

# 美国出口管制与禁运法规及实务

2019年8月22日 中国上海

## 课程背景 Background:

2018年8月1日，美国商务部下设的产业和工业安全局宣布增加44家中国企业列入出口管制实体清单。BIS指控17家公司被涉嫌非法采购商品和技术用于在中国进行未授权的军事用途；指控27家公司有“不可接受”的风险使用或转移美国商品用于在中国开展军事用途。

事实上，美国对于中国实行了更加严格的出口管制。中国有大量机构与个人在美国各政府机构的出口限制清单，均需要申请“出口许可证”才能进口，并且美国拒绝通过“许可证例外”的形式豁免这些产品的出口管制。此外，相对于美国的盟友甚至是印度之类的非盟友国家，不论是在受管制原因类型上，还是在许可证豁免的条件上，甚至是许可证申请的通过率与时效上，中国都受到了更多的限制。因此，美国政府对于出口管制及相关交易的规则和限制，对于中国企业而言，是需要引起充分重视和认真对待的合规性课题。

基于此，锋信环球特别推出了“美国出口管制与禁运法规及实务”课程。本次课程将涉及美国出口管制相关的多方面内容，帮助大家了解相关的合规知识与经验，适应更多元和更严格的合规环境，及时防范，规避潜在风险。我们将邀请来自中国知名跨国公司资深专家，为本次课程内容进行深入讲解与互动讨论。

On August 1, 2018, the Department of Commerce's Bureau of Industrial and Industrial Safety announced the addition of 44 Chinese enterprises to the Entity List. BIS accused 17 companies of illegally purchasing goods and technology for unauthorized military use in China, and 27 companies of "unacceptable" risk of using or transferring U.S. goods for military use in China.

In fact, the United States has imposed stricter export controls on China. A large number of Chinese institutions and individuals are included in the list of export restrictions imposed by U.S. government agencies. They need to apply for an "export license" to import. Furthermore, the U.S. refuses to exempt these products from export control through the form of "license exception". In addition, China is subject to more restrictions than its allies in the United States or even non-allied countries, such as India, whether in terms of the types of regulated reasons, the conditions of license exemption, or even in terms of the passing rate and timeliness of license applications. Therefore, the U.S. government's rules and restrictions on export controls and related transactions are a matter of compliance for Chinese companies.

Based on this, Ficient Global will specially host the course titled "US Export Control and Embargo Regulations and Practice". The course will cover various aspects related to US export controls to help participants understand relevant compliance knowledge and experience and adapt to more diverse and stricter regulatory environments as well as prevent and avoid potential risks timely. The course will be delivered by an expert from a well-known multinational company through presentations and interactive discussions.

## 谁应当参加 Who should attend:

中高层管理人员、法务部、财务部、税务部、物流部、关务部、贸易合规部、进出口部、供应链管理以及其他相关负责人员参与

Managers and directors from the functions as listed below:  
Legal, Finance, Tax, Logistics Customs Affairs, Trade Compliance, Import and Export, Supply chain, etc

## 课程亮点 Highlights:

- 课程内容丰富详实，由点到面，深入浅出，从基础知识内容到案例研究分析，帮助大家纵深理解，构建对美国出口管制全面认识的知识体系。
- 本次课程特别邀请了来自中国知名跨国公司资深专家，其在美国出口管制领域有丰富的实战经验。
- 注重实际案例的分享与解析，从实战角度出发，内容系统但不沉闷，突破传统课程的理论讲授而更加注重实务操作与应用。
- 严格限制听课人数，保证每位学员的学习质量，同时也可以让学员之间充分地互动交流，分享本职工作中的疑难问题及成功经验。
- This course is informative and easy to understand with both fundamental knowledge and practical case analysis included. It aims to help the participants fully understand and build up a comprehensive knowledge system of US Export Controls.
- This course has specially invited an expert from a well-known multinational company in China. He has a wealth of practical experience in the field of US export control management.
- Emphasizing the sharing and analysis of practical cases, from practical view. The content will be systematized but not boring. It will be different from the teaching way of traditional theories but pay more attention to practical operation and application.
- Strictly limit the number of attendees to ensure that the quality of each participant's learning, and also allow the participants to fully interact with each other to share both their problems in the work and successful experience.

## 课程讲师 Instructor:

### ◎ 江老师

某五百强企业亚太区进出口合规经理

美国普渡大学物理系硕士

华盛顿州立大学电气工程系硕士

曾任职于 Xylem 公司，并担任中国和印度的贸易合规经理一职，也曾任在西门子担任过中国高级出口管理经理，还曾在德州仪器担任过中国和香港全球贸易合规经理。除此之外，江老师也曾在美国作为 IC 设计工程师，在德州仪器、水晶半导体和 Mindspeed 技术公司就职过。江老师目前职位的工作职责包括：为其公司提供指导，咨询和专家解决方案，以及有关政府出口管制法律法规的信息，并为公司所有业务和区域团队（EMEA & APAC）提供政策，许可，培训，筛选，审核，制裁等方面的国际贸易合规支持。

### Mr. JIANG

APAC ITC Import & Export Compliance Manager at one of the world top 500 enterprises

M.S. in Physics, Purdue University, Indiana, USA

M.S. in Electrical Engineering, Washington State University, Washington, USA

Past experiences include: Trade Compliance Manager for China and India, Xylem Inc.; senior export control manager for China, Siemens; Global trade compliance manager for China and Hong Kong, Texas Instruments;

Past experiences also include engineering field, as IC design engineer in USA for companies such as Texas Instruments, Crystal Semiconductors and Mindspeed Technologies.

Current job responsibilities include: provide guidance, advice and expert solutions, and information about the governments' export control laws and regulations; provide ITC support for policy, licensing, training, screening, audit, sanction and more for all businesses, and regional teams (EMEA & APAC) to provide local ITC support.

## 课程内容 Course Content:

▶ 1.什么是出口? 再出口?

▶ 2.什么是出口管制?

- 国际出口管制制度
- 历史和背景
- 视为出口控制

▶ 3.美国出口管制管辖权-10个一般禁止

▶ 4. Five W's: What, Who, Where, Why AND WILL?

- 技术转让
- 反抵制

▶ 5.分类和许可证

- 管制原因
- 许可例外

▶ 6.红旗规则-转移风险

▶ 7.对违规行为的处罚——案例研究

▶ 8.制裁升级

▶ 9.有效ICP的要素

▶ 1. What is an export? Re-export?

▶ 2. What is Export Control?

- International export control regimes
- History & Background
- Deemed-export Control

▶ 3. U.S. Export Control Jurisdiction – 10 General Prohibitions

▶ 4. Five W's: What, Who, Where, Why AND WILL?

- Technology Transfer
- Anti-Boycott

▶ 5. Classification & Licensing:

- Reason for Control;
- License exception;

▶ 6. Red Flags — Diversion Risk

▶ 7. Penalties ON VIOLATIONS – CASE STUDIES

▶ 8. Sanction Updates

▶ 9. Elements Of An Effective ICP

## 锋信锋享卡会员特惠方案:

会员种类	年费 (人民币: 元)
银卡会员	9980.00
金卡会员	14980.00
铂金卡会员	19800.00

## Registration

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填写并提交注册表, 即可参加。

参会费用: **3360.00/人** (人民币: 元)



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