



Descartes MK Denied Party Screening List Catalog

Standard Package List Offering

The Descartes Standard Package is comprised of over 50 denied party lists determined by Descartes to be the best practice to screen against for customers of all industries. The Standard List includes lists published by the **United States, United Nations, European Union, United Kingdom, Germany and Japan**. The Standard List is included with any Descartes product offering option.

Link to Current List Offerings: <https://www.descartes.com/documents/descartes-mk-denied-party-screening-list-offerings>

Department of Treasury (OFAC):

OFAC SDN Lists (20+ Countries): As part of its enforcement efforts, OFAC publishes a list of individuals and companies owned or controlled by, or acting for or on behalf of, targeted countries. It also lists individuals, groups, and entities, such as terrorists and narcotics traffickers designated under programs that are not country-specific. Collectively, such individuals and companies are called "Specially Designated Nationals" or "SDNs." Their assets are blocked and U.S. persons are generally prohibited from dealing with them.

OFAC Consolidated List: In order to make it easier to comply with OFAC's sanctions regulations, the office is now offering all of its non-SDN sanctions lists in a consolidated set of data files "the Consolidated Sanctions List". These consolidated files comply with all OFAC's existing data standards. In the future, if OFAC creates a new non-SDN style list, the office will add the new data associated with that list to these consolidated data files if appropriate. While the consolidated sanctions list data files are not part of OFAC's list of Specially Designated Nationals and Blocked Persons "the SDN List," the records in these consolidated files may also appear on the SDN List.

United Nations:

UN Security Council Sanctions: Security Council sanctions have taken a number of different forms, in pursuit of a variety of goals. The measures have ranged from comprehensive economic and trade sanctions to more targeted measures such as arms embargoes, travel bans, and financial or commodity restrictions. The Security Council has applied sanctions to support peaceful transitions, deter non-constitutional changes, constrain terrorism, protect human rights and promote non-proliferation.

White House Executive Orders: The President of the United States manages the operations of the Executive branch of Government through Executive orders. After the President signs an Executive order, the White House sends it to the Office of the Federal Register (OFR).

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Department of Commerce (BIS):

Entity List: The Entity List identifies foreign parties that are prohibited from receiving some or all items subject to the EAR unless the exporter secures a license. These parties present a greater risk of diversion to weapons of mass destruction (WMD) programs, terrorism, or other activities contrary to U.S. national security and/or foreign policy interests. By publicly listing such parties, the Entity List is an important tool to prevent unauthorized trade in items subject to the EAR.

Unverified List: A list of parties whose bona fides BIS has been unable to verify. No license exceptions may be used for exports, reexports, or transfers (in-country) to Unverified parties. A statement must be obtained from such parties prior to shipping items not subject to a license requirement.

Denied Persons List: A list of individuals and entities that have been denied export privileges. Any dealings with a party on this list that would violate the terms of its denial order are prohibited.

Military End User List: The list contains Chinese, Russian and Venezuelan entities that are known to have military end uses for their products and are subject to EAR license requirements.

Military-Intelligence End User List: The list contains Chinese, Iranian, North Korean, Russian, Syrian & Venezuelan entities that are known to have military-intelligence end uses for their products and are subject to EAR license requirements.

Department of State (DOS):

CAATSA Section 231 List: These Department of State sanctions actions are the result of United States' implementation of Title II of CAATSA, which Congress passed in response to Russia's aggression in Ukraine, annexation of Crimea, cyber intrusions and attacks, interference in the 2016 elections, and other malign activities. We will continue to vigorously implement CAATSA and urge all countries to curtail relationships with Russia's defense and intelligence sectors, both of which are linked to malign activities worldwide.

Chemical Biological Weapons Concerns: AVC's Office of Chemical and Biological Weapons Affairs (AVC/CBW) serves as the lead within the Department of State to promote the global ban on chemical weapons as embodied in the Chemical Weapons Convention (CWC).

Cuba Prohibited Accommodations List: The US Department of State formally announced this list as part of the Cuban Assets Control Regulations. The list contains entities owned by the following groups: The Cuban Government, prohibited government officials and their close relatives, members of the Cuban Communist Party and their close relatives.

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Department of State (DOS):

DOS Debarred Parties: On April 25, 2018, the U.S. Department of State published a Federal Register notice of 168 persons and entities who have been statutorily debarred for convictions of violating, or conspiring to violate, the Arms Export Control Act.

DOS Cuba Restricted List: In accordance with the June 2017 National Security Presidential Memorandum-5, "Strengthening the Policy of the United States Toward Cuba," the U.S. government generally prohibits direct financial transactions with listed entities and sub-entities because they would disproportionately benefit the Cuban military, intelligence, and security services or personnel at the expense of the Cuban people or private enterprise in Cuba.

DOS China: This list contains entities on stock indices from organizations such as MSCI, FTSE and the New York Stock Exchange (NYSE). These entities are affiliated with restricted companies on the BIS Entity list or the Department of Defense Military List.

The Department of State published the list in order to limit the possibility of US investment into Chinese companies that pose a risk to US national security or counteract US objectives.

Designated Terrorist Organizations: It is unlawful for a person in the United States or subject to the jurisdiction of the United States to knowingly provide "material support or resources" to a designated Foreign Terrorist Organization (FTO). (The term "material support or resources" is defined in 18 U.S.C. § 2339A(b)(1) as "any property, tangible or intangible, or service, including currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel (1 or more individuals who maybe or include oneself), and transportation, except medicine or religious materials.

Iran, North Korea, and Syria Nonproliferation Act Sanctions (INKSNA): The Iran, North Korea, and Syria Nonproliferation Act authorizes the United States to impose sanctions against foreign individuals, private entities, and governments that engage in proliferation activities.

Iran Non-Proliferation Act: The Iran Nonproliferation Act of 2000 was signed into law on March 14, 2000. The act authorizes the President of the United States to take punitive action against individuals or organizations known to be providing material aid to weapons of mass destruction programs in Iran.

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Iran Sanctions Act: The Department of State's Office of Economic Sanctions Policy and Implementation is responsible for enforcing and implementing a number of U.S. sanctions programs that restrict access to the United States for companies that engage in certain commercial activities in Iran.

Transfer of Lethal Military Equipment: Mandatory sanctions restricting the provision of foreign assistance to any foreign government that has provided "lethal military equipment" to a country whose government is a state sponsor of terrorism.

Missile Technology Concerns: Two missile sanctions laws, the Arms Export Control Act and the Export Administration Act, prohibit the transfers of missile equipment or technology by foreign persons, and provide legal authority to the President to place sanctions on offending entities.

European Union:

EU Sanctions: In its policy, the European Union intervenes when necessary to prevent conflict or in response to emerging or actual crises. In certain cases, EU intervention can take the form of restrictive measures or 'sanctions'. The application of financial sanctions and more precisely the freezing of assets constitutes an obligation for both the public and private sector. In this regard, a particular responsibility falls on credit and financial institutions, since they are involved in the bulk of financial transfers.

United Kingdom:

UK Proliferations Concerns: The UK is working towards nuclear disarmament and is one of 189 states which have signed the Nuclear Non-Proliferation Treaty. The treaty aims to stop the spread of nuclear weapons and ultimately eliminate them. The UK fully supports the treaty's goal of non-proliferation; nuclear disarmament and the peaceful use of nuclear technology and energy.

Japan:

Japanese Proliferations Concerns: There has been, in particular, increasing concern regarding the development, usage, and proliferation of weapons of mass destruction (WMDs) by international terrorist organizations since the 9.11 attacks in 2001. Furthermore, in view of increasing international awareness over environmental issues, it is necessary for Japan to continue ongoing appropriate measures in trade control.

Core Premium List Offering

The Descartes Core Premium Package is commonly recommended for companies conducting global business operations as well as companies working with US Government contracts. The Core Premium package contains the lists below and can be added to any Descartes screening solution for new or existing customers.

Australian Consolidated List: The Consolidated List is a list of all persons and entities who are subject to targeted financial sanctions under Australian sanctions law. Those listed may be Australian citizens, foreign nationals, or residents in Australia or overseas. Companies are responsible for undertaking the due diligence checks necessary to ensure the persons or entities connected with their proposed activity are not subject to targeted financial sanctions.

Bank of England Financial Sanctions: The consolidated list includes all designated persons subject to financial sanctions under UK legislation. This includes sanctions from multiple UK programs including: OFSI, HM Treasury, Human Rights, Ukraine and any post-Brexit sanction programs.

Canadian Restricted Entities: This is a consolidated list of Canadian sanctions coming from the following programs: Canada Criminal Code, Public Safety Canada, Anti-Terrorism Act, CFPOA, FACFOA, JVCFOA, Public Works and Government Services of Canada & SEMA.

FBI Most Wanted List: The FBI Most Wanted List is a compilation of individuals wanted by the FBI for connection to crimes relating to Terrorism, Counterintelligence, Cyber Crime, Public Corruption, Civil Rights, Organized Crime, White-Collar Crime, Violent Crime or WMD.

GSA Debarred Bidders List: The suspension & debarment process protects the federal government from fraud, waste and abuse by using a number of tools to avoid doing business with non-responsible contractors. Suspensions, Proposals for Debarment, and Debarments are the most widely known tools as these actions are visible to the public via SAM (formerly EPLS).

Swiss Restricted List: The Confederation can take coercive measures to enforce sanctions that have been decided by the United Nations, the Organization for Security and Cooperation in Europe or by Switzerland's most important trading partners and that serve to comply with international law, in particular respect for human rights.

World Bank Debarred/Ineligible Firms: The firms and individuals listed in the list are ineligible to be awarded a World Bank financed contract for the periods indicated because they have been sanctioned under the Bank's fraud and corruption policy.

Anti Bribery & Corruption Package

The Descartes Anti Bribery & Corruption package contains three lists catered to companies performing financial transactions and want to ensure the transactions are not contributing to bribery of government officials.

Politically Exposed Persons: A list of over 50,000 domestic and international government officials, including individuals holding local, state, diplomatic or federal positions. The PEP list also includes additional relationships such as direct family members as provided by the government.

Politically Exposed Persons Russia: A list of individuals known to have personal ties and relationships to Vladimir Putin and his administration.

Foreign Corrupt Policy Act Related Enforcements: Since 1977, the anti-bribery provisions of the FCPA have applied to all U.S. persons and certain foreign issuers of securities. With the enactment of certain amendments in 1998, the anti-bribery provisions of the FCPA now also apply to foreign firms and persons who cause, directly or through agents, an act in furtherance of such a corrupt payment to take place within the territory of the United States. The enforcement list includes entities charged of violating the FCPA as set forth by the Department of Justice and Securities and Exchange Commission.

Law Enforcement List Offering

The Descartes Law Enforcement package consists nearly 30 lists of domestic and international wanted persons for a range of criminal activity from violent to white collar crimes. This package is recommended for companies performing business internationally and wanting to ensure that they are not doing business with criminals or fugitives.

Air Force Fugitives: A list of fugitives and deserters wanted by the United States Air Force.

Army Most Wanted Fugitives: A list of fugitives and deserters wanted by the United States Army.

Alcohol, Tobacco, Firearms and Explosives Most Wanted: A list of individuals wanted by the US Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF). Subjects on this list are chosen based on the severity of the crime, criminal history, threat level to society and belief that the publicity of the list will be of assistance in apprehending the wanted person.

Australia Listed Terrorist Organizations: A list of entities designated by the Government of Australia as terrorist organizations due to preparation, planning, assisting or fostering of terrorist acts. The list also in contains individuals associated with known terrorist organizations.

Canadian Border Services Agency Wanted List: The individuals on this list are wanted by the Government of Canada on warrants issued under the Immigration and Refugee Protection Act (IRPA). These individuals are not authorized to enter or remain in Canada.

Europe's Most Wanted Fugitives: Hosted by Europol, this list contains the most wanted criminal who have been charged with or convicted of serious crimes in Europe, such as murder, sexual exploitation of children, armed robbery and terrorism.

European Union Sanctions – Air Ban: A list of airlines and logistics carriers banned from operating or subject to restrictions within the European Union.

India Blacklisted Firms: Organizations banned by the Indian government from conducting business with the Indian Ministry of Defence.

India Banned Terrorist Organizations: Organizations designated by the government of India as terrorist organizations via the Unlawful Activities Prevention Act of 1967.

Immigration Customs and Enforcement Most Wanted: Individuals wanted by the Immigration and Customs Enforcement Agency (ICE) for various crimes.

Interpol Wanted Persons: A list of global criminals issued red notices by Interpol. Red Notices are issued for fugitives wanted either for prosecution or to serve a sentence. A Red Notice is a request to law enforcement worldwide to locate and provisionally arrest a person pending extradition, surrender, or similar legal action.

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RCMP Most Wanted: A list of fugitives wanted by the Royal Canadian Mounted Police for various crimes.

Naval Criminal Investigative Service Wanted Fugitives: A list of fugitives and deserters wanted by the United States Navy.

Netherlands National Terrorism List: The national sanction list contains the names of individuals and organizations who are involved in terrorist activities. In accordance with UN Security Council Resolution 1373 (2001) their assets have been frozen, causing them to amongst other things no longer being able to withdraw money from their bank accounts, nor use their credit cards.

Narcotics Rewards Program: The Narcotics Rewards Program was established by Congress in 1986 as a tool to assist the U.S. Government identify and bring to justice the major violators of U.S. narcotics laws responsible for bringing hundreds of tons of illicit drugs into the United States each year.

NZ Wanted to Arrest List: A list of wanted persons published by the New Zealand Police. Also includes the NZ Police Ten 7 list.

NZ UNSC 1373 Unilateral List: A list of entities designated by New Zealand to have financed, participated in or recruited for terrorist organizations. This list includes entities listed autonomously by the New Zealand government.

Russia International Terrorist Organizations: A list of organizations designated by Russian courts as terrorist organizations.

Saudi Arabia Militants List: A consolidated list of militants believed to be outside of Saudi Arabia wanted by the Kingdom of Saudi Arabia. This includes entities on the following lists: 2, 9, 16, 19, 23, 26, 36, 47 & 85.

Secret Service Most Wanted Fugitives: A list of fugitives wanted by the Secret Service for various crimes.

Singapore Terrorism Suppression: A list of entities designated by the Government of Singapore as being involved with terrorist organizations as established by the Terrorism Suppression of Financing Act.

Turkey's Most Wanted Terrorist List: A consolidated list of entities wanted by the Government of Turkey for their involvement with terrorist organizations. These includes entities on the following lists: Blue, Green, Grey, Orange & Red.

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United Arab Emirates Terrorist List: A list of entities designated as terrorist organizations by the United Arab Emirates.

United Kingdom Proscribed Terrorist Groups: A list of organizations proscribed as a terrorist organization under the Terrorism Act 2000. These are organizations believed to participate, prepare or encourage acts of terrorism.

US Marshals Service – Profiled Fugitives: The U.S. Marshals Service is the federal government’s primary agency for fugitive investigations. The profiled fugitives list contains fugitives wanted by the US Marshals Service.

USPS Most Wanted Statewide: A list of individuals wanted by the United States Postal Inspection Service for mail fraud related crimes.

Sanctions Related Risk List Offering

The Descartes Sanction Related Risk package is suited for companies aiming to minimize their risk from the Office of Foreign Asset Control's (OFAC) 50% rule. The 50% rule states that if a OFAC designated SDN has 50% ownership or greater in any entity, that entity is also considered a denied party.

In order to provide this data, Descartes has partnered with Kharon. Kharon is a leading provider of research and data analytics on the networks, activities and jurisdictions targeted by global sanctions programs.. Kharon is headed by former senior officials from the U.S. Department of the Treasury's Office of Intelligence and Analysis, Office of Foreign Assets Control, and Financial Crimes Enforcement Network.

With subscription to the Sanctions Related List Package comes an ID to Kharon's Clearview Portal, a visual tool to show the relationships between SDNs and the entities they own. Descartes makes this data available to clients through two major lists:

Kharon 50% List (KH50): These are entities affected by the 50% rule placed by the Office of Foreign Assets Control (OFAC). Kharon maintains this data and tracks divestments and other ownership activity, as entities attempt to circumvent the 50% rule.

Venezuela State Owned Entities: The US Department of Treasury has imposed sanctions on the Venezuelan government, and has extended those to entities that are 50% or more owned by the Venezuelan government. Descartes has partnered with Kharon in order to help our clients stay compliant with these sanctions.

Kharon Military End User List: The US Department of Commerce has issued restrictions and license requirements impacting any companies that are defined as "Military End Users" as described in the Export Administration Regulations. Kharon provides a deeper and more comprehensive list of Chinese Military End Users beyond what has been published by the US Government. This list is also available with original language data.

Banking & Monetary Package

The Descartes Banking and Monetary package consists 14 lists of domestic and international companies and persons that have engaged in fraudulent, corrupt, or obstructive practices. This package also consists of companies imposed with administrative sanctions for violating financial laws, market breaches or operating financial institutions without a license.

British Columbia Securities Commission Investment Caution List: A list of entities that are connected to soliciting BC investors to buy unqualified investments. This list also includes brokerage firms that have not properly registered with the BC Securities Commission.

China Insurance Regulatory Commission: The CIRC may impose fines, warnings and other administrative penalties within the insurance industry as part of the Administrative Punishment Law. This list contains penalized entities.

China Securities Regulatory Commission: A list of sanctioned or penalized entities known for violations and misconduct in the securities and futures market.

European Bank for Reconstruction and Development: A list of entities which have become ineligible to be a counterparty to the European Bank due to corruption or fraud.

Hong Kong Monetary Authority Fraudulent Websites: A list of fraudulent websites as reported by the Hong Kong Monetary Authority for the protection of the public.

Inter-American Development Bank: The firms and individuals listed below have been sanctioned for having engaged in fraudulent, corrupt, collusive, coercive or obstructive practices

Iran Divestment and Sudan Scrutinized Companies: A list of companies which participating US States will not invest or allow government contracts to. Currently, the following 18 states are included: Alaska, Arizona, California, Colorado, Connecticut, Florida, Georgia, Illinois, Iowa, Ohio, Maryland, Minnesota, Nevada, New Jersey, New York, North Carolina, Pennsylvania, Texas.

Ireland Unauthorized Firms: Ireland requires companies providing financial services to register with the Central Bank of Ireland. This list contains individuals and companies that have not registered appropriately, and are not authorized to provide financial services.

Monetary Authority of Singapore Enforcement Actions: A list of companies and individuals who the Monetary Authority of Singapore (MAS) have taken enforcement actions against due to breaches of laws and regulations administered by MAS.

Monetary Authority of Singapore Investor Alert: A list of entities who pose as being licensed and regulated by the MAS, however are unregulated entities.

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Mexico National Banking Commission and Securities: Entities with financial sanctions imposed by the Government of Mexico.

Monetary and Financial Code France: Under the Monetary and Financial Code, the French Government can freeze the resources of any entity that participates in terrorism and their direct and indirect legal entities.

National Financial Sanctions Belgium: A list of entities with frozen assets as set forth by the Belgian Government.

Office of Comptroller of the Currency Unauthorized Banks: A list of entities that engage in unauthorized banking activities within and outside of the United States.

Health & Human Services Package

The Descartes Health & Human Services Package contains lists suitable for any company with relations to pharmaceutical, healthcare or medical equipment industries. This package is focused on domestic agencies, including the Food and Drug Administration, and Department of Health and Human Services.

FDA Debarment List: Firms or individuals convicted of a felony under Federal law for misconduct relating to the development or approval of pharmaceutical drugs.

Office of Inspector General List of Excluded Individuals/Entities: The Office of Inspector General's List of Excluded Individuals/Entities (LEIE) provides information to the health care industry, patients and the public regarding individuals and entities currently excluded from participation in Medicare, Medicaid, and all other Federal health care programs.

NIH PHS Administrative Actions Listing: The PHS Administrative Action Bulletin Board includes the names of individuals who currently have administrative actions imposed against them by the Office of Research Integrity (ORI), the Assistant Secretary of Health and/or the Department of Health and Human Services (HHS).

State Medical Exclusion Lists: A list of medical providers who have been excluded for misconduct. This is a consolidated list, compiled from individual states. The following states are covered within our SMEL list:

Alabama	Illinois	Minnesota	Ohio
Alaska	Indiana	Mississippi	Pennsylvania
Arizona	Iowa	Missouri	South Carolina
Arkansas	Kansas	Montana	Tennessee
California	Kentucky	Nebraska	Texas
Connecticut	Louisiana	Nevada	Washington
Florida	Maine	New Jersey	West Virginia
Georgia	Maryland	New York	Wyoming
Hawaii	Massachusetts	North Carolina	
Idaho	Michigan	North Dakota	

Totally Restricted List for Clinical Investigators: This list contains the names of clinical investigators who have been disqualified or "totally restricted." FDA may disqualify a clinical investigator if he/she has repeatedly or deliberately failed to comply with all applicable regulatory requirements or the clinical investigator has submitted false information to the FDA or the sponsor.

Vessels Package

The Descartes Vessels Package is recommended for companies that are looking to verify their logistics carriers are compliant. The Vessels package contains two major lists below:

Coast Guard List of Prohibited Vessels: This list contains vessels which are banned from entering or transferring cargo at US ports. The list is updated via the Countering America's Adversaries Through Sanctions Act (CAATSA). Entities on this list will generally be vessels owned or operated by entities that are sanctioned, or are owned by countries or ports that do not properly enforce inspections on vessels going to and from North Korea.

Norwegian Blacklist: This list is published by the Norwegian Directorate of Fisheries. They publish vessels which are known to have performed illegal fishing practices in Norwegian waters, and consequently are not allowed to receive licenses to be able to fish in Norwegian waters.

Mexico Package

The Descartes Mexico Package currently contains one list, which is one of the largest single lists Descartes offers. This list is recommended for any companies performing financial transactions in Mexico.

Servicio de Administracion Tributaria Blacklist: The SATMX list is comprised of names and RFC numbers of entities who have tax debt due to the Mexican government, entities that issue fake invoices and tax receipts for non-existent operations, and entities involved in money laundering. Entities that cannot be located or contacted at their tax addresses are also added to the list. Specifically for this list, Descartes allows for screening against Registro Federal de Contribuyentes (RFC) numbers in addition to names and addresses as provided.

Brazil Package

The Descartes Brazil Package currently contains two lists in Portuguese, and is well suited for companies conducting business in Brazil.

Embargoed Areas Brazil: The Embargoed Areas list contains individuals and entities connected to illegal deforestation within Brazil. This list is only available in Portuguese.

Dirty List Eradication of Slave Labor: This list contains companies that are known to have slave labor like conditions. This includes unhospitable working conditions, exhausting hours, forced labor and debt bondage.

China Package

The Descartes China Package contains lists that originate in China and is recommended for any company with operations in Chinese territory.

Ministry of Foreign Affairs Retaliatory Sanctions List:

The Chinese Ministry of Foreign Affairs sanctions are aimed at individuals and entities from several countries as retaliatory measures. The named individuals, their immediate family members and associated businesses are restricted from entering or doing business in China.

Miscellaneous Package

The Descartes Miscellaneous Package contain lists that apply to companies that have industry specific needs that are not covered by other Descartes list packages. This package includes both international and domestic lists.

Customs and Border Protection Forced Labor: This list contains materials and manufacturers that have been found to use forced labor in their operations to produce their products. Importers of these materials can have criminal investigations opened against them.

Malaysian Financial Consumer Alert List: Companies and websites which are neither authorised nor approved under the relevant laws and regulations administered by the Bank Negara Malaysia (BNM).

Malaysia Countering Financing of Terrorism: The list is made by the Minister of Home Affairs and includes entities that have knowingly engaged in for facilitated terrorist acts

Food and Drug Administration Warning Letter: List of manufacturers to whom the FDA has issued a warning letter for violating FDA regulations.

Committee for the Implementation of Textile Agreements: A list of entities which have violated textile trade laws as set forth by the Committee of the Implementation of Textile Agreements.

Descartes MK Denial.com 50% List: Based on OFAC's 50 rule, MKD50 scope consists of individuals and entities not currently listed on the SDN, but are owned/ or controlled by existing Russia and Ukraine SDNs.

US Department of Defense Military List: In accordance with the National Defense Authorization Act, Section 1237, the Department of Defense has created a list of Chinese military entities operating directly or indirectly in the United States.