



A DRAFT CONVENTION
on illicit trade in precious metals
and precious gems

Jonas Hartelius



About the Author*

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Acknowledgment

The author wishes to acknowledge the assistance of Prof. Ingvar Kopp in the preparation of this report.

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EASTWEST INSTITUTE
Forging Collective Action for a Safer and Better World



The EastWest Institute is an international, non-partisan, not-for-profit policy organization focused solely on confronting critical challenges that endanger peace. EWI was established in 1980 as a catalyst to build trust, develop leadership, and promote collaboration for positive change. The institute has offices in New York, Brussels, and Moscow.

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Cover photo: Arko Datta/REUTERS. Gold biscuits are given finishing touches at a precious metals refinery in Mumbai March 3, 2008.

Printed in Belgium.

Contents

Foreword	i
The need for international control of precious metals and precious gems	1
Draft Convention on Illicit Trade in Precious Metals and Precious Gems	5

FOREWORD

Unregulated or illegal production and trade in precious metals, such as platinum, and precious gems, such as diamonds, have become a source of funding for conflicts. Efforts to curb and control the illegal handling of such metals and gems have had only limited success to date. An over-arching legal framework has been lacking.

Considering the need for an international framework, the EastWest Institute (EWI) and the Swedish Carnegie Institute have commissioned Mr. Jonas Hartelius, Senior Fellow at EWI and Scientific Adviser to the SCI, to draft a proposed convention for the United Nations. Such a convention would provide a legal framework for efforts by all parties involved to create a transparent and responsible trade in such metals and gems. The publishers hope this draft for a convention will initiate further discussions.

Brussels and Stockholm, February 1, 2009

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The need for international control of precious metals and precious gems

Precious metals and gemstones have long been valued for their aesthetic properties and ability to retain (or increase) their value. Many precious metals today are also used in the manufacture of high technology commodities. Their high value makes precious metals and precious gems attractive to criminals. They have several functions in the criminal economy:

- They are attractive goods for theft and other forms of criminal acquisition, calling for special protection on the part of the owners and governments.
- They can be used for re-circulating stolen goods, including jewelry, antiques, and works of art, through fragmentation, smelting, and other forms of destruction or transformation. Such processes reduce or even destroy the commercial or cultural value of the material, but they also increase the difficulties for police and other authorities to trace the material and bring criminals to justice.
- They can be used for transporting and transferring valuables outside regular channels and thus finance war, civil conflicts, terrorism, and other forms of dangerous crime.
- They can be used to hide criminal assets and thus make recovery more difficult.
- They can be used for tax evasion through smuggling, hiding of assets, etc.

The full extent or value of criminal activities with precious metals and precious gems has not been fully investigated. It can safely be assumed, however, that the criminal market in these goods is considerable.

Profiling and other types of auditing

All batches of precious metals and all pieces of precious gems contain trace amounts of impurities. The development of modern chemical and forensic methods has opened possibilities to establish the composition of batches and pieces of gemstones to such an extent that their origins can be traced. The procedure has been called “metal fingerprinting” (see e.g. Perelygin et al., 2008). This is similar to the tracing of impurities occurring in clandestine production of narcotic drugs and psychotropic substances.

When developed and properly set up in reference laboratories, profiling will offer new possibilities of auditing precious metals and precious gems. This will enable an increased control of the extraction, smelting, refining, and reprocessing of such metals. Similar methods are being developed for the profiling of precious gems. But setting up an effective precious metals and gemstones forensic profiling would need to be done on a global scale. International and national reference laboratories would have to be set up and the skills of the profilers continuously developed. Communication and coordination would be crucial, as laboratories would need to share information, profiles, technologies, and the like in order to be truly global in their effectiveness and reach. Laboratories would need to work closely with national and international law-enforcement. The successful curtailing of illicit trade in precious metals and gems requires a global effort, one that is based on transparency and coordination. It is thus logical that the United Nations be the center of such a global effort.

Other initiatives for controlling precious metals and precious gems

The wide use of precious metals and precious gems in criminal financial activities has led several parties to take initiatives in their respective sectors.

- The Kimberley Process (KP) is a joint initiative by governments, industries, and civil society to stem the flow of conflict diamonds (“blood diamonds”), which have funded armed movements in Angola, Cote d’Ivoire, the Democratic Republic of Congo, and Sierra Leone. The process is based on a United Nations resolution to adopt an international certification scheme for rough (uncut) diamonds—the Kimberley Process Certification Scheme (KPCS). The process has the formal status of “soft law”—so although not formally binding, it nevertheless has a strong effect on the regulation of the trade in rough diamonds. (KP, 2009; KPCS, 2009)
- Coltan (columbite-tantalite) is a mineral widely used in electronic equipment, e.g. mobile phones. It has been extracted illegally in the Democratic Republic of Congo under periods of civil conflict and been used to finance armed movements. In parallel to the Kimberley process for diamonds, some organizations have called for similar embargoes or regulations to prevent illegally extracted coltan from being used to finance conflicts. (See e.g. FOTC, 2009.)
- The Extracting Industries Transparency Initiative (EITI) was set up to ensure

transparency in transactions between governments, industries, and civil sector organizations. Mainly focused on economic and environmental aspects of the extracting industry, its Principles (as agreed upon at a conference in 2003), when fully implemented and adhered to, can be expected to serve as a framework also for preventing precious metals and precious gems from funding and aggravating conflicts. (EITI, 2009)

- The EastWest Institute and Norilsk Nickel report Metal Fingerprint (2008) has drawn attention to the need for international action and offered a design for a system to deal with profiling of precious metals, mainly of the platinum group.¹
- The World Customs Organization (WCO) has developed a Harmonized Commodity Description and Coding System (“Harmonized System”, HS) which is used to ensure uniformity in the reporting of trade, including controlled goods (WCO, 2009)
- National police, customs, and other authorities have developed their own intelligence and reporting systems to keep track of legal and illegal trade in precious metals and precious gems.

A United Nations convention as a framework for international control

Given the serious consequences of the illegal trade in precious metals and precious gems, the time has come to create a comprehensive framework in the form of a United Nations international convention. Such a convention would have a similar function as the United Nations international drug conventions (1961, 1971, and 1988). The drug conventions offer a solution to the basic conflict of promoting legal trade while preventing and stopping illegal activities with a number of specified substances as listed in separate schedules.

A full text (with a minimum of formal amendments required as to dates, etc.) is offered for a United Nations International Convention on Illicit Trade in Precious

¹ The report is available at: <http://www.ewi.info/pdf/Precious%20Metals%20web.pdf>

Metals and Precious Gems. If adopted, such a convention would lend the full legal authority of the United Nations to the efforts by international organizations, national governments, commercial actors, and professional bodies to increase the control and the transparency in the handling of precious metals and precious gems. It would also provide a common terminology, a “minimum standard” of action to be taken by the signatories, and a mechanism for the exchange of information regarding individual shipments etc. In the end, it would contribute to thwarting and reducing criminal activities involving precious metals and precious gems.

A full text draft of the proposed convention is attached.

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Draft Convention on Illicit Trade in Precious Metals and Precious Gems

Article 1: Use of terms	8
Article 2: Scope of control of precious metals and gems	9
Article 3: Special provisions regarding the control of precious metals and gems	10
Article 4: The commission.....	12
Article 5: Exemptions.....	12
Article 6: Central authorities	13
Article 7: Collection and analysis of specimens	13
Article 8: Licenses	13
Article 9: Information to the public.....	14
Article 10: Protection of intellectual property rights	14
Article 11: Records.....	15
Article 12: Provisions relating to international trade.....	15
Article 13: Prohibition of and restrictions on export and import.....	18
Article 14: Special provisions on the setting up of national reference laboratories.....	18
Article 15: Inspection	19
Article 16: Reports to be furnished by the parties.....	19
Article 17: Functions of the commission.....	20
Article 18: Reports of the commission	21
Article 19: Measures by the commission to ensure the execution of the provisions of the convention.....	21
Article 20: Taxation	22
Article 21: Action against the illicit traffic	23
Article 22: Penal provisions	23
Article 23: Application of stricter control measures than those required by this convention	25

Article 24: Expenses of international organs incurred	
in administering the provisions of the convention	25
Article 25: Procedure for admission, signature, ratification, and accession	25
Article 26: Entry into force.....	26
Article 27: Territorial application.....	26
Article 28: Regions for the purposes of this convention	27
Article 29: Denunciation	27
Article 30: Amendments.....	28
Article 31: Disputes.....	28
Article 32: Reservations.....	28
Article 33: Notifications	29

PREAMBLE

The Parties,

Bearing in mind that precious metals and precious gems are among the most highly valued and durable assets of humankind,

Noting with concern that an unregulated or extralegal trade in precious metals and precious gems may serve as a channel for avoiding taxation, supporting criminal activities, funding terrorism and re-circulating stolen property, including antiques and works of art,

Having the intention to regulate for themselves and to set for other parties effective guidelines for a sound and transparent trade in precious metals and precious gems,

Acknowledging the competence of the United Nations in the field of controlling and monitoring international trade and desirous that the international organs concerned should be within the framework of that Organization,

Recognizing that an international convention is necessary to achieve these purposes,

Agree as follows (on the following conventions):

ARTICLE 1: USE OF TERMS

Except where otherwise expressly indicated, or where the context otherwise requires, the following terms in this Convention have the meanings given below:

- a. “Council” means the Economic and Social Council of the United Nations.
- b. “Commission” means the Commission on Precious Metals and Precious Gems.
- c. “Secretary-General” means the Secretary-General of the United Nations.
- d. “Precious metal” means any metal in Schedule I.
- e. “Precious gem” means any gem in Schedule II.
- f. “Schedule I” and “Schedule II” mean the correspondingly numbered lists of precious metals and precious gems annexed to this Convention, as altered in accordance with article 2.
- g. “Export” and “import” mean in their respective connotations the physical transfer of precious metals or precious gems from one State to another State.
- h. “Manufacture” means all processes by which precious metals or precious gems may be obtained, and includes refining as well as the transformation of precious metals or precious gems into other forms.
- i. “Illicit traffic” means manufacture of or trafficking in precious metals or precious gems contrary to the provisions of this Convention.
- j. “Auditing” means the chemical, technical, scientific, or forensic analysis of an amount of a precious metal or a precious gem to establish its composition and as far as possible its origins.
- k. “Accreditation” or “certification” (both terms may be used interchangeably) means the process of ascertaining competence and quality of a laboratory for the issuing of a document showing its proficiency in its field of expertise.
- l. “Central authority” means an authority of the national government of a Party entrusted by law or similar statute to regulate and oversee the auditing and other functions obligated according to this Convention upon a Party
- m. “National reference laboratory” means a government-funded and government-inspected laboratory capable of analyzing the composition and, as far as possible, the origins of precious metals and precious gems.
- n. “Region” means any part of a State which, pursuant to article 28, is treated as a separate entity for the purposes of this Convention.
- o. “Premises” means buildings or parts of buildings, including the appertaining land.

ARTICLE 2: SCOPE OF CONTROL OF PRECIOUS METALS AND GEMS

1. If a Party, the World Customs Organization, or any other international body recognized by the United Nations has information relating to a metal or gem not yet under international control under this Convention that in its opinion may require the addition of that metal to Schedule I or gem to Schedule II of this Convention, it shall notify the Secretary-General and furnish him or her with the information in support of that notification. The foregoing procedure shall also apply when a Party or the World Customs Organization or any other international body recognized by the United Nations has information justifying the deletion of a metal or gem from the Schedules.
2. The Secretary-General shall transmit such notification, and any information that he or she considers relevant, to the Parties, to the Commission, and, when the notification is made by a Party, to the World Customs Organization.
3. If the information transmitted with such a notification indicates that the metal or gem is suitable for inclusion in Schedule I or Schedule II pursuant to paragraph 4, the Parties shall examine, in the light of all information available to them, the possibility of the provisional application to the substance of all measures of control applicable to substances in Schedule I or Schedule II, as appropriate.
4. If the Commission finds that the metal should be placed under control according to Schedule I or the gem be placed under the control according to Schedule II, and bearing in mind the economic, social, legal, administrative, and other factors it may consider relevant, the Commission may add the metal to Schedule I or the gem to Schedule II. The Commission may seek further information from the World Customs Organization or from other appropriate sources.
5. Any decision of the Commission taken pursuant to this article shall be communicated by the Secretary-General to all States Members of the United Nations, to other Parties to this Convention, to the World Customs Organization, and to the Commission. Such a decision shall become fully effective with respect to each Party 180 days after the date of such communication, except for any Party which, within that period, in respect of a deci-

sion adding a metal or gem to a Schedule, has transmitted to the Secretary-General a written notice that, in view of particular circumstances, it is not in a position to give effect with respect to that metal or gem to all of the provisions of the Convention applicable to precious metals or precious gems. Such notice shall state the reasons for this exceptional action.

- 6.a. The decisions of the Commission taken under this article shall be subject to review by the Council upon the request of any Party filed within 180 days from receipt of notification of the decision. The request for review shall be sent to the Secretary-General together with all relevant information upon which the request for review is based.
- 6.b. The Secretary-General shall transmit copies of the request for review and the relevant information to the Commission, to the World Customs Organization, and to all the Parties, inviting them to submit comments within ninety days. All comments received shall be submitted to the Council for consideration.
- 6.c. The Council may confirm, alter, or reverse the decision of the Commission. Notification of the Council's decision shall be transmitted to all States Members of the United Nations, to other Parties to this Convention, to the Commission, to the World Customs Organization, and to the Commission.
- 6.d. During pendency of the review, the original decision of the Commission shall, subject to paragraph 4, remain in effect.

ARTICLE 3: SPECIAL PROVISIONS REGARDING THE CONTROL OF PRECIOUS METALS AND GEMS

1. Except as provided in the following paragraphs of this article, a preparation is subject to the same measures of control as the precious metal or metals which it contains.
2. If a preparation is in the form of an alloy containing less than ten percent of a precious metal, the preparation may be exempted from certain of the measures of control provided in this Convention in accordance with paragraph 3.

3. If a Party makes a finding under the preceding paragraph regarding a preparation, it may decide to exempt the preparation, in its country or in one of its regions, from any or all of the measures of control provided in this Convention except the requirements of:
 - a. article 8 (licenses), as it applies to manufacture;
 - b. article 11 (records), as it applies to exempt preparations;
 - c. article 13 (prohibition of and restrictions on export and import);
 - d. article 15 (inspection), as it applies to manufacture;
 - e. article 16 (reports to be furnished by the Parties), as it applies to exempt preparations; and
 - f. article 22 (penal provisions), to the extent necessary for the repression of acts contrary to laws or regulations adopted pursuant to the foregoing obligations. A Party shall notify the Secretary-General of any such decision, of the name and composition of the exempt preparation, and of the measures of control from which it is exempted. The Secretary-General shall transmit the notification to the other Parties, to the World Customs Organization, and to the Commission.

4. If a Party or the World Customs Organization has information regarding a preparation exempted pursuant to paragraph 3 that in its opinion may require the termination, in whole or in part, of the exemption, it shall notify the Secretary-General and furnish him or her with the information in support of the notification. The Secretary-General shall transmit such notification, and any information which he considers relevant, to the Parties, to the Commission, and, when the notification is made by a Party, to the World Customs Organization. The World Customs Organization shall communicate to the Commission an assessment of the preparation in relation to the matters specified in paragraph 2, together with a recommendation of the control measures, if any, from which the preparation should cease to be exempted. The Commission, taking into account the communication from the World Customs Organization, and bearing in mind the economic, social, legal, administrative, and other factors it may consider relevant, may decide to terminate the exemption of the preparation from any or all control measures. Any decision of the Commission taken pursuant to this paragraph shall be communicated by the Secretary-General to all Members of the United Nations, to other Parties to this Convention,

to the World Customs Organization, and to the Commission. All Parties shall take measures to terminate the exemption from the control measure or measures in question within 180 days of the date of the Secretary-General's communication.

ARTICLE 4: THE COMMISSION

1. The United Nations shall set up a Commission on Precious Metals and Precious Gems to oversee the adherence and compliance to this Convention by Parties and other actors involved in the handling of precious metals and precious gems.
2. The members of the Commission shall be individuals of outstanding scientific, professional, or legal competence and serve in their individual capacity. The members shall be independent of outside interests.

ARTICLE 5: EXEMPTIONS

1. Notwithstanding the provisions of this convention, each Party shall exempt from control and reporting any trade in and use of precious metals and precious gems that are a functioning part of chemical, technical, scientific, and industrial appliances or processes when such appliances and processes are not used for producing precious metals or precious gems or where the precious metals or precious gems are not easily separated.
2. Notwithstanding the provisions of this convention, each Party shall exempt from the provisions required by this Convention the transportation, possession, and use of small amounts of precious metals or precious gems constituting an integral feature of technical equipment used in professional or scientific work.
3. Notwithstanding the provisions of this convention, each Party may exempt from the provisions required by this Convention the transportation, possession, and use of small amounts of precious metals or precious gems belonging to personal property.

ARTICLE 6: CENTRAL AUTHORITIES

It is desirable that for the purpose of applying the provisions of this Convention, each Party establishes and maintains a central authority.

ARTICLE 7: COLLECTION AND ANALYSIS OF SPECIMENS

1. For the purposes of upholding and executing the provisions of this Convention, particularly the auditing of precious metals and precious gems, a Party may require that a person or enterprise authorized under the provisions of article 8 shall keep samples and specimens of all production batches or shipments to be made available for chemical, technical, scientific, or forensic analysis in order to establish its composition and as far as possible its origins.
2. Notwithstanding the provisions of the previous section, a Party, through its central authority, national reference laboratory, or other competent authority, may collect samples and specimens of precious metals or precious gems to the extent necessary to ensure the purpose of the audit. The amount of the samples or specimens may not be more extensive than necessary for the purpose of the audit under the provisions of this Convention.
3. A Party making an audit according to this article shall keep records of the samples and specimens taken, the sources from which they were taken, and the results of the audit. The results shall be communicated to the original owner of the samples and to the relevant authorities.

ARTICLE 8: LICENSES

1. The Parties shall require that the manufacture of, trade (including export and import) in, and distribution of metals listed in Schedule I and gems listed in Schedule II shall be under license or other similar control measure.
2. The Parties shall:
 - a. Control all duly authorized persons and enterprises carrying on or engaged in the manufacture of, trade (including export and import trade) in, or distribution of metals and gems referred to in paragraph 1;

- b. Control under license or other similar control measure the establishments and premises in which such manufacture, trade, or distribution may take place; and
 - c. Provide that security measures be taken with regard to such establishments and premises in order to prevent theft or other diversion of stocks.
3. The provisions of paragraphs 1 and 2 of this article relating to licensing or other similar control measures need not apply to persons duly authorized to perform and while performing therapeutic or scientific functions.
4. The Parties shall require that all persons who obtain licenses in accordance with this Convention or who are otherwise authorized pursuant to paragraph 1 of this article shall be adequately qualified for the effective and faithful execution of the provisions of such laws and regulations as are enacted in pursuance of this Convention.

ARTICLE 9: INFORMATION TO THE PUBLIC

The Parties shall give information to the public and to relevant professional and commercial groups and actors in the field about the regulations of this Convention and related domestic legislation.

ARTICLE 10: PROTECTION OF INTELLECTUAL PROPERTY RIGHTS

1. Each Party, its central authority, its national reference laboratory or other domestic authorities, or any international body performing an audit according to the provisions of this Convention shall ensure by legislation, statutory instruments, and administrative guidelines that any information related to commercial secrets and intellectual property rights is safeguarded. Whenever necessary, officers performing audits or handling information shall be required to sign statements of secrecy. Willful or grossly negligent violations of secrecy rules shall be prosecutable by criminal or civil law.

2. Any company applying for a license, seeking auditing or being subjected to auditing or to inspection under the provisions of this Convention shall inform the authorities whenever any information presented is requested to be protected according to the provisions of this article.

ARTICLE 11: RECORDS

1. The Parties shall require that, in respect of metals in Schedule I and gems in Schedule II, manufactures and all other persons authorized under article 8 to trade in and distribute those metals and gems keep records, as may be determined by each Party, showing details of the quantities manufactured, the quantities held in stock, and, for each acquisition and disposal, details of the quantity, date, supplier, and recipient.
2. The Parties shall require manufacturers of preparations exempted under paragraph 3 of article 5 to keep records as to the quantity of precious metals and precious gems used in the manufacture of an exempt preparation, and as to the nature, total quantity, and initial disposal of the exempt preparation manufactured there from.
3. The Parties shall ensure that the records and information referred to in this article that are required for purposes of reports under article 16 shall be preserved for at least two years.

ARTICLE 12: PROVISIONS RELATING TO INTERNATIONAL TRADE

- 1.a. Every Party permitting the export or import of precious metals in Schedule I or precious gems in Schedule II shall require a separate import or export authorization, on a form to be established by the Commission, to be obtained for each such export or import whether it consists of one or more metals or gems.
- 1.b. Such authorization shall state the international non-proprietary name, or, lacking such a name, the designation of the metal or gem in the Schedule, the quantity to be exported or imported, the name and address of the exporter and importer, and the period within which the export or import must be effected. If the metal or gem is exported or imported in the form of a

preparation, the name of the preparation, if any, shall additionally be furnished. The export authorization shall also state the number and date of the import authorization and the authority by which it has been issued.

- 1.c. Before issuing an export authorization, the Parties shall require an import authorization, issued by the competent authority of the importing country or region and certifying that the importation of the metals or gems referred to therein is approved, and such an authorization shall be produced by the person or establishment applying for the export authorization.
 - 1.d. A copy of the export authorization shall accompany each consignment, and the Government issuing the export authorization shall send a copy to the Government of the importing country or region.
 - 1.e. The Government of the importing country or region, when the importation has been effected, shall return the export authorization with an endorsement certifying the amount actually imported to the Government of the exporting country or region.
- 2.a. The Parties shall require that for each export of metals in Schedule I or gems in Schedule II exporters shall draw up a declaration in triplicate, on a form to be established by the Commission, containing the following information:
 - i. The name and address of the exporter and importer;
 - ii. The international non-proprietary name, or, failing such a name, the designation of the metal or gem in the Schedule;
 - iii. The quantity and form in which the metal or gem is exported, and, if in the form of a preparation, the name of the preparation, if any; and
 - iv. The date of dispatch.
 - 2.b. Exporters shall furnish the competent authorities of their country or region with two copies of the declaration. They shall attach the third copy to their consignment.
- 3.a. The Parties shall exercise in free ports and zones the same supervision and control as in other parts of their territory, provided, however, that they may apply more drastic measures.
 - 3.b. Exports of consignments to a post office box or to a bank to the account of a person other than the person named in the export authorization shall be prohibited.

- 3.c. Exports to bonded warehouses of consignments shall be prohibited, unless the Government of the importing country certifies on the import authorization, produced by the person or establishment applying for the export authorization, that it has approved the importation for the purpose of being placed in a bonded warehouse. In such case the export authorization shall certify that the consignment is exported for such purpose. Each withdrawal from the bonded warehouse shall require a permit from the authorities having jurisdiction over the warehouse and, in the case of a foreign destination, shall be treated as if it were a new export within the meaning of this Convention.
- 3.d. Consignments entering or leaving the territory of a Party not accompanied by an export authorization shall be detained by the competent authorities.
- 3.e. A Party shall not permit any precious metals or precious gems consigned to another country to pass through its territory, whether or not the consignment is removed from the conveyance in which it is carried, unless a copy of the export authorization for consignment is produced to the competent authorities of such Party.
- 3.f. The competent authorities of any country or region through which a consignment of precious metals or precious gems is permitted to pass shall take all due measures to prevent the diversion of the consignment to a destination other than that named in the accompanying copy of the export authorization, unless the Government of the country or region through which the consignment is passing authorizes the diversion. The Government of the country or region of transit shall treat any requested diversion as if the diversion were an export from the country or region of transit to the country or region of new destination. If the diversion is authorized, the provisions of paragraph 1 e) shall also apply between the country or region of transit and the country or region which originally exported the consignment.
- 3.g. No consignment of precious metals or precious gems, while in transit or whilst being stored in a bonded warehouse, may be subjected to any process that would change the nature of the precious metals or precious gems in question. The packing may not be altered without the permission of the competent authorities.
- 3.h. The provisions of sub-paragraphs e) to g) relating to the passage of precious metals or precious gems through the territory of a Party do not apply where the consignment in question is transported by aircraft that does not land in

the country or region of transit. If the aircraft lands in any such country or region, those provisions shall be applied so far as circumstances require.

- 3.i. The provisions of this paragraph are without prejudice to the provisions of any international agreements that limit the control which may be exercised by any of the Parties over such substances in transit.

ARTICLE 13: PROHIBITION OF AND RESTRICTIONS ON EXPORT AND IMPORT

1. A Party may notify all the other Parties through the Secretary-General that it prohibits the import into or export from its country or into one of its regions of one or more precious metals in Schedule I or precious gems in Schedule II. Any such notification shall specify the name of the precious metal as designated in Schedule I or precious gem as designated in Schedule II.
2. If a Party has been notified of a prohibition pursuant to paragraph 1, it shall take measures to ensure that none of the precious metals or precious gems specified in the notification is exported to or imported from the country or one of the regions of the notifying Party.
3. Notwithstanding the provisions of the preceding paragraphs, a Party that has given notification pursuant to paragraph 1 may authorize by special import license in each case the import of specified quantities of the metals or gems in question or preparations containing such metals or gems. The issuing authority of the importing country shall send two copies of the special import license, indicating the name and address of the importer and the exporter, to the competent authority of the exporting country or region, which may then authorize the exporter to make the shipment. One copy of the special import license, duly endorsed by the competent authority of the exporting country or region, shall accompany the shipment.

ARTICLE 14: SPECIAL PROVISIONS ON THE SETTING UP OF NATIONAL REFERENCE LABORATORIES

1. A Party shall set up a national reference laboratory to be capable of analyzing the composition and, as far as possible, the origins of precious metals

and precious gems. The laboratory shall be accredited or certified by an international body for accreditation or certification of laboratories and operate at the highest level of scientific, professional, and forensic standards.

2. A Party, so desiring, may accredit or certify other laboratories to perform the same functions to the same standards or the previous paragraph.
3. A Party, so desiring, may instead rely upon the services of the national reference laboratory of another Party.

ARTICLE 15: INSPECTION

The Parties shall maintain a system of inspection of manufacturers, exporters, importers, and wholesale and retail distributors of precious metal and gems and of scientific, technical, and commercial institutions that use such metals and gems. They shall provide for inspections, which shall be made as frequently as they consider necessary, of the premises and of stocks and records.

ARTICLE 16: REPORTS TO BE FURNISHED BY THE PARTIES

1. The Parties shall furnish to the Secretary-General such information as the Commission may request as being necessary for the performance of its functions, and in particular an annual report regarding the working of the Convention in their territories, including information on:
 - a. Important changes in their laws and regulations concerning precious metals and gems; and
 - b. Significant developments in the commercial and illicit trade in precious metals and precious gems within their territories.
2. The Parties shall also notify the Secretary-General of the names and addresses of the governmental authorities referred to in sub-paragraph in article 12 and in paragraph 3 of article 13. Such information shall be made available to all Parties by the Secretary-General.
3. The Parties shall furnish, as soon as possible after the event, a report to the Secretary-General of any case of illicit traffic in precious metals or

precious gems or seizure from such illicit traffic that they consider important because of:

- a. New trends disclosed;
 - b. The quantities involved;
 - c. The light thrown on the sources from which the metals, preparations, or gems are obtained; or
 - d. The methods employed by illicit traffickers.
 - e. Copies of the report shall be communicated in accordance with sub-paragraph b) of article 21.
4. The Parties shall furnish to the Commission annual statistical reports in accordance with forms prepared by the Commission:
- a. In regard to each precious metal in Schedule I and precious gem in Schedule II, on quantities manufactured, exported to, and imported from each country or region as well as on stocks held by manufacturers and traders;
 - b. In regard to each precious metal and precious gem it has put under control according to a domestic decision according to the provisions of article 23.
5. A Party shall furnish the Commission, on its request, with supplementary statistical information relating to future periods on the quantities of any individual metal in Schedule I or individual gem in Schedule II exported to and imported from each country or region. That Party may request that the Commission treat as confidential both its request for information and the information given under this paragraph.
6. The Parties shall furnish the information referred to in paragraphs 1 and 4 in such a manner and by such dates as the Commission may request.

ARTICLE 17: FUNCTIONS OF THE COMMISSION

1. The Commission may consider all matters pertaining to the aims of this Convention and to the implementation of its provisions, and may make recommendations relating thereto.

2. The decisions of the Commission provided for in articles 2 and 3 shall be taken by a two-thirds majority of the members of the Commission.

ARTICLE 18: REPORTS OF THE COMMISSION

1. The Commission shall prepare annual reports of its work containing statistical analysis of the information at its disposal, and, in appropriate cases, an account of the explanations, if any, given by or required of Governments, together with any observations and recommendations that the Commission desires to make. The Commission may make such additional reports as it considers necessary. The reports shall be submitted to the Council through the Commission, which may make such comments as it sees fit.
2. The reports of the Commission shall be communicated to the Parties and subsequently published by the Secretary-General. The Parties shall permit their unrestricted distribution.

ARTICLE 19: MEASURES BY THE COMMISSION TO ENSURE THE EXECUTION OF THE PROVISIONS OF THE CONVENTION

- 1.a. If, on the basis of its examination of information submitted by governments to the Commission or of information communicated by United Nations organs, the Commission has reason to believe that the aims of this Convention are being seriously endangered by reason of the failure of a country or region to carry out the provisions of this Convention, the Commission shall have the right to ask for explanations from the Government of the country or region in question. Subject to the right of the Commission to call the attention of the Parties, the Council and the Commission to the matter referred to in sub-paragraph c) below, it shall treat as confidential a request for information or an explanation by a government under this sub-paragraph.
- 1.b. After taking action under sub-paragraph a), the Commission, if satisfied that it is necessary to do so, may call upon the Government concerned to adopt such remedial measures as shall seem under the circumstances to be necessary for the execution of the provisions of this Convention.
- 1.c. If the Commission finds that the Government concerned has failed to give satisfactory explanations when called upon to do so under sub-paragraph

- a), or has failed to adopt any remedial measures which it has been called upon to take under sub-paragraph b), it may call the attention of the Parties, the Council, and the Commission to the matter.
2. The Commission, when calling the attention of the Parties, the Council, and the Commission to a matter in accordance with paragraph 1 c), may, if it is satisfied that such a course is necessary, recommend to the Parties that they stop the export, import, or both, of particular precious metals and precious gems from or to the country or region concerned, either for a designated period or until the Commission shall be satisfied as to the situation in that country or region. The State concerned may bring the matter before the Council.
 3. The Commission shall have the right to publish a report on any matter dealt with under the provisions of this article, and communicate it to the Council, which shall forward it to all Parties. If the Commission publishes in this report a decision taken under this article or any information relating thereto, it shall also publish therein the views of the Government concerned if the latter so requests.
 4. If, in any case, a decision of the Commission that is published under this article is not unanimous, the views of the minority shall be stated.
 5. Any State shall be invited to be represented at a meeting of the Commission at which a question directly interesting it is considered under this article.
 6. Decisions of the Commission under this article shall be taken by a two-thirds majority of the whole number of the Commission.

ARTICLE 20: TAXATION

With due respect for their constitutional, legal and fiscal tradition, a Party shall make all information supplied to its Central Authorities under the provisions of this Convention available for assessment of legitimate taxation in its own jurisdiction or the jurisdiction of another Party.

ARTICLE 21: ACTION AGAINST THE ILLICIT TRAFFIC

Having due regard to their constitutional, legal, and administrative systems, the Parties shall:

- a. Make arrangements at the national level for the coordination of preventive and repressive action against the illicit traffic; to this end they may usefully designate an appropriate agency responsible for such coordination;
- b. Assist each other in the campaign against the illicit traffic in precious metals and precious gems, and in particular immediately transmit, through the diplomatic channel or the competent authorities designated by the Parties for this purpose, to the other Parties directly concerned, a copy of any report addressed to the Secretary-General under article 16 in connection with the discovery of a case of illicit traffic or a seizure;
- c. Cooperate closely with each other and with the competent international organizations of which they are members with a view to maintaining a coordinated campaign against the illicit traffic;
- d. Ensure that international cooperation between the appropriate agencies be conducted in an expeditious manner; and
- e. Ensure that, where legal papers are transmitted internationally for the purpose of judicial proceedings, the transmittal be effected in an expeditious manner to the bodies designated by the Parties; this requirement shall be without prejudice to the right of a Party to require that legal papers be sent to it through the diplomatic channel.

ARTICLE 22: PENAL PROVISIONS

1. Subject to its constitutional limitations, each Party shall treat as a punishable offense, when committed intentionally, any action contrary to a law or regulation adopted in pursuance of its obligations under this Convention, and shall ensure that serious offenses shall be liable for adequate punishment, particularly by imprisonment or other penalty of deprivation of liberty.
2. Subject to the constitutional limitations of a Party, its legal system, and domestic law,
 - a. i. If a series of related actions constituting offenses under paragraph 1 has been committed in different countries, each of them shall be treated as a distinct offense;

- ii. Intentional participation in, conspiracy to commit, and attempts to commit, any of such offenses, and preparatory acts and financial operations in connection with the offenses referred to in this article, shall be punishable offenses as provided in paragraph 1;
 - iii. Foreign convictions for such offenses shall be taken into account for the purpose of establishing recidivism; and
 - iv. Serious offenses heretofore referred to committed either by nationals or by foreigners shall be prosecuted by the Party in whose territory the offense was committed, or by the Party in whose territory the offender is found if extradition is not acceptable in conformity with the law of the Party to which application is made, and if such offender has not already been prosecuted and judgment given.
 - b. It is desirable that the offenses referred to in paragraph 1 and paragraph 2 a) ii) be included as extradition crimes in any extradition treaty that has been or may hereafter be concluded between any of the Parties, and, as between any of the Parties that do not make extradition conditional on the existence of a treaty or on reciprocity, be recognized as extradition crimes; provided that extradition shall be granted in conformity with the law of the Party to which application is made, and that the Party shall have the right to refuse to effect the arrest or grant the extradition in cases where the competent authorities consider that the offense is not sufficiently serious.
3. Any precious metal or precious gem or other material, as well as any equipment used in or intended for the commission of any of the offenses referred to in paragraphs 1 and 2 shall be liable to seizure and confiscation.
 4. The provisions of this article shall be subject to the provisions of the domestic law of the Party concerned on questions of jurisdiction.
 5. Nothing contained in this article shall affect the principle that the offenses to which it refers shall be defined, prosecuted, and punished in conformity with the domestic law of a Party.

ARTICLE 23: APPLICATION OF STRICTER CONTROL MEASURES THAN THOSE REQUIRED BY THIS CONVENTION

1. A Party may adopt more strict or severe measures of control than those provided by this Convention if, in its opinion, such measures are desirable or necessary for the protection of the public safety and financial systems, provided such measures are consistent with human rights as protected by the United Nations Convention on Human Rights and other human rights conventions to which the Party is adhering.
2. A Party may extend the scope of control of precious metals and precious gems under the provisions of this convention to cover also other metals and gems.
3. A Party having decided under the provisions of this Convention to adopt more strict or severe measures or to extend the scope of control to other metals and gems shall notify the Secretary-General of its decision.

ARTICLE 24: EXPENSES OF INTERNATIONAL ORGANS INCURRED IN ADMINISTERING THE PROVISIONS OF THE CONVENTION

1. The expenses of the Commission in carrying out its functions under this Convention shall be borne by the United Nations in such manner as shall be decided by the General Assembly. The Parties that are not Members of the United Nations shall contribute to these expenses such amounts as the General Assembly finds equitable and assesses from time to time after consultation with the Governments of these Parties.
2. To finance their contributions to the Commission, a Party may levy taxes and fees upon the granting of licenses or certificates, auditing, and other activities under the provisions of this Convention.

ARTICLE 25: PROCEDURE FOR ADMISSION, SIGNATURE, RATIFICATION, AND ACCESSION

1. Members of the United Nations, States not Members of the United Nations that are members of a specialized agency of the United Nations or Parties

to the Statute of the International Court of Justice, and any other State invited by the Council, may become Parties to this Convention:

- a. By signing it; or
 - b. By ratifying it after signing it subject to ratification; or
 - c. By acceding to it.
2. The Convention shall be open for signature until 1 January **** inclusive. Thereafter it shall be open for accession.
 3. Instruments of ratification or accession shall be deposited with the Secretary-General.

ARTICLE 26: ENTRY INTO FORCE

1. The Convention shall come into force on the ninetieth day after forty of the States referred to in paragraph 1 of article 25 have signed it without reservation of ratification or have deposited their instruments of ratification or accession.
2. For any other State signing without reservation of ratification, or depositing an instrument of ratification or accession after the last signature or deposit referred to in the preceding paragraph, the Convention shall enter into force on the ninetieth day following the date of its signature or deposit of its instrument of ratification or accession.

ARTICLE 27: TERRITORIAL APPLICATION

The Convention shall apply to all non-metropolitan territories for the international relations of which any Party is responsible except where the previous consent of such a territory is required by the constitution of the Party or of the territory concerned, or required by custom. In such a case the Party shall endeavor to secure the needed consent of the territory within the shortest period possible, and when the consent is obtained the Party shall notify the Secretary-General. The Convention shall apply to the territory or territories named in such a notification from the date of its receipt by the Secretary-General. In those cases where the previous consent of the non-metropolitan territory is not required, the Party concerned shall, at the

time of signature, ratification, or accession, declare the non-metropolitan territory or territories to which this Convention applies.

ARTICLE 28: REGIONS FOR THE PURPOSES OF THIS CONVENTION

1. Any Party may notify the Secretary-General that, for the purposes of this Convention, its territory is divided into two or more regions, or that two or more of its regions are consolidated into a single region.
2. Two or more Parties may notify the Secretary-General that, as the result of the establishment of a customs union between them, those Parties constitute a region for the purposes of this Convention.
3. Any notification under paragraph 1 or 2 shall take effect on 1 January of the year following the year in which the notification was made.

ARTICLE 29: DENUNCIATION

1. After the expiry of two years from the date of the coming into force of this Convention any Party may, on its own behalf or on behalf of a territory for which it has international responsibility, and which has withdrawn its consent given in accordance with article 27, denounce this Convention by an instrument in writing deposited with the Secretary-General.
2. The denunciation, if received by the Secretary-General on or before the first day of July of any year, shall take effect on the first day of January of the succeeding year, and if received after the first day of July it shall take effect as if it had been received on or before the first day of July in the succeeding year.
3. The Convention shall be terminated if, as a result of denunciations made in accordance with paragraphs 1 and 2, the conditions for its coming into force as laid down in paragraph 1 of article 26 cease to exist.

ARTICLE 30: AMENDMENTS

1. Any Party may propose an amendment to this Convention. The text of any such amendment and the reasons therefore shall be communicated to the Secretary-General, who shall communicate them to the Parties and to the Council. The Council may decide either:
 - a. That a conference shall be called in accordance with paragraph 4 of Article 62 of the Charter of the United Nations to consider the proposed amendment; or
 - b. That the Parties shall be asked whether they accept the proposed amendment and asked to submit to the Council any comments on the proposal.
2. If a proposed amendment circulated under paragraph 1 b) has not been rejected by any Party within eighteen months after it has been circulated, it shall thereupon enter into force. If however a proposed amendment is rejected by any Party, the Council may decide, in the light of comments received from Parties, whether a conference shall be called to consider such amendment.

ARTICLE 31: DISPUTES

1. If there should arise between two or more Parties a dispute relating to the interpretation or application of this Convention, the said Parties shall consult together with a view to the settlement of the dispute by negotiation, investigation, mediation, conciliation, arbitration, recourse to regional bodies, judicial process, or other peaceful means of their own choice.
2. Any such dispute that cannot be settled in the manner prescribed shall be referred, at the request of any one of the parties to the dispute, to the International Court of Justice for decision.

ARTICLE 32: RESERVATIONS

1. No reservation other than those made in accordance with paragraphs 2, 3, and 4 of the present article shall be permitted.

2. Any State may at the time of signature, ratification, or accession make reservations in respect of the following provisions of the present Convention:
 - a. Article 19, paragraphs 1 and 2;
 - b. Article 27; and
 - c. Article 31.

3. A State that desires to become a Party but wishes to be authorized to make reservations other than those made in accordance with paragraphs 2 and 4 may inform the Secretary-General of such intention. Unless by the end of twelve months after the date of the Secretary-General's communication of the reservation concerned, this reservation has been objected to by one third of the States that have signed without reservation of ratification, ratified or acceded to this Convention before the end of that period, it shall be deemed to be permitted, it being understood however that States that have objected to the reservation need not assume toward the reserving State any legal obligation under this Convention that is affected by the reservation.

4. A State that has made reservations may at any time by notification in writing to the Secretary-General withdraw all or part of its reservations.

ARTICLE 33: NOTIFICATIONS

The Secretary-General shall notify all the States referred to in paragraph 1 of article 25 of:

- a. Signatures, ratifications, and accessions in accordance with article 25;
- b. The date upon which this Convention enters into force in accordance with article 26;
- c. Denunciations in accordance with article 29; and
- d. Declarations and notifications under articles 27, 28, 30, and 32

IN WITNESS WHEREOF, the undersigned, duly authorized, have signed this Convention on behalf of their respective Governments.

DONE at **, this **day of ** two thousand and **, in a single copy in the Arabic, Chinese, English, French, Russian, and Spanish languages, each being equally authentic. The Convention shall be deposited with the Secretary-General of the United Nations, who shall transmit certified true copies thereof to all the Members of the United Nations and to the other States referred to in paragraph 1 of article 25.

SCHEDULE I: PRECIOUS METALS

Chemical sign	Latin name	Non-proprietary or commercial name
Ag	Argentum	Silver
Au	Aurum	Gold
Ir	Iridium	Iridium
Os	Osmium	Osmium
Pd	Palladium	Palladium
Pt	Platinum	Platinum
Re	Rhenium	Rhenium
Rh	Rhodium	Rhodium
Ru	Ruthenium	Ruthenium
Ta	Tantalum	Tantalum, Tantal

SCHEDULE II: PRECIOUS GEMS

Chemical composition	Latin name	Non-proprietary or commercial name
C	Diamas	Diamond, diamant

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