



# Export Control and Counterintelligence: Partnering to Prevent Espionage

**Export Control Coordinators Organization  
Annual Training Workshop  
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**TOGETHER WE WIN**

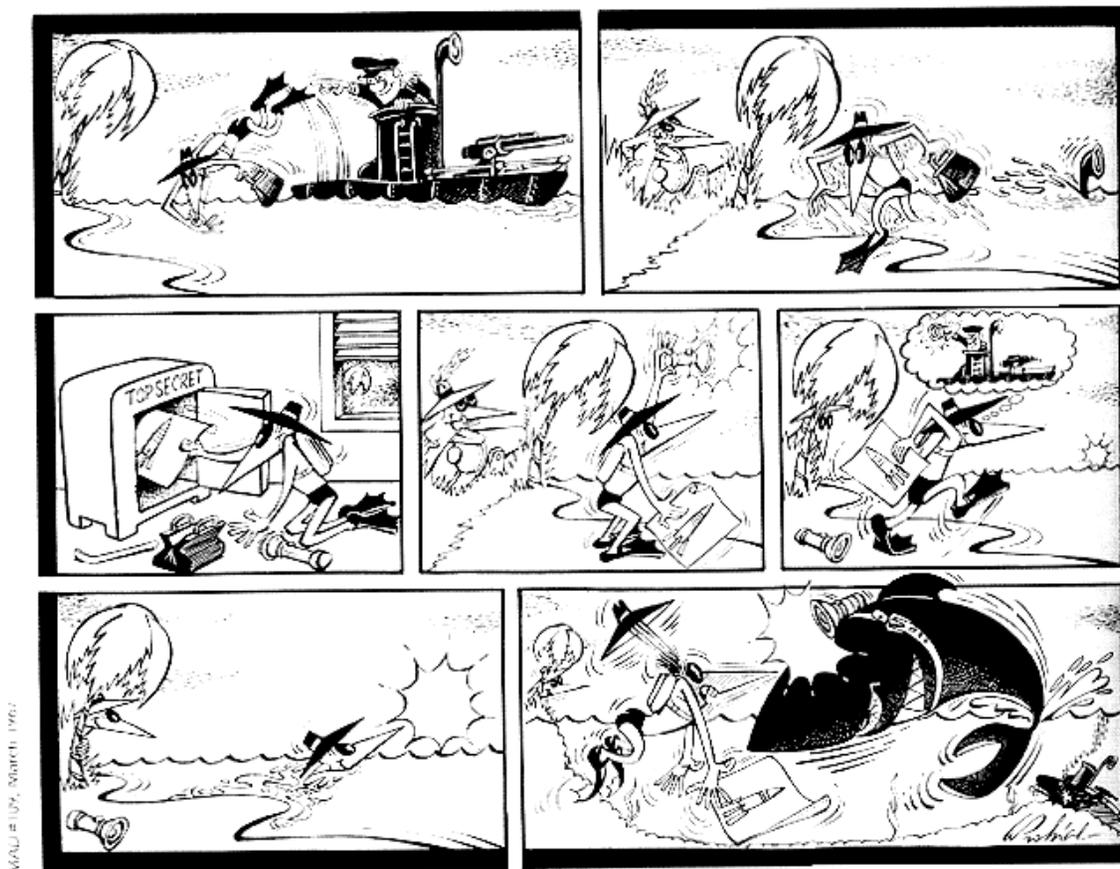
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# Overview

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- **Quick review**
- **Sexy spy stuff (four case studies)**
- **Specific steps we can take to prevent espionage**

# 2006 Recap



MCALJ # 107, March 1962

# 2007 Recap

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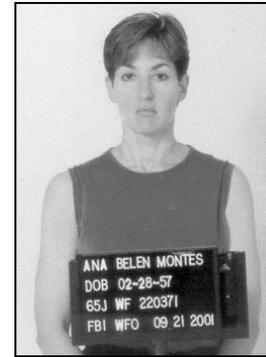
- **CI Relationship to Export Control**
  - Deemed Exports
    - Foreign Visits and Assignments
    - Foreign Travel
  - Technology Transfer/Proprietary information
  - Sensitive Subjects List, MCTL, EAR, ITAR,/Critical National Assets

# Four Cases

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Aldrich Hazen Ames



Ana Belen Montes



Clayton John Lonetree



Katrina Leung

(a.k.a. CHAN Man Ying, CHEN Wen Ying, LOU Zhongshan)

# Aldrich Hazen Ames

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- **Age: 44-52 (1985-1993)**
- **Ethnicity: White/Caucasian**
- **Sex: Male**
- **U.S. agency: Central Intelligence Agency (CIA)**
- **Information compromised: United States Intelligence Community (USIC) budgets, staffing, personnel, morale, strategy, tradecraft, operations, etc.**
- **Foreign intelligence collector(s): Soviet Union, Russia**
- **Methods/tradecraft: Cover meetings, signal sites, dead drops, document exchanges**
- **Indicators: Alcohol abuse, adultery, living beyond his means, loss of intelligence assets**
- **Means of capture: Joint CIA/Federal Bureau of Investigation (FBI) mole hunt**
- **Motivations/rationalizations: Approximately \$2.5 million**
- **Disposition: Sentenced to life in prison in 1994**

# Clayton John Lonetree

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- **Age:** 24-25 (1985-1986)
- **Ethnicity:** Native American (Winnebago tribe)
- **Sex:** Male
- **U.S. agency:** U.S. Marine Corps assigned to U.S. Embassies in Moscow and Vienna
- **Information compromised:** Intelligence agents, embassy floor plans
- **Foreign intelligence collector(s):** KGB officer Violette Seina
- **Methods/tradecraft:** Information exchange for sex
- **Indicators:** Violation of non-fraternization policy
- **Means of capture:** Turned himself in
- **Motivations/rationalizations:** Loneliness, alienation
- **Disposition:** Convicted on 13 charges, sentenced to 30 years

# Ana Belen Montes

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- **Age: 20s-40s (Early/mid 1980s-2001)**
- **Ethnicity: Latino**
- **Sex: Female**
- **U.S. agency: Department of Justice (DOJ), Defense Intelligence Agency (DIA)**
- **Information compromised: Intelligence sources and methods**
- **Foreign intelligence collector: Cuban Intelligence Service (CuIS)**
- **Methods/tradecraft: Clandestine communication with intelligence officers**
- **Indicators: Reports from colleagues, indications of Cuban penetration ofUSIC**
- **Means of capture: Investigations initiated by indicators**
- **Motivations/rationalizations: Ideology**
- **Disposition: Pled guilty to one charge, 25 years in prison, loss of pension**

# Katrina Leung

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- **Age: 20s-40s (Early 1980s-2003)**
- **Ethnicity: Asian**
- **Sex: Female**
- **U.S. agency: FBI asset**
- **Information compromised: FBI investigations and activities, misinformation**
- **Foreign intelligence collector: People's Republic of China (PRC) Ministry of State Security**
- **Methods/tradecraft: Copying of documents, notes**
- **Indicators: Extramarital affair with FBI special agent, unauthorized contact with PRC officials**
- **Means of capture: Investigation based upon multiple derogatory reports**
- **Motivations/rationalizations: Coercion, divided loyalties**
- **Disposition: Pled guilty to two charges, probation, fine, community service**

## Is there a pattern?

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- **Ages: 20s-50s**
- **Ethnicity: White, Native American, Latino, Asian**
- **Sex: Both men and women engage in espionage**
- **U.S. agencies: CIA, U.S. Marines, DOJ, DIA, FBI**
- **Information compromised: Wide range of USIC activities**
- **Foreign intelligence collectors: Soviet Union/Russia, Cuba, PRC**
- **Methods/tradecraft: Gamut from simple note taking to sophisticated dead drops**
- **Indicators: Affairs, substance abuse, finances, lying to investigators**
- **Means of capture: Investigations, confessions, document trails, finances**
- **Motivations/rationalizations: Money, sex, ideology, coercion**
- **Dispositions: Range from no time served to life in prison**

## What *do* they *all* have in common?

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- If the warning signs had been acted upon, then the damage could have been minimized or even prevented.

## What is happening in DOE?

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- **Clearance **suspensions**, clearance **revocations**, and **terminations** of employment have been increasing. Causes include the following:**
  - Assault/threatening with a deadly weapon
  - Battery
  - Domestic violence
  - Driving under the influence of intoxicants
  - Financial issues
  - Illicit drug use
  - Mishandling classified matter
  - Attempted murder
  - Paranoid schizophrenia
  - Psychological evaluations
  - Tax evasion
  - Violence in the workplace

## What is at stake?

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- **“What is so special about Los Alamos? Why do we need Los Alamos? What can’t be transferred someplace else?”**
  - *U.S. Representative Bart Stupak (D-MI), 2007*
- **“If there was a way to start over, I would say, ‘Shut down Los Alamos. Fire everyone out there and build a new laboratory somewhere else.’”**
- **“I do reserve the right to request that we consider shutting down this laboratory.”**
  - *U.S. Representative Joe Barton (R-TX), 2007*
- **“The future of our Laboratory is being questioned and is potentially at risk.”**
  - *LANL Director Michael R. Anastasio, July 23, 2007*

## What should counterintelligence learn?

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- Export payments (cash, excessive)
- End-uses
- Appropriateness of product to customer and business
- Connection of consignee to purchaser
- Inappropriate packaging and/or shipping
- Shipping routes/delivery
- Freight forwarding firm as final destination
- Routine services are declined
- What does not make sense (JDLR)
- *Citizenship\**

## What can export control professionals help spot?

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- **Lying/withholding information**
- **Alcohol abuse**
- **Drug problems**
- **Emotional instabilities**
- **Sexual deviations (blackmail)**
- **Inappropriate overseas contacts**
- **Greed**
- **Probing for information**
- **Odd work hours and behaviors**
- **Extreme dissatisfaction with U.S. form of government**

# How can we partner to *prevent* espionage?

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## ■ Export Working Group

- Office of the Chief Information Officer (information management)
- Classification
- Counterintelligence (CI)
- Customs team
- Foreign nationals program coordinator (advocacy)
- Foreign travel
- Foreign visits and assignments (FV&A)
- Legal
- Mail room
- Nonproliferation
- Operations security (OPSEC)
- Technology transfer

# Release the RATs!

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- **Rapid action/response team:**

- Classification
- Counterintelligence
- Customs
- Legal
- Security investigations



## Act for each other.

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- **“... I made mistakes that have caused the people I love and admire to suffer so grievously from my actions.”**  
-- Jonathan Pollard
- **“[T]here is no way that I can justify what I have done. It’s criminal and deceitful and wrong and sinful.”**  
-- Robert Hanssen
- **“With the anxiety these uncertainties will surely create, now more than ever it is critical that we look out for each others safety and security and take time to think before we act.”**  
-- *LANL Director Michael R. Anastasio, September 6, 2007*

# Together, we can nail it.

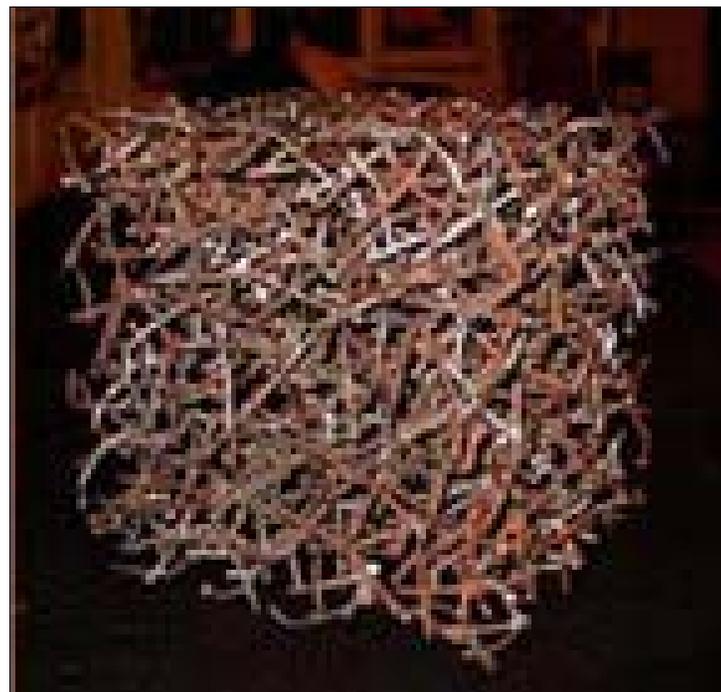
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Self-Consciousness



Jin Man Jo

Box of Nails



Marc Braun

## Any questions?

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**Watch out for each other.**

**Report anomalies.**



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