

2022 Conference on Export Controls
and Research Security at Higher
Education and
Scientific Institutions

Hosted by



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May 2–4, 2022

Schedule at a Glance

*This program has been approved for 21.0 total CLE credits for Pennsylvania lawyers. Of this total, the amount of substantive versus ethics credits that a given attorney earns will depend on which sessions they choose to attend. CLE credit may be available in other jurisdictions as well. Attendees seeking CLE credit should bring separate payment in the amount of \$840.00 (\$420.00 public interest/non-profit attorneys) cash or check made payable to **The Trustees of the University of Pennsylvania**.*

Penn Law Alumni receive CLE credits free through The W.P. Carey Foundation's generous commitment to Lifelong Learning.

The rates for each individual day are below:

Private Sector per day rate – Pre-Conference: \$240, Day 1: \$300, Day 2: \$300

Public/Non-Profit sector – Pre-Conference: \$120, Day 1: \$150, Day 2: \$150

ECTI ECoP® Certification Renewal: This program is approved for 2 EAR or ITAR Renewal Credits Per Day of Training (<https://www.learnexportcompliance.com/certification/certification-renewal/>).

Monday, May 2		
7:00 am – 4:00 pm	Registration	<i>Sheraton Foyer</i>
8:00 am – 9:00 am	Breakfast	<i>Ben Ballroom</i>
9:00 am – 4:00 pm	Export Controls, Academia, and Research: The Twain Shall Meet <i>Ben Ballroom 1–3</i>	
1:00 pm – 4:00 pm	Managing Cybersecurity at an Academic Institution <i>Ben Ballroom 4–5</i>	
5:00 pm – 7:00 pm	<i>Welcome Reception Lower Lobby Sponsored by:</i>  bakertilly	

Tuesday, May 3			
7:00 am–5:00 pm	Registration <i>Sheraton Foyer</i>		
7:00 am–5:00 pm	Exhibit Hall <i>Fairmount Suite</i>		
7:00 am –8:00 am	Breakfast <i>Ben Ballroom 1–3</i> <u>Breakfast Roundtables</u> • <i>University Suite</i>–AMA: Ask Me Anything about Export Compliance • <i>William Penn</i>–The Art of Contract Review from an EC Perspective • <i>Chestnut</i>–Mitigating Risk		
8:15 am –9:45 am	Agency Updates <i>Ben Ballroom 1–3</i>		
10:00 am –11:30 am	Agency Coordination of Disclosure Requirements in Response to Foreign Influence <i>Ben Ballroom 1–3</i>	Online International Graduate Degree Programs <i>Ben Ballroom 4–5</i>	
11:45 am – 1:00 pm	Lunch Speaker: Christina Ciocca Eller, OSTP <i>Ben Ballroom 1–3</i>		
1:15 pm – 2:30 pm	Foreign Interference: National Security and Open Science <i>Ben Ballroom 1–3</i>		
2:45 pm – 3:45 pm	Anatomy of a Foreign Influence Investigation <i>Ben Ballroom 1–3</i>	Multilateral Regimes for Export Regulation <i>Ben Ballroom 4–5</i>	
4:00 pm – 5:00 pm	Implementing a Research Security Program <i>Ben Ballroom 1–3</i>	DDTC’s Company Visit Program <i>Ben Ballroom 4–5</i>	Transitioning from a Fundamental Research Culture to a Managed Controlled Environment <i>University Suite</i>
5:30 pm – 8:00 pm	Networking Reception Around the World at the Penn Museum Exclusively sponsored by: DESCARTESTM Visual Compliance		

Wednesday, May 4			
7:00 am – 12:00 pm	Registration <i>Sheraton Foyer</i>		
7:00 am – 5:00 pm	Exhibit Hall <i>Fairmount Suite</i>		
7:00 am – 8:00 am	Breakfast <i>Ben Ballroom 1–3</i> <u><i>Breakfast Roundtables</i></u> • <i>University Suite</i>—International Shipping and Logistics • <i>William Penn I</i>—International Travel: Responding to JCORE Recommendations • <i>William Penn II</i> —Risks in Healthcare Research: Applying Export Controls to Medical Centers • <i>Chestnut</i>—Breakfast Roundtable with the Board: Learn more about volunteering with AUECO		
8:15 am – 9:45 am	Emerging and Foundational Technologies <i>Ben Ballroom 1–3</i>		
10:00 am -11:30 am	The End of the China Initiative: Has Anything Really Changed? <i>Ben Ballroom 1–3</i>	BIS Cyber Rule and Encryption Regulations <i>Ben Ballroom 4–5</i>	
11:45 am - 1:00 pm	Lunch Speaker: Thea Kendler, Assistant Secretary of Commerce for Export Administration <i>Ben Ballroom 1–3</i>		
1:15 pm – 2:30 pm	Russia-related Sanctions and Export Control Regulations <i>Ben Ballroom 1–3</i>	Effects of Foreign National Reporting Requirements on the Spirit of Fundamental Research <i>Ben Ballroom 4–5</i>	
2:45 pm – 3:45 pm	Considerations for Effective International Visitor Reviews <i>Ben Ballroom 1–3</i>	ITAR Compliance: Using a Risk Matrix to Assess Risks and Enhance Compliance Programs <i>Ben Ballroom 4–5</i>	How to Become a Cleared Facility <i>University Suite</i>
4:00 pm – 5:00 pm	The Role of Export Controls in Research Security <i>Ben Ballroom 1–3</i>		

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Pre-conference Workshops

Export Controls, Academia, and Research: The twain Shall Meet:

9:00AM–4:00PM; Ben Ballroom 1–3

Karen Nies-Vogel, Office of Exporter Services, BIS

Tatyana Yeremina, Office of Exporter Services, BIS

Miranda Sieg, Office of Enforcement Analysis, BIS

Kirsten Mortimer, Office of Export Services, BIS

Wesley Johnson, Office of Nonproliferation and Treaty Compliance, BIS

This workshop, specifically developed to address the intersection of the Export Administration Regulations' (EAR) controls with academic and research environments, will start with an overview of key terms and concepts under the EAR (e.g., "published," "release") and include segments on fundamental research, collaborative research, deemed exports and other issues that exist in academic and research environments. The workshop will also include discussions of export compliance and enforcement, plus case studies, exercises, and discussion. Speakers will include BIS policy, regulatory compliance, and enforcement personnel. BIS's workshop is geared toward university export compliance officers with medium-to-long-term experience in the field.

Managing Cybersecurity at an Academic Institution:

1:00PM–4:00PM; Ben Ballroom 4–5

Mike Cullen, Baker Tilly

Matt Gilbert, Baker Tilly

Emily Pender, University of Southern California

Complex terms related to data protection and privacy are cropping up across the spectrum of research agreements. Unfortunately, there are so many disparate security and privacy terms that it is difficult to figure out what requirements apply to each specific case. It is important to be able to work across the research community to create effective understanding, systems, and controls to protect research data. This workshop will engage participants in an interactive conversation focused on two objectives. First, we will provide updates on the latest developments regarding Controlled Unclassified Information (CUI), Export Controls, Cybersecurity Maturity Model Certification (CMMC) Version 2.0, NIST standards, and other research data security developments and what that means for your institution. Second, we will discuss the most challenging aspects of meeting these requirements in the higher education environment. At the end of the workshop, participants will:

- Understand the latest research data security developments and how it impacts higher education
- Understand how peer institutions address these requirements and support impacted stakeholders
- Have gained insight into specific questions on these developments and how specific requirements impact individual institutions
- Take away a list of challenging requirements and potential solutions

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Lower Lobby area of the Sheraton Philadelphia University City Hotel.

Tuesday, May 3

Breakfast Roundtables

7:00AM–8:00AM

Grab your choice of AM beverage and some food and join in a discussion!

AMA: Ask Me Anything about Export Compliance (for New ECOs)

University Suite

Josef Mejido, University of Rochester

Amy Weber, University of Arizona

The Art of Contract Review from an Export Compliance Perspective

William Penn

Mary Millsaps, North Carolina State University

Marsha Pesch, University of Florida

Mitigating Risk

Chestnut

Carter Post, University of Florida

Plenary Session: Agency Updates

8:15AM–9:45AM; Ben Ballroom 1–3

Karen Nies-Vogel, US Department of Commerce, Bureau Of Industry and Security

Todd Willis, US Department of State, DDTC

Jeffrey Trettin, US Department of State, DDTC

Agency Coordination of Disclosure Requirements in Response to Foreign Influence

10:00AM–11:30AM; Ben Ballroom 1–3

Rebecca Keiser, National Science Foundation

Bindu Nair, Department of Defense

Christina Ciocca Eller, Office of Science and Technology Policy

Representatives from OSTP, NSF, and DoD will discuss the implementation of NSPM-33 and how universities can work together with the U.S. Government as Federal Agencies work to harmonize their disclosure requirements and formats.

Online International Graduate Degree Programs

10:00AM–11:30AM; Ben Ballroom 4–5

Krista Campeau, Michigan State University

Patrick Briscoe, University of Minnesota

Lori Scheetz, Wiley Rein

The transition to remote learning during COVID-19-related shutdowns highlighted the need for new compliance processes involving Restricted Party Screening, navigating regulations regarding comprehensively embargoed countries, working with students facing visa delays and denials, and more. How does a university navigate these issues while keeping to the mission of education? This session will discuss a series of case studies involving international online learning and different risk tolerances in these areas, as well as proposed compliance processes to mitigate risk and allow internationally located students to pursue graduate degrees online.

Lunch Keynote

11:45AM–1:00PM; Ben Ballroom 1–3

Christina Ciocca Eller, Office of Science and Technology Policy

Plenary

Foreign Interference: National Security and Open Science

1:15PM–2:30PM; Ben Ballroom 1–3

Jeanette McMillian, National Counterintelligence and Security Center

David Isaacson, Office of the Director of National Intelligence

Carl McCants, Defense Advanced Research Projects Agency

A fireside chat providing thoughts and perspectives on national security and open science.

Anatomy of a Foreign Influence Investigation

2:45PM–3:45PM; Ben Ballroom 1–3

Michael Vernick, Akin Gump Strauss Hauer & Feld

Marta Thompson, Akin Gump Strauss Hauer & Feld

This session will discuss the current landscape of foreign influence investigations with a particular focus on practical tips and guidance. Topics covered will include: managing the target faculty, working with internal stakeholders, dealing with regulators, and mitigating institutional risks.

Multilateral Regimes for Export Regulations

2:45PM–3:45PM; Ben Ballroom 4–5

John Varesi, US Department of Commerce, Bureau Of Industry and Security
Wesley Johnson, US Department of Commerce, Bureau Of Industry and Security

The multilateral non-proliferation regimes are important resources for identifying export-controlled dual-use and munitions items. The four regimes – Australia Group (AG), Missile Technology Control Regime (MTCR), Nuclear Suppliers Group (NSG), and Wassenaar Arrangement (WA) – each have a specific focus, resulting in a complementary set of lists specifying items of concern. When taken together, these lists provide much of the comprehensive coverage of dual-use and military hardware, software and technology found on the Commerce Control List (CCL) and the United States Munitions List (USML). Representatives from the Department of Commerce (DoC) Bureau of Industry & Security (BIS) will review the basic workings of the regimes and the items they cover. BIS representatives will also describe how the outputs from the regimes intersect with U.S. export controls.

Implementing a Research Security Program

4:00PM–5:00PM; Ben Ballroom 1–3

Kristin West, Council on Governmental Relations
Michael Vernick, Akin Gump Strauss Hauer & Feld

This session will discuss the NSPM-33 implementation guidance's impact on research security programs, including how institutions can incorporate lessons learned from foreign influence investigations and the enforcement environment into research security programs and training. The discussion will include what might be on the "foreign influence" horizon.

DDTC's Company Visit

4:00PM–5:00PM; Ben Ballroom 4–5

Jeffrey Trettin, US Department of State, DDTC
Todd Willis, US Department of State, DDTC

This session will discuss a program in which DDTC performs outreach to industry and universities to learn about their ITAR compliance programs, provide input for any concerns, and build partnerships in compliance.

**Transitioning from a Fundamental Research Culture to a Managed Controlled
Environment**

4:00PM–5:00PM; University Suite

William Collins, University of Miami
Hiromi Sanders, George Washington University

In today's competitive world of sponsorship and grant funding, more and more universities are applying for and capturing projects with the United States Government that are in "controlled jurisdictions" of the USDOC, USDOS, OFAC or Classified environments. This 60-minute session will provide examples from a "managed controlled" export control program on the "how to" be compliant within the jurisdictions of Commerce, State, and the Treasury Department. In addition, the session will discuss the challenges within a university system that has only conducted "fundamental research" and now find themselves in a "controlled" environment for the first time. The presentations will furnish a "roadmap" to develop a "culture change and a paradigm shift" for your intuition to "buy in" for future managed control projects.

This session will furnish "steps on how to" bring about a managed change for a controlled program through:

- education,
- contract review & understanding,
- university and government liaison,
- establishment of export control jurisdictions,
- coordinating with multi-university offices,
- and the export control management of the captured program with the U.S.

*Please join us for a Networking Reception at the University of Pennsylvania Museum of Archaeology and Anthropology from 5:30–8:00PM.
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Trolley service will run continuously from the Sheraton at 36th street beginning at 5:15 pm. The last trolley will leave the museum at 7:45pm.

Wednesday, May 4

Breakfast Roundtables

7:00AM–8:00AM

Grab your choice of AM beverage and some food and join in a discussion!

International Shipping and Logistics

University Suite

Terrence Rusch, Cornell University
Jen McCaw, Oregon Health & Science University

International Travel: Responding to JCORE Recommendations

William Penn I

Kelly Hochstetler, University of Virginia
Laura Provencher, University of Arizona
Scot Allen, Colorado School of Mines

Risks in Healthcare Research: Applying Export Controls to Medical Centers

William Penn II

Heather Little, St. Jude Children's Research Hospital
Kate Stoen, University of Missouri

Breakfast Roundtable with the Board: Learn More about Volunteering with AUECO

Chestnut

Marci Copeland, Chair
Susan Gasparro, Membership Chair
Josef Mejido, Secretary
Sarah Schlagter, Outreach Chair

Emerging and Foundational Technology Controls

8:15AM–9:45AM; Ben Ballroom 1–3

Tongele N. Tongele, US Department of Commerce, Bureau Of Industry and Security

There is significant interest in export controls of emerging and foundational technologies. There are those that believe we should control more, unilaterally, and faster. There are those that believe we should take a hands-off approach, or else we risk all innovation. This talk is about outlining BIS's approach to these technologies. First, the approach prior to enactment of the Export Control Reform Act of 2018 (ECRA). Second, what BIS has done and is doing since enactment of ECRA. Third, ways in which emerging technology developers and stakeholders, including universities, and other partners can work with BIS collaboratively to advance our shared national security priorities, while also advancing U.S. technological leadership.

The End of the China Initiative: Has Anything Really Changed?

10:00AM–11:30AM; Ben Ballroom 1–3

Frank Wu, Queens College
Jason Arterburn, Center for Advanced Defense Studies
Harvey Rishikof, University of Maryland
Robert Hardy, Council on Government Relations

Jason Arterburn, Program Director at the Center for Advanced Defense Studies (C4ADS), Harvey Rishikof, Director of Policy and Cyber Security Research at the University of Maryland, and Frank H. Wu, President, Queens College CUNY, will discuss varying perspectives on institutional relationships with China and Chinese collaborators, followed by a Q&A segment moderated by Robert Hardy, Council on Government Relations (COGR).

BIS Cyber Rule and Encryption Regulations

10:00AM–11:30AM; Ben Ballroom 4–5

Anita Zinzuvadia, US Department of Commerce, Bureau Of Industry and Security
Darlene Pennington-Johnson, University of Michigan

This session will review the recently published cyber tools rule and related controls in encryption.

Lunch Keynote

11:45AM–1:00PM; Ben Ballroom 1–3

Thea Kendler, Assistant Secretary of Commerce for Export Administration, BIS

Russia-related Sanctions and Export Control Restrictions

1:15PM–2:30PM; Ben Ballroom 1–3

Alexander Lopes, US Department of Commerce, Bureau Of Industry and Security
Kevin Wolf, Akin Gump Strauss Hauer & Feld

This session will address sanctions and export controls restrictions resulting from Russian Aggression in Ukraine.

Effects of Foreign National Reporting Requirements on the Spirit of Fundamental Research

1:15PM–2:30PM; Ben Ballroom 4–5

Janet Johnston, Massachusetts Institute of Technology
Gregory Moffatt, Massachusetts Institute of Technology
Matthew Fucci, Massachusetts Institute of Technology
Steve Eisner, Stanford University
Jules Blyth, Brown University

When US Government agencies require a university to report foreign nationals that are assigned to sponsored research does this automatically negate the fundamental research status of the work? What contingencies might universities plan for if a sponsor rejects a potential participant? What considerations are important for equity purposes and US anti-discrimination regulations?

In this interactive panel we'll discuss:

- What strategies may be used to avoid international researchers feeling singled out by extra personally identifiable information required to be supplied?
- How successful and what are the pitfalls of carving out a fundamental Research portion of and otherwise export controlled project?
- What about collaborations in which one or more parties declare their results/discussions off limits to certain nationalities on export control or national security grounds?

We will solicit ideas and best practices from the attendees on approaches universities have tried in dealing with Federal, or Federal flow-down, restrictions and extra reporting requirements on fundamental sponsored research.

Considerations for Effective International Visitor Reviews

2:45PM–3:45PM; Ben Ballroom 1–3

Marsha Pesch, University of Florida
Allen DiPalma, University of Pittsburgh
Aaron Melville, Pacific Northwest National Laboratory

This session will discuss the importance of having an effective international visitor review process. Speakers from three institutions with varying research portfolios, policies and approaches to risk will cover their institutions' processes and risk considerations. The JCORE Research Security Recommendation #20 "Managing Potential Risks Associated with Foreign Visitors and Visiting Scholars" will be used as a guiding principle for this discussion.

ITAR Compliance: Using a Compliance Risk Matrix to Assess Risks and Enhance Compliance Programs

2:45PM–3:45PM; Ben Ballroom 4–5

Jessa Albertson, Stanford University
Michelle Avallone, Columbia University
Jeffrey Trettin, US Department of State, DDTC

A compliance risk matrix is a valuable tool that universities can use to assess their regulatory risks and enhance their compliance programs. The Department of State's Directorate of Defense Trade Controls ("DDTC") has expressed interest in creating a compliance risk matrix as part of its long-term goal to improve compliance guidelines for universities. In this session, DDTC will discuss ITAR challenges for universities and key elements of an ITAR compliance program. This discussion will be followed by a brief introduction to the Defense Trade Advisory Group's ITAR Compliance Risk Matrix, using real-life examples to illustrate how the risk matrix can be used to identify and mitigate ITAR compliance risks at universities and enhance existing compliance programs.

How to Become a Cleared Facility

2:45PM–3:45PM; University Suite

Mary Millsaps, North Carolina State University
Scot Allen, Colorado School of Mines
Patrick Fields, Defense Counterintelligence and Security Agency (DCSA)

Before a university decides to do classified work, there are a lot of questions to consider. University leaders often direct those questions to the Export Control Officer, assuming that classified work is similar to export controlled work. (Short answer: It is not.) The goal of this session is to help attendees answer those questions for their leadership by providing them with a basic understanding of the regulatory framework for classified work, how the decision to do classified work might impact the university, and what the facility clearance process entails. The presenters include 2 AUECO members who have served in various roles related to classified work and an Industrial Security Specialist from the Facility Clearance Branch of the Defense Counterintelligence and Security Agency.

The Role of Export Controls in Research Security

4:00PM–5:00PM; Ben Ballroom 1–3

Kevin Wolf, Akin Gump Strauss Hauer & Feld

Kevin Wolf, former Assistant secretary of Commerce for Export Administration, now with Akin Gump, will wrap up the conference with a discussion on export controls and how they play a role in the broader landscape of research security.

*Please visit conference Exhibitors and enjoy food and beverage breaks
in the Fairmount Suite!*

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Presenters

Jessa Albertson

Global Engagement Review Director, Stanford University

Jessa Albertson is the Director of the Global Engagement Review Program at Stanford University. Her role includes addressing issues related to research security and undue influence while supporting Stanford's mission and values – including openness in research, nondiscrimination and academic freedom. Prior to joining Stanford, Jessa was the Director of the Office of Secure Research at the Ohio State University where she was responsible for export control compliance, National Industrial Security Program Operating Manual (NISPOM) management and issues related to improper foreign influence. Jessa has over 10 years of experience managing export control compliance in university settings and regularly speaks to national and international groups on matters relating to research security and export controls. She is a member of several professional organizations and committees including the US State Department's Defense Trade Advisory Group (DTAG) and the Association of University Export Control Officers (AUECO, member emeritus). Jessa is a certified Export Compliance Professional - EAR/ITAR (ECoP®) and holds a bachelor's and master's degree in Human Relations from the University of Oklahoma.

Scot Allen

Research Compliance Officer, Colorado School of Mines

Dr. Scot Allen leads Research Security and Integrity activities within the Office of Research and Technology Transfer at Colorado School of Mines. In this role, he works with faculty, researchers, and university administrators to enhance a research culture of security, integrity, and safety. Focus areas encompass export controls, undue foreign influence, human subjects research, research integrity, responsible conduct of research, research conflicts of interest, and research safety. Current efforts include applying a risk-based approach to prioritize the use of finite resources, and integrating research security and integrity with new and existing university systems.

Scot has more than 20 years' experience in international relations, program development, and national security. He teaches engineering design and previously worked in university international programs, leading students on humanitarian engineering projects and language immersion programs in Europe, Asia, Africa, and Latin America. He has worked in engineering program development in the Middle East, Europe, and around the U.S., including supervision of 12 international project managers with \$800 M in active construction, rebuilding Iraqi infrastructure.

Jason Arterburn
Director for State-Sponsored Threats, C4ADS

Jason is Program Director for State-Sponsored Threats at C4ADS, where he leads a team in using open source data to expose and investigate national security threats in China, North Korea, Iran, and Russia. Jason has testified to the U.S.-China Economic & Security Review Commission on the role of publicly available data in addressing national security threats from China. His analysis has also been cited by the Congressional Executive Commission on China and the United Nations Panel of Experts on North Korea, and has informed front page stories in the *New York Times*, *Wall Street Journal*, and *Washington Post*.

Jason earned a bachelor's degree in economics and interdisciplinary security studies from the University of Alabama, where he was awarded the Harry S. Truman and David L. Boren Scholarships, and a master's degree in China studies from Peking University, where he was a Yenching Scholar. Prior to C4ADS, Jason studied at Tsinghua University as a Blakemore Freeman Fellow in the Inter-University Program for Chinese Language Studies. He speaks Mandarin.

Michelle Avallone
Director for Export Controls, Columbia University

Michelle Avallone is the Director for Export Controls at Columbia University. Her work focuses on matters relating to U.S. export controls and sanctions regulations, anti-corruption regulations as well as other international research issues. Ms. Avallone is a member of the State Department's Defense Trade Advisory Group (DTAG). Before joining Columbia in 2013, Ms. Avallone was a government contracts attorney at Crowell & Moring LLP. She later opened a practice focusing on government contracts and export controls. Her clients have included multinational corporations as well as small technology start-ups. Ms. Avallone graduated from Columbia Law School in 2006. Prior to law school, Ms. Avallone received graduate degrees in Evolutionary Anthropology from Columbia University. Her research focused on the interaction of predation risk and ranging behavior in monkeys. Ms. Avallone received a B.A. in Anthropology from the University of California, Berkeley. (Go Bears!)

Jules Blyth
Associate Director, Brown University

Jules Blyth, M.Sc., M.A., is the Associate Director of the Office of Research Integrity at Brown University, where she is responsible for Conflict of Interest, Export Control Compliance, and Research Ethics Education. She also supports Brown's Research Integrity Officer with Research Misconduct investigations. Prior to joining Brown, she worked in research compliance at Partners Healthcare in Boston and at Johns Hopkins University in Baltimore.

Patrick Briscoe**Export Controls and International Projects Officer, University of Minnesota**

Having dealt with trade controls long enough to remember when BIS was BXA and DSP-5s had to be completed on a typewriter, Pat has implemented compliance programs, obtained federal export and import authorizations, submitted regulatory comments, and filed voluntary disclosures. His experience encompasses a wide variety of technologies and commodities, including combat vehicles, pathogens, firearms, military aircraft, satellites, drones, hypersonics, and robots. Don't even get him started on all the export control and economic sanctions violations in the Marvel and DC cinematic universes. Pat somehow received a J.D. from the Georgetown University Law Center and a B.A. in English and History from the University of New Mexico.

Krista Campeau**Director of Export Controls and Trade Sanctions, Michigan State University**

Krista is the new Director of Export Controls and Trade Sanctions at Michigan State University. Previously, she was the Director of Export Controls and IT Security Oversight at the University of Michigan, where she served in various capacities over the past 20 years and shepherded the U-M Export Control Program for the past 8 years. She is also an attorney and member of the State Bar of Michigan.

William J. Collins**Director of Export Control Compliance, University of Miami**

William J. Collins, Director of Export Control Compliance, University of Miami, (March 2017) and oversees the Export Management Compliance Program. He has private and government sector experience in export compliance and served as an Empowered Official with the Boeing Company; at NASA Kennedy Space Center as a federal civil servant which included various capacities as a U.S. government contractor in export control management. Also worked in Washington D.C. between the White House, Congress and the U.S. State Department. William J. Collins holds a Bachelor in Arts degree in Political Science from the University of South Florida.

Marci Copeland**Associate Director of Research Security and Export Control, University of California**

Marci Copeland has been with the University of California (UC) system for fifteen years and is currently Associate Director Research Security and Export Control in the UC Office of the President. In that role she supports the UC system-wide research security and export control programs. She has been an active member of the Association of University Export Control Officers (AUECO) and served three years on the AUECO Executive Board previously as Secretary.

Mike Cullen
Baker Tilly

Mike Cullen, a director in Baker Tilly's risk advisory practice, helps clients tackle cybersecurity, data and information technology risks. He works with clients in multiple industries, with a dedicated focus and extensive experience with higher education, research institutions, not-for-profit organizations and government contractors. Since 2001, he has been executing various cybersecurity, privacy and IT assessments, myriad IT internal audits, risk reviews for large transformation projects and numerous IT compliance projects. Currently, Mike leads multifaceted practice teams with industry specialization, all with the goal of helping clients protect data and systems and enhance cybersecurity and IT risk management practices.

Allen DiPalma, MBA
Director, Office of Trade Compliance, University of Pittsburgh

Allen A. DiPalma is the Director of the Office of Trade Compliance at the University of Pittsburgh. In this capacity, he is responsible for the export controls program, academic visitor vetting, imports, drones, and management of Pitt's "Managing International Research and Engagement" website. Prior to being named to lead Pitt's Office of Trade Compliance in 2014, Allen directed Pitt's sponsored project office for 10 years. Allen also has prior experience working in Pitt's medical school, financial accounting, and departmental administration.

Allen is currently a Board member for the Council on Governmental Relations (COGR), member and past Chair of the Board for the Association of University Export Controls Officials (AUECO), Steering Committee member for the Academic Security and Counter Exploitation Working Group (ASCE), Traveling Export Controls Faculty Member for the National Council of University Research Administrators (NCURA), and export controls representative on the AAU/APLU Science and Security Working Group.

Allen received a B.S. Degree in Business Administration from Oral Roberts University; an M.B.A from the University of Pittsburgh; is certified in the EAR and ITAR through the Export Controls Training Institute (ECTI); and is a 2020 graduate of the FBI Citizens Academy.

Steve Eisner
Director of Export Compliance and University Export Control Officer, Stanford University

Steve Eisner serves as Stanford University's Director of Export Compliance and University Export Control Officer, overseeing institutional compliance with export controls (EAR, ITAR) and trade sanctions regulations (OFAC) for both Stanford and the SLAC National Accelerator Laboratory. Steve began his career in Washington, D.C. as a budget officer for international trade programs at the Office of Management and Budget (OMB) and as an export control specialist at the law firm of Arnold & Porter.

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Prior to his arrival at Stanford in 2006, Steve worked as an export control specialist at a global immigration law San Francisco where he provided guidance to corporate clients on deemed export issues involving the transfer of technology to foreign national employees. Steve has served as an export control consultant to various Silicon Valley-based high tech companies, the California Energy Commission's Public Interest Energy Research (PIER) program, and Northwestern University. Steve is Co-Founder and past President of the Association of University Export Control Officers (AUECO) and has served as an export control workshop presenter for various national organizations including the National Academies, the American Conference Institute and the National Council of University Research Administrators (NCURA). He holds a B.A. from Stanford University and a Master of International Affairs from Columbia University's School of International and Public Affairs (SIPA), where he was an International Fellow and Associate Editor of Columbia's Journal of International Affairs.

Christina Ciocca Eller

Assistant Director of Evidence and Policy, White House Office of Science and Technology Policy

Dr. Christina Ciocca Eller serves as Assistant Director, Evidence and Policy, and Senior Advisor for Social and Behavioral Sciences at the National Science and Technology Council (NSTC). In that capacity, she develops and oversees evidence-based policy strategy, practice, assessment, and evaluation. She additionally serves as a co-chair of the NSTC Subcommittee on Research Security, which recently released Implementation Guidance on National Security Presidential Memorandum (NSPM)-33. As part of her research security work, she particularly focuses on connecting and communicating with the U.S. research community. A sociologist of social inequality and higher education organizations by training, Dr. Ciocca Eller is on public service leave from her role in the departments of Sociology and Social Studies at Harvard University.

Joseph Patrick Fields

Industrial Security Specialist, Defense Counterintelligence and Security Agency

Joseph Patrick Fields has been an Industrial Security Specialist with the Defense Counterintelligence and Security Agency (DCSA) since 2013. He works within the Facility Clearance Branch of DCSA Headquarters located on Marine Corps Base Quantico, Virginia. His main duties include processing facilities that are undergoing the facility clearance process. This includes identifying the control and ownership of the facility, identifying any risk indicators that may be present within the legal structure and recommending appropriate mitigation strategies. He is a veteran of the United States Marine Corps and he resides in Stafford, Virginia with his wife and two children.

Matthew J. Fucci
Counsel, Massachusetts Institute of Technology

Matt handles a wide variety of transactions relating to MIT's research and education missions, including international and domestic collaborations, agreements related to educational programs and agreements that involve intellectual property. He also provides advice on general business affairs, regulatory and policy matters and corporate governance

Susan Gasparo
Director of Research Security, Stony Brook University

Susan Gasparo has been with Stony Brook University for over twenty years and is currently the Director of Research Security. Susan's portfolio includes: research security, export controls, foreign influence, and conflict of interest/commitment. Previously she was in the Office of Sponsored Programs where she was involved in proposal submissions and contract negotiations. Susan has been a member of AUECO since 2013 and was on the Membership Committee before being elected chair. She has a B.A. in political science from Stony Brook University and a M.P.A. in finance from New York University.

Matt Gilbert
Baker Tilly

Matt is a principal in Baker Tilly's risk advisory practice. Matt joined Baker Tilly in 2020 and previously worked in an international firm's risk assurance practice for 18 years. Matt leads our Cybersecurity Maturity Model Certification (CMMC) and Government Contractor IT Risk suite of services. He has led IT audits and cybersecurity assessments for large primes down to smaller 8A contractors. Matt's expertise includes internal auditing, SOX compliance, information technology controls, business process controls, and ERP risk and controls. Examples of these engagements include CMMC Readiness assessments, 800-171 implementation projects, 800-53 based ATO readiness reviews, IT Risk assessments, Sarbanes-Oxley compliance, internal audit, pre- and post-implementation assessments, and privacy assessments for clients.

Matt is actively engaged in supporting government contractors, grant recipients, state and local governments and federal agencies navigate the CMMC requirements but has extensive experience supporting NIST 800-171 and 800-53 related assessments. Matt has also run fully co-sourced internal audit engagements for large clients (multi-billion dollars in revenues) in the government contracting industry.

Robert B. Hardy
Director of Research Security and Intellectual Property Management, Council on Government Relations

Robert B. Hardy is Director of Research Security and Intellectual Property Management at the Council on Governmental Relations (COGR; (www.cogr.edu)), an association of 200

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research universities and several affiliated hospitals and research institutes. COGR focuses on the impact of government policies and regulations on university research. Mr. Hardy has lead COGR responsibility for university issues pertaining to research security issues and technology transfer policies and regulations.

Prior to coming to COGR in April 2001, Mr. Hardy was with the National Science Foundation (NSF) for over 30 years, serving in a variety of capacities, including Special Assistant to the Director and Deputy Director of the Division of International Programs. During the last eight years of his NSF career he served as Director of the Division of Contracts, Policy and Oversight.

Mr. Hardy holds a B.A. degree from Gettysburg College and J.D. from Catholic University, and is a member of the Bars of Maryland and the District of Columbia.

Kelly Hochstetler

Director of Research Regulatory Affairs, University of Virginia

Kelly Hochstetler is the Director of Research Regulatory Affairs at the University of Virginia. In this role, she is responsible for promoting the responsible conduct of research, a safe and respectful research environment, and a culture compliance. Kelly leads institutional compliance efforts related to export controls and sanction compliance; preventing undue foreign influence; and research data security. Her current area of focus is preparing for NSPM-33 implementation by the federal research sponsors by performing gap analysis, documenting existing program elements, and implementing or planning for future enhancements to strengthen and streamline institutional policies, systems, and processes.

Kelly has nearly 20 years' experience developing and administering research and financial compliance programs and associated educational content, first at the University of Alaska Fairbanks and now at the University of Virginia. Kelly holds a B.A. in Biology from Luther College and a Ph.D. in Biological Sciences from the University of Alaska Fairbanks.

David Isaacson

Deputy Director of Science and Technology, Office of the Director of National Intelligence



Dr. David Isaacson works within ODNI to identify and synthesize technology trends to guide future Intelligence Community (IC) science and technology (S&T) investments. In this role, he leads a number of ODNI initiatives and activities to stimulate, leverage, inform, and influence public- and private-sector funding for IC research challenges. Dr. Isaacson also launched and led the Intelligence Science and Technology Partnership (In-STeP) program—a cross-IC initiative to better align public- and private-sector S&T efforts supporting intelligence needs and enable senior Community leadership to more effectively manage

risk.

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Dr. Isaacson has also served as technical staff member and staff director on the Congressionally-mandated *National Commission for the Review of the Research and Development Programs of the United States Intelligence Community*, directing and working on a team of national security experts to review, evaluate, and articulate program and resource priorities for the all of the IC's research and development programs. Dr. Isaacson entered-on-duty at CIA in 2007 as a science, technology, and weapons analyst. While at CIA, he was detailed as a Senior Policy Analyst to the Office of Science and Technology Policy within the Executive Office of the President, where he advised and informed policymakers on S&T-related issues relevant to the IC, economic and national security, and other national priorities.

Prior to CIA, he worked in Silicon Valley at a venture capital-funded technology startup focused on the development and commercialization of a novel micro-fabrication process for one-time-programmable solid-state memory devices. Dr. Isaacson holds a Ph.D. in Electronic, Photonic, and Magnetic Materials from the Massachusetts Institute of Technology, where he focused on the UHVCVD growth of lattice-mismatched compound semiconductor layers and devices on silicon.

Wesley Johnson

Bureau of Industry and Security, U.S. Department of Commerce

Dr. Wesley Johnson is a microbiologist with the Bureau of Industry and Security (BIS) at the U.S. Department of Commerce. He holds a BS and PhD in marine science and has an extensive background in microbial ecology, biogeochemistry, functional genomics, and metagenomics. He has served for nine years as a licensing officer and technical subject matter expert for the Chemical and Biological Controls Division of BIS, which implements the Export Administration Regulations for export of dual-use biological and chemical commodities and technologies. Dr. Johnson also serves as the biological technical expert for the Department of Commerce for the Australia Group multilateral export control regime, with a primary focus on synthetic biology and emerging biotechnologies.

Janet C. Johnston

Export Control Officer, Massachusetts Institute of Technology

Janet C. Johnston became the Export Control Officer at the Massachusetts Institute of Technology in 2015. An alumna of MIT, she holds degrees in Physics (BS), Earth and Planetary Sciences (BS), Geophysics (MS), and Civil engineering (MS). Previously, she worked for the U.S. Air Force as a seismologist, spent a year at the Pentagon in Research Laboratory Management in the Office of the Under Secretary of Defense for Research and Engineering, and then was appointed the Chief of Geophysics and Space Science liaison officer at the Air Force European Office of Aerospace Research and Development (London UK). Returning to the U.S., she took on the role of Chief of Marketing for the Air Force Research Laboratory Space Vehicles Directorate, then transitioned back to science as the Program Manager and Principal Investigator for the successful Solar Mass Ejection

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Imager space weather experiment (with international partners), and finally became the Deputy Chief of Mission Planning--Foreign Military Sales and Missile Technology Control Regime certifier. She speaks Russian, is a martial artist, a private pilot, a dance teacher and choreographer, a singer, a motivational speaker, a master costume designer, a playwright, and is a published science fiction author.

Rebecca Spyke Keiser, Ph.D.

Chief of Research Security Strategy and Policy, National Science Foundation



Dr. Rebecca Spyke Keiser is the Chief of Research Security Strategy and Policy (CORSSP) at the National Science Foundation (NSF).

Keiser is the first CORSSP, a position established in March 2020 to ensure the security of federally funded research while maintaining open international collaboration. In this role, Keiser provides the NSF director with policy advice on all aspects of research security strategy. She also leads NSF's efforts to develop and implement efforts to improve research security and the agency's coordination with other federal agencies and the White House.

Until March 2020, Keiser was the head of the Office of International Science & Engineering (OISE) at NSF. Keiser had served as head of OISE since coming to NSF in 2015. The office promotes an integrated, international strategy and manages internally focused programs that are innovative, catalytic and responsive to a broad range of NSF and national interests.

Prior to NSF, she was a special advisor to the National Aeronautics and Space Administration (NASA) administrator and an executive-in-residence at American University. She held several positions with NASA, including associate deputy administrator for strategy and policy, associate deputy administrator for policy integration, and executive officer to the deputy administrator.

Keiser also served as assistant to the director for international relations at the White House Office of Science and Technology Policy, where she provided policy guidance to the president's science advisor. Her experience covers science and technology policy, agreements and other cooperative efforts. She is a board member of Women in Aerospace and a member of the American Academy for the Advancement of Science. She has a bachelor's degree in Japanese studies from Wellesley College; a master's degree in politics of the world economy from the London School of Economics; and a doctorate in international studies from the University of South Carolina. She speaks Japanese and Spanish.

Thea D. Rozman Kendler

Assistant Secretary of Commerce for Export Administration, Bureau of Industry and Security, U.S. Department of Commerce



Thea D. Rozman Kendler was sworn in as the Assistant Secretary of Commerce for Export Administration at the Bureau of Industry and Security (BIS), following unanimous confirmation by the United States Senate. In this role, Ms. Kendler leads Export Administration's highly trained technical professionals in controlling the export of dual-use and military items for national security and foreign policy reasons, analyzing the impact of export controls, and supporting the U.S. defense industrial base. Among other responsibilities, Ms. Kendler chairs the Advisory Committee on Export Policy (ACEP), which resolves interagency policy disputes related to export license applications submitted to BIS. To advance U.S. national security and foreign policy interests, Ms. Kendler regularly engages with Congress, industry, academia, and other stakeholders on the nature and scope of BIS's activities and the Export Administration Regulations (EAR).

Ms. Kendler joined BIS as an experienced export controls, sanctions, and national security attorney. Before joining the Biden-Harris Administration, she was a prosecutor in the Department of Justice's National Security Division, handling complex investigations and prosecutions affecting U.S. national security and strategic trade controls. From 2004-2014, Ms. Kendler served in BIS's counsel's office, where she provided legal advice to BIS's Export Administration and Export Enforcement branches, including during the initial years of Export Control Reform. Before joining the federal government, Ms. Kendler practiced in the international trade group of a global law firm.

Ms. Kendler received her law degree from the University of Pennsylvania. While in law school, she received a Foreign Language and Area Studies (FLAS) grant from the U.S. Department of Education to further her Chinese language study. Ms. Kendler earned her undergraduate degree from Princeton University, with a concentration in the School of Public and International Affairs and certificates in East Asian Studies and Chinese Culture. She has studied Chinese, Japanese, and Russian, and lived in Japan as a teenager.

Ms. Kendler's public service is inspired by gratitude to the United States for enabling her family's immigration as post-World War II refugees. Originally from New Jersey, Ms. Kendler now lives in Maryland.

Heather Little**Compliance Program Manager for International Activities, St. Jude Children's Research Hospital**

Heather is the Compliance Program Manager for International Activities at St. Jude Children's Research Hospital. She supports and facilitates St. Jude's global mission to improve pediatric cancer cure rates and prevent catastrophic childhood illnesses. Her work includes developing and implementing policies, procedures, and educational programs necessary to maintain an effective compliance program in the areas of export controls, economic sanctions, anti-corruption, and research security. Before coming to St. Jude, Heather was the Director of Export Controls and Research Security at the University of Missouri. She also has experience in sponsored programs with professional certification as a CRA and previously worked in the corporate compliance office of an international energy company where she focused on creating and implementing a business partner due diligence program. She is a proud alumna of East Carolina University (MPA with a concentration in policy) and North Carolina State University (BS in applied sociology).

Alexander Lopes**Bureau of Industry and Security, US Department of Commerce**

Alex Lopes joined the Commerce Department's Bureau of Industry and Security in 2002 as an export licensing officer. He was appointed to the Senior Executive Service and selected to his current position as Director, Office of Nonproliferation and Treaty Compliance in August 2008. His office is responsible for developing, refining and implementing export controls on dual use items that may contribute to the development of nuclear, chemical or biological weapons and for missile delivery systems.

He is also responsible for administering U.S. unilateral export controls including exports of items controlled for protection of human rights and export controls associated with international sanctions. His Office represents the Department in multilateral export control regimes including the Australia Group for controls of dual use chemical and biological items, the Nuclear Suppliers Group and the Missile Technology Controls Regime. His office has a leading role in the Bureau's effort to engage foreign governments and industries to strengthen and align their domestic and internal export controls with international norms to enhance compliance with the Export Administration Regulations and ensure U.S. origin items are not diverted to countries, end users and end uses of proliferation concern. In addition to export control responsibilities, his office also has cognizance over U.S. industry compliance with international arms control treaties including the Chemical Weapons Convention and Additional Protocol to the Nuclear Nonproliferation Treaty.

Prior to joining the Commerce Department, Mr. Lopes served in the United States Navy as a nuclear submariner and was a high school physics teacher. He holds a Master of Education Degree from George Mason University and a Bachelor of Science in Systems Engineering from the United States Naval Academy.

Carl McCants**Special Assistant to the DARPA Director, Defense Advanced Research Projects Agency**

Dr. Carl E. McCants is a special assistant to the DARPA director, focusing on the Microsystems Technology Office's (MTO) Electronics Resurgence Initiative (ERI) and the National Network for Microelectronics Research and Development.

Prior to his role at DARPA, he was the technical director of the Supply Chain and Cyber Directorate of the National Counterintelligence and Security Center (NCSC), in the Office of the Director of National Intelligence and a senior program manager at the Intelligence Advanced Research Projects Activity (IARPA).

From 2010 to 2012, he was a program manager in MTO at DARPA, focused on microelectronic integration and hardware assurance and reliability. From 2003 to 2009, he served as the chief technologist to the director of MTO, and special assistant to the DARPA deputy director.

From 1999 to 2003, McCants was a project manager at Agilent Technologies' Semiconductor Products Group, and from 1988 to 1999, he was a development engineer at Hewlett-Packard's Optical Communication Division.

McCants received his bachelor's degree from Duke University in 1981 and his master's and doctoral degrees from Stanford University in 1982 and 1989, respectively, all in electrical engineering. He is a senior member of the IEEE.

Jen McCaw**Export Controls Officer, Oregon Health and Science University**

Jen McCaw has been the ECO for Oregon Health and Science University for the past 7 years. In addition to overseeing export compliance for the university, she also consults internally on imports, hazardous materials, and other shipping issues. Prior to joining OHSU, Jen served as the ECO for a freight forwarding company specializing in ITAR and hazardous materials exports, where she was responsible for developing and implementing their Export Compliance program. Other key contributions included meeting with government officials to discuss regulatory concerns on behalf of her clients and developing and conducting training programs for clients ranging from micro manufacturers to Fortune 500 corporations.

Jeanette J. McMillian

Assistant Director, Supply Chain and Cyber Directorate, National Counterintelligence and Security Center



Ms. Jeanette J. McMillian serves as the Assistant Director for the Supply Chain and Cyber Directorate (SCD) of the National Counterintelligence and Security Center (NCSC). In this role, Ms. McMillian participates in interagency strategic programs and National Security Council initiatives to bolster the security of cyber and supply chains across the federal enterprise. She works closely with NCSC directorates, Office of Director of National Intelligence (ODNI) components, and other Departments and Agencies, specifically the Departments of Homeland Security and Defense, to address supply chain security as a critical component of the National Counterintelligence Security and National Cyber Strategy.

Prior to joining NCSC, Ms. McMillian served as the Acting Deputy Inspector General to the Acting Inspector General of the Intelligence Community (IC IG). Ms. McMillian was most familiar with the IC IG office construct having served in various leadership roles since 2010. She was instrumental in the development of the legislation that created the IC IG to provide oversight of IC programs and activities within the authority of the Director of National Intelligence (DNI).

As the Acting Deputy Inspector General, Ms. McMillian partnered with the IC IG to coordinate and supervise independent audits, inspections, investigations, and reviews. She supported the Acting IC IG in supervising the Assistant Inspectors General for Audit, Inspections, Investigations, and Management and Administration. Ms. McMillian also chaired the Deputy Inspectors General Committee that supports the IC IG Forum on several key initiatives including the IC IG Awards Program.

Ms. McMillian continued to serve as the General Counsel to the IC IG during this interim period. She supervised a staff of legal counsels who conducted legal and policy reviews, provided legal guidance on pertinent IG matters, served as liaison to congressional staff and members, and chaired the IC IG Forum Counsels Committee. Ms. McMillian was also an invited lecturer with the Federal Law Enforcement Training Center teaching various legal courses including Workplace Searches (4th Amendment), Civil Investigations, Administrative Remedies, Employee Rights and Warnings (5th Amendment), and Whistleblower Protections.

Ms. McMillian also served in several Intelligence Community (IC) advisory positions before serving in the IG community. At the National Counterterrorism Center (NCTC), Ms. McMillian assisted with the stand-up of the Directorate of Strategic Operational Planning by analyzing the legal and regulatory aspects of strategic counterterrorism plans. As an Assistant General Counsel with the Office of General Counsel at the Central Intelligence Agency, she assisted in the establishment of the ODNI as a legal advisor to the ODNI's predecessor organization, the IC Community Management Staff.

Josef Mejido
Export Control Officer, University of Rochester

Josef Mejido earned a B.S., summa cum laude, in Biology from the College of William & Mary, an M.S. in Genomics and Bioinformatics from the George Washington University, and a J.D. from the Rutgers School of Law – Newark, where he also received the ABA/BNA Award for Excellence – Intellectual Property Law. Currently, Josef works as the Export Control Officer at the University of Rochester. While in law school, Josef served as Managing Articles Editor for the Rutgers Computer & Technology Law Journal. Before taking the position at the University of Rochester, Josef briefly worked in private practice focusing on intellectual property law. Additionally, he has over six years of biomedical laboratory experience from working as a research biologist in the National Institute of Allergy and Infectious Diseases (NIAID) at the National Institutes of Health (NIH) and as a research fellow in the Center for Biologics Evaluation and Research (CBER) at the Food and Drug Administration (FDA).

Aaron Melville
National Security Specialist, Pacific Northwest National Laboratory (PNNL)

Aaron Melville, JD MBA is a National Security Specialist at Pacific Northwest National Laboratory (PNNL) with 17 years of legal and export controls experience. He focuses his research for federal sponsors on export controls, research security, non-proliferation, sanctions, anti-money laundering, high risk property, supply chain and emerging technology policy. Mr. Melville participates regularly in various export control working groups. Previously he served as Technology Protection Officer (TPO) at PNNL. As PNNL's TPO, he coordinated the activities of the Technology Protection and Export Controls (TPEC) office and led teams in the development of innovative technical solutions to enhance compliance activities. Aaron has worked closely with regulatory agencies including the departments of State, Commerce, and Energy to ensure the research activities at PNNL were complaint. Prior to joining PNNL Aaron led the development of compliance programs in the South Dakota regental system and in manufacturing industry. As outside counsel he advised small to midsized companies on compliance program implementation and development. Mr. Melville has also taught as an adjunct professor of Export/Import, Business, Law, and Economics at Champlain and Lyndon State Colleges. Mr. Melville is active in his community, enjoys art and hiking/backpacking with his family.

Mary Duarte Millsaps
Director of Research Compliance, North Carolina State University

Mary Duarte Millsaps is the Director of Research Compliance at NC State University and in that role oversees the compliance programs related to Animal Subject Research, Human Subject Research, Research Integrity, Conflicts of Interest, Export Compliance and Research Security. Millsaps is a member of the Association of University Export Control Officers (AUECO), and previously served as Chair of AUECO. She is a veteran of the United States Army and a graduate of the Wharton School of the University of Pennsylvania.

Gregory Moffatt**Chief Research Compliance Officer, Massachusetts Institute of Technology**

Gregory Moffatt is MIT's Chief Research Compliance Officer. Positioned within the Office of the Vice President for Research, the Chief Research Compliance Officer manages a team of compliance professions and coordinates the development and implementation of export control and research compliance programs across MIT. Moffatt collaborates with the Institute's Office of General Counsel to interpret federal policies and regulations and monitors the evolving regulatory compliance landscape. He is responsible for evaluating Institute activities to identify and mitigate any compliance risks in collaboration with the Institute's schools and research components. Moffatt is responsible for designing and delivering educational and training materials on export control, conflicts of interest, research integrity, research cybersecurity and other research compliance topics, developing and implementing education and outreach strategy regarding relevant compliance issues, and advising Institute management on emerging compliance issues.

Prior to coming to MIT, Moffatt worked for fourteen years in the Office of General Counsel at Raytheon Company, where he served in a number of legal and compliance roles, including Senior Counsel for Litigation, Senior Director for Ethics and Business Conduct, and Senior Counsel for various Raytheon product lines. Before his time at Raytheon, Moffatt served in the U.S. Department of Justice, most recently as Deputy Chief of the Anti-Terrorism and National Security Section of the U.S. Attorney's Office for the District of Massachusetts.

Moffatt holds a B.S.F.S. (1981) from Georgetown University's Edmund A. Walsh School of Foreign Service, an M.A. in Philosophy from Fordham University (1985) and a J.D., *magna cum laude*, from Georgetown University Law Center (1991).

Kirsten Mortimer**Bureau of Industry and Security, U.S. Department of Commerce**

Kirsten Mortimer was selected to direct the Office of Exporter Services' Export Management and Compliance Division in November 2021. This division is responsible for all issues related to confirming compliance with reporting requirements of BIS licenses, conducting reviews of Automated Export System data and confirming compliance by exporters with Export Administration Regulation requirements, and providing guidance and training to parties in developing and maintaining effective export compliance programs.

Ms. Mortimer has served in many roles during her 34-year career in BIS including seven years as a Senior Advisor to the Deputy Under Secretary of Industry and Security and ten years as the Director of Outreach and Educational Services Division.

Bindu Nair**Director of Basic Research, Office of the Secretary of Defense**

Dr. Bindu R. Nair is the Director of Basic Research within the Office of the Secretary of Defense (OSD). In this role, she is responsible for oversight and coordination of the Department's \$2.5 billion investment in basic science. This investment supports high risk and high pay-off basic research projects in fields including physical science, life science, environmental science, applied mathematics, and others that probe the limits of today's technologies and discover new phenomena and know-how that may ultimately lead to future technologies for the Department.

From 2012-2017, Dr. Nair served in various roles including Acting Director and Deputy Director in the Human Performance, Training and Biosystems (HPT&B) Directorate within the Office of the Secretary of Defense. In this role, Dr. Nair was involved in overseeing a broad range of DoD's science and technology programs that support Warfighter effectiveness. Her specific areas of responsibilities in the office were in environmental technologies, bio-assist technologies (for exoskeletons and prosthetics), human machine teaming, and social behavioral modeling in the information environment.

Prior to her assignment to OSD, Dr. Nair worked for the Department of the Army with oversight responsibilities over the science and technology program in power and energy. She has worked in the DoD laboratory system at Natick Soldier Research, Development and Engineering Center as well as in private industry at Foster Miller (Waltham, MA).

Her research expertise is in the field of Material Science and Engineering including nanomaterials, polymers, and organic electronic materials, and she has taught graduate level courses in Polymer Synthesis. She has published primarily in membrane and materials development fields and holds patents in fuel cell technologies. Dr. Nair holds a B.Sc. from the University of Florida and a Ph.D. from the Massachusetts Institute of Technology in Materials Science and Engineering.

Karen H. Nies-Vogel**Director, Office of Exporter Services, Bureau of Industry and Security, U.S. Department of Commerce**

Karen Nies-Vogel serves as the Director of Office of Exporter Services (OExS) in the Bureau of Industry and Security (BIS) within the U.S. Department of Commerce. Through its offices in Washington, DC, Irvine, CA, and Santa Clara, CA, OExS is responsible for the Bureau of Industry and Security's outreach, education, compliance and regulatory activities. In addition to counseling exporters, organizing and providing seminars, and drafting changes to the Export Administration Regulations (EAR), OExS advises exporters on compliance and administers compliance checks on exporters shipping items subject to the EAR.

Prior to her selection as OExS Director in 2014, Ms. Nies-Vogel served as BIS's Chairman of the End-User Review committee (ERC). As ERC Chair, she was responsible for administering the Validated End-User (VEU) program and the Entity List (Supplement No. 4 to Part 744 of the EAR). Within BIS, Ms. Nies-Vogel has also served as the Director of

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the Strategic Analysis Division in the Office of Strategic Industries and Economic Security, and as an Export Policy Analyst in the Office of Nonproliferation and Treaty Compliance's Foreign Policy Division. Prior to joining BIS in 1998, she worked for the Government of Japan. A recipient of Department of Commerce gold, silver and bronze medals, and a member of the Senior Executive Service, Ms. Nies-Vogel has a B.A. in International Studies from Kenyon College and a M.A. in International Policy Studies from the Middlebury Institute of International Studies at Monterey.

Emily Pender

Manager of Export Controls, University of Southern California

Emily Pender is the Manager of Export Controls in the Office of Culture, Ethics and Compliance at the University of Southern California (USC). She oversees the University's export control compliance program and supports USC's standing faculty committee charged with oversight of restricted research. Emily assisted with the revision of USC's International Collaborations and Export Controls policy and serves as a member of several committees, including the Research Compliance Committee, the Insider Threat Working Group and the UAS (Drone) Review Board. She leads faculty trainings on export controls and has developed numerous education and guidance materials, such as the online course "Export Controls at USC: An Introduction" for USC's learning management system, TrojanLearn. Emily holds a Bachelor of Arts from Harvard University and a Master of Science in Education in Higher Education Management from the University of Pennsylvania.

Darlene Pennington-Johnson

Manager, Export Control Program, University of Michigan

Darlene Pennington-Johnson is the Manager of the Export Control Program, for the University of Michigan Office of Research (UMOR) located in Ann Arbor, Michigan. She holds a master's degree in Anthropology specializing in Business, Organizational, and Cultural Anthropology from Wayne State University. Ms. Pennington-Johnson has worked for over a decade in academic settings as a subject matter expert in regulatory compliance and export controls while supporting diversified and complex global research activities. Prior to coming to the University of Michigan, Ms. Pennington-Johnson served as Export Control Coordinator at Wayne State for over a decade as a primary point of contact for all export control issues involving the University. She has served as a Paralegal in corporations and law firms in Michigan and Atlanta and for the Office of Attorney General in West Virginia. She has a diversified background with over 30 years of experience as a Paralegal and is an Export Compliance Professional (ECoP®) certified in both Export Administration Regulations (EAR), and International Traffic in Arms Regulations (ITAR).

Marsha Pesch**Associate Director for Research Integrity, Security and Compliance, University of Florida**

Marsha Pesch is the Associate Director for UF Research Integrity, Security and Compliance at the University of Florida. Within this role, Marsha serves as the Export Control Officer and Facility Security Officer for the University. Marsha has been in Research Administration for fifteen years, serving as an Export Control Officer at a higher education Institution for over eight years. Marsha received both of her Bachelor's degrees from Florida State University and her Graduate Certificate in Research Administration from the University of South Florida.

Carter Post**Compliance Specialist, University of Florida**

I joined the University of Florida's Research Integrity, Security & Compliance (UF RISC) office in 2019 as a Compliance Specialist for Export Controls. Prior to entering the export control world, I was a Grants Accountant in UF Research's Division of Contracts & Grants, managing a portfolio consisting mainly of international awards and subawards. Before joining UF Research, I worked as a Portfolio Analyst in a state-funded university technology commercialization office, and prior to that as an Analyst in an early-stage Venture Capital firm in Pittsburgh, PA. I graduated from Boston College with a B.A. in Economics. I joined AUECO as a member in 2019. I am now engaged in a second full-time job as a new parent.

Laura Provencher**Export Control Analyst, University of Arizona**

Laura Provencher transitioned three years ago from the University of Arizona's (UA) international travel security to export control, where she is currently a senior analyst. The UA is one of the earliest universities to establish a comprehensive standard of care for its international travelers. Laura led the development and implementation of policies, procedures, and resources in support of the University's international travel security for all students and employees, regardless of funding sources. Laura worked closely with the cross-campus International Travel Safety Oversight Committee to initiate a required university-wide registry and nuanced review process.

Laura has co-authored articles on elicitation and presented nationally on topics including evaluating international travel risk, avoiding coercive risks, and emergency preparedness and response. She: hates writing bios; enjoys traveling, autocross, and time with friends and family; and has a BA in Psychology and Education from the University of California, Davis and an MA in Near Eastern Studies from the University of Arizona.

Terrance Rusch
Export Control Associate, Cornell University

Terrence Rusch is the Export Control Associate for Cornell University and previously has been involved with the export controls programs at Duke University and UNC-Chapel Hill. Prior to his time in academia Terrence worked in the freight forwarding and logistics industry where he was first introduced to the splendors of ITAR/EAR/OFAC regulations. While international shipping is a focal point in Terrence's compliance career, he is no stranger to deemed exports, sanctions, and controlled research.

When not fully ensconced in the above, Terrence enjoys watching Premier League soccer, reading non-fiction, and playing pub trivia.

Hiromi M. Sanders, PhD, JD
Director of Research Integrity, George Washington University

Hiromi Sanders is responsible for matters related to research compliance involving animal care and use, human subjects protection, financial conflicts of interest, laboratory safety, responsible conduct of research, and export controls. She serves as deputy to the university's associate vice president for research integrity.

Sanders brings a unique perspective having served as both a researcher and an administrator. Prior to joining the George Washington University, she served as assistant director of the Office of Research Integrity at East Carolina University. Sanders earned a bachelor's of science in biology and a PhD in physiology from East Carolina University where she studied the aggregation of amyloid-beta peptide species. After completing a postdoctoral fellowship at Columbia University's Mailman School of Public Health, she received her JD from the Earle Mack School of Law at Drexel University.

Lori E. Scheetz
Wiley Rein

LORI E. SCHEETZ is a Partner at Wiley Rein LLP in Washington, DC. Ms. Scheetz represents U.S. and international clients on export compliance and national security matters, with a focus on U.S. export controls and economic sanctions. She has advised clients across a variety of industries, including manufacturers of state-of-the-art defense equipment, encryption software and hardware developers, aerospace companies, engineering and other service providers, biotech companies, satellite communications companies, nuclear technology companies, and universities and research institutions. Ms. Scheetz graduated, summa cum laude, from Georgetown University Law Center in 2007.

Sarah Schlagter
Export Control and Compliance Officer, Cornell University

Sarah Schlagter is the Export Control and Compliance Officer at Cornell University, where she has worked since 2015. Prior to coming to Cornell, Sarah worked in the international

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contracts group for a large defense contractor where she had the opportunity to travel to various international locations for large contract negotiations. Sarah is an attorney admitted to practice in New York State and has practiced law in both the private and public sectors. In her free time, Sarah is an avid yoga practitioner and instructor.

Miranda Sieg
Bureau of Industry and Security, U.S. Department of Commerce

Miranda Sieg is a Presidential Management Fellow and Export Compliance Specialist with the Strategic Intelligence Division in the Bureau of Industry and Security. She has a Master's in International Affairs with a focus in security and development and a Bachelor's in East Asian History and Japanese Language and Literature. Prior to joining BIS, she taught English conversation in Japan, then worked as an administrator and program coordinator at the George Washington University for several years.

Kate Stoan
Director of Export Compliance and Classified Research, University of Missouri

Kate is the Director of Export Compliance and Classified Research for the University of Missouri. She leads the classified research, export compliance, and undue foreign influence programs. In this role she develops system-wide strategies to comply with national security regulations, including the assessment of these programs, implementation of policies and procedures, and providing outreach & training to the university community. Before coming to UM, Kate started the export compliance and sanctions program at Cincinnati Children's Hospital Medical Center as the Export Control Officer and served the Ohio State University as an Export Compliance Analyst. She has experience in both higher education and industry. In addition to her membership in AUECO, Kate is a member of the Association of Certified Sanctions Specialists, NCMS, and the FBI Citizens Academy Alumni Association. Kate graduated from Kent State University with a Master of Library and Information Science and from Drury University with a Bachelor of Arts in Psychology.

Marta Thompson
Akin Gump Strauss Hauer & Feld

As a member for the firm's government contracts and education practices, Marta Thompson represents clients in responding to government audits, allegations of misconduct and fraud, and False Claims Act (FCA) investigations. Marta has represented numerous higher education institutions in responding to foreign influence investigations by federal sponsors, including the National Institutes of Health (NIH) and the National Science Foundation (NSF). She also counsels clients on compliance obligations associated with federally funded contracts and cooperative agreements and grants, including cybersecurity, privacy and data protection, cost allowability, indirect cost recovery and cost accounting. She advises on regulations such as the OMB Uniform Administrative Requirements, Cost Principles, Audit Requirements for Federal Awards (Uniform Guidance) and federal agency policy on sponsored research.

Tongele Tongele**Bureau of Industry and Security, U.S. Department of Commerce**

Tongele N. Tongele, Ph.D. is the Designated Federal Officer (DFO) for Emerging Technology Technical Advisory Committee (ETTA), and a senior engineer with the Bureau of Industry and Security, US Department of Commerce. As a supervisory electronics engineer, Dr. Tongele also deals with licensing in the Nuclear and Missile Technology Controls Division, Office of Nonproliferation and Treaty Compliance. Prior to joining the government, Dr. Tongele taught experimental and theoretical mechanical engineering courses at Southern Illinois University Edwardsville, with focus on structural mechanics and modern control systems engineering. Dr. Tongele's hobby includes writing books and jogging.

Jeff Trettin**Compliance Specialist, Directorate of Defense Trade Controls – Compliance, U.S. Department of State**

Mr. Trettin currently works for the U.S. Department of State, Directorate of Defense Trade Controls (DDTC), Office of Compliance as a Compliance Specialist. He has over 15 years of Trade and Import/Export Compliance experience in industry and government sectors. Within the Office of Compliance, Mr. Trettin is responsible for reviewing and analyzing cases stemming from Voluntary or Directed Disclosures concerning violations of the ITAR as well as reviewing license applications and participating in outreach opportunities. Prior to becoming a

Compliance Specialist within State, Mr. Trettin worked in many areas of compliance with L3 Communications and NASA Goddard Space Flight Center.

John Varesi**Bureau of Industry and Security, U.S. Department of Commerce**

John Varesi is a senior engineer and licensing officer in the Sensors & Aviation Division (National Security Office) of the Bureau of Industry & Security. He has been head of the Commerce Department delegation at the Wassenaar Arrangement Experts Group for over a decade. Prior to his current position, Mr. Varesi worked for the U.S. Army Night Vision Lab and Raytheon Vision Systems developing infrared sensors and materials. He has B.S. and M.S. degrees in mechanical engineering, with graduate work on optical and thermal sensor technologies. He has B.S. and M.S. degrees in mechanical engineering, with graduate work on optical and thermal sensor technologies.

Mike Vernick
Akin Gump Strauss Hauer & Feld

Mike leads Akin Gump's government contracts group and focuses his practice on the higher education and health care and life sciences sectors. His False Claims Act (FCA) experience extends into all aspects of government contracting, higher education and research funding, including cost allowability, Federal Acquisition Regulation (FAR) and Defense Federal Acquisition Regulation Supplement (DFARS) compliance, General Services Administration (GSA) contracts, defective products and bid rigging. Mike also works extensively with universities and academic medical centers on scientific compliance, including financial conflicts of interest, research misconduct and research involving human subjects.

Mike has represented multiple preeminent institutions on allegations of foreign influence over U.S. government funded research, including resolving the first reported FCA case focused on undisclosed researcher ties to a foreign government.

Todd Willis
Compliance Specialist, Directorate of Defense Trade Controls – Compliance, U.S.
Department of State



Todd Willis is a Compliance Specialist in the Directorate of Defense Trade Controls (DDTC), Office of Compliance at the U.S. Department of State. His work involves reviewing voluntary and directed disclosures concerning ITAR violations, communicating with industry and universities about ITAR violations and engaging in educational outreach opportunities with industry and universities. Prior to joining the Department of State, Mr. Willis practiced law in Washington D.C. and New York where his work focused on government investigations and civil litigation matters. He received his B.A. in Government & Politics from the University of Maryland and his J.D. from The George Washington University Law School.

Kristen West
Director for Research Compliance and Ethics, Council on Government Relations (COGR)

Kris West is the Director for Research Compliance and Ethics at COGR (Council on Governmental Relations), an association of research-intensive universities, colleges, independent research institutions, and health care institutions. She provides information, regulatory analysis, policy perspective and advice to COGR's members. Prior to joining COGR, Ms. West worked for Emory University, first as Senior Associate General Counsel and later as Chief Compliance Officer. Ms. West holds a J.D. degree and an M.S. degree in drug regulatory affairs. Senior Associate General Counsel and later as Chief Compliance Officer. Ms. West holds a J.D. degree and an M.S. degree in drug regulatory affairs.

Kevin Wolf
Akin Gump Strauss Hauer & Feld

Kevin Wolf has over 25 years' experience providing advice and counseling regarding the laws, regulations, policies and politics pertaining to export controls, sanctions, national security reviews of foreign direct investments and other international trade issues. His experience includes civil and criminal defense, internal investigations, due diligence audits and compliance program enhancements. Mr. Wolf's practice focuses on the EAR, ITAR, regulations administered by OFAC and CFIUS and U.S. international trade policies. He previously served as Assistant Secretary of Commerce for Export Administration (2010-2017), Bureau of Industry and Security where his primary responsibilities included:

- Developing and implementing policies pertaining to export administration issues, particularly the licensing requirements of EAR
- Representing the Commerce Department in meetings of CFIUS
- Developing and implementing with Obama administration leadership and career staff the Export Control Reform (ECR) initiative.

Frank Wu
President of Queens College, City University of New York

Frank H. Wu is President of Queens College, City University of New York. He formerly served as Chancellor & Dean of University of California Hastings College of the Law and Dean of Wayne State University in his hometown of Detroit. He is the author of *Yellow: Race in America Beyond Black and White*. He has won the Chang Lin Tien award for leadership and the John Hope Franklin prize for his civil rights advocacy.

Tatyana Yeremina
Bureau of Industry and Security, U.S. Department of Commerce

Tatyana Yeremina is an Export Counselor at BIS's Office of Exporter Services, Division of Outreach and Educational Services. She has over three years of experience in export controls. Tatyana's career included work with several federal agencies, including NIH, USDA, and USSTRATCOM. Tatyana received her MBA and Master of Arts in International Trade and Investment Policy from George Washington University and Bachelor of Arts in International Affairs with a concentration in international economics from the same school.

Anita Zinzuvadia
Bureau of Industry and Security, U.S. Department of Commerce

Anita Zinzuvadia is a Licensing Officer and Senior Engineer with the Bureau of Industry and Security (BIS), Office of National Security & Technology Transfer Controls. Her focus areas include computers, telecommunications and information security export controls. Ms. Zinzuvadia also covers emerging technology areas of quantum computing, artificial intelligence, surveillance, and cyber security for BIS. Ms. Zinzuvadia is the Designated Federal Officer for the Information Systems Technical Advisory Committee and participates as part of the U.S. delegation at Wassenaar Arrangement Experts Group Meetings. Anita is a graduate of North Carolina State University.

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