

**APPENDIX A**

<p align="center"><b>TABLE 5-1</b>  <b>FY 2001 Criminal Cases</b>  <b>For Export Administration Act or</b>  <b>International Emergency Economic Powers Act Violations</b></p>				
<b>Indictment/ Information Date</b>	<b>Defendant</b>	<b>Charge (s)</b>	<b>Enforcement Organization(s)</b>	<b>Sanction</b>
10/11/00	Silicon Telecom Industries, Inc., a.k.a. JFD International, Suntek Microwave, Inc., Charlie Kuan, and Jason Liao	Conspiracy to illegally export detector log video amplifiers and related technology to the People's Republic of China.	Commerce	Trial pending.
11/09/00	Refinery Industries Inc.	Attempted illegal export of gas detection equipment to Iran.	Commerce	Received five years probation.
12/19/00	Multicore Ltd., Soroosh Homayouni, a.k.a. Peter Harris, Saeed Homayouni a.k.a. Joe Barry, a.k.a. Sid Hamilton, and Yew Leng Fung, a.k.a. Pamela Fung	Conspiracy to defraud the United States by purchasing parts for military aircraft and missile systems for export to Iran (Saeed Homayouni) and Misprision of Felony (Yew Leng Fung).	Commerce/ Customs	Guilty pleas on 6/11/01. Saeed Homayouni received a 24-month term of imprisonment and three years of supervised release. Yew Leng Fung received a eight-month term of imprisonment with credit for time served and one year of supervised release. Soroosh Homayouni remains a fugitive.

<b>Indictment/ Information Date</b>	<b>Defendant</b>	<b>Charge (s)</b>	<b>Enforcement Organization(s)</b>	<b>Sanction</b>
5/11/01	TAL Industries, Inc.	False and misleading statements in connection with the export of various machining equipment to the People's Republic of China.	Commerce/ Customs	Plea of <i>nolo contendere</i> . Received a \$1 million fine and a five-year period of corporate probation.
6/28/01	Gunter Kohlke	Conspiracy to illegally export both military and civilian U.S. aircraft parts to Iran and substantive counts.	Commerce/ Customs	Trial pending.
6/30/01	BS& B Process Systems, Inc., and Black, Sivalls & Bryson (UK), Ltd.	Knowingly and willfully transshipping oil field processing equipment to Iran.	Commerce	Sentencing pending.
7/3/01	FJ Technology, Inc., and Zhongda Mark Jin.	Illegal export of chemicals to the People's Republic of China.	Commerce	Trial pending.
8/8/01	Jerry Vernon Ford, Preston John Engebretson, and Thane-Coat, Inc.	Conspiracy to export pipe coating and related products to Libya illegally and false statements in connection with the exports and substantive counts.	Commerce/ Customs	Awaiting sentencing.
8/28/01	Berkeley Nucleonics Corporation, David Brown, Richard Hamilton, and Vincent Delfino	Conspiracy to illegally export nuclear pulse generators to India.	Commerce	Awaiting trial.
9/4/01	Pars Company, Inc.	Illegal export of gas monitors to Iran.	Commerce	Received a \$10,000 fine.



**TABLE 5-2**  
**FY 2001 Closed Export Enforcement Administration Cases**  
**For Export Administration Act or**  
**International Emergency Economic Powers Act Violations**

<b>ORDER DATE</b>	<b>CASES</b>	<b>CHARGES</b>	<b>SECTIONS VIOLATED<sup>1</sup></b>	<b>RESPONDENTS</b>	<b>RESULT</b>
10/23/00	In the Matter of Worchel Transport, Inc., doing business as Prime Transport	Shipped U.S. origin commodities, to wit, perfume, clothing, and silicone sealant to Cosmotrans AG in Switzerland, a person denied all U.S. export privileges by Order dated May 3, 1988.	787.6 [5] 787A.6 [3]	Worchel Transport, Inc., doing business as Prime Transport	Settlement agreement - civil penalty of \$40,000, \$7,000 suspended for one year.
12/14/00	In the Matter of Modern Engineering Services Ltd. also known as Engineering and Technical Services	Made a false or misleading misrepresentation, statement, or certification of material fact, directly or indirectly to BXA, in connection with the preparation, submission, issuance, use or maintenance of an export control document.	787.5(a)(1)[2]	Modern Engineering Services Ltd. also known as Engineering and Technical Services	Export privileges denied for 10 years pursuant to the order of the order of the Administrative Law Judge and upheld by the Under Secretary.
01/02/01	In the Matter of Michel V. Diago	Attempted to export U.S.-origin computer parts to Cuba without the required export license.	Section 2410(a) of the EAA	Michel V. Diago	The Under Secretary amended the September 7, 1994 Order to grant partial relief from the terms of that Order by terminating the denial period as of December 31, 2000

<b>ORDER DATE</b>	<b>CASES</b>	<b>CHARGES</b>	<b>SECTIONS VIOLATED<sup>1</sup></b>	<b>RESPONDENTS</b>	<b>RESULT</b>
01/05/01	In the Matter of Randy Reyes	Knowingly and willfully exporting and attempting to export from the United States aircraft component parts which were designated as defense articles on the United States Munitions List without having first obtained from the Department of State a license or written authorization, and of knowingly and willfully exporting and attempting to export from the United States to Iran through Geneva, Switzerland, aircraft component parts.	Section 38 of the AECA and Section 1705(b) of the IEEPA	Randy Reyes	Export privileges denied until January 14, 2010 pursuant to Section 11 (h) of the Export Administration Act.
01/05/01	In the Matter of Peter Rigolli, also known as Pietro Rigolli, Ian Falcon, G. Tedaldi, Rafael Heredia, and Farid H. Talab	Knowingly and willfully exporting and causing to be exported from the United States to Canada and Switzerland, and then re-exported to Iran, aircraft parts without having first obtained a validated export license, and of knowingly and willfully making false, fictitious, and fraudulent statements and representations to effect the export of aircraft engine parts by representing that the ultimate destination for those parts was the country of Singapore, which statement he knew to be untrue.	Sections 1702 and 1705(b) of the IEEPA and Section 2410(b) of the EAA	Peter Rigolli, also known as Pietro Rigolli, Ian Falcon, G. Tedaldi, Rafael Heredia, and Farid H. Talab	Export privileges denied until March 27, 2010 pursuant to Section 11 (h) of the Export Administration Act.

<b>ORDER DATE</b>	<b>CASES</b>	<b>CHARGES</b>	<b>SECTIONS VIOLATED<sup>1</sup></b>	<b>RESPONDENTS</b>	<b>RESULT</b>
01/26/01	In the Matter of Maria Del Rosario Cases Ames	Unlawfully, knowingly, and willfully, combining, conspiring, confederating and agreeing with other persons, both known and unknown, including her husband Aldrich Hazen Ames, who had authorized possession of classified documents relating to the national defense of the United States, to communicate, deliver, and transmit to a foreign government, that is the U.S.S.R. and Russia, and to representatives, officers, and agents thereof, documents and writings relating to the national defense of the United States, knowing that the persons to whom these documents and writings were transmitted were not entitled to receive them.	Section 793(g) of the Espionage Act	Maria Del Rosario Cases Ames	Export privileges denied until October 21, 2002.
02/28/01	In the Matter of Life Technologies, a Division of Invitrogen Corporation	Exported U.S.-origin alpha-toxins and microcystin to various countries without obtaining the required validated export licenses.	787.6 [30] 787A.6 [16]	Life Technologies, a Division of Invitrogen Corporation	Settlement agreement - civil penalty of \$230,000, \$100,000 suspended for one year.

<b>ORDER DATE</b>	<b>CASES</b>	<b>CHARGES</b>	<b>SECTIONS VIOLATED<sup>1</sup></b>	<b>RESPONDENTS</b>	<b>RESULT</b>
03/12/01	In the Matter of Refinery Industries, Inc.	Attempted to export U.S.-origin Gastesters from the United States through Germany to Iran, without obtaining the required authorization.	764.2(a) [2]	Refinery Industries, Inc.	Settlement agreement - civil penalty of \$22,000; export privileges denied for 10 years, five years suspended.
03/12/01	In the Matter of Mahmood Reza Hashemi	Attempted to export U.S.-origin Gastesters from the United States through Germany to Iran, without obtaining the required authorization.	764.2(a) [2]	Mahmood Reza Hashemi	Settlement agreement - export privileges denied for 10 years, five years suspended
03/15/01	In the Matter of Optical Associates, Inc.	Exported U.S.-origin Mask Aligner and parts from the United States to Bhaba Atomic Research Center, an entity on the Department of Commerce Entity List.	764.2(a) [1]	Optical Associates, Inc.	Export privileges denied to India for three years.
04/02/01	In the Matter of George K. Cheng	Knowingly and willfully exporting from the United States to the People's Republic of China items that were designated as defense articles on the United States Munitions List, without first obtaining the required licenses or written approval from the Department of State, Office of Defense Trade Controls.	Section 38 of the AECA	George K. Cheng	Export privileges denied until February 23, 2009 pursuant to Section 11 (h) of the Export Administration Act.

<b>ORDER DATE</b>	<b>CASES</b>	<b>CHARGES</b>	<b>SECTIONS VIOLATED<sup>1</sup></b>	<b>RESPONDENTS</b>	<b>RESULT</b>
04/26/01	In the Matter of Quest Technologies, Inc.	Exported from the United States chlorine and sulphur dioxide gas sensors to Vietnam, Taiwan, India, the United Arab Emirates, Egypt, and Saudi Arabia without obtaining the required licenses.	764.2(a) [45]	Quest Technologies, Inc.	Settlement agreement - civil penalty of \$225,000, \$135,000 suspended for one year.
05/09/01	In the Matter of Dow Benelux N.V.	Reexported U.S.-origin chemicals from the Netherlands to the Ivory Coast and Turkey without obtaining from BXA the required reexport authorization.	764.2(a) [4]	Dow Benelux N.V.	Settlement agreement - civil penalty of \$30,000, \$10,000 suspended for one year.
05/11/01	In the Matter of TAL Industries, Inc.	Conspiracy; made false and misleading representations of material facts directly and indirectly to a U.S. Government agency in connection with the preparation, submission, issuance or use of an export control document; violated the terms and conditions of 10 separate export licenses by diverting machine tools to unauthorized end-users in China.	787.3 [1] 787.6 [10] 787.5(a)(1) [13]	TAL Industries, Inc.	Settlement agreement - civil penalty of \$1,320,000; export privileges denied for 10 years.

<b>ORDER DATE</b>	<b>CASES</b>	<b>CHARGES</b>	<b>SECTIONS VIOLATED<sup>1</sup></b>	<b>RESPONDENTS</b>	<b>RESULT</b>
05/11/01	In the Matter of China National Aero-Technology Import and Export Corporation, CATIC USA, INC. and China National Aero-Technology International Supply Company	Conspiracy; made false and misleading representations of material facts directly and indirectly to a U.S. Government agency in connection with the preparation, submission, issuance or use of an export control document; violated the terms and conditions of 10 separate export licenses by diverting machine tools to unauthorized end-users in China.	787.3 [1] 787.6 [10] 787.5(a)(1) [13]	China National Aero-Technology Import and Export Corporation, CATIC USA, INC. and China National Aero-Technology International Supply Company	Settlement agreement - export privileges denied for five years, all of which is suspended.
05/22/01	In the Matter of Opto Power	Exported diode lasers to Israel without obtaining the required validated export licenses.	787.6 [7] 787A.6 [5] 764.2(a) [4]	Opto Power Corporation	Settlement agreement - civil penalty of \$80,000, \$40,000 suspended for one year.
05/22/01	In the Matter of UCAR International, Inc.	Exported U.S.-origin Grade ATJ graphite from the United States to Australia, Brazil, Columbia, Chile, France, Japan, South Africa and South Korea without the required validated licenses.	787.6 [38] 787A.6 [1] 764.2(a) [40]	UCAR International, Inc.	Settlement agreement - civil penalty of \$237,000.

<b>ORDER DATE</b>	<b>CASES</b>	<b>CHARGES</b>	<b>SECTIONS VIOLATED<sup>1</sup></b>	<b>RESPONDENTS</b>	<b>RESULT</b>
05/29/01	In the Matter of Miguel Angel Fajardo, individually and doing business as Seguiradad y Electronica MAFO, S.A.	Exported shotguns to Honduras with knowledge or reason to know that a violation of the Act or any regulation, order, or license issued thereunder occurred, was about to occur, or was intended to occur; made false or misleading representations, statements or certifications directly or indirectly to a U.S. Government agency in connection with the preparation submission, issuance, use or maintenance of an export control document.	764.2(a) [1] 764.2(e) [1] 764.2(g) [1]	Miguel Angel Fajardo, individually and doing business as Seguiradad y Electronica MAFO, S.A.	Civil penalty of \$30,000; export privileges denied for 20 years.
06/06/01	In the Matter of Immediate Customs Service, Inc.	Participated in the export of U.S. origin commodities, to wit, perfume to Cosmotrans AG in Switzerland, a person denied all U.S. export privileges by Order dated May 3, 1988.	787.6 [3] 787A.6 [1]	Immediate Customs Service, Inc.	Civil penalty of \$30,000; \$20,000 suspended for five years.
07/31/01	In the Matter of Mark Jin, also known as Zhongda Jin, individually, and FJ Technology Service, Inc., also known as FJ Technology	Exported phosphine, arsine, trimethylgallium, thimethylaluminum, and trimethylindium to the People's Republic of China without obtaining the required validated export license that he knew or had reason to know was required.	787.4 [1] 787.6 [1] 787A.6 [4] 787A.4 [4] 764.2(a) [12] 764.2(e) [12]	Mark Jin, also known as Zhongda Jin, individually, and FJ Technology Service, Inc., also known as FJ Technology	Export privileges denied for 25 years pursuant to the order of the Administrative Law Judge.

<b>ORDER DATE</b>	<b>CASES</b>	<b>CHARGES</b>	<b>SECTIONS VIOLATED<sup>1</sup></b>	<b>RESPONDENTS</b>	<b>RESULT</b>
08/17/01	In the Matter of Microtek International Development Systems Division, Inc.	Attempted to export computer processor emulators from the United States through Taiwan to Iran without obtaining the required authorization that he knew or had reason to know was required; made a false or misleading statement in connection with the preparation, submission, issuance or use of any export control document.	764.2(a) [1] 764.2(e) [1] 764.2(g) [1]	Microtek International Development Systems Division, Inc.	Settlement agreement - civil penalty of \$25,000; export privileges denied for three years, all of which is suspended.
08/17/01	In the Matter of Joe-Pin Ouyang	Attempted to export computer processor emulators from the United States through Taiwan to Iran without obtaining the required authorization that he knew or had reason to know was required.	764.2(a) [1] 764.2(e) [1]	Joe-Pin Ouyang	Settlement agreement - export privileges denied for three years, all of which is suspended.
09/06/01	In the Matter of Infocom Corporation, Tetrabal Corporation, Inc., Bayan Medhat Elashi, Ghassan Elashi, Basman Medhat Elashi, Ihsan Medhat "Sammy" Elashi, Hazim Elashi, Fadwa Elafrangi	Reason to believe that the respondents shipped and attempted to ship goods to Libya and Syria without obtaining the necessary authorizations.	764.2(a) 764.2(g)	Infocom Corporation, Tetrabal Corporation, Inc., Bayan Medhat Elashi, Ghassan Elashi, Basman Medhat Elashi, Ihsan Medhat "Sammy" Elashi, Hazim Elashi, Fadwa Elafrangi	Order temporarily denying export privileges for 180 days.

<b>ORDER DATE</b>	<b>CASES</b>	<b>CHARGES</b>	<b>SECTIONS VIOLATED<sup>1</sup></b>	<b>RESPONDENTS</b>	<b>RESULT</b>
09/20/01	In the Matter of The Sumner Corporation (formerly known as Ansimag, Inc.)	Exported centrifugal pumps to Israel and Taiwan without the required validated licenses.	787A.6 [3] 764.2(a) [12]	The Sumner Corporation (formerly known as Ansimag, Inc.)	Settlement agreement - civil penalty of \$75,000.
09/24/01	In the Matter of A.X.O. Chemical, Inc.	Exported U.S.-origin hydrofluoric acid and triethanolamine to the Dominican Republic without obtaining the required export licenses; made false or misleading statements of material fact in connection with the preparation, submission, issuance or use of an export control document.	764.2(a) [13] 764.2(g) [11]	A.X.O. Chemical, Inc.	Settlement agreement - civil penalty of \$48,000; \$45,000 suspended for three years; export privileges denied for three years, all of which is suspended.

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