to follow the drinks reception. This will be a relaxed and informal dinner for speakers, panellists and delegates who are staying over in town, held in a local restaurant. It is optional – there is an additional charge – but it should prove a fun end to the day and, again, a great opportunity to build new contacts.

Key dates and offers

Please allow me to draw your attention to the following promotions:

- If you register by 20 September you can save £200.
- Additional delegates from the same organisation can save an additional £100.

I hope you will join us this October.

Tom Blass
Editor, WorldECR

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2014 Speakers and their Sessions



Ambassador Philip Griffiths – The Wassenaar Arrangement: developments and next steps

The Wassenaar Arrangement ('WA') is the multilateral regime responsible for maintaining the lists of dual-use technologies and munitions upon which the lists of restricted goods used by both the WA's 41 members and the European Union are substantially based.

Ambassador Philip Griffiths, who heads the Wassenaar Secretariat, will be discussing the work of the Arrangement, outlining recent developments, including the inclusion of surveillance and law enforcement technologies on its lists, and explaining the criteria upon which the WA makes its decisions as to which technologies to include or withdraw from those lists.

Prior to his appointment to the position of head of the WA Secretariat in 2012, Philip Griffiths was New Zealand Ambassador and Permanent Representative to Austria. He has also had assignments in Poland, Japan, Iran and Germany.



Fabienne Vermeeren – The EU dual-use export control regime of tomorrow

What could the EU dual-use export control regime look like in 2015 and beyond? Among the proposals advanced by the European Commission are a focus on 'smarter' controls, the enhanced and improved exchange of information and intelligence between the authorities, a swifter reaction to emerging technologies, de-listing of items which are commercially widely available and more focus on controls of intangible transfers.

Will reform reduce the burden on business or bring about the elusive yet desirable 'level playing-field' for EU Member States? And will change increase the competitiveness of EU businesses in a global context?

In her presentation Fabienne Vermeeren explores these issues, introducing delegates to the changes in the regime that may yet be on the cards.

Fabienne is a Director at the Brussels office of White & Case where she specialises in advising multinational corporations, trade associations and sovereign clients on EU trade and customs matters – routinely working on EU export control matters and sanctions regimes and their enforcement and licence application procedures at Member State level.



Mario Mancuso – Trade security and the convergence of export controls, sanctions, CFIUS and AML

It is time, trade lawyers say, to 'unbundle' the perception of export controls and sanctions practice and to recognise the overlap with other areas of trade compliance including FCPA, UK Bribery Act, CFIUS and AML. In his presentation, the Hon. Mario Mancuso will describe how, while each of these is a discrete regulatory regime, they ultimately emanate from the same national security or foreign policy concerns and demand a joined-up response from the compliance function.

The Hon. Mario Mancuso is a former senior member of the President's national security and economic leadership teams and now a partner at the DC office of law firm Fried, Frank, Harris & Shriver. During his tenure as Under Secretary of Commerce for Industry and Security, he played a pivotal role in key areas and initiatives, including the Committee on Foreign Investment in the United States (CFIUS), economic sanctions, export controls, and critical technology and critical infrastructure policy. Mario is well placed to share his insights into the convergence of compliance regimes and their common drivers and broader collective impact.

2014 Speakers and their Sessions



Mark Fitzpatrick – Staying ahead in a changing world

A resurgence of region-unsettling violence in Iraq, increased tension across East Asia and a re-adjustment of the relationship between Russia, the European Union and the United States – each individually (and collectively) alters the dynamics of non-proliferation agendas, priorities and strategies – in addition to posing new legislative and operational restraints for business.

In his presentation, Mark Fitzpatrick, director of the Non-Proliferation and Disarmament Programme at the International Institute for Strategic Studies, will give delegates a top-level view of global threats in 2015 and beyond, and explain how they are likely to impact on policy decisions that in turn determine the parameters of businesses' global activities.

Mark is a founding member of the EU Non-Proliferation Consortium. He is also a member of: the World Economic Forum Global Agenda Council on Nuclear, Biological and Chemical Weapons; the International Advisory Board of the Canberra-based Centre for Nuclear Non-proliferation and Disarmament; and the Policy Advisory Group of the United Nations Association of the UK.



Kevin Cuddy – Developing and implementing a restricted party screening programme

Art or science? Despite the abundance of available screening software programmes on the market today, screening for restricted parties remains a complex and multi-layered business and demands a human touch if it is to be undertaken sensitively and accurately.

In his presentation, Kevin Cuddy, export controls manager at GE Corporate, will be discussing the finer points of:

- Tailoring restricted party screening to a business's risk profile
- Determining who to screen, when to screen and how to screen
- Choosing a third-party software tool for conducting restricted party screening
- Documenting the results of the screening and implementing self-audits of your restricted party screening process

Kevin will also be discussing the possibility of conflicts with privacy/data protection laws and how they can be managed.



Joseph Gustavus – Sharing sensitive technologies between international affiliates

In the normal course of operations between U.S. and non-U.S. affiliates, inter-company communications and data conveyances are frequent and occur both intentionally and inadvertently.

The U.S.-foreign affiliation can be in the form of a parent company on one end, and a wholly-owned subsidiary, joint venture, minority interest or other inter-company affiliation, on the other. When sensitive technologies are involved in these inter-company exchanges, U.S. export control laws likely apply to the controlled technology transfer and export control law violations can occur.

Using practical examples, Joseph Gustavus, partner in the Troy office of Miller Canfield, examines such exchanges, detailing the controlling regulations and providing hands-on guidance for those involved in the sharing of information between affiliates.



Product classification issues at a time of export controls reform and emerging technologies – Panel Discussion

Classifying items in a multi-jurisdictional context is not easy at the best of times. But with reform in the U.S. and Europe the challenge for many companies is greater than ever. Items transitioning from the USML to CCL in the U.S. and the issuance of new licence exceptions, for example, require increased vigilance, while emerging technologies can present genuinely novel problems. Nick Boland leads a panel discussion with Sandra Strong and Fredrik Hallgren on best practice in product classification, formulating solid classification strategies, identifying red flags to potential violations, and responding to errors.

Nick Boland joined Amber Road in 2007 and is based in the UK office where he leads the European solutions team. Over the past eleven years, Nick has specialised in the supply chain compliance space, helping develop automated Trade Management platforms, tools and strategies that aid clients meet ever-changing global regulatory challenges.



A partner at Strong & Herd LLP, Sandra specialises in practical compliance issues relating to international trading including customs, UK, EU and U.S. export controls. With over 30 years' experience operating with all industry sectors – but particularly aerospace, defence, chemical and high-tech industries – Sandra works alongside international legal practices to provide a practical view.



Fredrik Hallgren is the Director of Group Trade Compliance (Group Function Legal Affairs) responsible for the trade compliance programme within the Ericsson Group. As such, it is his responsibility to ensure that the Ericsson Group is well equipped to comply with export controls, sanctions and customs regulations worldwide. This includes governance, steering documents, processes and procedures, IT tools and audits.

2014 Speakers and their Sessions



Marian Niestedt – EU Sanctions: What’s new and who is affected?

2014 has seen some significant changes in the landscape of EU restrictive measures – with a shift in the Iran sanctions to accompany the Joint Plan of Action (‘JPOA’) and a hitherto unprecedented regime targeting Russian and Ukrainian entities regarded by the EU as responsible for or encouraging human rights violations in Ukraine, the annexation of Crimea and secessionist tendencies in Ukraine’s East.

In his presentation, Marian Niestedt of the Hamburg office of Graf von Westphalen takes stock of these remarkably altered contours, fleshes out some of the interpretative issues that have emerged and assesses the commensurate impact on business.

Marian will also address issues around the extra-territorial application of EU restrictive measures creating risks for activities outside the EU.



George Tan – Update on Asia’s export controls

Until recently, the export controls of many Asian nations were widely regarded as lacking rigour and sophistication. That’s changing, with governments in the region responding to increasing pressure to step up both the quality of export control legislation and enforcement.

Indeed, 2014 has proved to be an exciting year for export control development in the Asia Pacific region. The Philippines has filed its Strategic Trade Management Act (STMA) at the Senate and House of Representatives while the export control regimes of Singapore and Malaysia have also undergone changes to maintain relevance in light of recent advances in technology. There have also been changes in Hong Kong and Singapore – with new legislation on the cards for Thailand and Indonesia.

WorldECR editorial board member George Tan, of Singapore consultancy Global Trade Security Consulting, will be helping delegates understand and navigate the changing picture of export controls in the region – with an update on recent developments, and an outline of what’s in store.

If your company sources, manufactures or supplies product in or from Asia, this presentation is a must-attend.



Daniel Reisner – Understanding the Israeli export control regime

Israel is a major trading partner with both the EU and the United States and a leading producer of hi-tech and sophisticated engineering equipment. And yet its export control laws are not that well understood.

Daniel Reisner, partner at the law firm Herzog Fox & Neeman, will begin by presenting a ‘beginners-guide’ to Israel’s export control regimes before going on to outline why they are so challenging in comparison to others. He will also address the methods adopted by Israeli industry to cope with these controls, including the recent trend of ‘regulatory structuring’ (establishing defence and homeland security companies in other jurisdictions to avoid onerous regulations).

Until 2004, Daniel Reisner served for almost 10 years as the head of international law for the Israeli military. In parallel to his private practice, he has for the past two decades served as a senior member of the Israeli peace negotiation teams with Israel’s Arab neighbouring countries, serving in the triple role of negotiator, drafter and legal adviser.



Ensuring compliance in the supply chain – Panel Discussion

Ensuring compliance within one's own company is only half the picture. Ensuring meaningful compliance increasingly entails taking an extended view of supply chains, including the roles and responsibilities of freight forwarders, transshipment centres and carriers. Bringing to bear 30 years' of experience in the distribution and logistics industry, Martin Palmer of Supply Chain Compliance leads what promises to be a multi-faceted discussion.

Martin is the founding partner of Supply Chain Compliance, a consultancy which he set up in May of this year. Prior to this, he was the director responsible for export control enforcement within TNT Express.

Further panel members will be confirmed shortly.



Dealing with the challenges faced by Internal Compliance Programmes – Panel Discussion

What are the essential components of an effective Internal Compliance Programme ('ICP') today? In this panel discussion led by Allison Porcella, participants will discuss the structure of an ICP that is responsive to ever-changing export regulations and business pressures, sanctions, suppliers and customers, and address the challenge of installing a culture of compliance throughout the company.

International Trade Compliance Manager at Pratt & Whitney Aero Engines International, Allison Porcella specialises in the complex, operational management of U.S. and European trade controls. During her career, Allison has worked in both industrial and consulting capacities, for large-scale, multi-national organisations. Her experience has included the development and implementation of trade compliance programmes, strategic planning, leading classification projects, creating and delivering training programmes, and conducting audits and investigations.

Panel member, Steven Rix is Global Lead Corporate & Financial Crime Counsel at GlaxoSmithKline where he advises extensively on anti-bribery and corruption, money laundering, and sanctions and export controls matters across the enterprise. Steven led the development and launch of a global sanctions and export control compliance programme and leads a project team responsible for driving implementation of the programme across the enterprise.

Further panel members will be confirmed shortly.





Curtis Dombek – Encryption controls, cybersecurity and the Cloud

Many compliance professionals and lawyers blanch at the thought of getting to grips with rules regarding encryption. Compounding matters, fluency in both EU and U.S. regimes is increasingly a prerequisite of a holistic understanding in this ever-topical area.

In his presentation, Sheppard Mullen’s Curtis Dombek will be comparing the EU and U.S. systems, explaining, inter alia, the differences in their classification and licensing requirements, U.S. encryption licence exceptions compared to EU general licences, and recent Wassenaar developments relevant to encryption. Curtis will also be discussing the encryption issues that arise in the use of ‘The Cloud’.

Dividing his time between his firm’s Brussels and San Francisco offices, Curtis, who was appointed in 2012 to the Regulations and Procedures Technical Advisory Committee of the Department of Commerce, with responsibility for reviewing and advising the Department on new export control regulations, is eminently qualified to give a transatlantic overview.

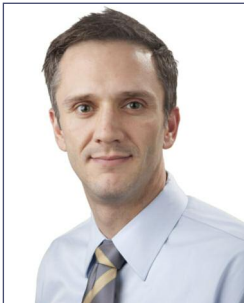


Paul Whitfield-Jones and Jason Hungerford – Understanding your obligations under U.S. deemed re-export law

Non-U.S. companies working with U.S.-origin goods or information know that they must navigate their way through a panoply of U.S. export control regulations if they want to ship them abroad or even within the same country. Obtaining licences, screening for denied parties, labelling shipments, and recordkeeping are a key part of that.

You might consider that, at least whilst the controlled material is on your premises, under your control, and presuming you are authorised to have it, you are (more or less!) safe. Those familiar with the ‘deemed’ re-export rules under the International Traffic in Arms Regulations (‘ITAR’) and Export Administration Regulations (‘EAR’) know that this is not the case.

Paul Whitfield-Jones and Jason Hungerford of Norton Rose Fulbright will explain how U.S. deemed re-export rules extend licensing requirements into a company’s own internal operations – with major ramifications for the manner in which the company manages export control compliance – drawing lessons from recent major cases involving violations of deemed re-export rules.



2014 Speakers and their Sessions



Ross Denton – The ‘when, whether and how’ of voluntary disclosure in the European Union

When, how, and whether to ‘open the kimono’ or undertake a voluntary disclosure of export control violations is a vexed subject – and no strict rules apply. In the U.S., the concept is well established and the path to self-disclosure well-trod. But the situation is different in the European Union, where – against a background of increasingly aggressive enforcement – the practice and procedure of voluntary disclosure for sanctions and export control violations are only beginning to become established as a part of the lexicon of compliance.

In his presentation, Baker & McKenzie partner Ross Denton discusses how violations emerge; the difference between serious and more minor violations and their respective treatment; and the steps that companies should take to prepare for disclosure including undertaking audits.

Ross will also outline what steps companies can expect once disclosure has been made, and discuss possible penalties in the United Kingdom, while explaining that there is no ‘one size fits all’ in the European Union, where not all regulators are equally well versed in or responsive to the practice.



Iain Macvay – Iran post-JPOA: Sunset or status quo?

The Joint Plan of Action agreed between the P5+1 and Iran took effect at the beginning of 2014 and expires in late July. But what comes next? Will the parties reach a comprehensive deal in accordance with the ‘nothing’s agreed ‘til it’s all agreed’ principle? Will they, in the face of the challenge of negotiating the many and varied technical issues involved, agree to extend the interim period? Or will the talks collapse beneath the weight of too-high expectations and unsurmountable differences?

However the ground looks at the conference time, King & Spalding partner Iain Macvay will talk delegates through the repercussions of the Iran sanctions landscape. Iain will also talk generally about what happens when sanctions regimes are wound down – often less than neatly – drawing on recent examples, including the legacy of EU sanctions against Libya.



Julien Ernoult – Combating proliferation finance: the role of the banking sector

Money laundering, transnational crime, international terrorism and its financing, and WMD proliferation threaten the legal and democratic order on which the political, social and economic stability of states is based.

The United Nations, European Union and other multilateral organisations have put in place numerous regulations for combating proliferators’ efforts to obtain the finance for their schemes. As the rules have tightened, the banking sector has gradually been entrusted with investigative functions and responsibilities that were formerly the prerogative of police and other authorities. Julien Ernoult examines the patchwork of mechanisms and asks: Has the right balance been struck between the responsibilities of state and private sector?

Julien is Department Director, Public Financing Policies and Compliance, at the European Association of Public Banks in Brussels, where he works on European and international regulation relating to anti-money laundering, counter-terrorism financing and financial sanctions.

Last year's event: the first WorldECR Forum



November 2013 and the inaugural WorldECR Export Controls and Sanctions Forum – the event was widely hailed a great success.

*'Excellent sessions.
Well thought out!'*

**Nichola Peters,
Head of Corporate
Crime and
Investigations,
Addleshaw Goddard**



*'Excellent,
thought-provoking
forum.'*

**Roopa Nandha,
IT export compliance,
Cap Gemini**

THE WORLDECR EXPORT CONTROLS & SANCTIONS FORUM

15-16 October 2014, Dexter House, The Royal Mint, London EC3

REGISTRATION FORM

Please register the following delegate(s) for The WorldECR Export Controls and Sanctions Forum 2014

Delegate 1	Delegate 2
NAME	NAME
POSITION	POSITION
<input type="checkbox"/> Conference only <input type="checkbox"/> Conference + dinner (please tick)	<input type="checkbox"/> Conference only <input type="checkbox"/> Conference + dinner (please tick)
Organisation	
Address	Delegate 3
Address	NAME
City	POSITION
Post/Zipcode	<input type="checkbox"/> Conference only <input type="checkbox"/> Conference + dinner (please tick)
Country	Delegate 4
Telephone	NAME
Email	POSITION
	<input type="checkbox"/> Conference only <input type="checkbox"/> Conference + dinner (please tick)

FEE PER 1ST DELEGATE (INCLUDES VAT @ 20%)

REGISTER & PAY	BY 20 SEPTEMBER 2014	AFTER 20 SEPTEMBER 2014
CONFERENCE	£1095 + VAT = £1314	£1295 + VAT =£1554
CONFERENCE + DINNER	£1145 + VAT =£1374	£1345 + VAT = £1614

FEE PER ADDITIONAL DELEGATE (INCLUDES VAT @ 20%)

REGISTER & PAY	BY 20 SEPTEMBER 2014	AFTER 20 SEPTEMBER 2014
CONFERENCE	£995 + VAT = £1194	£1195 + VAT =£1434
CONFERENCE + DINNER	£1045 + VAT = £1254	£1245 + VAT = £1494

HOW TO PAY*

1) I will pay by card on line: please go to www.worldocr.com/conference-payment

2) Please invoice me.

Please email your completed registration form to mark.cusick@worldocr.com

3) I am paying by cheque

I have enclosed a cheque made payable to D.C. Houghton Ltd for £ _____

Please send your completed registration form with cheque to: D.C. Houghton Ltd, Suite 17271, Lower Ground Floor, 145-157 St John Street, London EC1V 4PW, England

Signed _____

Date _____

*PAYMENT OPTIONS FOR NON-UK DELEGATES

Non-UK-based delegates may be able to avoid paying VAT. For further details – or if you prefer to pay in a different currency – please email mark.cusick@worldocr.com

Terms and conditions

Please note, by registering for this event you accept the terms and conditions below.

Registration Fee

Your fee includes the attendance at both days of the conference; morning, mid-morning and afternoon coffee and pastries, and lunch on both days; drinks reception on day 1; programme materials.

Registration policy

Delegates may not 'share' a registration without the organiser's authorisation.

Payment policy

Payment must be received in full by the conference date. 'Additional delegate' prices are only available to delegates from the same organisation as the original full-fee delegate.

Cancellations and Refunds

You must notify the conference organiser 48 hours before the conference if you wish to change the delegate.

If you wish to cancel your registration, you can do so incurring the following charges:

Cancellation more than 28 days before the event – full refund less 33% admin fee.

Cancellation between 27 and 6 days before the event – full refund less 50% admin fee.

Cancellation between 5 days before and the day of the event – no refund.

Change of venue

The organisers reserve the right to change the venue should attendance numbers so demand.

Change of speaker and presentation

The organisers reserve the right to change speakers and/or presentations.

The Venue

THE VENUE – AND GETTING THERE

The Venue for the WorldECR Export Controls and Sanctions Forum 2014 is Dexter House, the Royal Mint, a conference, exhibition, meeting and training venue next to the Tower of London and Tower Bridge, located next to Tower Hill station and with convenient transport links to Canary Wharf via the DLR. Tower Hill station is on the District and Circle Underground lines. (The information below is provided by the venue.)

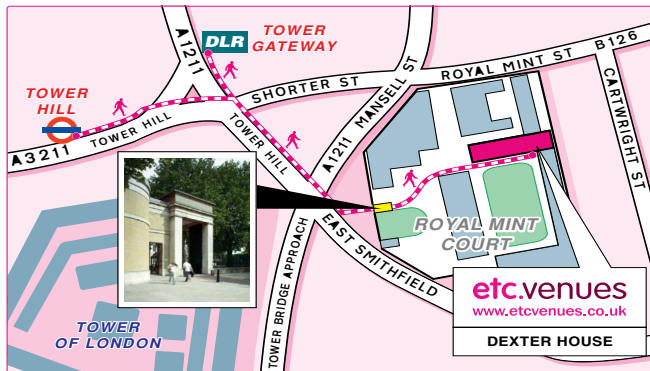
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Dexter House, No.2 Royal Mint Court,
Tower Hill, London, EC3N 4QN

Tel: 020 7977 5300 Fax: 020 7977 5301

Email: dexter@etcvenues.co.uk

Sat nav - 51.509297,-0.073200



Public Transport

* Our Dexter House venue is located opposite the historic Tower of London. Situated just 5 minutes walk from Tower Hill and Tower Gateway DLR stations, the venue sits in the exclusive gated "Royal Mint Court" business community – keep an eye out for a large stone arch which forms the entrance to Royal Mint Court. Once through the arch, follow the signs to Dexter House.



By Underground, Tower Hill Station

Exit Tower Hill tube station and follow the sign to Tower Gateway DLR (also signed Tower Millennium Pier and Tower of London). Follow the pathway for 200 yards past the London Metropolitan University (on your left) and at the pedestrian crossing, cross over The Minories (Societe Generale building will be in front of you). Turn right at the Societe Generale building and cross over the next pedestrian crossing (Sceptre Court will be on your left). At the next pedestrian crossing look across the road and you will see a large stone arch which is the entrance to Royal Mint Court. Go straight across East Smithfield via the pedestrian crossing and go through the archway.



By DLR, Tower Gateway Station

If you are arriving from Tower Gateway DLR, head towards The Tower of London, turn left at the Societe Generale building, cross over the next pedestrian crossing (Sceptre Court will be on your left) and at the next pedestrian crossing, cross over East Smithfield and the entrance to Royal Mint Court (a large stone arch) is straight ahead of you.



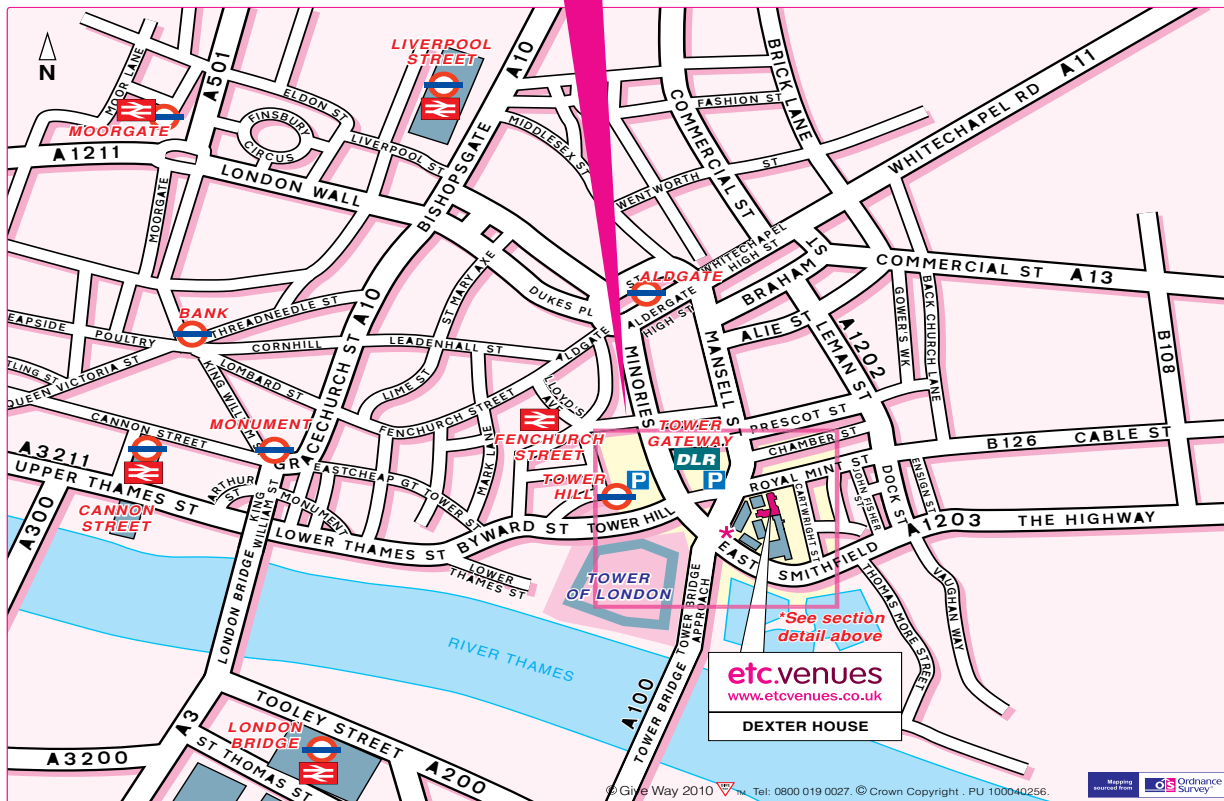
By Bus

Dexter House sits on many bus routes, including the 42, 78, 15 and RV1. Bus Stop TE/TN/TH/TA. Visit www.tfl.gov.uk for details.



Parking

There is a NCP car park situated within close proximity to Dexter House in Whitechapel. For further details visit www.ncp.co.uk.



HOTEL CHOICES

The area around the Tower of London is well served by hotels.

We have negotiated a special reduced rate with the 5-star **Grange City Hotel**, 8-14 Cooper's Row, London EC3N 2BQ. This hotel is just a few minutes' walk from the venue.

To take advantage of the special rate when booking, contact the hotel directly by phone on **+44 (0) 20 7863 3700** or email **city.reservations@grangehotels.com** and quoting the special booking code **151014L**

Alternative hotels nearby include: Guoman Tower Hotel; Doubletree by Hilton; Apex City of London Hotel; and The Chamberlain Hotel.