

**VOLUNTARY SELF DISCLOSURE CASES
FY2004**

(12 Cases)

ORDER DATE	CASE NAME	CHARGES	SECTIONS VIOLATED	RESULT	PENALTY BREAKDOWN
12/29/03	In the Matter of Honeywell International, Inc.	Exported hydrogen fluoride, classified under Export Control Classification Number ("ECCN") 1 C350.d.7, to Mexico without obtaining authorization from BIS	764.2(a)[12]	Settlement Agreement - civil penalty of \$36,000	max fine: \$132,000 avg: \$3,000 per violation fine 27% of maximum fine full VSD
01/15/04	In the Matter of Emcore Corporation	Exported metal organic chemical vapor disposition tools to Taiwan and serviced unlicensed tools without obtaining the required licenses; failed to file Shipper's Export Declaration; failed to retain export control documents	764.2(a) [32] 764.2(b) [12] 764.2(e) [25] 764.2(g)[13] 764.2(i) [2]	Settlement Agreement - civil penalty of \$400,000	max fine:\$2.45 million 14 EAA violations avg: \$5,600 per violation fine 16% of maximum fine full VSD
01/30/04	In the Matter of Denton Vacuum, LLC	Exported a sputtering system to Solid State Physics Laboratory, New Delhi, India, an organization of the Entity List; filed or caused to be filed a SED that represented falsely that the sputtering system was eligible for export under the authority of GDEST	764.2(a) [1] 764.2(g) [1]	Settlement Agreement - civil penalty of \$7,000	max fine: \$22,000 avg: \$3,500 per violation fine 31% of maximum fine full VSD

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02/24/04	In the Matter of Morton International, Inc., Morton International, S.A.S, Rohm and Haas Japan K.K	Morton International, Inc. exported and attempted to export thiodiglycol and organo-inorganic compounds to Mexico, Singapore and Taiwan without the required licenses (13 violations); Morton International S.A.S. reexported organo-inorganic compounds from France to Israel, Poland, and Tunisia without the required licenses (19 violations); Rohm and Haas Japan K.K. reexported organo-inorganic compounds from Japan to Taiwan and India without the required licenses (117 violations)	764.2(a)[147] 764.2(c)[2]	Settlement Agreement - a civil penalty of \$239,500 against Morton International; civil penalty of \$57,000 against Morton International, S.A.S; and a civil penalty of \$351,000 against Rohm and Haas Japan	maximum fine: \$3.13 million 13 EAA violations avg: \$4,345 violation fine was 20% of maximum fine partial VSD covered all but 3 violations and covered all EAA violations
04/02/04	In the Matter of Molecular Probes, Inc.	Caused the export of conotoxin and tetrodotoxin from the United States to various destinations without the required licenses	764.2(a) [97]	Settlement Agreement - civil penalty of \$266,750	maximum fine: \$1.067 million avg: \$2,750 per violation fine 25% of maximum fine full VSD

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04/02/04	In the Matter of New Focus, Inc.	Exported microwave solid state amplifiers and technology related to solid state amplifiers from the United States to the Czech Republic, Singapore and Chile without obtaining a license from the Department of Commerce; exported technology related to solid state amplifiers, photoreceivers and other telecommunication components to an Iranian and Chinese national that was deemed to be an export; made a false or misleading statement of material fact directly or indirectly to a United States Government agency in connection with the submission of an export control document that was used to effect an export from the United States	764.2(a) [6] 764.2(g)[2]	Settlement Agreement - civil penalty of \$200,000	<p>maximum fine was \$524,000</p> <p>4 EAA violations</p> <p>avg: \$25,000 per violation</p> <p>partial VSD (covered 2 of the 4 EAA counts)</p> <p>fine was 38% of maximum</p>
04/14/04	In the Matter of Roper Scientific, Inc.	Exported charged coupled device imaging cameras from the United States to various destinations, including Japan, South Korea and Italy, without the required export licenses; sold or serviced imaging cameras, knowing that they were to be exported from the United States in violation of the Regulations; failed to retain export control documents, including Shipper's Export Declarations and air waybills, in connection with the exports of imaging cameras; made false Statements on a Shipper's Export Declaration concerning ECCN and authority to export	764.2(a)[40] 764.2(e)[79] 764.2(g)[2]	Settlement Agreement - civil penalty of \$422,000	<p>maximum fine was \$1.331 million</p> <p>avg: \$3,500 per violation</p> <p>fine was 31% of maximum</p> <p>full VSD</p>

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06/04/04	In the Matter of General Monitors, Inc.	Caused the shipment of gas and fire detection equipment from the United States to Bharat Heavy Electrical Limited of Hyderabad, India (BHEL), an organization on the Entity List without the required licenses; made false statements on Shippers Export Declarations (SEDs)	764.2(a)[6] 764.2(g)[12]	Settlement Agreement - civil penalty of \$40,000	maximum fine was \$198,000 avg: \$3,500 per violation fine was 20% of maximum fine partial VSD covered 12 of 18 violations
06/24/04	In the Matter of Atotech USA Inc.	Exported Econo-Chrome 140-S, a corrosive chemical substance, to Hong Kong without the required license with knowledge that a violation of the Regulations was intended to occur; made a false statement on SED	764.2(a) [1] 764.2(e) [1] 764.2(g) [1]	Settlement Agreement - civil penalty of \$14,000	maximum fine was \$33,000 avg: \$4,667 fine was 42% of maximum Full VSD
06/24/04	In the Matter of Kennametal Inc.	Exported nickel powder to Israel, Chile, Mexico, Peru, Taiwan, and India without the required licenses; made false or misleading representation on SED concerning authority to export; failed to retain export control documents	764.2(a) [45] 764.2(g) [27] 764.2(i) [3]	Settlement Agreement - civil penalty of \$262,500	maximum fine was \$825,000 avg: \$4,666 per violation fine was 31% of maximum fine Full VSD

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06/24/04	In the Matter of Pratt & Whitney	Export technical data to various destinations, including PRC, Japan and Singapore without the required licenses and with knowledge that violations of the Regulations would occur; exported technology data to a Spanish, Dutch and German national that was deemed to be an export; failed to retain export control documents	764.2(a) [20] 764.2(e) [11] 764.2(i) [11]	Settlement Agreement - civil penalty of \$150,000	maximum fine \$462,000 avg: \$3571 fine was 32% of maximum fine Full VSD
09/13/04	In the Matter of Lattice Semiconductor Corporation	Exported extended temperature range programmable logic devices and technical data to PRC without obtaining the required authorization; exported technical data to a Chinese national that was deemed to be an export	764.2(a) [12]	Settlement Agreement - civil penalty of \$560,000	max fine was \$786,000 6 EAA violations avg: \$46,667 fine was 71% of maximum fine partial VSD - covered all EAA counts but not five deemed export counts