



ÆGIS e-journal

Addressing threats that affect your bottom line

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Business in Bogotá or other high-threat areas? Call us!

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8. Due Diligence — Good name, bad family

In September 2001, a group of investors with whom we deal were approached by a Chuck Sullivan, a former executive with the New England Patriots, and a Martin D. Fife, one of the Dreyfus Corporation Fund Directors, about an opportunity to invest, through a company called Seaview Development. They were pitching 5-to-1 returns in less than a month and they were promising exorbitant returns on what were called “prime bank instruments.”

Our client had us do a due diligence investigation on Martin Fife to see if he really was a director with Dreyfus, and to find out if this Chuck Sullivan really was a former executive with the New England Patriots. While Dreyfus refused to acknowledge whether Martin Fife was or wasn't a director, that information was available in public records. A call to the New England Patriots, who were very kind, revealed that yes, Mr. Sullivan was a former executive with them.

Sullivan was a son of the former Patriots owner, the late Billy Sullivan. Billy Sullivan was one of the original owners who organized the American Football League to challenge the supremacy of the National Football League in 1960. Chuck Sullivan was at one-time president of the company that owned and managed the team's Foxboro Stadium. He became famous in the mid 1980s for organizing singer Michael Jackson's 1984 Victory Tour. The tour reportedly lost \$20 million dollars, helped drive the stadium company into bankruptcy, and triggered events that led to the Sullivan family's having to sell the team after 28 years of ownership.

As a director at Dreyfus, Martin D. Fife was certainly on the A List for any party invitation for Wall Street executives. Besides being a fund director with Dreyfus, his wife was a former Deputy Mayor of New York City.

Research into the deal itself showed that there was a lawsuit in New York, where money deposited into Seaview Development had been demanded back, and Mr. Fife and Mr. Sullivan had not repayed that money in a timely fashion. Since other investors were already experiencing problems with Martin Fife and Chuck Sullivan, and what with one thing and another, we recommended that our client not participate in this suspiciously remunerative scheme.

According to the subsequent SEC complaint, Michael A. Clark, a Briton, brought Sullivan and Fife together to enter into the high-yield scam. The fraudulent scheme, according to the SEC complaint, sent letters to their investors, including one to one of their investors, assuring them that their

\$7.5 million investment was safe, and urging them not to help the SEC investigators who had begun investigating the deal.

The SEC record showed that the elaborate scheme originated with the fugitive, Michael A. Clark, who wanted to attract US investors for various investment schemes in the late 1990s. Through an intermediary, Clark linked up with Sullivan and Fife, a director of Dreyfus Corp. Fife set up a New York subsidiary of Clark's *Bright Business SA*, based in the British Virgin Islands. Clark, along with other defendants in the SEC action, including one Robert L. Watchtel, a one-time California resident whose current whereabouts and activities are unknown, then pitched the investment scheme to investors.

According to the SEC, the three defendants persuaded Canadian Robert Fitzhenry to invest \$12.5 million through Fitzhenry's company. Three other investors put in nearly \$32 million, most or all of which has been repaid to them, the SEC complaint says. The SEC further alleges that the \$20 million Al Bloushi and others invested was spent by Fife and misappropriated by Dennis S. Herula and his wife Mary Lee Capalbo, both of Rhode Island. Until January 2001, Herula was a broker with the Cranston, Rhode Island, office of Raymond James. Further, the complaint alleges that Hula and Capalbo used stolen funds to buy a four million dollar home in Tiburon, California and a \$625,000 home in Westerly. According to the police in Bermuda, Herula and Capalbo were arrested in late December after trying to open a bank account there with forged documents.

The good news is that our clients spent a few thousand dollars hiring us to exercise due diligence for them, and thus saved themselves millions of dollars.

The bad news is that thirty-two (32!) other "experienced" investors had the dubious pleasure of becoming material witnesses – or victims, from their point of view – in a multi-million dollar international fraud because they failed to take even the most elementary precautions. In the process these good folks substantially enriched Sullivan, Fife, Clark and the other fraudsters, and demonstrated once again that with the right name and the right connections a lot of otherwise savvy people will buy almost anything.

There are a number of things that otherwise-sensible people do that continue to amaze us. Among these are not bothering to wear seatbelts and not bothering to exercise due diligence before investing large amounts of money in schemes that sound too good to be true. We grant you that, in fact, people rarely have traffic accidents, and most financial deals are honest. However, the results of either a car crash or fraud are so great, and the cost of

prevention so small, that we are constantly puzzled by these anomalous, self-destructive, behaviors.

**9. OPSEC, Economic Espionage, and Competitive Intelligence —
Threat assessment, vulnerability analysis, or risk assessment: What
do you need before you can do any or all of these?**

Obviously, this is, a trick question. It is intended to remind you of what you need to ask *first*, before addressing these other issues. Before threat assessment, vulnerability analysis, or risk assessment is meaningful, you have to know *what* you need to protect.

A good way to start this analysis is by asking what could put you out of business. There may be many things that *could* put you out of business: Fire, flood, natural disaster, loss of trade secrets, excessive latitude allowed to individual traders. The list seems endless, but, in fact, is rather finite, as many of our clients discover in going through this process with us. The one sure thing is that if you do not ask this one question you will never know the answer, and never have appropriate defenses in place.

While the issue of how to protect is the more interesting part of the problem, in truth this is something that should fall naturally out of the cost/benefit analysis. Once you have determined what needs to be protected you can go through all the other steps to assess how vulnerable you are and where. You can figure out from whom or what you need to be protecting yourself, the probability of facing any particular threat, and the cost of an incident if it happens. With this in place you can make rational decisions as to what to protect and how. The bottom line is that without knowing *what* to protect, you won't be able to protect it at all.

10. Executive Protection — The new case for corporate aircraft

A number of high-level security people we know are no longer willing to travel on commercial airlines. Their feeling is that current security procedures have made commercial transport too inconvenient, too time consuming, too stressful, and too dangerous, and so they either go by other means of transport or don't travel.

It is not our desire in this article to discuss the implications of airport security on travel safety. There is, however, no doubt that air travel has become significantly more onerous and time consuming. We know someone who recently took a trip that should have taken four hours portal to portal, but, with early arrival and airport evacuations, took eleven hours. Because of

this, and because of cutbacks in airline service, many companies and even individuals are now reconsidering general aviation as a reasonable means of transport. It is now, for many, seeming less elitist and more practical.

How practical? We spoke recently with one executive who, in fact, flies his own small plane. He says that he can leave Louisiana in the morning and be in New York in the afternoon, earlier than if he flew commercially.

Security? He gets into the plane, checks to make sure he has a gun, and taxies out!

If this speed difference is true in a teeny plane traveling from Louisiana to New York, imagine if he were going shorter distances. Or imagine the savings in time with a big plane. And imagine if you have several people going on the trip. And imagine that you want to do some fruitful work with these people on the trip. Keep in mind that with your own craft you have the option of taking off when you want, and flying directly where you want to go, which is often to a general aircraft aerodrome that is closer to the city center than the hub airport.

The question then becomes one of when you should be moving from flying commercially to flying your own craft. There are several factors. One is the distance you are flying. Another is the number of people being transported. A third is the value of the time of the people flying, including changes of plane, waits between flights, and delays. A fourth is the number of hours you are flying. A fifth is the annoyance over hassle and time collectively lost in travel.

Once a decision has been made that general aviation is to be considered, the second decision needs to be what kind of involvement you have, which is dependent on your travel needs and finances.

If you are a small company that has one or two people who do a lot of regional travel, a small piston engine plane may be the most appropriate choice. These planes, which cost relatively little money (a purchase price of anywhere between a quarter of a million dollars to a million dollars) to buy and to maintain, provide tremendous utility to small businesses. Indeed, in circumstances in which most travel is for one or two people within five or six hundred miles, these small planes can be a perfect choice. As an example, some time ago a friend of ours desperately needed to go in a day from New York City to Elmira to Syracuse and back. This simply could not be done by car or by commercial airliner. Since the weather was nice and we had no pressing business, we flew him and his business associate to Elmira, picking up a nice vase while they had their meeting, then flew them to Syracuse, and, finally, got them back home in time for dinner. Ignoring for

the moment the fact that our time didn't cost them anything other than lunch and a future dinner, the entire trip cost them less than what it would have cost them to stay overnight in a hotel at either of their destinations. If they did this kind of trip regularly, rather than just this once, owning a plane would make sense.

If you are flying more people, and are looking at distances of a thousand miles, larger multi-engine piston planes may also make sense, but the cost for these is much higher, and a discussion of the cost benefits are beyond the scope of this article. If you are leaping into this range, a significant number of vendors will be delighted to help you figure out what is most appropriate for you.

If because of distances traveled you are just moving into the world of jet aircraft and need something bigger than a piston engine plane, you are likely to be flying fewer than 50 hours a year to start, and we would recommend you consider the *Marquis Private Jet Card* (<http://www.marquisjet.com/> 1-866-538-1400. See our review in the January 2002 issue of *ÆGIS*). This will give you 25 hours of flight time for somewhere between \$109,000 and \$299,000, depending on the size of the aircraft, and allow you to evaluate the utility of using larger general aviation without a tremendous capital investment.

While not applicable to those just looking into general aviation, we can tell you that once you end up flying more than 50 hours a year you will then need to consider fractional ownership, which, for a one-eighth ownership will set you back about four million dollars for the original investment, plus substantial operating costs. And when you are flying more than 400 hours a year you will probably end up with your own aircraft. Again, this is beyond the scope of this article, which is intended merely to make smaller businesses aware of the possible utility of general aviation.

Whatever your level of business travel, however, general aviation is an option that, more now than ever, needs to be carefully evaluated. It can provide safe, cost-efficient, secure travel in a turbulent time.

11. Technical Issues — Free software

Downloading free software off the Internet is much like kissing the boy or girl that everyone else kisses: You are likely to catch something. One of the particular free software programs out there, KAZAA, is very sophisticated and is one of the little peer-to-peer networks that sprung up after the demise of NAPSTER. It does not use a central directory to link users, rather it uses the processing power of each individual computer. By and through this

network and the connection to the internet it can and does automatically upgrade the software sitting on most of the PC's where it is resident. But beneath KAZAA there is a stealth network called ALTNET, and it can take control of the computers where the KAZAA software is resident remotely. ALTNET was secretly embedded in the KAZAA software, and it was created by the same Dutch programmers that programmed KAZAA but is now owned by a Los Angeles firm called Brilliant Digital Entertainment. ALTNET is a parallel peer-to-peer network that takes advantage of unused capacity, bandwidth and processing of the millions of computers on which it is resident, linked via the KAZAA network. ALTNET plans to resell the surplus resources of those computers where ALNET is resident to power distributed computing applications, such as ad-serving or content-caching. Thus, it is possible that malicious individuals could very easily hijack the KAZAA linked computers through the ALTNET network and launch a sustained and massive coordinated attack on anyone or everyone.

So, now as a network administrator, many units on your network are donating excess computer cycle time and you can't figure out why. It may be because some of your users didn't let you know that they downloaded the KAZAA software so that they could illegally copy and distribute music. Last we heard the owner of this software mess is some type of entity has been formed in the South Pacific nation of Vanuatu, a nation that is still on a financial center black list promulgated by the Financial Action Task Force and the OECD. So, even if you can find them, it is unlikely that you will be able to sue them or even recover anything from them if you do. It underscores "don't allow anyone to download or install software unless you pre-approve it!"

12. Real Stories from the Field — Seguridad de la cadena logística de distribución física en Colombia:

Caso Puerto de Buenaventura (El Proyecto Triada)

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Contexto

Colombia padece desde hace 40 años un conflicto armado de características complejas por su alto grado de metamorfosis. El conflicto en Colombia es volátil y desestructurado, las condiciones cambian rápidamente. El conflicto colombiano está caracterizado por una profunda crisis social, política y económica que se manifiesta en forma de guerra anti-subversiva, terrorismo,

delincuencia especializada y corrupción. Todo esto con el trasfondo de la economía ficticia y la contracultura que se desprende del narcotráfico.

El impacto económico de la violencia que subyace en el conflicto colombiano se manifiesta principalmente en : sobre costos para las actividades productivas y pérdida de la confianza. Esta última es fundamento del Capital Social para cualquier Nación y base para la decisión de inversión de capital extranjero.

La política de apertura económica y globalización de la economía adoptada en Colombia desde 1991 ha impulsado un rápido desarrollo de su comercio exterior, la privatización de sus puertos marítimos y la adopción de tecnologías logísticas para hacer mas competitivos los productos colombianos en el exterior. Sin embargo la balanza comercial hasta ahora sigue favoreciendo a las importaciones.

La evolución de la actividad de comercio exterior ha permitido tener una clara caracterización de los actores o eslabones de la cadena logística de distribución física poniendo en evidencia la vulnerabilidad de sus procesos, en particular frente a las amenazas derivadas de la criminalidad especializada y del conflicto armado actual.

El puerto de Buenaventura es el principal puerto marítimo colombiano y prácticamente el único de naturaleza comercial y privada en la costa del Pacífico. Está ubicado al sur occidente del país a 120 Km de la ciudad de Cali. Moviliza el 50% de las cargas de comercio exterior colombiano, sin contar carbón y petróleo. Su moderna infraestructura le permite movilizar con seguridad y eficiencia grandes volúmenes de carga a granel y en contenedores. Hoy día es uno de los puertos mas seguros de Latinoamérica, pero no siempre fue así.

La extensión del tratado de preferencias arancelarias ATPA que recientemente ha aprobado el Congreso de los Estados Unidos traerá una avalancha de nuevos productos colombianos hacia los Estados Unidos, con todos los riesgos que esto implica. Es preciso también fortalecer la exigencia para que los exportadores colombianos cumplan con los mínimos requerimientos y standares de seguridad para proteger a ambas partes de la “contaminación” de este intercambio comercial.

Muchas empresas colombianas ya han sido certificadas por el programa Bussines Anti-Smuggling Coalition (BASC) del US Customs Service y hay un buen ambiente para desarrollar otros standares como los Freight Security Requirements (FSR) de la Technology Asset Protection Association (TAPA) y seguramente muchas de estas empresas tambien querran unirse a la

iniciativa Customs-Trade Partnership Against Terrorism (C-TPAT) que recientemente ha convocado el US Customs Service.

Aproximándose al Problema

Para abordar cualquier problema de inseguridad en Colombia desde un punto de vista pertinente para la Seguridad Privada, la Prevención de Pérdidas y la Continuidad de los Negocios ; necesariamente debe encontrarse previamente : una vía válida de aproximación al problema y escoger el enfoque apropiado para que las contramedidas adoptadas encuentren su mejor punto de apalancamiento, teniendo en cuenta los tres factores de la crisis :

- la guerra subversiva que pretende la toma del poder por la vía armada
- los problemas de criminalidad y convivencia ciudadana
- el común denominador de toda esta ecuación siniestra : la violencia.

Una vía válida de aproximación para lograr entendimiento de los fenómenos de inseguridad dentro de la actual fase aguda del conflicto colombiano es el análisis criminológico.

Aun cuando son los delitos contra el patrimonio económico los que están en el primer lugar de la criminalidad colombiana ; es el homicidio y los demás delitos contra la vida e integridad personal junto a aquellos cometidos contra el Derecho Internacional Humanitario (DIH) o sea con ocasión del conflicto armado ; los que causan mayor conmoción social. Todos ellos, tanto los que afectan el patrimonio económico como aquellos que afectan la vida y las violaciones al Derecho Internacional Humanitario (DIH), deben ser tenidos en cuenta en el análisis porque tienen un impacto económico importante que afecta los negocios y la competitividad.

Por ejemplo: Los ataques de la guerrilla terrorista contra la infraestructura vial (destrucción de puentes, quema de camiones y obstrucción de vías) pueden causar demoras y pérdidas en las cargas que se transportan por carretera. Al mismo tiempo encarecen los seguros y generan una sensación de inseguridad y miedo entre los transportadores que presionarán por obtener aumentos en los fletes. En otras palabras, todos, hasta el cliente final se verán afectados.

En cuanto a criminalidad, el riesgo de “contaminación” para las cargas de comercio exterior está omnipresente, los delincuentes pueden buscar ocultar su contrabando derivado del narcotráfico dentro o al lado de la carga de empresas legales. También la delincuencia especializada en el robo de carga (Piratería

Terrestre como se le llama en Colombia) seleccionará los cargamentos mas valiosos, mas desprotegidos y de mas fácil venta en el mercado negro para hurtarlos con violencia o con la complicidad del transportador.

La subversión tiene necesidad de armas y recursos para financiar su guerra y estos provienen de toda clase de actividades ilícitas como el narcotráfico, el secuestro, la extorsión, la corrupción y el lavado de activos. El alcance de esas transacciones trasciende las fronteras de Colombia y hace que otros países sean utilizados como refugio o medio para efectuar sus transacciones ilegales.

Caso Puerto de Buenaventura : El Proyecto Triada

El Problema

En 1996 el robo de carga en las carreteras de la región sur-occidental de Colombia costó 10 millones de dólares en un año. La sensación de inseguridad en las vías de acceso al Puerto de Buenaventura era muy alta por la falta de presencia de la Fuerza Pública. Los camioneros paraban en protesta por la inseguridad. Los seguros no querían cubrir mas estas cargas o las primas eran muy altas. Las mayores empresas generadoras de carga debieron auto-asegurarse y pagar altos costos por escolta y protección. La carga estaba siendo llevada a otros terminales marítimos para exportación y el puerto de Buenaventura estaba perdiendo participación en el mercado. La Región vallecaucana tradicionalmente pujante y progresista perdía competitividad. La Fuerza Pública se quejaba de falta de recursos, falta de colaboración del sector privado e impunidad. La coordinación entre los diferentes organismos de seguridad, inteligencia y justicia era rudimentaria e ineficaz, la competencia entre ellos se convertía en interferencia. La legislación penal vigente era débil contra los delitos presentes. La cadena logística de distribución estaba desunida y no había sinergia en sus acciones. La presencia guerrillera en la zona mas crítica evidenciaba una posible simbiosis entre la subversión y la delincuencia especializada. La falta de mecanismos de seguridad en la vía era caldo de cultivo para que se cometieran otros delitos como el secuestro. La seguridad dentro del recinto portuario de Buenaventura era débil y se cometían delitos graves que amenazaban la seguridad de la carga, entre ellos: narcotráfico, hurto de mercancías y contrabando de armas. Había escepticismo y desconfianza entre todos los actores del proceso. La acción de los gobernantes parecía no tener efectos. Los criminales se habían apoderado de la cadena logística. El panorama no podía ser mas desalentador.

La solución

En 1997 diseñé el programa integral para atender el problema y luego actué como Coordinador del mismo desarrollando con la ayuda de muchas otras personas las siguientes actividades:

- Se creó un núcleo primario o grupo de trabajo inicial con los actores mas interesados.
- Se realizó un diagnóstico claro del riesgo, identificando los actores, formulando una línea de base en términos logísticos de tiempo-costos y se trazaron las metas de abatimiento inmediato.
- Se escogió un blanco para atacar primero. En este caso se seleccionó el robo de carga (piratería terrestre) porque ofrecía un buen punto de apalancamiento para atacar otros riesgos y amenazas.
- Se estableció una agenda estratégica concertada para ser propuesta a todos los involucrados a fin de garantizar un “norte” común, facilitando la alineación de propósitos y la sinergia de acciones en toda la cadena logística involucrada .
- Se formalizó un convenio o compromiso de cooperación entre el sector privado y el sector público para garantizar la factibilidad política del programa y la eventual sostenibilidad del organismo coordinador y del proyecto integrado.
- Se designó el ente coordinador inter-institucional. Denominado como Consejo Regional Integrado de Seguridad Vial (CRISVI)
- Se formularon proyectos de corto y mediano plazo. Entre ellos el principal fue el Proyecto TRIADA que integraría a todos los demás.
- La Fuerza Pública se enfocó a la obtención de resultados de impacto sobre las metas de abatimiento para crear una imagen exitosa del programa e incentivar la participación de otros.
- Se alinearon los planes y programas regionales, nacionales e internacionales.
- Se replicó el modelo y se promovió la aplicación de normas y mejores practicas de seguridad en las empresas generadoras de carga, transportadores, aseguradores y el Puerto.
- Se realizaron actividades de divulgación del programa entre todos los actores.
- Se estableció el costo / beneficio del programa y se identificaron los recursos para su sostenimiento y desarrollo.

- Se proyectó el programa para cubrir integralmente el problema objetivo (Robo e Carga) y otros problemas colaterales (Secuestro y narcotráfico).

Proyecto TRIADA

La necesidad de crear un modelo de trabajo sencillo y que aglutinara todos los esfuerzos de los actores de la cadena logística relativa al Puerto de Buenaventura se satisfizo con la formulación de este proyecto el cual permitió fortalecer la seguridad en los tres nodos principales del proceso : el PUERTO, la VIA, y el CLIENTE.

Todas las contramedidas tomadas en el PUERTO estarían enfocadas a fortalecer su seguridad física, controles de acceso y controles internos . Para esto el propio puerto desarrolló su Plan Maestro de Seguridad, mediante el cual tecnificó sus controles y redujo su vulnerabilidad, recuperando la confianza de sus clientes y por ende su competitividad en el mercado.

Las contramedidas orientadas a la VIA, se enfocaban sobre la protección de los camiones y de la infraestructura vial. Mediante la acción de control de la Fuerza Pública (Ejército y Policía) y con la colaboración de los transportadores se logró establecer “corredores seguros” y disminuir el robo de carga . Así mismo y tal como se esperaba, las medidas aplicadas ayudaron en la disminución de la incidencia de otros delitos como el secuestro y el terrorismo en la carretera.

Las contramedidas aplicadas en el componente del CLIENTE, buscaban fortalecer la seguridad de las empresas generadoras de carga quienes mediante el incentivo de obtener la certificación BASC se comprometieron a implementar rápidamente mejoras a la seguridad en sus procesos de comercio exterior, lo cual redundaba también en mayor seguridad para todos los procesos internos de la organización.

Al final se obtuvo una sumatoria de esfuerzos positivos que de otra manera hubiera sido imposible obtener.

Resultados mas importantes

- A nivel inmediato en el primer año se redujo en 37% la frecuencia de los robos de carga y en 18% la cuantía de esos siniestros.
- En los años subsiguientes el fenómeno continuó cediendo hasta alcanzar el punto de equilibrio que permitiría una administración normal del riesgo a través de seguros y la aplicación de contramedidas ordinarias de protección.

- Se firmó un Convenio Interinstitucional de Cooperación con la participación de todos los miembros de la cadena logística, del sector público y privado.
- Con la participación de todos, se caracterizó claramente el problema y mediante la adopción de una agenda concertada, se unificaron los criterios sobre el manejo adecuado del riesgo.
- Se creó una fuerza militar conjunta para la protección del corredor vial de acceso al puerto marítimo de Buenaventura.
- Se descubrieron las debilidades de seguridad del sistema logístico de distribución física y de la Fuerza Pública.
- Se crearon espacios de conversación y enlace que hicieron posible compartir la información que poseía el sector privado y el sector público sobre los fenómenos.
- Con apoyo del sector privado se creó una red de computarizada para agilizar y compartir información entre los organismos de seguridad, inteligencia y justicia (OSIJ) del sector público.
- Todas las acciones tomadas contra el robo de carga aportaron a la disminución de la incidencia de otros delitos como el secuestro y el terrorismo
- Se promovió el desarrollo del Plan Maestro de seguridad interna para el puerto de Buenaventura.
- El programa del CRISVI fue incluido como parte fundamental de la estrategia exportadora de Colombia y replicado en otras regiones
- El Valle del Cauca recuperó sus vías y el éxito del programa generó entusiasmo por el tema logístico y de seguridad
- El programa sirvió de incentivo para la creación de empresas de servicio especializados en control portuario y seguridad logística.
- El programa mejoró la competitividad de los agentes de aduana que ofrecían a sus clientes mayores medidas de seguridad como estrategia de competitividad.
- El programa promovió la implementación de la certificación internacional BASC y CARRIER como mecanismo empresarial para mejorar la seguridad de las empresas en contra del narcotráfico internacional
- Quedaron trazadas las metas hasta el año 2002 y hasta ahora continua su desarrollo coordinado por otras personas en la Cámara de Comercio de Cali.

Conclusión

Dentro de una de las zonas estratégicas de Colombia y rodeados por toda clase de amenazas, fue posible desarrollar un proyecto integral de seguridad que involucraba:

- Creación de un modelo sinérgico replicable a nivel nacional e internacional
- Coordinación y convergencia de objetivos entre sector público y sector privado
- Fortalecimiento de la alianza entre países para combatir el crimen trans-nacional
- Adopción de las mejores prácticas aceptadas en la lucha contra el crimen especializado
- Innovación y Recuperación de la Competitividad de toda una Región de Colombia
- Desarrollo tecnológico aplicado a la lucha contra el crimen organizado
- Creación y mantenimiento de una red de información y cooperación Inter-institucional

13. Book and Product Reviews

WorldCompliance.com

<http://www.worldcompliance.com/>

Terrorism and the Patriot Act got you down? Compliance people driving you nuts about those nasty foreigners? Do you know who N. Scott Grant is, or Monzer al-Kassar, or Marc Harris? If you are involved in banking, insurance, or securities, or just don't want to get stung by known fraud feasons, you really need to check out worldcompliance.com. World Compliance, Inc. has a massive database of due diligence data, known as FraudCheck, which members can search from a secure encrypted website.

This database, which alerts financial institutions to potential money laundering and fraud problems, has claimed its latest success. World Compliance Inc. issued warnings about the *Imperial Consolidated Group* months before it failed in June 2002, with debts of \$335 million. Police are now investigating the group's worldwide affairs, including its relationship with Monzer al-Kassar, a Syrian-born arms dealer and convicted drug smuggler who was put on trial for allegedly masterminding the hijacking of the Achille Lauro cruise ship in 1985. Wanna be this guy's broker?

World Compliance's Know Your Customer data was so effective in causing certain banks to close down accounts that Imperial's founder launched a blistering attack on its CEO following his group's failure.

"There is barely a single problem that Imperial Consolidated has encountered that you have not had a personal hand in creating or worsening, much to the financial benefit of you and your clients," Lincoln Fraser, a former bankrupt, wrote to World Compliance CEO David Marchant on 25 June 2002.

World Compliance's FraudCheck is a mixture of proprietary investigative research, such as that which caused Mr. Fraser's hostility, and publicly available warnings, advisories, sanctions, and lawsuits, both civil and criminal, issued around the world. Details of Politically Exposed Persons (known as PEPs) are also included.

The database currently contains data from 118 different information sources in 39 countries, including those in North America, Europe, Latin America, Asia, Africa, and Australia.

The names of more than 350,000 individuals and businesses that have been implicated in terrorism, fraud, corruption, or other wrongdoing can be searched within seconds from just one search box. This helps financial institutions in the screening of new and existing customers and the identification of potential problems.

The data has been compiled by one of the world's leading financial investigative journalists, World Compliance CEO David Marchant, whose exposés were referenced multiple times in a report titled *Correspondent Banking: A Gateway to Money Laundering* that was released in February 2001 by the US Senate.

This database is perfect for all those compliance people who stay up late at night wondering if their company should be doing business with someone. No single database is ever a green light to work with someone, but it can certainly exclude someone, or at least allow you to know what type of dog you maybe working with. Marchant's reputation for dogged pursuit of his stories and fraud feasons has earned him several libel suits, all of which he won hands down. We have no doubt of his ability to establish and maintain a great product.

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