

Index

- ABB Vetco Gray, Inc. 39, 52-54
 Agents 39-40, 52-53, 66, 68, 70,
 76-78, 114, 121-122, 132,
 135, 137, 141, 149-150, 168,
 184-185, 190
 Aibel Group Limited 39, 53
 Affirmative defenses 94-95, 97,
 105, 145, 152, 154
 Alcatel 69
 Alcatel-Lucent 24, 35, 69
 Alternative Minimum Fines Act
 25
 "Anything of value" 1-5, 37, 75,
 94, 154
 Auditors 28-29, 34, 85-86, 174,
 177
 Avery Dennison 114, 119

 BAE Systems 24, 35
 Baker Hughes 65-67, 135-137,
 139
 Bids and tenders 55-58
 Books and records 14-16, 53,
 114, 116, 124, 138, 140,
 161-175, 180-181, 195
 Business nexus 37
 Business partners 8, 16, 64
 Business purpose 84, 93, 97-101,
 103, 105-106, 152

 Cash
 Gifts of 112-113, 185
 Petty 3, 14, 16, 44
 Use of 42, 45, 68, 87, 101-102,
 157, 172, 177
 Commercial bribery 57-58, 164
 Communist governments 62-63
 Compliance programs 12, 180,
 193, 196-207
 Conferences 2, 87-88, 90, 96,
 108
 Consultants 3, 8, 16, 25, 39,
 47-48, 56, 66, 76-78, 104,
 121-123, 129, 131-135, 137,
 137, 139-140, 142-143, 149,
 168-170, 177, 184, 190,
 Control Components Inc. (CCI)
 34, 57
 Corrupt motive 5-7, 12-13, 75,
 83, 93, 97
 Customs
 Agents/Brokers 3, 10, 15, 39,
 42-43, 52, 123, 128, 136,
 139, 150, 155, 190
 Duties 32, 38, 44, 51-52
 Evacuation 10, 53, 138
 Expediting 9-10, 15, 48,
 137-138, 150
 Intervention 10, 53, 138
 Investigations by 40, 42-43,
 45
 Reduction of duties 40-42
 Skipping inspections 40-42
 Special statuses 42

- Daimler 24, 35
 Debarment 23, 27, 193
 Delisting 29
 Disgorgement 24, 180
 Distributors 9, 122, 140–141
 Donations 2, 114–116, 146, 162–163, 171
 Dow Chemical Co. 205–206
 Due diligence
 Acquisitions 16, 183–184, 187–194
 Charities 117
 Customers 63–64
 Third parties 121, 123–127, 129, 131, 134–135, 140, 149, 169, 171, 180
 Vendors 60, 65, 74, 127
 DynCorp 50, 150

 Entertainment 2, 6–7, 13, 16, 50, 56, 59, 65, 79–81, 83–84, 99, 104, 114, 152, 165, 168, 171
 Exception (from statute) 7, 94–95, 145–146, 151
 Extortion 20–22, 136, 158, 172

 Facilitating payments 7, 41, 45, 47, 94, 145–151, 155, 181
 Fake documents 14, 29, 85–88, 163, 165, 172–176, 186
 Fines 16, 23–28, 66, 69, 114–115, 137, 173, 195
 Foreign official
 Business owned by 71–77, 117–118, 124, 142
 Consulting arrangements 142–143
 Definition of 7–8
 Discretionary authority 7–11, 46, 145, 147–149
 Family of 6, 117–118
 Ministerial acts 11
 Non-discretionary 11

 General Electric Company 185–186
 Ghost cards 89–90
 Gifts 2–7, 15–16, 37, 50, 57, 59, 62, 65, 68, 76, 104, 107–114, 118–119, 152–154, 163, 165–166, 185
 Grease payments 145

 Halliburton 24, 26, 33–35
 Halliburton DOJ Opinion 188–195

 Industries
 Defense 23, 50, 62, 68
 Healthcare 62, 69–70
 Medical devices 51, 69
 Metals and mining 51, 68
 Natural resources 62, 67–68
 Oil 8, 39, 51–52, 62, 65–67, 135–138, 172, 188
 Pharmaceuticals 23, 51, 70, 114–115, 162, 204
 Security 62, 68
 Telecommunications 50, 62, 69, 103–104, 114, 185
 Inspections 3, 10–11, 38, 40–41, 44–45, 49–51, 59, 96–97, 147, 149–150
 Instrumentality 8, 61–63
 Intent 1, 5–7, 12–13, 19, 64, 75, 80, 83, 93–94, 181, 206
 Internal controls 14–16, 26, 53, 64, 71, 76, 78, 81, 103–104, 116, 121, 124, 132, 135–136,

Index

- 138, 140, 142, 161–164, 168,
176–181, 184, 192–193, 195,
201
Internal investigation 26–31, 72,
187, 197, 203–204
InVision 68, 103, 185–187

Joint ventures 16, 25, 62, 184,
190, 194
Jumet, Charles Edward 34
Jurisdiction 13

Kay, U.S. v. 32–33, 37, 39–40
Kellogg, Brown & Root (KBR)
24, 26, 33–35
Knowledge 5–7, 19

Licenses 3, 6, 38, 46–50, 54,
58–59, 147–150, 190
Litigation, Foreign 60
Lobbying 75, 78, 118, 122–123,
130
Local content requirements 139
Lockheed Martin Corp. 185–186
Lucent Technologies 69

Meals 2–4, 6, 13, 16, 50, 56, 59,
79–86, 93, 98, 100, 107,
112–113, 119, 165–166
Metcalf and Edy 102–103
Monitor, Compliance 26

Natco Group, Inc. 172–173

Offer (of a bribe) 1, 5, 11–12, 57,
75, 94, 97, 100, 103, 114,
141, 154, 166, 185
Offset requirements 139
Oil-for-Food Programme 70

Panalpina 39–41, 51–55, 138–139
Paradigm 137, 139

Per diem 101–102
Permits 3, 6, 10, 38, 46–50, 52,
54, 83, 132, 147–149, 151,
190
Policies and procedures 12, 16,
31, 65, 78–80, 85, 91, 122,
129, 134, 176–179, 195–196,
201–202, 204–206
Principles of Federal Prosecution
197–200, 207
Procurement cards (“p-cards”)
89–90
Promise 1, 11–12, 94, 116, 129,
154, 157
Promotional expenses 15–16,
94–97, 105–106, 108, 145,
151–153

Rebate 141
Reimbursements
Documentation 7, 86, 129,
156–168, 173
Employee expenses 3, 16, 102,
166, 173
Resellers 114, 122, 140
Rio Tinto 68

Schering-Plough 69, 114–117,
162–165, 168–169, 171
Schnitzer Steel 67, 164
Seminars 87–88, 90, 141, 163,
171–172
Sentencing Guidelines 24, 180,
196, 200–205, 207
Shakedowns 156–159
Siemens 24–28, 33–35, 119,
162
Slush funds 25, 87, 89, 110–112,
162, 172
Socialist governments 62
Sponsorships 88–90, 171
Stanley, Jack 34

- State-owned entity 8, 34, 61–68, 79, 82, 93, 96–98, 107, 110, 114, 117, 124, 132, 170, 172, 190
- Taxes
 - Bonded zones 43–44, 59
 - Illegally lowering 32, 38
 - Inspections 14, 21, 40, 44–46, 147
 - Refunds 45–46, 50, 73
 - VAT 45–46, 50
- Technip S.A. 180, 195
- Third parties 3, 39, 49, 66, 76, 121–123, 149–150, 168–169, 180, 184, 190–192, 195, 202, 205
 - Contracting with 127–130
- Titan Corp. 185–187
- Travel, 2, 6, 13, 16, 56–57, 68–69, 88–89, 93–105, 107, 152, 165–168, 185
 - Travel Act 57
- U.K. Bribery Act 41, 58, 181, 206–207
- UTStarcom 69, 103–105, 118
- Veraz Networks Inc. 113–114
- Visas 9, 47, 49–50, 118, 147, 149–150, 155, 158, 172–173
- Voluntary disclosure 33, 185, 198–199, 203–204
- Whistleblower
 - Hotlines 202
 - SEC program 35–36
- Willful blindness 18–19, 133, 206
- Written laws defense 19, 145, 154–155