

Subject: Important Information from the Office of Research - Export Controls and International Connections

Date: Friday, September 21, 2018 at 7:48:39 AM Pacific Daylight Time

From: Deborah Motton <dmotton@ucmerced.edu>

To: list-ucmfaculty <ucmfaculty@ucmerced.edu>

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Priority: High

Attachments: Export Controls and China Issue.pdf

Dear Colleagues and Professors,

As we embark on a new semester the Office of Research Compliance & Integrity would like to take this opportunity to share some of the recent changes to the area of [Export Controls](#). On June 21, 2018 the University of California approved the systemwide [Policy on Export Control](#). The policy, which applies to all within the UC community, outlines the UC's commitment to export compliance in areas such as physical exports (shipping & hand carry), international travel, restricted party screening, licensing, defense services and controlled technologies. The new policy comes in conjunction with recent changes in the federal government, as there is growing concern from the current administration over intellectual property espionage.

In addition, it provides UC Merced the flexibility to manage our own compliance program. The Research Compliance office will coordinate with several campus units to ensure compliance with the new policy, including the creation of a campus wide Export Controls Workgroup.

As a reminder, it is highly recommended that any UCM personnel planning to travel internationally on UC business (and/or with UC owned equipment/technology – which may require a license from the federal government) contact our office in advance and register with [UC Trips](#) (this is done automatically if using Connexus). Please check our [website](#) for additional information on international travel.

Furthermore, any UCM employees planning on travel to, or collaboration with, a person or entity within an OFAC sanctioned country (*especially Cuba, Iran, North Korea, Syria or Sudan*) for the purpose of University business should contact the [Research Compliance & Integrity Office](#) as soon as possible prior to travel because it is highly likely a license from the federal government will be required.

Finally, we want to make you aware that there is significant bipartisan activity at the federal level associated with universities and their interactions with foreign entities, institutions and scholars. This year has seen multiple Congressional hearings, [numerous provisions in legislation](#), a [bipartisan congressional letter to the Department of Education](#), and internal agency memos on how “open campus environments” are being called into question by federal policymakers, especially with respect to potential national

security threats and financial influences present on institutions across the country.

Two companies in particular have garnered intense scrutiny from the federal government and national security experts, Huawei Technologies and ZTE. Because of this heightened scrutiny and the risk to the University should we engage with them, executive leadership has decided to place a 6 month hiatus on any University transactions (including, among other things, gifts, grants, purchases or contracts), with these two organizations and any of their subsidiaries. Please see attached memo from VCR Traina to campus stakeholders, sent Sept 18th, 2018 with more details as to why this action was taken.

We will continue to monitor the situation with regards to federal policy and regulations and will do our best to inform stakeholders and constituents to assure the success of our research mission.

We appreciate your attention to these matters. Please contact our office at exportcontrols@ucmerced.edu with any questions or concerns.

Please note starting Oct 8th and through Oct 29th, I will be on vacation and email responses will be significantly delayed. If you anticipate any important or urgent issues that need to be addressed during this time, please contact me prior to my absence. Otherwise, please plan accordingly.

Deborah Motton, Ph.D.

Assistant Vice Chancellor for Research

Director of Research Compliance

Acting Campus Privacy Official

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September 18, 2018

Interim Provost and Executive Vice Chancellor Camfield
Vice Chancellor Klotzbier
Vice Chancellor McLeod
Vice Chancellor Mendez
Vice Chancellor Nies
Associate Chancellor Putney
Campus Counsel Gunther

Subject: Notice regarding engagement with restricted Chinese entities

Dear Colleagues,

On Monday, August 13, 2018 the John S. McCain National Defense Authorization Act (NDAA) was signed for Fiscal Year 2019 and government agencies are promulgating regulations and policies defining the specific requirements regarding a number of restricted Chinese entities.

After campus consultation and preliminary guidance from federal agencies regarding the regulations for restricted Chinese entities, for a six-month period 9/18/18 - 3/18/19, UC Merced will not accept or enter into any engagement, agreement, gift, or funds from entities listed below.

The new law requires UC Merced to inventory and remove all telecommunication and video surveillance equipment from the listed entities below by August 13, 2019. Language in the bill indicates that failure to comply will put UC Merced's federal funding at risk.

Covered telecommunications equipment or services provided by:

- Huawei Technologies Company
- ZTE Corporation
- Or any subsidiary or affiliate of the entities noted above listed in Annex A or implementing regulations.

Video surveillance and telecom equipment produced by:

- Hytera Communications Corporation or any subsidiary or affiliate
- Dahua Technology Company or any subsidiary or affiliate
- Hangzhou Technology Company or any subsidiary or affiliate
- Or any subsidiary or affiliate of the entities noted above listed in Annex B or implementing regulations.

UC Merced seeks to continue our strong engagement with students and faculty from China as well as build even stronger research engagement with Chinese universities. Distribute this through your respective organizations and direct any questions on the law's requirements and/or implementation of this campus

directive to Debra Motton, the campus lead on export controls (dmotton@ucmerced.edu). Have your teams coordinate with her on equipment assessment and removal and implementing process changes to meet the requirements of the NDAA.

We will re-review this directive in six months with regards to agreements and funding to determine next steps.

Sincerely,



Dr. Samuel Traina
Vice Chancellor for Research and Economic Development

Cc:

Dorothy Leland, Chancellor
Deborah Motton, Associate Vice Chancellor of Research and Economic Development
Lisa Pollard, Assistant Vice Chancellor Development
Betsy Dumont, Dean of Natural Sciences
Jeff Gilger, Interim Dean of Social Sciences, Humanities and Arts
Mark Matsumoto, Dean of Engineering
Marjorie Zatz, Graduate Dean
Elisabeth Whitt, Undergraduate Dean
Ann Kovalchik, CIO
Haipeng Li, Librarian
Kurt Schnier, Senate Chair

Annex A
Currently identified subsidiaries/affiliates of Huawei Technologies
Company and ZTE Corporation

Huawei Technologies Company

(Sources: business databases, Huawei Investment & Holding Co., Ltd., 2017 Annual Report)

1. Amartus, SDN Software Technology and Team
2. Beijing Huawei Digital Technologies, Co. Ltd.
3. Caliopa NV
4. Centre for Integrated Photonics Ltd.
5. Chinasoft International Technology Services Ltd.
6. FutureWei Technologies, Inc.
7. HexaTier Ltd.
8. HiSilicon Optoelectronics Co., Ltd.
9. Huawei Device Co., Ltd.
10. Huawei Device (Dongguan) Co., Ltd.
11. Huawei Device (Hong Kong) Co., Ltd.
12. Huawei Enterprise USA, Inc.
13. Huawei Global Finance (UK) Ltd.
14. Huawei International Co. Ltd.
15. Huawei Machine Co., Ltd.
16. Huawei Marine

17. Huawei North America
18. Huawei Software Technologies, Co., Ltd.
19. Huawei Symantec Technologies Co., Ltd.
20. Huawei Tech Investment Co., Ltd.
21. Huawei Technical Service Co. Ltd.
22. Huawei Technologies Cooperatief U.A.
23. Huawei Technologies Germany GmbH
24. Huawei Technologies Japan K.K.
25. Huawei Technologies South Africa Pty Ltd.
26. Huawei Technologies (Thailand) Co.
27. iSoftStone Technology Service Co., Ltd.
28. JV “Broadband Solutions” LLC
29. M4S N.V.
30. Proven Honor Capital Limited
31. PT Huawei Tech Investment
32. Shanghai Huawei Technologies Co., Ltd.
33. TD Tech
34. Tianwen Digital Media Technology (Beijing) Co., Ltd.
35. Toga Networks Ltd

ZTE Corporation

(Sources: business databases, Wikipedia, ZTE Corporation 2017 Annual Report)

1. Anhui Wantong Information Systems Integration Company, Limited
2. Bestel Communications Ltd.
3. CASIC Shenzhen (Group) Company, Limited
4. Chengdu Zhongxing Software Company, Limited
5. Chengdu ZTE Software Company Limited
6. Enablence Technologies Inc.
7. Guangdong New Pivot Technology & Service Company Limited
8. Hengyang ICT Real Estate Co., Ltd.
9. Huanggang Education Valley Investment Holdings Co., Ltd.
10. Intlive Technologies (Private) Ltd.
11. Jiaxing Xinghe Capital Management Company Limited
12. Nanjing Piaoxun Network Technology Co., Ltd.
13. Nacionz Technologies, Inc. New Idea Investment Pte. Ltd.
14. Ningbo Zhongxing Technology Co., Ltd. Yunxiang
15. Nubia Technology Ltd.
16. OOO ZTE Russia Co., Limited
17. Pengzhong Xingsheng
18. Pt ZTE Indonesia
19. Puxing Mobil Tech Company Ltd.
20. S.C. First Project SA
21. Shanghai Xingfei Science And Technology Company, Limited
22. Shanghai Zhongxing Communication Co., Ltd.
23. Shanghai Zhongxing Qunli Information

12. Kaznurtel LLC

13. Kron Telekomunikasyon Hizmetleri A.S.

14. Laxense, Inc.

Technology Ltd.

27. Shanghai Zhongxing Telecom Equipment
Technology & Service Company Limited

28. Shanghai Zte Technologies Co., Ltd.

29. Shenzhen Capital Group Co., Ltd.
30. Shenzhen Changfei Investment Company Limited
31. Shenzhen Force Science And Technology Co., Ltd.
32. Shenzhen Smart Electronics Ltd.
33. Shenzhen Weigao Semi-Conductor Technology Co., Ltd.
34. Shenzhen Zhongxing Hetai Hotel Investment and Management Co., Ltd.
35. Shenzhen Zhongxing ICT Company Limited
36. Shenzhen Zhongxing Microelectronic Technology Company Limited
37. Shenzhen Zhongxing Software Co., Ltd.
38. Shenzhen Zhongxing Telecom Technology & Services Co., Ltd.
39. Shenzhen Zhongxing Xinyu FPC Company Limited
40. Shenzhen ZTE Kangxun Telecom Co., Ltd.
41. Shenzhen ZTE Hetai Hotel Investment Management Ltd.
42. Sizhuo Zhongxing Hangzhou Technology Ltd.
43. Telecom Innovations
44. Wuxi Kaier Technology Co., Ltd.
45. Wuxi Taalink Optoelectronics Technology
46. Wuxi Zhongxing Optoelectronics Technologies Company Limited
47. Xi'an Zhongxing New Software Company Limited
48. Xian Zte Jingcheng Communication Company, Limited
49. Xingtian Communication Technology Tianjin Co., Ltd.
50. Yangzhou Zhongxing Mobile Telecom Equipment Co. Ltd.
51. Zhongxing Software Company Limited
52. Zhuhai Guangtong Automobile Co., Ltd
53. ZTE 9 (Wuxi) Co., Ltd.
54. Zte (Australia) Pty Ltd.
55. Zte Canada Inc.
56. ZTE Cooperatief U.A.
57. ZTE Corporation South Africa (PTY) Limited
58. Zte Czech, S.R.O.
59. ZTE Do Brasil Ltda.
60. ZTE Energy Co., Ltd.
61. ZTE Energy (Tianjin) Company Limited
62. ZTE France SASU
63. ZTE Ghana Limited
64. Zte Group
65. ZTE Group Finance Co., Ltd.
66. ZTE (Hangzhou) Company Limited
67. ZTE (Hong Kong) Ltd.
68. Zte Hrvatska D.O.O.
69. ZTE India R&D Center Private Limited
70. ZTE International Investment Co., Ltd.
71. ZTE Italy, S.r.l.ZTE Kangxun Telecom Company Limited
72. ZTE Malaysia Corporation SDN. BHD.
73. ZTE Mauritius Ltd.
74. ZTE Microelectronics Technology Co., Ltd.
75. ZTE Mobile Tech Company Limited
76. ZTE Netherlands B.V.
77. Zte Nigeria Investment LTD.
78. Zte Norway As
79. Zte Portugal Projectos De Telecommunicacoes, Unipessoal, Lda
80. Zte Romania Srl
81. ZTE Service Deutschland GmbH
82. Zte Singapore Pte. Ltd.
83. ZTE Software Technology (Nanchang) Co.
84. ZTEsoft Technology Company Limited
85. ZTE Supply Chain Co., Ltd
86. ZTE Sweden Ab
87. ZTE Technology & Service Company Limited
88. ZTE Telecom India Private Limited Company Limited
89. ZTE (Thailand) CO., Ltd
90. ZTE Ukraine LLC
91. ZTE (USA) Inc.

Annex B
Currently identified subsidiaries/affiliates of Hytera Communications Corporation, Hangzhou Technology Company, or Dahua Technology Company

Dahua Technology Company

(Sources: business databases, Wikipedia)

1. Dahua Europe B.V.
2. Dahua India
3. Dahua Technology Australia PTY LTD
4. Dahua Technology Brasil Participacoes LTDA
5. Dahua Technology Colombia S A S
6. Dahua Technology (Hong Kong) Co., Ltd.
7. Dahua Technology Mexico S.A. de C.V.
8. Dahua Technology Middle East FZE
9. Dahua Technology Peru S.A.C.
10. Dahua Technology Poland
11. Dahua Technology Rus, LLC
12. Dahua Technology Singapore PTE. LTD.
13. Dahua Technology South Africa Proprietary Limited
14. Dahua Technology USA Inc.
15. DH Chile SpA
16. Hangzhou Huacheng Network (or Internet) Technology Co., Ltd.
17. Hangzhou Tanmu Technology Co., Ltd.
18. Hangzhou Tecomore Technology Co., Ltd.
19. Hangzhou Xiaohua Technology Co., Ltd.
20. Guangxi Dahua Information Technology Co., Ltd.
21. Guangxi Dahua Security Service Co., Ltd.
22. Guangxi Dahua Video Technology Co., Ltd.
23. Guangxi Dahua Zhicheng Co., Ltd.
24. Guangxi Dahua Zongzhi Technology Co.,Ltd
25. Shanxi Dahua Tianrun Technology Co., Ltd.
26. Wuxi Dahua Ruide (or Ryder) Electronic Technology Co., Ltd.
27. Zhejiang Dahua Anfang Internet Operation Service Co., Ltd.
28. Zhejiang Dahua Chi Network Technology Ltd.
29. Zhejiang Dahua Investment Management Co., Ltd.
30. Zhejiang Dahua Juan Technology Co., Ltd.
31. Zhejiang Dahua Network Operations Security Services Co., Ltd.
32. Zhejiang Dahua Science and Technology Co., Ltd.
33. Zhejiang Dahua Security Service Co., Ltd.
34. Zhejiang Dahua System Engineering Co., Ltd.
35. Zhejiang Dahua Technology Co., Ltd.
36. Zhejiang Dahua Zhilian Co., Ltd.
37. Zhejiang Hongrui Communication Technology Co., Ltd.
38. Zhejiang HuaRay Technology Co., Ltd.
39. Zhejiang Huarui Science and Technology Co., Ltd. (listed as pending)
40. Zhejiang Huatu Weixin Technology Co., Ltd.

Hangzhou Hikvision Digital Technology Company

(Sources: business databases, Wikipedia)

1. Beijing Bangnuo Storage Technology Co., Ltd.
2. Beijing Hikvision Security Technical Services Ltd.
3. CETC Finance Co., Ltd. (listed as pending)
4. Chongqing Haikang Technology Co., Ltd.
5. Chongqing Haikang Weishi System Technology Ltd.
6. Chongqing Hikvision System Technology
7. Cooperative Hikvision Europea U.A.
8. Ezviv
9. Fuyang HaiKang Baotai Security Technology Services Ltd.
10. Hikvision Australia
11. Hikvision Canada
12. Hikvision do Brasil Comercio de Equipamentos de Seguranca
13. Hikvision Europe
14. Hikvision France
15. Hikvision FZE
16. Hikvision Korea
17. Hikvision International
18. Hikvision Italy
19. Hikvision Poland
20. Hikvision Singapore
21. Hikvision South Africa
22. Hikvision Spain
23. Hikvision UK
24. Hikvision USA
25. Hangzhou Ezviz Network Co., Ltd.
26. Hangzhou Haikang Weishi Technology Co., Ltd.
27. Hangzhou Hikrobot Technology Co., Ltd. (listed as pending)
28. Hangzhou Hikvision Security Equipment Leasing Services Ltd.
29. Hangzhou Hikvision System Technology Ltd. (listed as pending)
30. HDT International
31. OOO Hikvision
32. Prama Hikvision India Private Limited
33. Secure Holdings Limited
34. Shanghai Gaodwei Intelligence Traffic System Ltd.
35. Wuhan Hikvision System Technology Co., Ltd.
36. ZAO Hikvision

Hytera Communications Corporation

(Sources: business databases, Wikipedia, Google results)

1. Dongguan Hytera Communications Co., Ltd.
2. Harbin Hytera Technology Ltd.
3. Hebi Tianhai Electronic Information System Co., Ltd.
4. Hebi Xinyuan Electronic Co., Ltd. (listed as indirect subsidiary)
5. HYT
6. HYT North America, Inc.
7. Hytera America, Inc.
8. Hytera Mobilfunk GmbH
9. Hytera Communications (Australia) Pty Ltd
10. Hytera Communications (Hong Kong) Company Limited
11. Hytera Communications (UK) Co., Ltd.
12. Hytera Comunicacoes do Brasil Ltda
13. Hytera Mobilfunk GmbH
14. Hytera Project Corp.
15. Hytera Technology (Hong Kong) Company Limited
16. Nanjing Hytera Software Technology Co., Ltd.
17. Nanjing Zhouda Communications Technology Co., Ltd.
18. Norsat International Inc.
19. Sepura plc
20. Shenzhen Anzhijie Science & Technology Co., Ltd.
21. Shenzhen Haitianlang Science & Technology Co., Ltd.
22. Shenzhen Hytera Communications Co., Ltd.
23. Shenzhen Hytera Financial Leasing Co., Ltd.
24. Shenzhen Hytera Technology Services Co., Ltd.
25. Shenzhen Sea Technology Co., Ltd. tannoy
26. Shenzhen SEG Communication Co., Ltd.
27. Shenzhen Yunliantong Communication Service Co., Ltd.
28. Sinclair
29. Teltronic
30. Tianjin Hytera Information Technology Co., Ltd.