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# THIS DOCUMENT IS FOR INTERNAL USE ONLY NOT FOR INCLUSION IN ANY SUBSTANTIVE CASE FILE

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Precedence: ROUTINE Date: 06/12/1998 To: Boston From: Boston Providence RA (P-1)

Contact: SA Approved By: Drafted By:

Case ID #: 194B-BS-81295 (Pending)

Title: PLUNDER DOME

Synopsis: To recommend code name for captioned matter.

Previous Title: JOSEPH PANNONE, Chairman

Providence Tax Assessment Board of Review

CSLPO

00: Boston

Details: Covert investigative techniques are currently being utilized to investigate captioned matter. It is recommended that the code name "PLUNDER DOME" be utilized. Indices is negative on this code name.

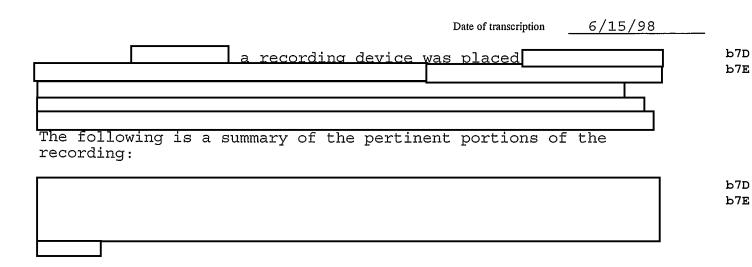
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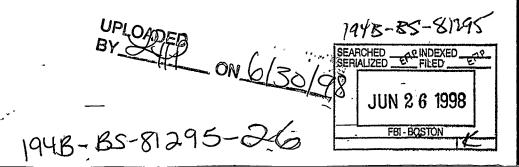
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Precedence: PRIORITY	Date: 06/26/1998
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From: Criminal Investigative Corruption/Civil Rights Section Contact: SSA X57	ion, PCU, Room 3149
Approved By:	b6 b7C
Drafted By: sh	
Case ID #: 194B-BS-81295	
Title: JOSEPH PANNONE, CHAIRMAN TAX ASSESSMENT REVIEW BOARD, CITY OF PROVIDENCE, RI; CSLPO-LOCAL; OO: BS	
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Details: On 6/26/98, an appropriate Bu	ureau official authorized
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Questions concerning this material SSA Corruption Unit, X5702.	tter should be directed to b6 ts Section, Public b7C



Boston From: Criminal Investigative 194B-BS-81295

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AT PROVIDENCE, RI

For appropriate action.

Precedence:	ROUTINE	Date:	07/09/1998	
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Approved By:				b6
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Edition: Sunday
Date: 10/19/2008

Title: A corrupt tax official and his disputed

inheritance

Classification: 194B-BS-81295-NC

Office: Providence RA

# A corrupt tax official and his disputed inheritance

Joseph Pannone's victory is a \$104,809 windfall for Providence City Hall

### BY MIKE STANTON JOURNAL STAFF WRITER

PROVIDENCE — Joseph
Pánnone, who once raked in the
scarole as the bribe-taking,
foil-mouthed tax official of
Providence City Hall, was in
prison when another windfall
came his way.

His elderly cousin died, leaving him executor of her \$350,000-plus estate.

That touched off a legal battle in which "Uncle Joe," who once starred on undercover FBI videotapes, was accused of another scam, this time of allegedly exerting "undue influence" on his cousin to change her will in his favor.

His daughter, Debbie Pannone, counters that her father took good care of his cousin, and that it was his cousins who schemed to claim the money by "making up stories" and "telling lies."

The battle culminated recently in an unexpected windfall for
the City of Providence. A check
for \$104,809.80 was delivered to
Providence City Hall, a longdelayed epilogue in Operation
Plunder Dome, the corruption
case that toppled longtime
Mayor Vincent A. "Buddy"
Cianci Jr.



Joseph Pannone leaves the federal courthouse after being indicted on money laundering charges in 1999.

Call it the last installment on Joe Pannone's debt to society.

JOE PANNONE was just an obscure guy from working class Eagle Park, a retired small businessman and fixture in ward politics, when he burst into the headlines in the spring of 1999.

The FBI raided Providence City Hall; seized tax records, and arrested Pannone, the septuagenarian chairman of the little-known Providence Board of Tax Assessment Review.

That was the opening salvo in Operation Flunder Dome, in which a businessman working undercover for the FBI had spent a year-secretly recording corrupt encounters with Pan-

none and other city officials.
Pannone opened the door to
City Hall and even introduced
the businessman to Cianci's top
saide, Frank E. Corrente, who
would also be caught on tape
taking payoffs.

The case eventually led to the top: Cianci and Corrente were among those convicted and sent to prison for running City Hall

as a corrupt enterprise.

Pannone, a slight, whitehaired man with Coke-bottle glasses, became the public's tour guide to corruption in Cianci's City Hall.

"There are no free lunches —

it's the money that counts,"

SEÉ PANNONE, A10

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AUDIO: Hear secretly taped conversations between Joseph C. Pannone and Operation Plunder Dome undercover witness, businessman Antonio Freitas, at: projo.com

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# **Pannone**

Continued from Page A1

Pannone said on one tape. Describing a City Hall confederate who helped him lower people's taxes for kickback's, Pannone said: "She bends. I show her some green, and she's all right."

Many of Cianci's campaign contributions, he confided, "went south." Bribe money was referred to as "green" or "scarole," slang for escarole, a green Italian vegetable. Pannone also shared some lessons on the art of bribery, which he said he had received from Cianci, whom he had known when the mayor was

a boy. Never talk on the phone, never get a check, but get cash when you're one-on-one."

Pannone liked making the rounds about town, wheeling and dealing, talking politics, selling Cianci fundraising tickets. He loved the "fried calamaris" at Andino's on Federal Hill, where he and deputy tax assessor Rosemary Glancy reflected on the state of corruption at City Hall.

"I said, 'That's a joke, Rosemary.' And she said, 'Everything in Providence is a joke.' 'If you don't pay, forget it. And that's not right.' And Rosemary goes, 'You're right, Joe, but what are you gonna do?' What are you gonna do?' "

Glancy was also convicted and went to prison.

Pannone talked about how he liked to help people as chairman of the tax board, but acknowledged that his assistance sometimes came with a price. He kept his kickback money in the bureau beside his bed, under a picture of a saint.

In 2000, after pleading guilty to corruption charges, he was sentenced to five years in prison and ordered to pay \$75,000 in restitution to the City of Providence. Pannone reported to a federal medical prison in Fort Devens, Mass., after undergoing triple bypass heart surgery. He was 78 years old, and the judge who sent him away acknowledged that he might not live to complete his sentence.

But Pannone had good genes. He need look no further than his cousin, Rose. She was in her 90s and in a nursing home when Pannone went to prison.

Three years earlier, Rose Correira had changed her will, leaving two-thirds of her estate to Joseph Pannone, and making him her executor. She also entrusted him with her finances when she was still alive. When Pannone was arrested in Operation Plunder Dome, and later when he went to prison, "Uncle Joe" had control of her checkbook.

**ALTHOUGH JOE** Pannone and Rose Violet Correira were first cousins, they weren't close for many years.

Pannone lived in Providence, Correira lived in Bristol. They never visited one another or exchanged Christmas cards. Their only contact, according to depositions from the Pannone family, was at larger family gatherings — weddings and funerals.

"They were kind of uppity," testified Pannone's son, Joseph Jr., describing Correira's side of the family.

But things changed in the late 1990s.

James A. Currier, a lawyer for several other relatives of Correira's, said in an interview that Pannone discovered that his cousin Rose had money and began "ingratiating" himself with her.

The Pannones dispute that, saying that she was a nice old woman who had no other family to care for her.

"I wasn't, you know, visiting her hoping she would be dead because I was going to get the money," testified Pannone's son. "That situation never happened with any of us in our family. She was a nice person."

Debbie Pannone said in an interview that when Rose fell ill and could no longer live on her own in Bristol, her father and uncle received a call and took care of her.

They moved Correira, whose husband had died, to the Golden Crest Nursing Home in North Providence, just up the street from Pannone's house.

Pannone visited her frequently at Golden Crest, bringing her flowers and taking her out to dinner, according to a deposition by a longtime Pannone acquaintance, lawyer John A. Scungio.

"He was quite attentive to her," testified Scungio.

Joseph Pannone Jr. said, "My father was there all the time."

In his deposition, Joseph Pannone said, "Her father and my father were brothers... when I put her in the nursing home I used to see her every other day."

George Prescott, Pannone's lawyer, said in an interview that Rose Correira also gravitated toward Joe because her late brother, a former boxer, had also been named Joseph Pannone.

One day in the spring of 1997, Scungio testified, Pannone stopped by his office on Admiral Street and said that his cousin Rose wanted to change her will and her trust.

Scungio had known Pannone for about 20 years. "He would come in from time to time, mainly for political things, like selling a ticket to an affair, or Cianci's running... You know, put signs on my gates, my building."

Scungio and Pannone met with Correira at the nursing home, and Pannone later gave Scungio copies of her prior will and trust, along with instructions regarding the changes she wished to make. Scungio said that he drew up new documents, naming Pannone and his family as beneficiaries, and designating Pannone as her executor.

Before she signed it, Scungio said, she had him cross off another niece and a longtime friend, and to eliminate \$15,000 in bequests to three Catholic churches she had attended. Instead, the will left \$3,000 to one of the churches, Our Lady of Mount Carmel in Bristol, and most of the rest to Pannone and his family. She also changed the executor of her estate from Fleet National Bank to Joseph Pannone.

Correira never explained why she wanted to make the changes, Scungio testified: "She just she changed."

"I had never prepared a will for someone in a nursing home that was as advanced agé as she," Scungio recalled. He also testified that "whether or not she was being influenced is something that I can't tell you one way or another. But she knew what she wanted. And how she arrived at what she wanted is another question."

Correira signed the new will and amendment to her trust in

May 1997. She left four shares to Joseph Pannone, two to his brother Frank, one to his brother Ralph and a one-half share to Pannone's son. In the event that any of those beneficiaries should die before her, which is what would happen to one of Pannone's brothers, the rest of the money would be divided among the surviving heirs.

Debbie Pannone says that it was important to Rose that all of the beneficiaries carry the Pannone name.

In writing the will, Scungio explained, it was his job "to make a pie out of these things and then divide it up appro-

priately."

Meanwhile, at Providence City Hall, Pannone and Scungio were carving up another pie.

IN HIS deposition, Scungio said that he had done real-estate work for Pannone, involving property deeds, which he usually didn't charge for.

Scungio didn't mention that he had also bribed Pannone on behalf of a client — a property owner seeking to lower his property tax assessment by appealing to the city tax board chaired by Pannone.

In 1998, the year after redoing Correira's will, Scungio passed Pannone a \$5,000 bribe on behalf of a client — convicted felon and mob associate Paulie Calenda. The payoff enabled Calenda, who was about to report to federal prison for possession of an Uzi submachine gun, to save \$16,000 a year in property taxes.

Pannone referred to the bribe in his conversations with another taxpayer he was taking bribes from — businessman Antonio Freitas, who was secretly recording their meetings for the FBI. In one taped chat, Pannone describes Scungio as "so [expletive] cheap, it ain't even funny."

A year later, after the FBI raided City Hall and Operation Plunder Dome became public, Pannone and Scungio were indicted, and both wound up pleading guilty.

Correira was 91, still living at Golden Crest, when the executor of her estate was arrested. Debbie Pannone says that Rose wasn't completely aware of things at that point, and never knew about Joe's legal troubles.

"She'd ask where Dad was, and we'd tell her that he was coming next week," said Debbie Pannone. Correira's will questioned the disappearance of \$15,000 from a bank certificate of deposit that Correira had, as well as \$11,000 in checks that Panonne wrote to himself from her Fleet account.

In September 1998, while the undercover phase of Plunder Dome was under way, Pannone wrote himself a check for \$2,000, recording it as a "loan."

On April 1999 — three weeks before his arrest — he wrote himself another check for \$2,000. In October, the month after he was indicted on additional corruption charges in Plunder Dome, he wrote himself a check for \$6,000. And on May 15, 2000, two months before he was sentenced to prison, he wrote himself a check for \$1,000.

Correira died on March 9, 2003, at the age of 96, while Pannone was still in prison.

In February 2005, two weeks after his release, the 82-year-old Pannone was questioned about the checks by James Currier, the

19413-185-81295-48



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☐ 12. Federal Prison Inmate Information

☐ 13. Telemarketing Complaints

▶ FTS: (406) 782-2304 FAX: (406) 782-9504, 782-9507 & 782-7418  ▶ Secure FAX & STU III: (406) 782-2304, Ext. 26	3 4 Handled By:	7	11	
TO: FBI, BUTTE INFORMATION TECHNOLOGY CENTER		<b>t</b> ~		
Date: 8/14/98 Forfeiture/Seizure Related: Type of Request: FAX Telcal D	∃ Mail	Reply: FA	X 🗆 Telcal	Mail
Requestor: Phone #: (401) 272-8310 FAX #: (401)	(v))272-833	5 <sub>UCFN: 194</sub>	1B-BS-8	1295
Requestor:    Phone #: (401) 272-8310 FAX #:	ROUTINE	☐ PRIORITY	CFN (File 1) is R	equired) IATE
Approximate turnaround times SEARCH CRITERIA (Attach additional sheets if necessary)	s (48 hrs)	(24 hrs)	(2 hr	s)
The second secon				
Name - Last: PANNONE First: JO  Alias: JOE Sex: M DOB1:	11 1261	Middle	e:	
SSAN1: 036 - 12 - 1254 SSAN2: - Spo	11   20   6	DOB2:		
Fugitive:   Yes  No Driver's License #:	ouse:		04-4	
1110011111011110			_	
Street Address: 86 Lucille St City/State: Provide	ence, RI	)• Dh	401)	) u/
BUSINESS  Les idence Business Name: 96 Lucille St. Providence, R.I. Street Add  City/State: Zip: Phone:  CHECK DESIRED SEARCH PARAMETERS (Please check only to the control of the control				
City/State: Zip: Phone:		Business II	D#:	
CHECK DESIRED SEARCH PARAMETERS (Please check only	those that a	re needed)		<del></del> , `
1. Specific Information Desired				
Determine All Individuals Associated with Social Security Number	her(s)			<del></del>
Report Validity of Social Security Number	001(0)			
4 Determine Who is Associated with Telephone Number(s)	•	-		
5 Determine Address of Business/Person (U.S,	<u>RI, C</u>	State(s))		
6. Determine Property Owned by Individual (U.S., Determine Who Owns Property Listed Above	· ——— · —	State(s	s))	
Determine Who Owns Property Listed Above     Determine Who Resides at Address Listed Above				
Determine Financial Background Info, i.e., Bankruptcy, Judgent 10. Determine Corporate Business Info, i.e., Officer, Director, Re	nents, Liens, egistered Age	UCC filings,	or Lawsui	ts
			(Person/B	usiness)
☐ 11. Customs Border Crossings / Subject query / I-94 info (circle of	one)			

ITC Use Only:

Date/Time In:

Date/Time Out:

BITC Record #:

Database(s) Used:

🗆 am 🗆 pm

□ am □ pm

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Reply From: FBI, Butte Info	rmation Technology Center (BITC)
SAC, <u>BOSTON</u>	
Attention: SA	
Based on search criteria, marke	ed records are attached:
☐ Possible Identifiable Records	☐ Brief Synopsis of Information Found
☐ Other Peripheral Information	☐ No Information Found
	4

b6 b7C

Precedence: PRIORITY		Date: 08/19	/1998
To: Boston Finance Division		& Undercover rdinator	'b6 b7c
From: Criminal Investig Undercover & S Contact:	ative Division ensitive Operations U x6005	Jnit (USOU)/Room	<i>;</i> . 3117
Approved By:	JHT/A		b6
Drafted By:			b7C
Case ID #: 194B-BS-8129	5		
Title: "PLUNDER DOME"			
Synopsis: "PLUNDER DOME' Assistant Director (AD), "PLUNDER DOME" will expir (UCO) Bost ensure compliance with t minutes.	Criminal Investigat e as a Group I under on is to initiate app	ive Division (CI cover operation propriate contro	ols to
Administrative: Referent to Boston SSA been approved.	<u>ce telec</u> all 08/18/98 advising the	from CID SSA at captioned UCC	b6 b7C
Enclosures: Enclosed for minutes, including stipu	r Boston is one copy lations, approved by	of the CUORC the AD, CID.	<b>b7</b> E
Details: On 08/12/98, to Committee (CUORC) recomm "PLUNDER DOME" was approved by the AD,	nended approval of yo On 08	ur Group I UCO /18/98 "PLUNDER	
Funding has be This includes authority no CI/CW funds and no Dr	een approved in the a to spend rug Purchase funds.	møunt of in Group I fo	b7E
Group I funding transferred to the request required bank routing in bank routing information funds to the Public Corn Sensitive Operations United Sensitive Corn be forwarded to the Confidence of the Confidence	nformation. Boston son for transfer of appropriate the standard the stand the stand the standard for the sta	hould forward to roved "PLUNDER D Undercover and information will	ne OME" l then
Division (FD).			- 81295 - 50
ASAC	K Soe F		1998 b6

FBI - BOSTON

To: Boston From: Siminal Investigative Division

Re: 194B-BS-81295, 08/19/1998

You are reminded that operational expenses are to be paid from approved Group I funds. CI/CW and Purchase of Drug Evidence expenses are to be paid from the Field Office confidential accounts. Approval of your Group I UCO does not automatically increase your CI/CW or Purchase of Drug Evidence accounts. If these accounts do not contain sufficient funding to support this UCO, your field office must request that the Budget Unit, CID, enhance the appropriate fiscal year confidential accounts.

Use of Show and/or Recoverable Funds are limited to the specified use for which they have been authorized in your Group I UCO. If approved as part of your UCO proposal, a separate request must be submitted when those funds are actually needed. Submit your request for approved Show or Recoverable funds to the CSU, FD, Room 1394. CSU will coordinate your request with the appropriate Substantive Unit and the Undercover and Sensitive Operations Unit (USOU), FBIHQ. Those funds will then be wire transferred to your field office.

Questions may be addressed to USOU, CID, ext. 3731 or CSU, FD, ext. 5862.

CC: 2 - Boston

11 - FBIHQ

Precedence:	ROUTINE	Date:	08/21/1998
To: Boston		Attn: SAC Mawn Attn: SSA Providence RA	b6 b7c
Co: Co:	nal Investigative rruption/Civil Right ntact:	s Section/PCU ASK	4C
Approved By:	Jackson Theodore Thomas Philip W		ь6 ь7с
Drafted By:	sh:		
Case ID #:	194B-BS-81295 (Pend:	ing)	
	DER DOME; O-STATE LEVEL; BS		
		arifies certain stipul roup I Undercover Oper	
		Unit (PCU) presented o /98. Several issues r	
			3
authorized by Division (CII forwarded to communication	UCO, with certain strong the Assistant Directly on 8/18/98, and a the Boston Division will serve to clar:	e CUORC recommended apipulations. This UCO ctor, Criminal Investian EC communicating saon 8/19/98. Instantify stipulations #4 anthorizing EC from CID	was .gative .me was .d #5
EC, should be	e disregarded. The i	ginally described on t following stipulation ct as of the date of t	replaces #4 b7E
4.			
	<del>                                     </del>		
		AUG 3   CUPLOADE! BY BY M  FBI-BOSTON	3-81295-5 0N-812818-2

Re: 194B-BS-81295 (P)	
	b7E
	<u> </u>
	b7E
	b7E
Other stipulations in the 8/19/98 EC remain in effe	at
as originally stated.	
Questions regarding this matter should be referred SSA Corruption/Civil Rights Section, Public	to b6 b7c
Corruption Unit, (202) 324-5702.	
<b>**</b>	
1 - Mr. Pickard	
1 - Mr. Jackson 1 - Mr. Thomas	b6 b7С

To: Boston From: Criminal Investigative Re: 194B-BS-81295 (P)

Precedence: ROUTINE		Date:	08/24/1998	,
To: BOSTON	Attn: S	SA	]	ь6 ь70
From: Boston Providence RA (P-1) Contact: SA				270
Approved By:				ъ6 ъ70
Drafted By: WDA				D70
Case ID #: 194B-BS-81295				
Title: PLUNDER DOME CSLPO - LOCAL LEVEL				
Synopsis: To recommend the openi	ing of su	b-files.		
Details: Captioned matter was ap 8/18/98. It is requested that the established for captioned matter.	ne follow			
SUBFILE CODE  1A Exhibits FD 192s (Evidence) FD-192As (Bulky, Non-evidence) FD-302s and inserts Background Info Re Subjects General VINCENT A. CIANCI, JR.	1A 1B 1C 302 BC BC1	MINNTEXT	•	ь6 ь7с
Case Expenditures Elsur Administrative Elsur Original Logs Elsur Summaries/Transcripts Physical Surveillance Logs Forfeiture Mail Covers Newspaper Clippings Subpoenas Telephone Subscriber and Tolls Pen Register - Administrative Pen Register - Data Retrieved TIII - Administrative	CE ELA EL1A EL1B FISUR FF MC NC SBP TEL PRA PRD TIIIA	ſ	1948-35-8/295 SERICHED SERIALIZED SERIALIZED SPILED	> was de la serie

To: BOSTON From: Boston Re: 194B-BS-81295, 08/24/1998

Precedence: ROUTINE

To: Boston

# FEDERAL BUREAU OF INVESTIGATION

Attn:

SAC Boston

SSRA

SA



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Date: 08/31/1998

			FM			
	n 1/ Prov. RA ntact: SA		Ext.	128		1.0
Approved By:	<u>r</u>					b6 b70
Drafted By		jdp				
Case ID #:	194B-BS-81295	(Pending)	)			
CSLP	DER DOME; O-LOCAL LEVEL; BOSTON					
<b>Synopsis:</b> ReFiles.	equest the ope	ning of Ca	ase Expendi	ture (CE)	Sub	
Reference:	194B-BS-81295					
	is requested for the follow			E sub file	es be	
CE CE CE CE CE	<ul> <li>(1) - Vouchers</li> <li>(2) - Case Accontrial betc.</li> <li>(3) - Quarterl</li> <li>(4) - Bank stareconcil</li> <li>(5) - Credit concil</li> <li>(6) - Non-expensits</li> <li>(7) - Deposits</li> <li>(8) - Miscella</li> </ul>	eounting repaired alances, in the state of t	income and eports and canceled chements operty reginister	expense sworkpapersecks, and	tatements, s	
case account cash receipt	r the informat ant will be ma s and disburse August 31, 19	intaining ments.	a computer	ized reco		<b>b</b> 6
computerized	ase accountant set of record s for captione	ls to reco		receipts	48-85-8124	ь7 <b>75-</b> -5
F	<u> </u>	9/194	pen clethr	W FIRST	ARCHED SINDEXED FILED SEP 1 1998	7
P01.EC		V	Into pra	ARS E	FBI - BOSTON	

To: Boston From: Boston

Re: 194B-BS-81295, 08/31/1998

1 - SAC, Boston
1 - SSRA
1 - SA
1 - FM
1 - 194B-BS-81295
1 - 194B-BS-81295 Sub CE1
1 - 194B-BS-81295 Sub CE2
1 - 194B-BS-81295 Sub CE3
1 - 194B-BS-81295 Sub CE4
1 - 194B-BS-81295 Sub CE5
1 - 194B-BS-81295 Sub CE6
1 - 194B-BS-81295 Sub CE6
1 - 194B-BS-81295 Sub CE7
1 - 194B-BS-81295 Sub CE7

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	U
Precedence: ROUTINE Date: 09/02/1998	
To: Boston  Attn: SSA SSA FM	ь6 ь70
From: Boston P-1/ Prov. RA Contact: SA Ext. 128	<b>b</b> 6
Approved By:	b7C
Drafted By: / jdp	
Case ID #: 194B-BS-81295 (Pending)	
Title: PLUNDER DOME; CSLPO-LOCAL LEVEL; OO: BOSTON	
Synopsis: Request to purchase and install Quickbooks on computer utilized by Special Agent for use in captioned matter.	b6 b7C
Reference: Telcall from FM to Special Agent on September 2, 1998.	
Details: In referenced telcall FM advised Special Agent that he was authorizing the purchase of Quickbooks for use by Special Agent in captioned matter. FM advised Special Agent that the money to purchase Quickbooks would come from the equipment budget.	ь6 ь7с
Special Agent requests that Quickbooks be purchased and installed on the computer (Barcode# F1144329) in the Providence Resident Agency utilized by Special Agent for use in captioned matter.	
<b>**</b>	
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WITH/TEXT	> <sup>-                                   </sup>
WITHOUT/TEXT SEARCHED SERIALIZED OF FILED OF SERIALIZED	
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Precedence: PRIORITY	Date:	8/03/98
To: Criminal Investigative		
From: DAD Theodore Jackson  Section Chief Philip W. Thomas  Corruption/Civil Rights Section/Public  Corruption Unit/Room 3149  Contact: SSA X-5702		
Approved By: Jackson Theodore 7168  Thomas Philip W		
Drafted By:		
Case ID #: 194B-BS-81295 (Pending)		
Title: PLUNDER DOME  CSLPO-STATE LEVEL  OO: BS		
Synopsis: Attached is a proposal for initial pres CUORC of the Group I undercover operation (UCO) co PLUNDER DOME.		
Enclosures: Enclosed are the following: (1) A cop Division's Group I UCO proposal; (2) A copy of a s from the United States Attorney endorsing the prop Completed Undercover Proposal Checklist.	igned l	etter
Details:		

SEE CID ADDENDUM PAGE(S) 7+8

b6 b7C

b6 b7C b7E

1948-65-513.75-51

To: Criminal Investigative From: Section Chief Philip W. Thomas

DAD Theodore Jackson

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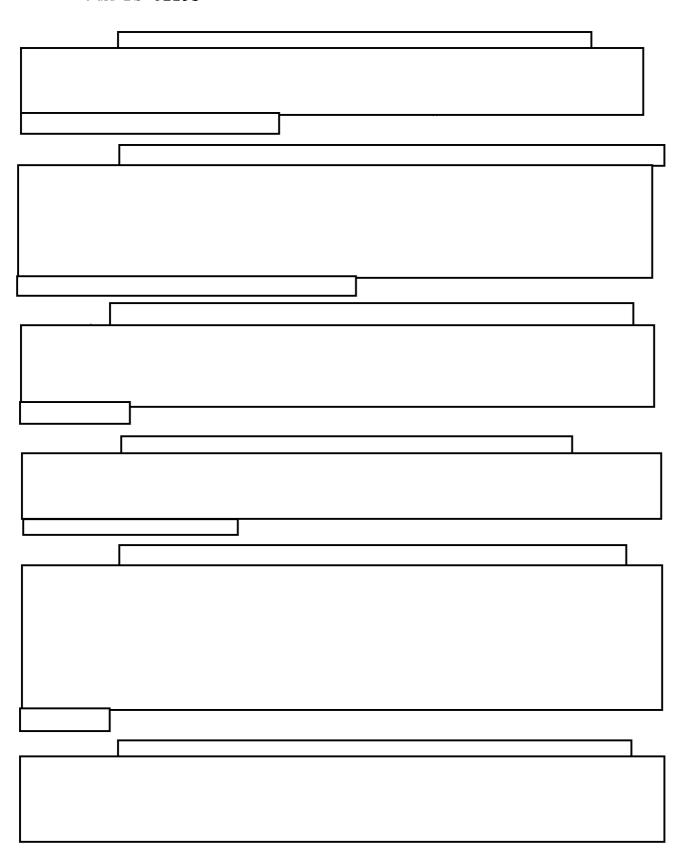
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b6 b7C b7D

b7D

b7D

Re: 194A-BS-81295



To: Criminal Investigative From: Section Chief Philip W. Thomas

DAD Theodore Jackson

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Re: 194A-BS-81295

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#### **SENSITIVE CIRCUMSTANCES:**

This UCO involves two sensitive circumstances:

1) The UCO is addressing criminal conduct by elected and appointed executive-level officials in a local governmental agency.

2)				

These sensitive circumstances are mitigated by several factors. There is substantial predication indicating that businesses in the City of Providence are forced to make illegal payments in order to conduct their operations. Legitimate businesses are eliminated from competition because of this corruption, and in fact many legitimate business do not even compete because of the corruption. This results in substantial increased costs to taxpayers.

Corruption addressed through this UCO will result in effective and efficient government services provided by the city, and will restore a sense of fairness to the competitive bidding process. Absent this UCO, the City of Providence will continue

To: Criminal Investigative From:

DAD Theodore Jackson

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Section Chief Philip W. Thomas Re: 194A-BS-81295

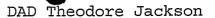
to conduct "business as usual", to the detriment of the businesses and citizens of that community.

### **EXEMPTIONS REQUESTED:**

Boston Division requests the Department of Justice authorize the following exemptions:

1)	
2)	]

To: Criminal Investigative From:
Section Chief Philip W. Thomas
Re: 194A-BS-81295



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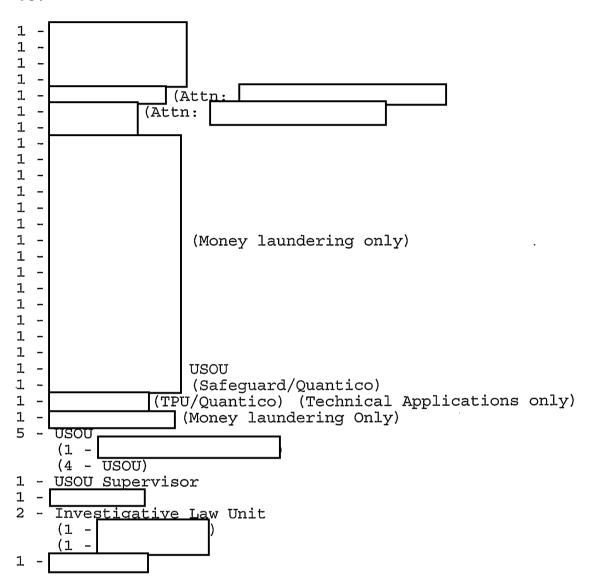
To: Criminal Investigative From:

DAD Theodore Jackson

Section Chief Philip W. Thomas

Re: 194A-BS-81295

CC:



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ADDENDUM TO EC FROM DAD THEODORE JACKSON TO CRIMINAL  INVESTIGATIVE, DATED 8/03/98, PREPARED BY SSA  PCU, 8/12/98
MAYOR VINCENT CIANCI, JR.
Allegations regarding corruption on the part of Cianci have
been made for many years.  told FBI agents that he was aware of approximately 15 different contractors who paid bribes to Cianci for contracts and favors.
None of the contractors contacted would speak to FBI SA's to further corroborate these allegations.
•
•

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b7E

b6 b7C

b6 b7C b7E

b6 b7C b7E

		b6 b7C b7E
•	•	ь70
		ь7р
		ь7с ь7р ь7Е
•	Reliable sources have consistently stated to FBI agents that is paid cash in order to facilitate the payment of monies owed by the city of Providence to vendors.	ь6 ь7с
•		ь6 ь7с ь7Е
•		

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	told the FBI that on several	1
occasio	ns. Additionally, Both the and the	
the lea	for the City of Providence told the FBI that se payments to Voccola were handled in an	
extraor	dinary manner, to the benefit of Voccola.	
		7
		1
		]
		]
		,

CHAI	RMAN OF THE BOARD OF TAX ASSESSMENT JOSEPH PANNONE
<b>*</b>	
•	
•	
•	
<b>•</b>	Several credible sources have related that has conspired, with and other, in rigging bids in order to help people obtain leases and contracts with the city of Providence.

<b>♦</b>	
•	
<b>*</b>	
<b>♦</b>	
•	
<b>♦</b>	
	The aforementioned provides a reasonable basis to believe
that	Vincent Cianci, Joseph Pannone, and have conspired, and are continuing to conspire, to
	have conspired, and are continuing to conspire, to
circu	Invent the legitimate government process in the city of
Provi	idence for their personal benefit.

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b6 b7C b7D b7E

b3 b6 b7C b7D

ь6 ь7с (12/31/1995)

### FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY		Date: 10/01/	1998
To: Boston	Attn: SSA		ь6 ь70
From: Criminal Investigation Corruption/Civil Contact: SSA	ive Rights Section, PCU, X5702	, Room 3149	
Approved By: Thomas Philip			b6 ь7С
Drafted By:	ı		
Case ID #: 194B-BS-81295			
Title: PLUNDER DOME; CSLPO-LOCAL; OO: BS			
Synopsis:			b7E
<b>Details:</b> On 10/01/98. an a	nopropriate Bureau of	fficial	b7D b7E
	ning this matter shound in the control of the contr		l <b>to</b> b6 b70
••			

SEARCHED \_\_\_\_\_\_\_ INDEXED \_\_\_\_\_\_\_ ?
SERIALIZED \_\_\_\_\_ FILED \_\_\_\_\_\_ ? OCT 7 1998

194B.BS.81295 58

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it and its contents are not to be distributed outside your agency.

	Date of transcription	9/24/98
A person who is not in a posit advised that recently he/she was told by that an indiv	ion to provide	
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		b7
declined to assi	st in the inve	estigation.
declined to tell the source person who stated	urce the identi but did tel	ty of the
source that the person was		<u> </u>
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	16.	
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' 279.SMBOI, BUZ CCIU) ITTIC	ADED	1948-85-81295-
stigation on 9/24/98 at Providence TRI	L	
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	_Date dictated 9/24/	b7
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document contains neither recommendations nor conclusions of the FRI. It is the proper		FBI-BOSTON

(12/31/1995)

### **FEDERAL BUREAU OF INVESTIGATION**

Precedence: PRIORITY	Date: 10/14/1998
To: Boston Attn:	SSA b6
From: Criminal Investigative  Corruption/Civil Rights Section  Contact: SSA X570	
Approved By: Thomas Philip W HWT HOS	b6 ъ7с
Drafted By: sh	
Case ID #: 194B-BS-81295	
Title: PLUNDER DOME; CSLPO-LOCAL; OO: BS	
Synopsis:	b7E
Details: On 10/15/98, an appropriate Bu	reau official authorized b7D b7E
Questions concerning this matt SSA Corruption/Civil Rights Corruption Unit, X5702.	
<b>A A</b>	

1948.BS.81295-62 UPLOADED ON 10/19/98

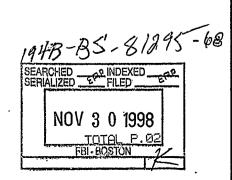
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Precedence: I	ROUTINE	Date:	10/21/1998
To: Boston	Attn:	SSA Providence RA SSA	b6 ъ70
Cori	al Investigative ruption/Civil Rights Secti tact: SSA X5	on/PCU 702	
Approved By:	Thomas Philip W		ъ6 ъ70
Drafted By:	sh		
Case ID #: 19	94B-BS-81295 (Pending)		
CSLPO-	ER DOME; -LOCAL LEVEL; BOSTON		
<b>Synopsis:</b> To DOME.	advise of on-site review	of Group I UCO P	LUNDER
Undercover and Boston Division operational as and USOU will	As from the Public Corrupt d Sensitive Operation Unit on on Wednesday, 11/18 and ssessment/training relatin initiate an on-site revie ubsequent to this training	(USOU) will be Thursday, 11/19 g to corruption. w of captioned G	in the for an The PCU
SSA coordinator, ninterview the on Wednesday,	review financial auditor with re	et with the UC	and b6 this UCO b70 b70
afternoon of agent, and will review the meet with conclusion of	ne case file, interview th	the of Friday, 11/20, or case accountant will be contacted riefing. SSAs w	case the SSA's t, and d at the ill
Oues SSA (202) 324-3733	1990-00	r ssa -81295	USOU, b6
<b>**</b>		· 1 \$ c \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	3.85.81295.63 UADED SBON/0/28/90

Precedence:	ROUTINE		Date	: 11/05/1998	
To: Boston		Attn:	SA SA SA		b b
	on covidence RA (P-: ontact: SRA	1)	x138		
Approved By:					be b7
Drafted By:					
Case ID #:	194B-BS-81295	(Pending)			
Title: PLUM	IDER DOME				
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	or the captioned signed the quarte	d Group I UC			b b
	ssign <u>leads fr</u> om nd SA re				b6
CC: 1 - 194	B-BS-81295 B-BS-81295 Sub (	CE	acc v	entants.	ь7 <sup>,</sup>
<b>**</b>	1a K	leady !	Case a carter	ly "	b6 b7
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				NOV 5 1998	
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	Precedence: ROUTINE Date	: 11/04/1998	
	To: Criminal Investigative Attn: SSA Public Corru	ption Unit	ь6 ь7с
	Room 3149 From: Boston Providence RA (P-1)		
	Contact: SRA (401) 272-8	310 x138	b6 b7С
	Approved By:		2.0
	Drafted By:		
	Case ID #: 194B-BS-81295 (Pending)		
	Title: PLUNDER DOME		
	Synopsis: To confirm authorization for a "T" number purchase of an air conditioning unit in support of t investigation.		
	Details: This communication will confirm authorizat from SSA Public Corruption Unit, to pur Carrier air conditioning unit, Model #51TCA081D, Ser #4394X30780, amount: \$430.14, (purchased from JKL En 945 Westminster Street, Providence, R.I. 02903) in s	chase one ial gineering,	ь6 ь7с
	captioned Group I undercover operation.		b7E
			D/E
	CC: 1 - 1 - SA		b6 b7C
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	11/8/98 Hou	pIUCO	
	11011	Obsfile Junder Dom p I UCO 3 - 135 - 8/29	5-65
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Precedence: PRIORITY Date: 11/30/1998	
To: Boston Attn: SSA	ъ6 ъ7С
From: Criminal Investigative Corruption/Civil Rights Section, PCU, Room 3149 Contact: SSA X5702	·
Approved By: Thomas Philip with	ь6 b7С
Drafted By: sh	
Case ID #: 194B-BS-81295	•
Title: PLUNDER DOME; CSLPO-LOCAL; OO: BS	
Synopsis:	b7E
netails: On 11/30/98, an appropriate Bureau official authorized	
1)	b7E
	<b>b</b> 6
2)	b7C b7E
Questions concerning this matter should be directed to SSA Corruption/Civil Rights Section, Public Corruption Unit, X5702.	ь6 ь7с



Precedence: PRIORITY	Date: 12/03/1998
To: Boston Attn: SSA	b6 b70
From: Criminal Investigative Corruption/Civil Rights Section, PCU, Contact: SSA X5702	Room 3149
Approved By: Thomas Philip W	ь6 ь7С
Drafted By: :sh	
Case ID #: 194B-BS-81295	
Title: PLUNDER DOME; CSLPO-LOCAL; OO: BS	ь7Е
Synopsis:	
Details: On 12/03/98. an appropriate Bureau of:	ficial authorized b6 b70 b71
This authority is granted	
Boston Division authority	requires FBIHQ
Questions concerning this matter should SSA Corruption/Civil Rights Section Corruption Unit, X5702.	

UPLOADED ON 12/1/18

194B-BS-81295-70

Klyd

To: Boston From: Criminal Investigative Re: 194B-BS-81295

(12/31/1995)

### FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE Date: 12/02/1998	
To: Boston  Attn: SAC Barry W. Mawn Attn: ASAC Attn: SSA	_ b6 b70
USOU, Room 3117 Contact: SSA  Approved By:  Drafted By:  Case ID #: 194B-BS-81295 (Pending)  Title: PLUNDER DOME; CLSPO-STATE LEVEL; OO: BOSTON	b6 b70
Synopsis: Results of of Group I on-site review, conducted by the Undercover and Sensitive Operations Unit (USOU) and the Public Corruption Unit (PCU) on 11/19-20/98.	
Details: From 11/19-20/98, SSAs (USOU),  (PCU) and (PCU), conducted an on-site review of captioned Group I undercover operation (UCO). The review consisted of a visit to the undercover offsite, a review of financial books and records, and conferences with all pertinent personnel, to include a conference with an essential as well as the Assistant United States Attorney (AUSA) assigned to the project. The results of this review are summarized below.	ь6 ь70 ь71
	<b>b7</b> E
-1-  1948-BS-81295-11  SEARCHED AND SERIALIZED FILED  DEC -8 1998  BOSTON	b6

b7C

Precedence:	PRIORITY	Date:	12/31/1998
To: Boston	Attn: S	SSA	ь6 ь7
Co	nal Investigative rruption/Civil Rights Section ntact: SSA X5702		49
Approved By:	Thomas Philip W PUT HOS		b6 b70
Drafted By:	: sh		
Case ID #:	194B-BS-81295		
	DER DOME; O-LOCAL; BS		
Synopsis:			b7E
<b>Details:</b> On	12/31/98. an appropriate Bur	reau official a	uthorized
1)			b6 b70
			b7E
2)			ь71
3)	\$		b6 b70 b71
•	,		b7
Qu SSA Corruption U	estions concerning this matte Corruption/Civil Rights nit, X5702.	er should be di Section, Publi	rected to c b6 b7
<b>**</b>			

3:1 UPLOADED ON 1-899 BY JUB BS-81295-74 1948 BS-81295 JAN 1 1 1999

C

Boston From: Criminal Investigative 194B-BS-81295 To:

Re:

(12/31/1995)

Precedence: ROUTINE	Date: 01/04/1999
To: Boston Attn:	ASAC b6
From: Boston Providence RA (P-1) Contact: SA W.	
Approved By:	b6
Drafted By: Wda	b7C
Case ID #: 194B-BS-81295 (Pending)	
Title: PLUNDER DOME CSLPO - LOCAL LEVEL OO: BOSTON	
Synopsis: To advise of status of invest searches.	tigation and anticipated
Details: Captioned matter is a Group I in the City of Providence. The covert established evidence of corruption in the taxation, regulatory action and law enformation. As part of this investigation	investigation to date has he areas of contracts, orce <u>ment in the City of</u>
	ъ6 ъ7с ъ7D
	.,
	b6 b7C b7D b7E
	b6 b7C b7E
AOOJOTEC NEW VA	M. Se 1295 - 15  WAN 5 1999 670  WAN 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1

		b6 b7С b7Е
RI.	All of the above locations are located in Providence,	
RI.		ь6 ь7с
		b7E
are initi	Extensive media coverage is expected once the searches ated.  The following are estimates of the manpower needs:	,
		b6 b7C b7E
needed to Additiona	It is estimated that a total of will be conduct the above interviews and searches. lly, will be needed for coordination purposes.	b7E
		b7D

Boston From: Boston 194B-BS-81295, 01/04/1999

To: Re:

b7E

material.

To: Boston From: Boston Re: 194B-BS-81295, 01/04/1999

Case Agent will be fully occupied handling these matters. Search warrant affidavits have been prepared and are being reviewed by the U.S. Attorney's office. SA is coordinating the affidavits with AUSA It is requested that additional personnel be immediately assigned to coordinate the above searches and interviews. SA can provide those personnel with background

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b6 b7C

3

(12/31/1995)

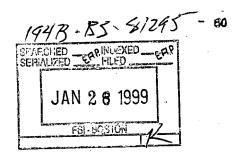
### FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY	<b>Date:</b> 1/05/99
To: Boston Attn: SSA	b6 b7c
From: Criminal Investigative Corruption/Civil Rights Section, Contact: SSA X5702	PCU, Room 3149
Approved By: Thomas Philip W	b6 b7C
Drafted By: :sh	
Case ID #: 194B-BS-81295	
Title: PLUNDER DOME; CSLPO-LOCAL; OO: BS	
Synopsis:	b7E
Details: On 1/05/99, an appropriate Bureau	official authorized b7E
Questions concerning this matter SSA Corruption Unit, X5702.	

19413-185-81295-78

UPLOADED ON 1/22/99

JAN 2 3 1999



Precedence: ROUTINE Date: 01/25/1999
To: Criminal Investigative Attn: SSA USOU b70
From: Boston Providence RA (P-1) Contact: SA
Approved By: b7c
Drafted By: :wda
Case ID #: -194B-BS-81295 SUB CE (Pending)
Title: PLUNDER DOME CSLPO - LOCAL LEVEL
Synopsis: To request budget enhancement.
Details: Captioned matter was approved as a Group I UCO on  8/18/98. A proposal has been submitted for a b7E
Boston requests that a budget of be approved born the next period.
1948-85-81295

J

AN 25 1999

025WDA01.BC

Precedence:	PRIORITY	Date:	02/16/1999	
To: Boston	Attn: SSA SA			ь6 ь70
Cor	ruption/Civil Rights Section, PCU	, Room 3	149	b6 b70
Approved By:	Joseph Joseph			
Drafted By:	:kkm W			
Case ID #: 1	.94B-BS-81295			
	ER DOME -STATE LEVEL BS			b7I
Synopsis:				
Enclosures: 0 Contract	riginal counter-signed by SSA Review Unit, FBIHQ.	·		b6 b70 b7E
<u>Unit,</u> FBIHQ r	02/16/1999, SSA eviewed and approved the enclosed signed by SSA		ract Review he original	b6 b7C b7D b7E
Ques SSA Corruption Un	ctions regarding this matter should Corruption/Civil Rights (202) 324-5701.	d be ref	erred to , Public	b6 b70

194B-BS-81295-83

To: Boston From: Criminal Investigative

Re: 194B-BS-81295

LEAD (s):

Set Lead 1:

BOSTON

AT PROVIDENCE, RI

For appropriate action.

2

Precedence: PRIORITY	Date: 02/25/1999
	Public Corruption Squad
From: Criminal Investigative	•
Corruption/Civil Rights Section/I	Public Corruption Unit ext. 5701
Approved By:	
Drafted By: sb	
Case ID #: 194B-BS-81295 (Pending)	
Title: PLUNDERDOME CSLPO	
Synopsis: To advise Boston Division of	FBIHQ approval for
Enclosure(s): Enclosed for Boston is an	with approval.
Details: The Public Corruption Unit (Po	
Rights Section/Criminal Investigative D:	ivision (CID), FBIHQ has'

In the event renewal of this authorization is required, submit your request with full justification at least seven days prior to the expiration of the existing authorization, in compliance with MIOG, Section 10-10.3 (9).

1948-BS-81295-85 MAR 1999

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b7E

To: Boston From: Criminal Investigative Re: 194B-BS-81295, 02/25/1999

LEAD(s):

Set Lead 1: (Adm)

BOSTON

AT BOSTON, MASSACHUSETTS

For information and appropriate action.

Precedence: ROUTINE		Date:	02/01/1999
To: Criminal Investi	gative	•	
Section Chi	nt Director Theodor ef Philip W. Thomas C/CRS/Public Corrupt		3149
	Theodore Philip W		
Case ID #: 194B-BS-8	(1295 (Pending)		
Title: PLUNDER DOME; CSLPO - LOCAI OO: BS	, 5,		
<b>Synopsis:</b> Attached i Undercover Operation originally authorized	(UCO) "PLUNDER DOME"	. Group I aut	<u>hority</u>
Enclosures: Enclosed Boston Division's Groletter from the Unite and (3) Completed Under CUORC minutes.	oup I UCO proposal; ed States Attorney e	(2) A copy of a ndorsing the p	a signed roposal;
Details:			

1948-357 SEE CID ADDENDUM PAGE(S) 6-8-1948-35-81295-86 b6 b7C

b7E

b6 b7C b7D b7E

Sect. 1, FDPS page 357

To: The	: Criminal eodore Jacks	son			Deputy	Assista	ant D	irector	
Re	: 194B-BS-	81295, 02	/01/1999		,				
	mì	-1-44-4		- 1100	A	#1h n	7		
as	follows:	objectiv	es or the	e 0C0	auring	the re	newal	period	are

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b6 b7C b7D b7E

dore Jackson 194B-BS-81295,	02/01/1999
SENSITIVE	<u>CIRCUMSTANCES</u> :

To: Criminal Investigative From: Deputy Assistant Director

This UCO involves two sensitive circumstances:

1) The UCO is addressing criminal conduct by elected and appointed executive-level officials in a local governmental agency.

These sensitive circumstances are mitigated by several This investigation has determined that businesses in the City of Providence are forced to make illegal payments in order to conduct their operations. Legitimate businesses are eliminated from competition because of this corruption, and in

fact many legitimate business do not even compete because of the

corruption. This results in substantial increased costs to taxpayers.

While this UCO has identified and developed evidence on numerous government officials, there is evidence that others, including the mayor, continue to engage in criminal activity. The successful continuation of this UCO will enable the collection of evidence against these other officials, and will restore a sense of fairness to the competitive bidding process. The City of Providence will continue to conduct "business as

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b6 b7C b7D b7E

To: Criminal Investigative From: Deputy Assistant Director Theodore Jackson Re: 194B-BS-81295, 02/01/1999	
usual" in certain sectors of government, to the detriment of the businesses and citizens of that community, should this UCO be concluded without approaching other predicated subjects.	
EXEMPTIONS REQUESTED:	-
Existing exemptions are adequate, and no additional exemptions are requested at this time.	
SERVICE AGREEMENTS:	
	b7E
RECOMMENDED STIPULATIONS:	
The stipulations previously placed on this UCO, and detailed in the attached minutes, should remain in place with one change.	
	b7D b7Е
	בים
BUDGET:	
	b7E

#### ASSET FORFEITURE:

Boston Division is exploring asset forfeiture as part

To: Criminal Investigative From: Deputy Assistant Director Theodore Jackson Re: 194B-BS-81295, 02/01/1999

of this UCO.

Precedence: ROUTINE	Date: 02/10/1999	
To: Boston Attn:	DA I	6 70
From:	7	
Contact: ASSA		6
Approved By:		7C 7E
Drafted By:		
Case ID #: 194B-BS-81295 (Pending) 66-HQ-19473 SUB YYY (Pendi	ing)	
Title: PLUNDER DOME WCC OO: BOSTON		
Synopsis: Review of captioned Group I	proposal.	
Details: On 2/10/99, received captioned Group I Undercover of from the Boston Division/Providence Res review. Prior contact with the SSRA Pr this previously established UCO has bee no assistance required from	Operation (UCO) proposal sident Agency (RA) for covidence revealed that	∍7 <b>I</b>
It was agreed upon that Provide would maintain contact for the should any assistance be need addressed at that time.	ractice and	o71

1948-BS-81295 - 8 -EAR - 5 1999

Precedence: ROUTINE	Date: 02/23/1999
To: Boston Attn	SAC & Undercover Coordinator
Finance Division	Ъ7C
From: Criminal Investigative Divisio Undercover & Sensitive Oper Contact: X6005  Approved By:	ations Unit (USOU)/Room 3117
Drafted By:	
Case ID #: 194B-BS-81295	
Title: "PLUNDER DOME"	
Synopsis: A budget enhancement for "2/22/99 by the Assistant Director (AD Division (CID).	
Administrative: Reference EC dated 2 requesting a budget enhancement for t	
Enclosure(s): Enclosed for Boston is approving a budget enhancement for "P	
Details: On 2/22/99 a budget enhance CID, Thomas J. Pickard.	ment was approved by the AD,
Cumulative spending authority amount of This includes au in Group I funds and no CI/C The approved cumulative spending auth referenced budget enhancement of previously approved Group I funds in the FBIHQ Financial Management System "PLUNDER DOME" has expended a total o (excluding February expenses). Per tacurrently has on hand a total of apprenticular and the control of apprenticular apprenticular authority and the control of apprenticular apprenticular authority and the control of apprenticular authority and control of apprenticular authority and control of apprenticular authority and control of apprenticular authority authorit	thority to spend up to W or Drug Purchase funds.  ority consists of the approved 2/22/99 and the amount of Per (FMS) as of 1/31/99, f in Group I funds he FMS, "PLUNDER DOME"
Finance Division (FD). Bank routing previously reported.	tial Services Unit (CSU), information remains as 81295 - 89  (GF-BS-V147 SulI- SEARCHED ANDEXED 66 b70  FFR 2.6 1999
Can frem	

To: Boston From: Criminal Investigative Di C

Questions may be addressed to USOU, CID ext. 3731 or the CSU, FD ext. 5862.

CC: 2 - San Diego

9 - FBIHQ

Precedence: ROUTINE	Date:	02/22/1999
To: Criminal Investigative		
From: Criminal Investigative Corruption/Civil Rights Section/Public Corruption Unit/Room 3149 Contact: SSA X-5702  Approved By: Pickard Thomas J		
Drafted By: kkm		
Case ID #: 194B-BS-81295 (Pending)		
Title: PLUNDER DOME CSLPO-STATE LEVEL OO: BS		
Synopsis: The purpose of this communication is to budget enhancement of for captioned Group operation (UCO) code named PLUNDER DOME.		
Enclosures: Enclosed is the original Electronic (EC) from FBI Boston requesting the budget enhanced detailing the budget requirements		
Details: On 02/16/1999, PLUNDER DOME was approved	for a	in

BY ZHE ON 2/23/99

194B-BS-81295-84

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b7D b7E To: Criminal Investigative From: Criminal Investigative

Re: 194A-BS-81295

CC: 1 - Mr. Pickard
1 - Mr. Jackson
1 - Mr. Thomas
1 -

b6 b7С (12/31/1995)

### FEDERAL BUREAU OF INVESTIGATION

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b6 b7C

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Precedence: ROUTINE	Date: 02/16/1999
, , <u> </u>	SA SOU
From: Boston  Providence RA (P-1)  Contact: SA W.  Approved By: Mawn Barry  Drafted By: wda	
Case ID #: 194B-BS-81295 SUB CE (Pendin	g)
Title: PLUNDER DOME CSLPO - LOCAL LEVEL	
Synopsis: To request budget enhancement.	
Details: Captioned matter was approved a 8/18/98. A proposal has been submitted	s a Group I UCO on
The change of focus detailed in requires that the budget be amended  The following reflects the new by	

054 WDA 02. EC

To: Boston From: Criminal Investigative Division Re: 194B-BS-81295, 02/23/1999

Questions may be addressed to USOU, CID ext. 3731 or the CSU, FD ext. 5862.

CC: 2 - San Diego

9 - FBIHQ

Preced	dence: ROUTINE		D	Pate: 02/16/1999	
To:	Boston	Attn:	SAC & Undercover Coordinator	ASAC	→ V b6 V b7C
	Finance Division		Attn:	55A	
From:	Criminal Investigative Division Undercover & Sensitive Operation Contact: x6005	ons Unit (U. FR   E.S.	SOU)/Room 3117	3	
Appro	oved By:				b6 b7C
Drafte	ed By:				
Case 1	D#: 194B-BS-81295 (PENDING)	•			
Title:	"PLUNDER DOME"				
Director Group ensure funds v	sis: An extension of "PLUNDER DOM or (AD), Criminal Investigative Division (I Undercover Operation (UCO compliance with the stipulations set forth will be wire transferred to Boston by the Frement request submittal.	CID). "PL Bosto in the encl	UNDER DOME"  n is to initiate approprosed minutes. Addition	riate controls to	b7E
Admii	nistrative: Reference telecall on 02/16/98 advising that the captioned UCO h			oston SSA	ь6 ь7с
	sures: Enclosed for Boston is one copy o ittee (CUORC) minutes, including stipula		<del>-</del>	ations Review	
			ion of your Group I U , "PLUNDER DOME		b7E
	Cumulative spending authority wincludes authority to spend up to se funds.		ly approved in the amfunds, no CI/CW fun		
		ınding on ha	ement System (FMS), and. Per the FMS, the cluding January and FI 1948-85-3	e captioned UCO ebruary 1295 - 90 DEXED	

b6 b7С To: Boston From: Criminal Investigative Division Re: 194B-BS-81295 (PENDING), 02/16/1999

expenses. "PLUNDER DOME"'s remaining Group I authority includes in Group I funding. Per Boston Division, the captioned UCO is in the process of submitting a budget enhancement request. Following approval of the budget enhancement, additional Group I funding will be transferred to the requested account.

Questions may be addressed to USOU, CID, ext. 3731 or CSU, FD, ext. 5862.

CC: 2 - Boston 10 - FBIHQ b7E

b6 b7C

Date: 03/12/1999 Precedence: ROUTINE To: BOSTON From: BOSTON PROVIDENCE/RA EXT 131 Contact: SA Approved By :jac Drafted By: Case ID #: 194B-BS-81295 (Pending) Title: PLUNDER DOME; CSLPO - LOCAL LEVEL Synopsis: Request to open additional subfiles. Details: It is requested that the following subfiles be opened: DESCRIPTION SUBFILE PEN REGISTER REPORT BY DATE AND TIME PRD-A PEN REGISTER REPORT BY FREQUENCY BY PRD-B SECONDARY NUMBER W THATELYT \_ 1948-BS-81295-91 E / \_\_\_\_\_

EAST 3/15/99

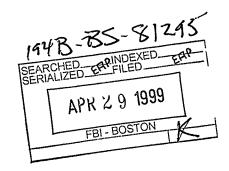
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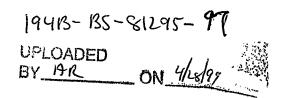
Precedence:	PRIORITY		Date	: 4/22/99	
To: Boston	At	ttn: ss	A		
Cor	al Investigative ruption/Civil Rights S tact: SSA	Section,	PCU, Room 314	9	
Approved By:	Thomas Philip W Rui	MEC	•		
Drafted By: [	sh				
Case ID #: 1	94B-BS-81295				
CSLPO	ER DOME; -LOCAL; BS				
Synopsis:					
Details: On 4/22/99, an appropriate Bureau official authorized					
SSA Corruption Un	stions concerning this Corruption/Civil I it, X5702.	matter Rights S	should be dir ection, Public	ected to	
<b>**</b>					



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(12/31/1995)

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE	<b>Date:</b> 04/20/1999
To: BOSTON	Attn: SAC A/ASAC SRA
From: BOSTON P-1/PROVIDEN Contact: SA	E RA EXT 131
Approved By:	
Drafted By:∜	;jac
Case ID #: 194B-BS-81295	Pending)
Title: PLUNDER DOME CSLPO - LOCAL L OO:BOSTON	:VEL;
<b>Synopsis:</b> Execution of num Providence.	rous search and arrest warrants throughout the City of
Details: I. <u>SITUATION:</u>	
corruption problems plaguing uncovered overwhelming evid	a Group I Undercover Operation addressing the he City of Providence. To date, this investigation has ence that widespread corruption exists within the City of wing areas: contracts, taxation, regulatory action, and
The covert phase of the the execution several search	investigation is being brought to a conclusion through nd arrest warrants.
	b
	1948-85-81795
L	ENP -EX
	APR 2 7 1999
117 JACOL EC	DISCO 4/28/99

Precedence: ROUTINE	Date: 04/26/1999
To: Criminal Investigative Attn:	SSA Public Corruption Unit
From: Boston Providence RA (P-1) Contact: SA	ь6 ь7с
Approved By:	
Drafted By:	
Case ID #: 194B-BS-81295 (Pending)	
Title: PLUNDER DOME CSLPO - Local Level OO: BOSTON	
Synopsis: To advise of the end of covered Group I UCO through the arrest of two seven locations to include to locations Providence, R.I.	subjects and the search of
Details:	
BACKGROUND	
	b7D
	b7E
FBI, Boston and the United Stat District of Rhode Island believe that E considerable evidence of bribery, extor laundering, and racketeering against the City of Providence and the majority in the tax assessment and collection sy	PLUNDER DOME has gathered rtion, mail fraud, money ne number two official in of the public officials
Providence.	b7D
	1943-85-81295-99
The state of the s	
· · · · · · · · · · · · · · · · · · ·	APR 2 6 1999
123 DJK 01. EC	14/99

out of order,

To: Criminal Investigative From: Boston

Re: 194B-BS-81295, 04/26/1999

b) 18 USC, Section 1341 (mail fraud) and conspiracy to commit the same in violation of 18 USC. Section 371

- c) 18 USC, Section 1951 (extortion under color of official right("Hobbs Act") and conspiracy to commit the same;
- d) 18 USC, Section 1956 (money laundering) and conspiracy to commit the same in violation of 18 USC, Section 1956 (h); and
- e) 18 USC, Section 1961 (rackateer influenced and corrupt organizations ("RICO") and conspiracy to commit the same in violation of 18 USC, section 1961 (d).

Interviews will be attempted of subjects and witnesses simultaneous with the execution of search warrants.

United States Attorney (USA) Margaret Curran is seeking the appointment of a special Federal grand jury to hear evidence regarding this extensive investigation.

SAC, Boston and USA Curran will be making a press release after arrests are made and searches are complete.

To: Criminal Investigative From: Boston Re: 194B-BS-81295, 04/26/1999

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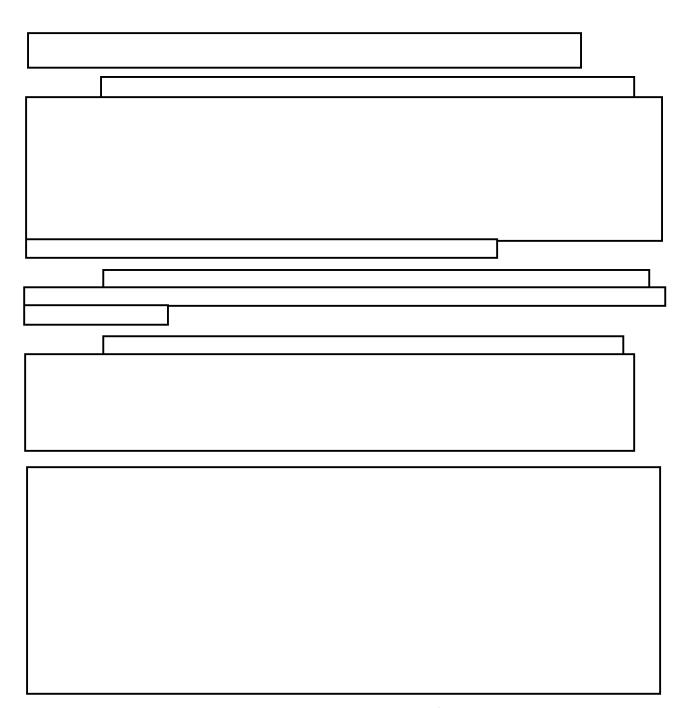
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To: Criminal Investigative From: Boston

Re: 194B-BS-81295, 04/26/1999



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Federal statutes which are the basis of the search warrant include:

a) 18 USC, Section 666 (theft or bribery concerning programs receiving federal funds) and conspiracy to commit the same in violation of 18 USC, Section 371.

1	ecedence: ROUTINE Date: 05/03/1999	
	: Criminal Investigative Attn: SSA Public Corruption Unit Room 3149	b6
I	om: Boston Providence RA (P-1) Contact: SRA (401) 272-8310 x138	ь7
2	proved By:	
I	afted By:	
C	se ID #: 194B-BS-81295 (Pending)	
7	tle: PLUNDER DOME	
€	nopsis: To report the arrests of two subjects and the ecution of searches at seven locations in connection with the ptioned Group I UCO.	
F	ference: 194B-BS-81295-99	
0 V S	closure(s): Enclosed for the Public Corruption Unit is one py each of 1) complaint and affidavit supporting the arrest rrants for subjects JOSEPH PANNONE and 2) affidavit pporting the search warrants for seven locations to include the ty Tax Assessment and Collector Offices; and 3) newspaper ticles from the Providence Journal, dated 4/29/99.	b6 b7
j	tails: On 4/28/99, PANNONE and were arrested without cident based on a complaint charging them with violations of tle 18, USC. Section 1956 (money laundering) and conspiracy to mmit the same in violation of 18 USC. Section 1956 (h).	b6 b7
1 1 5	On the same date, both PANNONE re afforded an initial appearance before United States gistrate Robert W. Lovegreen, District of Rhode Island, and leased on \$50K personal recognizance bond. Both subjects have tained attorneys who have been in contact with the United ates Attorney (USA), District of Rhode Island.  UPLOADED  WITH STATE OF THE S	- 105
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Criminal Investigative From: To: 194B-BS-81295, 05/03/1999 On 4/28/99, searches were conducted at the following seven locations:

- Office of the Tax Assessor, Providence City Hall
- Office of the Tax Collector, Providence City Hall
- 3.
- Office of the City of Providence Department of Planning and Development.
- Office of the City of Providence Department of 5. Inspections and Standards
- 6.
- Residence of PANNONE. 7.

Federal statutes which are the basis of the search warrant include:

- 18 USC, Section 666 (theft or bribery concerning programs receiving federal funds) and conspiracy to commit the same in violation of 18 USC, Section 371.
- 18 USC, Section 1341 (mail fraud) and conspiracy to commit the same in violation of 18 USC. Section 371
- 18 USC, Section 1951 (extortion under color of official right ("Hobbs Act") and conspiracy to commit the same;
- 18 USC, Section 1956 (money laundering) and conspiracy to commit the same in violation of 18 USC, Section 1956 (h); and
- e) 18 USC, Section 1961 (rackateer influenced and corrupt organizations ("RICO") and conspiracy to commit the same in violation of 18 USC, section 1961 (d).

Financial records and documents supporting the bribery and extortion statutes were seized.

<u>In</u> terviews were conducted with	
ROSEMARY GLANCY, Deputy Tax Assessor;	
subjects and witnesses simultaneous with the execution of	
earch warrants.	

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To: Criminal Investigative From: Boston

Re: 194B-BS-81295, 05/03/1999

USA Margaret Curran has been granted the appointment of a special federal grand jury (FGJ) to hear evidence regarding this extensive investigation.

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SAC, Boston and USA Curran conducted a press conference after arrests and searches were completed. The public reaction has been positive. The Providence RA has solicited and received numerous contacts from individuals that have expressed a desire to cooperate. All of these leads are being followed.

\*\*

Precedence: ROUTINE Date: 05/04/1999

To: Boston Attn: ALL PROVIDENCE RA

AGENTS

From: Boston

Providence RA Contact: SRA (401) 272-8310 x138

Approved By: 1

Drafted By:

Case ID #: 194B-BS-81295 (Pending)

Title: PLUNDER DOME

Synopsis: To advise all Agents in the Providence RA of the procedure for handling complaint calls/contacts regarding the captioned investigation.

Details: All Agents in the Providence RA are requested to handle calls relating to the captioned investigation in a prompt, professional fashion. These initial contacts will have a lasting influence on future contacts and the confidence that we might instill to obtain their cooperation.

These contacts should be recorded on the EC form provided. Please make additional copies as needed. These forms should be utilized during the contact and can be hand written. The name and identifying data should be indexed and the recommended action should be written in the "leads" section. Thereafter, the form should be placed in the SRA's in-box. A lead will be assigned; and the assigned Agent should make every effort to complete the assigned lead in a timely fashion. In any event, if the lead is to interview an individual, that individual should be contacted within 24 hours of receiving the lead.

It is requested that a subfile be established as a // respository for these contacts

If there are questions, please do not hesitate to contact the SRA. Your investigative efforts are appreciated.

5/4/99

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To: Criminal Investigative  Attn: SSA  Public Corruption Unit Room 3149  From: Boston  Providence RA (P-1) Contact: SRA  (401) 272-8310 x138	b6 b7С
Providence RA (P-1)	b7C
(401) 272 0310 X130	
Approved By:	
Drafted By:	
Case ID #: 194B-BS-81295 (Pending) 194B-BS-80859 (Pending) 194B-BS-74741 (Pending)	
Title: PLUNDER DOME	
Synopsis: To report the indictments of three subjects in the captioned investigation.	
Reference: Re BS electronic communication to the Public Corruption Unit, dated 5/3/99.	
Enclosure(s): Enclosed for the Public Corruption Unit are:  1) one copy of the indictment charging subjects JOSEPH PANNONE, and ROSEMARY GLANCY; 2) a copy of the press release of the grand jury action; and 3) a newspaper article from the Providence Journal, dated 5/27/99.	b6 b7С
Details: On 5/27/99, a special federal grand jury (FGJ) in a 13-count indictment charged PANNONE and ROSEMARY GLANCY, the Deputy Tax Assessor, with conspiracy, attempted extortion and mail fraud for inducing illicit payments to assess property taxes. The FGJ also charged PANNONE and with additional counts of conspiracy and money laundering for laundering money to be used for illicit payments to city officials.	b6 b7С
In the 13-count indictment, PANNONE is charged with 10 counts: three conspiracy counts, a violation of Title 18 USC Section 1951 and 2; three counts of attempted extortion, a violation of Title 18 USC Section 1951; three counts of mail fraud, a violation of title 18 USC Section 371 and 2; and one	
count of money laundering, a violation of Title 18 USC Section 1956(h), 1956(a)(3)(A) and 2.	b6 b7С
194B BS-8129	5-105
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DATE 64799 MAY 2 7 19	199
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To: Criminal Investigative From: Boston

Re: 194B-BS-81295, 05/27/1999

is charged with seven counts: two counts of conspiracy, two counts of attempted extortion, and three counts of money laundering.

The affidavit and search warrant executed on 4/28/99, at Providence City Hall, other city offices and will be release with discovery materials for each of the subjects.

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**\***\*

VETTER & WHITE
Attorneys at Law

20 Washington Place Providence, RI 02903 401-421-3060

Fax: 401-272-6803 e-mail: vetlit@aol.com

VETTER & WHITE

May 6, 1999

BY HAND

Senior Resident Agent
Federal Bureau of Investigation
Justice Department
Ten Dorrance Street
Providence, Rhode Island 02903

b6 b7C

Re: Providence Journal Request for City of Providence Records

Dear :

I understand U.S. Attorney Margaret E. Curran has forwarded to you my May 4, 1999 letter regarding the Providence Journal's request for the City of Providence's Tax Assessor Ledger Book. (I enclose copies of the enclosures to that letter in case she did not forward them as well.) In light of Ms. Curran's letter, I thought it worthwhile to follow up with you directly.

I did not mean to imply in my earlier letter to Ms. Curran that the U.S. Attorney's Office or the F.B.I. are subject to the Rhode Island Access to Public Records Act. My purpose in referencing that statute and also the RIHMFC investigation was two-fold: first, to provide you with a practical precedent for resolving the issues involved here; and second, to bring to your attention the clear public policy of the State of Rhode Island that access to its public records should continue even in the face of an ongoing criminal investigation. While that public policy may not be directly controlling as to the U.S. Attorney or F.B.I, no doubt it is an important consideration in any resolution of this request for public City records.

While I stated in my earlier letter that the requested record is also public under 5 U.S.C. §552, I did not elaborate on that analysis. I am, at bottom, suggesting a practical solution. The requested records are City of Providence records. They are public records (which I assume the City needs to conduct its business in any event). If your office were to return copies of those records to the City of Providence sooner rather than later, it would disentangle itself from any FOIA/Access to Public Records issue. That solution ultimately proved workable in the RIHMFC investigation.

### VETTER & WHITE

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May 6, 1999

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I would be happy to elaborate on FOIA's application to the requested records should you decide not to return copies of the records to City of Providence. Essentially, FOIA requires disclosure of all agency records unless they fall within specifically enumerated and narrowly construed exemptions. The specific record requested here does not meet the requirements of any of those exemptions, in particular exemption 7. The case I cited to Ms. Curran, Philadelphia Newspapers Inc. v. Hud, 343 F.Supp. 1176 (E.D.Pa. 1972) was a FOIA case involving analogous issues. See, also, RCA Global v. FCC, 524 F. Supp. 579 (D.Del. 1981) (copy enclosed).

I reiterate my earlier offer to Ms. Curran to address any questions or concerns you or your counsel may have. I also share Ms. Curran's hope that this matter can be resolved to everyone's satisfaction. I believe the solution suggested here does just that, with due consideration to all of the varying aspects of the public interest involved. I look forward to hearing from you.

Verv	truly	vours.

HAM/slb Enclosures **b**6 b7C 524 F. Supp. 579 printed in FULL format.

RCA GLOBAL COMMUNICATIONS, INC., Plaintiff, v. FEDERAL COMMUNICATIONS COMMISSION, et al., Defendants.

Civil Action No. 81-74

### UNITED STATES DISTRICT COURT FOR THE DISTRICT OF DELAWARE

524 F. Supp. 579; 1981 U.S. Dist. LEXIS 18583; 50 Rad. Reg. 2d (P & F) 1093

October 16, 1981, Decided

DISPOSITION: [\*\*1] FCC's summary judgment motion will be denied.

CORE TERMS: exemption, disclosure, subpoena, confidential, Information Act, interconnection, confidentiality, regulation, assurance, exempt, logs, presentence report, public inspection, non-disclosure, inspection, subpoenaed, routinely, withhold, secrecy, plainly, law enforcement, investigatory, completion, carriers, Trade Secrets Act, information obtained, national security, summary judgment, public scrutiny, questionnaires

COUNSEL: Henry A. Wise, Jr., Esquire of Wilmington, Delaware, Alexander P. Humphrey, IV, Esquire, Robert F. Heath, Esquire of Washington, D.C., Attorneys for Plaintiff.

Joseph J. Farnan, United States Attorney, John X. Denney, Jr., Assistant U.S. Attorney, Wilmington, Delaware, Stuart E. Schiffer, Acting Assistant Attorney General, Civil Division, Vincent M. Garvey, Esquire, Dina R. Lassow, Esquire, Department of Justice, Washington, D.C., Lawrence S. Schaffner, Assistant General Counsel, Nancy E. Stanley, Assistant General Counsel, John P. Greenspan, Esquire, Mark S. Hayes, Esquire of Federal Communications Commission, Washington, D.C., Attorneys for Defendants.

Somers S. Price, Jr., Esquire of Potter, Anderson & Corroon, Wilmington, Delaware, William R. Weissman, Esquire of Wald, Harkrader & Ross, Washington, D.C., Attorneys for Western Union.

JUDGES: STAPLETON, District Judge

OPINIONBY: STAPLETON

OPINION: [\*580] OPINION

Wilmington, Delaware

October 16, 1981

STAPLETON, District Judge.

On February 20, 1981, RCA Global Communications, Inc. ("RCA Globcom") filed suit against the Federal Communications Commission ("FCC") n1 to [\*\*2] compel the Commission to disclose some three thousand pages of documents. The documents are the fruits of a subpoena issued to the Western Union Telegraph Company ("Western Union"), which is the target of an ongoing FCC investigation. Along with its Freedom of Information Act ("FOIA") n2 Complaint, RCA Globcom submitted a request for a Vaughn v. Rosen n3 index of the disputed records. Because the FCC offered two generic grounds for withholding the Western [\*581] Union documents, the Court agreed to entertain the Commission's motion for summary judgment as to those grounds before requiring it to prepare an index.

n1 The Complaint also names the Chairman of the FCC and Western Union as parties.

n2 5 U.S.C. § 552 (1978).

n3 484 F.2d 820, 157 U.S. App. D.C. 340 (D.C. Cir. 1973), cert. denied, 415 U.S. 977, 94 S. Ct. 1564, 39 L. Ed. 2d 873 (1974).

I

## A. The Western Union Investigation

Western Union provides domestic Telex and TWX service as a regulated monopoly. Western Union's [\*\*3] lines also "interconnect" with those of International Record Carriers ("IRCs") which carry Telex messages abroad. According to complaints filed with the FCC, Western Union refused to provide interconnect service

# 524 F. Supp. 579, \*581; 1981 U.S. Dist. LEXIS 18583, \*\*3; 50 Rad. Reg. 2d (P & F) 1093

to IRCs in several "gateway" cities in which the FCC had authorized the international carriers to operate. By an Order dated July 17, 1980, the Commission initiated an investigation of Western Union's interconnection practices. The Order provided that the investigation would be "non-public," and that information obtained in the investigation would only be released upon notice to the party which had supplied the information to be disclosed, or upon completion. The purpose of the notice provision was to guarantee to the "supplying party" its rights to seek confidential treatment under FCC regulations. 47 C.F.R. § 0.459.

To further its inquiry, the FCC issued a subpoena duces tecum to Western Union requesting:

- 1. All documents regarding, referring or relating to interconnection between Western Union's Telex and TWX networks and the Telex networks of the international record carriers from May 1975 to the present.
- 2. All documents regarding, referring or relating to [\*\*4] Western Union's costing and pricing (including discounts) of the domestic-haul portion of the inbound public message service from June 1977 to the present.
- 3. Document(s) demonstrating the organization of the Western Union Telegraph Company, including, but not limited to, major operational and administrative divisions and identification of supervisory personnel in those divisions from May 1975 to the present.
- 4. Documents constituting current formal and informal file indices of the Western Union Telegraph Company.

Western Union cooperated with the subpoena and delivered some three thousand pages of documents to the Commission.

#### B. RCA Globcom's FOIA Request

In a letter dated November 21, 1980, RCA Globcom filed a request to inspect the Western Union documents pursuant to the FOIA and 47 C.F.R. § 0.461. The FCC's Common Carrier Bureau, which regulates Telex service, denied the request on December 19, 1980. The Bureau explained that the material which RCA Globcom sought was exempt from disclosure under 5 U.S.C. § 552(b) (4) and (7)(A). Although it did not conduct a document by document review, the Bureau asserted a (b)(4) exemption because a "large number" [\*\*5] of the Western Union documents contained "commercial or financial information [which was] privileged or confidential." It justified the (7)(a) exemption, protecting "investigatory records compiled for law enforcement purposes" release

of which "would interfere with enforcement proceedings", because disclosure would inform RCA Globcom of the "scope, limits, and method" of an investigation in which RCA Globcom was potentially involved. Further, the Bureau ruled, release of subpoenaed documents might impair the FCC's ability to obtain voluntary compliance with its subpoenas in the future.

RCA Globcom appealed this ruling to the full Commission. While its administrative appeal was pending, RCA Globcom filed the present suit. The FCC's Order, released on March 24, 1981, affirmed the Common Carrier Bureau's claim to exemptions 4 and 7A, and adopted a third, new, rationale to justify withholding the Western Union documents. Relying on recent authority in the Court of Appeals for the District of Columbia Circuit, the Commission concluded that the Western Union files were not "agency records," and hence not subject to FOIA disclosure at all. The present Motion for Summary Judgment presents [\*\*6] only the "agency records" and 7A exemption claims.

[\*582] II

Agency Records Under FOIA

The Freedom of Information Act requires public disclosure of agency records, upon request, with the exception of records exempted under Section 552(b). The Act nowhere defines an "agency record." n4 The FCC urges me to apply a "control" test to determine whether a document created by a third party but within the physical possession of agency is an agency record within the compass of the FOIA.

n4 See generally, Note, The Definition of "Agency Records" Under the Freedom of Information Act, 31 Stan.L.Rev. 1093 (1979); Developments Under the Freedom of Information Act.-1980, 1981 Duke L.J. 338, 349-354.

The first case to adopt the control analysis was Goland v. CIA, 607 F.2d 339, 197 U.S. App. D.C. 25 (D.C. Cir. 1978), cert. denied, 445 U.S. 927, 100 S. Ct. 1312, 63 L. Ed. 2d 759 (1980). Goland requested, among other things, the transcript of a 1948 House Committee hearing held in Executive Session. [\*\*7] The agency refused to release the transcript because it remained under the control of the Congress, notwithstanding that it had been in the physical custody of the CIA for almost thirty years. The question, according to Judge Wilkey, whether a congressionally generated document has become an agency record, . . . depends on whether under

# 524 F. Supp. 579, \*582; 1981 U.S. Dist. LEXIS 18583, \*\*7; 50 Rad. Reg. 2d (P.& F) 1093

all the facts of the case the document has passed from the control of Congress and become property subject to the free disposition of the agency with which the document resides.

607 F.2d at 347. The secrecy of the hearing, the "Secret" marking on the transcript, and the fact that the CIA used the transcript only for internal reference led the Court to the conclusion that the transcript remained under Congressional control. n5 See also, Holy Spirit Association v. CIA, 636 F.2d 838, 205 U.S. App. D.C. 91 (D.C. Cir. 1981).

n5 The Court in Goland emphasized Congress's constitutional authority to keep its records secret. U.S.Const.Art. I § 5. Private parties, like Western Union, have no such inherent power to modify the disclosure provisions of the FOIA.

[\*\*8]

The D.C. Circuit required disclosure in two subsequent FOIA cases which modify the Goland principle. In Ryan v. Department of Justice, 617 F.2d 781, 199 U.S. App. D.C. 199 (D.C. Cir. 1980), the Court found none of the indicia of control which determined the outcome in Goland. The Department of Justice solicited information from Senators regarding the process of selecting federal judicial nominees. Neither the questionnaires themselves, nor the responses by the Senators "indicated that the Senators would have the perogative to maintain secrecy." Id. at 786. Furthermore, unlike the Goland transcript, the information contained in the questionnaires related to the "regular business" of the Department of Justice. See, Id. note 17 at 787.

In Carson v. Department of Justice, 631 F.2d 1008, 203 U.S. App. D.C. 426 (D.C. Cir. 1980), the Court rejected the argument that presentence investigation reports were not agency records of the United States Parole Commission. Like the Goland transcript, a presentence report is created by a non-agency, the probation office of the sentencing court. Nevertheless, the Parole Commission's organic statute required it to [\*\*9] consider the presentence report in making its release decisions. n6 Noting that "the presentence report is, after all, central to the Parole Commission's primary function," Judge Wald found it "somewhat anamalous to hold that such reports do not constitute agency 'records' for purposes of the FOIA." Id. at 1015. In both Ryan and Carson, the Court adopted Goland to take into consideration the function of the document in the administrative process.

n6 18 U.S.C. § 4208, 28 C.F.R. § 2.19.

Although the Supreme Court has not directly addressed the Goland test, two recent decisions establish the importance of a document's function to the determination of its status as an agency record. In Kissinger v. Reporters Committee for Freedom of the Press, 445 U.S. 136, 100 S. Ct. 960, 63 L. Ed. 2d 267 (1980), William Safire, a newspaper columnist, requested FOIA disclosure [\*583] of the former Secretary of State's telephone logs. Kissinger maintained those logs while he was National Security [\*\*10] Adviser to President Nixon, then transported them to his new office when he became Secretary of State. In denying Safire's request, the Court emphasized that "mere location of papers and material" did not "confer status as an agency record." Id. at 157. The telephone logs, like Kissinger's other personal records and memorabilia, played no part in State Department decisionmaking. Since close personal advisers to the President were not part of an "agency" under FOIA, the State Department had no duty to disclose the logs to the public.

In Forsham v. Harris, 445 U.S. 169, 100 S. Ct. 977, 63 L. Ed. 2d 293 (1980), a case involving records maintained by hospitals at the instance of the Department of HEW, the Court remarked that "mere possession" would not suffice to transform a document created outside an agency into an agency record. Id. note 16 at 185. Justice Rehnquist, for the Court, went on to note with approval the only direct reference to the definition of "agency record" in the legislative history:

A representative of the Interstate Commerce Commission commented that "since the word 'records'... is not defined we assume it includes all papers which an agency [\*\*11] maintains in the performance of its functions." Administrative Procedure Act: Hearings on S.1160 et al. before the Subcommittee on Administrative Practice and Procedure of the Senate Committee on the Judiciary, 89th Cong. 1st Sess. 244 (1965).

Id. at 184. This emphasis on the function of the document in the agency's decisionmaking process conforms to the legislative purpose of the FOIA, which was to "pierce the veil of administrative secrecy and to open agency action to the light of public scrutiny." Rose v. Department of the Air Force, 495 F.2d 261, 263 (2d Cir.

1974), aff'd, 425 U.S. 352, 96 S. Ct. 1592, 48 L. Ed. 2d 11 (1976).

I read the more recent cases applying Goland, and the Supreme Court's language in Kissinger and Forsham, to suggest a "function" rather than a "control" oriented definition of "agency record." n7 The Western Union documents involved in this case are in the possession of the FCC in order to help it determine what if any action to take to regulate Western Union's interconnection with the IRCs. That decision is one to be made in the regular course of the FCC business under its enabling legislation and public scrutiny, subject [\*\*12] to appropriate exemptions, of how that decision is made was an objective of the FOIA. These facts alone are sufficient to make these documents "agency records."

n7 No court, to my knowledge, has applied Goland to records created by private parties, as opposed to a coordinate branch of government. Two circuits declined to decide this issue because it was unripe for adjudication. Exxon Corp. v. FTC, 588 F.2d 895 (3d Cir. 1978); FTC v. Owens-Corning Fiberglas Corp., 626 F.2d 966, 200 U.S. App. D.C. 102 (D.C. Cir. 1980). The plaintiffs in those cases sought judicial protection against the disclosure of their corporate records by the FTC. Congress has since mooted that controversy, at least with respect to the FTC, by exempting material submitted to the FTC under subpoena from the FOIA. Developments, 1981 Duke L.J. 362-67.

I also note that in Weisberg v. Department of Justice, 631 F.2d 824, 828, 203 U.S. App. D.C. 242 (D.C. Cir. 1980), the court held privately created photographs to be "agency records" without reference to Goland. Judge Bazelon, for the Court, emphasized that the requested materials "plainly 'reflect the. . . operation, or decision-making functions of the agency.'" (footnote omitted). This bolsters my conclusion that function, not control, is decisive in this case.

See also, Note, 31 Stan.L.Rev. at 1111.

#### [\*\*13]

Even applying the more restrictive "control" standard articulated in Goland, however, I would have to conclude that the documents sought by RCA Global Communications are "agency records" under the FOIA. The FCC cites two features of its Order which had the effect, in the Commission's view, of reserving control of the documents to Western Union. The investigation was

to be "non public," and the Commission expressly reserved Western Union's right to request confidentiality before it made any information publicly available before the completion of the investigation. [\*584] While I have serious doubt whether a private party can demand or receive sufficient restrictions on agency use of its documents to preclude their classification as "agency record," I may make that assumption in analyzing the Commission's argument because its order in this case clearly reserved no control for Western Union. I do not read the Commission's Order to do anything more than allow Western Union to assert the confidentiality of its documents consistent with FOIA itself. That is precisely what the regulation upon which the FCC leans so heavily provides. Section 0.459 of Title 47 is part of a subchapter [\*\*14] entitled "Public Information and Inspection of Records" which establishes the procedures of FOIA and Privacy Act disclosures. Related regulations establish two categories of documents, those which are routinely non-disclosable, and those which are not disclosed until after a special request. 47 C.F.R. §§ 0.457, 0.459. Documents are withheld under Section 0.459 only if the supplying party "presents a clear and convincing case for non-disclosure consistent with the provisions of the Freedom of Information Act." 47 C.F.R. § 0.459(d). Plainly, this refers to the agency's discretionary authority to disclose material which is FOIA exempt. n8

#### n8 Section 0.457 reinforces this construction:

(d) . . . Under [the exemption for trade secrets, 5 U.S.C. § 552(b)(4)] the Commission is authorized to withhold from public inspection materials which would be privileged as a matter of law if retained by that person who submitted them, and materials which would not customarily be released to the public by that person whether or not such materials are protected from disclosure by a privilege.

\* \* \*

(1) The materials listed in this subsection have been accepted, or are being accepted, by the Commission on a confidential basis pursuant to 5 U.S.C. 552(b)(4). To the extent. . . indicated in each case. The materials are not routinely available for public inspection. If the protection afforded is insufficient, it is necessary for person submitting such materials to submit therewith a request for non-disclosure pursuant to § 0.459. A persuasive showing as to the reasons for inspection will be required for inspection of such materials under § 0.461.

See, Note, A Procedural Framework for the

# 524 F. Supp. 579, \*584; 1981 U.S. Dist. LEXIS 18583, \*\*14; 50 Rad. Reg. 2d (P & F) 1093

Disclosure of Business Records under the Freedom of Information Act, 90 Yale L.J. 400, 404-406, Note 39 at 408 (1981) (describing similar regulations).

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In short, rather than creating any substantive right to confidentiality beyond that afforded by the FOIA exemptions and the Trade Secrets Act, 18 U.S.C. § 1905 (1976), Section 0.459 and the Commission's Order simply give Western Union an opportunity to be heard in opposition to disclosure of material which the FCC could withhold under those statutes.

Western Union's concerns in this context are understandable. But neither Western Union nor the Commission advance any interests to be served by non-disclosure which were not considered by Congress in formulating the statutory scheme with its "general philosophy of full agency disclosure" n9 and its specific exemptions. If there are interests involved here which Congress intended to override the public interest in being able to evaluate an agency's performance, those interest will be adequately protected under the exemptions. I decline to create a further exemption in the guise of a restrictive definition of "agency records."

n9 H.Rep. 1497, 89th Cong. 2d.Sess., 6 (1966), quoted in *Conoco v. DOE*, 521 F. Supp. 1301, mem.op. (D.Del. 1981).

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The Investigatory Records Exemption

The FCC proposes that all of the documents which it obtained from Western Union are exempt from disclosure under 5 U.S.C. § 552(b)(7)(A). Exemption 7A protects investigatory records release of which might jeopardize law enforcement proceedings. Here, the Commission posits three potential sources of prejudice to future enforcement. First, the FCC fears that companies such as Western Union will no longer cooperate with its subpoenas. n10 The result, the agency predicts, will be unnecessary delay.

n10 The litigation against the FTC to obtain protection against disclosure suggests that this fear may have some substance. See note 7, supra.

[\*585] While the FCC's argument has surface appeal, it does not withstand analysis. The FCC's access to the documents at issue in this case does not rest on voluntary cooperation, but on its statutory subpoena power. If a party lacks a substantial ground upon which to resist a subpoena one can reasonably expect it [\*\*17] to do as Western Union did in this case, comply with the FCC demand. If a party in that position balks, the FCC may require some minimal effort to secure full compliance, but brief delays occasioned by summary pleadings were not the kind of injury which Congress intended to thwart public disclosure, any more than delays in agency enforcement resulting from the processing of FOIA requests themselves.

The FCC's argument, therefore, reduces to two possible claims. The first is that there may be firms with good faith defenses to a subpoena who will or will not press those claims depending on what assurance the firm can extract from the Commission with respect to FOIA disclosure. This claims must be evaluated, however, in light of the limited authority of the FCC to give such assurance. Unless the subpoenaed material is "routinely not available for public inspection" under 47 C.F.R. § 0.457 because it is exempt under 5 U.S.C. § 552(b)(4) or covered by the Trade Secrets Act, the FCC, under the regulations discussed above, cannot provide assurance against disclosure in advance. It is authorized only to give the assurance that it gave Western Union in this instance, that the subpoenaed [\*\*18] party will have the opportunity to supply clear and convincing evidence of eligibility for an exemption before the FCC decides that issue. 47 C.F.R. § 0.459. Given this limitation, I find it unlikely that decisions on whether or not to litigate possibly meritorious defenses will turn on agency assurances with respect to FOIA disclosures.

The only other alternative is that the FCC claims that it must have the authority to promise confidentiality to sources of information in order effectively to conduct its investigations. Plainly the FOIA does not authorize a blanket exemption for confidential sources in civil cases, as it does for criminal investigations. n11 I do not rule out the possibility that an agency may demonstrate that confidentiality may be required in a particular investigation in order to obtain the cooperation of an important witness, but the FCC has not done so in this case.

n11 Compare 5 U.S.C. § 552(b)(7)(D) which exempts all information obtained from confidential sources in the course of criminal or national security investigations.

# 524 F. Supp. 579, \*585; 1981 U.S. Dist. LEXIS 18583, \*\*19; 50 Rad. Reg. 2d (P & F) 1093

[\*\*19]

The Commission's second claim is that release of the Western Union documents would inform RCA Globcom of the scope of the investigation. This cannot support a blanket exemption. The FCC itself delineated the scope of the material it sought in its subpoena, which is in the public record as well as the record of this case. Release of the documents themselves do not add new information about the scope or purpose of the FCC's inquiry.

The Commission's third argument is more substantial. RCA Globcom's interest in the Western Union investigation stems from its own commercial stake in interconnection. The Affidavit of Theodore D. Kramer avers that the Commission may decide to expand the investigation in order to examine in detail the interconnection strategies of the IRCs, "including RCA Globcom," and that if the Commission should so decide, "officials of these companies may be called as witnesses." Mr. Kramer goes on to express a concern that release of documents to RCA Globcom will enable it to impede the investigation by tailoring its answers to questions. I agree that if the FCC does indeed plan to call on RCA Globcom to furnish information as a witness, premature disclosure of Western [\*\*20] Union data might harm "the Government's case," NLRB v. Robbins Tire & Rubber, 437 U.S. 214, 232, 98 S. Ct. 2311, 57 L. Ed. 2d 159 (1977). But the operative word here is "if." Fairly read, the Kramer Affidavit does nothing more than suggest that an investigation of Globcom's affairs is a possibility. The agency has the burden of showing that withheld documents are within the scope of an exemption and this burden is not met in the [\*586] context of Exemption 7A when it offers no affirmative reason to believe that a relevant investigation is likely to occur. See Coastal States Energy Corporation v. DOE, 617 F.2d 854, 870, 199 U.S. App. D.C. 272 (D.C. Cir. 1980).

Even if the record were expanded to fill this gap, however, it would still be insufficient to show that the FCC may withhold all of the Western Union documents. The Kramer Affidavit categorizes those records as:

revenue forecasts, business stragies (proposals for Western Union's corporate response to current situations and in the event of certain regulatory decisions and actions by the IRCs), summaries of meetings of policy groups, marketing plans, analyses of current market-place situations and Western [\*\*21] Union's relative po-

sition in given markets, technical data such as call completion ratios and correspondence with other common carriers.

Congress amended the FOIA in 1974, substituting "records" for "files" to make it clear that the courts had to consider the nature of the particular documents as to which exemption is claimed in order to avoid impermissible "commingling" by an agency's placing in an investigatory file material that does not legitimately have to be kept confidential.

NLRB v. Robbins Tire & Rubber, supra, 437 U.S. at 229-30. Although generic claims are permissible, the record must be sufficient to demonstrate the Government's right to exemption as to each category of document. Coastal States Gas Corp. v. DOE, 644 F.2d 969, 978 (3d Cir. 1981). See also, Moorefield v. Secret Service, 449 U.S. 909, 101 S. Ct. 283, 66 L. Ed. 2d 139 (White, J. dissenting from denial of cert.). A document by document index is not required, but the agency's justification of its claim to exemption "must not consist of 'conclusory and generalized allegations of exemptions.'" What is required is "'a fairly detailed analysis in manageable segments.'" [\*\*22] Ferri v. Bell, 645 F.2d 1213 at 1213-1222 (3d Cir. 1981), quoting Vaughn v. Rosen, supra, 484 F.2d at 826. The record in this case does not meet that standard. Contrary to the Commission's assertion, it is not apparent on this record that RCA Globcom's exposure to each of the documents poses a threat of tailored evidence in relevant areas.

Some form of index will accordingly be necessary. It must be sufficiently specific to permit RCA Globcom to respond meaningfully to the FCC's claim to exemption, and to permit this Court to make the findings required by law.

IV

#### Conclusion

Because I am satisfied neither by the FCC's showing that disclosure to RCA Globcom will endanger a law enforcement proceeding, nor by its demonstration that all of the documents within each of the eight broad categories it has described are entitled to a 7A exemption, the FCC's summary judgment motion will be denied.

FILED: FEB. 19, 1986

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

PROVIDENCE, SC.

SUPERIOR COURT

PROVIDENCE JOURNAL COMPANY et al

٧.

P.C. No. 85-1412

RHODE ISLAND HOUSING AND MORTGAGE

FINANCE COMPANY et ai

# <u>DECISION</u>

## STATEMENT OF FACTS

This matter is before the Court on a motion by defendant Rhode Island Housing and Mortgage Finance Corporation ("RIMFC") for instructions seeking clarification of an order for partial summary judgment granted by another justice of this court on May 28, 1985.

This action was begun by the Providence Journal Company and Katherine Gregg and Elliot Jaspin, reporters, on March 29, 1985 seeking disclosure of all public records concerning RIMFC activities in accordance with the Rhooe Island Public Access Act, G.L. 1956 (1985 Cum. Supp.) § 38-2-1 et seq ("the Act"). A motion for summary judgment was filed by the

plaintiffs on April 29, 1985 and heard on May 21, 1985. The court ordered the defendants to furnish plaintiffs access to or copies of all records of defendant RIMFC, wherever located and in whatever form, included but not limited to records stored on computers. The court specifically denied access by the plaintiffs to the following documents:

- (1) tax returns of individual mortgagors;
- (2) credit reports of individual mortgagors;
- (3) other financial information of individual mortgagors substantively akin to tax returns and credit reports.

That order was entered on May 28, 1985.

On July 18, 1985 plaintiffs filed a motion to adjudge the defendants in contempt for failing to fully comply with the May order. That motion was subsequently witharawn by the plaintiffs without prejudice.

The instant motion, filed December 16, 1985, essentially asks this Court to answer three questions:

- (1) are RIMFC's records in the possession of the Attorney General of the State of Rhode Island investigatory records and therefore exempt from disclosure under G.L. 1956 (1985 Cum. Supp.) § 38-2-2(a)(16)?
- (2) is RIMFC's inventory of its records in the possession of the Attorney General of the State of Rhode Island an investigatory record and therefore exempt from disclosure under G.L. 1956 (1985 Cum. Supp.) §38-2-2(d)(16)? and
- (3) are RIMFC's records under subpoenas by law enforcement agencies investigatory records and therefore exempt from disclosure under G.L. 1956 (1985 Cumm. Supp.)  $\S$  38-2-2(a)(16)?

All questions are answered in the negative.

## THE JURISDICTION ISSUE

The instant justice asked the parties to address certain additional issues in their memoranda concerning this matter. Among those issues is the basis of the court's jurisdiction to entertain a so-called "Motion for Instructions".

Both parties assert that this Court has continuing jurisdiction to alter, amend or vacate any final judgment or decree. RIMFC alleges, however, that it is not attempting to avoid the effect or the May 28, 1985 order. Rather, they wish to have an order clarifying its duties under that order. Hence, it did not file a Rule 6U(b) motion to modify or vacate the award of summary judgment. RIMFC felt that the denomination of the motion as a "motion for instructions" was more appropriate.

It would appear, upon reviewing defendant's motion and accompanying memoranoum, that RIMFC's motion in actuality seeks modification of the May, 1985 order. Despite its contention to the contrary, it is evident that RIMFC seeks to withhold records ordered to be disclosed by invoking the investigatory records exemption of the Act. Therefore, in accordance with Superior Court Rule of Civil Procedure 8(f), which requires all pleadings to be construed as to do substantial justice, the Court shall treat defendant's motion as one for relief from a judgment or decree so that the substantive issues may be resolved by this Court. See, G.L. 1985 (1985 Reenactment) § 9-21-2; Superior Court Rule of Civil Procedure 60.

### THE RES JUDICATA ISSUE

Plaintiffs contend that the doctrine of res judicata bars defendant from bringing this petition for relief. Res judicata applies in a subsequent action where there is "(1) identity of parties, (2) identity of issues, and (3) finality of judgment."

Air-Lite Products v. Gilbane Building Co., 115 R.I. 410, 422, 347

A.2d 623, 630 (1975). Plaintiff claims there is no question that the parties are identical and the judgment is final. Defendants never appealed the summary judgment order. In fact, defendants partially complied with the order by turning over certain computer tapes containing information relating to individual mortgagors several days later.

Prior to the hearing for summary judgment, numerous records were subposened and in the possession of the Attorney General and State Police. Therefore, defendants could have but chose not to raise the investigatory records exemption at that time. When the doctrine is invoked it serves to render the prior judgment conclusive as to any issue that was raised or which could have been raised and litigated. Herbert v. Ventetuolo, R.I., 480 A.2d 403, 405 (1984) (emphasis added).

Defendant refutes plaintiffs position on three grounds alleging first that there was no final judgment rendered by the May 28, 1985 order, because there has been no entry of final judgment in

accordance with Superior Court Rule of Civil Procedure 54(b). Rule 54(b) deals with judgment concerning multiple claims or multiple parties. In essence it states that an action is not terminated when a judgment has been rendered against either one or more but not all parties or as to one or more but not all the claims absent a 54(b) certificate.

Rule 54(b) has no application here because the order of partial summary judgment adjudicated all issues relative to that motion and applied to both defendants, RIMFC and Ralph A. Pari. Accordingly, this argument must fail.

Secondly, defendants assert that because the May order pertained only to documents of the home mortgage program, any Section 8 Project records were not nor could have been considered by the court in its May order. Consequently, the doctrine cannot be used to bar litigation of a matter that could not have been considered in the prior proceeding.

RIMFC appears to be skirting the issue in citing the request for Section 8 records. That was not properly before the court on plaintiffs' request for summary judgment, and thus not an issue in this litigation. In order for res judicata to apply, the Court must consider those issues that were or could have been raised. Any subsequent request by plaintiff for Section 8 records has no bearing on their previously adjudicated motion for summary judgment. Likewise, this argument must fail.

Finally, defendant contends the doctrine is inapplicable because there have been materially changed circumstances concerning RIMFC documents since the entry of the May order. Where subsequent events or conditions occur which create a new legal situation or alter the legal rights or relations of parties, res judicata is not a bar. Belanger v. Weaving Corp. of America, 120 R.I. 348, 387 A.2d 692 (1978); See also, Restatement (Second) of Judgments §24, Comment f (1982).

Defendant cites the following instances as illustrative of changed circumstances:

- (1) the Attorney General concluding that subpoened records are investigatory records while in its hands and thus exempt from disclosure;
- (2) subsequent investigations by the U.S. Attorney, the Housing and Urban Development Agency, the Securities and Exchange Commission, the Internal Revenue Service and the Federal Bureau of Investigation; and
- (3) the impaneling of yet another grand jury to consider issuance of indictments against certain individuals.

It appears that the only changed circumstance in this case is that additional investigatory bodies sought these records pursuant to an investigation of RIMFC. At the time this motion came to be heard, many records were already in the possession of the Attorney General through subpoena and as a result of a raid of the RIMFC offices on May 2, 1985. Defendant saw fit, for whatever reason, not to raise the investigatory records exemption at that time. The fact that additional parties sought possession of the records is not a sufficient change of circumstance to bar the application of res judicata. Consequently, this argument must also fail.

Defendant's request for instructions, which is being treated as a motion for relief from judgment, is barred by the doctrine of res judicata.

## THE EXEMPTION ISSUE

Because of the importance of the issue raised by defendant's petition, the Court feels compelled to address the question as to whether or not the records and inventory withheld by RIMFC and in the possession of investigatory bodies are thereby exempt from disclosure pursuant to G.L. 1956 (1985 Cum. Supp.) § 38-2-2(a)(16). Each party makes several arguments and they shall be considered in turn. First, it is necessary to set forth the relevant provisions of the Act.

"38-2-1. Purpose. —The public's right to access to records pertaining to the policy-making responsibilities of government and the individual's right to dignity and privacy are both recognized to be principles of the utmost importance in a free society. The purpose of this chapter is to facilitate public access to governmental records which pertain to the policy-making functions of public bodies and/or are relevant to the public health, safety, and welfare. It is also the intent of this chapter to protect from disclosure information about particular individuals maintained in the files of public bodies when disclosure would constitute an unwarranted invasion of personal privacy.

38-2-2. Definitions. -- As used in this chapter:

(d) "Public record" or "Public records" shall mean all documents, papers, letters, maps, books, tapes, photographs, films, sound recordings, or other material regardless of physical form or characteristics made or

received pursuant to law or ordinance or in connection with the transaction of official business by any agency. For the purposes of this chapter, the following records shall not be deemed public:"

(Emphasis added).

(16) All investigatory records of <u>public bodies</u> pertaining to possible violations of statute, rule or regulation other than records of final actions taken, provided that all records prior to formal notification of violations or noncompliance shall not be deemed to be public.

RIMFC's main contention concerns the contrast between the Rhode Island Public Access Act and the Federal Freedom of Information Act, 5 U.S.C. § 552 (1982) ("FUIA"). The FUIA investigatory records exemption provides in pertinent part:

"This section goes not apply to matters that are -- . . (7) Investigatory records compiled for law enforcement purposes, but only to the extent that the production of such records would (A) interfere with enforcement proceedings, (B) deprive a person of a right to a fair trial or an impartial adjudication, (C) constitute an unwarranted invasion of personal privacy, (D) disclose the identity of a confidential source and, in the case of a record compiled by a criminal law enforcement authority in the course of a criminal investigation, or by an agency security intelligence · a lawful national conducting investigation, confidential information furnished only by confidential source, (E) disclose investigative techniques and procedures, or (F) endanger the life or physical safety of law enforcement personnel." 5 U.S.C. § 552(b)(7) (1982).

Essentially defendant argues that the Act contains much broader exemption provisions than those of the FOIA and that Rhode Island had ample opportunity to model its Act after the FOIA which was enacted in 1967, but

chose not to do so. This being the case, the FOIA should not be used as a guide in interpreting the Act and the federal FOIA cases cited by plaintiffs and amici curiae in their memoranda should not be used as precedent in the instant matter.

The provisions of our Act relating to the investigatory records exemption has never been presented before the Rhode Island courts for interpretation. This being a question of first impression, it is necessary to construe the Act in accordance with the rules of statutory construction. The Rake v. Gorodetsky, R.I., 452 A.2d 1144 (1982). Accordingly, defendant asserts that under the "plain meaning test", records, such as those in question, which are being examined by a state or federal grand jury are investigatory records simply by their being in the control of an investigatory body. Defendant goes on to support their position by pointing out that an interpretation to the contrary would render other exemption provisions of the Act mere surplusage.

Finally, defendant claims that the Act does not specifically provide that a document once public under the Act, shall always be deemed public under the Act. This lack of specificity is in contrast to the laws of this and other states. Defendant cites various portions of the Rhode Island, Massachusetts and Connecticut Public Access laws to support its argument.

Plaintiffs' main contention in response to defendant's position is that records generated independently of and prior to an investigation do not become exempt investigatory records merely because they are subpoended or in the possession of the Attorney General or other law enforcement officials.

In support plaintiffs first allege that the ordinary meaning of "investigatory records" is a record generated by an investigatory body made during or in the course of an investigation. Secondly, the phrase "pertaining to possible violation of statute, rule or regulation . . . " reinforces the concept that "investigatory records" refers to records generated in the course of an investigation. Lastly, exemption (16) refers to "records of final action taken" and "records prior to formal notification of violation or noncompliance." It is claimed that such records are generated during investigation and not during the day-to-day functioning of a state agency.

Plaintiff places particular reliance on the case of The Rake v. Gorocetsky, R.I., 452 A.2a 1144 (1982). There, the Providence Police Department tried to shield reports of alleged police brutality by placing the reports in the personnel files of involved officers. The Court held that mere inclusion in a personnel file did not render a record a "personnel record". Instead, the court looked to the underlying nature of the record. The court cautioned:

If the court allowed . . . [such] . . . factors to be determinative . . . the purpose of the statute could easily be circumvented. A government agency could label all of its records personnel records, leaving nothing to the public. <u>Id</u>. at 1148.

Despite the fact this case dealt with an entirely different exemption,  $\S 30-2-2(d)(1)$ , plaintiff seeks to extend its rationale to the present situation.

Exemptions listed under § 38-2-2(d) should usually be construed narrowly to further the legislative purpose of facilitating public access to

governmental records without sacrificing the personal privacy of particular individuals. Hydron Laboratories, Inc., v. Department of the Attorney General, R.I., 492 A.2d 135 (1985). With this in mind, it is the Court's opinion that "investigatory records" are those records which originate in or are generated during the course of an investigation concerning the violation of some law, whether the investigatory body is an independent law enforcement agency or an in-house investigatory body of some public agency. To hold otherwise would permit public agencies to circumvent the express purpose of the statute to the grave detriment of the public interest. Agencies could easily avoid disclosure by turning over otherwise public records made in connection with the official business of that agency or investigatory bodies, thus subverting the clear intent of the Act.

In further support of the Court's position one need only look at the definition of "public records" contained within the body of the Act. "'Public record' shall mean all documents . . . made or received . . . in connection with the transaction of official business by any agency. For purposes of this Chapter, the following records shall not be deemed public." The Act then goes on to list the twenty one exemptions. It would seem, therefore, that a record is deemed either public or non-public. It would be incongruous to deem a record public one day and non-public the next simply because it has been subpoenaed by some investigatory body. The so-called "investigatory exemption" exempts records created or generated by an investigating agency. That is all it does. It does not serve as a magic wand

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turning open-access records into shielded records merely because those records are also being used in the course of an investigation.

Furthermore, it should be noted that our legislature chose to adopt the language of "investigatory records" as opposed to "investigatory files". Had they adopted the latter, a different result may have followed.

Therefore, the Court concludes that all records or inventory of records ordered to be disclosed by the May 28, 1985 order that are in the possession of any law enforcement agency are subject to disclosure and not exempt under  $\S 38-2-2(d)(16)$  as investigatory records. The Court is confident that this decision preserves the dual purpose of the Public Access Act.

An order conforming herewith shall be presented for entry within ten (10) days.

343 F. Supp. 1176 printed in FULL format.

# PHILADELPHIA NEWSPAPERS, INC. v. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT OF the UNITED STATES et al.

Civ. A. No. 71-2798

### UNITED STATES DISTRICT COURT FOR THE EASTERN DISTRICT OF PENNSYLVANIA

343 F. Supp. 1176; 1972 U.S. Dist. LEXIS 14741

#### March 9, 1972

CORE TERMS: exemption, investigatory, appraiser, grand jury, disclosure, privileged, binders, immune, exempt, confidentiality, recommendation, discovery, inclusion, staff, Information Act, presently, appraised, deserving, exempted, executive privilege, intra-agency, emphatically, housing, minutes, grand, First Amendment, summary judgment, right to know, public funds, distinguishable

JUDGES: [\*\*1]

John W. Lord, Jr., District Judge.

OPINIONBY: LORD, JR.

OPINION: [\*1177] OPINION AND ORDER

JOHN W. LORD, Jr., District Judge.

This is a proceeding under the Freedom of Information Act, 5 U.S.C.A. § 552 et seq. (hereinafter the Act). Plaintiff n1 seeks to compel the defendants to provide it with the names of certain appraisers who have, allegedly, appraised, far in excess of their value, dilapidated homes. As a result of these appraisals, furnished to the Federal Housing Authority (hereinafter sometimes FHA), low income buyers, particularly vulnerable to misinformation in economic matters, have been victimized into the purchase of these homes. For reasons set forth within the opinion, we reject the government's claims that these records are immune from disclosure as part of intra-agency memoranda and/or as part of investigatory files, and grant the plaintiff's request.

n1 The Philadelphia Inquirer has made the requests of the Court. Plaintiff also owns The Daily News, which is not a party to this action.

#### [\*\*2]

Since August of 1971, the Inquirer has published a series of articles based on investigations by staff reporters. These articles have detailed the alleged over-evaluations mentioned earlier. The paper's Executive Editor, John McMullan, formally demanded, on August 30, 1971, that, pursuant to the Act, the paper be supplied with the

names and addresses of staff appraisers employed by the FHA since January 1, 1969. This information was supplied, although a request for the names and addresses of fee appraisers n2 who had evaluated certain properties for FHA insurance was denied. The government refused the request because, it alleged, the information was "exempt from disclosure [under the Act] as intra-agency memoranda and as matter that [was] part of investigatory files." n3

n2 A fee appraiser is certified annually by the Department of Housing and Urban Development, and is paid a fee for each property appraised, rather than an annual salary, as is a staff appraiser.

n3 A federal grand jury has been empaneled to inquire into certain alleged irregularities in the housing field, including overvalued appraisals.

#### [\*\*3]

On September 30, 1971, plaintiff filed with Secretary Romney a petition for review of the regional administrator's denial; a review which was denied on November 11, 1971.

Ι

### The Intra-Agency Memoranda Exemption

The history of the Freedom of Information Act establishes that its primary purpose was to increase the access of the public to information contained in government records. See, e.g., American Mail Line, Ltd. v. Gulick, 133 U.S. App. D.C. 382, 411 F.2d 696 (1969). Prior to enactment of this legislation, the prevailing statute was the Administrative Procedure Act, which was character-

176 \*1177 1072 U.S. Diet | FXIS 14741 \*\*

ized as containing "loopholes which [allowed] agencies to deny legitimate information to the public." n4 The present act, which grew out of the hearings which so characterized the old legislation, was obviously intended therefore not only to plug those loopholes, but also to restrict severely any exemption to the Act.

n4 S. Rep. No. 813, 89th Cong., 1st Sess. 3 (1965); see, H.R. Rep. No. 1497, 89th Cong., 2d Sess. 5 (1966).

#### [\*\*4]

The present Act provides n5 that each agency of the government, on request for identifiable records, "shall [\*1178] make the records promptly available to any person." It further provides that the determination of the district court shall be de novo, with the burden on the agency to justify the refusal to disclose. In addition, regulations promulgated by the Department of Housing and Urban Development (hereinafter sometimes HUD), provide that the agency must, in addition to its burden under the Act, demonstrate "a need in the public interest to withhold the information requested." 24 C.F.R. § 15.21. n6 This, we find, it has failed to do.

n5 At § 552(a)(3).

n6 Regulations reasonably adopted to the administration of a congressional act, and not inconsistent with any statute, have the "force and effect of law." G.L. Christian & Associates v. United States, 320 F.2d 345, 350, 160 Ct. Cl. 58 (1963).

The claimed exemption under § 552(b)(5) is incorrect. This applies only to material subject [\*\*5] to the executive privilege, i.e., internally created papers designed to assist in the deliberative or policy-making process of government. Where the material sought is essentially factual, and we believe that names and addresses are, n7 it falls outside the ambit of protection given by the exemption. n8

n7 Courts having jurisdiction to consider problems of executive privilege participate in determining the scope of the privilege. *United States v. Reynolds*, 345 U.S. 1, 73 S. Ct. 528, 97 L. Ed. 727 (1953). Our jurisdiction to consider the original question arises from 5 U.S. C.A. § 552(a)(3).

n8 An excellent, detailed analysis of many of the exemptions may be found in Bristol-Myers Co. v.

F.T.C., 138 U.S. App. D.C. 22, 424 F.2d 935 (1970), and cases there cited. We feel that to review each exemption at this time would unnecessarily prolong this opinion.

We state most emphatically at this juncture, because it will arise again and again as we distinguish government cases and arguments, that the names and [\*\*6] addresses of appraisers are not part of the raw input that contributes to decision making. We also state most emphatically that we reject entirely the notion that the figures they put on houses for insurance purposes are merely that: recommended evaluations of buildings. They are not, and in our eyes cannot rise to be, part of the decision making process of any arm of the government. We hold today that the gap between suggested prices and policy recommendations within the protection of executive privilege is unbridgeable.

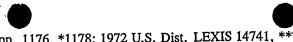
The government bases its claim that the exemption is applicable here on two cases, neither of which is controlling. In Ackerly v. Ley, 137 U.S. App. D.C. 133, 420 F.2d 1336 (1969), the appellate court was asked to review a district court determination of the relevance of the intra-agency exemption. The circuit found that it did not have before it a sufficient record on which to decide whether or not the exemption applied, and remanded the action to the trial court. The defendants' reliance here is on a footnote n9 of the appellate decision which cites the congressional policy behind the exemption, a policy which we have already reviewed and found not to [\*\*7] be relevant to appraisers. n10 Freeman v. Seligson, 132 U.S. App. D.C. 56, 405 F.2d 1326 (1968), relied upon almost the same passage from the legislative history of the act, n11 and correctly held that truly investigatory documents, pertaining to evaluations and policy recommendations, were exempt. Again, that is not the case before us. n12

n9 Note 7, 420 F.2d at 1341.

n10 Ackerly dealt with a medical evaluation of a potentially harmful substance, with a view toward removing it from public sale. This would be clearly policy-oriented, and we repeat that the mere suggestion of a price would not.

n11 Note 70, 405 F.2d at 1339.

n12 The government's secondary sources are also unpersuasive. Miller v. Smith, 292 F. Supp. 55 (S.D.N.Y. 1968), concerned a Coast Guard Review Board's recommendation that a license be suspended; and International Paper Co. v. Federal Power Commission, 438 F.2d 1349 (2nd Cir. 1971), dealt



with policy recommendations used in the deliberative process of the Federal Power Commission. Machin v. Zuckert, 114 U.S. App. D.C. 335, 316 F.2d 336 (1963) and Boeing Airplane Co. v. Coggeshall, 108 U.S. App. D.C. 106, 280 F.2d 654 (1960) are similarly distinguishable. The government concludes this section of its case by stating that we should abstain because this case is too intimately connected with that of Davis v. Romney, 55 F.R.D. 337, of the Eastern District of Pennsylvania. Judge Davis, of this Court, who is hearing the Davis v. Romney litigation, sat with us at a hearing attended by counsel in the instant case and agreed with us that the cases were distinguishable.

[\*\*8]

[\*1179] II

The investigatory files exemption

The government next claims that these names and addresses are protected as part of investigatory files. n13 This argument is roughly divided into three sections: that the material sought would not be discoverable in any case; that the information sought is part of grand jury documents and cannot be disclosed; and that if it were to be disclosed, and if it were to proceed from investigation to trial, the people named might be subject to prejudicial pre-trial publicity.

n13 5 U.S.C.A. § 552(b)(7).

The first claim is the most quickly defeated. One purpose of Congress in creating this exemption was to limit those charged with violations of federal statutes to the discovery available to persons charged with violations of federal criminal law. Barceloneta Shoe Corp. v. Compton, 271 F. Supp. 591 (D.P.R. 1967). The exemption prevents a litigant from using the statute to achieve indirectly "an earlier or greater access to investigatory files than he would [\*\*9] have directly." n14 However, an agency cannot, "consistent with the broad disclosure mandate of the Act, protect all its files with the label 'investigatory' and a suggestion that enforcement proceedings may be launched at some unspecified future date." n15

n14 H.R. Rep. No. 1497, 89th Cong. 2d Sess. 5, note 5 at 11.

n15 See, Bristol-Myers Co. v. F.T.C., supra at note 8.

With regard to the second contention, investigatory files, we feel that the defendants have fallen into a fallacious line of reasoning, one which was predicted before the Act created the current flurry of litigation.

The Act is faulty in its use of the unsatisfactory term "files." Much of the contents of investigatory files compiled for purposes that may include law enforcement should not be exempt from required disclosure. n16

n16 Davis, The Information Act: A Preliminary Analysis, 34 U. Chi. L. Rev. 761, 800.

[\*\*10]

In Freeman v. Seligson, supra, 405 F.2d at 1340, cited again by the government in support of this argument, the court reviewed some of the documents requested, and found that they, as part of a preparation for prosecution, were exempt from discovery. The material here had no privileged character before its inclusion in grand jury investigative binders. Courts have on numerous occasions construed analogous questions, and in each instance found that where the material requested was not inherently privileged, the right to secret it was not available. In Small Business Administration v. Barron, 240 F. Supp. 434 (W.D.S.C. 1965), in which personal financial records and stock certificates were sought, the court declared

It is, of course, fundamental to proper assertion of the privilege that the material sought was itself in the original instance privileged material. n17 Id. at 448.

n17 Accord, United States v. Silverman, 430 F.2d 106 (2nd Cir. 1970), cert. denied, 402 U.S. 953, 91 S. Ct. 1619, 29 L. Ed. 2d 123 (1971) (minutes of union local); American Cyanamid Co. v. Hercules Powder Co., 211 F. Supp. 85 (D. Del. 1962) (patents). Both of these cases involved materials claimed to be privileged because of transmission within the attorney-client privilege; however, both are applicable as standing for the proposition that materials not in themselves privileged will not be exempted from disclosure.

[\*\*11]

[\*1180] The government's arguments for retention of the documents is buttressed only by cases involving materials in themselves deserving of some form of confidentiality aside from their inclusion with other, exempted



materials.

Cowles Communications, Inc. v. Department of Justice, 325 F. Supp. 726 (N.D. Cal. 1971) is typical of the defendants' authorities. The court refused to permit the government to simply "file an affidavit [that the investigatory exemption applied] . . . and by so doing foreclose any other determination of the fact." Id. at 727. An in camera determination of the file's confidentiality was then ordered by the trial judge. If anything, we think that the government has, with Cowles, filed a persuasive case on behalf of the plaintiff. n18

n18 Similarly, its other cases are inapposite. Benson v. United States, 309 F. Supp. 1144 (D. Neb. 1970) concerned statements made to an administrative review board of the Air Force -- see, e.g., Miller v. Smith, supra at n. 12 -- and therefore more deserving within themselves of confidentiality than mere names and addresses. Clement Brothers Co. v. N.L.R.B., 282 F. Supp. 540 (N.D. Ga. 1968) held only that other than criminal files were capable of protection from public review, in that case, files of the National Labor Relations Board. This is an unexceptionable holding, but not contrary to anything that we say today.

#### [\*\*12]

We review the other principal cases of the government only for the sake of thoroughness, and not because we feel they carry any greater weight toward permitting non-disclosure. United States v. Stein, 18 F.R.D. 17 (S.D.N.Y. 1955), was a Smith Act prosecution in which the court refused to reveal documentary evidence presented to a grand jury. We are concerned with names and addresses here, not the type of "books, magazines, newspapers, pamphlets, circulars or directive" which the government meant to use in the Stein trial. n19 Application of State of California, 195 F. Supp. 37 (E.D. Pa. 1961), was a request to review grand jury subpoenas, in order to prepare private treble-damage actions under the antitrust laws.

n19 The government was subsequently ordered to reveal the documents.

The defendants have relied upon many cases which have held the grand jury's deliberations to be inviolate, and the minutes of their proceedings to be immune from discovery. That is not the situation presently before us. We are [\*\*13] asked to release to plaintiffs only the names and addresses of the appraisers: information

which was in no way protected before it was inserted into file binders presently being reviewed by the grand jury. The intent of Congress in passing the Act was to permit the public to know. What the government would have us do here is preclude the public from knowing the names and addresses of fee appraisers because they have been included, after the fact, in binders now before a grand jury. No request has been made to inspect minutes of the grand jury's proceedings; no attempt has been made to interview members of the inquiring panel; no questions have been submitted to witnesses now before the grand jury. The only request now before us, we repeat, is permission to look at names and addresses in no way privileged in themselves, and not now exempted by the act of the government in putting them into these binders.

Those courts which have reviewed the question of confidentiality have always required that the documents be deserving of some form of protection in themselves, and not because of their inclusion with other, arguably immune, documents or files. See, *United States v.* [\*\*14] Silverman, supra, and American Cyanamid Co. v. Hercules Powder Co., supra at note 17.

We turn finally to the question of possible prejudicial pre-trial publicity. Secretary Romney wrote to the Inquirer that he believed the publication of the names and addresses would be a disservice to the public. On the contrary, we believe that constitutional guarantees, such as a free press,

[\*1181] [Are] not for the benefit of the press so much as for the benefit of all of us. A broadly defined freedom of the press assures the maintenance of our political system and an open society. n20

n20 Time, Inc. v. Hill, 385 U.S. 374, 389, 87 S. Ct. 534, 543, 17 L. Ed. 2d 456 (1967).

The thrust of the government's case, taking its philosophical direction from the correspondence of Secretary Romney and the Inquirer, is that constitutional guarantees with respect to the press are applicable only in cases of prior restraint. While we agree that this is not the classic case of attempted prior [\*\*15] restraint, we find that even if it were, the cases are not limited in their remedial effect to them.

[Liberty] of the press, historically considered and taken up by the Federal Constitution, has meant, principally although not exclusively, immunity from previous restraints or censorship. n21



1 \*\*15

n21 Near v. Minnesota ex rel. Olson, 283 U.S. 697, 716, 51 S. Ct. 625, 631, 75 L. Ed. 1357 (1931).

We are confronted here by alleged improprieties by public officials, or private citizens paid with public funds, and if these misdeeds were perpetrated, the public has a right to know about them. While this is not, as we have noted, the classic case of prior restraint, it approaches it. "Any system of prior restraints of expression comes to [a court] bearing a heavy presumption against its constitutional validity." Bantam Books, Inc. v. Sullivan, 372 U.S. 58, 70, 83 S. Ct. 631, 639, 9 L. Ed. 2d 584 (1963). To prevent publication then, the defendants carry "a heavy burden of showing justification for the [\*\*16] imposition of such a restraint." Organization for a Better Austin v. Keefe, 402 U.S. 415, 419, 91 S. Ct. 1575, 1578, 29 L. Ed. 2d 1 (1971). The presumption has not been overcome; the burden has not been carried.

The fear of the government that a sensationalized atmosphere would be created so prejudicing the climate of a potential trial that a fair proceeding would be impossible is not a reasonable one.

The basis for such an allegation is, of course, the infamous Sheppard case, in which more than a decade elapsed before the arena-like atmosphere of Dr. Sam Sheppard's first trial was cleared away by the Supreme Court in Sheppard v. Maxwell, 384 U.S. 333, 86 S. Ct. 1507, 16 L. Ed. 2d 600 (1966). We see no possibility of repetition in this matter. It seems unlikely to us that the paper would publish the names and addresses of men who appraised buildings in such an inflammatory style that any future proceedings — if indeed, any are ever brought — would be tainted with the kind of sensationalism that surrounded the first Sheppard murder trial.

New York Times Co. v. United States, 403 U.S. 713, 91 S. Ct. 2140, 29 L. Ed. 2d 822 (1971) teaches, inter alia, that the mere labeling of [\*\*17] a proceeding as one best kept remote from the public eye is not sufficient, particularly where, as here, the danger is remote. As Justice Black stated in his concurring opinion

[For] the first time in the 182 years . . ., the federal courts are asked to hold that the First Amendment does not mean what it says, but rather means that the Government can halt the publication of current news of vital importance to the people of this country. n22

n22 Id. at 715, 91 S. Ct. at 2142.

We do not, of course, feel that the alleged improprieties here rise to the level of national interest of the Pentagon Papers, but this investigation is into a program which may have victimized homebuyers in the Philadelphia area and thwarted the objectives of a government program involving enormous amounts of public funds. Surely the public has a right to know.

[\*1182] As stated by Chief Justice Hughes in Near v. Minnesota ex rel. Olson, 283 U.S. 697, 719-720, 51 S. Ct. 625, 632, 75 L. Ed. 1357

[The] [\*\*18] administration of government has become more complex, the opportunities for malfeasance and corruption have multiplied, crime has grown to most serious proportions, and the danger of its protection by unfaithful officials and of the impairment of the fundamental security of life and property by criminal alliances and official neglect, emphasizes the primary need of a vigilant and courageous press, especially in great cities. The fact that the liberty of the press may be abused by miscreant purveyors of scandal does not make any the less necessary the immunity of the press from previous restraint in dealing with official misconduct.

It is not original with us to state that the First Amendment was adopted against the widespread use of common law remedies for seditious libel to punish those who would embarrass those in positions of power. See, e.g., T. Emerson, The System of Freedom of Expression (1970); cf. Warren, The Making of the Constitution (2d Ed. 1937).

Here, as in the New York Times case, the government's claims are that the material sought "could" or "might" or "may" prejudice those about whom it speaks. And here, too, we reject that as entirely unacceptable. [\*\*19] See, concurring opinion of Justice Brennan, 403 U.S. at 725-726, 91 S. Ct. 2140.

We have reviewed at too great a length the contentions of the government, and find in none of them justification for the withholding of the material sought, and therefore will enter the following order:

And now, to wit, this 9th day of March, A.D. 1972, it is ordered that plaintiff's motion for summary judgment be and the same is hereby granted.

And it is so ordered.

**ORDER** 

On March 9, 1972 we entered an opinion and order granting plaintiff's motion for summary judgment. The principal question decided in the opinion was whether or not the names of fee and staff appraisers, presently included in file binders before a grand jury, were immune from release under the exceptions to the Freedom of Information Act, 5 U.S.C.A. § 552 et seq. (Section 552(b)(7) of the Act exempts investigatory files.)

Our opinion (at p. 1180) specifically, and emphatically, rejected the government's position. We discussed each of their cases, and the arguments implicit within them, and found that these materials had no privileged character within themselves, and could not, therefore, be immune because of their mere [\*\*20] inclusion with binders now before a grand jury.

The United States Attorney, counsel for defendants in this matter, has requested that we frame an order compelling release of the names and addresses within the language of Rule 6(e), Fed. R. Crim. P. This we refuse to do. The language of that rule applies only to disclosure of matters occurring before a grand jury. To

rule that disclosure at this time comes within Rule 6(e) would be to negate the very thrust of our decision: that the material is not immune from discovery as part of investigatory files, and to continue to retreat into the language of Rule 6(e) would imply that it is.

The names and addresses sought are those of the appraisers of the properties listed in plaintiff's affidavit and specimen order. The United States Attorney, if he is not in receipt of the property list may obtain it from the Clerk of the United States District Court, and will be ordered to do so without further delay.

And now, to wit, this 16th day of March, A.D. 1972, it is ordered that the United States Attorney make available to plaintiff the names and addresses of [\*1183] appraisers of properties listed on plaintiff's application for production. [\*\*21]

It is further ordered that this be done immediately and without further delay of any kind.

And it is so ordered.

537 F. Supp. 1038 printed in FULL format.

#### In re John DOE Grand Jury Proceedings

Misc. No. 82-38

#### UNITED STATES DISTRICT COURT FOR THE DISTRICT OF RHODE ISLAND

537 F. Supp. 1038; 1982 U.S. Dist. LEXIS 12164

#### April 27, 1982

CORE TERMS: grand jury, disclosure, secrecy, subpoenaed, occurring, disclose, grand, grand jury investigation, particularized, indictment, recording, factual inquiry, third party, secret, subpoena, judicial proceeding, grand juror, legal right, federal criminal, general rule, ex parte, deliberations, transpired, resort, notice, jurors, recorded, lawful, duty, production of documents

#### COUNSEL:

Lincoln C. Almond, U. S. Atty., James E. O'Neil, Asst. U. S. Atty., D. R. I., Providence, R. I., for the United States.

**OPINIONBY: PETTINE** 

OPINION: [\*1040]

#### **OPINION**

The United States Attorney petitioned this Court pursuant to Rule 6(e)(3)(C) (i) of the Federal Rules of Criminal Procedure n1 for an order permitting him to disclose certain documents to the Criminal Division of the Attorney General of the State of Rhode Island for review and presentation to a Rhode Island grand jury. The documents in question were acquired by a federal grand jury during the course of investigating the above-entitled matter and are apparently still in its possession. In an Order dated April 13, 1982, this Court denied the government's petition. Because the problem of grand jury secrecy is a recurring one, the Court has decided to issue this Opinion to elaborate on the reasons for its decision.

n1. Rule 6(e) of the Federal Rules of Criminal Procedure provides that:

Recording and Disclosure of Proceedings. (1) Recording of Proceedings.-All proceedings, except when the grand jury is deliberating or voting, shall be recorded stenographically or by an electronic recording device. An unintentional failure of any recording to reproduce all or any portion of a proceed-

ing shall not affect the validity of the prosecution. The recording or reporter's notes or any transcript prepared therefrom shall remain in the custody or control of the attorney for the government unless otherwise ordered by the court in a particular case.

(2) General Rule of Secrecy.-A grand juror, an interpreter, a stenographer, an operator of a recording device, a typist who transcribes recorded testimony, an attorney for the government, or any person to whom disclosure is made under paragraph (3)(A)(ii) of this subdivision shall not disclose matters occurring before the grand jury, except as otherwise provided for in these rules. No obligation of secrecy may be imposed on any person except in accordance with this rule. A knowing violation of Rule 6 may be punished as a contempt of court.

#### (3) Exceptions.

- (A) Disclosure otherwise prohibited by this rule of matters occurring before the grand jury, other than its deliberations and the vote of any grand juror, may be made to-
- (i) an attorney for the government for use in the performance of such attorney's duty; and
- (ii) such government personnel as are deemed necessary by an attorney for the government to assist an attorney for the government in the performance of such attorney's duty to enforce federal criminal law.
- (B) Any person to whom matters are disclosed under subparagraph (A)(ii) of this paragraph shall not utilize that grand jury material for any purpose other than assisting the attorney for the government in the performance of such attorney's duty to enforce federal criminal law. An attorney for the gov-



ernment shall promptly provide the district court, before which was impaneled the grand jury whose material has been so disclosed, with the names of the persons to whom such disclosure has been made.

- (C) Disclosure otherwise prohibited by this rule of matters occurring before the grand jury may also be made-
- (i) when so directed by a court preliminarily to or in connection with a judicial proceeding; or
- (ii) when permitted by a court at the request of the defendant, upon a showing that grounds may exist for a motion to dismiss the indictment because of matters occurring before the grand jury.

If the court orders disclosure of matters occurring before the grand jury, the disclosure shall be made in such manner, at such time, and under such conditions as the court may direct.

(4) Sealed Indictments. The federal magistrate to whom an indictment is returned may direct that the indictment be kept secret until the defendant is in custody or has been released pending trial. Thereupon the clerk shall seal the indictment and no person shall disclose the return of the indictment except when necessary for the issuance and execution of a warrant or summons.

The Court's first concern in addressing this matter is whether the United [\*1041] States Attorney should be authorized to deliver documents held by the grand jury to a third party when the third party has not requested production of the documents and has not demonstrated a legal right thereto. The Court believes that such authorization cannot be given. It must be remembered that the documents in question remain the property of the person who produced them despite the fact that they are currently in the hands of the grand jury. United States v. Penrod, 609 F.2d 1092, 1097 (4th Cir. 1979) (dicta), cert. denied, 446 U.S. 917, 100 S. Ct. 1850, 64 L. Ed. 2d 271 (1980); United States v. Interstate Dress Carriers, Inc., 280 F.2d 52, 54 (2d Cir. 1960). The grand jury is authorized to retain these documents only to further its investigation and in the usual case will be required to return the documents to their owner upon completion of its task. Robert Hawthorne, Inc. v. Director of Internal Revenue, 406 F. Supp. 1098, 1131-32 (E.D.Pa.1976).

Given the grand jury's limited authority with respect to these documents, the Court believes that it would be improper for the grand jury to be used as an instrument to transfer these documents to a third party who has neither requested their production nor shown a legal right to obtain them. Rather, a party seeking production of documents held by the grand jury should be required to take the same steps which are necessary to obtain documents that are not in the possession of the grand jury. He must either secure consent to disclosure from the owner of the documents or obtain a court order granting him disclosure based on some legal right thereto. n2 *United States v. Penrod, supra, at 1097; United States v. Interstate Dress Carriers, Inc., supra, at 54.* 

n2. The party seeking production of the documents must take these steps regardless of whether or not the release of the documents would disclose matters occurring before the grand jury so as to trigger the restrictions on disclosure established by Fed.R.Crim.P. 6(e). United States v. Interstate Dress Carriers, Inc., supra at 54.

In this case, because the United States Attorney is the party petitioning for disclosure, the State Attorney General has not been required to request production of the documents or to show a legal right to obtain such production. Such a request by a party which is legally entitled to production of documents is a prerequisite to a judicial determination of whether documents held by the grand jury can be disclosed. United States v. Monsour, 508 F. Supp. 168, 169 (W.D.Pa.1981). Once such a request is made the court can proceed to determine whether the documents sought come within the scope of the grand jury secrecy provisions of Rule 6(e), and, if so, whether the requisite showing of particularized need has been made. Absent such a request, disclosure to a third party of documents held by the grand jury must be denied regardless of whether such documents come within the scope of Rule 6(e). Because no such request was made in this case, the petition of the United States Attorney was denied.

A second procedural defect in the petition for disclosure also required denial of the petition. The United States Attorney sought to proceed ex parte in this matter, and did not serve notice on the owners of the documents that are the subject of the petition. The Court believes that this was not the proper procedure under the circumstances.

It must be acknowledged that there is some support in the legislative history of Rule 6(e) for the procedure adopted by the government in this case. The Senate Report on the 1977 amendments to Rule 6(e) states that, "It is contemplated that the judicial hearing in connection with an application for a court order by the government under subparagraph (3)(C)(i) should

be ex parte so as to preserve, to the maximum extent possible, grand jury secrecy." S.Rep.No.354, 95th Cong., 1st Sess. 8, reprinted in (1977) U.S.Cong.Code & Ad.News 527, 532 (footnote omitted). However, courts which have reviewed this portion of the legislative history have rejected the notion that the Rule requires that all hearings on petitions for disclosure be conducted ex parte. In re Grand Jury Investigation No. [\*1042] 78-184, 642 F.2d 1184, 1192 (9th Cir. 1981); Petition of the United States for Disclosure of Grand Jury Matters (Miller Brewing Co.), 510 F. Supp. 585, 586-87 (E.D.Wis.1981); In re Grand Jury Matter, 495 F. Supp. 127, 134 (E.D.Pa.1980).

It is important to realize that to a large degree "our legal institutions presuppose a preference for adversariness," in part because adversary proceedings facilitate informed decisionmaking. In re Grand Jury Matter, 495 F. Supp. at 134. Given this established tradition favoring adversary proceedings, an ex parte proceeding should be resorted to only when necessary to preserve grand jury secrecy. This secrecy will obviously not be threatened by giving notice and an opportunity to object to disclosure to the owners of documents held by the grand jury, inasmuch as these persons are already aware of both the documents' contents and the fact that such documents are being reviewed by the grand jury. n3 In re Grand Jury Investigation No. 78-184, 642 F.2d at 1192. Whether notice should be afforded to other persons when such notice might risk compromising grand jury secrecy is a far different question which will have to be decided on a case-by-case basis. See id. at 1192 (leaving to district court the decision whether to give notice and opportunity to be heard to grand jury targets with respect to documents with which they were familiar but did not own).

n3. It seems certain that the owners of documents subpoenaed by the grand jury would have standing to object to their disclosure to other parties. See Douglas Oil Co. v. Petrol Stops Northwest, 441 U.S. 211, 218 n.8, 99 S. Ct. 1667, 1672 n.8, 60 L. Ed. 2d 156 (1979).

The final reason for denying the government's petition was that the Court was convinced that disclosure was not authorized under Rule 6(e) of the Federal Rules of Criminal Procedure. Rule 6(e) codifies the longstanding tradition of secrecy which has surrounded grand jury proceedings. n4 It provides that:

n4. The Supreme Court recently summarized the interests protected by the rule of grand jury secrecy

as follows:

First, if preindictment proceedings were made public, many prospective witnesses would be hesitant to come forward voluntarily, knowing that those against whom they testify would be aware of that testimony. Moreover, witnesses who appeared before the grand jury would be less likely to testify fully and frankly, as they would be open to retribution as well as to inducements. There also would be the risk that those about to be indicted would flee, or would try to influence individual grand jurors to vote against the indictment. Finally, by preserving the secrecy of the proceedings, we assure that persons who are accused but exonerated by the grand jury will not be held up to public ridicule.

Douglas Oil Co. v. Petrol Stops Northwest, 441 U.S. 211, 219, 99 S. Ct. 1667, 1672, 60 L. Ed. 2d 156 (1979) (footnote omitted). This Court has taken note of a further interest which is served by grand jury secrecy-the prevention of misuse of the federal grand jury to enforce laws other than federal criminal statutes. In re Grand Jury Proceedings, 445 F. Supp. 349, 350 (D.R.I.), appeal dismissed, 580 F.2d 13 (1st Cir. 1978).

A grand juror, an interpreter, a stenographer, an operator of a recording device, a typist who transcribes recorded testimony, an attorney for the government, or any person to whom disclosure is made under paragraph (3)(A)(ii) of this subdivision shall not disclose matters occurring before the grand jury, except as otherwise provided for in these rules. No obligation of secrecy may be imposed on any person except in accordance with this rule. A knowing violation of Rule 6 may be punished as a contempt of court.

F.R.Crim.P. 6(e)(2).

There are a number of exceptions to the general rule of secrecy provided for in the Rule. The Rule provides that disclosure of matters other than the deliberations or vote of any grand juror may be made to an attorney for the government or to government personnel deemed necessary to assist in the enforcement of federal criminal law. F.R.Crim.P. 6(e)(3)(A). Disclosure of grand jury material may also be authorized "when so directed by a court preliminary to or in connection with a judicial proceeding." F.R.Crim.P. 6(e) (3)(C)(i). However, parties seeking disclosure under the latter provision must show a particularized need for the material. Specifically, they must satisfy [\*1043] the test set forth in *Douglas Oil Co. v. Petrol Stops Northwest*, 441 U.S. 211, 222, 99 S. Ct. 1667, 1674, 60 L. Ed. 2d 156 (1979), which requires a

showing that "the material they seek is needed to avoid a possible injustice in another judicial proceeding, that the need for disclosure is greater than the need for continued secrecy, and that their request is structured to cover only material so needed."

There has been no attempt in this case by the government to show that an order requiring disclosure of documents to the State Attorney General would be warranted under the Douglas Oil test. Instead, the United States Attorney argues that Rule 6(e) is not applicable to the documents which he wishes to turn over to the State Attorney General because mere disclosure of documents does not constitute disclosure of matters occurring before the grand jury within the meaning of Rule 6(e). Thus, the key question before the Court is whether disclosure of documents subpoenaed by a grand jury should be governed by the secrecy provisions of Rule 6(e).

There is an abundance of cases which address this question with a striking lack of unanimity. n5 Indeed, one can discern four different approaches to the question of whether disclosure of documents subpoenaed by the grand jury is governed by the secrecy provisions of 6(e). First, a few courts have suggested that subpoenaed documents are never subject to the disclosure restrictions of the Rule. See, e.g., United States v. Weinstein, 511 F.2d 622, 627 n.5 (2d Cir.), cert. denied, 422 U.S. 1042, 95 S. Ct. 2655, 45 L. Ed. 2d 693 (1975); Golden Quality Ice Cream Co. v. Deerfield Specialty Papers, Inc., 87 F.R.D. 53, 59 (E.D.Pa.1980); In re Grand Jury Investigation of Ven-Fuel, 441 F. Supp. 1299, 1303 (M.D.Fla.1977). Other courts have taken exactly the opposite position, holding that subpoenaed documents should be treated the same as grand jury testimony and should be disclosed only if the requirements of Rule 6(e) are satisfied. Some courts in this group have simply treated documents as falling within the scope of 6(e) without comment or analysis. See, e.g., Petrol Stops Northwest v. Continental Oil Co., 647 F.2d 1005 (9th Cir. 1981), cert. denied, 454 U.S. 1098, 102 S. Ct. 672, 70 L. Ed. 2d 639 (1981); Texas v. United States Steel Corp., 546 F.2d 626, 628 (5th Cir.), cert. denied, 434 U.S. 889, 98 S. Ct. 262, 54 L. Ed. 2d 174 (1977); In re Grand Jury Proceedings, 309 F.2d 440, 443 (3d Cir. 1962); Petition of the United States for Disclosure of Grand Jury Matters (Miller Brewing Co.), 518 F. Supp. 163, 168 (E.D.Wis.1981); United States v. Climatemp, Inc., 482 F. Supp. 376, 388 (N.D.Ill. 1979). Other courts taking this position have recognized that an argument can be made that subpoenaed documents should be more readily subject to disclosure than transcripts of testimony, but have held that the better view is to treat both transcripts and documents as being subject to Rule 6(e) in all cases. See, e.g., In re Grand Jury Investigation of Cuisinarts, Inc., 516 F. Supp. 1008, 1022 n.17 (D.Conn.), aff'd, 665 F.2d 24 (2d Cir. 1981); Index Fund, Inc. v. Hagopian, 512 F. Supp. 1122, 1128 (S.D.N.Y.1981); In re Grand Jury Which Presented Criminal Indictments 76-149 and 77-72, 469 F. Supp. 666, 671 (M.D.Pa.1978).

n5. The Court confesses that its own decisions in this area may not be completely consistent in their approach to this problem. Compare In re Search Warrant for Second Floor Bedroom, 489 F. Supp. 207, 211 (D.R.I.1980) (dicta) (release of subpoenaed documents not governed by Rule 6(e) if documents are sought for legitimate purpose and not in an attempt to penetrate grand jury secrecy) with In re Grand Jury Investigation of Andrew Panteleakis, Misc. No. 79-30, unpublished op. at 2 (Sept. 28, 1979) (assuming without discussion that Rule 6(e) governs the disclosure of documents and records subpoenaed by the grand jury).

A third approach was developed in *United States* v. Interstate Dress Carriers, Inc., 280 F.2d 52 (2d Cir. 1960). In that case, the Interstate Commerce Commission sought access to certain records which had been subpoenaed by a federal grand jury, and the owner of the records objected to disclosure on the basis of Rule 6(e). The court held that in some cases a request for disclosure of documents held by the grand jury might be subject to the secrecy provisions [\*1044] of the Rule. Id. at 54. However, the court stated that:

(It) is not the purpose of the Rule to foreclose from all future revelation to proper authorities the same information or documents which were presented to the grand jury. Thus, when testimony or data is sought for its own sake-for its intrinsic value in the furtherance of a lawful investigation-rather than to learn what took place before the grand jury, it is not a valid defense to disclosure that the same information was revealed to a grand jury or that the same documents had been, or were presently being, examined by a grand jury.

#### Id. at 54.

Many courts have followed this approach and have held that the release of documents subpoenaed by the grand jury requires only the showing of a legitimate purpose by the party seeking disclosure. See, e.g., In re Grand Jury Proceedings, 505 F. Supp. 978, 982 (D.Me.1981) (disclosure authorized where documents were sought to further lawful investigation, not for purpose of learning what took place before grand jury); S.

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E. C. v. Everest Management Corp., 87 F.R.D. 100, 105 (S.D.N.Y.1980); Brink v. DaLesio, 82 F.R.D. 664, 668-69 (D.Md.1979); United States v. Saks & Co., 426 F. Supp. 812, 814-15 (S.D.N.Y.1976); Capitol Indemnity Corp. v. First Minnesota Construction Co., 405 F. Supp. 929, 931 (D.Mass.1975).

A fourth approach may be discerned in recent decisions by the Third, Seventh and District of Columbia See In re Special February 1975 Grand Jury, 662 F.2d 1232, 1243 (7th Cir. 1981) (2-1 decision); Fund For Constitutional Government v. National Archives and Records Service, 211 U.S. App. D.C. 267, 656 F.2d 856, 869-70 (D.C.Cir.1981); In re Grand Jury Investigation, 630 F.2d 996, 1001 (3d Cir. 1980). These decisions call for a factual inquiry into whether disclosure of particular subpoenaed documents will tend to reveal some secret aspect of the grand jury's investigation. In making this inquiry, it is important to keep in mind that the scope of grand jury secrecy is quite broad, encompassing "not only the direct revelation of grand jury transcripts but also the disclosure of information which would reveal "the identities of witnesses or jurors, the substance of testimony, the strategy or direction of the investigation, the deliberations or questions of the jurors, and the like.' " Fund for Constitutional Government v. National Archives and Records Service, 656 F.2d at 869 (quoting S. E. C. v. Dresser Industries, Inc., 202 U.S. App. D.C. 345, 628 F.2d 1368, 1382 (D.C.Cir.) (en banc), cert. denied, 449 U.S. 993, 101 S. Ct. 529, 66 L. Ed. 2d 289 (1980). If disclosure of documents subpoenaed by the grand jury will tend to reveal any of these confidential aspects of the grand jury investigation, Rule 6(e) is applicable and its requirements must be satisfied. By contrast, if release of the subpoenaed documents will not reveal the inner workings of the grand jury or compromise grand jury secrecy, Rule 6(e) is not applicable and the documents can be disclosed to any person having a legal right to their production. Fund For Constitutional Government v. National Archives and Records Service, 656 F.2d at 870; In re Grand Jury Investigation, 630 F.2d at 1001.

The Court will consider the merits of these four approaches in turn. In the Court's opinion, the first approach, which holds that subpoenaed documents are never subject to the secrecy provisions of Rule 6(e), is seriously inconsistent with the longstanding rule of grand jury secrecy. This per se approach would be justified only if it were clear that release of grand jury subpoenaed documents would never disclose "matters occurring before the grand jury" within the meaning of Rule 6(e). However, this is simply not the case. As several courts have observed, an examination of all documents subpoenaed and reviewed by the grand jury can

reveal a great deal about the nature, scope and purpose of a secret grand jury investigation. See, e.g., In re Grand Jury Impanelled October 2, 1978, 510 F. Supp. 112, 115 (D.D.C.1981); Falstaff Brewing Corp. v. Kessler, 489 F. Supp. 191, 194 (E.D.Wis.1980). And it is clear that such things as the scope and direction of the grand jury investigation constitute "matters [\*1045] occurring before the grand jury," and are therefore protected from disclosure by the provisions of Rule 6(e). S. E. C. v. Dresser Industries, Inc., 202 U.S. App. D.C. 345, 628 F.2d 1368, 1382 (D.C.Cir.) (en banc), cert. denied, 449 U.S. 993, 101 S. Ct. 529, 66 L. Ed. 2d 289 (1980).

The problem with an approach which always permits release of subpoenaed documents is therefore obvious. Such an approach in certain cases will lead to disclosure of secret aspects of a grand jury investigation without a showing of particularized need. Because this result is plainly at odds with the language and purpose of Rule 6(e), the Court finds that it must reject this approach.

The Court finds similar problems with the second approach which holds that disclosure of documents subpoenaed by the grand jury must always be subject to the secrecy limitations of Rule 6(e). The factual premise underlying this alternative per se approach is that releasing documents subpoenaed by the grand jury will in every case disclose "matters occurring before the grand jury". The Court believes this premise to be inaccurate. Consider as an example the case of a civil litigant who subpoenas a specified document from another party, only to be informed by that party that the document sought cannot be produced because it is in the possession of a federal grand jury. n6 In such a case, where the litigant is already aware of the existence of the subpoenaed document and the fact that it is being reviewed by the grand jury, the release of the document to the litigant will reveal little about the nature and scope of the grand jury investigation that is not already known. See Capitol Indemnity Corp. v. First Minnesota Construction Co., 405 F. Supp. 929, 931 (D.Mass. 1975) (where plaintiff had requested production of specific documents which government had already acknowledged as being in grand jury's possession, no threat to grand jury secrecy existed); Davis v. Romney, 55 F.R.D. 337, 341 (E.D.Pa.1972) (where all local FHA records were in possession of grand jury, disclosure of records could be made to plaintiffs without threatening grand jury secrecy because disclosure would not reveal specific acts, thoughts or focus of grand jury).

n6. This disclosure would not violate Rule 6(e) because the Rule imposes no obligation of secrecy on witnesses. Fed.R.Crim.P. Rule 6(e) advisory com-



mittee note. Thus, a witness remains free to reveal the fact that he has produced certain documents pursuant to a grand jury subpoena. In re Grand Jury Subpoena, East National Bank of Denver, 517 F. Supp. 1061, 1066 (D.Colo.1981); In re Vescovo Special Grand Jury, 473 F. Supp. 1335, 1336 (C.D.Cal.1979). But see In re Swearingen Aviation Corp., 486 F. Supp. 9, 11 (D.Md.), mandamus denied for lack of standing, 605 F.2d 125 (4th Cir. 1979) (court has supervisory power to order witness not to reveal whether it has received a grand jury subpoena or the contents thereof).

Given the fact that there are some cases, such as the one described above, where release of documents held by the grand jury will not disclose matters occurring before the grand jury, resort to a per se rule requiring a party seeking disclosure of documents to satisfy the requirements of Rule 6(e) in all cases is inappropriate. Such an approach will have the effect in certain cases of unduly frustrating discovery without safeguarding grand jury secrecy to any significant degree. n7 See Comment, Civil Discovery of Documents Held by a Grand Jury, 47 U.Chi.L.Rev. 604, 613 (1980). The Court therefore declines to adopt the second approach because it sweeps too broadly, and imposes unnecessary limitations on the disclosure of documents.

n7. The second approach might be justified if the Court believed that there was an overriding need to protect grand jury secrecy and that it would be difficult to determine in any given case whether release of subpoenaed documents would lead to disclosure of matters occurring before the grand jury. As is discussed below, the Court believes that it is possible to determine accurately whether the release of documents will disclose matters occurring before the grand jury. It thus finds it unnecessary to resort to a per se rule.

The third approach discussed above holds that documents in possession of the grand jury are not subject to the secrecy limitations of Rule 6(e) if they are sought for their own sake in furtherance of a lawful [\*1046] investigation, and not merely to determine what transpired before the grand jury. The Court also finds this approach highly problematic. As a logical matter it seems somewhat anomalous to determine whether subpoenaed documents will disclose matters occurring before the grand jury based on the purpose of the party seeking disclosure. The mere fact that a party is seeking access to the

documents for their own sake to further a legitimate investigation is hardly a guarantee that the same party will not be able to learn a great deal from the documents about matters occurring before the grand jury. This is particularly true because, as one commentator has observed, "Many parties seek to obtain documents held by grand juries because of their intrinsic value, but nonetheless would be delighted to learn what had transpired before the grand jury. Knowledge of what has taken place in the grand jury proceedings might have a substantial bearing on a pending civil or regulatory case, or might lead the party to new and valuable evidence." Comment, supra, 47 U.Chi.L.Rev. at 612.

The Court concludes that the purpose test set forth in Interstate Dress Carriers must be rejected because it provides insufficient protection for grand jury secrecy. n8 The Court agrees with the recent observation of the Seventh Circuit with respect to this approach: "If that is all there is to the test, grand jury secrecy would be seriously eroded by being sacrificed to the alleged need for the documents by someone else and the power of a grand jury could be misused. The policies favoring grand jury secrecy in most instances must still be given due weight." In re Special February, 1975 Grand Jury, 662 F.2d 1232, 1243-44 (7th Cir. 1981) (2-1 decision).

n8. The Court notes that the precedential value of Interstate Dress Carriers has even been questioned by a district court in the Second Circuit. See *Index Fund, Inc. v. Hagopian, 512 F. Supp. 1122, 1128 (S.D.N.Y.1981)*.

Having rejected the first three approaches, it should be obvious that the Court believes that the fourth approach constitutes the proper method of determining when documents held by the grand jury should be released. This approach requires a Court to determine if release of the documents will disclose some secret aspect of matters occurring before the grand jury. n9 If such disclosure will occur, the court must then determine if one of the exceptions to the general rule of grand jury secrecy embodied in Rule 6(e) is applicable. If such disclosure will not occur, then the documents may be released to any party having a legal right to their production.

n9. Some courts have accorded even broader protection to grand jury secrecy, holding that Rule 6(e) applies to anything which may tend to reveal what transpired before the grand jury. In re Grand Jury Investigation, 610 F.2d 202, 216 (5th Cir. 1980); United States v. Armco Steel Corp., 458 F. Supp. 784, 789 (W.D.Mo.1978). This Court rejected this



test as overly broad in In re Search Warrant for Second Floor Bedroom, 489 F. Supp. 207, 211 (D.R.I.1980). I continue to adhere to that position.

This approach accords with both the language and purpose of Rule 6(e). The Rule by its terms limits only the disclosure of matters occurring before the grand jury. If a court determines as a factual matter that release of documents subpoenaed by the grand jury will not involve such a disclosure, the language of the Rule suggests that its secrecy limitations should not apply. Similarly, if release of certain documents will not jeopardize grand jury secrecy, the purpose of Rule 6(e) will not be undermined by permitting disclosure. The only problem with this approach is that it requires the court to estimate what a third party will learn about secret grand jury proceedings if a particular set of documents is turned over to him, and this may prove to be a difficult factual inquiry.

In making this factual inquiry, it is important to note that the results of most cases in this area can be explained by a critical factual distinction. Cases in this area involve two different types of requests for production of documents. The first type consists of a request for specific documents which are identified or described independent of any reference to the grand [\*1047] jury. The second type consists of a more generalized request for all documents reviewed by the grand jury. In most cases involving requests of the first type, courts have held that the request for disclosure is not subject to the secrecy limitations of Rule 6(e). See, e.g., S. E. C. v. Dresser Industries, Inc., 202 U.S. App. D.C. 345, 628 F.2d 1368, 1383 (D.C.Cir.) (en banc), cert. denied, 449 U.S. 993, 101 S. Ct. 529, 66 L. Ed. 2d 289 (1980); Brink v. DaLesio, 82 F.R.D. 664, 669 (D.Md.1979); Capitol Indemnity Corp. v. First Minnesota Construction Co., 405 F. Supp. 929, 931 (D.Mass. 1975); Davis v. Romney, 55 F.R.D. 337, 341-42 (E.D.Pa.1972). By contrast, most courts have held that requests of the second type are subject to the limitations of Rule 6(e), and may only be granted upon a showing of particularized need. n10 See, e.g., United States v. Stanford, 589 F.2d 285, 291 n.6 (7th Cir. 1978), cert. denied, 440 U.S. 983, 99 S. Ct. 1794, 60 L. Ed. 2d 244 (1979); Board of Education v. Admiral Heating & Ventilation, Inc., 513 F. Supp. 600, 604 (N.D.Ill.1981); In re Grand Jury Impanelled October 2, 1978, 510 F. Supp. 112, 115 (D.D.C.1981); In re Grand Jury Investigation Which Presented Criminal Indictments 76-149 and 77-72, 469 F. Supp. 666, 671 (M.D.Pa.1978).

n10. Unfortunately, this distinction does not

explain the results reached in all of the cases in this area. Compare In re Special February, 1975 Grand Jury, 662 F.2d 1232 (7th Cir. 1981) (2-1 decision) (denying release of documents specifically identified without reference to the grand jury) with United States v. Saks & Co., 426 F. Supp. 812 (S.D.N.Y.1976) (granting disclosure of all documents subpoenaed by the grand jury in connection with a particular investigation).

In the Court's opinion, this distinction makes eminently good sense. Requests of the first type will normally pose little danger of revealing matters occurring before the grand jury, because the party seeking the documents will already be aware of the identity of the documents and the fact that they are being reviewed by the grand jury prior to making his request. Release of the documents in this situation will not disclose any additional information as to why the grand jury subpoenaed the documents or what conclusions were reached in reviewing them. On the other hand, requests of the second type, which seek access to all documents reviewed by the grand jury, will, if granted, "reveal not only the information contained in specific documents, but the pattern of the grand jury's entire investigation." Falstaff Brewing Corp. v. Kessler, 489 F. Supp. 191, 194 (E.D. Wis. 1980). This would constitute disclosure of matters occurring before the grand jury, and may not be authorized absent a showing of particularized need.

This critical distinction can be used to simplify the factual inquiry called for by the fourth approach discussed above. The general rule should be that requests which call for production of all documents in the possession of the grand jury should be treated as requiring disclosure of matters occurring before the grand jury, and should only be granted if the test of particularized need set forth in Douglas Oil is satisfied. Requests which call for production of specific documents which are identified independent of any reference to the grand jury normally should be considered as not disclosing matters occurring before the grand jury, and therefore should not be subject to Rule 6(e)"s secrecy limitations. At the very least, when such a request is made the burden should shift to the party objecting to disclosure to show that release of the specific documents sought will disclose matters occurring before the grand jury. See In re Grand Jury Investigation, 630 F.2d 996, 1001 (3d Cir. 1980) (where specific documents are sought for investigation into matters different from that before grand jury, party objecting to production must prove disclosure will jeopardize grand jury secrecy before Rule 6(e) secrecy limitations will be applied). Resort to these general guidelines should make the factual inquiry called for by the fourth



approach manageable.

Applying these principles to the petition for disclosure which was before the Court, it is clear why the Court was required to deny the petition on its merits. The United [\*1048] States Attorney sought to turn over to the State Attorney General a large number of documents obtained by the federal grand jury in connection with a particular investigation. Release of these documents would probably reveal much about the scope and focus of the grand jury's investigation. Granting the request would therefore disclose matters occurring before the grand jury, and this is prohibited by Rule 6(e) absent a showing of particularized need. Because no such need was demonstrated in the petition, the petition was denied.

The Court remains willing to entertain a subsequent petition for disclosure from the State Attorney General if proper notice and an opportunity to object is given to the owners of the documents for which disclosure is sought. n11 The Court notes, however, that the United States Attorney is limited in the amount of assistance which he can provide the State Attorney General in preparing his petition. Specifically, the United States Attorney may not disclose matters occurring before the grand jury, and this includes the identity of grand jury witnesses and the contents of grand jury subpoenas. Board of Education v. Admiral Heating and Ventilation, Inc., 513 F. Supp. 600, 604 (N.D.Ill.1981); United States v. White Ready-Mix Concrete Co., 509 F. Supp. 747, 750 (N.D.Ohio 1981); Fund For Constitutional Government v. National Archives and Records Service, 485 F. Supp. 1, 12 (D.D.C.1978), aff'd in relevant part, 656 F.2d 856 (D.C. Cir. 1981); Corona Construction Co. Ampress Brick Co., 376 F. Supp. 598, 602-03 (N.D.Ill.1974); Minnesota v. United States Steel Corp., 44 F.R.D. 559, 579-80 (D.Minn.1968); In re California, 195 F. Supp. 37, 40 (E.D.Pa.1961). Contra In re Petition For Disclosure of Evidence, 184 F. Supp. 38, 41 (E.D. Va. 1960) (identity of grand jury witnesses is matter of public record).

n11. The Court realizes that difficulties may arise because the documents at issue are sought in connection with a state grand jury investigation. In particular, the Court is concerned that the State Attorney General may find it difficult to show a particularized need for the documents without jeopardizing the secrecy of the state grand jury proceedings. The Court may decide to modify any adversary proceeding conducted in connection with a petition for disclosure by the State Attorney General so as to preserve to the greatest extent possible the secrecy of the state grand jury proceedings. The Court, however, need not decide at this point what modifications, if any, will be necessary.

It is unfortunate in this case that the policy of grand jury secrecy may preclude close cooperation between federal and state law enforcement officials. However, this is the necessary result of having a grand jury which is authorized to investigate only violations of federal law, the proceedings of which are cloaked in secrecy. As another district court has correctly observed, "A federal court does have an obligation to cooperate with state officials in the proper enforcement of state law, but the court must balance the great interest in grand jury secrecy against the goal of a just result in a possible state judicial proceeding." In re Grand Jury Proceedings, 483 F. Supp. 422, 424 (E.D.Pa.1979). In the case of the petition before the Court, the policy of grand jury secrecy must prevail.

An order will be prepared accordingly.

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE Date: 05/31/19	99
To: Criminal Investigative Attn: Public Corruption U	nit
From: Boston Providence RA (P-1) Contact: SA	b6
Approved By:	ъ7c
Werafted By: :wda	
Case ID #: 194B-BS-81295 (Pending)	
Title: PLUNDER DOME CSLPO OO: BOSTON	
GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6 (e	)
Synopsis: To advise of investigative direction.	
Details: Captioned matter concluded as a covert Group I UC 4/28/99 with the execution of several search warrants and the arrests of two subjects. Several other allegations developed prior to, during and subsequent to PLUNDER DOME are to be investigated by that special Federal grand jury. These allegations have been prioritized for investigation based of their substance, credibility and investigative potential. The categorized as follows:	he ed n
I. JOSEPH PANNONE, Chairman, Board of Tax Assessme: Review	nt b6 b7c
ROSEMARY GLANCY, Deputy Tax Assessor City of Providence CSLPO - LOCAL LEVEL OO: BOSTON	
On 5/23/99, a special Federal grand jury was impane investigate allegations developed through PLUNDER DOME. On 5/27/99, that special Federal grand, jury, indicted JOSEPH PACCHAIRMAN, Board of Tax Assessment Review and ROSEMARY GLANC Deputy Tax Assessor, City of Providence. All three are characteristics.	NNONE, b6 b7c
VUITAGE TVILLET 1948	1-BS-81245-108
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To: Criminal Investigative From: Boston Re: 194B-BS-81295, 05/31/1999

Conspiracy.	criminal counts to include Hobbs Act, Mail Fraud and and PANNONE are also charged with Money and Conspiracy.
Ĺ	JOSEPH PANNONE, Chairman, Board of Tax Assessment Review City of Providence CSLPO - LOCAL LEVEL CO: Boston
III.	JOSEPH PANNONE, Chairman, Board of Tax Assessment Review  City of Providence CSLPO - LOCAL LEVEL OO: Boston
IV.	VINCENT A. CIANCI, JR., Mayor  City of Providence CLSPO - LOCAL LEVEL

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b6 b7C To: Criminal Investigative From: Re: 194B-BS-81295, 05/31/1999 Boston

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V. <u>VINCENT A. CIANCI, JR., Mavor</u>
V. VINCENT A. CTANCI, BR., Mavor
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JOE PANNONE, Chairman, Board of Tax Assessment Review
ROSEMARY GLANCY, Deputy Tax Assessor
CSLPO - LOCAL LEVEL OO: Boston
OC: BOSCOII
During PLUNDER DOME, PANNONE and made numerous recorded statements to indicate that
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VI. <u>VINCENT A. CIANCI, JR., Mayor</u>
City of Providence
CLSPO - LOCAL LEVEL OO: Boston
OO: BOSCOII

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To: Criminal Investigative From: Boston Re: 194B-BS-81295, 05/31/1999

b7D VII. VINCENT A. CIANCI, JR., Mayor b6 b7C City of Providence CSLPO - LOCAL LEVEL 00: Boston b6 b7C b7E b7D VIII. VINCENT A. CIANCI, JR., Mayor b6 b7C CSLPO - LOCAL LEVEL 00: Boston b6 b7C b7E

To: Criminal Investigative From: Re: 194B-BS-81295, 05/31/1999 Boston

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X. VINCENT A. CIANCI, JR., Mayor	b6 b7C
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XI.	DIE
City of Providence CSLPO - LOCAL LEVEL OO: Boston	
Allowations developed from remining governor prior to and	
Allegations developed from various sources prior to and subsequent to PLUNDER DOME reflect that conspire to defraud the City of Providence by various means through City/State Computer's contracts with the City of Providence. Sources also indicate that has a hidden interest in City/State Computer and Municipal Collections.	ь6 ь7с
XII.	
City of Providence CSLPO - LOCAL LEVEL OO: Boston	
Allegations received subsequent to PLUNDER DOME indicat that defraud the City of Providence through	

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b6 b7C To: Criminal Investigative From: Boston

Re: 194B-BS-81295, 05/31/1999

XIII. VINCENT A. CIANCI, JR., Mayor
Allegations received prior to and subsequent to PLUNDER DOME indicate that CIANCI and conspired to extort bribes in the form of paid expenses for CIANCI's 50 foot boat, "NICOLA" in return for liquor licenses and withheld police action regarding and in return for various marina and dredging contracts
XIV.
JOE PANNONE
CSLPO - LOCAL LEVEL OO: Boston
OO: BOSCOII
XV. VINCENT A. CIANCI, JR., Mavor
City of Providence
CSLPO - LOCAL LEVEL
00: Boston
Allegations received prior to, during and subsequent to PLUNDER DOME indicate that CIANCI and utilize CIANCI's campaign fund "Friends of Cianci" as a tool to commit Mail Fraud and extortion. "Friends of Cianci" is used to extort campaign contributions for various official actions by CIANCI and to include the awarding of contracts, tax reductions and promotions for city employees.

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Separate investigations will be opened for each of the above matters. However, some may be later combined in the form of a RICO indictment.

#### FEDERAL BUREAU OF INVESTIGATION

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Precedence: ROUTINE Date: 06/7/1999

To: Boston Attn: SA

From: Boston

Providence RA (P-1)

Contact: SA

Approved By:

Drafted By:

Case ID #: 194B-BS-81295 (Pending)

Title: PLUNDER DOME

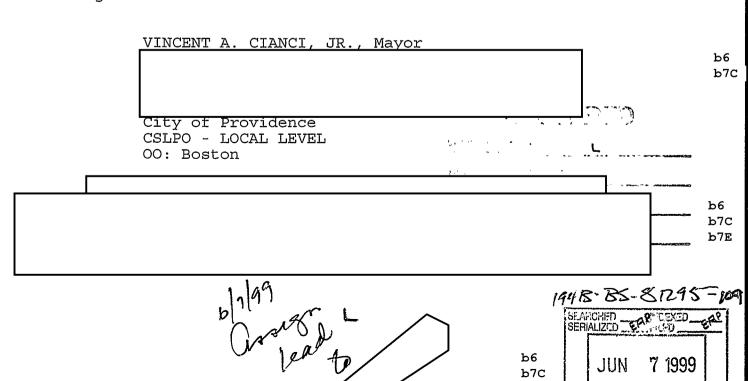
CSLPO

OO: BOSTON

GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6(e)

Synopsis: To request that the following investigative matters be reviewed and the appropriate cases be initiated.

Details: Captioned matter concluded as a covert Group I UCO on 4/28/99 with the execution of several search warrants and the arrests of two subjects. Several other allegations developed prior to, during and subsequent to PLUNDER DOME are to be investigated by that special Federal grand jury. These allegations have been prioritized for investigation based on their substance, credibility and investigative potential. They are categorized as follows:



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To: Boston From: Boston Re: 194B-BS-81295, 06/7/1999 City of Providence CSLPO - LOCAL LEVEL 00: Boston CSLPO - LOCAL LEVEL 00: Boston XV. VINCENT A. CIANCI, JR., Mayor City of Providence CSLPO - LOCAL LEVEL 00: Boston Allegations received prior to, during and subsequent to PLUNDER DOME indicate that CIANCI and utilize CIANCI's campaign fund "Friends of Cianci" as a tool to commit Mail Fraud and extortion. "Friends of Cianci" is used to extort campaign

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b6 b7C To: Boston From: Boston Re: 194B-BS-81295, 06/7/1999

contributions for various official actions by CIANCI and to include the awarding of contracts, tax reductions and promotions for city employees.

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It is recommended that separate investigations be opened for each of the above matters. However, some may be later combined in the form of a RICO indictment.

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### FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

To: Boston

Providence RA (P-1)

Contact: SA

Approved By:

Drafted By:

(Pending)

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Title: PLUNDER DOME

CSLPO

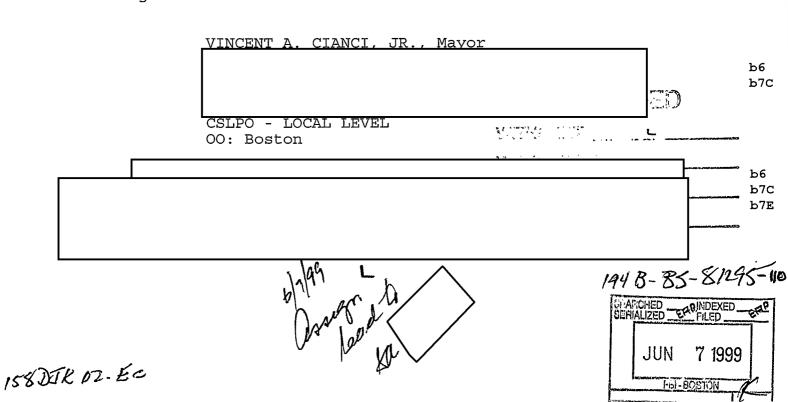
OO: BOSTON

Case ID #: 194B-BS-81295

GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6 (e)

Synopsis: To request that the following investigative matter be reviewed and the appropriate case be initiated.

Details: Captioned matter concluded as a covert Group I UCO on 4/28/99 with the execution of several search warrants and the arrests of two subjects. Several other allegations developed prior to, during and subsequent to PLUNDER DOME are to be investigated by that special Federal grand jury. These allegations have been prioritized for investigation based on their substance, credibility and investigative potential. They are categorized as follows:



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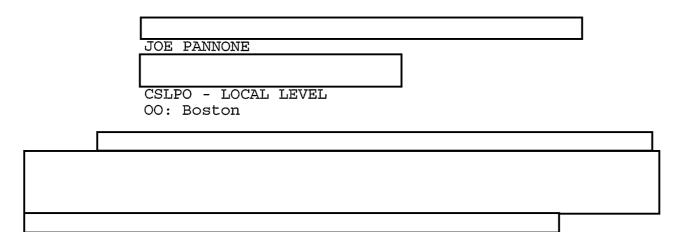
It is recommended that separate investigations will be opened for each of the above matters. However, some may be later combined in the form of a RICO indictment.

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# FEDERAL BUREAU OF INVESTIGATION

	Precedence:	ROUTINE		Date:	06/7/1999	
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It is recommended that separate investigations be opened for each of the above matters. However, some may be later combined in the form of a RICO indictment.

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Precedence: ROUTINE

# FEDERAL BUREAU OF INVESTIGATION

Date: 06/8/1999

	To: Criminal Investigative Attn: SA	
	From: Boston Providence RA (P-1) Contact: SA	ь6 ь7С
	Approved By:	
	Drafted By:	
	Case ID #: 194B-BS-81295 (Pending)	
	Title: PLUNDER DOME CSLPO OO: BOSTON	
	GRAND JURY MATERIAL - DISSEMINATE PURSUANT TO RULE 6(e)	
	Synopsis: To request that the following investigative matter be reviewed and the appropriate case be initiated.	
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To: Criminal Investigative From: Boston

Re: 194B-BS-81295, 06/8/1999

It is recommended that a separate investigation be opened for each of the above matters. However, some may be later combined in the form of a RICO indictment.

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# FEDERAL BUREAU OF INVESTIGATION

To: Criminal			Date:	06/8/1999	
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Case ID #: 1941	B-BS-81295 (Pe	nding)			
Title: PLUNDED CSLPO OO: BOX					
GRAND JUR	Y MATERIAL - DIS	SEMINATE	PURSUANT I	O RULE 6(e)	
	request that the he appropriate c			ative matters	s be
prior to, during investigated by allegations has	subjects. Seve ng and subsequen y that special F ve been prioritie, credibility a d as follows:	t to PLUN ederal gr zed for i	DER DOME a and jury. nvestigati	re to be These on based on	эу
-	INCENT A. CIANCI	, JR., Ma	vor		
V: C: C:	INCENT A. CIANCI ity of Providenc SLPO - LOCAL LEV O: Boston	e	vor		
V: C: C:	ity of Providenc SLPO - LOCAL LEV	e	yor		1
V: C: C:	ity of Providenc SLPO - LOCAL LEV	e	vor		
V: C: C:	ity of Providenc SLPO - LOCAL LEV	e	vor	1943-85 SEARCHED SERIALIZED SE	

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To: Criminal Investigative From: Re: 194B-BS-81295, 06/8/1999 Boston

	VINCENT	A. CIANC	I, JR.	, Ma	ayor				
Al	legation <u>s</u>	received	prior	to	and	subsequent	to	PLUNDER	
DOME indic	ate that								
	_								П

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It is recommended that separate investigations be opened for each of the above matters. However, some may be later combined in the form of a RICO indictment.

**\*** 

### FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE	Date: 06/09/1999
To: Inspection Division Attn:	Evaluation and Analysis Section/Audit Unit Room GRB-204
From: Boston Providence RA (P-1) Contact: SRA	(401) 272-8310 x138
Approved By:	
Drafted By:	
Case ID #: 194B-BS-74741 (Pending) 194B-BS-80859 (Pending) 194B-BS-81295 (Pending) 66F-HQ-C1228606 (Pending)	
Title: CONGRESSIONAL AUDIT REPORT	
Synopsis: To report status of captione	d case as pending.
Details: Criminal proceedings remain p investigation. On 5/27/99, a special f three subjects on Hobbs Act, mail fraud Evidence gathered in the captioned case these criminal proceedings.	ederal grand jury indicted and conspiracy charges.

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### (12/31/1995)

# FEDERAL BUREAU OF INVESTIGATION

•				
Precedence: PRIORITY		Date:	5/6/1999	
To: BOSTON		AC CC		
From: DIRECTOR, FBI				
Approved By:  CRIMINAL INVESTI		SION ATIONS UNIT/RM.	3117	<b>b</b> 6
Drafted By:	ı			b70
Case ID #: 194B-BS-81295 (0	Closed)			
Title: "PLUNDER DOME"				
Synopsis: "PLUNDER DOME" has	s ceased all	covert activity	•	
Details: Regarding your close (UCO), you are requested to response setting forth action contained therein.	review the en	closure and pro	vide a	
In addition, you as	re requested	to furnish FBIH	Q with an	<b>b</b> 7
		Information for		Σ,
critique should be derived for assigned to the UCO, including Accountant, Assistant Special Special Agent, and Undercover address the following points believe will benefit the FBI	ng the Case A L Agent in Ch c Agent. You , but may inc	gent, Contact <i>l</i> arge, Superviso r critique show lude any inform	agent, ory ald ation you	
1. What were the sthey met? If not, why?	specific obje	ctives of the T	JCO? Were	
What methods we were any problem.  How were they	ems encounter resolved?	ed //A-		<b>Ъ</b> 7:
Enclosure  1 - Corruption/Civil Rights (Attn: Root  1 - Operations Support Section (Attn: Root  1 - Operations Support Section (Attn: Root	m 3149)	SEARCHED PINDE SERIAL LED FILE MAY 1 U	999	ь6 ь70
A. A.SAC I	y XX			K

To: BOSTON From: DIRECTOR, FBI

Re: 194B-BS-81295, 5/6/1999

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3.

- 4. Describe any problems encountered with any financial aspect of the UCO, i.e. bookkeeping, vouchers, quarterly audits, and how they were resolved.
- 5. What interesting or innovative techniques were utilized during this UCO?
- 6. What additional problems other than financial were encountered during this UCO? How were they resolved?
- 7. How might similar UCOs be better planned or conducted in the future?

Your critique, as well as your response to the enclosure, should be sent via EC within three weeks of the date of this communication to FBIHQ, Attention: Undercover and Sensitive Operations Unit, Criminal Investigative Division.

You are advised that no new expenses may be charged to the UCO budget following the expiration of the UCO.

Any recommendation for recognition of undercover personnel should be made by separate communication in the format established for such recommendations.

To: BOSTON From: DIRECTOR, FBI

Re: 194B-BS-81295, 5/6/1999

### 1. FBIHQ "Stops"

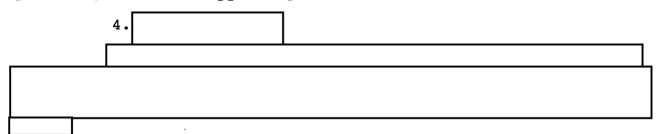
Determine if there are any NCIC false arrest records, CCH files, Identification Division, or Administrative Services Division (ASD) stops placed on your undercover operatives. If so, request their removal.

### 2. Alias/False Identification A/FID

Review all A/FID obtained in connection with this operation and determine whether these items should be retained. Your Division's inventory to these materials should be updated if necessary and Undercover and Sensitive Operations Unit (USOU), Criminal Investigative Division (CID) FBIHQ, notified of any changes.

### 3. Special Weapons

Identify special weapons assigned to your undercover operatives. These weapons are in short supply, and only with your cooperation can the varying needs of each field office be met. Weapons should be returned directly to the FBI Academy Quantico, Virginia 22135, Attention: Room 110 DN. The address on the package should not identify its contents. The cover EC should describe the contents of the package and state why it is being returned. The title of the EC should carry a dual caption: "Undercover Activities - Criminal Matters," and the code name of your UCO, with one copy designated for USOU, CID.



### 5. Vouchers

Confidential Funds may not be obligated/expended after the termination of the covert phase of the UCO. Any expenses incurred after the termination of the UCO must be paid with Division funds. Any expenses obligated prior to the expiration may be covered with Confidential Funds. The voucher submitted for the month following that in which the UCO terminated should contain a final accounting of all confidential funds. Any excess funds are to be returned within 45 days to FBIHQ.

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To: BOSTON From: DIRECTOR, FBI Re: 194B-BS-81295, 5/6/1999 6. Gross Income List the amount of gross receipts received during this operation to include normal business income, income from sale of property/equipment, and interest income. Income generated (other than interest) A. B. Interest Income \$ C. Expenditures Furnish the total amount of expenditures incurred during the covert phase of this operation as reflected on the voucher submitted to FBIHQ at the end of the month in which covert activity ceased. A. Appropriated Funds Expended B. Income Utilized to Offset Expenses C. Total Expenditures Note that gross receipts or income in excess of \$50,000 or expenditures exceeding \$150,000 will require a special audit and a report by FBIHQ to the United States Congress. You will be notified separately of the audit process if this requirement applies to your operation. Contracts and Leases If any contracts or leases were negotiated in support

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If any contracts or leases were negotiated in support of this UCO, they should be coordinated with the Contract Review Unit, ASD.

appropriate exemptions should be identified. As the authority to any continuation of Maintenance and The Administrative Unit, CID.

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BOSTON From: DIRECTOR, FBI To:

194B-BS-81295, 5/6/1999 Re:

### Debriefing Undercover Personnel

The Undercover Coordinator is responsible for debriefing undercover personnel at the termination of the undercover project and approximately six months thereafter. Guidelines and instructions for the debriefing interviews are contained in the manual entitled "Undercover Safeguard Program." If the Undercover Coordinator is also the supervisor of the undercover project, arrangements should be made with USOU for another individual to conduct the interviews.

### 9. Nonexpendable Property

A complete listing of all seized/excess or purchased nonexpendable property which was obtained during or used in support of this UCO must be prepared and furnished to USOU. listing should include jewelry, furniture, office equipment, cellular telephones, computers, other technical equipment, or any other "props" and must include a complete description of each item including serial numbers, colors, and condition. jewelry and/or valuables provided by FBIHQ or other Field Division(s) should be furnished showing their disposition. Jewelry or other valuables being returned to FBIHQ must be accompanied by a Receipt for Government Property (FD-281a.)

Nonexpendable property acquired during this UCO should have already been placed on your Division's confidential inventory. If it has not, this should be accomplished promptly through your Division's Supply Technician by submitting an Inventory Data Record Form(s) (FD-513.) This form should be sent to the Property Procurement and Management Section, Finance Division, Attention: Special Operations Support Desk, Room 6823, FBIHQ.

### 10. Nonexpendable Property - Vehicles

Furnish a complete listing of all vehicles (cars, trucks, and motorcycles) in the operation to include seized/excess, undercover, rental/lease, or vehicles obtained from private parties. The listing should include make, model, VIN, Bucar number, mileage, condition of vehicles, and remaining number of months in the lease or agreement, if any. If a Bucar number was never assigned, one should be requested from the Automotive Management Unit, FBIHQ. All vehicles acquired through from which it must be returned to the

was obtained.

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# **FEDERAL BUREAU OF INVESTIGATION**

Precedence: ROUTINE	Date: 06/23/1999
To: Administrative Services Attn:	Confidential Funding Unit
Criminal Investigative	Undercover Unit
From: Boston Providence RA (P-1) Contact: SA	ь6 ь7с
Approved By:	
Drafted ByW::wda	
Case ID #: 194B-BS-81295 SUB CE (Pend	ding)
Title: PLUNDER DOME CSLPO OO: BOSTON	
Synopsis: Report of return of confider	ntial funds to FBIHQ.
Details: Captioned matter is a Group I an overt investigation. On 6/22/99, all previously provided by FBIHO for this GFBIHO  transferred included all interest accruforwarded to FBIHQ. PLUNDER DOME no lotthe final voucher will be for the month submitted as required.	Il remaining covert funds  Group I were returned to  b7E  The amount  ued but not previously onger has GROUP I funds and
**	
MAHARIA	
Walter Fred Control	1945-85-81295-116
ERP ERP	SEARCHED
lal24199	JUN 2 3 1999
	FEI - HOSTON



# U.S. Department of Justice

The state of the s		Federal Bureau of Investigation	
In Reply, Please Refer to File No.		One Center Plaza	
	•	Boston, Massachusetts 02108 June 23, 1999	
			b6 b70
Re	e:		b6 b70
Dear			
Bureau of In Division of the intervient the administration	nvestigation interview  Motor Vehicle Safety automobile ins ew your permission is trative file maintaine	and and see Resident Agency of the Federal red Chief Alfred Massarone at the and Emission Control Unit about spection license. As a result of requested to acquire and copy and for this inspection station.	ъ6 ъ7с
	<b>'</b>		
1-Addressee	· · · · · · · · · · · · · · · · · · ·	Sincerely,	
(1)Boston (194 WPR/wpr (2)	4B-BS-81295) <sup>:</sup>	Barry W. Mawn Special Agent In Charge	
	UPLOADED		b6 b7С
174WPRO1.LET	WITHIENT	By:	
	Asis Charles	Supervisory Senior Resident Agent 44B-85-81195	-119
	EYERP	SEAFCHED - CARINDTXED E	ELE
	EKT = 6/25/99	JUN 2 3 1999	
		We-BC COM	

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE		Date:	06/28/1999	
To: Criminal Investigative	Attn:	SSA Public Cor Room 3149	ruption Unit	<b>b</b> 6
From: Boston Providence RA (P-1) Contact: SRA		(401) 272	-8310 x138	ь7С
Approved By:				
Drafted By:				
Case ID #: 194B-BS-81295 (Pend 194B-BS-80859 (Pend 194B-BS-74741 (Pend				
Title: PLUNDER DOME				
Synopsis: To report the status entitled, "PLUNDER DOME; 1948-B			investigation	
Reference: Re BS electronic co Corruption Unit, dated 5/27/99.		ion to the	Public	
Enclosure(s): Enclosed for the 1) one copy of an LHM entitled, ACTION PROGRAM (PROCAP), 518 HAISLAND; FRAUD AGAINST THE GOVER copy each of news articles from 6/17, 6/18, and 6/24/99, respec	"UNSUB( ARTFORD A RNMENT; 4 In the <u>Pro</u>	S); PROVIDE VENUE, PROV 6H-BS-84862	NCE COMMUNITY IDENCE, RHODE ; and 2) one	
Details: As reported previous grand jury (FGJ) in a 13-count and ROSEMARY GLANCY, the Deputy attempted extortion and mail fro assess property taxes. The with additional counts of consplaundering money to be used for officials.	indictme Tax Ass aud for FGJ also piracy an	nt charged essor, with inducing il charged PA d money lau	PANNONE, conspiracy, licit payments NNONE and ndering for	Ь6 Ь7С
In the 13-count ind 10 counts: three conspiracy cou Section 1951 and 2; three count violation of Title 18 USC Secti fraud, a violation of title 18 count of money laundering, a vi	ints, a v s of att on 1951; USC Sect	iolation of empted exto three coun popy3,71 and	Title 18 USC rtion, a ts of mail .2; and one	
		The state of the section of the sect		
A 7 3 4 6 m.	n anema line in the same	igrafy general lights , and so the terminal physician and the	Evel	ELD ERE
		EEP	OUND	3 1999
179DTKOLEC	Market and another than the second se	6/29/99		JOH TELL

To: Criminal Investigative From: Boston

Re: 194B-BS-81295, 06/28/1999

1956(h), 1956(a)(3)(A) and 2.

GLANCY was charged with seven counts: two counts of conspiracy, two counts of attempted extortion, and three counts of money laundering.

Subsequently, during the initial phases of discovery, the government turned over the pertinent audio and video records to the respective subjects. At the same time, the government made a motion in United States District Court that these recordings and the affidavit for the search warrant remain sealed from the public. All of the subjects agreed with the government motion, so these materials have not been made public.

Several other allegations developed prior to, during and subsequent to "PLUNDER DOME" are to be investigated by that special Federal grand jury. These allegations have been prioritized for investigation based on their substance, credibility and investigative potential.

CSLPO - LOCAL LEVEL OO: BOSTON

VINCENT A. CIANCI, JR., MAYOR

CITY OF PROVIDENCE CSLPO - LOCAL LEVEL OO: Boston

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Allegations received prior to, during and subsequent to PLUNDER DOME indicate that CIANCI and utilize CIANCI's campaign fund "Friends of Cianci" as a tool to commit Mail Fraud and extortion. "Friends of Cianci" is used to extort campaign contributions for various official actions by CIANCI and to include the awarding of contracts, tax reductions and promotions for city employees.
VINCENT A. CIANCI, JR., Mayor CITY OF PROVIDENCE CSLPO - LOCAL LEVEL OO: Boston
VINCENT A. CIANCI, JR., Mavor
CITY OF PROVIDENCE CSLPO - LOCAL LEVEL OO: Boston
Allegations developed in a prior overt investigation and received subsequent to PLUNDER DOME publicity reveal that CIANCI,

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To: Criminal Investigative From: Boston Re: 194B-BS-81295, 06/28/1999

To: Criminal Investigative From: Re: 194B-BS-81295, 06/28/1999 Boston

UNSUB(S); PROVIDENCE COMMUNITY ACTION PROGRAM
(PROCAP),
518 HARTFORD AVENUE, PROVIDENCE, RHODE ISLAND;
FRAUD AGAINST THE GOVERNMENT;
46H-BS-84862
Two matters involving corruption at the state level were developed during "PLUNDER DOME".

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FBIHQ, Public Corruption Unit, will be kept appraised of developments.

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE	Date: 06/03/1999
To: Director, FBI Attn:	Criminal Investigative Division Undercover & Sensitive Operations Unit/Room 3117
From: Boston P-1 Squad/Providence RA Contact: SSRA	Ext 138
Approved By:	
Drafted By: :jmb	
Case ID #: 194B-BS-81295 (Closed)	
Title: PLUNDER DOME	
Synopsis: Response to questions contact dated 5/6/1999.	ined in EC from Director
Details: The following are rough draft regarding the end of the covert phase of	
1. What were the specific objection they met? If not, why?	ectives of the UCO? Were
	b7:
2. What methods were used ? Were any problems encount	tered b7
? How were they resolved?	
	b7: b7:
	<u> </u>
1-Corruption/Civil Rights Section (Attraction 1-Operations Support Section (Attraction 2-USOU (Attraction Attraction) Attraction (Attraction) Attracti	b6
3-Boston 1-Acting ASAC 1-(Attn: SSA 1-(194B-BS-81295)	194B-BS-81295-119
WITHTEXT L	SERVALID ERPHOTXED GAP
	ORTHAND STAND
· · · · · · · · · · · · · · · · · · ·	JUN 1 4 1999
and the state of t	b6 b7c
183UMBO6.EC	

3. Describe any
Were any problems encountered
P How were they addressed?
4. Describe any problems encountered with any financing aspect of the UCO, i.e. bookkeeping, vouchers, quarterly audits, and how they were resolved.
5. What interesting or innovative techniques were utilized during this UCO?

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What additional problems other than financial were during this UCO? How were they resolved?
No additional problems
were encountered during this UCO.

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7. How might similar UCOs be better planned or conducted in the future?

Similar UCOs have to adequately deal with the situation or circumstances that presents itself during the course of the investigation. Based on these facts we cannot respond on how other UCOs should be conducted.

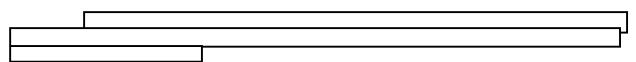
### 1. FBIHQ "STOPS"

Determine if there are any NCIC false arrest records, CCH files, Identification Division, or Administrative Services Division (ASD) stops placed on your undercover operatives. If so, request their removal.

No FBIHQ "STOPS" were utilized during the course of this investigation.

### 2. ALIAS/FALSE IDENTIFICATION A/FID

Review all A/FID obtained in connection with this operation and determine whether these items should be retained. Your Division's inventory to these materials should be updated if necessary and Undercover and Sensitive Operations Unit (USOU), Criminal Investigative Division (CID) FBIHQ, notified of any changes.



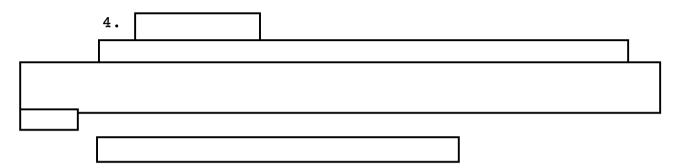
## 3. SPECIAL WEAPONS

Identify special weapons assigned to your undervocer operatives. These weapons are in short supply, and only with your cooperation can the varying needs of each field office be met. Weapons should be returned directly to the FBI Academy Quantico, Virginia 22135, Attention: Room 110 DN. The address on the package should not identify its contents. The cover EC

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should describe the contents of the package and state why it is being returned. The title of the EC should carry a dual caption: "Undercover Activities-Criminal Matters," and the code name of your UCO, with one copy designated for USO, CID.

No special weapons were assigned/issued.



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### 5. <u>VOUCHERS</u>

Confidential Funds may not be obligated/expended after the termination of the covert phase of the UCO. Any expenses incurred after the termination of the UCO must be paid with Division funds. Any expenses obligated prior to the expiration may be covered with Confidential Funds. The voucher submitted for the month following that in which the UCO terminated should contain a final accounting of all confidential funds. Any excess funds are to be returned within 45 days to FBIHQ.

All expenditures will be handled according to FBI policy.

### 6. **GROSS INCOME**

List the amount of gross receipts received during this operation to include normal business income, income from sale of property/equipment, receipt of bribes/kickbacks, and interest income.

### 7. CONTRACTS AND LEASES

If any contracts or leases were negotiated in support of this UCO, they should be coordinated with the Contract Review Unit, ASD.

appropriate exemptions should be identified. As the authority to
once the UCO terminates requires FBIHO authority to
ensure that General Services Administration
is followed. All requests to continue
must be coordinated with the appropriate substantive section and
the Administrative Unit, CID.

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### 8. DEBRIEFING UNDERCOVER PERSONNEL

The Undercover Coordinator is responsible for debriefing undercover personnel at the termination of the undercover project and approximately six months thereafter. Guidelines and instructions for the debriefing interviews are contained in the manual entitled "Undercover Safeguard Program." If the Undercover Coordinator is also the supervisor of the unercover project, arrangements should be made with USOU for another individual to conduct the interviews.

No undercover agents were used in support of this UCO.

### 9. NONEXPENDABLE PROPERTY

A complete listing of al seized/excess or purchased nonexpendable property which was obtained during or used in support of this UCO must be prepared and furnished to USOU. This listing should include jewelry, furniture, office equipment, or any other "props" and must include a complete description of each item including serial numbers, colors, and condition. A list of jewelry and/or valuables provided by FBIHQ or other Field Division(s) should be furnished showing their disposition. Jewelry or other valuables being returned to FBIHQ must be accompanied by a Receipt for Government Property (FD-281a.)

Nonexpendable property acquired during this UCO should have already been placed on your Division's confidential inventory. If it is not, this should be accomplished promptly through your Division's Supply Technician by submitting an Inventory Data Record Form(s) (FD-513). This form should be sent to the Property Procurement and Management Section, Finance Division, Attention: Special Operations Support Desk, Room 6823, FBIHQ.

Non-Expendable property has been reported in the proper fashion according to FBI policies.

### 10. Nonexpendable property-Vehicles

Furnish a complete listing of all vehicles (cars, trucks, and motorcycles) in the operation to include seized/excess, undercover, rental/lease, or vehicles obtained from private parties. The listing should include make, model, VIN, BUCAR number, mileage, condition of vehicles, and remaining number of months in the lease or agreement, if any. If a BUCAR number was never assigned, one should be requested from the Automotive Management Unit, FBIHQ. All vehicles acquired through must be returned to the from which it was obtained.

No Non-Expendable vehicles were purchased during UCO.

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FD-515 (Rev. 10-1-96) Squad supervisor approval (please initial) Accomplishment involves:	Accomplishment Report (Accomplishment must be reported and loaded within 30 days from date of accomplishment.)	
(check all that apply)   File Nur   Drugs	1-Used, but did 2-Helped, minir	nally  4 - Absolutely essential ist. by other FO (s) indicate A,B,C,D for corresponding FO
Computer Fraud/Abuse Corruption of Public Officials Stat Agent Sub Invest Asst by FO (s)  Asst. FO(s),,, RA A, B, C, D	Name Aircraft Asst. Computer  Squad Consen Mon. Elsur / FISC	Lab. Div. Exam  Lab. Field Sup  UCO - Group II  Ft. Mon NRCSC  For. Lang Asst.  Pen Registers  UCO - Nat. Back  Photo Cover.  Polygraph  Crim Intel Asst  b6
Task Force  Assisting Agents Society  Name:  2  Name:	e. Sec. No. ×  Isur / T. III  Ing. Field Spt  Ing. Tape Ex  Ing. Sec. No. ×  Ing. Tape Ex  Ing. Tape Ex  Ing. Tape Ex  Ing. Tape Ing. Tape Ex  Ing. Tape Ing	Search Warrant         Crisis Neg Fed.         D 70           Show Money         Crisis Neg Local         D 71           SOG Asst.         ERT Asst.         ERT Asst.           Swat Team         Butte - ITC         Tech. Ag/Equip.           Tech. Ag/Equip.         Sav - ITC           Phone Toll Rec         Poc - WRCSC
A. Complaint / Information / Indictment  Federal Local International  Complaint Date  Check if Civil Rico Complaint Information Date  Indictment Date 5/28/58	D. Hostage(s) Released Date Released by:	F. Civil Rico Matters Date Also Complete Section I or Other Civil Matters Date Judgment
B. Locate/ Arrest  Federal Local International Subject Priority: A B C  Locate Date  Arrest Date  Subject Resisted Arrest  Subject Arrested was Armed	Recovery Date  Code • Amount  \$  Restitution Date Court Ordered Pretrial Diversion Code • Amount	Judicial Outcome X •  Amount: \$  Suspension: Years Months  G. Administrative Sanctions Date  Subject Description Code •
C. Summons  □ Federal □ Local  Summons Date □ 5 28 5 €	PELP Date Code • Amount	Type: Length:  Suspension Permanent  Debarment Years Months Injunction
H. Conviction  ☐ Federal ☐ Local ☐ International	I. U.S. Code Violations  Required for Sections A, B, F, and H  (Federal only)	J. Sentence Date:  Sentence type:,
Subject Description Code: • ()•  For 6F, G, HInclude Agency Code  Felony Or Misdemeanor	Title Section # of Counts  18 1341 3  18 1957 2	In-Jail Suspended Probation Years Months Years Months  Fines: \$  K. Acquittal / Dismissal / Pretrial Diversion
Plea Or Trial State: Judicial District:	18 371 2	Acquittal Date Dismissal Date Pretrial Diversion Date
L. Subject Information (Required for all Section Name	Page • Race • CLAWCY	LP))  Sex Date of Birth Social Security No. (if available)  F 1/2/5-3 034-3(6.6305
For Indictments/Convictions only:  Subject related to an LCN, Asian Organize	d Crime (AOC), Italian Organized Crime (IOC) or a VCMO Program relating to street gangs	Group-Complete FD-515a, Side 1

× Additional information may be added by attaching another form or a plain sheet of paper for additional entries.

See codes on reverse side.

Serial No. of FD-515

120

# •

### PROPERTY CODES

01	Cash

02 Stocks, Bonds or Negot. Instruments

03 General Retail Merchandise

04 Vehicles

05 Heavy Machinery & Equipment

06 Aircraft 07 Jewelry

VesselsArt, Antiques or Rare Collections

11 Real Property

### SENTENCE TYPES

CP Capital Punishment JS Jail Sentence LS Life Sentence

NS No Sentence (Subject is a Fugitive, Insane, has Died, or is a

Corporation)
PB Probation

SJ Suspension of Jail Sentence

YC Youth Correction Act

### PELP CODES

22 Counterfeit

Stocks/Bonds/Currency/ Negotiable Instruments

23 Counterfeit/Pirated Sound Recordings or Motion Pictures

24 Bank Theft Scheme Aborted25 Ransom, Extortion or Bribe

Demand Aborted
26 Theft From or Fraud Against
Government Scheme Aborted

27 Commercial or Industrial
Theft Scheme Aborted

30 All Other

### RACE CODES

A Asian/Pacific Islander

B Black

I Indian/American

U Unknown W White'

X Nonindividual

### JOINT AGENCY CODES

ACIS Army Criminal Investigative Service

BATF Bureau of Alcohol, Tobacco & Firearms

BIA Bureau of Indian Affairs
DCAA Defense Contract Audit Agency

DCIS Defense Criminal Investigative Service
DEA Drug Enforcement Administration

DOC Department of Corrections

DOI Dept. of Interior

EPA Environmental Protection Agency
FAA Federal Aviation Administration
FDA Food and Drug Administration
HHS Dept. of Health & Human Services
HUD Dept. of Housing & Urban Development

INS Immigration and Naturalization Service

IRS Internal Revenue Service

NASA Nat'l Aeronautics & Space Admin NBIS Nat'l NARC Border Interdiction NCIS Naval Criminal Investigative Service RCMP Royal Canadian Mounted Police

SBA Small Business Administration
USBP U.S. Border Patrol
USCS U.S. Customs Service
USDS U.S. Department of State
USPS U.S. Postal Service
USSS U.S. Secret Service

USTR U.S. Treasury
LOC Local
CITY City
COUN County

ST State OTHR Other

### JUDGMENT CODES

CJ Consent Judgment

CO Court Ordered Settlement

DF Default Judgment

DI Dismissal

JN Judgment Notwithstanding

MV Mixed Verdict

SJ Summary Judgment

VD Verdict for Defendant

VP Verdict for Plaintiff

### JUDICIAL OUTCOME

AG Agreement

BR Barred/Removed

CC Civil Contempt

DC Disciplinary Charges

FI Fine

PI Preliminary Injunction

PR Temporary Restraining Order

PS Pre-filing Settlement

RN Restitution

SP Suspension

VR Voluntary Resignation

OT Other

### SUBJECT PRIORITY

A Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years

B Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.

C All other subjects.

### SUBJECT DESCRIPTION CODES

# ORGANIZED CRIME SUBJECTS

1F Boss

1G Underboss

1H Consigliere

1J Acting Boss1K Capodecina

1L Soldier

### KNOWN CRIMINALS

2A Top Ten or I.O. Fugitive

2B Top Thief

2C Top Con Man

### FOREIGN NATIONALS

3A Legal Alien

3B Illegal Alien

3C Foreign Official W/out Diplomatic Immunity

3D U.N. Employee W/out Diplomatic Immunity

3E Foreign Student

3F All Others

### OTHERS

8A All Other Subjects

8B Company or Corporation

### TERRORISTS

4A Known Member of a

Terrorist Organization

4B Possible Terrorist Member or Sympathizer

### UNION MEMBERS

5D President

5E Vice-President

5F Treasurer

5G Secretary/Treasurer

5H Executive Board Member

5I Business Agent

5J Representative

5K Organizer
5L Business M

5L Business Manager5M Financial Secretary

5N Recording Secretary

5P Office Manager 5Q Clerk

5R Shop Steward

5S Member

5T Trustee 5U Other

## GOVERMENT SUBJECTS

6A Presidential Appointee6B U.S. Senator/Staff

6C U.S. Representative/Staff

6D Federal Judge/Magistrate

6E Federal Prosecutor

6F Federal Law Enforcement Officer

6G Federal Employee - GS 13 & Above6H Federal Employee - GS 12 & Below

6J Governor

6K Lt. Governor

6L State Legislator

6M State Judge/Magistrate

6N State Prosecutor

6P State Law Enforcement Officer

6Q State - All Others

6R Mayor

6S Local Legislator

6T Local Judge/Magistrate

6U Local Prosecutor

6V Local Law Enforcement Officer

6W Local - All Others

6X County Commissioner

6Y City Councilman

### BANK EMPLOYEES

7A Bank Officer

7B Bank Employee

Case Number: 194B-BS-81295 Serial No.:		Stat Agent : Stat Agent :			•	ort Date: 0 m Date.: 0		
Does Accomplis				Assisti	ng Agents SOC		Subject	
Drugs	: N : N : N se : N ic Officials: Y					RA  PROV	Y, ROSEN	
Sub. Invest. Asst Investiga	tive Assistance or	Technique Used	_		2 = Helped 3 = Helped	but did no , Minimall , Substant tely Essen	y ially	
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST.	LAB DIV EXAMS LAB FIELD SUP PEN REGISTERS PHOTO COVERGE POLYGRAPH SRCH WAR EXEC SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP	UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC	FOR LA	N-NRCSC ING ASST II LAB EX IITN COOR ·		Ī		

Accomplishment Narrative

ON 5/28/99 A SUMMONS WAS ISSUED FOR ROSEMARY GLANCY, W/F, DOB: 1/2/53, SSAN: 038-36-6305 TO APPEAR IN U.S. DISTRICT COURT TO ANSWER CHARGES IN VIOLATION OF 3 COUNTS, TITLE 18, U.S. CODE SECTION 1341, 2 COUNTS, TITLE 18, SECTION 1951, AND 2 COUNTS, TITLE 18, SECTION 371

SENSITIVE / UNCLASSIFIED

b6 b7C b7E

b7E

Serial No.:

Stat Agent Name: Stat Agent SOC.

Report Date: 06/08/1999 Accom Date .: 05/28/1999

Does Accomplishment Involve \_\_\_\_\_ 

A Fugitive. . . . . . . . . . . . . . . . . N Bankruptcy Fraud. . . . . . . . N Computer Fraud/Abuse. . . . : N Corruption of Public Officials: Y

Forfeiture Assets . . . . . : N

UCO-GROUP I

UCO-GROUP II

Assisting Agents SOC

Subject Name

GLANCY, ROSEMARY

Squad Task Force PROV P1

Sub. Invest. Asst by Other FOs:

Investigative Assistance or Technique Used

FINAN ANALYST LAB DIV EXAMS AIRCRAFT ASST LAB FIELD SUP COMPUTER ASST PEN REGISTERS CONSEN MONITR ELSUR/FISC POLYGRAPH ELSUR/III ENG FIELD SUP

UCO-OTHER PHOTO COVERGE NCAVC/VI-CAP CRIM/NS INTEL SRCH WAR EXEC CRIS NEG-FED SHOW MONEY CRIS NEG-LOC SOG ASST ERT ASST BUTTE-ITC SWAT TEAM TECH AG/EQUIP SAVANNAH-ITC POC-WRCSC TEL TOLL RECS

VICT-WITH COOR

FT. MON-NRCSC FOR LANG ASST NON FBI LAB EX 1 = Used, but did not help

2 = Helped, Minimally

3 = Helped, Substantially

4 = Absolutely Essential

Indictment is for Federal, Local, or International (F/L/I)...: F

Form FD-515a Side 2:

ENG TAPE EXAM

LEGATS ASST.

EVIDNCE PURCH

INFORMANT/CW

Investigative Efforts = N/A OR NONE Subject's Role = N/A OR NONE

Scope = N/A OR NONE

U. S. Code Violation(s)

========		
Title	Section	Count
18	1341	3
18	1951	2
18	371	2

Subject's Criminal Activity :

If Other, Specify. . . :

If NON-LCN Member or Associate (M/A): Name of NON-LCN Criminal Group. . . :

If La Cosa Nostra (LCN) Member or Asso (M/A): Name of LCN Organized Crime Group (OCG) . . . . : 

Name of Union:

Union Affiliation: If Other, Specify:

Level of Union. . . : If Local, Give Number: Position in Union.: If Other, Specify:

Business Influenced/Affected: If Other, Specify. . . . .:

Name of Company Subject Connected with:

Elected/Appointed Public Official Position:

If Other, Specify. :

b7E

**b**6

b7C

b7E

Accomplishment Narrative

ON 5/28/99 ROSEMARY GLANCY, W/F, DOB: 1/2/53, SSAN: 038-36-6305, WAS INDICTED ON 3 COUNTS IN VIOLATION OF TITLE 18 U.S. CODE, SECTION 1341, AND 2 COUNTS EACH IN VIIOLATION TO TITLE 18, SECTION 1951 AND 371

SENSITIVE / UNCLASSIFIED

FD-515 (Rev. 10-1-96) Squad supervisor appropriate (please initial) Accomplishment involves:	roval	(Accomplishme within 30	Accomplishment R nt must be reported a days from date of ac	nd loaded into	o Is	Date Prepared Date Loaded <i>6/8/99_</i> _ Data Loader's Initials <i>9.30113</i>
(check all that apply)  Drugs  A Fugitive  Bankruptcy Fraud  Computer Fraud/Abuse	File Nun	5-81295	2 -He For Sub. Rate FO IAT	ed, but did not elped, minimally Invest. Assist. Rate FO	help / by other F0	Assistance or Technique Used  3 - Helped, substantially 4 - Absolutely essential O (s) indicate A,B,C,D for corresponding FO  Rate FO IAT Rate FO IAT
Corruption of Public Officials Forfeiture Assets Sub Invest Asst by FO (s)	Stat Agent	Name Squad	Fin. Analyst Aircraft Asst Computer Consen Mor		ab. Div. Exab. Field Sten Registe	UCO - Group II For. Lang Asst.  UCO - Nat. Back Non FBI Lab Ex
Asst. FO(s),,,, A, B; C, D	Assisting Agents Soo	P-1	Elsur / FISC Elsur / T. III Eng. Field S	P S	olygraph earch Warn	Crim Intel Asst k
	Name:	-	Eng. Tape E Legats Asst. Evid Purchas Inf/CW Info	Se T	OG Asst. wat Team ech. Ag/Eq hone Toll F	guip Sav - ITC
B. Locate/ Arrest    Federal   Local     Subject Priority:   A     Locate Date   /	International 28 58  International B C St Armed	Release Number Child Lo  E. Recover Feder Recover Code •  Restitut Cour	e(s) Released Date _ d by:	Other P×	G.	Also Complete Section I  or  Other Civil Matters Date Judgment  Judicial Outcome × •  Amount: \$  Suspension: Years Months  Administrative Sanctions Date  Subject Description Code•  Type: Length:  □ Suspension □ Permanent □ Debarment □ Years Months
Summons Date			\$ e Violations		J.	☐ Injunction
☐ Federal ☐ Local ☐  Conviction Date:  Subject Description Code:  For 6F, G, HInclude Age ☐ Felony Or ☐ Misdeme ☐ Plea Or ☐ Trial  State: Judicial Districe	_• ()• ency Code eanor	(Federal of Title  18  18  18  18	Section #600 1554 1 1551 3 1551 3	of ints	К.	Sentence Date:  Sentence type:,,  In-Jail
L. Subject Information (Requ	uired for all Sectio Name	ns excluding S	ection D and E (Rec			Date of Birth Social Security No. (if available)

For Indictments/Convictions only:

Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC) Group-Complete FD-515a, Side 1

Subject related to an OC/Drug Organization or a VCMO Program relating to street gangs involved in drugs-Complete FD-515a, Side 2

X Additional information may be added by attaching another form or a plain sheet of paper for additional entries.

Serial N

See codes on reverse side.

Serial No. of FD-515

1254



### PROPERTY CODES

กา	Cash

02 Stocks, Bonds or Negot. Instruments

General Retail Merchandise

04 Vehicles

05 Heavy Machinery & Equipment

በና Aircraft 07 Jewelry

08 Vessels 09 Art, Antiques or Rare Collections

Real Property 11 All Other 20

### SENTENCE TYPES

CP Capital Punishment JS Jail Sentence TS Life Sentence

No Sentence (Subject is a Fugitive, Insane, has Died, or is a Corporation)

PB Probation

SJ Suspension of Jail Sentence

YC Youth Correction Act

### PELP CODES

22 Counterfeit

Stocks/Bonds/Currency/ Negotiable Instruments

23 Counterfeit/Pirated Sound Recordings or Motion Pictures

Bank Theft Scheme Aborted 24 Ransom, Extortion or Bribe Demand Aborted

26 Theft From or Fraud Against Government Scheme Aborted

27 Commercial or Industrial Theft Scheme Aborted

30 All Other

### RACE CODES

Asian/Pacific Islander

В Black

Ι Indian/American

П Unknown

W White

Nonindividual

### JOINT AGENCY CODES

Army Criminal Investigative Service ACIS

BATE Bureau of Alcohol, Tobacco & Firearms

BIA Bureau of Indian Affairs DCAA Defense Contract Audit Agency

Defense Criminal Investigative Service DCIS DEA Drug Enforcement Administration

DOC Department of Corrections

DOI Dept. of Interior

Environmental Protection Agency **EPA** Federal Aviation Administration FAA Food and Drug Administration FDA HHS Dept. of Health & Human Services

HUD Dept. of Housing & Urban Development Immigration and Naturalization Service INS

IRS Internal Revenue Service

NASA Nat'l Aeronautics & Space Admin NBIS Nat'l NARC Border Interdiction NCIS Naval Criminal Investigative Service RCMP Royal Canadian Mounted Police Small Business Administration SBA

USBP U.S. Border Patrol USCS U.S. Customs Service USDS U.S. Department of State USPS U.S. Postal Service USSS U.S. Secret Service

USTR U.S. Treasury LOC Local CITY City County COUN

ST State OTHR Other JUDGMENT CODES

CJ Consent Judgment

CO Court Ordered Settlement

Default Judgment DI Dismissal

Judgment Notwithstanding

MV Mixed Verdict

SI Summary Judgment

Verdict for Defendant

Verdict for Plaintiff VP

### JUDICIAL OUTCOME

AG Agreement

BR Barred/Removed

Civil Contempt

Disciplinary Charges DC

FI Fine

Preliminary Injunction

Temporary Restraining Order PR

Pre-filing Settlement PS

RN Restitution

SP Suspension

Voluntary Resignation VR

OT Other

### SUBJECT PRIORITY

Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years

Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.

All other subjects.

### SUBJECT DESCRIPTION CODES

### ORGANIZED CRIME SUBJECTS

1F Boss-

1G Underboss

1H Consigliere

1.J Acting Boss 1K Capodecina

Soldier

### KNOWN CRIMINALS

2A Top Ten or I.O. Fugitive

2R Top Thief

2C Top Con Man

### FOREIGN NATIONALS

3A Legal Alien

3B Illegal Alien

3C Foreign Official W/out Diplomatic Immunity

3D U.N. Employee W/out Diplomatic Immunity

3E Foreign Student 3F All Others

### **OTHERS**

84 All Other Subjects 8B Company or Corporation

### TERRORISTS

4A Known Member of a

Terrorist Organization

or Sympathizer

### **UNION MEMBERS**

5D President

Vice-President 5E

Treasurer

Secretary/Treasurer 5G

5H **Executive Board Member** 

5I **Business Agent** 

53 Representative

5K Organizer 5L Business Manager

5M Financial Secretary

5N Recording Secretary

5P Office Manager 5Q Clerk

Shop Steward 5R

5S Member

5T Trustee 5U Other

Possible Terrorist Member

# **GOVERMENT SUBJECTS**

Presidential Appointee

U.S. Senator/Staff

6C U.S. Representative/Staff

Federal Judge/Magistrate Federal Prosecutor

6F Federal Law Enforcement Officer

Federal Employee - GS 13 & Above

6H Federal Employee - GS 12 & Below

61 Governor 6K Lt. Governor

State Legislator 61

State Judge/Magistrate

6N State Prosecutor

State Law Enforcement Officer

State - All Others 6Q

6R Mayor

Local Legislator

Local Judge/Magistrate

Local Prosecutor

Local Law Enforcement Officer

6W Local - All Others

County Commissioner

City Councilman 6Y

### BANK EMPLOYEES

7A Bank Officer

7B Bank Employee

### 

Case	Nur	mber:	194B-BS-81295
Ser	ial	No.:	

Stat Agent Name: Stat Agent SOC.:

Report Date: 06/08/1999 Accom Date:: 04/28/1999

Does Accomplishment Involve

Assisting Agents SOC

Subject Name

PANNONE, JOSEPH

RA Squad Task Force
--- ---- PROV P1

Sub. Invest. Asst by Other FOs:

Investigative Assistance or Technique Used

2 = Helped, Minimally

3 = Helped, Substantially

1 = Used, but did not help

FINAN ANALYST
AIRCRAFT ASST
OMPUTER ASST
ONSEN MONITR
ELSUR/FISC
ELSUR/III
ENG FIELD SUP
ENG TAPE EXAM
LEGATS ASST.

EVIDNCE PURCH

INFORMANT/CW

LAB DIV EXAMS
LAB FIELD SUP
PEN REGISTERS
PHOTO COVERGE
POLYGRAPH
SRCH WAR EXEC
SHOW MONEY
SOG ASST
SWAT TEAM
TECH AG/EQUIP
TEL TOLL RECS

UCO-GROUP I
UCO-GROUP II
UCO-OTHER
NCAVC/VI-CAP
CRIM/NS INTEL
CRIS NEG-FED
CRIS NEG-FED
CRIS NEG-IOC
ERT ASST
BUTTE-ITC
SAVANNAH-ITC
POC-WRCSC

FT. MON-NRCSC FOR LANG ASST NON FBI LAB EX VICT-WITN COOR 4 = Absolutely Essential

United States Code Violation

Title	itle Section	
18	1956	1
18	1341	3
18	1951	3
18	371	3

Accomplishment Narrative

ON 4/28/99 A CRIMINAL COMPLAINT WAS FILE IN U.S. DISTRICT COURT ON JOSEPH A. PANNONE, W/M, DOB: 11/26/22, SSAN: 039-12-1254, FOR ONE COUNT IN VIOLATION OF TITLE 18, UNITED STATES CODE, SECTION 1956, 3 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 1341, 3 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 1951 AND 3 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 371

SENSITIVE / UNCLASSIFIED

b7E

b6

b7C

b7E

Case Number: 194B-BS-81295 Serial No.:

Stat Agent Name: Stat Agent SOC.

Report Date: 06/08/1999 Accom Date.: 05/28/1999

Does Accomplishment Involve 

A Fugitive. . . . . . . . . . . . . N Bankruptcy Fraud. . . . . . . . N Computer Fraud/Abuse. . . . . . N Assisting Agents SOC

Subject Name

PANNONE, JOSEPH

Squad Task Force PROV

Sub. Invest. Asst by Other FOs:

ENG TAPE EXAM

EVIDNCE PURCH

INFORMANT/CW

LEGATS ASST.

Corruption of Public Officials: Y Forfeiture Assets . . . . . . . . N

Investigative Assistance or Technique Used

1 = Used, but did not help 2 = Helped, Minimally

3 = Helped, Substantially

4 = Absolutely Essential

FINAN ANALYST LAB DIV EXAMS UCO-GROUP I AIRCRAFT ASST LAB FIELD SUP PEN REGISTERS OMPUTER ASST ONSEN MONITE PHOTO COVERGE ELSUR/FISC POLYGRAPH SRCH WAR EXEC ELSUR/III SHOW MONEY ENG FIELD SUP

SOG ASST

SWAT TEAM

TECH AG/EQUIP

TEL TOLL RECS

UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC

FT. MON-NRCSC FOR LANG ASST NON FBI LAB EX VICT-WITH COOR

Indictment is for Federal, Local, or International (F/L/I)...: F

U. S. Code Violation(s)

Form FD-515a Side 2: Investigative Efforts = N/A OR NONE Subject's Role = N/A OR NONE Scope = N/A OR NONE

\_\_\_\_\_\_ Title Section Counts \_\_\_\_ -----18 1956 1341 18 3 18 1951 3 18 371

Subject's Criminal Activity : If Other, Specify. . . :

If NON-LCN Member or Associate (M/A): Name of NON-LCN Criminal Group. . . :

If La Cosa Nostra (LCN) Member or Asso (M/A): Name of LCN Organized Crime Group (OCG) . . . . : Position in LCN OCG . . . . . . . . . . . . . . . :

Name of Union:

Union Affiliation: If Other, Specify:

Level of Union. . . : If Local, Give Number: losition in Union.: If Other, Specify:

Business Influenced/Affected: If Other, Specify. . . . . :

Name of Company Subject Connected with:

Elected/Appointed Public Official Position:

If Other, Specify. :

b7E

b6

b7C b7E

Accomplishment Narrative

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ON 5/28/99 JOSEPH A. PANNONE WAS INDICTED ON 1 COUNT IN VIOLATION OF TITLE 18, UNITED STATES CODE, SECTION 1956 AND 3 COUNTS EACH IN VIOLATION OF TITLE 18, UNITED STATES CODE, SECTIONS 1341, 1951 AND 371

SENSITIVE / UNCLASSIFIED

١

4

FD-515 (Rev. 70-1-96)			Accomplishm							
Squad supervisor appr	roval		ent must be repo				Date Prepa	red	79	
(please initial)		within 3	0 days from date	or accomplish	ımenı)		Date Loade	r's Initials —	onB	
Accomplishment involves: (check all that apply)	File Nun									
				1-Used, but did		_	sistance or Technique	Used  ped, substant	tially	
Drugs	194B. BS	- 8/255		2 -Helped, mini		Þ		solutely essen		
Bankruptcy Fraud	Stat Agent So	oc Sec No	Fo	r Sub. Invest. As	sist. by	other FO (	s) indicate A,B,C,D for co	responding F	·O	
Computer Fraud/Abuse			_	AT Rate FO	$\neg$	IAT	Rate FO IAT	Rate FO	_	
Corruption of Public Officials			Fin. A	nalyst	Lab.	. Div. Exam	UCO - Group I	_	Ft. Mon NRCSC	
Forfeiture Assets	Stat Agent	Name	Aircra	ift Asst.	Lab.	. Field Sup	UCO - Group I	<u> </u>	For. Lang Asst.	
Sub Invest Asst by FO (s)			Comp	uter	Pen	Registers	UCO - Nat. Ba	ж	Non FBI Lab Ex	
Asst. FO(s),,,	RA	Squad	Cons	en Mon.	Pho	to Cover.	NCAVC / VI - C	;AP		
A, B, C, D	Prou	7-1	Elsur	/ FISC	Poly	graph	Crim Intel Asst		b6	
	Assisting Agents Soc	Sec No ×	Elsur	/T. III	Sea	rch Warrant	Crisis Neg Fe	ed.	b7C	
Task Force	Assisting Agents Co.	. oec. 140.	Eng. I	Field Spt.	Sho	w Money	Crisis Neg Lo	ocal	b7E	
			II ———————————————————————————————————	Гаре Ех	<u> </u>	G Asst.	ERT Asst.	$\dashv$	<b></b>	
	Name:		I —	s Asst.		t Team	Butte - ITC	$\dashv$		
	2	_		Purchase	_	h. Ag/Equip	1	$\dashv$		
			l —		_					
	Name:		Int/CV	V Info	Pho	ne Toll Rec	Poc - WRCSC		<u></u>	
A. Complaint / Information	/ Indictment	D. Hostag	e(s) Released D	)ate		F.	Civil Rico Matters Da	ite		
Federal ☐ Local ☐.		_	d by: 🔲 Terror				Also Complete Section			
Complaint Date 4			of Hostages:	<del>_</del>			Also Complete Section	•		
,	•		• –				or			
Check if Civil Rico Compl	laint [	Chila La	ocated Date				Other Civil Metters D	_4_		
Information Date	- leer	E. Recove	ry / Restitution	/ PELP ×		1	Other Civil Matters D	ate	<del></del>	
Indictment Date	28/77	☐ Fede	ral 🔲 Local 🗀	] International			Judgment			
	<del></del>	Recover	y Date				Judicial Outcome	ו		
B. Locate/ Arrest		Code • Amount			Amount: \$					
≠ Federal 🗌 Local 🔲	International		\$				Suspension:	[		
Subject Priority: 🗌 A 🦳	тв гтс		\$		_		•	Years N	Months	
Locate Date					_					
Arrest Date 4/28	150		tion Date rt Ordered							
· ·	•		trial Diversion			G. A	dministrative Sanctio	ns Date _		
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Subject Arrested was A	Armed		\$		1		Type: 1	.ength:		
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C. Summons		PELP I	Date	_			☐ Debarment ☐	Years M	1antha	
<del>- ဩ Fe</del> deral ☐ Local	, .	Code ●	Amount		_	☐ Deparment ☐ Years Months ☐ Injunction				
Summons Date	20 5 X		\$				manonon			
U Considetina		I. U.S. Cod	le Violations							
H. Conviction			for Sections A,	R F and H		J. S	entence Date:		_	
☐ Federal ☐ Local ☐	International	(Federal o		J, 1 , and 11		s	entence type:,_	. •	,	
Conviction Date:		` —				_				
- Date:		Title		# of Counts			In-Jail Suspen 'ears Months Years M	onths Years	bation Months	
Subject Description Code:	• (         )•	18	1956							
For 6F, G, HInclude Age	•			<del>'</del>		-				
	•	18	1341	3		F	ines: \$			
☐ Felony Or ☐ Misdeme	eanor	18	1951	3		κΔ	cquittal / Dismissal /	Pretrial Di	version	
☐ Plea Or ☐ Trial		10	371	<u> </u>		1	cquittal Date			
States Indiated District	1.	18	1 3 2/	3			Dismissal Date			
State: Judicial Distric	t:	10	982			P	retrial Diversion Date		_	
L. Subject Information (Requ	uired for all Saction	ne evaludina C		/Recovery/PE	: D//	1			b6	
		excluding 8	ection b and E			<del></del>			b7c	
	Name			Race ●	)   Se	ex I Da	ate of Birth   Social S	ecurity No. (if	(available)	
For Indictments/Convictions										
Subject related to an LCN	N, Asian Organized	Crime (AOC),	Italian Organize	ed Crime (IOC	) Grou	p-Comp	ete FD-515a, Side 1	- 014 0		
Subject related to an OC/										
Additional information may	be added by attach	ing another for	m or a plain shee	et of paper for a	additior	nal entrie:	s. [	Serial No	o. of FD-515	

See codes on reverse side.

### PROPERTY CODES

01	Cash

Stocks, Bonds or Negot. Instruments

General Retail Merchandise

04 Vehicles

05 Heavy Machinery & Equipment

06 Aircraft 07

Jewelry 08 Vessels

09 Art, Antiques or Rare Collections

Real Property 11

20 All Other

### SENTENCE TYPES

CP Capital Punishment

JS Jail Sentence

LS Life Sentence

No Sentence (Subject is a Fugitive, Insane, has Died, or is a

Corporation) PB Probation

SI Suspension of Jail Sentence

Youth Correction Act

### PELP CODES

22 Counterfeit

Stocks/Bonds/Currency/ Negotiable Instruments

23 Counterfeit/Pirated Sound Recordings or Motion Pictures

Bank Theft Scheme Aborted 24 Ransom, Extortion or Bribe

Demand Aborted

26 Theft From or Fraud Against Government Scheme Aborted

27 Commercial or Industrial Theft Scheme Aborted

30 All Other

### RACE CODES

Asian/Pacific Islander

В Black

I Indian/American

Ħ Unknown

White W

X Nonindividual

### JOINT AGENCY CODES

Army Criminal Investigative Service ACIS

Bureau of Alcohol, Tobacco & Firearms BATF

BIA Bureau of Indian Affairs

DCAA Defense Contract Audit Agency

DCIS Defense Criminal Investigative Service DEA Drug Enforcement Administration

DOC Department of Corrections

DOI Dept. of Interior

**Environmental Protection Agency** EPA

Federal Aviation Administration FAA

Food and Drug Administration FDA

Dept. of Health & Human Services HHS

HUD Dept. of Housing & Urban Development

Immigration and Naturalization Service INS

IRS Internal Revenue Service

NASA Nat'l Aeronautics & Space Admin NRIS Nat'l NARC Border Interdiction

NCIS Naval Criminal Investigative Service

**RCMP** Royal Canadian Mounted Police

Small Business Administration SBA

USBP U.S. Border Patrol USCS U.S. Customs Service

USDS U.S. Department of State

U.S. Postal Service USPS

USSS U.S. Secret Service

USTR U.S. Treasury

LOC Local

CITY City

COUN County

ST State

OTHR Other

### JUDGMENT CODES

CJ Consent Judgment

CO Court Ordered Settlement

Default Judgment

DI Dismissai

Judgment Notwithstanding JN

MV Mixed Verdict

Summary Judgment SJ

Verdict for Defendant

VP Verdict for Plaintiff

### JUDICIAL OUTCOME

AG Agreement

BR Barred/Removed

CC Civil Contempt

Disciplinary Charges DC

FI Fine

Preliminary Injunction

PR Temporary Restraining Order

Pre-filing Settlement PS

RN Restitution

Suspension SP

Voluntary Resignation VR

Other OT

### SUBJECT PRIORITY

Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years

Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.

All other subjects.

### SUBJECT DESCRIPTION CODES

### ORGANIZED CRIME SUBJECTS

- 1 P Boss
- Underboss 1G
- 1H Consigliere
- 1J Acting Boss
- 1K Capodecina Soldier 1L

### KNOWN CRIMINALS

2A Top Ten or I.O. Fugitive

2R Top Thief

Top Con Man

### FOREIGN NATIONALS

3A Legal Alien

3B Illegal Alien

3C Foreign Official W/out Diplomatic Immunity

3D U.N. Employee W/out Diplomatic Immunity

Foreign Student 3E

3F All Others

### **OTHERS**

A۸ All Other Subjects

8B Company or Corporation

### TERRORISTS

4A Known Member of a

Terrorist Organization

Possible Terrorist Member or Sympathizer

### UNION MEMBERS

President

Vice-President 5E

Treasurer 5G Secretary/Treasurer

5H Executive Board Member 5I **Business Agent** 

5J Representative

5K Organizer

5L Business Manager 5M Financial Secretary

5N Recording Secretary

5P Office Manager 5Q Clerk

5R Shop Steward

5S Member

5T Trustee Other

### **GOVERMENT SUBJECTS**

6A Presidential Appointee

U.S. Senator/Staff

U.S. Representative/Staff Federal Judge/Magistrate 4D

Federal Prosecutor

Federal Law Enforcement Officer

Federal Employee - GS 13 & Above 6H Federal Employee - GS 12 & Below

61 Governor

6K Lt. Governor State Legislator 61.

State Judge/Magistrate

6N State Prosecutor

6R

State Law Enforcement Officer State - All Others 6Q

Mayor Local Legislator

KΤ Local Judge/Magistrate

6U Local Prosecutor 6V Local Law Enforcement Officer

6W Local - All Others

County Commissioner 6X 6Y City Councilman

# BANK EMPLOYEES

7A Bank Officer

7B Bank Employee

# \*\*\*\*\*\*\*\*\*\*\*\* COMPLAINT \*\*\*\*\*\*\*\*\*\*

SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295 Serial No.:

Stat Agent Name Stat Agent SOC.

Report Date: 06/09/1999 Accom Date.: 04/28/1999

Does Accomplishment Involve

A Fugitive. . . . . . . . . . . . N Bankruptcy Fraud. . . . . . . . . N Computer Fraud/Abuse. . . . : N Corruption of Public Officials: Y

Forfeiture Assets . . . . . . . . . . . . .

SAVANNAH-ITC

POC-WRCSC

Assisting Agents SOC

Subject Name

Squad Task Force PROV

Sub. Invest. Asst by Other FOs:

EVIDNCE PURCH

INFORMANT/CW

Investigative Assistance or Technique Used

1 = Used, but did not help 2 = Helped, Minimally

3 = Helped, Substantially

4 = Absolutely Essential

INAN ANALYST

LAB DIV EXAMS UCO-GROUP I AIRCRAFT ASST LAB FIELD SUP UCO-GROUP II PEN REGISTERS UCO-OTHER COMPUTER ASST ONSEN MONITR PHOTO COVERGE NCAVC/VI-CAP ELSUR/FISC POLYGRAPH CRIM/NS INTEL ELSUR/III SRCH WAR EXEC CRIS NEG-FED ENG FIELD SUP SHOW MONEY CRIS NEG-LOC ENG TAPE EXAM SOG ASST ERT ASST BUTTE-ITC LEGATS ASST. SWAT TEAM

FT. MON-NRCSC FOR LANG ASST NON FBI LAB EX VICT-WITH COOR

Complaint is for Federal/Local/International (F/L/I)...: F Civil Rico Complaint (Y/N)..... N

TECH AG/EQUIP

TEL TOLL RECS

United States Code Violation \_\_\_\_\_

Title	Section	Counts
18	1956	1
18	1341	3
18	1951	3
18	371	3

Accomplishment Narrative

ON 4/28/99 A COMPLAINT WAS FILED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND AGAINST

IN VIOLATION OF: 1 COUNT, TITLE 18, U.S.C., SECTION 1956, 3 COUNTS, TITLE 18, 1341, 3 COUNTS TITLE 18, SECTION 1951, 3 COUNTS TITLE 18, SECTION 371 AND 1 COUNT TITLE 18, SECTION 982

SENSITIVE / UNCLASSIFIED

b7C b7E

b6

b7E

b6 b7C

SENSITIVE / UNCLASSIFIED

Case	Nun	ber:	194B-BS-81295
Seri	ial	No.:	

Stat Agent Name: Stat Agent SOC.

Report Date: 06/09/1999 Accom Date.: 05/28/1999

Does Accomplishment Involve \_\_\_\_\_

Drugs . . . . . . . . . . . . . N A Fugitive. . . . . . . . . . . . N Bankruptcy Fraud. . . . . . . . N Computer Fraud/Abuse. . . . : N Corruption of Public Officials: Y

Assisting Agents SOC

Subject Name

Task Force Sanad PROV P1

Sub. Invest. Asst by Other FOs:

LEGATS ASST.

EVIDNCE PURCE

INFORMANT/CW

Forfeiture Assets . . . . . . . N

Investigative Assistance or Technique Used

BUTTE-ITC

POC-WRCSC

SAVANNAH-ITC

LAB DIV EXAMS UCO-GROUP I TINAN ANALYST AIRCRAFT ASS AB FIELD SUP UCO-GROUP II COMPUTER ASS PEN REGISTERS UCO-OTHER CONSEN MONITE HOTO COVERGE NCAVC/VI-CAP ELSUR/FISC POLYGRAPH CRIM/NS INTEL RCH WAR EXEC CRIS NEG-FED ELSUR/III ENG FIELD SUE SHOW MONEY CRIS NEG-LOC ENG TAPE EXAM OG ASST ERT ASST

FT. MON-NRCSC FOR LANG ASST NON FBI LAB EX VICT-WITH COOR 1 = Used, but did not help

2 = Helped, Minimally

3 = Helped, Substantially

4 = Absolutely Essential

Indictment is for Federal, Local, or International (F/L/I)...: F

SWAT TEAM

rech ag/equir

TEL TOLL REC

U. S. Code Violation(s)

Form FD-515a Side 2: Investigative Efforts = N/A OR NONE Subject's Role = N/A OR NONE Scope = N/A OR NONE

=======		=======
Title	Section	Counts
18	1956	1
18	1341	3
18	1951	3
18	371	3

Subject's Criminal Activity : If Other, Specify. . . :

If NON-LCN Member or Associate (M/A): Name of NON-LCN Criminal Group. . . :

If La Cosa Nostra (LCN) Member or Asso (M/A): Name of LCN Organized Crime Group (OCG) . . . . : 

Name of Union:

Union Affiliation: If Other, Specify:

Level of Union. . . : If Local, Give Number: Position in Union.: If Other, Specify:

Business Influenced/Affected: If Other, Specify. . . . . :

Name of Company Subject Connected with:

Elected/Appointed Public Official Position:

If Other, Specify. :

b7E

b6 b7C

b7E

Accomplishment Narrative

ON 4/28/99 WAS
INDICTED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND
IN VIOLATION OF: 1 COUNT, TITLE 18, U.S.C., SECTION 1956, 3 COUNTS, TITLE
18, 1341, 3 COUNTS TITLE 18, SECTION 1951, 3 COUNTS TITLE 18, SECTION 371
AND 1 COUNT TITLE 18, SECTION 982

SENSITIVE / UNCLASSIFIED

b6 b7C

LAB DIV EXAMS UCO-GROUP I INAN ANALYST AIRCRAFT ASST LAB FIELD SUP UCO-GROUP II PEN REGISTERS COMPUTER ASST UCO-OTHER CONSEN MONITR PHOTO COVERGE NCAVC/VI-CAP ELSUR/FISC POLYGRAPH CRIM/NS INTER CRIS NEG-FED ELSUR/III SRCH WAR EXEC ENG FIELD SUP SHOW MONEY CRIS NEG-LOC ENG TAPE EXAM SOG ASST ERT ASST LEGATS ASST. SWAT TEAM BUTTE-ITC EVIDNCE PURCH TECH AG/EQUIP SAVANNAH-ITC POC-WRCSC INFORMANT/CW TEL TOLL RECS

FT. MON-NRCSC FOR LANG ASST NON FBI LAB EX VICT-WITH COOR 4 = Absolutely Essential

Arrest is for Federal, Local, or International (F/L/I).. : F Arrest Subject Priority (A/B/C)..... : C Did Subject Resist (Y/N)..... : N Was Subject Armed (Y/N)..... N

### United States Code Violation

Title Section Count 18 1956 1 18 1341 3 1951 18 3 18 371 3

Accomplishment Narrative

WAS ARRESTED ON 4/28/99 ON 1 COUNT IN VIOLATION OF TITLE 18, U.S.C., SECTION 1956, 3 COUNTS EACH IN VIOLATION OF TITLE 18, U.S.C., SECTIONS 1341, 1951, AND 371, AND 1 COUNT IN VIOLATION OF TITLE 18, U.S.C., SECTION 982

SENSITIVE / UNCLASSIFIED

b6 b7C b7E

b7E

b6 b7C

v. 10-1-96)
Squad supervisor approval
(please initial)



# Accomplishment Report (Accomplishment must be reported and loaded into IS

Date Prepared 5

(please initial)	olovai —	within 3	0 days from	date of accom	olishn	nent)		Date Loaded — Data Loader's In				
Accomplishment involves: (check all that apply)	Eilo Nu	mhau		<del> </del>								
Drugs	File Nui			1-Used, bu		_	ive Assistanc	e or Technique Used: : 3 - Helped:	d substantially			
A Fugitive	1,440-62.	818 75		2 -Helped,	minim	4 - Absolutely essential ther FO (s) indicate A,B,C,D for corresponding FO						
Bankruptcy Fraud	Stat Agent S	oc. Sec. No.	Date 50			-						
Computer Fraud/Abuse			Rate FO	IAT Ra in. Analyst	te FO	IAT Lab. Div	- r	UCO - Group I	Rate FO IAT Ft. Mon NRCSC			
Corruption of Public Officials	Stat Agent	Name	<del> </del>	ircraft Asst.	<del> </del>	Lab. Fiel		UCO - Group II	For, Lang Asst.			
Forfeiture Assets  Sub Invest Asst by FO (s)			<del>                                     </del>	omputer	<del> </del>	Pen Reg		UCO - Nat. Back	Non FBI Lab Ex			
	RA	Squad	<del>   -</del>	onsen Mon.	+-	Photo Co		NCAVC / VI - CAP	Non For Lab Ex			
Asst. FO(s),,,	Providence	P-1	<del></del>	Isur / FISC		Polygrap		Crim Intel Asst	be			
A, B, C, D			<del>  -</del>	Isur / T. III	-	Search V						
Task Force	Assisting Agents So	c. Sec. No. ×	.   -   -		-	Show Me		Crisis Neg Fed.	ь			
			I <del></del>	ng. Field Spt.			<del></del>	Crisis Neg Local	<del></del>			
			I <del>I                                   </del>	ng. Tape Ex	+	SOG As	<del>-                                    </del>	ERT Asst.				
			I <del>I                                    </del>	egats Asst.	-			Butte - ITC	<del>-   -   -   -   -   -   -   -   -   -  </del>			
			I <del>I                                   </del>	vid Purchase	-	Tech. Ag		Sav - ITC				
		1	<u> </u>	if/CW Info		Phone T	oll Hec	Poc - WRCSC				
A. Complaint / Information	n / Indictment	D. Hostag	e(s) Releas	ed Date		_	F. Civil R	ico Matters Date .				
☐ Federal ☐ Local ☐	International	Release	d by: 🔲 Te	rrorist 🗌 Oth	er		Also Co	omplete Section I				
Complaint Date		Number	of Hostages	:	_							
Check if Civil Rico Comp	olaint 🗍	Child Lo	ocated Date	·	_			or				
Information Date		E Pacova	n/ / Pactitut	ion / PELP ×			Other (	Civil Matters Date				
Indictment Date		1	•	Internatio	nal		Judgm	ent•				
			y Date				Judicial Outcome × •					
B. Locate Arrest		Code •	Amoun				Amount: \$					
Federal Local	] International		\$					Suspension:				
Subject Priority:			\$				ouopo.		Years Months			
Locate Date						'						
Arrest Date 4/2	2199		t <b>ion Date</b> rt Ordered									
	•		trial Diversio	n		[ G		strative Sanctions D				
☐ Subject Resisted Arre		Code ●	Amou	nt			Subj	ect Description Cod	e•			
Subject Arrested was	Armed		\$				Тур	e: Lengt	h:			
C. Summons		DELD	)			l		Suspension 🗌 Pe	rmanent			
☐ Federal ☐ Loca	o.l	Code •	Date Amou					Debarment 🔲 🔀	ears Months			
			\$					Injunction				
Summons Date			Ψ									
H. Conviction			e Violations		_		.I Santano	e Date:				
☐ Federal ☐ Local ☐	] International	1		A, B, F, and F	ł				1			
Conviction Data		(Federal o			_			e type:,,				
Conviction Date:		Title	Section	n # of Counts			In-Ja Years M	ail Suspended Months Years Months	Probation Years Months			
Subject Description Code:	• ( )•	18	1950	2	7							
For 6F, G, HInclude Ag	_ \	! <del></del>			-		<u> </u>		<del></del>			
	-	<u>  18</u>	195	(h) 1	_		Fines: \$	<del></del>	-			
☐ Felony Or ☐ Misdem	leanor					F	C. Acquitta	al / Dismissal / Pre	trial Diversion			
🔲 Plea Or 🔲 Trial					†		Acquittal	Date				
State: Judicial Distric	ct:	İ						al Date				
			•				Pretrial [	Diversion Date				
L. Subject Information (Rec	quired for all Section	ns excluding S	ection D an	d E (Recover	y/PEL	-P))						
	Name			Ra	се •	Sex	Date of Bi	rth Social Securit	ty No. (if available)			
JOSEPH PA	NNONE			V	1	M	11/26)		2-1524			
For Indictments/Conviction			<u> </u>		-		1 11 11	44 VOW 12	_ ,			
Subject related to an LC	N, Asian Organize	d Crime (AOC),	Italian Orga	nized Crime (	(OC)	Group-C	omplete FD-	515a, Side 1				
Subject related to an OC	<del></del>											
X Additional information may	actte vid habbe an v	ning another for	n or a plain	choot of nanor	for or	ditional a	antrice	م کا ا	rial No. of ED-515			

See codes on reverse side.



# PROPERTY CODES

- Cash
- 02 Stocks, Bonds or Negot. Instruments
- General Retail Merchandise
- 04 Vehicles
- 05 Heavy Machinery & Equipment
- 06 Aircraft 07 Jewelry
- 08 Vessels
- 09 Art, Antiques or Rare Collections
- Real Property 11
- 20 All Other

### SENTENCE TYPES

- CP Capital Punishment
- Jail Sentence JS
- LS Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a Corporation)
- PB Probation
- Suspension of Jail Sentence
- Youth Correction Act

### PELP CODES

- 22 Counterfeit
  - Stocks/Bonds/Currency/ Negotiable Instruments
- 23 Counterfeit/Pirated Sound Recordings or Motion Pictures
- Bank Theft Scheme Aborted 24
- Ransom, Extortion or Bribe Demand Aborted
- 26 Theft From or Fraud Against Government Scheme Aborted
- 27 Commercial or Industrial Theft Scheme Aborted
- 30 All Other

### RACE CODES

- Asian/Pacific Islander
- В Black
- I Indian/American
- H Unknown
- W White
- Nonindividual

### JOINT AGENCY CODES

- ACIS Army Criminal Investigative Service
- Bureau of Alcohol, Tobacco & Firearms BATF
- BIA Bureau of Indian Affairs
- DCAA Defense Contract Audit Agency
- DCIS Defense Criminal Investigative Service DEA Drug Enforcement Administration
- Department of Corrections DOC
- DOI Dept. of Interior
- Environmental Protection Agency EPA
- Federal Aviation Administration FAA
- Food and Drug Administration FDA
- Dept. of Health & Human Services HHS
- HUD Dept. of Housing & Urban Development
- Immigration and Naturalization Service INS
- IRS Internal Revenue Service
- NASA Nat'l Aeronautics & Space Admin NBIS Nat'l NARC Border Interdiction
- Naval Criminal Investigative Service
- NCIS Royal Canadian Mounted Police RCMP
- SBA Small Business Administration
- USBP U.S. Border Patrol
- USCS U.S. Customs Service
- USDS U.S. Department of State
- USPS U.S. Postal Service
- USSS U.S. Secret Service
- USTR U.S. Treasury
- LOC Local
- CITY City COUN County
- State
- ST OTHR

### SUBJECT DESCRIPTION CODES

### ORGANIZED CRIME SUBJECTS

- 1F Boss
- Underboss 1G
- 1H Consigliere
- 13 Acting Boss
- 1K Capodecina Soldier

### KNOWN CRIMINALS

- 2A Top Ten or I.O. Fugitive
- 2B Top Thief
- 2C Top Con Man

### FOREIGN NATIONALS

- 3A Legal Alien
- 3B Illegal Alien
- 3C Foreign Official W/out Diplomatic Immunity
- 3D U.N. Employee W/out Diplomatic Immunity
- Foreign Student 3E
- 3F All Others

### OTHERS

- RA All Other Subjects
- 8B Company or Corporation

### **TERRORISTS**

- 4A Known Member of a
  - Terrorist Organization
- Possible Terrorist Member
  - or Sympathizer

### UNION MEMBERS

- President
- Vice-President 5E
- 5F Treasurer
- 5G Secretary/Treasurer
- 5H **Executive Board Member**
- 5I Business Agent 5J Representative
- 5K Organizer
- 5L Business Manager
- 5M Financial Secretary
- 5N Recording Secretary
- 5P Office Manager
- 5Q Clerk
- Shop Steward 5R
- 5S Member
- 5T Trustee
- 5U Other

### JUDGMENT CODES

- CJ Consent Judgment
- CO Court Ordered Settlement
- Default Judgment
- DI Dismissal
- Judgment Notwithstanding JN
- MV Mixed Verdict
- SJ Summary Judgment
- Verdict for Defendant
- VP Verdict for Plaintiff

### JUDICIAL OUTCOME

- AG Agreement
- BR Barred/Removed
- Civil Contempt CC
- DC Disciplinary Charges
- FΙ Fine
- Preliminary Injunction
- Temporary Restraining Order PR
- **Pre-filing Settlement** PS
- RN Restitution
- SP Suspension
- Voluntary Resignation VR
- Other OT

### SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

### **GOVERMENT SUBJECTS**

- 6A Presidential Appointee
- U.S. Senator/Staff U.S. Representative/Staff
- 6D Federal Judge/Magistrate
- Federal Prosecutor
- Federal Law Enforcement Officer
- Federal Employee GS 13 & Above
- ĸн Federal Employee - GS 12 & Below
- 6J Governor
- 6K Lt. Governor
- State Legislator 6L
- State Judge/Magistrate State Prosecutor
- 6N State Law Enforcement Officer
- 6Q State - All Others
- 6R Mayor
- Local Legislator Local Judge/Magistrate
- Local Prosecutor
- Local Law Enforcement Officer
- 6W Local - All Others
- 6X County Commissioner
- 6Y City Councilman

### BANK EMPLOYEES

- 7A Bank Officer
- 7B Bank Employee

Г

Case Number: 194B-BS-81295 Serial No.: Stat Agent Name: Stat Agent SOC.:

Report Date: 05/05/1999 Accom Date:: 04/28/1999

Does Accomplishment Involve

 Assisting Agents SOC

FOR LANG ASST

NON FBI LAB EX

VICT-WITH COOR

Subject Name
----PANNONE, JOSEPH

RA Squad Task Force
--- ---- PROV P1

Sub. Invest. Asst by Other FOs:

Investigative Assistance or Technique Used

FINAN ANALYST LAB DIV EXAMS UCO-GROUP I FT. MON-NRCSC

AIRCRAFT ASST LAB FIELD SUP UCO-GROUP II COMPUTER ASST PEN REGISTERS UCO-OTHER ONSEN MONITR PHOTO COVERGE NCAVC/VI-CAP ELSUR/FISC POLYGRAPH CRIM/NS INTEL ELSUR/III SRCH WAR EXEC CRIS NEG-FED ENG FIELD SUP SHOW MONEY CRIS NEG-LOC ENG TAPE EXAM SOG ASST ERT ASST LEGATS ASST. SWAT TEAM BUTTE-ITC EVIDNCE PURCH TECH AG/EQUIP SAVANNAH-ITC INFORMANT/CW POC-WRCSC TEL TOLL RECS

1 = Used, but did not help

2 = Helped, Minimally

3 = Helped, Substantially

4 = Absolutely Essential

# United States Code Violation

Title Section Count
---- -----18 1956 2
18 1956H 1

Accomplishment Narrative

ON 4/28/99 JOSEPH PANNONE, W/M, DOB: 11/26/22, SSAN: 036-12-1524 WAS ARRESTED WITHOUT INCIDENT ON W COUNTS IN VIOLATION OF TITLE 18, SECTION 1956, AND 1 COUNT IN VIOLATION OF TITLE 18, SECTION 1956(H)

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE Date: 08/19/1999	
To: Inspection Division  Attn:  Evaluation and Analysis Section/Audit Unit Room GRB-204	ь6 ь7с
From: Boston Providence RA (P-1) Contact: SRA (401) 272-8310 x138	Ь6 Ь7С
Approved By:	<b>57C</b>
Drafted By:	
Case ID #: 194B-BS-74741 (Pending) 194B-BS-80859 (Pending) 194B-BS-81295 (Pending) 66F-HQ-C1228606 (Pending)	
Title: CONGRESSIONAL AUDIT REPORT	b7E
Reference: Inspection Division EC, dated 8/6/99, 66F-HQ-C1228606-I-74.	
Synopsis: To report status of captioned case as pending.	
Details: Criminal proceedings remain pending for the captioned investigation. On 5/27/99, a special federal grand jury indicted three subjects on Hobbs Act, mail fraud and conspiracy charges. Evidence gathered in the captioned case will be discoverable in these criminal proceedings.	
<b>**</b>	
The same was the same and the s	

EFR.

8/13/99

SEARCHED - 81295 - 136
SERIALIZED - 1215 - 1216

AUG 1 9 1999

1/26/1998)

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE	Date: 09/28/1999
To: LABORATORY DIVISION Att	en: EST II FORENSIC PROGRAM
From: BOSTON P-1/PROVIDENCE RA	TOTAL TROOTER
Contact: SA	EXT 131 b6 b7c
Drafted By:	
Case ID #: 194B-BS-81295 (Pending)	
Title: PLUNDERDOME CSLPO - LOCAL LEVEL	
Synopsis:	b7D
Package Copy: The original cassette recording equipment are being forwar	
Enclosure(s): Enclosed for the Labority original ELSUR Cassette Tape, Item # 7/29/99, one (1) SONY Cassette Recormodel #TCM-S67V,	‡ 1D 178, BSCM-1213-7U, dated
Details: Reference Bureau Telcal be Examiner, Laboratory Divis	etween writer and b6 sion on September 27, 1999. b7c
	b7D
Writer removed the aforement recording device on August 2, 1999. cassette, it was determined that the	upon further review of this tape appeared to be blank
	MALL COST BIZUE - 142
	A the state of the
	EFP.
	DATE 9/30/99

a73JACOLEC

To: LABORATORY DIVISION From: BOSTON

Re: 194B-BS-81295, 09/28/1999

except for a brief recording approximately halfway through Side A.

The Laboratory Division is requested to review the tape and the original recording equipment and attempt to determine if this tape was ever recorded on and/or possibly recorded over. If the tape was recorded over an attempt should be made to recover the erased conversations. Additionally, the Laboratory Division is requested to determine if the recording equipment is functioning properly.

Due to the fact that the Providence RA has limited technical devices it is requested that the recording equipment be returned to writer as soon as possible if it is found to be in proper working order.

To: LABORATORY DIVISION From: BOSTON

Re: 194B-BS-81295, 09/28/1999

Set Lead 1:

## LABORATORY DIVISION

# AT ERF EST II, QUANTICO, VA

Please review the Elsur Cassette Tape, Item #1D 178, BSCM-1213-7U, dated 7/29/99, and the original recording equipment to determine if this tape ever contained any recorded information and/or was erased. The Laboratory Division is requested to furnish whatever information they can regarding the above tape to include but not limited to recovering any conversations that may have been erased.





ate:	10/01/1999
nce R <i>I</i> . On	sed in A and forwarded 10/1/99, SA receipt of the
	urchas nce R <i>I</i> . On

EFIP LPULZ (99

b6 b7C

b6 b7C

b6 b7C

2745m & 08. EC

Precedence:	ROUTINE	Date:	10/20/1999	
To: Boston				
	n ovidence RA (P-1) ntact: SA			be
Approved By:				b7
Drafted By:	wda			
Case ID #: 19	94B-BS-81295 (Pending)			
Title: PLUNI CSLPO OO: I				
GRAND J	URY MATERIAL - DISSEMINATI	E PURSUANT TO	RULE 6(e)	
Synopsis: Exercise evidence store	xplanation for delayed subrage room.	omission of e	vidence to	
Federal grand have been ret cabinet. On	6/24-25/99, several docur d jury investigating capt: tained by SA 10/19/99, a decision was nce room with other docume gation.	ioned matter. in a lock made to stor	These items ed file e these items	b(
<b>**</b>				
		**************************************		
	V	L 19 AZA W SHAWARAN		
		p 1 I I K ough lashyind dhuasayin andas	194B-BS-81295-	148
	-		ear ear	2
	Line 1	PP\75\01	2930DAOITEC	
		2	2934DAOI.EC	

-D <b>•</b> };5 (Re	ev. 10-1-96)   Squad supervisor approval
V	Squad supervisor approval
	(please initial)

Accomplishment Report
(Accomplishment must be reported and loaded into IS within 30 days from date of accomplishment)

Date Prepared	12/1/99
Date Loaded	
Data Loader's Initi	als

(please initial)	- 7	within 30	days fror	n date of acco	mplishm	ent)		Date Loaded -			
Accomplishment involves:								Data Loader's	Initials —		_
(check all that apply)	File Nun		ļ	4.11		-	ssistance or	Technique Us			
Drugs	1948.85 81	295	Ì		, but did no ed, minima			3 - Helped 4 - Absolu			
A Fugitive	Stat Agent So	oc. Sec. No.		For Sub. In	est. Assis	st. by other FO	(s) indicate A,	B,C,D for corres	ponding F	:O	
Bankruptcy Fraud  Computer Fraud/Abuse	<b></b>		Rate FO	IAT	Rate FO	IAT	Rate FO	IAT	Rate FO	IAT	_
Corruption of Public Officials			•	Fin. Analyst		Lab. Div. Exa	m <u>u</u>	CO - Group I		Ft. Mon NRCS	sc
Forfeiture Assets	Stat Agent	Name		Aircraft Asst.		Lab. Field Su	p U	CO - Group II		For. Lang Ass	st.
Sub Invest Asst by FO (s)				Computer		Pen Registers	s U	CO - Nat. Back		Non FBI Lab I	Ex
Aset FO(s)	RA	Squad		Consen Mon.		Photo Cover.	N	CAVC / VI - CAP			7
Asst. FO(s),,,,	PROU T	>-1		Elsur / FISC		Polygraph		rim Intel Asst			–b6 –b7∙
	Assisting Agents Soc	Con No X		Elsur / T. III		Search Warra	nt c	risis Neg Fed.			_b7:
- Tuek 1 6166		. Sec. No.		Eng. Field Spt.		Show Money	<b>⊣</b> ⊢	risis Neg Local	1		_5/.
	1	-		Eng. Tape Ex		SOG Asst.	⊣ ⊢	RT Asst.	1		
				Legats Asst.		Swat Team	<b>⊣</b> ⊢	utte - ITC	-		
				Evid Purchase			<b>⊣</b> ⊢		1		$\dashv$
						Tech. Ag/Equ	H F	av - ITC		<u> </u>	-
				Inf/CW Info		Phone Toll Re	P P	oc - WRCSC	<u></u>	<u></u>	ᆗ
A. Complaint / Information	/ Indictment	D. Hostage	e(s) Relea	sed Date		_   F.	Civil Rico I	Matters Date			
☐ Federal ☐ Local ☐ I		_	• •	Terrorist ☐ C		_   ''		ete Section I			
Complaint Date			•	es:			Also Compi	CIC OCCION I			
Check if Civil Rico Comple			•	ate				or			
Information Date 11/2				ution / PELP			Other Civil	Matters Date			
Indictment Date			-	al 🗌 Interna			Judgment_	·····•			
							Judicial Out	tcome	ו		
B. Locate/ Arrest		Code •	Amol								
☐ Federal ☐ Local ☐ I	International	0000	\$ Suspension:								
Subject Priority:			\$				Suspension	· [	Years 1	Months	ı
· — —	_		_   Φ					L			
Locate Date	<del></del>										┥
Arrest Date		_	t Ordered rial Divers			G.	Administrati	ive Sanctions	Date _		
☐ Subject Resisted Arres	t	Code ●	Amo				Subject	Description Co	de	•	ł
Subject Arrested was A	Armed		s				Type:	Len	gth:		
			<sup>\psi</sup>				☐ Susr	ension 🔲 F	- Permaner	nt	
C. Summons		PELP D	ate				-	arment 🔲 🏻			
☐ Federal ☐ Local		Code ●	Amo	ount			☐ Injur		Years I W	iontris	1
Summons Date _///2	4/55		\$					L			
L. Conviction		I. U.S. Cod	e Violatio	ns				11.1			$\dashv$
H. Conviction				ns A, B, F, and	1 H	J.	Sentence Da	ate:		_	
ÆFederal ☐ Local ☐ I	International	· (Federal o		, 2, . ,			Sentence typ	oe:,	•	•	-
Conviction Date:		Title	Secti	ion # of			In-Jail	Suspended		bation	
		Title	Secti	ion # of Count	s		Years Month	s Years Mont	hs Years	Months	
Subject Description Code:	· ()•	18	100								
For 6F, G, HInclude Ager	ncy Code	-	1,00		-	, L		\			
☐ Felony Or ☐ Misdeme	anor						Fines: \$		_	_	
							•	Dismissal / Pr		version	
☐ Plea Or ☐ Trial								e ite			
State: Judicial District	:			ļ		l l		sion Date			
L. Subject Information (Requ	ired for all Sectio	ns excluding S	ection D	and E (Recov	erv/PELI	1 P))					-b6
	Name	<u></u>			Bace •		Date of Birth	Social Secu	rity No. (if	 f available\	_b7
											7
For Indictments/Convictions	For Indictments/Convictions only:										
Subject related to an LCN	I, Asian Organized	Crime (AOC).	Italian Or	ganized Crime	e (IOC) (	Group-Comp	lete FD-515	a, Side 1			
Subject related to an OC/	Drug Organization	or a VCMO Pr	ogram rel	ating to street	gangs i	nvolved in d	rugs-Comple	ete FD-515a, S	Side 2		
											_

× Additional information may be added by attaching another form or a plain sheet of paper for additional entries.

• See codes on reverse side.

Serial No. of FD-515

#### PROPERTY CODES

01	Cash

Stocks, Bonds or Negot. Instruments

General Retail Merchandise 03

04 Vehicles

Heavy Machinery & Equipment 05

06 Aircraft 07 Jewelry 08 Vessels

09 Art, Antiques or Rare Collections

11 Real Property All Other 20

#### SENTENCE TYPES

CP Capital Punishment Jail Sentence IS LS Life Sentence

No Sentence (Subject is a Fugitive, NS Insane, has Died, or is a

Corporation) PR Probation

Suspension of Jail Sentence

YC Youth Correction Act

#### PELP CODES

22 Counterfeit

Stocks/Bonds/Currency/ Negotiable Instruments

Counterfeit/Pirated Sound Recordings or Motion Pictures

Bank Theft Scheme Aborted Ransom, Extortion or Bribe

Demand Aborted Theft From or Fraud Against

Government Scheme Aborted Commercial or Industrial

Theft Scheme Aborted

30 All Other

#### RACE CODES

Asian/Pacific Islander A

В Black

Indian/American ĭ

IJ Unknown W White

Nonindividual

#### JOINT AGENCY CODES

ACIS Army Criminal Investigative Service Bureau of Alcohol, Tobacco & Firearms BATF Bureau of Indian Affairs BIA Defense Contract Audit Agency DCAA

DCIS Defense Criminal Investigative Service DEA Drug Enforcement Administration

DOC Department of Corrections

DOI

Dept. of Interior Environmental Protection Agency **EPA** FAA Federal Aviation Administration FDA Food and Drug Administration Dept. of Health & Human Services HHS HUD Dept. of Housing & Urban Development Immigration and Naturalization Service INS IRS Internal Revenue Service NASA Nat'l Aeronautics & Space Admin

NBIS Nat'l NARC Border Interdiction NCIS Naval Criminal Investigative Service RCMP Royal Canadian Mounted Police SBA Small Business Administration

**USBP** U.S. Border Patrol USCS II.S. Customs Service USDS U.S. Department of State USPS U.S. Postal Service USSS U.S. Secret Service USTR U.S. Treasury

LOC Local CITY City COUN County ST State OTHR Other

#### JUDGMENT CODES

CJ Consent Judgment CO Court Ordered Settlement

Default Judgment DF DI Dismissal

Judgment Notwithstanding JN

MV Mixed Verdict SJ Summary Judgment

VD Verdict for Defendant

VP Verdict for Plaintiff

#### JUDICIAL OUTCOME

AG Agreement

BR Barred/Removed

CC Civil Contempt

DC Disciplinary Charges

FI Fine

PΙ Preliminary Injunction

Temporary Restraining Order PR

Pre-filing Settlement PS

Restitution RN

Suspension SP

VR Voluntary Resignation

OT Other

## SUBJECT PRIORITY

Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years

Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.

All other subjects.

#### SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME SUBJECTS

1F 1G Underboss 1H Consigliere

1J Acting Boss 1K Capodecina

1L Soldier

#### KNOWN CRIMINALS

2A Top Ten or I.O. Fugitive 2B Top Thief

2C Top Con Man

## FOREIGN NATIONALS

3A Legal Alien 3B Illegal Alien

Foreign Official W/out 3C Diplomatic Immunity

3D U.N. Employee W/out Diplomatic Immunity

3E Foreign Student All Others 3F

#### **OTHERS**

8A All Other Subjects Company or Corporation

#### TERRORISTS

4A Known Member of a Terrorist Organization Possible Terrorist Member or Sympathizer

#### UNION MEMBERS

SD President

5E Vice-President 5F Treasurer

Secretary/Treasurer 5G

5H Executive Board Member

51 **Business Agent** 

5J Representative

5K Organizer

5L Business Manager

5M Financial Secretary

5N Recording Secretary

5P Office Manager 5Q Clerk

5R Shop Steward

5S Member

5T Trustee

5U Other

#### **GOVERMENT SUBJECTS**

6A Presidential Appointee

U.S. Senator/Staff

6C U.S. Representative/Staff

Federal Judge/Magistrate

Federal Prosecutor

Federal Law Enforcement Officer Federal Employee - GS 13 & Above

Federal Employee - GS 12 & Below 6H

Governor

6K Lt. Governor

6L State Legislator

6M State Judge/Magistrate

6N State Prosecutor

State Law Enforcement Officer

State - All Others 60

6R Mayor

Local Legislator 6S

Local Judge/Magistrate

Local Prosecutor

Local Law Enforcement Officer

Local - All Others

County Commissioner

City Councilman

#### BANK EMPLOYEES

7A Bank Officer

7B Bank Employee

3/29/2000	**************** SUMMONS ************************************	
Case Number: 194B-BS-81295 Serial No.:	Stat Agent Name: Stat Agent SOC.:	Report Date: 03/29/2000 Accom Date: 11/24/1999
Does Accomplishment Involve	Assisting Age	
Drugs		RA Squad Task Force PROV P1
Sub. Invest. Asst by Other FOs: Investigative Assistance or	Technique Used	1 = Used, but did not help 2 = Helped, Minimally 3 = Helped, Substantially 4 = Absolutely Essential
FINAN ANALYST AIRCRAFT ASST LAB FIELD SUP COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW LAB FIELD SUP ENG TAPE EXAM SOG ASST SWAT TEAM TECH AG/EQUIP TEL TOLL RECS	UCO-GROUP I UCO-GROUP II FOR LANG ASST NON FBI LAB EX VICT-WITN COOR CRIM/NS INTEL CRIS NEG-FED CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	ь71
Federal or Local Summons (F/L): F		
	Accomplishment Narrative	

ul.\* , , &

SENSITIVE / UNCLASSIFIED

ON 1 COUNT IN

VIOLATION OF TITLE 18, U.S.C., SECTION 1001

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# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE	Date: 12/6/1999
To: Criminal Investigative Attn:	Unit Chief  SSA  Public Corruption Unit Room 3149
From: Boston Providence RA (P-1) Contact: SRA	(401) 272-8310 x138
Approved By:	b6 b7С
Drafted By:	
Case ID #: 194B-BS-81295 (Pending)	
Title: PLUNDER DOME	
Synopsis: To report the status of the centitled, "PLUNDER DOME; 1948-BS-81295".	
Reference: Re BS electronic communication Unit, dated 6/28/99.	ion to the Public
Enclosure(s): Enclosed for the Public one copy each of news articles from the 10/24, 11/25, 12/3, 12/4, and 12/7/99, 1	Providence Journal, dated
Details: As reported previously, on signand jury (FGJ) in a 13-count indictment and ROSEMARY GLANCY, the Deputy Tax Assess attempted extortion and mail fraud for it to assess property taxes. The FGJ also with additional counts of conspiracy and laundering money to be used for illicit officials.	nt charged PANNONE b6 essor, with conspiracy, b7c inducing illicit payments charged PANNONE and demoney laundering for
In the 13-count indictment, 10 counts: three conspiracy counts, a viscoint 1951 and 2; three counts of attention of Title 18 USC Section 1951; fraud, a violation of title 18 USC Section 1956 (h), 1956 (a) (3) (A) and 2.	iolation of Title 18 USC empted extortion, a three counts of mail ion 371 and 2; and one
E FIP	SEARCHED SINDEXED SERIALIZED FILED DEC 8 1999

12/8/99

FBI-BOSTON

To: Criminal Investigative From: Re: 194B-BS-81295, 12/6/1999 GLANCY was charged with seven counts: two counts of conspiracy, two counts of attempted extortion, and three counts of money laundering. On 7/29/99, the Chief United States District Court Judge, District of Rhode Island ordered that audio/video recordings and the 94 page affidavit for the search warrant remain sealed from the public. Sentencing has been set for 2/23/2000. On 12/3/99, PANNONE agreed to plead guilty and to 14 felony charges of conspiracy to commit extortion, attempted

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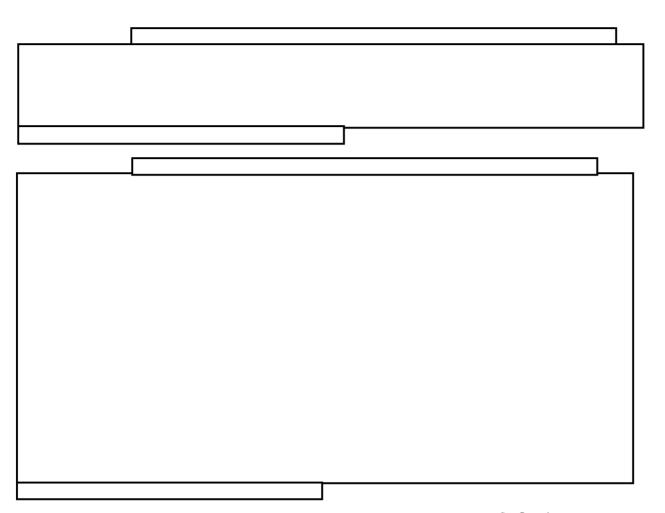
cooperate with the government in the captioned investigation. On 12/7/99, PANNONE plead guilty in United States District Court extortion and mail fraud. Of the existing indictment against PANNONE, only the money laundering charges were dropped.

This plea may have far reaching effects in view of the extensive statement of facts to which PANNONE plead. statement provides details of payments to and GLANCY; that PANNONE and arranged for a \$10,000 bribe to "another, unidentified city official in exchange for waiving \$450,000 in back taxes; and that another unidentified property owner - "an early bird taxpayer" bribed PANNONE and \_\_\_\_\_for a tax break that was granted 15 minutes before the tax board officially met on therefore avoiding any public opposition.

To: Criminal Investigative From: Boston

Re: 194B-BS-81295, 12/6/1999

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The reference made in the statement of facts regarding a \$10,000 bribe payment to an "unidentified city official" is speaking of an allegation that Mayor CIANCI was the "city official" that exchanged for the waiver of \$450,000 in back taxes.

Boston is attempting to develop additional witnesses	
through the cooperation that will be provided by and and	
PANNONE. In addition, Boston is aware of the fact that both	
have evidence regarding the alleged	
criminal activities of Mayor CIANCI.	

 $\ensuremath{\mathtt{FBIHQ}}$  , Public Corruption Unit, will be kept appraised of developments.

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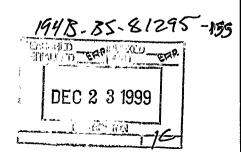
Precedence:	ROUTINE	Date:	12/14/1999	
To: Boston				
	n ovidence R <u>A (P-1)</u> ntact: SA			b6 b70
Approved By:				2.0
Drafted By:	:jc	$\mathcal U$		
Case ID #: 1	94B-BS-81295 (Pendi:	ng)		
Title: Oper CSLP	ation Plunder Dome; O			
	o report on findings dence City Hall, Prov			
of th files of the Probate, Pro	December 14, 1999, Some Rhode Island State in estate on Fernando Rovidence City Hall, Prois 81230. The followes:	Police reviewed thonci, Office of thousanders of the ovidence, Rhode Is	he Clerk of sland. The	ь6 ь70
withdrew fro admitted to	rnando Ronci who died m the estate. On 11/ represent the estate,	01/1994, specifically the	08/1994,	b6 b70
admitted to	- —	on 08/31,		
	e three original and Ant. 3, and was replaced by	hony Ronci. Antho	were ony Ronci died	b6 b7C
paid to of 241-245 R Probate Judg	petition was filed for in the an eservoir Avenue, Prove has yet to rule on cheduled before the Property of the	mount of idence, Rhode Islante the petition as of	for the sale and. The f this date. A	
A	total of eight heirs	were listed on the	e estate.	
	more services.		seile Se eine Gem	
		w	LARCHED WINDEXED FILED FILED	152
		and the same of the contraction of the same of the sam		
	English Committee of the Committee of th		DEC 1 4 1999	
	( ) ( ) ( ) ( ) ( ) ( )	12/15/99	FBI-BOSTON	

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	Precedence:	ROUTINE		Date:	12/21/1999	
	To: Boston		Attn:		$\neg$	
		n ovidence RA (P ntact: SA	-1)			
$\vee$	Approved By:		wda			
	Case ID #: 1	94B-BS-81295	(Pending)			
	CSLP	DER DOME O BOSTON				
	GRAND J	URY MATERIAL -	DISSEMINATE PU	IRSUANT TO	RULE 6(e)	
	Synopsis: E	xplanation of	delay in submis	sion of e	vidence.	
ı	Details:					
	That review attempt was Evidence Tec second attem back-up evid was required down on Mond has shut dow	and photocopy made to submit hnician was no pt was made on ence technicial because of the ay, 12/20/99 se	ng prior to sub work was comple that evidence t on duty becau Friday, 12/17/ n and SA e ten day rule. o no EC could b so far on 12/21	eted on 12 on 12/16/ use it was '99 by giv was advis The com be prepare	or storage. /15/99, an 99, but the Thursday. A ing it to the ed that this EC puters were d. This macro	
					DA B1.EC	- 153
		,	ERP	7 (	ARCHED INDEXED RIALIZED FILED	1
		3	12/21/19			1

Precedence: ROUTINE	Date: 12/23/1999
To: Inspection Division Attn:	Evaluation and Analysis Section/Audit Unit Room GRB-204
From: Boston Providence RA (P-1) Contact: SRA	(401) 272-8310 x138
Approved By:	
Drafted By:	
Case ID #: 194B-BS-74741 (Pending) 194B-BS-80859 (Pending) 194B-BS-81295 (Pending) 66F-HQ-C1228606 (Pending)	
Title: CONGRESSIONAL AUDIT REPORT	
Reference: Inspection Division EC, dat 66F-HQ-C1228606-I-139.	ed 8/6/99,
Synopsis: To report status of captione	d case as pending.
Details: Criminal proceedings remain p investigation. On 5/27/99, a special f three subjects on Hobbs Act, mail fraud Evidence gathered in the captioned case	ederal grand jury indicted and conspiracy charges.



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these criminal proceedings.

194B-BS-81295 -156

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8-291 (Rev. 1-6-93) Evidence Shipping FEDERAL BUREAU OF INVESTIGATION BLDG 27958A QUANTICO, VA 22135	
Date: 1/11/00 Re: PLUNDERDON	
To: SA  FEDERAL BUREAU OF INVESTIGATION SUITE 900 10 DORRANCE STREET PROVIDENCE, RHODE ISLAND 02903 TEL# (401) 272-8310/8311	DCAL LEVEL b6 ъ7с
Invoice of Contents	
Description of Contents:	FBI File# 194B-BS-81295
1. SPECIMEN Q1 (ONE MAXELL AUDIO CASSETTE) 2. SPECIMEN K1 (ONE SONY RECORDER + BATTERIES 3. SPECIMEN K2	) LAB# <u>991001255 QZ</u> ь7E
	Your#
	Return to Evidence Room
	Engineering Section
	Ext. 703-632-6191
Shipping # EVIDENCE EVIDENCE EVIDENCE PRIORITY HANDLING REQUESTED.  UPON RECEIPT, DELIVER TO CASE AGENT, OR CASE SUPVR.	b6 b7c
Shipping Methods	
Registered Mail/Return Receipt Requested	112/00
Overnight Security Signature Service	1/13/00
Other	
Packaged bySignature	
Hand Delivered	ergenerans proposa DA (Granzsking annya de manya
All items listed above are contained in this package.	
	Signature Written



# U.S. Department of stice

# Federal Bureau of Investigation

In Reply, Please Refer to File No.	One Center Plaza
	Boston, Massachusetts 02108 January 10, 2000
	b b b
Dear	:
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	k
	b b
	b
	1948-BS-81295-1158
	·
	J.N. 1 2 2000

Sincerely,

Barry Mawn Special Agent in Charge

By:
Senior Supervisory Special Agent

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Precedence: ROUTINE Date: 02/14/2000 To: BOSTON From: BOSTON P-1/PROVIDENCE RA EXT 110 Contact: SA Approved By: Drafted By: jac Case ID #: 194B-BS-81295 (Pending) Title: PLUNDER DOME; CSLPO - LOCAL LEVEL Synopsis: Request to be removed as Co-Case Agent. Details: Writer requests to be removed as Co-Case Agent from the above captioned matter due to the recent transfer to Squad P-2.

EFP.

FEB 1 4 2000

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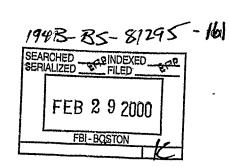
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045JR.O.O.I. EC

Precedence: ROUTINE	Date:	02/26/2000
To: Boston		
From: Boston Providence RA (P-1) Contact: SA		
Approved By:		
Drafted By: wda		
Case ID #: 194B-BS-81295 (Pending)		
Title: PLUNDER DOME CSLPO OO: BOSTON		
Synopsis: Return of Evidence		
Details: On 2/26/00, evidence that was especially on	4/26/99 W	as returned to
The evidence returned is de	tailed in with the r	eturn of the
documents. AUSAconcurred veridence.	MICH CHE I	CCULII OF CITC

057 WD AOI. EC

EMR.



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b6 b7C To:

SAC, Boston (P-1/Providence RA)

Date: February 28, 2000

Case ID No.:

194B-BS-81295 -**163** 

Lab No.:

991001255 QZ

Reference: Communication dated September 28, 1999

Your No.:

Title:

PLUNDERDOME;

CSLPO - LOCAL LEVEL

Date specimens received: October 1, 1999 and October 5, 1999

Specimens received: October 1, 1999

K1 One Sony TCM-S67V audio cassette tape recorder

K2

Specimen received: October 5, 1999

Q1 One Maxell Communicator Series C90 audio cassette marked in part "8/2/99"

on side A

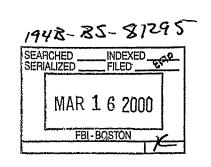
Remarks:

The results of the audio authenticity examination are included in this report.

Specimens K1, K2, and Q1 were forwarded to the Providence Resident Agency on January 11, 2000, via Federal Express.

Page 1 of 1

This Report is Furnished for Official Use Only





# FEDERAL BUREAU OF INVESTIGATION WASHINGTON, D. C. 20535

# Report of Examination

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	<i>K</i> ∠∆ <sup>∨</sup>
Examiner Name:	1871
LAMITHUE MAINE.	·/

Date: Feb

February 28, 2000

Unit:

Forensic Audio, Video & Image Analysis

Phone No.: (703) 632-6219

Case ID No.:

194B-BS-81295

Lab No.:

991001255 QZ

Results of Examinations:

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were conducted of specimen Q1 and test recordings prepared using specimens K1 and K2, which revealed the following (all times are approximate and in a minute:second format from the beginning of side A on specimen Q1):

- 1. Specimen Q1 contains no physical alterations.
- 2. Side A of specimen Q1 contains three recorded areas:
  - a. 01:00 to 01:02, a recording lasting 1.9 seconds containing, in part, telephone busy signals;
  - b. 32:56 to 32:58, a recording lasting 1.4 seconds containing noise;
  - c. 33:00, an erase head touch-down lasting 0.24 second. This touch-down occurred when the record button on a tape recorder was pushed in slightly, allowing the erase head to contact the specimen Q1 tape, but not enough to begin tape transport.
- 3. The recorded information at 01:00 to 01:02 and 32:56 to 32:58 is consistent with the use of the specimen K1 tape recorder. The event at 33:00 is too short to determine consistency with specimen K1.
- 4. Other than the above three recordings, the rest of side A and all of side B on specimen Q1 contain virgin/professionally bulk erased tape, consistent with new, un-recorded tape.
- 5. A preliminary test of specimen K2 revealed that

Precedence: ROUTINE	Date: 05/12/2000	j
To: Inspection Division Attn:	Evaluation and Analys Section/Audit Unit Room GRB-204	;is
From: Boston Providence RA (P-1) Contact: SRA	] (401) 272-8310 x138	
Approved By:	•	
Drafted By:		
Case ID #: 194B-BS-74741 (Pending) 194B-BS-80859 (Pending) 194B-BS-81295 (Pending) 66F-HQ-C1228606 (Pending)		·
Title: CONGRESSIONAL AUDIT REPORT		1
Reference: Inspection Division EC, date 66F-HQ-C1228606-I-209.	d 4/12/00,	
Synopsis: To report status of captioned	case as pending.	
Details: Criminal proceedings remain per investigation. Six subjects have been if federal grand jury (FGJ) on Hobbs Act, mucharges. All six subjects have been consentencing. The FGJ continues to hear exadditional subjects and it is expected the additional subjects. Evidence gathered will be discoverable in these criminal per investigations.	ndicted by a special ail fraud and conspir victed and are awaiti vidence against o be asked to indict in the captioned case	acy ing

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R/161.00 . .....

194B-BS-8/295 1 2 2000

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FD 15 (Rev. 6-4-98)  Squad supervisor approval (please initial)  Accomplishment involves:	Accomplishment Report Implishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)  Date Prepared 03/29/2000  Date Loaced Data Loacer's Initials	
Check all that apply)   File Number	1-Used, but did not help 3 - Helped, substantially 2 -Helped, minimally 4 - Absolutely essential	
Computer Fraud/Abuse Corruption of Public Officials Forfeiture Assets Sub Invest Asst by FO (s)  Asst. FO(s) A, B, C, D  Task Force  Assisting Agents Soc.	Fin. Analyst  Aircraft Asst.  Computer  Consen Mon.  Photo Cover.  P-1  Fin. Analyst  Lab. Div. Exam  UCO - Group I  For. Lang Asst.  UCO - Nat. Eack  Non FBI Lab Ex  Vict-Witn Coor  Polygraph  Crim/NS Inte. Ass	b6 b7C b7E
Name:  2. Name:	Eng. Tape Ex Legats Asst. Swat Team Butte - ITC  Evid Purchase Inf/CW Info Phone Toll Red Poc - WRCSC  J. Civil Rico Matters Date:	
Complaint Date: Check if Civil Rico Complaint Information Date: 29/2000 Indictment Date: B. Locate/ Arrest	Federal	b7E
Federal    Local    International Subject Reports:    A    B    C Locate Date:     Arrest Date:     Subject Resisted Arrest     Subject Arrested was Armed  C. Summons Date:     Federal    Local	State: K.T. Judicial District:  G. U.S. Code Violation Required for Sections A, B, F, and J (Federal only) Title Section # Counts  1951  Injunction Years Months	
D. Recovery/Restitution/PELP X  Federal Local International Recovery Date:  Code  Amount S  Code  Amount S  Restitution Date:  Court Ordered  Pretrial Diversion  Code  Amount S	L. Asset Seizure Date:  Asset Forfeiture Date:  CATS # Mandatory  Check one of the three:  In Jail: Years Months Asset Forfeiture - Administrative  Suspended: Years Months Asset Forfeiture - C.vil Judicial  Probation: Years Months Do not indicate S value in Section D	
PELP Date:  Code	I. Disruption/Dismantlement:  Disruption Date:  Dismantlement Date:  Completion of FD-515a Side 2 Mandatory  M. Acquittal / Dismissal / Pretrial Diversion  Acquittal Date:  Dismissal Date:  Pretrial Diversion Date:	
N. Subject Information (Required for all Sections Name  Subject related to an LCN, Asian Organized Crime (AOC Complete FD-515a, Side 1 Blocks A-E mandatory, F-H	Executeding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L.)    Race	ь6 ь7С
Subject related to an OC/Drug Organization, a VCMO Complete FD-515a, Side 1 Blocks A-C only.  X Additional information may be added by attaching a See codes on reverse side.	Program National Gang Strategy target group, or a VCMO Program National Priority of Lative target group -  Inother form or a plain sneet of paper for additional entries.  Serial No. of FD-515  and into ISRAA for recovery over S1m and PELP over S5m	

03/29/2000 SENSITIVE / UNCLASSIFIED Report Date: 03/29/2000 Stat Agent Name: Case Number: 194B-BS-81295 Accom Date .: 03/29/2000 Stat Agent SOC .: b6 Serial No.: Subject Name Assisting Agents SOC b7C Does Accomplishment Involve b7E RA Squad Task Force PROV 1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially Sub. Invest. Asst by Other FOs: Investigative Assistance or Technique Used 4 = Absolutely Essential FT. MON-NRCSC CO-GROUP I LAB DIV EXAMS LAB FIELD SUP FINAN ANALYST FOR LANG ASST JCO-GROUP II AIRCRAFT ASST COMPUTER ASST b7E NON FBI LAB EX PEN REGISTERS ICO-OTHER NCAVC/VI-CAP VICT-WITH COOR CONSEN MONITR ELSUR/FISC PHOTO COVERGE CRIM/NS INTEL CRIS NEG-FED POLYGRAPH SRCH WAR EXEC ELSUR/III CRIS NEG-LOC ENG FIELD SUP ENG TAPE EXAM SOG ASST ERT ASST BUTTE-ITC LEGATS ASST. EVIDNCE PURCH SWAT TEAM TECH AG/EQUIE SAVANNAH-ITC POC-WRCSC INFORMANT/CW TEL TOLL RECS Information is for Federal, Local, or International (F/L/I)....: FSerial Number of Information..... United States Code Violation Counts Title Section 2 18 1951 Accomplishment Narrative b6 FEDERAL INFORMATION WAS FILED IN U.S. DISTRICT COURT ON

SENSITIVE / UNCLASSIFIED

COUNTS IN VIOLATION OF TITLE 18, U.S.C., SECTION 1951

FOR 2

b7C

03/29/2000	**************** CONVICT SENSITIVE / UNCL	ION ************************************		
Case Number: 194B-BS-81295 Serial No.:	Stat Agent Name: Stat Agent SOC.:	Re Ad	eport Date: 03/29/2000 com Date.: 03/29/2000	ъ6 ъ7С
Does Accomplishment Involve		Assisting Agents SOC	Subject Name	b7E
Drugs		 	RA Squad Task Force	; -
Sub. Invest. Asst by Other FOs:		2 = Hel	d, but did not help ped, Minimally	
Investigative Assistance or	Technique Used	3 = Hel 4 = Abs	ped, Substantially olutely Essential	
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW  LAB DIV EXAMS LAB FIELD SUP EVAMS SHOW FOR THE LAB FIELD SUP	UCO-GROUP II FOR I UCO-OTHER NON E NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-LOC ERT ASST ' BUTTE-ITC SAVANNAH-ITC POC-WRCSC	ION-NRCSC ANG ASST BI LAB EX WITN COOR		b7E
Date of Sentencing (MM/DD/YYYY)		¬		b7E
Federal, Local, or International (F/Felony or Misdemeanor (F/M)	[L/I]			D/E
Plea or Trial (P/T) Judicial State Judicial District		KT		
Year Month	U. S. Code Viola	======== Form FD-515a	Side 2:	
Time in Jail. :: Time Suspended.: Probation Time.:	Title Section  18 1951	Subject's	ive Efforts = N/A OR NONE Role = N/A OR NONE /A OR NONE	
Total Fines :\$				
	Accomplishment	Narrative		
ON 3/29/2000 PLED GUILTY TO 2 COUNTS IN VIOLATION				b6 b7C

SENSITIVE / UNCLASSIFIED

b7C

Precedence: ROUTINE .	Date:	05/26/2000
To: Boston	• ,	•
From: Boston Providence RA (P-1) Contact: SRA	(401) 458	3-1138
Approved By:		· ·
Drafted By:	•	
Case ID #: 194B-BS-81295 (Pending)	٠.	
Title: PLUNDER DOME		
Synopsis: To clear lead assigned to SA		
Details: A lead was set on 11/5/98 for the case auditor for the captioned Group I U		nent of
The covert stage of this investiga and there is no further need for a case au		complete
Lead should be marked and cleared.	•	
<b>◆◆</b>	•	•

S/26/00 werked

Nesse Correct

Lead of Clear

1943-BS-81295 EAR -EAR - 169

b6 b7C

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147 DIK 01. EC

FD-515 (Rev. 6-4-98) Squad supervisor ap (please initial)	oproval	omplishme within 3	Accomplishment Report shment must be reported and loaded into ISRAA hin 30 days from date of accomplishment)  Date Prepared 7-7-00 Date Loaded 7-7-00 Data Loader's Initials 9mb						00				
Accomplishment involves:	·									Data Loade	rs Ir	nitials -	<u> </u>
(check all that apply)	File Numb						-	ssis	tance	or Technique			
Drugs	1946.35-	81295		1-Used, 2 -Help			•					, substa ely esse	
A Fugitive	Stat Agent Soc	Sec No						(s) in	dicate	e A,B,C,D for co			
Bankruptcy Fraud  Computer Fraud/Abuse	J Older rigorie God	,, 000, 110,	Rate	FO IAT	Rate	FO	IAT	Ra	te FC	) IAT	!	Rate F	O IAT
Computer Fraud/Abuse Corruption of Public Officials	<u></u>		<u>.                                     </u>	Fin. Analyst			Lab. Div. Exa	m		UCO - Group 1			Ft. Mon NRCSC
Forfeiture Assets		•		Aircraft Asst.			Lab. Field Su	р		UCO - Group 1	I		For. Lang Asst.
Sub Invest Asst by FO (s)				Computer			Pen Registers	S		UCO - Nat. Ba	.ck		Non FBI Lab Ex
Aget FO(e)	a RA	Squad		Consen Mon.			Photo Cover.			NCAVC / VI -	CAP		Vict-Witn Coor
Asst. FO(s),,,,	PROU	P-1		Elsur / FISC			Polygraph			Crim/NS Intel	Asst		
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Task Force	Assisting Agents Soc.	Sec. No. **		Eng. Field Spt.			Show Money	$\top$	1	Crisis Neg L	-		1
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				Int/CW Info	Щ		Phone Toll Re			Poc - WRCSC			
A. Complaint / Information		F. Convid					J.			o Matters Da	_	<del></del>	
☐ Federal ☐ Local	☐ International	€ec	teral			rnatio	onal	Also	Cor	nplete "Spctio	n <b>/G</b> "	3	6
Complaint Date:		Convi	ction D	)ate: 7-7	-0	<u>o</u> .		Oth	er Ci	ivii Mattels D	/ ate: ˌ	<u>/汝</u>	7-00
Check if Civil Rico Comp										nt		/.	, _
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			a		Tria			Sus	pens	ion: Years		Mo	nths
Federal Local	International	State:	<u> 171</u>	Judicial District:	<u> </u>	<u></u> _							
Subject Priority: A							к.	Adı	minis	strative Sanct	ion	Date:	
Locate Date:		G. U.S. C						Sub	oject	Description C	ode		<u>_</u> •
Arrest Date:		Require	ed for S	sections A, B, F, a	ınd .	J		Тур	-		Leng		
Subject Resisted Arre		(Federa	al only)						Sus	spension	َ ر	Perm	anent
☐ Subject Arrested was	Armed	Title		Section	# C	Count	s		Del	barment		or	r [
C. Summons Date:		78		1951 and 2		3_			Inju	inction '	/ear	s	_ Months
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E. Hostage(s) Released Da	te:							Acc	uitta	l Date:			
Released by:   Terroris	t 🔲 Other	Disruption Date: Acquittal Date: Dismantlement Date: Dismissal Date:						t t					
Number of Hostages:		1	Completion of FD-515a Side 2 Mandatory Pretrial Diversion Date:										
Child Located Date:		Completi	011 01 11	D-010a 01de 2 1416	arrue	ator y					-		
N. Subject Information (Re		s excluding S	Section	D (Recovery/PF	LP\	. Sec	tion E (Hos	tage	). Se	ction I. and S	ectic	on L.)	
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For Indictments/Convictions only:	Carl And y	Joseph 1	mi	wit									
Subject related to an LCN. As	ian Organized Crime (AC	<b>y</b> C), Italian Orga	nized C	rime (IOC), Russiai	n/Ea	stern	European, Ca	ribbe	an, o	r Nigerian Orga	nized	Crime	Group -
Complete FD-515a, Side 1 Ble Subject related to an OC/Dru	ocks A-E mandatorv. F-H	as appropriate											
Complete FD-515a, Side 1 Bl	locks A-C only,	, rugiani Natio	niai Gar	ıy ənategy target (	HIOU	p, or a	a voivio Prog	ıram I	ivallO	nai Erioniy initi	auv⊖	iarget !	group -
X Additional information may l	be added by attaching	another form o	r a plai	n sheet of paper t	or a	dditio	onal entries.				Se	erial N	lo. of FD-515
<ul> <li>See codes on reverse side.</li> </ul>										Ī			
✓ Requires that an explanatio	ii ne attached and load	ed into ISRAA	tor tec	overy over \$1m a	nd F	'ELP	over \$5m.				177	7	

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b6 b7C b7E

#### PROPERTY CODES

UΙ	Casn		
00	041	D 1 37 4	

- Stocks, Bonds or Negot. Instruments 03 General Retail Merchandise
- Vehicles 04
- Heavy Machinery & Equipment 05
- 06 Aircraft
- 07 Jewelry
- 08 Vessels Art, Antiques or Rare Collections 09
- 11 Real Property
- 20 All Other

## SENTENCE TYPES

- Capital Punishment
- JS Jail Sentence
- LS Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a Corporation)
- PB Probation
- Suspension of Jail Sentence SJ
- YC Youth Correction Act

#### PELP CODES

- 22 Counterfeit
  - Stocks/Bonds/Currency/ Negotiable Instruments
- Counterfeit/Pirated Sound
- Recordings or Motion Pictures Bank Theft Scheme Aborted
- 25 Ransom, Extortion or Bribe
- Demand Aborted
- Theft From or Fraud Against 26 Government Scheme Aborted
- 27 Commercial or Industrial
- Theft Scheme Aborted
- 30 All Other

#### RACE CODES

- Α Asian/Pacific Islander
- B Black
- Indian/American
- Unknown TT
- W White
- x Nonindividual

#### AGENCY CODES

- ACIS Army Criminal Investigative Service
- Bureau of Alcohol, Tobacco & Firearms BATF
- BIA Bureau of Indian Affairs
- Defense Contract Audit Agency DCAA
- DCIS Defense Criminal Investigative Service
- DEA Drug Enforcement Administration
- DOC Department of Corrections
- DOI Dept. of Interior
- EPA Environmental Protection Agency
- Federal Aviation Administration FAA
- FDA Food and Drug Administration
- HHS Dept. of Health & Human Services
- HUD Dept. of Housing & Urban Development
- Immigration and Naturalization Service INS
- Internal Revenue Service TRS
- Nat'l Aeronautics & Space Admin NASA Nat'l NARC Border Interdiction NBIS
- NCIS Naval Criminal Investigative Service
- RCMP Royal Canadian Mounted Police
- Small Business Administration SBA
- U.S. Border Patrol
- USBP
- USCG U.S. Coast Guard
- USCS U.S. Customs Service
- USDS U.S. Department of State
- USMS U.S. Marshals Service
- USPS U.S. Postal Service
- USSS U.S. Secret Service
- USTR U.S. Treasury
- LOC Local
- CITY City
- COUN County ST State
- OTHR Other

#### SUBJECT DESCRIPTION CODES

# ORGANIZED CRIME

#### SUBJECTS

- 11 Ross
- 1G Underboss
- 1H Consigliere
- 1J Acting Boss
- 1K Capodecina
- ΙL Soldier

#### KNOWN CRIMINALS

- 2A Top Ten or I.O. Fugitive
- 2B Top Thief
- 2C Top Con Man

## FOREIGN NATIONALS

- 3A Legal Alien
- 3B Illegal Alien 3C
- Foreign Official W/out Diplomatic Immunity
- 3D U.N. Employee W/out
- Diplomatic Immunity
- 3E Foreign Student
- 3F All Others

## **OTHERS**

- 8A All Other Subjects
- 8B Company or Corporation

# **TERRORISTS**

- Known Member of a
- Terrorist Organization Possible Terrorist Member
  - or Sympathizer

## · UNION MEMBERS

- 5D President
- Vice-President 5E
- 5F Treasurer
- Secretary/Treasurer 5G
- 5H Executive Board Member
- 5I **Business Agent**
- 5J Representative
- 5K Organizer
- 5L Business Manager
- 5M Financial Secretary
- Recording Secretary 5N
- 5P Office Manager
- 50 Clerk SR. Shop Steward
- 58 Member
- 5T Trustee
- 5U Other

## JUDGMENT CODES

- Consent Judgment
- + CO Court Ordered Settlement
- Default Judgment DF
- Dismissal DI
- Judgment Notwithstanding JN
- Mixed Verdict · MV
- Summary Judgment SI
- Verdict for Defendant VD Verdict for Plaintiff VP
- JUDICIAL OUTCOME
- AG Agreement
- Barred/Removed BR
- CC Civil Contempt
- DC Disciplinary Charges
- FI Fine
- Preliminary Injunction
- •PR Temporary Restraining Order
- Pre-filing Settlement
- RN Restitution
- SP Suspension
- VR Voluntary Resignation
- OT Other

#### SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- C All other subjects.

#### GOVERNMENT SUBJECTS (6F,6G,6H-Include Agency Code)

- Presidential Appointee
- 6B U.S. Senator/Staff
- U.S. Representative/Staff 6C
- Federal Judge/Magistrate Federal Prosecutor
- 6F Federal Law Enforcement Officer
- Federal Employee GS 13 & Above 6G 6H Federal Employee - GS 12 & Below
- 6J Governor
- 6K Lt. Governor
- 6L State Legislator
- State Judge/Magistrate 6M
- State Prosecutor State Law Enforcement Officer
- State All Others 60
- 6R Mayor 6S Local Legislator
- 6T Local Judge/Magistrate Local Prosecutor
- Local Law Enforcement Officer 6V
- Local All Others 6W
- 6X County Commissioner 6Y City Councilman

#### BANK EMPLOYEES

- 7A Bank Officer
- 7B Bank Employee

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Case Number: 194B-	RS-81295		Sta	t Agent	Name:				Report D	
ate: 07/19/2000 Serial No.:				t Agent					Accom Da	ь6 ь7с
Does Accomplis Subject Name Drugs PANNONE, JOSEPH, A A Fugitive Bankruptcy Fraud. Computer Fraud/Abu RA Squad Task Corruption of Publ Money Laundering. PROV P1 Sub. Invest. Asst did not help	se Force	.: N .: N .: N .: N .: N					Assistin	2 = He	ed, but	b7C b7E
Essential FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW	LAB DI LAB FI PEN RE PHOTO POLYGR SRCH W SHOW M SOG AS SWAT T	V EXAMS ELD SUP GISTERS COVERGE APH FAR EXEC IONEY	JCO-GI JCO-GI UCO-OI NCAVC CRIM/I CRIS I CRIS I ERT A	ROUP I ROUP II THER /VI-CAP NS INTEL NEG-FED NEG-LOC SST -ITC NAH-ITC	FOR NON VIC	MON-NRO LANG A: FBI LAI I-WITN (	SST B EX	4 = Ak	osolutely	b7E
Date of Conviction Date of Sentencing  Federal, Local, or Felony or Misdeme  Plea or Trial (P/S Judicial State Judicial District Type of Sentence	r Internat	cional (F/	/L/I)			F F P RI	2000			b7E
	Year N	Month			Code Vio			Form FD-51	5a Side 2	
:				Title	Section	. Co	unts	Investig	ative Eff	
orts = N/A OR NONE Time in Jail: N/A OR NONE Time Suspended :				18	2			Subject' Scope =	s Role =	
Time Suspended.: ONE Probation Time.: Total Fines. :\$				18 18 18	1951 371 1956	3 3 1	3	-		
TOPOT ETHES A										

Total Fines. . :\$

Case Number: 194B-BS-81295	Stat Agent Name:	Report D
ate: 07/19/2000 Serial No.: te.: 07/07/2000	Stat Agent SOC.:	Accom Da b6 b7C b7E
Does Accomplishment Involve Subject Name		ssisting Agents SOC
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW  Type of Sentence : JS PB	UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	EX b7E
Date of Sentencing: 07/07/20 Federal, Local, or International (E  Year Month  Time in Jail: 5	000 F/L/I): F	
Time Suspended.: Probation Time.: 3		

Accomplishment Narrative

ON 7/7/2000, JOSEPH A. PANNONE, W/M, WAS SENTENCED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND TO SERVE 5 YEARS IN FEDERAL PRISON FOLLOWED BY 3 YEARS SUPERVISED PROBATION

07/19/2000	*********** RESTITUT SENSITIVE / UNG	ION ********* CLASSIFIED	***
Case Number: 194B-BS-81295 ate: 07/19/2000 Serial No.: te.: 07/07/2000	Stat Agent Name: Stat Agent SOC.:		Report D Accom Da
Does Accomplishment Involve Subject Name  Drugs		Assistin	l l l
Sub. Invest. Asst by Other FOs: did not help nimally Investigative Assistance or bstantially	: Technique Used	•	1 = Used, but 2 = Helped, Mi 3 = Helped, Su
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW LAB DIV EXAMS LAB FIELD SUP PEN REGISTERS POLYGRAPH SRCH WAR EXEC SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP TEL TOLL RECS	UCO-GROUP II FOR UCO-OTHER NON	MON-NRCSC R LANG ASST I FBI LAB EX CT-WITN COOR	4 = Absolutely
Restitution is for Federal, Local, or Restitution Court Ordered or by Pret n Property	or International (F/L/I). crial Diversion (C/P)	: F	Restitutio
CODE AMOUNT		CODE	AMOUNT
		01	\$ 75000

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Accomplishment Narrative

ON 7/7/2000 JOSEPH A. PANNONE WAS SENTENCED TO SERVE 5 YEARS IN FEDERAL PRISON FOLLOWED BY 3 YEARS SUPERVISED PROBATION. PANNONE WAS ORDERED BY THE COURT TO PAY \$75,000 RESTITUTION

FD-515 (Rev. 6-4-98) Squad supervisor app	aroual		nt m	ust be reporte	d and l	oad			A			Date Prepare		2 200
(please initial)	provai	within 3	) day	s from date o	f accon	nplis	shme	ent)				Date Loaded		
Accomplishment involves:												Data Loader's		- Jones
(check all that apply)	, File Numb			_					e Assi	stan	ice oi	Technique U	sed ed, substa	ntially
Drugs   A Fusitive	8/25. 1-Used, but did not help 2 -Helped, minimally				ally .				4 - Absol	utely ess	ential			
A Fugitive	Stat Agent Soc	. Sec. No.		For 8	Sub. Inv	est. /	Assis	st. by other l	FO (s)	indic	ate A	,B,C,D for corre	sponding	; FO
Computer Fraud/Abuse			Rate	FO IAT		late	FO	IAT		Rate	$\overline{}$	IAT	Rate F	
Corruption of Public Officials	Otat A	t	<u> </u>	Fin. Ana	_	_		Lab. Div. E		_ _		CO - Group I		Ft. Mon NRCSC
Forfeiture Assets	Stat Agent N	lame	<u> </u>	Aircraft A		_		Lab. Field		-		CO - Group II		For. Lang Asst.
Sub Invest Asst by FO (s)			-	Comput	<del></del>	_		Pen Regis		_	_	CO - Nat. Back	_	Non FBI Lab Ex
Asst. FO(s),,,	PA 3	Squad	-	Consen				Photo Cov		_		CAVC / VI - CA		Vict-Witn Coor
A, B, C, D	PROU ?			Elsur / F	<del></del>	_		Polygraph				rim/NS Intel Ass	+	
Task Force	Assisting Agents Soc.	Sec. No. ×		Elsur / T				Search Wa		_	_	risis Neg Fed	+-+-	
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A. Complaint / Information	/	F. Convid		/								Vlatters Date:		
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Complaint Date:		Convi	ction	Date: 7	<u>-フ-</u>	0	<u>U,</u>		Other Civil Matters Date: 7-7-00					
Check if Civil Rico Compla								<b> </b>	Judgment					
Information Date:		For 6F	, G, I	HInclude Ag	ency C	ode		•	Ju	dicia	al Out	come		• x
Indictment Date:		1	Felony or Misdemeanor					eanor	Amount \$ 25					
B. Locate/ Arrest		Plea or Trial						Suspension: Years Months						
☐ Federal ☐ Local	International	State: RI Judicial District: RI							Guspension, TearsWorth's					
Subject Priority: A									Κ. Δ	dmi	nistra	ative Sanctio	n Date:	
Locate Date:		G. U.S. Co	ode \	/iolation								scription Cod		
Arrest Date:	<del></del>	Required for Sections A, B, F, and J						Type: Length:						
☐ Subject Resisted Arres		(Federal only) Title Section # Counts						☐ Suspension ☐ Permanent						
☐ Subject Arrested was A	Title		Section						-		rment	0	1	
C. Summons Date:		18 1951and 2								_ Months				
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D. Recovery/Restitution/P	PELP X	18 371and 2 3					_	L. Asset Seizure Date:						
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Recovery Date:				· ウ	7-0	0			C	ATS	# M	andatory		
Code		A. Senten		ate:, /pe: <b>J*_5</b> ,	7-0		-46	/	С	heck	< one	of the three:		
Amount S	\$ <del>-7-00</del>	In Jail:		Years	 Mon	the	3	3		] Ass	set Fo	orfeiture - Adn	ninistrati	ve
Restitution Date: 7	7-00	1		Years	Mon				Г	] Ass	set Fo	orfeiture - Civi	l Judicia	.1
Pretrial Diversion			Years 3	Mon				Asset Forfeiture - Criminal						
Code • Amount S	\$ 25.000								D	o no	t indi	icate \$ value i	n Sectio	on D
PELP Date:	T													
Code  ✓ Amount S	\$		· · · / · ·						М. Д	canj	ittal /	Dismissal / I	Pretrial 1	Diversion
E. Hostage(s) Released Date	1		smantlemen					M. Acquittal / Dismissal / Pretrial Diversion  Acquittal Date:						
Released by:  Terrorist	Disruption Date: Dismantlement Date:						Dismissal Date:							
Number of Heateness				mpletion of FD-515a Side 2 Mandatory					Pretrial Diversion Date:					
Child Located Date:		Complete	JI. UI		J L 1114	··uu	,							
N. Subject Information (Req	uired for all Sections	s excluding S	ectio	on D (Recove	ry/PEI	_P),	Sec	tion E (H	lostag	e), \$	Secti	on I, and Sec	tion L.)	
	Name					асе			Date c					(if available)
Koseman	y Glancy				;	W	<b>'</b>	F	Fã	えご	53	038-	36-C	305
For Indictments/Convictions only:  Subject related to an LCN, Asia	<del></del>	C) Italian Orga	nized	Crime (IOC)	Ricelan	/Eac	torn	European	Caribi	neer	Or N			
Complete FD-515a, Side 1 Blo	cks A-E mandatory, F-H	as appropriate.						•						ſ
Subject related to an OC/Drug Complete FD-515a, Side 1 Blo	g Organization, a VCMO ocks A-C only.	Program Natio	nal G	iang Strategy (	arget g	roup	o, or a	a VCMO P	rogran	n Na	tional	Priority Initiati	/e target	group -
X Additional information may b		another form o	rap	lain sheet of p	paper fo	or ac	dditio	onal entrie	es.				Serial N	No. of FD-515
<ul> <li>See codes on reverse side.</li> <li>Requires that an explanation</li> </ul>	he attached and load	ed into 1984	for -	econem over	\$1m an	ıd D	El D	Over ¢Em	1					
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#### PROPERTY CODES

- 01 Cash 02 Stocks, Bonds or Negot. Instruments
- General Retail Merchandise 03
- 04 Vehicles
- Heavy Machinery & Equipment 05
- 06 Aircraft
- 07 Jewelry
- 08 Vessels 09 Art, Antiques or Rare Collections
- Real Property 11
- 20 All Other

#### SENTENCE TYPES

- Capital Punishment CP
- JS Jail Sentence
- Life Sentence LS
- No Sentence (Subject is a Fugitive. NS Insane, has Died, or is a Corporation)
- PR Probation
- Suspension of Jail Sentence SI
- VC. Youth Correction Act

#### PELP CODES

- Counterfeit
  - Stocks/Bonds/Currency/ Negotiable Instruments
- Counterfeit/Pirated Sound 23
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- 25 Ransom, Extortion or Bribe
- Demand Aborted
- Theft From or Fraud Against 26 Government Scheme Aborted
- 27 Commercial or Industrial
- Theft Scheme Aborted
- 30 All Other

#### RACE CODES

- Asian/Pacific Islander
- Black В
- Indian/American
- Linknown
- w White
- x Nonindividual

#### AGENCY CODES

- Army Criminal Investigative Service ACIS
- Bureau of Alcohol, Tobacco & Firearms BATF
- Bureau of Indian Affairs BIA
- Defense Contract Audit Agency DCAA
- Defense Criminal Investigative Service DCIS
- DEA Drug Enforcement Administration
- DOC Department of Corrections
- DOI Dept. of Interior
- EPA Environmental Protection Agency
- Federal Aviation Administration FAA
- FDA Food and Drug Administration
- Dept. of Health & Human Services HHS HID
- Dept. of Housing & Urban Development Immigration and Naturalization Service INS
- Internal Revenue Service IRS
- NASA Nat'l Aeronautics & Space Admin
- NBIS Nat'l NARC Border Interdiction
- NCIS Naval Criminal Investigative Service
- RCMP Royal Canadian Mounted Police
- Small Business Administration SBA
- U.S. Border Patrol USBP
- USCG U.S. Coast Guard
- USCS U.S. Customs Service
- USDS U.S. Department of State
- USMS U.S. Marshals Service
- ILS Postal Service USPS
- USSS U.S. Secret Service
- USTR U.S. Treasury
- LOC Local
- CITY City
- COUN County
- ST State
- OTHR Other

#### SUBJECT DESCRIPTION CODES

# ORGANIZED CRIME

#### SUBJECTS

- 15 Boss
- 1G Underboss
- 1H Consigliere
- Acting Boss IJ
- ıĸ Capodecina
- ìL Soldier

#### KNOWN CRIMINALS

- 2A Top Ten or I.O. Fugitive
- 2B Top Thief
- 2C Top Con Man

## FOREIGN NATIONALS

- 3A Legal Alien
- 3B Illegal Alien 3C Foreign Official W/out
- Diplomatic Immunity
- 3D U.N. Employee W/out
- Diplomatic Immunity 3E
- Foreign Student 3F All Others
- **OTHERS**
- 8A All Other Subjects
- 8B Company or Corporation

#### **TERRORISTS**

- Known Member of a
  - Terrorist Organization
- Possible Terrorist Member
  - or Sympathizer

## · UNION MEMBERS

- 5D President
- Vice-President 5E
- 5F Treasurer
- Secretary/Treasurer 5G
- 5H Executive Board Member
- 5I **Business Agent**
- 5J Representative
- 5K Organizer
- **Business Manager** 51.
- Financial Secretary 5M
- 5N Recording Secretary 5P Office Manager
- 50 Clerk
- Shop Steward 5R
- 5S Member
- 5T Trustee Other 5U

## JUDGMENT CODES

- Consent Judgment
- CO Court Ordered Settlement
- Default Judgment DF
- DΪ Dismissal
- Judgment Notwithstanding IN
- ΜV Mixed Verdict
- Summary Judgment SI
- Verdict for Defendant VD Verdict for Plaintiff

#### JUDICIAL OUTCOME

- Agreement ÄG
- Barred/Removed BR
- Civil Contempt CC
- DC. Disciplinary Charges
- FΙ Fine
- Preliminary Injunction
- Temporary Restraining Order
- Pre-filing Settlement PS
- RN Restitution
- Suspension SP
- VR Voluntary Resignation
- OT Other

## SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or
  - convicted of such a crime in the past five
- Subject wanted for crimes involving loss or destruction of property valued in
  - excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.
- (6F,6G,6H- Include Agency Code)

GOVERNMENT SUBJECTS

- Presidential Appointee
- U.S. Senator/Staff U.S. Representative/Staff 6C
- Federal Judge/Magistrate
- Federal Prosecutor Œ
- Federal Law Enforcement Officer 6F 6G Federal Employee - GS 13 & Above
- Federal Employee GS 12 & Below 6H
- 61 Governor
- 6K Lt. Governor எ.
- State Legislator 6M State Judge/Magistrate
- State Prosecutor State Law Enforcement Officer
- State All Others
- 6R Mayor 6S Local Legislator
- Local Judge/Magistrate
- Local Prosecutor Local Law Enforcement Officer 6V
- Local All Others 6W
- County Commissioner City Councilman

# BANK EMPLOYEES

- Bank Officer
- 7B Bank Employee

Total Fines. . :\$

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						Report D
Case Number: 194B-	BS-81295	5	Stat Agent	Name:		Nopozo s
te: 07/19/2000 Serial No.:			Stat Agent	soc.:		Accom Da
ce.: 07/07/2000						
Does Accomplis	hment I	nvolve			Assist	ing Agents SOC
Subject Name						
						1
Drugs GLANCY, ROSEMARY		: N				ı
A Fugitive		: N				
Bankruptcy Fraud. Computer Fraud/Abu						Ï
RA Squad Task	Force					I
Corruption of Publ		ciais: i [				•
Money Laundering. PROV P1		: N	٠			ı
Sub. Invest. Asst	by Othe	r FOs:				1 = Used, but
did not help	_					2 = Helped, Mi
nimally			markeigus Hasd			3 = Helped, Su
Investiga bstantially	tive As	sistance or	Technique Used			4 = Absolutely
Essential						4 - Apsoracery
FINAN ANALYST		DIV EXAMS	UCO-GROUP I		MON-NRCSC	
AIRCRAFT ASST			UCO-GROUP II		LANG ASST FBI LAB EX	
COMPUTER ASST CONSEN MONITR		REGISTERS O COVERGE	UCO-OTHER NCAVC/VI-CAP		-WITN COOR	
ELSUR/FISC	POLY		CRIM/NS INTE			
		WAR EXEC	CRIS NEG-FED			
ENG FIELD SUP	SHOW	MONEY	CRIS NEG-LOC			
ENG TAPE EXAM	SOG	ASST	ERT ASST			
LEGATS ASST.	SWAT	TEAM	BUTTE-ITC SAVANNAH-ITC			
LEGATS ASST. EVIDNCE PURCH INFORMANT/CW	TEL	TOLL RECS				
Date of Conviction	n (MM/DD	/YYYY)		:	07/07/2000	
Date of Sentencino	(MM/DD	7 1111)			$\neg$	
Federal, Local, or	. Tntorn	ational (F/L	/T)	:	<del></del>	
Felony or Misdemea					F	
Plea or Trial (P/					P	
Judicial State Judicial District				:		
Type of Sentence						
	**	26 a a + h		Code Viol	Lation(s)	Form FD-515a Side 2
:	Year	Month	<del></del>			
orts = N/A OR NONE			Title	Section	Counts	Investigative Eff
Time in Jail:						Subject's Role =
N/A OR NONE Time Suspended.:			18	1951	2	scope = N/A OR N
ONE						_
Probation Time.:			18 18	2 371	5 3	

ON 7/7/2000 ROSEMARY GLANCY, W/F, WAS CONVICTED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND, ON THE FOLLOWING CHARGES: 2 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE SECTION 1951, 5 COUNTS TITLE 18, U.S. CODE, SECTION 2, 3 COUNTS TITLE 18, U.S.CODE, SECTION 371

SENSITIVE / UNCLASSIFIED

Probation Time.: Total Fines. .:\$

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Case Number: 194B-B ate: 07/19/2000 Serial No.:	s-81295	Stat Agent Na		Report D Accom Da
Does Accomplish	ment Involve		Assist	ting Agents SOC
Subject Name				
				1
Drugs	: N			
Computer Fraud/Abus RA Squad Task F				1
Corruption of Publi				I
Money Laundering PROV P1				I
Sub. Invest. Asst h	ov Other FOs:			1 = Used, but
did not help	•			2 = Helped, Mi
nimally				3 = Helped, Su
Investigat bstantially	tive Assistance or	Technique Used		_
				4 = Absolutely
COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW	SWAT TEAM TECH AG/EQUIP	CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	FT. MON-NRCSC FOR LANG ASST NON FBI LAB EX VICT-WITN COOR	
Type of Sentence . Date of Sentencing Federal, Local, or	: JS PB	ס		
	Year Month			
Time in Jail: Time Suspended.:	2 9			

Accomplishment Narrative

ON 7/7/2000 ROSEMARY GLANCY, W/F, WAS SENTENCED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND, TO SERVE 33 MONTHS IN FEDERAL PRISON FOLLOWED BY 3 YEARS SUPERVISED PROBATION

\_\_\_\_\_\_

07/19/2000	*****	REST	ESTITUTION			
	SENSI	TIVE	/	UNCLAS		

07/19/2000	***** RES SENSITIVE	ritution ******** / UNCLASSIFIED	****	
Case Number: 194B-BS-81295 ate: 07/19/2000 Serial No.: te.: 07/07/2000	Stat Agent Na			Report D
Does Accomplishment Involve Subject Name		Assisti:	ng Agent	ts SOC
Drugs			 	
Money Laundering N PROV P1			1	
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nimally				= Helped, Mi
Investigative Assistance or	Technique Used		3	= Helped, Su
bstantially			4	= Absolutely
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Restitution is for Federal, Local, or Restitution Court Ordered or by Pretr n Property	: International (F, rial Diversion (C/I	/L/I): F		Restitutio
		CODE	P	MOUNT
CODE AMOUNT				
\$		01	\$	25000
¥				

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Accomplishment Narrative \_\_\_\_\_

ON 7/7/2000 ROSEMARY GLANCY, W/F, WAS SENTENCED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND, TO SERVE 33 MONTHS IN FEDERAL PRISON FOLLOWED BY 3 YEARS SUPERVISED PROBATION. IN ADDITION, GLANCY WAS ORDERED BY THE COURT TO PAY \$25,000 IN RESTITUTION

FD-	515 (Rev. 6-4-98)	mnlishm		plishment Rep e reported and		nto ISBA	A	Date Prepared	I		
	Squad supervisor approval (please initial)			m date of acco				Date Loaded -			
Ac	Complishment involves:							Data Loader's	Initials <b>Jyny</b>		
<u></u>	(check all that apply) File	Number					e Assistance	or Technique Us			
Dru	— L	5-81295	J		l, but did n				d, substantially utely essential		
	rugitive Stat Age	t Soc. Sec. No.	1				FO (s) indicate	A,B,C,D for corres	sponding FO		
	mputer Fraud/Abuse		Rate FO	1	Rate FO	IAT	Rate FO		Rate FO IAT		
Cor	ruption of Public Officials	ant Name	1	Fin. Analyst		Lab. Div.	_	JCO - Group I	Ft. Mon NRCSC		
	leitule Assets	ent Name	4	Aircraft Asst.		Lab. Field	<del></del>	JCO - Group II	For. Lang Asst.		
Sub	Invest Asst by FO (s)		1	Computer		Pen Regis		JCO - Nat. Back	Non FBI Lab Ex		
Ass	st. FO(s),,	Squad	4	Consen Mon.		Photo Cov		NCAVC / VI - CAP			
	A, B, C, D Prov	P-1	_	Elsur / FISC		Polygraph		Crim/NS Intel Asst			
	Task Force Assisting Agen	Soc. Sec. No. ×	4	Elsur / T. III		Search Wa		Crisis Neg Fed.			
				Eng. Field Spt		Show Mor		Crisis Neg Local	-		
				Eng. Tape Ex		SOG Asst		ERT Asst.			
				Legats Asst.		Swat Tea	<del></del>	Butte - ITC			
				Evid Purchase		Tech. Ag/		Bav - ITC			
			<u></u>	Inf/CW Info	<u> </u>	Phone To	II Red	Poc - WRCSC			
A.	Complaint / Information / Indictment	F. Conv	iction				J. Civil Rice	Matters Date:			
	Federal Local Internation	I □ Fe	deral (	🗌 Local 🔲	Internation	onal	Also Com	plete "Section G	i <sup>n</sup>		
	Complaint Date:	Conv	iction Dat	te:			Other Civ	/II Matters Date:	;		
	Check if Civil Rico Complaint	Subje	ct Descrip	tion Code:	_• (	)•	Judgmen	t	•		
	Information Date: 1/19/00			clude Agency		1	Judicial C	outcome	• x		
	Indictment Date:		lony	• •	Misdem	eanor		8			
В.	Locate/ Arrest	I	∍a		Trial		Suspension: Years Months				
	Federal Local Internation	al State	: ,	Judicial District	:		Odapenai	Jii. 10ai3			
	Subject Priority: ☐ A ☐ B ☐ C						K Adminis	trative Sanction	ı Date•		
	Locate Date:	G. U.S. C	ode Viola	tion		ŀ		Description Code			
	Arrest Date:	Requi	red for Sec	ctions A, B, F, a	and J	ŀ	Type:		ngth:		
	Subject Resisted Arrest	,	ral only)			ŀ	☐ Sus	pension 🔲	Permanent		
	Subject Arrested was Armed	Title		ection 951	# Count	ts		arment	or		
C.	Summons Date:		4	731		- [	☐ Inju	nction Yea	ars Months		
	☐ Federal ☐ Local					<b> </b> -					
D.	Recovery/Restitution/PELP X					_	L. Asset Se	eizure Date:			
	☐ Federal ☐ Local ☐ Internation	i					Asset Fo	orfeiture Date: _			
	Recovery Date:		<b>-</b> .				CATS#	Mandatory			
	Code		nce Date:			_	Check or	e of the three:	:		
	Code• /Amount \$			rs, Mo			☐ Asset	Forfeiture - Adm	inistrative '		
	Restitution Date:  Court Ordered	<del></del> 1		rs Mo			— ☐ Asset	Forfeiture - Civil	Judicial		
	☐ Pretrial Diversion			rs Mo			_	Forfeiture - Crim			
	Code • Amount \$							dicate \$ value ir			
	PELP Date:	_									
	Code•						M Acquitta	I / Niemieeal / P	retrial Diversion		
E.	Hostage(s) Released Date:	I. Disrupt		ntlement:			-				
	Released by: Terrorist Other			ite:							
Number of Hostagos:				115a Side 2 M				Dismissal Date:  Pretrial Diversion Date:			
	Child Located Date:	_		510a Olde 2 m	andatoi y						
N.	Subject Information (Required for all So	ctions excluding	Section D					tion I, and Sect	ion L.)		
	Nam				gare ●	Sev	Date of Birth	Social Secu	rity No. (if available)		
	Subject related to an LCN, Asian Organized Cri	e (AOC), Italian Ord	anized Crin	ne (IOC). Russia	n/Eastern	European.	, Caribbean, or	Nigerian Organize	ed Crime Group -		
	Complete FD-515a, Side 1 Blocks A-E mandate Subject related to an OC/Drug Organization, a	v. F-H as appropriate	э.								
	Complete FD-515a, Side 1 Blocks A-C only.	owo riogiam Nat	onai Gang	onalegy target	group, or	a voidio F	- rogram ivation	ai rhofity initiativ	a raidar Atonh -		

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X Additional information may be added by attaching another form or a plain sheet of paper for additional entries.
 See codes on reverse side.
 Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

Serial No. of FD-515



### PROPERTY CODES

02 Stocks, Bonds or Negot. Instruments

03 General Retail Merchandise

04 Vehicles

05 Heavy Machinery & Equipment

06 Aircraft

07 Jewelry

08 Vessels

09 Art, Antiques or Rare Collections

11 Real Property

20 All Other

## SENTENCE TYPES

CP Capital Punishment JS Jail Sentence

LS Life Sentence

NS No Sentence (Subject is a Fugitive, Insane, has Died, or is a Corporation)

PB Probation

SJ Suspension of Jail Sentence

YC Youth Correction Act

## PELP CODES

22 Counterfeit

23

Stocks/Bonds/Currency/ Negotiable Instruments Counterfeit/Pirated Sound

Recordings or Motion Pictures
24 Bank Theft Scheme Aborted

24 Bank Theit Scheme Aborted 25 Ransom, Extortion or Bribe

Demand Aborted

26 Theft From or Fraud Against Government Scheme Aborted

27 Commercial or Industrial

Theft Scheme Aborted

30 All Other

## RACE CODES

A Asian/Pacific Islander

B Black

I Indian/American

U Unknown

W White

X Nonindividual

## AGENCY CODES

ACIS Army Criminal Investigative Service

BATF Bureau of Alcohol, Tobacco & Firearms

BIA Bureau of Indian Affairs

DCAA Defense Contract Audit Agency

DCIS Defense Criminal Investigative Service
DEA Drug Enforcement Administration

DOC Department of Corrections

DOI Dept. of Interior

EPA Environmental Protection Agency
FAA Federal Aviation Administration

FAA Federal Aviation Administration FDA Food and Drug Administration

HHS Dept. of Health & Human Services

HUD Dept. of Housing & Urban Development INS Immigration and Naturalization Service

IRS Internal Revenue Service

NASA Nat'l Aeronautics & Space Admin NBIS Nat'l NARC Border Interdiction

NCIS Naval Criminal Investigative Service

RCMP Royal Canadian Mounted Police

SBA Small Business Administration

USBP U.S. Border Patrol

USCG U.S. Coast Guard

USCS U.S. Customs Service

USDS U.S. Department of State

USMS U.S. Marshals Service

USPS U.S. Postal Service

Known Member of a

or Sympathizer

Terrorist Organization

Possible Terrorist Member

USSS U.S. Secret Service

USTR U.S. Treasury

LOC Local

CITY City

COUN County

ST State

OTHR Other

TERRORISTS

· UNION MEMBERS

President

Treasurer

Organizer

Clerk

Member

Trustee

Vice-President

Business Agent

Representative

Business Manager

Financial Secretary

Recording Secretary

Office Manager

Shop Steward

Secretary/Treasurer

Executive Board Member

5E

5F

5G

5I

5J

5K

SI.

5M

5N

5P

5Q

5R

58

5T

5U Other

## SUBJECT DESCRIPTION CODES

## ORGANIZED CRIME SUBJECTS

## SODSECIS

1F Boss 1G Underboss

1H Consigliere

1J Acting Boss

1K Capodecina

1L Soldier

## KNOWN CRIMINALS

2A Top Ten or I.O. Fugitive

2B Top Thief

2C Top Con Man

## FOREIGN NATIONALS

3A Legal Alien

3B Illegal Alien

3C Foreign Official W/out

Diplomatic Immunity

3D U.N. Employee W/out

Diplomatic Immunity

3E Foreign Student

3F All Others

## OTHERS

8A All Other Subjects

8B Company or Corporation

## GOVERNMENT SUBJECTS (6F,6G,6H-Include Agency Code)

6A Presidential Appointee

6B U.S. Senator/Staff

JUDGMENT CODES

Dismissal

CO

DF

DI

IN

М٧

SJ

VD

AG

BR

CC

FI

ΡĪ

PR

PS

RN

SP

VR

OT Other

Consent Judgment

Default Judgment

Mixed Verdict Summary Judgment

JUDICIAL OUTCOME

Agreement Barred/Removed

Restitution

Suspension Voluntary Resignation

SUBJECT PRIORITY

Civil Contempt

Disciplinary Charges

Preliminary Injunction

Pre-filing Settlement

Temporary Restraining Order

Subject wanted for crimes of violence

convicted of such a crime in the past five

Subject wanted for crimes involving loss

excess of \$25,000 or convicted of such a

or destruction of property valued in

crime in the past five years.

All other subjects.

(i.e., murder, manslaughter, forcible

rape) against another individual or

Court Ordered Settlement

Judgment Notwithstanding

Verdict for Defendant Verdict for Plaintiff

6C U.S. Representative/Staff

6D Federal Judge/Magistrate

6E Federal Prosecutor

6F Federal Law Enforcement Officer

6G Federal Employee - GS 13 & Above

6H Federal Employee - GS 12 & Below

6J Governor

6K Lt. Governor

6L State Legislator

6M State Judge/Magistrate

6N State Prosecutor

6P State Law Enforcement Officer

60 State - All Others

6R Mayor

6S Local Legislator

6T Local Judge/Magistrate

6U Local Prosecutor 6V Local Law Enforcement Officer

6W Local - All Others

6X County Commissioner 6Y City Councilman

## BANK EMPLOYEES

7A Bank Officer

7B Bank Employee

Case Number: 194B-BS-81295 ate: 07/19/2000 Serial No.: te.: 01/19/2000	Stat Agent No			Report D Accom Da	b6
Does Accomplishment Involve Subject Name  Drugs		Ass	sisting Ag	ents SOC	ь7С ь7Е
Money Laundering	Technique Used		1	<pre>1 = Used, but 2 = Helped, Mi 3 = Helped, Su 4 = Absolutely</pre>	
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW LAB DIV EXAMS SUP SELL SUP FEN REGISTERS POLYGRAPH SRCH WAR EXEC SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP TEL TOLL RECS	UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	FT. MON-NRCSC FOR LANG ASST NON FBI LAB E VICT-WITN COO	X		b7E
Information is for Federal, Local, or Serial Number of Information	 United	States Code Viol			
	====== Title	Section	Counts		٠
	18	1951	2		

Accomplishment Narrative

WITH 2 COUNTS IN

b6 b7C

ON 1/19/2000 A FEDERAL COMPLAINT WAS FILED IN U.S. DISTRICT COURT,

DISTRICT OF RHODE ISLAND CHARGING
VIOLATION OF TITLE 18, U.S. CODE, SECTION 1951

D-5 Rev. 6-4-98)
Squad supervisor approval (please initial)
(Please Itilial)

# Accomplishment Report iplishment must be reported and loaded into ISRAA

Date Prepared	
Date Loaded	
Data Loader's Initials	<i>GM</i> 5

(please initial)	within 3	30 days from date of a	accomp	olishment)		Date Loaded —— Data Loader's Init	ials 2mB			
Accomplishment involves: (check all that apply) File	Number	Investigative Assistance or Technique Used  1-Used, but did not help 3 - Helped, substantially								
A Fugitive				minimally t. Assist, by othe	4 - Absolutely essential er FO (s) indicate A,B,C,D for corresponding FO					
	t Soc. Sec. No.	Rate FO IAT		te FO IAT			te FO IAT			
Computer Fraud/Abuse		Fin. Analy		Lab. Div.		UCO - Group I	Ft. Mon NRCSC			
Forfeiture Assets Stat Ac	ent Name	Aircraft As	st.	Lab. Fiel	d Sup	UCO - Group II	For. Lang Asst.			
Sub Invest Asst by FO (s)		Computer		Pen Reg	isters	UCO - Nat. Back	Non FBI Lab Ex			
Asst FO(s) RA	Squad	Consen M	on.	Photo Co	over.	NCAVC / VI - CAP	Vict-Witn Coor			
Asst. FO(s),,, Peo U	P-1	Elsur / FIS	SC	Polygrap	h	Crim/NS Intel Asst				
Againting Agant	Soc. Sec. No. ×	Elsur / T. I	m	Search V	Varrant	Crisis Neg Fed.				
Task Force Assisting Agents		Eng. Field	Spt.	Show Mo	oney	Crisis Neg Local				
		Eng. Tape	Ex	SOG Ass	st	ERT Asst.				
		Legats As	st.	Swat Tea	am	Butte - ITC				
		Evid Purch	nase	Tech. Ag	/Equip	Sav - ITC				
		Inf/CW Inf	o	Phone To	oll Rec	Poc - WRCSC				
A. Complaint / Information / Indictment	F. Convi	ction			J. Civil I	Rico Matters Date:				
Federal ☐ Local ☐ Internationa	1		☐ Inte	ernational		Complete "Section G"				
Complaint Date:		iction Date:				Civil Matters Date:				
Check if Civil Rico Complaint 🔲 ,	<b>I</b>	ct Description Code:								
Information Date: 11 23 99					1	nent				
Indictment Date:		F, G, HInclude Ager	•			al Outcome				
B. Locate/ Arrest	1 -	lony or	_	isdemeanor	Amount \$					
☐ Federal ☐ Local ☐ Internation	_	ea or Judicial Dis	☐ Tr		Suspension: Years Months					
Subject Priority:	State.	Judicial Dis	inci							
Locate Date:	G. U.S. C	ode Violation			i e	nistrative Sanction Da	****			
Arrest Date:		ed for Sections A, B,	F. and	J	Subject Description Code  Type: Length:					
☐ Subject Resisted Arrest	1	al only)			Type: Length:  ☐ Suspension ☐ Permanent					
Subject Arrested was Armed	Title	Section	#	Counts	☐ Debarment or					
C. Summons Date:		1001		1	☐ Injunction Years Months					
☐ Federal ☐ Local	<del>-</del>									
D. Recovery/Restitution/PELP X					I Acco	t Seizure Date:				
☐ Federal ☐ Local ☐ Internation					l					
Recovery Date:	iai				Asset Forfeiture Date:  CATS # Mandatory					
Code   Amount \$	H. Senter	nce Date:		1 11 11 11 EID						
Code• /Amount \$		nce Type:,			Check one of the three:					
Restitution Date:	In Jail:				☐ Asset Forfeiture - Administrative					
☐ Court Ordered		ded: Years			_	set Forfeiture - Civil Jud	I			
□ Pretrial Diversion		ion: Years			_	set Forfeiture - Crimina	4			
Code • Amount \$	Fines:	\$	<del></del>	<del></del>	Do no	ot indicate \$ value in Se	ection D			
PELP Date:	_									
Code•	I. Disrupti	on/Dismantlement:			M. Acqu	ittal / Dismissal / Pret	rial Diversion			
E. Hostage(s) Released Date:	1	on Date:			Acquittal Date:					
Released by: ☐ Terrorist ☐ Other	Dismanti	lement Date:			Dismi	ssal Date:				
Number of Hostages:	latory	Pretria	al Diversion Date:							
Child Located Date:					<u></u>					
N. Subject Information (Required for all Se		Section D (Recovery		·						
Name			l Bac	e	Date of Bi	rth   Social Security	No. (if available)			
TAY WARANAY AN WAYA										
Subject related to an LCN, Asian Organized Crim	e (AOC), Italian Orga	anized Crime (IOC), Ru	ssian/E	astern Europear	n, Caribbean	, or Nigerian Organized C	rime Group -			
Complete FD-515a, Side 1 Blocks A-E mandator Subject related to an OC/Drug Organization, a	v. F-H as appropriate	١.					i			
Complete FD-515a, Side 1 Blocks A-C only.										
X Additional information may be added by attac	hing another form o	or a plain sheet of pa	per for	additional entr	ies.	Seri	al No. of FD-515			

Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

b6 b7C

b6 b7C b7E

### PROPERTY CODES

Ul	Cas	sh			
	_		_	-	

Stocks, Bonds or Negot. Instruments

General Retail Merchandise 03

04 Vehicles

05 Heavy Machinery & Equipment

06 Aircraft

07 Jeweiry 08 Vessels

09 Art, Antiques or Rare Collections

Real Property 11

All Other 20

## SENTENCE TYPES

Capital Punishment JS Jail Sentence LS Life Sentence

No Sentence (Subject is a Fugitive, NS Insane, has Died, or is a

Corporation)

PB Probation

SJ Suspension of Jail Sentence

Youth Correction Act

### PELP CODES

Counterfeit

23

Stocks/Bonds/Currency/ Negotiable Instruments Counterfeit/Pirated Sound

Recordings or Motion Pictures Bank Theft Scheme Aborted

25 Ransom, Extortion or Bribe

Demand Aborted

26 Theft From or Fraud Against Government Scheme Aborted

Commercial or Industrial Theft Scheme Aborted

30 All Other

### RACE CODES

Asian/Pacific Islander Α

Black R

Indian/American

TI Unknown

w White

x Nonindividual

## AGENCY CODES

Army Criminal Investigative Service ACIS Bureau of Alcohol, Tobacco & Firearms

BATF Bureau of Indian Affairs BIA

DCAA Defense Contract Audit Agency Defense Criminal Investigative Service DCIS

DEA Drug Enforcement Administration

DOC Department of Corrections

Dept. of Interior DOI

Environmental Protection Agency EPA Federal Aviation Administration FAA FDA Food and Drug Administration

Dept. of Health & Human Services HHS

HUD Dept. of Housing & Urban Development INS Immigration and Naturalization Service

IRS Internal Revenue Service

NASA Nat'l Aeronautics & Space Admin NBIS Nat'l NARC Border Interdiction NCIS Naval Criminal Investigative Service Royal Canadian Mounted Police RCMP

Small Business Administration SBA USBP U.S. Border Patrol U.S. Coast Guard USCG

USCS U.S. Customs Service USDS U.S. Department of State

USMS U.S. Marshals Service USPS U.S. Postal Service

USSS U.S. Secret Service USTR U.S. Treasury

LOC Local CITY City COUN County

ST State OTHR Other

## JUDGMENT CODES

Consent Judgment

Court Ordered Settlement co

Default Judgment DF

Dismissal זכו

Judgment Notwithstanding IN

ΜV Mixed Verdict

SJ Summary Judgment

۷D Verdict for Defendant Verdict for Plaintiff

## JUDICIAL OUTCOME

AG Agreement

Barred/Removed BR

Civil Contempt CC

DC Disciplinary Charges

FI Fine

Preliminary Injunction

Temporary Restraining Order PR-

Pre-filing Settlement PS

Restitution RN

Suspension SP

Voluntary Resignation VR

OT Other

## SUBJECT PRIORITY

Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five

Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.

All other subjects.

## SUBJECT DESCRIPTION CODES

### ORGANIZED CRIME **SUBJECTS**

1F Boss Underboss 1G

1H Consigliere

IJ Acting Boss

1K Capodecina

Ħ. Soldier

## KNOWN CRIMINALS

2A Top Ten or I.O. Fugitive

2B Top Thief

2C Top Con Man

## FOREIGN NATIONALS

3A Legal Alien

3B Illegal Alien 3C

Foreign Official W/out Diplomatic Immunity

3D U.N. Employee W/out

Diplomatic Immunity

3E Foreign Student

3F All Others

## OTHERS

8A All Other Subjects

8B Company or Corporation

## TERRORISTS

Known Member of a

Terrorist Organization

Possible Terrorist Member

or Sympathizer

## · UNION MEMBERS

President

5E Vice-President

5F

Treasurer 5G Secretary/Treasurer

Executive Board Member

51 **Business Agent** 

5J Representative

Organizer 5K

**Business Manager** 5L

Financial Secretary 5M Recording Secretary 5N

5P Office Manager

5Q Clerk 5R Shop Steward

Member

5T Trustee Other

## **GOVERNMENT SUBJECTS** (6F,6G,6H-Include Agency Code)

Presidential Appointee

U.S. Senator/Staff

U.S. Representative/Staff

Federal Judge/Magistrate 6D

Federal Prosecutor Æ.

Federal Law Enforcement Officer 6F 6G Federal Employee - GS 13 & Above

Federal Employee - GS 12 & Below तम

6J Governor

6K Lt. Governor

State Legislator State Judge/Magistrate

State Prosecutor

State Law Enforcement Officer

State - All Others

60

6R Mayor Local Legislator 6S

Local Judge/Magistrate 6T

ഡ Local Prosecutor Local Law Enforcement Officer 6V

6W Local - All Others

County Commissioner City Councilman

## BANK EMPLOYEES

7A Bank Officer

7B Bank Employee

SENSITIVE / UNCLASS 11ED

Case Number:	194B-BS-81295
	_

ate: 07/19/2000 Serial No.: te.: 11/23/1999

> Does Accomplishment Involve Subject Name \_\_\_\_\_\_

A Fugitive. . . . Bankruptcy Fraud. . . . . . . . N Computer Fraud/Abuse. . . . : N RA Squad Task Force Corruption of Public Officials: Y \_\_\_ \_\_\_\_\_ Money Laundering. . . . . . . . . N PROV P1

Sub. Invest. Asst by Other FOs: did not help

nimally

Investigative Assistance or Technique Used

bstantially

Essential LAB DIV EXAMS FINAN ANALYST LAB FIELD SUP AIRCRAFT ASST COMPUTER ASST PEN REGISTERS CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP SHOW MONEY ENG TAPE EXAM SOG ASST

SWAT TEAM LEGATS ASST. TECH AG/EQUIP TEL TOLL RECS EVIDNCE PURCH INFORMANT/CW \_\_\_\_\_

\_\_\_\_\_

Stat Agent Name: Stat Agent SOC.:

Report D

Accom Da

b6 b7C

b7E

Assisting Agents SOC

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

UCO-GROUP I UCO-GROUP II UCO-OTHER PHOTO COVERGE NCAVC/VI-CAP
POLYGRAPH CRIM/NS INTEI CRIM/NS INTEL SRCH WAR EXEC CRIS NEG-FED CRIS NEG-LOC ERT ASST

BUTTE-ITC SAVANNAH-ITC POC-WRCSC

FT. MON-NRCSC FOR LANG ASST NON FBI LAB EX VICT-WITN COOR

Information is for Federal, Local, or International (F/L/I)....: F Serial Number of Information....:

> United States Code Violation \_\_\_\_\_\_

Counts Title Section ----1001 18

Accomplishment Narrative

ON 11/23/1999 A FEDERAL COMPLAINT WAS FILED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND CHARGING

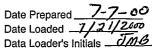
VIOLATION OF TITLE 18, U.S. CODE, SECTION 1001

WITH 1 COUNT IN

b6 b7C

FD-515 (Rev. 10-1-96) Squad supervisor (please initial)	approval
Accomplishment involves:	7

# Accomplishment Report Accomplishment must be reported and loaded into IS



(please initial)		Within 3	u day	s tron	n date of acco	ompi	ıshm	ent)		Date	: Loaded _ : Loader's !	nitiolo	TMB		
Accomplishment involves: (check all that apply)  Drugs  A Fugitive	File Nu	mber -81295		·	1-Used 2 -Help	oed, n	did no	ot help ally	re Assistance	or Tec	hnique Use 3 - Helped 4 - Absolut	ed , substar	ntially ential		
Bankruptcy Fraud	Stat Agent S	Soc. Sec. No.			For Sub. In	rvest.	Assis	t. by other	y other FO (s) indicate A,B,C,D for corresponding FO						
Computer Fraud/Abuse			Rate	FO	TAI	Rate	FO	IAT	Rate FC			Rate FC		_	
Corruption of Public Officials	Stat Area	A Name o	<u> </u>		Fin. Analyst	$\perp$	<u></u>	Lab. Div.	<del></del>		Group I		Ft. Mon NRC	sc	
Forfeiture Assets	Stat Agen	Name	,		Aircraft Asst.	<u> </u>		Lab. Field	Sup	UCO-	Group II		For. Lang Ass	št.	
Sub Invest Asst by FO (s)			<u>                                    </u>		Computer	Ш		Pen Regi	sters	uco-	Nat. Back		Non FBI Lab	Ex	
Asst. FO(s),,,	] RA	Squad		<u> </u>	Consen Mon.	$\perp$		Photo Co	ver.	NCAV	C/VI-CAP				
A, B, C, D	PROV.	P-1			Elsur / FISC	Щ		Polygraph	1	Crim lı	ntel Asst	_ _	1	b6	
Task Force	Assisting Agents Sc	c. Sec. No. ×			Elsur / T. III			Search W	arrant	Crisis	Neg Fed.		1	b70 b7Е	
T GOK T GIGG	1	_			Eng. Field Spt			Show Mo	ney	Crisis	Neg Local				
	J				Eng. Tape Ex			SOG Ass	t.	ERT A	isst.				
	Name:				Legats Asst.			Swat Tea	m l	Butte -	· ITC				
	2	-	L		Evid Purchase	,		Tech. Ag/	Equip.	Sav - I	TC				
	Name:				Inf/CW Info			Phone To	II Rec	Poc -	WRCSC				
Federal Local Complaint Date Check if Civil Rico Con Information Date Indictment Date B. Locate/ Arrest	Local   International   Released b   Number of   Child Local   International     E. Recovery     Federal   Recovery   Code •					Poy: Terrorist Other Hostages: Atted Date  / Restitution / PELP × Local International Date Amount  \$					F. Civil Rico Matters Date  Also Complete Section !  or  Other Civil Matters Date  Judgment  Judicial Outcome  Amount: \$  Suspension:  Years Months				
Locate Date Arrest Date Subject Resisted Ar Subject Arrested wa  C. Summons Federal Lo Summons Date	rest is Armed	Restitution Date  Court Ordered Pretrial Diversion Code Amount  \$  PELP Date Code Amount						G	G. Administrative Sanctions Date  Subject Description Code  Type: Length:  Suspension Permanent  Debarment Years Months Injunction				• ent		
H. Conviction  Federal Local  Conviction Date:  Subject Description Code:	• ()•	I. U.S. Cod Required (Federal of	for S		on # of Coun			J	Sentence Sentence In-Jail	type: _	Suspended ears Month	·	obation s Months		
For 6F, G, HInclude A	gency Code	1	8	3	2/ /				Fines: \$						
☐ Felony Or ☐ Misde	meanor							<u> </u>					<del></del>	4	
☐ Plea Or ☐ Trial			<u> 13</u>	141 2		K	. Acquittal				iversion				
State: Judicial Dist	rict:								Dismissal	Date	Date				
L. Subject Information (D.	aguired for all Sa-#	one eveluelle e C	20041		nd E /D		DEL	D//						4	
L. Subject Information (Re		ons excluding S	ectio	D 8	ma E (Heco\					. 1				_	
	Name					Race		Sex	Date of Birt		Social Secur			-	
<u>Vose</u>	PH PAN	NONE				И	ノ	M	11/26/8	aa a	036-1	2-	1254		
For Indictments/Convicti  Subject related to an L  Subject related to an C	.CN, Asian Organize	d Crime (AOC), n or a VCMO Pr	Italia ogra	an Org m rela	ganized Crim	ne (IC et gar	OC) ( ngs i	Group-Co	omplete FD-5 n drugs-Com	515a, S nplete F	ide 1 D-515a, S	ide 2			

× Additional information may be added by attaching another form or a plain sheet of paper for additional entries.

See codes on reverse side.

Serial No. of FD-515



## Cash

PROPERTY CODES

- Stocks, Bonds or Negot. Instruments 02
- 03 General Retail Merchandise
- 04 Vehicles
- 05 Heavy Machinery & Equipment
- 06 Aircraft
- 07 Jewelry
- 08 Vessels
- 09 Art, Antiques or Rare Collections
- 11 Real Property
- All Other 20

## SENTENCE TYPES

- CP Capital Punishment
- JS Jail Sentence
- LS Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a
- Corporation) PB Probation
- SI Suspension of Jail Sentence
- Youth Correction Act

## PELP CODES

- 22 Counterfeit
  - Stocks/Bonds/Currency/ Negotiable Instruments
- 23 Counterfeit/Pirated Sound Recordings or Motion Pictures
- 24 Bank Theft Scheme Aborted
- Ransom, Extortion or Bribe 25 Demand Aborted
- 26 Theft From or Fraud Against Government Scheme Aborted
- 27 Commercial or Industrial Theft Scheme Aborted
- 30 All Other

## RACE CODES

- Asian/Pacific Islander
- В Black
- I Indian/American
- U Unknown
- W White
- X Nonindividual

## JOINT AGENCY CODES

- **ACIS** Army Criminal Investigative Service
- BATF Bureau of Alcohol, Tobacco & Firearms
- BIA Bureau of Indian Affairs
- Defense Contract Audit Agency DCAA
- Defense Criminal Investigative Service DCIS DEA Drug Enforcement Administration
- DOC Department of Corrections
- DOI Dept. of Interior
- Environmental Protection Agency EPA Federal Aviation Administration FAA
- FDA Food and Drug Administration
- HHS Dept. of Health & Human Services
- HUD Dept. of Housing & Urban Development
- Immigration and Naturalization Service INS
- IRS Internal Revenue Service
- NASA Nat'l Aeronautics & Space Admin NBIS
- Nat'l NARC Border Interdiction
- NCIS Naval Criminal Investigative Service
- RCMP Royal Canadian Mounted Police
- Small Business Administration SBA
- USBP U.S. Border Patrol USCS U.S. Customs Service
- U.S. Department of State USDS
- U.S. Postal Service USPS
- USSS U.S. Secret Service
- USTR U.S. Treasury
- LOC Local
- CITY City County COUN
- ST State
- OTHR Other

SUBJECT DESCRIPTION CODES

## ORGANIZED CRIME SUBJECTS

- 1P Boss
- 1G Underboss
- 1H Consigliere
- 1.I Acting Boss
- 1K Capodecina Soldier 11.

## KNOWN CRIMINALS

- 2A Top Ten or I.O. Fugitive
- 2B Top Thief
- Top Con Man 2C

## FOREIGN NATIONALS

- 3A Legal Alien
- Illegal Alien 3B
- 3C Foreign Official W/out Diplomatic Immunity
- 3D U.N. Employee W/out Diplomatic Immunity
- 3E Foreign Student
- 3F All Others

## **OTHERS**

- 84 All Other Subjects
- 8B Company or Corporation

## TERRORISTS

- 4A Known Member of a
  - Terrorist Organization
- Possible Terrorist Member
  - or Sympathizer

## **UNION MEMBERS**

- President
- Vice-President 5E
- Treasurer 5F
- 5G Secretary/Treasurer
- 5H **Executive Board Member**
- 5I **Business Agent**
- 5J Representative 5K Organizer
- 5L Business Manager
- 5M Financial Secretary
- 5N Recording Secretary Office Manager
- 5P 5Q Clerk
- 5R Shop Steward
- 5S Member
- 5T Trustee
- 5U Other

## JUDGMENT CODES

- CJ Consent Judgment
- CO Court Ordered Settlement

No. of the last

- Default Judgment
- DI Dismissal
- Judgment Notwithstanding JN
- Mixed Verdict MV
- Summary Judgment SI
- Verdict for Defendant
- VP Verdict for Plaintiff

## JUDICIAL OUTCOME

- AG Agreement
- BR Barred/Removed
- Civil Contempt
- DC Disciplinary Charges
- FI Fine
- Preliminary Injunction
- PR Temporary Restraining Order
- Pre-filing Settlement PS
- RN Restitution
- Suspension SP
- VR Voluntary Resignation
- Other OT

## SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

## GOVERMENT SUBJECTS

- 6A Presidential Appointee
- U.S. Senator/Staff
- U.S. Representative/Staff
- Federal Judge/Magistrate
- Federal Prosecutor
- Federal Law Enforcement Officer
- Federal Employee GS 13 & Above
- 6H Federal Employee - GS 12 & Below
- 6.1 Governor 6K Lt. Governor
- State Legislator 61.
- State Judge/Magistrate
- 6N State Prosecutor
- State Law Enforcement Officer State - All Others 6Q
- Mayor 6R
- Local Legislator Local Judge/Magistrate

City Councilman

- 6U Local Prosecutor
- Local Law Enforcement Officer County Commissioner
- 6W Local All Others

## BANK EMPLOYEES

6Ý

- 7A Bank Officer
- 7B Bank Employee

Case Number: 194B-BS-81295

ate: 07/21/2000 Serial No.: te.: 06/29/2000

Stat Agent Name: Stat Agent SOC .:

Report D

Accom Da

Assisting Agents SOC

**b6** b7C b7E

Does Accomplishment Involve Subject Name

PANNONE, JOSEPH, A Bankruptcy Fraud. . . . . . . . . N Computer Fraud/Abuse. . . . : N RA Squad Task Force Corruption of Public Officials: Y

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

Sub. Invest. Asst by Other FOs: did not help

nimally

Investigative Assistance or Technique Used

bstantially

P1

Essential

INFORMANT/CW

LAB DIV EXAMS FINAN ANALYST LAB FIELD SUP AIRCRAFT ASST PEN REGISTERS COMPUTER ASST PHOTO COVERGE CONSEN MONITR ELSUR/FISC POLYGRAPH SRCH WAR EXEC ELSUR/III SHOW MONEY ENG FIELD SUP ENG TAPE EXAM SOG ASST SWAT TEAM LEGATS ASST. TECH AG/LETEL TOLL RECS TECH AG/EQUIP EVIDNCE PURCH

UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED

CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC

POC-WRCSC

Indictment is for Federal, Local, or International (F/L/I)...: F

U. S. Code Violation(s)

FT. MON-NRCSC

FOR LANG ASST

NON FBI LAB EX

VICT-WITN COOR

Form FD-515a Side 2: Investigative Efforts = N/A OR NONE Subject's Role = N/A OR NONE Scope = N/A OR NONE

=====		
Title	Section	Counts
18	1951	6
18	371	1
<del>1</del> 8	1341	2

Subject's Criminal Activity:

If Other, Specify. . . :

If NON-LCN Member or Associate (M/A):

Name of NON-LCN Criminal Group. . . :

osition:

If La Cosa Nostra (LCN) Member or Asso (M/A): Name of LCN Organized Crime Group (OCG) . . . . : 

Name of Union:

Business Influenced/Affected: If Other, Specify. . . . . :

Name of Company Subject Connected w

Elected/Appointed Public Official P

If Other, Specify. :

Union Affiliation:
If Other, Specify:

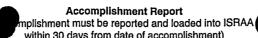
Level of Union. . . :
If Local, Give Number:
Position in Union.:
If Other, Specify:

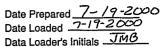
Accomplishment Narrative

ON 6/29/2000, JOSEPH PANNONE, W/M, DOB: 11/26/22, SSAN: 036-12-1254
WAS INDICTED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND, ON 6 COUNTS
IN VIOLATION OF TITLE 18, SECTION 1951, 1 COUNT IN VIOLATION OF TITLE 18,
U.S. CODE, SECTION 371, AND 2 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE,
SECTION 1341

SENSITIVE / UNCLASSIFIED

FD-515-(F	
Y	Squad supervisor approval (please initial)





b6 b7C b7E

(please initial)	within 30 days from date of accomplishment)  Date  Date	a Loader's Initials <u>JMB</u>
Accomplishment involves: (check all that apply) File Numb		
		3 - Helped, substantially
Drugs ☐ 1946.35.83	2 -Helped, minimally	4 - Absolutely essential
Bankruptcy Fraud Stat Agent Soc		
Computer Fraud/Abuse	Rate FO IAT Rate FO IAT Rate FO  Fin. Analyst Lab. Div. Exam UCO	IAT
Corruption of Public Officials Stat Agent 1		
Formelture Assets	7.1107.01071	- Group II For, Lang Asst.
Sub Invest Asst by FO (s)		- Nat. Back Non FBI Lab Ex
Asst. FO(s),,		/C / VI - CAP Vict-Witn Coor
A, B, C, D PROU F		NS Intel Asst
Task Force Assisting Agents Soc.	Sec. 140.	Neg Fed.
1		Neg Local
	Eng. Tape Ex SOG Asst.	Asst.
	Legats Asst. Swat Team Butte	- ITC
2	Evid Purchase Tech. Ag/Equip Sav -	ITC
Name:	Inf/CW Info Phone Toll Rec Poc -	WRCSC
A. Complaint / Information / Indictment	F. Conviction J. Civil Rico Matt	ters Date:
☐ Federal ☐ Local ☐ International	☐ Federal ☐ Local ☐ International Also Complete	"Section G"
Complaint Date:		tters Date:
Check if Civil Rico Complaint □		•
Information Date:	, · · · · ·	
Indictment Date: 6/2/00	1 · · · · · · · · · · · · · · · · · · ·	ne • X
B. Locate/ Arrest		
1	☐ Plea or ☐ Trial Suspension: Ye	ears Months
☐ Federal ☐ Local ☐ International  Subject Priority: ☐ A ☐ B ☐ C	State: Judicial District:	
Locate Date:	C II C Code Violation	e Sanction Date:
Arrest Date:	Poguired for Sections A. R. E. and J. Subject Descri	ption Code
Subject Resisted Arrest	(Federal only)	Length:
☐ Subject-Arrested was Armed	Continue (Continue Continue Co	_
	10 10th	
C Summons Date: 7/5/00	18 371 / Injunction	1 Teals Months
Federal Local	10 12/11	
D. Recovery/Restitution/PELP X	L. Asset Seizure	Date:
☐ Federal ☐ Local ☐ International	Asset Forfeitu	ıre Date:
Recovery Date:	CATS # Mand	latory
Code  Amount \$	H. Sentence Date:  Sentence Type:  , , , ,   Check one of the	he three:
Code /Amount \$		iture - Administrative
Restitution Date:		iture - Civil Judicial
Court Ordered	Probation: Years Months Asset Forfei	
☐ Pretrial Diversion		s \$ value in Section D
Code • Amount \$ PELP Date:		
Code•		
	i. Distribustiantiement.	smissal / Pretrial Diversion
E. Hostage(s) Released Date:		
Released by: Terrorist Other	Distriction Date:	);
Number of Hostages: Child Located Date:	Completion of FD-515a Side 2 Mandatory Pretrial Diversion	on Date:
	I I I I I I I I I I I I I I I I I I I	
	s excluding Section D (Recovery/PELP), Section E (Hostage), Section I	
Name Name	Bace ● I Sex Date of Birth S	Social Security No. (if available)
For Indictments/Convictions only:		
Subject related to an LCN, Asian Organized Crime (AC	C), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigeri	an Organized Crime Group -
Complete FD-515a, Side 1 Blocks A-E mandatory, F-H	as appropriate. Program National Gang Strategy target group, or a VCMO Program National Pric	
Complete FD-515a, Side 1 Blocks A-C only.		
<ul> <li>X Additional information may be added by attaching</li> <li>See codes on reverse side.</li> </ul>	another form or a plain sheet of paper for additional entries.	Serial No. of FD-515
	ed into ISRAA for recovery over \$1m and PELP over \$5m.	101
		181

K

b7C

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## 3 3-5 thru 3-5.3.

01	Cash

PROPERTY CODES

Stocks, Bonds or Negot. Instruments

03 General Retail Merchandise

Vehicles 04

Heavy Machinery & Equipment 05

06 Aircraft

07 Jewelry ΩR Vessels

Art, Antiques or Rare Collections 09

11 Real Property

20 All Other

## SENTENCE TYPES

Capital Punishment

JS Jail Sentence LS Life Sentence

No Sentence (Subject is a Fugitive,

Insane, has Died, or is a Corporation)

PB Probation

Suspension of Jail Sentence SJ

Youth Correction Act

## PELP CODES

Counterfeit

Stocks/Bonds/Currency/ Negotiable Instruments

Counterfeit/Pirated Sound 23

Recordings or Motion Pictures

Bank Theft Scheme Aborted

Ransom, Extortion or Bribe 25

Demand Aborted Theft From or Fraud Against 26

Government Scheme Aborted

27 Commercial or Industrial Theft Scheme Aborted

30 All Other

## RACE CODES

Asian/Pacific Islander Α

Black

Indian/American

U Unknown

w White

ACIS

x Nonindividual

## AGENCY CODES

Army Criminal Investigative Service

Bureau of Alcohol, Tobacco & Firearms BATF

Bureau of Indian Affairs BIA

Defense Contract Audit Agency DCAA

Defense Criminal Investigative Service DCIS Drug Enforcement Administration

DEA DOC Department of Corrections

DOI Dept. of Interior

EPA Environmental Protection Agency

Federal Aviation Administration FAA Food and Drug Administration

FDA Dept. of Health & Human Services HHS

Dept. of Housing & Urban Development HUD

Immigration and Naturalization Service INS

IRS Internal Revenue Service

Nat'l Aeronautics & Space Admin NASA

Nat'l NARC Border Interdiction **NBIS** 

NCIS Naval Criminal Investigative Service

RCMP Royal Canadian Mounted Police

Small Business Administration SBA

U.S. Border Patrol USBP

USCG U.S. Coast Guard

USCS U.S. Customs Service

USDS U.S. Department of State

USMS U.S. Marshals Service

U.S. Postal Service USPS

USSS U.S. Secret Service U.S. Treasury

USTR

LOC Local

CITY City

COUN County

ST

OTHR Other

## SUBJECT DESCRIPTION CODES

### ORGANIZED CRIME SUBJECTS

11 Ross

1G Underboss lΗ

Consigliere Acting Boss

1K Capodecina

lL Soldier

## KNOWN CRIMINALS

2A Top Ten or I.O. Fugitive

2R Top Thief

2C Top Con Man

## FOREIGN NATIONALS

3A Legal Alien

3B Illegal Alien 3C

Foreign Official W/out Diplomatic Immunity

3D

U.N. Employee W/out Diplomatic Immunity

3E Foreign Student

3F All Others

## OTHERS

All Other Subjects 8A

8B Company or Corporation

## JUDGMENT CODES

Consent Judgment

Court Ordered Settlement

Default Judgment DF

DI Dismissal

Judgment Notwithstanding JN

Mixed Verdict MV

Summary Judgment ST

Verdict for Defendant VD VP Verdict for Plaintiff

## JUDICIAL OUTCOME

AG Agreement

Barred/Removed BR

Civil Contempt CC

DC Disciplinary Charges

FI

Preliminary Injunction

Temporary Restraining Order PR

Pre-filing Settlement PS

RN Restitution

SP Suspension

VR Voluntary Resignation

OT Other

## SUBJECT PRIORITY

Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five

Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a

crime in the past five years.

All other subjects.

## 'TERRORISTS

Known Member of a

Terrorist Organization Possible Terrorist Member

or Sympathizer

## · UNION MEMBERS

President 5D

Vice-President 5E

5F Treasurer

5G Secretary/Treasurer

5H **Executive Board Member** 51 **Business Agent** 

5J Representative

5K Organizer

5L **Business Manager** 

Financial Secretary 5M 5N Recording Secretary

SP Office Manager

5Q Clerk 5R Shop Steward

5S Member Trustee Other

## GOVERNMENT SUBJECTS (6F,6G,6H-Include Agency Code)

U.S. Representative/Staff

Presidential Appointee

U.S. Senator/Staff

Federal Judge/Magistrate

6E Federal Prosecutor Federal Law Enforcement Officer 6F

6G Federal Employee - GS 13 & Above

Federal Employee - GS 12 & Below 6H 6J Governor

6C

6K Lt. Governor

6L State Legislator

6M State Judge/Magistrate

State Prosecutor

State Law Enforcement Officer State - All Others 6Q

6R Mayor

6U

6S Local Legislator 6Т Local Judge/Magistrate

Local Prosecutor Local Law Enforcement Officer 6V

6W Local - All Others

County Commissioner City Councilman

## BANK EMPLOYEES

Bank Officer

7B Bank Employee

b6 b7C b7E

b7E

01/21/2000	SENSITIVE / UNCLASSITIE	SD .
Case Number: 194B-BS-81295 ate: 07/21/2000 Serial No.: te.: 06/29/2000	Stat Agent Name: Stat Agent SOC.:	Report D Accom Da
Does Accomplishment Involve Subject Name		ST EX
Indictment is for Federal, Local, or I	International (F/L/I): F	

υ.	s.	Code	Violation(s)	
======	===	=====	=======================================	

Form FD-515a Side 2:	=======	==========	========
Investigative Efforts = N/A OR NONE	Title	Section	Counts
Subject's Role = N/A OR NONE			
Scope = N/A OR NONE	18	1951	6
Soope N/II on None	18	371	1
	18	1341	2

Business Influenced/Affected: Subject's Criminal Activity: If Other, Specify. . . . .: If Other, Specify. . . . : Name of Company Subject Connected w If NON-LCN Member or Associate (M/A):

Name of NON-LCN Criminal Group. . . : Elected/Appointed Public Official P osition: If Other, Specify. :

If La Cosa Nostra (LCN) Member or Asso (M/A): Name of LCN Organized Crime Group (OCG) . . . .:

Name of Union:

Union Affiliation: If Other, Specify:	•	
Level of Union :  If Local, Give Number:  Position in Union.:  If Other, Specify:		·
	Accomplishment Narrative	
SECTION 1951, 1 COUNT IN VI	WAS INDICTED IN U.S. DISTRICT COURT, 6 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE, 0LATION OF TITLE 18, U.S.CODE, SECTION 371, F TITLE 18, U.S.CODE, SECTION 1341	

SENSITIVE / UNCLASSIFIED

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'07/19/2000	************** SUMMONS SENSITIVE / UNCLASSIFIED	*****
Case Number: 194B-BS-81295 ate: 07/19/2000 Serial No.: te.: 07/09/2000	Stat Agent Name: Stat Agent SOC.:	Report D  Accom Da  b6
Does Accomplishment Involve Subject Name  Drugs	Assis	ting Agents SOC b70 b71
Money Laundering		1 = Used, but 2 = Helped, Mi 3 = Helped, Su 4 = Absolutely b7E

Accomplishment Narrative

TO APPEAR ON 7/9/2000 A FEDERAL SUMMONS WAS SERVED ON IN FEDERAL DISTRICT COURT TO ANSWER THE FOLLOWING CHARGES: 6 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE SECTION 1951, 1 COUNT, TITLE 18, SECTION 371, AND 2 COUNTS IN VIOLATION OF TITLE 18, SECTION 1341

b6

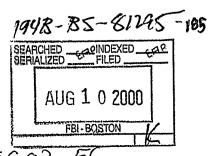
b7C

\*\*\*\*\*\*

SENSITIVE / UNCLASSIFIED

Precedence: ROUTINE	Date: 08/08/2000
To: Boston	
From: Boston Providence RA (P-1) Contact: x130	. b6
Approved By:	₩ 67С
Drafted By: jc	
Case ID #: 194B-BS-81295 (Pendi	ing)
Title: OPERATION PLUNDER DO CSLPO	DME;
Synopsis: To report sentencing of	b6
Details:	b70
	<del></del>

The same of the sa



2213CO2-EC

Precedence: ROUTINE Date: 10/23/2	2000
To: Boston	
From: Boston Providence RA Contact:	
Approved By:	
Drafted By:	
Case ID #: 194B-BS-81295 (Pending)	
Title: CHANGED Operation Plunder Dome;	Je
CSLPO complete	
Synopsis: To add as a subject.	t of
Enclosures: A copy of the affidavit on the complaint	
Previous Title: Title marked "Changed" to reflect the Title previously carried as "Operation Plunder Dome".	
Details:	
**	
	1948 - 85 - 8129 <b>F -)38</b>
	e de la companya del companya de la companya del companya de la c
	6AP
	1012:100

2975COI-EC 10th

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b6 b7C

b6 b7C b7D

Precedence: ROUTINE	Date:	11/08/2000
To: Boston		
From: Boston Providence RA, P-1 Contact: x130		
Approved By:		
Drafted By:		
Case ID #: 194B-BS-81295 (Pending)		
Title: Operation Plunder Dome; CSLPO		
Synopsis: To report indictment of		
Enclosure(s): One copy of an indictment	of	]
Details:		

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44

Precedence:	ROUTINE		Date:	11/15/2000
To: Jackson	ville	Attn: SSA		· ·
	n ovidence RA ntact: SA	(40	1) 458-1	.139
Approved By:				
Drafted By:	cwj <sup>Q</sup>	8		
Case ID #: 1	94B-BS-81295 (Pendi	ng)		
Title: PLUN CSLP	DER DOME; O			,
Synopsis: T	o set lead at Jackson	ville Divis	sion.	
Reference: SA	Telcal between SSA Providence RA.	Jacks	sonville	e Division, and
Enclosures: subpoena ori	Enclosed for Jacksonginally sent by fax or	ville is a n 09/07/200	copy of	a grand jury
	ring a public corrupt: , allegations were mad			
	vestigation to date ha	as substant	iated t	his
allegation.				
	fax, some of the docu Sheriff's Department	ments obta		

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11/15/00

10' 1 2000

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b6 b7C To: Jacksonville H m: Boston Re: 194B-BS-81295, 11/15/2000

LEAD (s):

Set Lead 1:

## **JACKSONVILLE**

## AT JACKSONVILLE, FLORIDA

Will provide the original complete personnel file from the Office of the Sheriff,

Jacksonville, Florida. Jacksonville is requested to respond as expeditiously as possible because indictments are expected by the end of December, 2000.

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**.** .

# United States District Court

(		DUODE TOTANS
	DISTRICT OF _	RHODE ISLAND
):		•
		SUBPOENA TO TESTIFY
		BEFORE GRAND JURY
		BEI ORE GRAND JOKI
	SUBP	OENA FOR:
YOU ARE HEREBY COMMANDED	to annear and testify before t	he Grand Jury of the United States District Court
e place, date, and time specified below		is civil cally or and crimes crease a series count
ACE United States Distr		COURTROOM
John O. Pastore Bui		Office) 314
Two Exchange Terrac Providence, Rhode I		DATE AND TIME
1100000, 111000 1	.5244	
YOU ARE ALSO COMMANDED to	bring with you the following	document(s) or object(s):*
	·	
☐ Please see additional information on reverse		· ·
This subpoens shall remain in of	fect until you are granted les	ve to depart by the court or by an officer acting
pehalf of the court.	icot until you are granted lea	to to dopart by the boart of by an officer doming
LERK		DATE
LLIN		
BY) DEPUTY CLERK	Buit Hur	9/7/00
his subpoena is issued on application	Chief Deputy Clei NAME	ADDRESS AND PHONE NUMBER OF ASSISTANT U.S. ATTORNEY
of the United States of America	ASS:	stant United States Attorney
MARGARET E. CURRAN		
	Unit	ted States Attorney's Office
UNITED STATES ATTORNE	y 50 1	ted States Attorney's Office Kennedy Plaza, Fleet Ctr., 8t vidence, RI 02903

Precedence: 1	ROUTINE	•	Date	: 11	1/17/2000
To: Chicago		Attn:	SRA 2		
· · ·	vidence RA tact: SA	<b>M</b> . \	(401) 45	8-11:	39
Approved By:		Λ.Λ			
Drafted By:	: CW	O			
Case ID #: 19	4B-BS-81295 (Pen	ding)			
Title: PLUND CSLPC	ER DOME;				
Synopsis: T conducted in	o advise the South South Holland, Ill	RA of ar inois.	ı intervi	.ew b	eing
Reference: T	elcal between SA Chicago Division,	on 11/17	Boston Di 7/2000.	visi	on, and SSA
in Providence police depart company locat conducting are evidence at E Street, South Boston and Chapter and Chapte	ring the course of a, Rhode Island, quant promotion exacted in South Holland interview and obtained Holland, Illinois hicago Divisions had the Chicago Divis	minations of the minati	administration of the state of	for East	ed by a will be use as 170th SACs of the
	19.4	-8 - 88 - 81	295-194		
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		111.5	20700	_	

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Precedence:	ROUTINE	Date:	11/24/2000
To: Boston	Att	n: Providence SA	RA,
Squ	onville ad 5 tact: SA	ext 6165	
Approved By:			
Drafted By:	195		
Case ID #: 19	4B-BS-81295 (Pending)		
Title: PLUND CSLPC	DER DOME;		
Synopsis: To	send case a copy of per	sonnel file an	d clear lead.
Enclosure(s): Personnel fil Sheriff's Off			340 containing acksonville
is no further	losed is a copy of the from the Jacksonville investigation in the Jackson covered.	Sheriff's Off	ice. As there

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FOI/PA
DELETED PAGE INFORMATION SHEET
FOI/PA# 1347765-0
Total Deleted Page(s) = 38
Page 3 ~ Referral/Consult;
Page 5 ~ Referral/Direct;
Page 6 ~ Referral/Direct;
Page 14 ~ Referral/Consult;
Page 16 ~ Referral/Direct;
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Page 58 ~ Referral/Direct;
Page 59 ~ Referral/Direct;
Page 60 ~ Referral/Direct;
Page 61 ~ Referral/Direct;
Page 141 ~ Referral/Consult;
Page 142 ~ Referral/Consult;
Page 143 ~ Referral/Consult;
Page 144 ~ Referral/Consult;
Page 145 ~ Referral/Consult;
Page 146 ~ Referral/Consult;
Page 147 ~ Referral/Consult;
Page 148 ~ Referral/Consult;
Page 149 ~ Referral/Consult;
Page 150 ~ Referral/Consult;
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## 

Date: 01/04/2001 Precedence: ROUTINE To: Boston From: Boston Providence RA Contact: SA Approved By: Drafted By: (Pending) Case ID #: 194B-BS-81295 Title: PLUNDERDOME; CSLPO-LOCAL 00:BS Synopsis: Close lead. Details: Lead assigned has been designated unnecessary by lead

Lead covered, clear lead.

\*\*

agent on case.

Cross Pears

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1948-85-81295-98

EPP----

- 1/.8/.01-----

Ochnsozec

ROUTINE Precedence:

Date: 01/10/2001

To: Boston Attn: Providence RA

From: Boston

Providence RA (401) 458-1139 Contact: SA

Approved By:

Drafted By:

(Pending) Case ID #: 194B-BS-81295 (Pending) 194B-BS-84963

PLUNDER DOME; Title: CSLPO-LOCAL

VINCENT A. CIANCI, JR.;

MAYOR, CITY OF PROVIDENCE, RI;

CSLPO-LOCAL

Synopsis: To assign co-case agent.

Details: Writer has been assigned to assist in the investigation of captioned matters since 08/16/2001. It is requested that the writer be assigned co-case agent on captioned cases.

1948 - BS - BIR9K - 199

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FD-515 (Rev. 8-1-00)
Squad supervisor approval

# Accomplishment Report (Accomplishment must be reported and loaded into ISRAA within 30 days from date of cooperations and the second state of cooperations and

Date Prepared_	1/5/01
Date Loaded	11151101
Data Loader's ir	nitials

(please initial)		within	o day	s nom date of acco	omp	iisnment)			Date Loaded			
Accomplishment involves: (check all that apply)	File Numb	ner	] [						Data Loader's Ini	—— <i>U</i>	9,412	
Drugs	1943-BS-		!			t did not help	ve Assis	stance	or Technique Used 3 - Helped, s		ly	
A Fugitive				2 -Help For Sub. In	ed, i	minimally	or E∩ (e\ i	ndicato	4 - Absolute A,B,C,D for correspo	ly essentia	tl.	
Bankruptcy Fraud	Stat Agent Soc	. Sec. No.	Rate	FO IAT		FO IAT		ate FO		ate FO	IAT	
Computer Fraud/Abuse  Corruption of Public Officials				Fin. Analyst	T	Lab. Div		1	UCO - Group I		t. Mon ITC	
Money Laundering	Stat Agent 1	Vame		Aircraft Asst.		Lab. Fie	d Sup		UCO - Group II	_	or. Lang As	_
Sub Invest Asst by FO (s)				Computer		Pen Reg	isters		UCO - Nat. Back	_	on FBI Lab	
Asst. FO(s),,,	RA	Squad		Consen Mon.		Photo C	over.		NCAVC / VI - CAP	_	ict-Witn Co	
A, B, C, D	3090	4450		Elsur / FISC		Polygrap	h		Crim/NS Intel Asst	10	Wanted F	lyer
Task Force	Assisting Agents Soc.	Sec. No. X		Elsur / T. III		Search V	Varrant		Crisis Neg Fed.		ARs	
T dok t orde				Eng. Field Spt	$\Gamma$	Show Mo	oney		Crisis Neg Local	CA	ART	b6 b7C
	Name:			Eng. Tape Ex		SOG As	st.		ERT Asst.			_b7E
				Legats Asst.		Swat Tea	am		Butte - ITC			
	2	•		Evid Purchase		Tech. Ag	/Equip.		Sav - ITC			
	Name:			Inf/CW Info		Phone T	oll Rec		Poc - ITC			
A. Complaint / Information	1 / Indictment	F. Convic	tion				J. C	ivil Ri	co Matters Date:			
Federal 🗌 Local 🗀				3 /	. 47	1	l		mplete "Section G"		· · · · · · · · · · · · · · · · · · ·	
Complaint Date:				☐ Local ☐ Interna		nai	1		ivil Matters Date:			
Check if Civil Rico Comp		I		)ate:			ł		nt		•	
Information Date:		1		ription Code:		)•	!		Outcome			
Indictment Date:/		1		Include Agency Co					\$			
B. Locate/ Arrest	<del>/</del>	Felo	•	_		neanor	l		sion: Years			
☐ Federal ☐ Local ☐	1 International	☐ Plea		_					sion. Tears			
Subject Priority:  A		State: _		Judicial Distri	ct: _		к. А	dminis	strative Sanction I	)ate·		
Locate Date:		G. U.S. Co	de Vi	olation					Description Code			
Arrest Date:				sections A,B,F,and	J			/pe:	Length			
Subject Resisted Arre		(Federa	l Only	)					pension $\square$ Peri			ļ
☐ Subject Arrested was	Armed	Title		Section 1512	# Co	ounts			_	or		į
C. Summons Date:			18 1513			☐ Injunction Year Months						
☐ Federal ☐ Loca	1			1313			<u> </u>	, ,,,,,,,,				
D. Recovery/Restitution/P	FIPX			·			L. A	sset S	eizure Date:			
☐ Federal ☐ Local ☐							A:	sset F	orfeiture Date:			
Recovery Date:		U Camban	D-				C.	ATS#	Mandatory			
Code •✓ Amoun	t \$	1		nte:,, pe:,,			CI	neck o	ne of the three:			
Code •✓ Amoun		In Jail:	_	Years M				Asse	t Forfeiture - Admir	nistrative		
Restitution Date:				YearsM				Asse	t Forfeiture - Civil J	ludicial		
Code A Amount		Probation				☐ Asset Forfeiture - Criminal						
Code •✓ Amoun	τ \$	Fines:	\$				Do	o not i	ndicate \$ value in S	Section D		
Code •✓ Amoun	t \$							•••				
				ismantlement:			M. A	cquitta	al / Dismissal / Pre	trial Dive	ersion	
E. Hostage(s) Released Da		Disrupti	on Da	te:			Ad	quittal	Date:			
Released by: Terroris  Number of Hostages:		Disman	tlemer	nt Date:			Di	smissa	al Date:			
Child Located Date:		Comple	tion of	f FD-515a Side 2 <b>I</b>	Vlan	datory	Pr	etrial [	Diversion Date:			
· · · · · · · · · · · · · · · · · · ·				- D (D /E=:		00				`		_ l _b6
N. Subject Information (Re		excluding S	ectio							·		_b7C
	Name			<u>L</u>	нас	e ●	Date o	ı Birth	Social Security	/No (if a)	vallable)	7
For Indictments/Convictions only:							•					4
Subject related to an LCN. A	Asian Organized Crime (	AOC), Italian C	Organiz	zed Crime (IOC), Ru	ssia	n/Eastern Euro	pean, Ca	aribbea	ın, or Nigerian Organ	ized Crim	e Group -	
Subject related to an OC/Dr	ocks A-E mandatory, F ud Organization, a VCM	-H as appropri	ate.									
Complete PD-515a, Side 1 E	Blocks A-C only.											4
<ul><li>x Additional information may be</li><li>See codes on reverse side.</li></ul>									Ser	iai IVO. 01	f FD-515	$\dashv$
<ul> <li>Requires that an explanation</li> </ul>	be attached and loaded	into ISRAA fo	r reco	very over \$1m and I	PEL	P over \$5m.			20	<u> </u>		

### PROPERTY CODES

- 01 Cash
- Stocks, Bonds or Negot. Instruments 02
- General Retail Merchandise
- 04
- Heavy Machinery & Equipment 05
- 06 Aircraft
- 07 Jewelry
- 08 Vessels
- Art, Antiques or Rare Collections 09
- 11 Real Property
- All Other

## SENTENCE TYPES

- Capital Punishment
- Jail Sentence
- LP Life Parole
- LS Life Sentence
- No Sentence (Subject is a Fugitive, NS Insane, has Died, or is a Corporation)
- PB Probation
- Suspension of Jail Sentence
- Youth Correction Act

## PELP CODES

- 22 Counterfeit
  - Stocks/Bonds/Currency/
- Negotiable Instruments Counterfeit/Pirated Sound
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- Ransom, Extortion or Bribe Demand Aborted
- Theft From or Fraud Against 26
- Government Scheme Aborted Commercial or Industrial
- Theft Scheme Aborted
- 30 All Other

### RACE CODES

- Asian/Pacific Islander
- Black
- Indian/American
- U Unknown
- w White
- Nonindividual

## AGENCY CODES

- Air Force Office of Special Investigations **AFOIS**
- ACIS Army Criminal Investigative Service
- Bureau of Alcohol, Tobacco & Firearms BATF
- Bureau of Indian Affairs BIA
- Defense Contract Audit Agency DCAA
- DCIS Defense Criminal Investigative Service DEA Drug Enforcement Administration
- Department of Corrections DOC
- DOI Dept. of Interior
- Environmental Protection Agency **EPA**
- Federal Aviation Administration FAA
- FDA Food and Drug Administration HHS
- Dept, of Health & Human Services
- Dept. of Housing & Urban Development HIID
- INS Immigration and Naturalization Service
- IRS Internal Revenue Service
- NASA Nat'l Aeronautics & Space Admin
- Nat'l NARC Border Interdiction **NBIS**
- Naval Criminal Investigative Service NCIS
- RCMP Royal Canadian Mounted Police
- Small Business Administration SBA
- USBP U.S. Border Patrol
- USCG U.S. Coast Guard
- USCS U.S. Customs Service
- USDS U.S. Department of State USMS U.S. Marshals Service
- USPS ILS. Postal Service
- USSS U.S. Secret Service
- USTR U.S. Treasury
- LOC Local
- CITY City
- COUN County
- ST State
- OTHR Other

TERRORISTS

4A Known Member of a

UNION MEMBERS

President

Treasurer

Vice-President

**Business Agent** 

Representative

**Business Manager** 

Financial Secretary

Office Manager

Shop Steward

Recording Secretary

Organizer

Clerk

Member

Trustee

Secretary/Treasurer

**Executive Board Member** 

5D

5E

5F

5G 5H

5I

5J

5K

5L 5M

5N

5P

5Q

5R

5S

5T

5U Other

Terrorist Organization

Possible Terrorist Member or Sympathizer

## SUBJECT DESCRIPTION CODES

## ORGANIZED CRIME SUBJECTS

- 1F Boss
- Underboss 1G
- 1H Consigliere
- 11 Acting Boss
- 1K Capodecina
- Soldier 1L

## KNOWN CRIMINALS

- 2A Top Ten or I.O. Fugitive
- 2B Top Thief
- Top Con Man 2C

## FOREIGN NATIONALS

- 3A Legal Alien
- Illegal Alien 3B
- 3C Foreign Official W/out
- Diplomatic Immunity 3D U.N. Employee W/out
- **Diplomatic Immunity**
- 3E Foreign Student
- 3F All Others

## **OTHERS**

- All Other Subjects 84
- 8B Company or Corporation

### JUDGMENT CODES

- Consent Judgment
- Court Ordered Settlement
- **Default Judgment**
- DI
- Dismissal
- IN Judgment Notwithstanding
- Mixed Verdict MV
- SJ Summary Judgment
- Verdict for Defendant
- Verdict for Plaintiff

## JUDICIAL OUTCOME

- AG Agreement
- Barred/Removed BR
- Civil Contempt CC
- DC Disciplinary Charges
- FI Fine
- Preliminary Injunction ΡI
- Temporary Restraining Order PR
- PS Pre-filing Settlement
- Restitution
- SP Suspension
- Voluntary Resignation VR
- Other

## SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five vears
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

## **GOVERNMENT SUBJECTS**

- Presidential Appointee
- U.S. Senator/Staff
- U.S. Representative/Staff

(6F,6G,6H- Include Agency Code)

- Federal Judge/Magistrate 6D
- Federal Prosecutor 6E
- Federal Law Enforcement Officer
- Federal Employee GS 13 & Above Federal Employee - GS 12 & Below 6H
- 61 Governor
- 6K Lt. Governor
- 6L State Legislator
- State Judge/Magistrate
- 6N State Prosecutor State Law Enforcement Officer 6P
- State All Others 60
- 6R Mayor Local Legislator
- 6S Local Judge/Magistrate 6T
- Local Prosecutor
- Local Law Enforcement Officer

City Councilman

Local - All Others 6X County Commissioner

## BANK EMPLOYEES

- 7A Bank Officer
- Bank Employee



Report Date: 01/05/2001 Stat Agent Name: Case Number: 1948-BS-81295 Accom Date: 01/03/2001 Stat Agent SOC .: Serial No.: Subject Name Assisting Agents SOC Does Accomplishment Involve Drugs . . . Task Force Squad RA ----Corruption of Public Officials: Y **PROV** Money Laundering. . . . . . . . N 1 = Used, but did not help Sub. Invest. Asst by Other FOs: 2 = Helped, Minimally 3 = Helped, Substantially Investigative Assistance or Technique Used 4 = Absolutely Essential FT. MON-NRCSC LAB DIV EXAMS UCO-GROUP I FINAN ANALYST FOR LANG ASST UCO-GROUP II LAB FIELD SUP AIRCRAFT ASST NON FBI LAB EX PEN REGISTERS UCO-OTHER COMPUTER ASST VICT-WITH COOR PHOTO COVERGE NCAVC/VI-CAP CONSEN MONITR IO WANTED FLYR CRIM/NS INTEL POLYGRAPH ELSUR/FISC SARS SRCH WAR EXEC CRIS NEG-FED ELSUR/III CRIS NEG-LOC CART SHOW MONEY ENG FIELD SUP ENG TAPE EXAM SOG ASST ERT ASST BUTTE-ITC SWAT TEAM LEGATS ASST. TECH AG/EQUIP SAVANNAH-ITC EVIDNCE PURCH TEL TOLL RECS POC-WRCSC INFORMANT/CW Indictment is for Federal, Local, or International (F/L/I)...: F U. S. Code Violation(s) \_\_\_\_\_\_\_\_ Form FD-515a Side 2: Counts Section Investigative Efforts = N/A OR NONE Title \_\_\_\_\_ Subject's Role = N/A OR NONE 1 18 1512 Scope = N/A OR NONE 18 1513 1 Business Influenced/Affected: Subject's Criminal Activity: If Other, Specify. . . . . : If Other, Specify. . . : Name of Company Subject Connected with: If NON-LCN Member or Associate (M/A): Name of NON-LCN Criminal Group. . . : Elected/Appointed Public Official Position: If Other, Specify. : If La Cosa Nostra (LCN) Member or Asso (M/A): Name of LCN Organized Crime Group (OCG) . . . . : Name of Union: Union Affiliation: If Other, Specify: Level of Union. . . : If Local, Give Number:

Accomplishment Narrative
ON 1/3/2001, WAS
INDICTED IN U.S. DISTRICT COURT ON 1 COUNT EACH IN VIOLATION OF TITLE 18
U.S. CODE SECTION(S) 1512 AND 1513

Position in Union.: If Other, Specify:

> b6 b7C

b6

b7C

b7E

Accomplishment Report omplishment must be reported and loaded into IS within 30 days from date of accomplishment)



Accomplishment	1							-		Data Loader	's Init	زر ials.	911113	
Accomplishment involves: (check all that apply)	File Nur	mher					Inve	estigative Assis	tance	or Technique i	Ised			1
Drugs					1-Used.	but		-	iance	3 - Help			ially	
1. <u>-</u> *	19413-13	<u> </u>	1		2 -Helpe	ed, n	ninimall	ly		4 - Abs	•			1
A Fugitive  Bankruptcy Fraud	Stat Agent S	oc. Sec. No.			For Sub. Inv	est.	Assist.	by other FO (s) i	ndicate	A,B,C,D for core	respor	nding F	0	
Computer Fraud/Abuse			Rate	e FO		Rate			ate FO	IAT	Rat	te FO	IAT	1
Corruption of Public Officials			.4	鄉	Fin. Analyst		7	Lab. Dív. Exam		UCO - Group I		器器	Ft. Mon NRCSC	
	Stat Agent	Name		-3.5	Aircraft Asst.		305	Lab. Field Sup		UCO - Group II		design	For. Lang Asst.	l
1			1		Computer			Pen Registers	+	UCO - Nat. Bac	_		Non FBI Lab Ex	ĺ
Sub Invest Asst by FO (s)	! <del> </del>	Count	ď	1.003		H		Photo Cover.	3723	NCAVC / VI - C		75860	· ·	İ
Asst. FO(s),,,	] RA	Squad	<u> </u>	┼	Consen Mon.						47			b6
A, B, C, D	3090	4450	_	<u> </u>	Elsur / FISC		· 經验	Polygraph		Crim Intel Asst				b7C
Table 5	Assisting Agents So	c. Sec. No. ×		1	Elsur / T. III			Search Warrant	4	Crisis Neg Fed	i.			b7E
Task Force			ור	:3.4	Eng. Field Spt.		<b>乔约</b>	Show Money	1300	Crisis Neg Loc	al			
			╟─		Eng. Tape Ex	Н		SOG Asst.		ERT Asst.	_	+		İ
	Name:		<u> </u>			Н		Swat Team		Butte - ITC	+			
			<del> </del>	933	Legats Asst.						-	┼┼┼		l
	2	-	<u> </u>		Evid Purchase			Tech. Ag/Equip.		Sav - ITC				!
	Name:				Inf/CW Info		<b>1883</b> I	Phone Toll Rec	8	Poc - WRCSC				l
A. Complaint / Informati  Federal Local Complaint Date Check if Civil Rico Con Information Date Indictment Date  B. Locate/ Arrest Federal Local Subject Priority: A Locate Date Arrest Date Subject Resisted Ar Subject Arrested wa  C. Summons Federal Local Summons Date H. Conviction Federal Local Conviction Date: Subject Description Code:	International Inplaint I International IB C International Is Armed International Is International	Release Number Child Lo  E. Recover Gode Recover Code  Restitu Cou Pre Code  PELP I Code  1. U.S. Coo	ed by: of H ocate ry / I ral [ ry Da	costaçed D Resti Lo Resti Lo Resti Lo Resti Amo S S Date Amo S Am S Olatic Sectio	ount ount ount	× xtions		G. Adr	her Cidgmer dicial (nount: spens Type: Did In tence tence	rative Sanction ( t Description ( Le uspension	Years Da Da Code ength: Year	x • ears Me	Aonths  It  Onths  pation	
For 6F, G. HInclude A	lgency Code	'	1			$\dashv$				Ç+				
Felony Or Misde	- •		_					Fine	es: \$ _					
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Plea Or Trial	n —		$\dashv$			$\neg$				ate				
State: <b>RF</b> Judicial Dist	trict: ドチ				1	j				Date				
pudicidi Disi					<u></u>	<u>-</u> ــا		Pret	rial Div	ersion Date _			_	
L. Subject Information (R	equired for all Section	ons evoluding S	Santi	OP D	and F /Peccu	en/	DEI D	<u>'</u>						
		excluding s		J., D										
	Name					Race	•	Sex Date	of Birth	n   Social Se	curity	No. (if	availabie)	
													J	b6
For Indictments/Convict	ions only:								-				<u>_</u>	b7C
Subject related to an L		d Crime (AOC)	Itali	an O	roanized Crime	e (10	)C) G	roup-Completé	FD-5	15a. Side 1			1	
Subject related to an C	OC/Drug Organizatio	n or a VCMO Pi	rogra	ım re	lating to street	.gar	ngs in	volved in drugs	s-Com	plete FD-515a	./Side	∌ 2		
× Additional information m						•				, г			of FD-515	
See codes on reverse si	ide	and another ion	UI	a hid	w sincer or hab	-1.IC	n. auul	aona entres.				110.		* 1
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03/	80	/2	001

# 



b7C

SENSITIVE / UNCLASSIFIED

Case Number: 1948-	Stat Agent Name: Stat Agent SOC.:			Report Date: 03/08/2001 Accom Date:: 02/18/2001					
Does Accomplis			Assis	ting Agents SOC		Subject	Name	b7C b7E	
Drugs A Fugitive Bankruptcy Fraud. Computer Fraud/Abu Corruption of Publ Money Laundering.						RA  PROV	Squad  P1	Task Force	
Sub. Invest. Asst	by Other FOs:				1 = Used, 2 = Helped				
Investiga	tive Assistance or	Technique Used			3 = Helped 4 = Absolu	, Substar	ntially		
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW  Date of Conviction  Federal, Local, or Felony or Misdemeal Plea or Trial (P/T Judicial State Judicial District	International (F/M) nor (F/M) )	L/I)	FOR L/ NON FI VICT-N IO WAN SARS CART	I					 b7E
		U. S. C	ode Viola						
		Title	Section	Counts	Form FD-515a: Subject's Rol	e =			
		18	1512	1	-				
		Accompl	ishment Na	arrative					
				PLED					<b>b</b> 6

GUILTY TO 1 COUNT IN VIOLATION OF TITLE 18, SECTION 1512

1948-BS-81295-205

Precedence: ROUTINE	•	Date:	04/04/2001
To: Boston	Attn:	Providence	RA
From: Boston Providence RA Contact: SA		](401) 458-:	1139
Approved By:			
Drafted By:	]:cwj o.}		
Case ID #: 194B-BS-81295	(Pending)		
Title: Plunder Dome;			

Synopsis: To justify submission of evidence after more than 10 days.

Details: Supporting documents for selected expenditures from the City of Providence Federal Seizure Fund were subpoenaed from the City of Providence and acquired on 03/14/2001. They were not entered into evidence until 04/04/2001 because the documents were under review at another location.

44

CSLPO

1946-83-8129F **306** EAP b6 b7C

Date Prepared 8-8-2000
Date Loaded 929 2000
Data Loader's Initials 9m6

b6 b7C b7E

b7E

b6 b7C

Accomplishment involves:					Data Load	ler's Initials 4440		
(check all that apply)	File Numbe	er		Investigati	ve Assistance or Techniqu	ie Used		
Drugs	19413-135-	81295		but did not help		lelped, substantially		
A Fugitive				ed, minimally	4 - A r FO (s) indicate A,B,C,D for d	bsolutely essential		
Bankruptcy Fraud	Stat Agent Soc.	Sec. No.	Li	Rate FO IAT		Rate FO IAT		
Computer Fraud/Abuse			Fin. Analyst	Lab, Div.				
Corruption of Public Officials	Ctat Agant M		Aircraft Asst.	Lab. Fiel	<del></del>			
Forfeiture Assets	SA				<del></del>			
Sub Invest Asst by FO (s)			Computer	Pen Reg				
Asst. FO(s),,		Squad (2-)	Consen Mon.	Photo Co				
A, B, C, D	1100	<u> </u>	Elsur / FISC	Polygrap	i			
Task Force	Assisting Agents Soc. S	Sec. No. ×	Elsur / T. III	Search V	/arrant Crisis Neg	Fed.		
	1		Eng. Field Spt	Show Mo	oney Crisis Neg	Local		
1			Eng. Tape Ex	SOG Ass	ERT Asst.			
]			Legats Asst.	Swat Tea	am Butte - ITC			
] [2	2		Evid Purchase	Tech. Ag	/Equip Sav - ITC			
	Name:		Inf/CW Info	Phone To	oll Red Poc - WRCS	c		
A. Complaint / Information / I	Indictment	F. Convid	etion		J. Civil Rico Matters D	ate:		
☐ Federal ☐ Local [	☐ International	Øn Fed	ieral □ Local. □ l	International	Also Complete "Section			
Complaint Date:		Convi	ction Date: 3/29/	W	·	Date:		
Check if Civil Rico Complair		JSV			Judgment	-		
Information Date:		L		N. 1.				
Indictment Date:			F, G, HInclude Agency C			• x		
B. Locate/ Arrest				Misdemeanor	Amount \$			
	☐ International		and or District:	Trial A	Suspension: Years	Months		
Subject Priority: A B		State.	Judiciai District.	<u></u>				
Locate Date:		G IIS C	ode Violation		K. Administrative Sand			
Arrest Date:			ed for Sections A, B, F, a	nd .l	Subject Description Code			
☐ Subject Resisted Arrest		(Federa			l •••	Length:		
☐ Subject Arrested was Arr	med	Title	Section	# Counts	☐ Suspension ☐ Debarment	☐ Permanent or		
C. Summons Date:		18	1951	2	, –	Years Months		
☐ Federal ☐ Local	<del></del>							
	m. m. v.				Accet Solzure Date:			
7-1-1,7:1100111111101141 11	□ International				L. Asset Seizure Date:			
_					<u>.</u>			
Recovery Date:	07000	H. Senten	ce Date: 8/8/20	300	CATS # Mandatory			
Code• /Amount \$		Senten	ce Type: 55', P/5,	•	Check one of the three:			
Restitution Date: 8/9	8/2000	In Jail:		iths_6_	☐ Asset Forfeiture - A	Administrative		
Court Ordered	7	Suspend	ded: Years Mon	ths	☐ Asset Forfeiture - Civil Judicial			
☐ Pretrial Diversion		Probati		ths	Asset Forfeiture - Criminal			
Code • C Amount \$	12:000	Fines:	\$ <u>15,000</u>		Do not indicate \$ val	ue in Section D		
PELP Date:		<del></del>	-	<del></del> ,				
Code•		1. Discuntie	on/Dismantlement:		M. Acquittal / Dismissa	l / Pretrial Diversion		
E. Hostage(s) Released Date:	:		n Date:		Acquittal Date:			
Released by:  Terrorist	☐ Other	•	ement Date:		*			
Number of Hostages:			on of FD-515a Side 2 Ma		Pretrial Diversion Dat	e:		
Child Located Date:	<u> </u>	•						
N. Subject Information (Requi	ired for all Sections	excluding S	Section D (Recovery/PE	LP), Section E (I	Hostage), Section I, and S	Section L.)		
	Name		I R	ace Sex	Date of Birth   Social S	Security No. (if available)		
Subject related to an LCN, Asian	Organized Crime (AO	C), Italian Orga	nized Crime (IOC). Russian	/Eastern Europear	n. Caribbean, or Nigerian Orga	anized Crime Group -		
Complete FD-515a, Side 1 Block	ks A-E mandatory, F-H :	as appropriate.	•					
Subject related to an OC/Drug C Complete FD-515a, Side 1 Block	ks A-C only.	rrogram Natio	onai Gang Strategy target g	roup, or a VCMO	Program National Priority Init	uative target group -		
X Additional information may be	added by attaching a	nother form o	or a plain sheet of paper to	or additional entr	ies.	Serial No. of FD-515		
<ul> <li>See codes on reverse side.</li> <li>Requires that an explanation b</li> </ul>	be attached and loade	d into ISRAA	for recovery over \$1m ar	nd PELP over \$5r	n.	211		

### PROPERTY CODES

O1	Casn		
02	Stocks,	Bonds or Negot.	Instrument

03 General Retail Merchandise 04 Vehicles

0--1-

Heavy Machinery & Equipment 05

06 Aircraft 07 Jewelry

08 Vessels

09 Art, Antiques or Rare Collections

11 Real Property 20 All Other

## SENTENCE TYPES

Capital Punishment JS Jail Sentence LS Life Sentence

No Sentence (Subject is a Fugitive, NS

Insane, has Died, or is a Corporation)

PΒ Probation

Suspension of Jail Sentence SJ

Youth Correction Act

### PELP CODES

23

Counterfeit

Stocks/Bonds/Currency/ Negotiable Instruments Counterfeit/Pirated Sound Recordings or Motion Pictures

Bank Theft Scheme Aborted 25 Ransom, Extortion or Bribe

Demand Aborted Theft From or Fraud Against 26

Government Scheme Aborted Commercial or Industrial 27

Theft Scheme Aborted

All Other 30

### RACE CODES

Α Asian/Pacific Islander

В Black

I Indian/American

U Unknown

w White

Nonindividual x

## AGENCY CODES

Army Criminal Investigative Service ACIS Bureau of Alcohol, Tobacco & Firearms BATF

Bureau of Indian Affairs BIA

Defense Contract Audit Agency DCAA Defense Criminal Investigative Service DCIS

DEA Drug Enforcement Administration

DOC Department of Corrections

Dept. of Interior DOI

Environmental Protection Agency EPA Federal Aviation Administration FAA Food and Drug Administration FDA

Dept. of Health & Human Services HHS Dept. of Housing & Urban Development HUD

Immigration and Naturalization Service INS IRS Internal Revenue Service

NASA Nat'l Aeronautics & Space Admin NBIS Nat'l NARC Border Interdiction NCIS Naval Criminal Investigative Service

Royal Canadian Mounted Police RCMP Small Business Administration SRA

U.S. Border Patrol LISBP U.S. Coast Guard USCG U.S. Customs Service USCS USDS U.S. Department of State USMS U.S. Marshals Service

USPS U.S. Postal Service U.S. Secret Service USSS

USTR U.S. Treasury LOC Local

Other

CITY City COUN County ST State

TERRORISTS

OTHR

## SUBJECT DESCRIPTION CODES

### ORGANIZED CRIME SUBJECTS

1F Boss

16 Underboss 1H Consigliere IJ Acting Boss

1K Capodecina

ΙL Soldier

## KNOWN CRIMINALS

2A Top Ten or I.O. Fugitive

2B Top Thief

Top Con Man

## FOREIGN NATIONALS

3A Legal Alien

3B Illegal Alien

3C Foreign Official W/out Diplomatic Immunity

3D U.N. Employee W/out Diplomatic Immunity

3E Foreign Student

3F All Others

OTHERS

All Other Subjects 8A

8B Company or Corporation

Known Member of a

Terrorist Organization

Possible Terrorist Member or Sympathizer

## UNION MEMBERS

5D President

Vice-President SE

SF Treasurer

Secretary/Treasurer 5G

5H Executive Board Member

51 Business Agent

Representative 53

5K Organizer

5L Business Manager

Financial Secretary 5M 5N Recording Secretary

5P Office Manager

5Q Clerk

5R Shop Steward

5S Member

5T Trustee

Other 5U

## JUDGMENT CODES

Consent Judgment

CO Court Ordered Settlement

DF Default Judgment

DI Dismissal

M Judgment Notwithstanding

Mixed Verdict M٧

Summary Judgment SI

Verdict for Defendant VD.

Verdict for Plaintiff VP

## JUDICIAL OUTCOME

AG Agreement

Barred/Removed BR

Civil Contempt CC

DC Disciplinary Charges

FI Fine

Preliminary Injunction ΡI

Temporary Restraining Order PR

Pre-filing Settlement PS

RN Restitution

Suspension SP

Voluntary Resignation VR

OT Other

## SUBJECT PRIORITY

Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five

Subject wanted for crimes involving loss В or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.

All other subjects.

### **GOVERNMENT SUBJECTS** (6F,6G,6H- Include Agency Code)

Presidential Appointee 6A

U.S. Senator/Staff ' 6B

U.S. Representative/Staff 6C

മ Federal Judge/Magistrate

Federal Prosecutor

Federal Law Enforcement Officer 6F

6G Federal Employee - GS 13 & Above

бH Federal Employee - GS 12 & Below

61 Governor

6K Lt. Governor

State Legislator бL 6M

State Judge/Magistrate 6N State Prosecutor

ഔ State Law Enforcement Officer

State - All Others 6Q

6R Mayor

ឲារ

Local Legislator 6S

Local Judge/Magistrate **6T** Local Prosecutor

Local Law Enforcement Officer 6V

6W Local - All Others

6X County Commissioner 6Y City Councilman

## BANK EMPLOYEES

Bank Officer

Bank Employee

				_
08	/29	/2	00	U

## \*\*\*\*\*\*\* CONVICTION \*\*\*\* SENSITIVE / UNCLASSIFIED

b6 b7C b7E

b7E

Case Number: 194B-I	3S-81295	Stat P	Agent Name	:		Report D	
ate: 08/29/2000 Serial No.: te.: 03/29/2000		Stat A	Agent SOC.	:		Accom Da	b6
Does Accomplish Subject Name  Drugs  A Fugitive.  Bankruptcy Fraud. Computer Fraud/Abu RA Squad Task Corruption of Publ  Money Laundering. PROV P1  Sub. Invest. Asst					Assist	ing Agents SOC	b7C b7E
did not help	by Other ros.					2 = Helped, Mi	
nimally Investiga	tive Assistance or	Technique \	Used			3 = Helped, Su	
bstantially 						4 = Absolutely	
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW	LAB DIV EXAMS LAB FIELD SUP PEN REGISTERS PHOTO COVERGE POLYGRAPH SRCH WAR EXEC SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP TEL TOLL RECS	UCO-GROUUCO-GROUUCO-OTHEUNCAVC/VUCRIM/NSCRIS NEGCRIS NEGERT ASSTBUTTE-ITSAVANNAH	P II R -CAP INTEL -FED -LOC C	FT. MON- FOR LANG NON FBI VICT-WI	G ASST LAB EX		b7E
	(MM/DD/YYYY)				29/2000		
Date of Sentencing	(MM/DD/YYYY)		• • • •	· · · ·			b7E
Felony or Misdemea  Plea or Trial (P/T  Judicial State	International (F/I nor (F/M)			: F : P			
	Year Month		J. S. Code			Form FD-515a Side 2	
<pre>corts = N/A OR NONE   Time in Jail: N/A OR NONE   Time Suspended.: ONE   Probation Time.:</pre>		Tit  1	:le Sec:	tion  51	Counts 2	<pre>Investigative Eff Subject's Role = Scope = N/A OR N</pre>	
Total Fines :\$					~ <del>-</del>		

b6 b7C

PLED GUILTY TO 2 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE SECTION 1951

08/29/2000	SENSITIVE / UNCLASSI	FIED	
Case Number: 194B-BS-81295 ate: 08/29/2000 Serial No.: te.: 08/08/2000	Stat Agent Name: Stat Agent SOC.:	Report D Accom Da	<b>b</b> 6
Does Accomplishment Involve Subject Name  Drugs		Assisting Agents SOC	b7C b7E
Money Laundering N PROV P1  Sub. Invest. Asst by Other FOs: did not help  nimally  Investigative Assistance obstantially	r Technique Used	<pre>1 = Used, but 2 = Helped, Mi 3 = Helped, Su 4 = Absolutely</pre>	
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW LAB DIV EXAMS LAB FIELD SUP PEN REGISTERS PHOTO COVERGE POLYGRAPH SRCH WAR EXEC SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP	UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-FED CRIS NEG-FUC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	IRCSC ASST AB EX	b7E
Type of Sentence : JS PB Date of Sentencing : 08/08/20 Federal, Local, or International (F  Year Month  Time in Jail . : 2 6	00 /L/I): F		
TAMO AH OGAA			

Time Suspended.:

Probation Time.: 3

Total Fines. . :\$ 15000

Accomplishment Narrative

WAS SENTENCED TO SERVE 2 YEARS 6 MONTHS IN FEDERAL PRISON, FOLLOWED BY 3 YEARS SUPERVISED PROBATION. WAS ALSO FINED \$15,000 IN COURT 3 YEARS SUPERVISED PROBATION. COSTS

SENSITIVE / UNCLASSIFIED

b6 b7C

nα	/05	/20	$\Omega$
US	/ UJ	<i>,</i> 20	uv

## \*\*\*\*\*\* RESTITUTION SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-8129	95	Stat Agent Name	:			Report D	
ate: 08/29/2000 Serial No.: te.: 08/08/2000		Stat Agent SOC.	:			Accom Da	b6
Does Accomplishment I Subject Name  Drugs  A Fugitive Bankruptcy Fraud Computer Fraud/Abuse RA Squad Task Force Corruption of Public Offi	: N: N: N: N			Assist	ing Agen	ts SOC	ь7с ь7Е
PROV P1 Sub. Invest. Asst by Other	er FOs:				1	= Used, but	
did not help					2	= Helped, Mi	
nimally Investigative As	ssistance or T	echnique Used			3	= Helped, Su	
bstantially					4	= Absolutely	
AIRCRAFT ASST COMPUTER ASST PEN CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH LABBER	DIV EXAMS FIELD SUP REGISTERS TO COVERGE YGRAPH H WAR EXEC W MONEY ASST T TEAM H AG/EQUIP TOLL RECS	UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	FT. MON-N FOR LANG NON FBI L VICT-WITN	ASST AB EX			b7E
Restitution is for Federa Restitution Court Ordered n Property	al, Local, or d or by Pretri	International (F/L al Diversion (C/P)	/I): F			Restitutio	
========				CODE	72	MOUNT	
CODE AMO	UNT						
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\$							
							b6 b7С
		Accomplish	ment Narra	ative			

FD-515.(Rev. 10-1-96)
Squad supervisor approval (please initial)

## Accomplishment Report complishment must be reported and loaded into IS within 30 days from date of accomplishment)



Accomplishment involves:	]	, . <del>.</del>	. —										_
(check all that apply)	File Nu							_	sist	ance or Technique U			Ì
Drugs	1998-35	-81295			1-Used, 2 -Helpe						ed, substa lutely ess		
A Fugitive									oni (a	dicate A,B,C,D for corre			
Bankruptcy Fraud	Stat Agent S	Soc. Sec. No.	Bat	e FO		Rate F		IAT		e FO IAT	Rate F		
Computer Fraud/Abuse	:		]		n. Analyst			Lab. Div. Exam		UCO - Group I		Ft. Mon NRCS0	-
Comuption of Public Officials	Stat Ager	t Name	ı⊢	7 7147	ircraft Asst.		-0 . 6-	Lab. Field Sup	-	UCO - Group II		For. Lang Asst.	
Forfeiture Assets			1	1 4 3 22		2.5	98 <u>,</u> B.		-	<del>                                     </del>	1 7 -0		-
Sub Invest Asst by FO (s)			<u>'</u>		omputer			Pen Registers	<u> </u>	UCO - Nat. Back	$\overline{}$	Non FBI Lab Ex	<u> </u>
Asst. FO(s),,	RA	Squad	<b>   </b>		onsen Mon.			Photo Cover.	<u> </u>	NCAVC / VI - CA	P	<del>- </del>	-b6
A, B, C, D	Prov	P-1	<u>                                    </u>	E	sur / FISC	:1	1	Polygraph		Crim Intel Asst			-b70
	Assisting Agents Sc	x Sec No X		E	sur/T. III			Search Warrant		Crisis Neg Fed			_b7E
Task Force				.₩JE	ng. Field Spt.	3		Show Money		Crisis Neg Loc			٦, ٦
			╟─	1	ng. Tape Ex		33.52.7	SOG Asst.	<u> </u>	ERT Asst.	++-		1
	Name:			1408:00			25	Swat Team	<del>                                     </del>	Butte - ITC	+	<u> </u>	┥
	2	-			egats Asst.								4
		- <del>-</del>	<u> </u>	E	vid Purchase			Tech. Ag/Equip		Sav - ITC	$\bot$		╛
	Name:			lr Ir	f/CW Info	1	T11.	Phone Toll Rec		Poc - WRCSC			
A. Complaint / Informati	□ International	Release	ed by r of H	: Te lostages	ed Date rrorist [] O :	ther			Also	il Rico Matters Dat o Complete Section I or			
Information Date	<del></del>	E. Recove	ery / I	Restitu	ion / PELP :	×		- 1		er Civil Matters Dat	e		
Indictment Date	<del></del>	☐ Fede	ral [	Loca	☐ Internat	tional			Jud	gment•			
		Recove	rv Da						Judi	icial Outcome	_ ו		
B. Locate/ Arrest		Code •		Amour					Amo	ount: \$			
Federal 🔲 Local	□ International			S			$\neg$			pension:			
* *				<u> </u>			-		Ous	perioion.	Years	Months	
Subject Priority: A				<del>3</del>								<u> </u> j	
Locate Date		Restitu	ıtion	Date _						, <del>.</del>			1
Arrest Date	12/00	Cor						G. A	dmi	inistrative Sanction	s Date		
☐ Subject Resisted Ar	•	_		Diversio					s	ubject Description C	ode	•	
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Subject Arrested wa	as Armed	_	:	S						• •	ngth:		
C. Summons		DELD	Data						Į	Suspension	Perman	ent	
		Code •		Amou					(	Debarment [	Years	Months	
☐ Federal ☐ Lo	ocal	Code					_		(	Injunction			
Summons Date				\$							·	<u></u>	
H. Conviction		I. U.S. Co	de Vi	olation				i				· · · · · · · · · · · · · · · · · · ·	1
					A, B, F, and	н		J. S	ente	ence Date:		<u> </u>	
☐ Federal ☐ Local	☐ International	(Federal			., _, .,			s	ente	ence type:,		•	
Conviction Date:		Title		Sectio	n # of Counts				lı	n-Jail Suspende	d F	robation	
	. /	<del>  ,</del>	-		<del></del>	<b>~</b>			ears	Months Years Mon	itns   Yea	rs Months	
Subject Description Code: _	• ()•	+ $+$ $+$ $+$ $+$ $+$ $+$ $+$ $+$	<b>Y</b>	15	3   /	ĺ							
For 6F, G. HInclude A	Agency Code			,	<del>-   -  </del>	<del> </del>			inaa	:: \$			
☐ Felony Or ☐ Misde	emeanor									ittal / Dismissal / F		Diversion	
☐ Plea Or ☐ Trial						_		i	•			7146121011	
										ittal Date issal Date			
State: Judicial Dis	trict:									al Diversion Date _			
													b6
L. Subject Information (R	lequired for all Sect	ions excluding	Secti	on D a	d E (Recov	ery/P	ELI	P))					b70
	Name					Race	•	Sex D	ate o	of Birth Social Sec	urity No.	(if available)	Ϊ΄.
													1
													J
Subject related to an I		ad Crime (ACC)	Itali	an Orc	nized Crima	a (I∩(	C) 0		اعاد	FD-515a Side 1			
Subject related to an (	OC/Drug Organization	on or a VCMO P	rogra	am rela	ing to street	gand	gs ir	nvolved in dr	ıgs-	Complete FD-515a.	Side 2		
× Additional information m												lo. of FD-515	ī

See codes on reverse side.

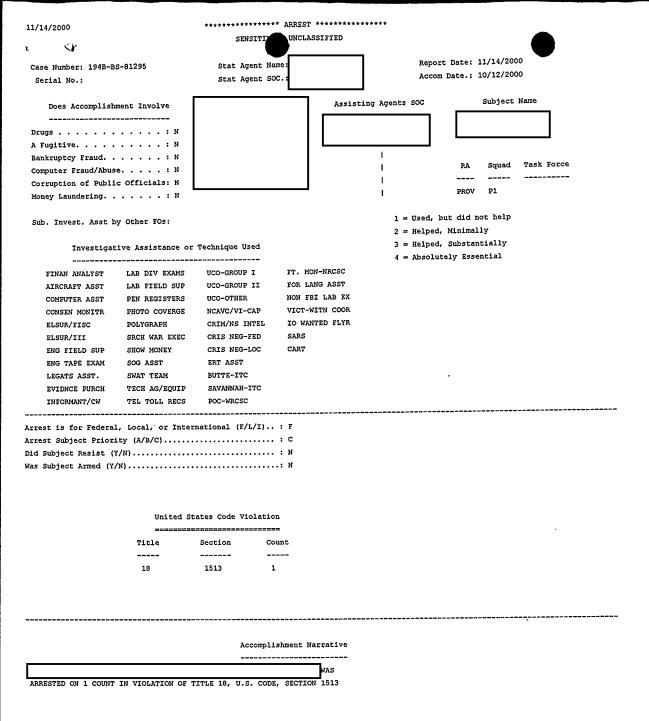


1/07/2000		******	COMPLAIN	T *****	*****					
		SENSITIY	UNCL	ASSIFIED						
4										
Case Number: 194B-	-BS-81295	Stat Agent Na	me:				ort Date:			
Serial No.:		Stat Agent SC	с.:			Acc	om Date.:	10/13/200	)0	
	-			1				a	Nome	
Does Accomplis	shment Involve			Assì	sting Ag	ents SOC		Subject	Name	
Drugs	: N									
A Fugitive	N									
Bankruptcy Fraud.	: N						RA.	Squad	Task Force	
Computer Fraud/Abu										
Corruption of Pub	lic Officials: N						PROV	P1		
Money Laundering.	N				ı		PROV	••		
						1 = Used.	but did n	ot help		
Sub. Invest. Asst	by Other FOs:						d, Minimal			
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	ative Assistance or					-	utely Esse			
			rm M	ON-NRCSC		1 - 12000				
FINAN ANALYST	LAB DIV EXAMS	UCO-GROUP I		ANG ASST						
AIRCRAFT ASST	LAB FIELD SUP	UCO-GROUP II		BI LAB EX						
COMPUTER ASST	PEN REGISTERS	UCO-OTHER		WITH COOR						
CONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP		NTED FLYR						
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LEGATS ASST.	SWAT TEAM	BUTTE-ITC								
EVIDNCE PURCH	TECH AG/EQUIP	SAVANNAH-ITC								
INFORMANT/CW	TEL TOLL RECS	POC-WRCSC								
	deral/Local/Interna		. P							
•	t (Y/N)									
IVII KICO COMPIAIN	(C (1/M)			ode Viola	tion					
		Title	Secti		Counts					
		18	1513	3	1					
		Accompli	shment l	Narrative						
A FI	DERAL COMPLAINT WAS									
			NE COUN'	r in						
VIOLATION OF TITLE	E 18, UNITED STATES	CODE, SECTION 1513	1							

SENSITIVE / UNCLASSIFIED

b6 b7C

b6 b7C b7E



SENSITIVE / UNCLASSIFIED

b7C b7E

b6

b6 b7C WAS

INDICTED ON ONE (1) COUNT IN VIOLATION OF TITLE 18, U.S.CODE, SECTION 1503 AND 1 COUNT IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 1513

FD-515 (Rev. 8-1-00)
Squad supervisor approval (please initial)

Accomplishment Report
(Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

Date Prepared_	4/5/01
Dota Landad	r'171101
Date Loaded Data Loader's In	itials (JMB)

Accomplishment involves:								Data Loader's	Initials (	JMB_
(check all that apply)	File Numb					_	ve Assistance	-		
Drugs  A Fugitive	1946, B5-81	295~	]		l, but did n ed, minim				ed, substar lutely esse	
	Stat Agent Soc	Sec No	1				er FO (s) indicate			
Computer Fraud/Abuse	July 1 golf Coo	. 000. 110.	Rate FO	IAT	Rate FO	IAT	Rate FO	IAT	Rate FC	D IAT
Corruption of Public Officials				Fin. Analyst		Lab. Div.	. Exam	UCO - Group I		Ft. Mon ITC
Money Laundering	Stat Agent i	Vame	<u> </u>	Aircraft Asst.		Lab. Fiel	d Sup	UCO - Group II		For. Lang Asst.
Sub Invest Asst by FO (s)			1	Computer		Pen Reg	isters	UCO - Nat. Back		Non FBI Lab Ex
Acet CO(e)	RA	Squad		Consen Mon.		Photo Co	over.	NCAVC / VI - CA	-d √H	Vict-Witn Coor
Asst. FO(s),,,	PROU	9-1		Elsur / FISC		Polygrap		Crim/NS Intel As	_	IO Wanted Flyer
				Elsur / T. III		Search W		Crisis Neg Fed	-	SARs
Task Force	Assisting Agents Soc.	Sec. No. ^		Eng. Field Spt		Show Mo		Crisis Neg Loc	-	CART b6
	1			Eng. Tape Ex		SOG Ass		ERT Asst.	<u> </u>	b70
· · · · · · · · · · · · · · · · · · ·	Name:						<del></del>		_	b7I
	2	•		egats Asst.		Swat Tea	· ·	Butte - ITC	-	
				Evid Purchase		Fech. Ag/		Sav - ITC	_	
	Name:			nf/CW Info		Phone To	oll Red	Poc - ITC		
A. Complaint / Informatio	n / Indictment	F. Convic	tion				J. Civil Ric	o Matters Da	te:	
Federal 🗌 Local				cal 🔲 Interna	ational		Also Cor	nplete "Section	G"	-
Complaint Date:		i						ivil Matters Da		
Check if Civil Rico Com						<u>,                                     </u>	i	nt		
Information Date:	piant [_]	1		n Code:	•	_)•		Outcome		i
Indictment Date: 4	2/01	For 6F,	G, H-Includ	de Agency Co	ode					
	2/01	☐ Felc	ony o	r 🗌 Mis	demeand	or		\$		
B. Locate/ Arrest		_		r 🗌 Tria			Suspens	ion: Years	Month	ıs
Federal Local [		State: _		Judicial Distri	ct:					
Subject Priority: A	<del>-</del>							trative Sancti	-	
Locate Date:	101	G. U.S. Co					Subject	Description Co		_•
☐ Subject Resisted Arr		Hequire (Federa		ons A,B,F,and	J		Type:	Ler	gth:	
☐ Subject Arrested was		Title		ction	# Counts		☐ Susp	ension 🔲 🗎	Permaner	nt
		18			30		☐ Deba	rment	or	
C. Summons Date:	1/2/01	18	· I	95-1			☐ Injund	ction Yea	ır N	Months
Federal Loc	al	18		346						
D. Recovery/Restitution/I	DEI D Y	18		61		<del></del>	L. Asset Se	eizure Date:		
☐ Federal ☐ Local [		18		512			Asset Fo	orfeiture Date:		
Recovery Date:	_ international		•	_				Mandatory		ľ
Code • Amou	nt \$	1				-		ne of the three:		
Code • ✓ Amou	nt \$	T .					☐ Asset	Forfeiture - Ad	lministrati	ve
Restitution Date:		In Jail:		rs M				Forfeiture - Ci		
☐ Court Ordered ☐	Pretrial Diversion	Suspen Probatio		rs M				Forfeiture - Cr		
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PELP Date:		1 11100.	Ψ					- ,		
Code • ✓ Amou	nt \$	l. Disrupt	ion/Disma	ntlement:			M. Acquitta	l / Dismissal /	Pretrial D	Diversion
E. Hostage(s) Released D	ate:						-			
Released by: Terroris						ĺ	· ·	Date:		
Number of Hostages:		Disman	tlement Da	te:		<del></del>		I Date:		
Child Located Date:		Comple	tion of FD-	515a Side 2 I	Mandato	ry	Pretrial D	iversion Date:		
N. Subject Information (Re		avoluding S	Section D /	Pacovery/PE	ID) Soci	ion E (14	actaga) Sacti	an Land Cast	on I \	
	Name	s excluding S	ection D (F				-			if available)
					Race •	Sex	Date of Birth	Social Sec	urity No. (	if available)
For Indictments/Convictions only	A. CIANCI,	JR			W	M				
Subject related to an LCN.	Asian Organized Crime (	AOC), Italian (	Organized C	rime (IOC), Ru	ıssian/Eas	tern Euro	pean, Caribbea	n, or Nigerian O	rganized C	rime Group -
Complete FD-515a, Side 1 Subject related to an OC/D	Blocks A-E mandatory, F	-H as appropri	iate.							i i
Complete FD-515a, Side 1	Blocks A-C only.	- · · · · · · · · · · · · · · · · · · ·			. g.oup, 0	, a voivic	. rogram Natio			group -

X Additional information may be added by attaching another form or a plain sheet of paper for additional entries.
See codes on reverse side.

See codes on reverse side.
 Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

Serial No. of FD-515

#### PROPERTY CODES

- Cash
- Stocks, Bonds or Negot. Instruments
- General Retail Merchandise
- 04 Vehicles
- Heavy Machinery & Equipment 05
- 06 Aircraft
- 07 Jewelry
- 08 Vessels
- 09 Art, Antiques or Rare Collections
- 11 Real Property
- All Other

#### SENTENCE TYPES

- Capital Punishment
- JS Jail Sentence
- LP Life Parole
- LS Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a
- Corporation) PB Probation
- Suspension of Jail Sentence
- Youth Correction Act

#### PELP CODES

- Counterfeit
  - Stocks/Bonds/Currency/ Negotiable Instruments
- Counterfeit/Pirated Sound
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- Ransom, Extortion or Bribe Demand Aborted
- 26 Theft From or Fraud Against
- Government Scheme Aborted
- Commercial or Industrial
- Theft Scheme Aborted
- 30 All Other

#### RACE CODES

- Asian/Pacific Islander
- - Indian/American
- U Unknown
- w White
- х Nonindividual

#### AGENCY CODES

- **AFOIS** Air Force Office of Special Investigations
- **ACIS** Army Criminal Investigative Service
- Bureau of Alcohol, Tobacco & Firearms BATF
- Bureau of Indian Affairs BIA
- DCAA Defense Contract Audit Agency
- DCIS Defense Criminal Investigative Service
- DEA Drug Enforcement Administration
- Department of Corrections DOC
- DOI Dept. of Interior
- **Environmental Protection Agency EPA**
- Federal Aviation Administration FAA
- FDA Food and Drug Administration
- Dept. of Health & Human Services HHS
- HUD Dept. of Housing & Urban Development
- INS Immigration and Naturalization Service Internal Revenue Service
- IRS NASA
- Nat'l Aeronautics & Space Admin
- **NBIS** Nat'l NARC Border Interdiction
- NCIS Naval Criminal Investigative Service
- **RCMP** Royal Canadian Mounted Police
- Small Business Administration SBA
- U.S. Border Patrol USBP
- USCG U.S. Coast Guard
- USCS U.S. Customs Service
- USDS U.S. Department of State
- U.S. Marshals Service USMS U.S. Postal Service USPS
- USSS U.S. Secret Service
- USTR U.S. Treasury
- LOC Local
- CITY City
- COUN County
- ST State

**TERRORISTS** 

4A Known Member of a

UNION MEMBERS

President

Treasurer

Organizer

Clerk

Member

Trustee

Other

Vice-President

**Business Agent** Representative

**Business Manager** 

Financial Secretary

Recording Secretary

Office Manager

Shop Steward

Secretary/Treasurer

**Executive Board Member** 

5D

5E

5F

5H

51

5J

5K

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5M

5N

5P

5Q

5R

5S

5T

5U

Terrorist Organization

Possible Terrorist Member

or Sympathizer

OTHR Other

#### SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME SUBJECTS

- 1F Boss
- 1G Underboss
- 111 Consigliere
- IJ Acting Boss
- Capodecina 1K
- Soldier

#### KNOWN CRIMINALS

- Top Ten or I.O. Fugitive
- 2B Top Thief
- 2C Top Con Man

#### **FOREIGN NATIONALS**

- Legal Alien 3A
- 3R Illegal Alien
- 3C Foreign Official W/out Diplomatic Immunity
- 3D U.N. Employee W/out
- **Diplomatic Immunity**
- 3E Foreign Student
- All Others 3F

#### OTHERS

- All Other Subjects
- Company or Corporation

#### JUDGMENT CODES

- Consent Judgment
- Court Ordered Settlement
- Default Judgment
- DI
- Dismissal<sup>a</sup>
- Judgment Notwithstanding IN
- MV Mixed Verdict
- SJ Summary Judgment
- Verdict for Defendant
- Verdict for Plaintiff

#### JUDICIAL OUTCOME

- AG Agreement
- BR Barred/Removed
- Civil Contempt CC
- DC Disciplinary Charges
- FI Fine
- ы Preliminary Injunction
- Temporary Restraining Order PR
- PS Pre-filing Settlement
- RN Restitution SP Suspension
- VR Voluntary Resignation
- Other

#### SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

#### **GOVERNMENT SUBJECTS** (6F,6G,6H- Include Agency Code)

- Presidential Appointee
- U.S. Senator/Staff
- U.S. Representative/Staff 6C
- Federal Judge/Magistrate 6D
- 6E Federal Prosecutor
- Federal Law Enforcement Officer 6F
- Federal Employee GS 13 & Above
- Federal Employee GS 12 & Below 6H 61 Governor
- Lt. Governor 6K
- 6L State Legislator
- State Judge/Magistrate
- 6N State Prosecutor State Law Enforcement Officer 6P
- 6Q State - All Others
- 6R Mayor 6S Local Legislator
- Local Judge/Magistrate 6T
- Local Prosecutor
- Local Law Enforcement Officer Local - All Others
- 6X County Commissioner City Councilman

### **BANK EMPLOYEES**

- 7A Bank Officer
- Bank Employee

#### SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295 Serial No.:	Stat Agent Name: Stat Agent SOC.:		rt Date: 05/03/200 m Date.: 04/02/200		<b>b</b> 6
Does Accomplishment Involve		Assisting Agents SOC	Subject	Name	b7C b7E
Drugs			CIANCI, VINC	ENT, A	
Bankruptcy Fraud N  Computer Fraud/Abuse N  Corruption of Public Officials: Y  Money Laundering N			RA Squad  PROV P1	Task Force	
Sub. Invest. Asst by Other FOs:  Investigative Assistance or	Technique Used	2 = Helped 3 = Helped	but did not help , Minimally , Substantially tely Essential		
FINAN ANALYST  AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM EVIDNCE PURCH INFORMANT/CW  LAB DIV EXAMS LAB DIV EXAMS LAB DIV EXAMS LAB DIV EXAMS LAB DIV EXAMS LAB DIV EXAMS PEN REGISTERS PHOTO COVERGE PHOTO COVERGE PHOTO COVERGE PHOTO COVERGE PHOTO COVERGE PHOTO COVERGE PHOTO COVERGE PHOTO COVERGE PHOTO COVERGE SHOW MONEY SOG ASST LEGATS ASST. EVIDNCE PURCH TECH AG/EQUIP TEL TOLL RECS	UCO-GROUP II FOR LAUCO-OTHER NON FINCAVC/VI-CAP VICT-	ON-NRCSC ANG ASST BI LAB EX WITN COOR NTED FLYR	tety Essentiat		<b>Ъ7</b> E
ndictment is for Federal, Local, or I	nternational (F/L/I): F				

Form FD-515a Side 2: Subject's Role =	Title	Section	Counts
•	18	1341	8
	18	1951	8
	18	1346	8
	18	1961	6

Subject's Criminal Activity: If Other, Specify. . . : Business Influenced/Affected:

If Other, Specify. . . . .:

'If NON-LCN Member or Associate (M/A): Name of NON-LCN Criminal Group. . . : Name of Company Subject Connected with:

If La Cosa Nostra (LCN) Member or Asso (M/A): Name of LCN Organized Crime Group (OCG) . . . . :

Position in LCN OCG . . . . . . . . . . . . . . . :

Elected/Appointed Public Official Position:

If Other, Specify. :

Name of Union:

Union Affiliation:

If Other, Specify:

Level of Union. . . :

If Local, Give Number:

Position in Union.: If Other, Specify:

Accomplishment Narrative

ON 4/2/2001, VINCENT A. CIANCI, MAYOR OF PROVIDENCE, RHODE ISLAND, WAS INDICTED ON 30 COUNTS IN VIOLATION OF THE FOLLOWING SECTIONS OF U.S. CODE, TITLE 18: SECTION(S) 1341, 1951, 1346, 1961, AND 1512

FD-515 (FC 10-1-96) Squad supervisor approval (please initial)	ED-515 (Fe	<u>(</u> . 10-1-96)
I III II I (nleace initial)	WWW	Squad supervisor approval

# Accomplishment Report complishment must be reported and loaded into IS within 30 days from date of accomplishment)



Date Prepared //-/4-00
Date Loaded //-/4-00
Data Loader's Initials

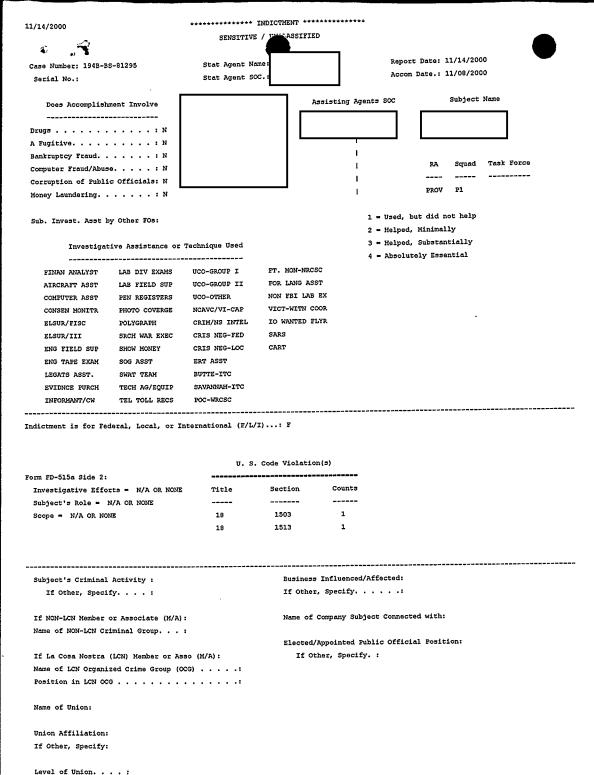
Accomplishment involves:											Data Loader's	Initia	als _	111111111111111111111111111111111111111		
(check all that apply)	File Nun	File Number Investigative Assistance or Technique Used														
Drugs 🔲	1943-35	81245	1-Used, but did not help 3 - Helped, substantially 2 -Helped, minimally 4 - Absolutely essential													
A Fugitive	Stat Agent So	·	For Sub-Joycet Aprilet by other FO (s) indicate A R C D for corresponding FO										Ì			
Bankruptcy Fraud  Computer Fraud/Abuse	Stat Agent St	oc. dec. 140.	Rate	FO		Rate	FO	IAT		e FO	IAT	Rate	FO	IAT		
Computer Fraud/Abuse	<u></u>		_		Fin. Analyst	L		Lab. Div. Exan			UCO - Group I	<u> </u>		Ft. Mon NRCSC		
Forfeiture Assets	Stat Agent	Name	ݛ		Aircraft Asst.	<u> </u>	(F)	Lab. Field Sup		<u> </u>	UCO - Group II	<u> </u>		For. Lang Asst.		
Sub Invest Asst by FO (s)		l <u> </u> _		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex			
Asst. FO(s),,,	RA		<u> </u>	Consen Mon.	_		Photo Cover.			NCAVC / VI - CAP			,	_		
A, B, C, D	(-1			L	Elsur / FISC		12.3	Polygraph	<u> </u>		Crim Intel Asst	<u> </u>			, ,	
Task Force	Assisting Agents Soc	Sec. No. ×	. L		Elsur / T. III			Search Warran	t		Crísis Neg Fed.				b6 b7С	
1837 1 0106					Eng. Field Spt.		整	Show Money		1					b7E	
	Name:	1			Eng. Tape Ex			SOG Asst.	$oxed{oxed}$		ERT Asst.					
					Legats Asst.	<u> </u>		Swat Team			Butte - ITC				_	
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For 6F, G. HInclude Ag	gency Code	1-0		· · · · · ·				,								
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☐ Plea Or ☐ Trial	Or Trial										ate					
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>					<del>-</del>				<u> </u>							

X Additional information may be added by attaching another form or a plain sheet of paper for additional entries.

See codes on reverse side.

Serial No. of FD-515





If Local, Give Number:
Position in Union.:
If Other, Specify:

b6

b7C

b7E

-515 (Rev. 8-1-00)	Accomplishment Report
Squad supervisor approval	(Accomplishment must be reported and loaded into ISRAA
(please initial)	within 30 days from date of accomplishment)

See codes on reverse side.
 Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

Date Prepared \_\_\_\_\_

(please initial)	pprovai _	within 3	0 days from date o	ent)		oaded	<i>5/3/0/</i> ials <i>_g.m.B</i>			
Accomplishment involves: (check all that apply)  Drugs	RA 30 90  Assisting Agents Soc. 1 Name:	9/3-95 c. Sec. No.	'   2	2 -Helpec Sub. Inve R RIJUST ASST. EF Mon. FISC TITI FIELD F	out did no d, minima est. Assist late FO	t help lly t by other FC IAT Lab. Div. Exa Lab. Field Su Pen Register Photo Cover. Polygraph Search Warra Show Money SOG Asst. Swat Team Tech. Ag/Equi	m JCO - G  JCO - G  JCO - N  NCAVC  Drim/NS  nt Drisis No  ERT Ass  Sav - ITO	3 - Helped, st 4 - Absolutely for correspon T Ra Group I Group II lat. Back / VI - CAP i Intel Asst eg Fed. eg Local st. TC C	pubstantially ressential nding FO te FO IAT  Ft. Mon ITC For. Lang As Non FBI Lab Vict-Witn Coo IO Wanted Fi SARs CART	est.
Complaint Date: Check if Civil Rico Com Information Date: Indictment Date:	Information Date: Indictment Date: 4/2/0  B. Locate/ Arrest    Federal   Local   International   State:     Subject Priority:   A   B   C     Locate Date:   Require     Subject Resisted Arrest   (Federa   Title   18     C. Summons Date: 4/6/0/				ional  •( le emeanor :	)• - - - -	J. Civil Rico Matters Date: Also Complete "Section G"  Other Civil Matters Date: •  Judgment •  Judicial Outcome • x  Amount \$ Months  Suspension: Years Months  K. Administrative Sanction Date: Subject Description Code •  Type: Length: Suspension Permanent Debarment or Months  L. Asset Seizure Date: Asset Forfeiture Date:			
Recovery Date: Amou Code ● ✓ Amou Code ● ✓ Amou Restitution Date:  Court Ordered □ Code ● ✓ Amou PELP Date:	Pretrial Diversion int \$  Pretrial Diversion int \$  int \$  Date: ist Other	Sentende In Jail: Suspen: Probation Fines:  I. Disrupt Disrupti Dismani	ion/Dismantlemer on Date: tlement Date: tion of FD-515a Si	Mor Mor Mor	nthsnths	1.	Dismissal Date: Pretrial Diversion	e three: ure - Admini ure - Civil Ju ure - Crimin: value in S nissal / Pret	istrative udicial al ection D trial Diversion	b6
For Indictments/Convictions only Subject related to an LCN, Complete FD-515a, Side 1 Subject related to an OC/C Complete FD-515a, Side 1	Name y: Asian Organized Crime ( Blocks A-E mandatory, F Orug Organization, a VCM Blocks A-C only.	(AOC), Italian C F-H as appropri O Program Nai	Organized Crime (IO ate. tional Gang Strategy	Ra C), Russ	ace ● I sian/East	Sex Da	n, Caribbean, or Nig	cial Security erian Organi ity Initiative t	No. (if available) ized Crime Group - target group -	
x Additional information may	be added by attaching ar	nother form or a	a plain sheet of pape	r for add	ditional e	ntries.		Seri	al No. of FD-515	

#### For Further Instructions See: MAOP, Part 1, sections 3-5 thru 3-5.3.

#### PROPERTY CODES

- 01 Cash
- Stocks, Bonds or Negot. Instruments
- General Retail Merchandise
- 04
- Heavy Machinery & Equipment 05
- 06 Aircraft
- 07 Jewelry
- Vessels
- Art, Antiques or Rare Collections 09
- 11 Real Property
- All Other 20

#### SENTENCE TYPES

- Capital Punishment
- Jail Sentence
- LP Life Parole
- LS Life Sentence
- No Sentence (Subject is a Fugitive, NS Insane, has Died, or is a
- Corporation) PB Probation
- Suspension of Jail Sentence
- Youth Correction Act

#### PELP CODES

- 22 Counterfeit
  - Stocks/Bonds/Currency/ Negotiable Instruments
- Counterfeit/Pirated Sound
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- Ransom, Extortion or Bribe Demand Aborted
- Theft From or Fraud Against 26
- Government Scheme Aborted
- Commercial or Industrial
- Theft Scheme Aborted
- 30 All Other

#### RACE CODES

- Black В
- White
- Nonindividual х

#### AGENCY CODES

- **AFOIS** ACIS Army Criminal Investigative Service
- Bureau of Indian Affairs BIA
- Defense Contract Audit Agency DCAA
- Defense Criminal Investigative Service DCIS
- Dept. of Interior DOI
- Environmental Protection Agency

- HHS Dept. of Health & Human Services

- Small Business Administration

- USTR U.S. Treasury
- LOC Local
- CITY
- ST State
- OTHR

**TERRORISTS** 

#### SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME **SUBJECTS**

- 1F Boss Underboss 1G
- ΙH Consigliere
- Acting Boss 11
- 1K Capodecina
- Soldier

#### KNOWN CRIMINALS

- Top Ten or I.O. Fugitive
- Top Thief
- 2C Top Con Man

#### FOREIGN NATIONALS

- Legal Alien 3A
- Illegal Alien 3B
- Foreign Official W/out 3C **Diplomatic Immunity**
- 3D U.N. Employee W/out
- Diplomatic Immunity
- Foreign Student 3E
- 3F All Others

#### **OTHERS**

- All Other Subjects 8A
- 8B Company or Corporation

- Asian/Pacific Islander
- Indian/American
- IJ Unknown
- w

- Air Force Office of Special Investigations
- BATF Bureau of Alcohol, Tobacco & Firearms

- DEA Drug Enforcement Administration
- Department of Corrections DOC
- EPA
- FAA Federal Aviation Administration
- Food and Drug Administration FDA
- Dept. of Housing & Urban Development HUD
- Immigration and Naturalization Service INS
- IRS Internal Revenue Service
- NASA Nat'l Aeronautics & Space Admin
- **NBIS** Nat'l NARC Border Interdiction
- Naval Criminal Investigative Service NCIS
- **RCMP** Royal Canadian Mounted Police
- SBA
- USBP U.S. Border Patrol
- U.S. Coast Guard USCG
- USCS U.S. Customs Service
- USDS U.S. Department of State
- USMS U.S. Marshals Service
- U.S. Postal Service USPS
- USSS U.S. Secret Service
- City
- COUN County
- Other

- Known Member of a Terrorist Organization Possible Terrorist Member or Sympathizer

## UNION MEMBERS

- President
- 5E Vice-President 5F Treasurer
- Secretary/Treasurer 5G
- 5H **Executive Board Member**
- **Business Agent** 5I
- 5J Representative
- Organizer 5K 5L Business Manager
- 5M Financial Secretary
- 5N Recording Secretary Office Manager 5P
- 5Q Clerk 5R Shop Steward
- 5S Member 5T Trustee

5U Other

#### JUDGMENT CODES

- Consent Judgment
- Court Ordered Settlement CO
- Default Judgment
- DI Dismissal
- Judgment Notwithstanding IN
- Mixed Verdict MV
- SJ Summary Judgment
- Verdict for Defendant
- Verdict for Plaintiff

#### JUDICIAL OUTCOME

- AG Agreement
- Barred/Removed BR
- Civil Contempt CC
- DC Disciplinary Charges
- FI Fine
- PΙ Preliminary Injunction Temporary Restraining Order PR
- Pre-filing Settlement PS
- Restitution
- SP Suspension
- Voluntary Resignation VR
- Other

#### SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

## GOVERNMENT SUBJECTS

- (6F,6G,6H- Include Agency Code)
- 6A Presidential Appointee
- U.S. Senator/Staff
- U.S. Representative/Staff Federal Judge/Magistrate 6D
- Federal Prosecutor 6E Federal Law Enforcement Officer 6F
- Federal Employee GS 13 & Above Federal Employee - GS 12 & Below
- 6J Governor
- 6K Lt. Governor
- 61. State Legislator
- State Judge/Magistrate State Prosecutor
- State Law Enforcement Officer 6P State - All Others 60
- 6R Mayor
- Local Legislator Local Judge/Magistrate 6T
- Local Prosecutor 611 Local Law Enforcement Officer
- Local All Others County Commissioner

BANK EMPLOYEES

### City Councilman

- Bank Officer
- Bank Employee

05/03/2001	*********** INDICTME SENSITIVE / UNCLA		
Case Number: 194B-BS-81295 Serial No.:	Stat Agent Name: Stat Agent SOC.:		t Date: 05/03/2001 Date:: 04/02/2001
Does Accomplishment Involve		Assisting Agents SOC	Subject Name
Drugs			RA Squad Task Force PROV P1
Sub. Invest. Asst by Other FOs:  Investigative Assistance or	Technique Used	2 = Helped, 3 = Helped,	out did not help Minimally Substantially cely Essential
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW LAB DIV EXAMS LAB FIELD SUP LAB FIELD SUP LAB FIELD SUP LAB TIELD SUP LAB DIV EXAMS LAB FIELD SUP LAB TIELD S	UCO-GROUP II FOR LA UCO-OTHER NON FE NCAVC/VI-CAP VICT-V	ON-NRCSC UNG ASST SI LAB EX SITN COOR SITED FLYR	ety Essentiat
Indictment is for Federal, Local, or Ir	nternational (F/L/I): F		
	U. S. Code Vic	olation(s)	
Form FD-515a Side 2:	Title Section	on Counts	

371

1

18 666 2 Subject's Criminal Activity: Business Influenced/Affected: If Other, Specify. . . : If Other, Specify. . . . .: If NON-LCN Member or Associate (M/A): Name of Company Subject Connected with: Name of NON-LCN Criminal Group. . . : Elected/Appointed Public Official Position: If Other, Specify. : If La Cosa Nostra (LCN) Member or Asso (M/A): Name of Union: Union Affiliation: If Other, Specify: Level of Union. . . :

18

Accomplishment Narrative

WAS

INDICTED IN U.S. DISTRICT COURT, DISTRICT OF PROVIDENCE, RI, ON 1 COUNT IN VIOLATION OF TITLE 18, U.S. CODE SECTION 371 AND 2 COUNTS TITLE 18, SECTION 666

Subject's Role =

If Local, Give Number: Position in Union.: If Other, Specify:

> b6 b7C

b6 b7C b7E

b7E

## Accomplishment Report (Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment) FD-515 (Rev. 8-1-00) Squad supervisor approval (please initial)

Date Prepared	
Date Loaded _5/3	3/2001
Data Loader's Initials	_9 <i>m</i> 0

[	Accomplishment involves:								Data Load	er's Initials .	gme	
ļ	(check all that apply)	File Numl	oer			In	vestigati	ve Assistance o	or Techniqu	e Used		
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ı	A Fugitive	0.14		ł		ed, minim vest Assi		er FO (s) indicate	4 - Absolutely essential A,B,C,D for corresponding FO			
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	Computer Fraud/Abuse		<u>,</u>	11100 10	Fin. Analyst	nate 10	Lab. Div.		UCO - Group		Ft. Mon IT	<u>, —                                      </u>
	Corruption of Public Officials	Stat Agent	Name		Aircraft Asst.		Lab. Fiel	h	<del></del>			
	Money Laundering Sub Invest Asst by FO (s)							<del></del> - ⊦	UCO - Group		For. Lang	
L					Computer		Pen Reg	<del></del>	UCO - Nat. B		Non FBI La	ab Ex
	Asst. FO(s),,,	RA	Squad		Consen Mon.		Photo Co	<del></del>	NCAVC / VI -	CAF	Vict-Witn C	)oor
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ľ					Eng. Field Spt.		Show Mo	oney	Crisis Neg L	_ocal	CART	b6
					Eng. Tape Ex		SOG Ass	st.	ERT Asst.			b7C
Κl	11				Legats Asst.		Swat Tea	am	Butte - ITC			b7E
S					Evid Purchase		Tech. Ag/	Equip.	Sav - ITC			
					nf/CW Info		Phone To	oll Rec	Poc - ITC			
100	A Commission (Information )			<u> </u>								=
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	Federal 🗌 Local 🗀 li		State: _		Judicial Distric			·			b7C	
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F			18	<u>/ 3</u>	341	307	OTAL	☐ Debai	rment	or		
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	D. Recovery/Restitution/PEI	LP X	<u> </u>		1561				izure Date:			-
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	Recovery Date:		L Comton	aa Data.				CATS # Mandatory				
	Code • Amount	\$						Check one of the three:				
	Code • ✓ Amount	\$	In Jail:		ursM			Asset Forfeiture - Administrative				
	Restitution Date:		I		ars Mo			☐ Asset Forfeiture - Civil Judicial				
	☐ Court Ordered ☐ Pre		Probatio		rsM			☐ Asset Forfeiture - Criminal				
	Code ● ✓ Amount : PELP Date:	\$	Fines:	\$				Do <b>not</b> indicate \$ value in Section D				İ
- {	Code • Amount	œ	-							***		_
-		<del> </del>	l. Disrupti	ion/Disma	intlement:			M. Acquittal	l / Dismissa	I / Pretrial	Diversion	
	E. Hostage(s) Released Date		Disruption	on Date: _				Acquittal	Date:			
	Released by: Terrorist Other Dismant				ate:				Date:			
ĺ	Number of Hostages:				·515a Side 2 N	/landato	orv		iversion Dat			
F	Child Located Date:		<u> </u>									
	N. Subject Information (Requ	ired for all Section	s excluding S	ection D (	Recovery/PEI	P), Sec	tion E (H	ostage), Sectio	on I, and Se	ction L).		
		Name				Race •	Sex	Date of Birth	Social S	Security No.	(if available	)
	<u>EDWARD</u>	UOCCOLA				$\omega$ $\gamma$	n	1/1/29	039-	18-6	573	
	For Indictments/Convictions only:		(AOC) Italian C	) harinanı				1 1				
	Subject related to an LCN, Asi Complete FD-515a, Side 1 Bld Subject related to an OC/Drug	ocks A-E mandatory, I	F-H as appropri	ate.	Otrotos:: tas:	ooidii/Edi		Drogge Marie	n or myendi	i Organizeu (	A annua	
L	Subject related to an OC/Drug Complete FD-515a, Side 1 Blo	ocks A-C only.	io Piogram Nat	ionai Gang	orrategy targe	group, c	ora vCMC ——	rogram Nation	iai Priority In	itiative targe	t group -	
	X Additional information may be	added by attaching ar	nother form or a	plain shee	et of paper for a	dditional	entries.			Serial N	o. of FD-51	5
	<ul> <li>See codes on reverse side.</li> <li>Requires that an explanation b</li> </ul>	e attached and loade	d into ISBAA fo	r recovery	Over \$1m and !	PELP Ave	r \$5m			a	6	
			,OI IAA 10	very	over with and f	_L. 006	a worn.				·	

#### PROPERTY CODES

- Cash
- Stocks, Bonds or Negot. Instruments
- General Retail Merchandise
- 04 Vehicles
- 05 Heavy Machinery & Equipment
- 06 Aircraft
- 07 Jewelry
- 08 Vessels
- იი Art, Antiques or Rare Collections
- 11 Real Property
- All Other

#### SENTENCE TYPES

- Capital Punishment
- Jail Sentence JS
- I.P Life Parole
- Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a Corporation)
- PR Probation
- Suspension of Jail Sentence
- Youth Correction Act

#### PELP CODES

- Counterfeit
  - Stocks/Bonds/Currency/
- Negotiable Instruments Counterfeit/Pirated Sound
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- Ransom, Extortion or Bribe Demand Aborted
- Theft From or Fraud Against 26
- Government Scheme Aborted
- Commercial or Industrial Theft Scheme Aborted
- 30 All Other

#### RACE CODES

- Asian/Pacific Islander
- В Black
- Indian/American
- Unknown U
- w White
- Nonindividual

#### AGENCY CODES

- **AFOIS** Air Force Office of Special Investigations
- ACIS Army Criminal Investigative Service Bureau of Alcohol, Tobacco & Firearms BATF
- Bureau of Indian Affairs BIA
- Defense Contract Audit Agency DCAA
- DCIS Defense Criminal Investigative Service
- Drug Enforcement Administration DEA
- Department of Corrections DOC
- DOI Dept. of Interior
- **EPA Environmental Protection Agency**
- FAA Federal Aviation Administration Food and Drug Administration
- FDA HHS
- Dept. of Health & Human Services
- Dept. of Housing & Urban Development HUD INS Immigration and Naturalization Service
- IRS Internal Revenue Service
- NASA Nat'l Aeronautics & Space Admin
- Nat'l NARC Border Interdiction **NBIS**
- NCIS Naval Criminal Investigative Service
- **RCMP** Royal Canadian Mounted Police Small Business Administration SBA
- USBP U.S. Border Patrol
- USCG U.S. Coast Guard
- USCS U.S. Customs Service
- USDS U.S. Department of State USMS U.S. Marshals Service
- USPS U.S. Postal Service
- USSS U.S. Secret Service
- USTR U.S. Treasury
- LOC Local
- CITY City
- COUN County
- State ST
- OTHR Other

#### SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME SUBJECTS

- 1F Boss
- 1G Underboss Consigliere 1H
- Acting Boss 1J
- 1K Capodecina
- Soldier

#### KNOWN CRIMINALS

- Top Ten or I.O. Fugitive
- Top Thief
- 2C Top Con Man

#### FOREIGN NATIONALS

- Legal Alien 3A
- Illegal Alien 3B
- Foreign Official W/out 3C Diplomatic Immunity
- 3D U.N. Employee W/out Diplomatic Immunity
- 3E Foreign Student
- 3F All Others

#### **OTHERS**

- All Other Subjects 8A
- 8B Company or Corporation

#### JUDGMENT CODES

- Consent Judgment
- Court Ordered Settlement
- DF Default Judgment
- Dismissal DI
- Judgment Notwithstanding JN
- MV Mixed Verdict
- SJ Summary Judgment
- Verdict for Defendant
- Verdict for Plaintiff

#### JUDICIAL OUTCOME

- AG Agreement
- BR Barred/Removed
- CC Civil Contempt
- Disciplinary Charges
- FI Fine
- PΙ, Preliminary Injunction
- Temporary Restraining Order PR
- PS Pre-filing Settlement
- RN Restitution
- SP Suspension

years

- Voluntary Resignation VR
- OT Other

#### SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

#### TERRORISTS

- Known Member of a Terrorist Organization
- Possible Terrorist Member or Sympathizer

#### UNION MEMBERS

- 5D President
- Vice-President 5E
- 5F Treasurer
- 5G Secretary/Treasurer
- 5H **Executive Board Member**
- 51 **Business Agent**
- Representative 51
- 5K Organizer
- 5L **Business Manager**
- 5M Financial Secretary
- Recording Secretary 5N Office Manager 5P
- 5Q Clerk Shop Steward
- 5R 5S Member
- ST Trustee 5U Other

- **GOVERNMENT SUBJECTS** (6F,6G,6H- Include Agency Code) Presidential Appointee
- U.S. Senator/Staff U.S. Representative/Staff
- 6C Federal Judge/Magistrate 6D
- Federal Prosecutor 6E Federal Law Enforcement Officer 6F
- Federal Employee GS 13 & Above
- Federal Employee GS 12 & Below 6H 6J Governor
- Lt. Governor 6K
- 6L State Legislator
- State Judge/Magistrate 6N State Prosecutor
- State Law Enforcement Officer 6P
- State All Others 60 6R Mayor
- Local Legislator
- **6T** Local Judge/Magistrate
- Local Prosecutor 611
- Local Law Enforcement Officer 6W Local - All Others
- County Commissioner City Councilman

## BANK EMPLOYEES

- Bank Officer
- 7B Bank Employee

#### SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-80859 Serial No.:	Stat Agent Name: Stat Agent SOC.:		port Date: 05/03/2001 com Date:: 04/02/2001
Does Accomplishment Involve		Assisting Agents SOC	Subject Name
			VOCCOLA EDUARD

A Fugitive. . . . . . . . . . . N Bankruptcy Fraud. . . . . . . . . N Computer Fraud/Abuse. . . . . . N Corruption of Public Officials: Y Money Laundering. . . . . . . . N

VOCCOLA, EDWARD

Squad Task Force RΑ **PROV** Р1

Sub. Invest. Asst by Other FOs:

Investigative Assistance or Technique Used

FINAN ANALYST LAB DIV EXAMS AIRCRAFT ASST LAB FIELD SUP COMPUTER ASST PEN REGISTERS CONSEN MONITR PHOTO COVERGE ELSUR/FISC POLYGRAPH SRCH WAR EXEC ELSUR/III SHOW MONEY ENG FIELD SUP ENG TAPE EXAM SOG ASST LEGATS ASST. SWAT TEAM EVIDNCE PURCH TECH AG/EQUIP

UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC

UCO-GROUP I

FT. MON-NRCSC FOR LANG ASST NON FBI LAB EX VICT-WITH COOR IO WANTED FLYR SARS CART

4 = Absolutely Essential

1 = Used, but did not help

2 = Helped, Minimally 3 = Helped, Substantially

b6

b7C b7E

b7E

Indictment is for Federal, Local, or International (F/L/I)...: F

TEL TOLL RECS

#### U. S. Code Violation(s)

Form FD-515a Side 2: '	Title	Section	Counts						
Subject's Role =									
<b>,</b>	18	1341	8						
	18	1951	8						
	18	1946	7						
	18	1961	7						

Subject's Criminal Activity:

INFORMANT/CW

If Other, Specify. . . :

If NON-LCN Member or Associate (M/A): Name of NON-LCN Criminal Group. . .:

If La Cosa Nostra (LCN) Member or Asso (M/A): Name of LCN Organized Crime Group (OCG) . . . . : 

Name of Union:

Union Affiliation: If Other, Specify:

Level of Union. . . : If Local, Give Number:

Business Influenced/Affected: If Other, Specify. . . . . :

Name of Company Subject Connected with:

Elected/Appointed Public Official Position: If Other, Specify.:

Posi	ition	in	Union.:
Ιf	Other	, ;	Specify:

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Accomplishment Narrative

FD-515 (Rev. 8-1-00)
Squad supervisor approval (please initial)

Accomplishment Report
(Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

Date	Prepared.			_
Date	Loaded _	5/1/	/0/_	_
Data	Loader's I	nitials	-am	B

Accomplishment involves: (check all that apply)	F" N		_										7,,,,,	
5	File Num		Investigative Assistance or Technique Used											
L =	194B-BS-81	245		1-Used, but did not help 3 - Helped, substantially 2 -Helped, minimally 4 - Absolutely essential										
Bankruptcy Fraud	Stat Agent So	Sec. No.							(s) indicat	te A,B,C	D,D for corre	sponding	FO FO	
Computer Fraud/Abuse			Rate	FO IA	Т	Rate	FO	IAT	Rate F	0	IAT	Rate F	O IAT	ŀ
Corruption of Public Officials				Fin. An	alyst		Lat	b. Div. Exa	m	uco	- Group I		Ft. Mon IT	С
Money Laundering	Stat Agent	Name		Aircraft	Asst.		Lat	b. Field Sup		uco	- Group II		For. Lang A	Asst.
Sub Invest Asst by FO (s)				Compu	ter		Pei	n Registers		uco	- Nat. Back		Non FBI La	
	RA	Squad		Conser	Mon.	$\dashv$		oto Cover.	1-6		/C / VI - CAF	,	Vict-Witn C	-
Asst. FO(s),,,,	PROV F	2-1		Elsur /				lygraph			NS Intel Ass	1		
Λ, Β, Ο, Β				Elsur /		-		arch Warrar	,				IO Wanted	riyer
Task Force	Assisting Agents Soc.	Sec. No. ^	-				_		11		Neg Fed.	<del>i -</del>   -	SARs	
	1		-	Eng. Fi		_		ow Money			Neg Loca		CART	-b6
	Name:			Eng. Ta	·		so	OG Asst.		ERT	Asst.	$\perp \perp$	l .	-b7C
			<u> </u>	Legats	Asst.		Sw	at Team		Butte	- ITC		1	-b7E
	2		Evid Pu	rchase		Tec	ch. Ag/Equip	o.	Sav -	ITC				
	Name:			Inf/CW	Info		Pho	one Toll Re	С	Poc -	ITC			
A Compleint / Information		1						Π.	<u> </u>					==
A. Complaint / Information	F. Convict	tion					J							
l				_ Local _	Interna	tiona	al		Also C	omplet	e "Section	G"		
Complaint Date:		Convict	ion [	Date:					Other	Civil M	atters Dat	e:		İ
Check if Civil Rico Comp	1		ription Code			\_	.	Judgm	ent			•		
Information Date:	<del></del>	I							Judicia	d Outco	me		•>	ĸ
Indictment Date: 01	102/01	1		Include Age	•									`
		☐ Felo	•		] Misc	ieme	eanor	Ì	Amount \$ Months					
B. Locate/ Arrest		☐ Plea		or [	□ Tria	ļ			Susper	nsion:	Years	_ Mont	ths	
	☐ Federal ☐ Local ☐ International State:					:t:		_						
Subject Priority:   A								К	. Admin	istrativ	e Sanctio	n Date:		
Locate Date:		G. U.S. Co	de Vi	iolation					Subjec	t Desc	ription Cod	e	_•	
Arrest Date:				sections A,B	F,and	J			Type:		Leng	ıth:		
☐ Subject Resisted Arre		(Federa						Î	☐ Sus	enensio	_	, ermane	ant	
☐ Subject Arrested was	S Armed	Title		Section		_				-	_		** IL	
C. Current P. I		18						-	☐ Del			or		i
C. Summons Date: ☐ Federal ☐ Loca	-1	18						-	☐ Inju	inction	Year		Months	
Federal Loca	di	18	<u> 1341 3</u> -					_						
D. Recovery/Restitution/P	PELP X							_   L.	. Asset	Seizur	e Date:			.
☐ Federal ☐ Local ☐									Asset Forfeiture Date:					
Recovery Date:									CATS # Mandatory					
Code •✓ Amoun	nt \$		ice Date:					-	Check one of the three:					
Code ● ✓ Amoun	nt \$		ce Type:,•						Asset Forfeiture - Administrative					
Restitution Date:	· · · · · · · · · · · · · · · · · · ·	In Jail:							Asset Forfeiture - Civil Judicial				İ	
☐ Court Ordered ☐ F			nded: Years Months						Asset Forfeiture - Criminal					
Code •✓ Amoun		Probatio						-	Do not indicate \$ value in Section D					
PELP Date:		Fines:		\$					DO HOL	mulcal	e o value ii	1 36000	ט ווכ	
Code •✓ Amoun														
		I. Disrupti	on/D	ismantleme	nt:			M	. Acquit	tal / Di	smissal / F	retrial	Diversion	
E. Hostage(s) Released Da		Disruption	n Da	ıte:				ļ	Acquitta	al Date	•			
Released by:   Terroris		Dismant	leme	nt Date:				İ						1
Number of Hostages:														-
Child Located Date:		Complet	юп 0 —	f FD-515a S	iae 2 N	and	atory		rremai	Divers	1011 Date: _			-
N. Subject Information (Re	equired for all Section	s evoluding S	actio	n D /Pecovo	ry/DEI	D) (	Soction	E /Hosto	go) Soo	tion L	and Coatio	-11		
, morniamon (ne		- excluding 5	COLID	יי ה (הפנטענ									/:t '1 : 1 :	
D	Name Name					lace			te of Birth				(if available)	$\dashv$
PANNONE, JOSEPH	I A				1	<u>w</u>	7	7  11/2	26/192	2 C	36-17	-128	54	
For Indictments/Convictions only:  Subject related to an LCN, Complete FD-515a, Side 1	Asian Organized Crime	O neilett (OOA)	rnani	zed Crimo (IC	C) P	eler	/Factors							
ovinpicto i b-515a, Side i i	DIOCKS A-E Illalidatory, I	n as appropri	ne.											٠
Subject related to an OC/Dr Complete FD-515a, Side 1	rug Organization, a VCN Blocks A-C only	O Program Nat	ional	Gang Strateg	y target	grou	ıp, or a ۱	VCMO Pro	gram Nat	ional Pr	iority Initiati	ve targe	t group -	
x Additional information may be		oother form or a	nloin	choot of non	or for o	44161-	nal ant-	rios				erial N	lo. of FD-515	$\vdash$

See codes on reverse side.
Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

#### ections 3-5 thru 3-5.3. For Further Instructions See: MAOP, Part 1.

#### PROPERTY CODES

- Cash
- 02 Stocks, Bonds or Negot. Instruments
- General Retail Merchandise 03
- 04 Vehicles
- 05 Heavy Machinery & Equipment
- Aircraft
- 07 Jewelry
- Vessels 08
- 09 Art, Antiques or Rare Collections
- 11 Real Property
- All Other 20

#### SENTENCE TYPES

- Capital Punishment
- Jail Sentence JS
- LP Life Parole
- LS Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a
  - Corporation)
- PB Probation
- Suspension of Jail Sentence
- Youth Correction Act

#### PELP CODES

- Counterfeit
  - Stocks/Bonds/Currency/
- Negotiable Instruments
- 23 Counterfeit/Pirated Sound Recordings or Motion Pictures
- 24 Bank Theft Scheme Aborted
- Ransom, Extortion or Bribe 25
- Demand Aborted
- 26 Theft From or Fraud Against Government Scheme Aborted
- 27 Commercial or Industrial
- Theft Scheme Aborted
- 30 All Other

#### RACE CODES

- Asian/Pacific Islander
- В Black
- Indian/American
- H Unknown
- w White
- Nonindividual

#### AGENCY CODES

- **AFOIS** Air Force Office of Special Investigations
- Army Criminal Investigative Service **ACIS**
- BATE Bureau of Alcohol, Tobacco & Firearms
- Bureau of Indian Affairs BIA
- DCAA Defense Contract Audit Agency
- Defense Criminal Investigative Service **DCIS** DEA Drug Enforcement Administration
- Department of Corrections DOC
- DOI Dept. of Interior
- **EPA Environmental Protection Agency**
- Federal Aviation Administration FAA
- Food and Drug Administration FDA
- Dept. of Health & Human Services HHS
- HUD Dept. of Housing & Urban Development
- Immigration and Naturalization Service INS
- TRS Internal Revenue Service
- Nat'l Aeronautics & Space Admin NASA
- Nat'l NARC Border Interdiction **NBIS**
- NCIS Naval Criminal Investigative Service
- RCMP Royal Canadian Mounted Police
- Small Business Administration SBA
- U.S. Border Patrol USBP
- USCG U.S. Coast Guard
- U.S. Customs Service USCS
- USDS U.S. Department of State
- U.S. Marshals Service USMS
- USPS U.S. Postal Service
- USSS U.S. Secret Service
- USTR U.S. Treasury
- LOC Local
- CITY City
- COUN County
- ST State
- OTHR Other

TERRORISTS

Known Member of a Terrorist Organization

or Sympathizer

**UNION MEMBERS** 

President

Treasurer

Vice-President

**Business Agent** 

Representative

**Business Manager** 

Financial Secretary

Office Manager

Shop Steward

Recording Secretary

Organizer

Clerk

Member

Trustee

Other

Secretary/Treasurer

**Executive Board Member** 

5D

5E 5F

5H

51

5J

5K

5L

5M

5N

5P

5Q

5R

5S

5T

Possible Terrorist Member

#### SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME SUBJECTS

- 11 Boss
- 1G Underboss
- Consigliere IH
- IJ Acting Boss
- Capodecina 1K
- Soldier

#### KNOWN CRIMINALS

- Top Ten or I.O. Fugitive
- Top Thief 2B
- 2C Top Con Man

#### FOREIGN NATIONALS

- Legal Alien 3 A
- 3B Illegal Alien
- 3C Foreign Official W/out Diplomatic Immunity
- 3D U.N. Employee W/out
- Diplomatic Immunity
- 3E Foreign Student
- All Others 3F

#### **OTHERS**

- 8A All Other Subjects
- Company or Corporation

#### JUDGMENT CODES

- Consent Judgment
- Court Ordered Settlement
- DF Default Judgment
- DI Dismissal
- Judgment Notwithstanding IN
- ΜV Mixed Verdict
- SJ
- **Summary Judgment** Verdict for Defendant
- Verdict for Plaintiff

#### JUDICIAL OUTCOME

- AG Agreement
- BR Barred/Removed
- Civil Contempt
- Disciplinary Charges
- FI Fine
- ΡI Preliminary Injunction
- Temporary Restraining Order PR
- Pre-filing Settlement PS
- RN Restitution
- SP Suspension
- VR Voluntary Resignation
- Other

#### SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

#### **GOVERNMENT SUBJECTS** (6F,6G,6H- Include Agency Code)

- Presidential Appointee
- U.S. Senator/Staff U.S. Representative/Staff 6C
- Federal Judge/Magistrate 6D
- Federal Prosecutor
- Federal Law Enforcement Officer
- Federal Employee GS 13 & Above Federal Employee - GS 12 & Below
- 6H
- 61 Governor
- 6K Lt. Governor State Legislator
- 6M State Judge/Magistrate
- State Prosecutor 6N
- State Law Enforcement Officer 6P State - All Others
- 6R Mayor Local Legislator 6S
- Local Judge/Magistrate **6T**
- Local Prosecutor
- Local Law Enforcement Officer
- Local All Others 6W County Commissioner 6X
- City Councilman

#### BANK EMPLOYEES

- 7A Bank Officer
- 7B Bank Employee

On 04/02/2001, Joseph A. Pannone was indicted by a Federal Grand Jury for violations of USC Title 18 Sections 1962, 1951 and 1341.

Union Affiliation: If Other, Specify:

Level of Union. . . . : If Local, Give Number:

Case Number: 194B-B	s-81295	Stat Agent Na Stat Agent St	I		•	Date: 05/11/2	
Does Accomplish				Assisting A	gents SOC	Subjec	b6 b7C
Drugs	: N: N: N e: N c Officials: Y			       		PANNONE, JO	b7E
Sub. Invest. Asst b	y Other FOs: ive Assistance or	Technique Used			2 = Helped,	ut did not help Minimally Substantially	
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW	LAB DIV EXAMS LAB FIELD SUP PEN REGISTERS PHOTO COVERGE POLYGRAPH SRCH WAR EXEC SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP TEL TOLL RECS	UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	FT. MON-NRG FOR LANG AS NON FBI LANG VICT-WITN ( IO WANTED N SARS CART	SST B EX COOR	4 = Absolute	ely Essential	<b>Ъ7</b> E
Indictment is for Fed	eral, Local, or II		I): F  Code Violatio	on(s)			
Form FD-515a Side 2:			Section				
Subject's Role =		18 18 18	1962 1951 1341	2 8 3			·
Subject's Criminal /	•			s Influenced	/Affected:		 
If NON-LCN Member of			Name of	Company Sub	ject Connected	d with:	
If La Cosa Nostra (I Name of LCN Organize Position in LCN OCG	_CN) Member or Ass ed Crime Group (O	so (M/A): CG):		/Appointed Pither, Specif	ublic Official Y•:	. Position:	
Name of Union:							

Posi	tion	in	Uni	on.	:
Ιf	Other	٠, ۶	Spec	ify	:

Accomplishment Narrative

ON 4/02/2001, JOSEPH A. PANNONE WAS INDICTED BY A FEDERAL GRAND JURY FOR VIOLATION OF TITLE 18, UNITED STATES CODE, SECTION 1962 (2 COUNTS) 1951 (8 COUNTS) AND 1341 (3 COUNTS)

# FD-515 (Rev. 8-1-00) Squad supervisor approval please initial)

## Accomplishment Report (Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

\_ Date Prepared \_ Date Loaded ح

Accomplishment involves:											Data Loader's	Initials	9:11	<u></u>		
(check all that apply)  Drugs	File Numl				1-Used	but	Inv	estigative A	ssist	ance	or Technique Us 3 - Helped		tantially		1	
A Fugitive	194B-BS-1	1275			2 -Help	ed, r	ninima	lly			4 - Absolu	itely es	sential			
Bankruptcy Fraud	Stat Agent Soc	Sec. No.			For Sub. In	vest.	Assist	t. by other FC	(s) ind	dicate	A,B,C,D for corresponding FO					
Computer Fraud/Abuse			Rate	FO.	IAT	Rate	FO	IAT	7	e FO	T	Rate		\T	4	
Corruption of Public Officials	Stat-Agent	Namo	<b> </b>		Fin. Analyst	_		Lab. Div. Exa			UCO - Group I	_	Ft. Mon.	- ITC	4	
Money Laundering Sub Invest Asst by FO (s)	StateAgent	vanne	-		Aircraft Asst.		_	Lab. Field Su			UCO - Group II		For. Lar	<u> </u>	-1	
	RA	Squad	$\vdash$		Computer Consen Mon.	_	_	Pen Register: Photo Cover.			UCO - Nat. Back		Non FB		<del></del>	
Asst. FO(s),,,,		1450			Elsur / FISC	-		Polygraph	+		Crim/NS Intel Asst		Vict-Wit IO Wan		_	
Task Force	Assisting Agents Soc.				Elsur / T. III			Search Warra	nt		Crisis Neg Fed.		SARs	100 1 190	٦	
Task Force	1	000.110.			Eng. Field Spt.	Г		Show Money			Crisis Neg Local		CART		7	
					Eng. Tape Ex			SOG Asst.			ERT Asst.			b		
	Name:				Legats Asst.			Swat Team			Butte - ITC			—-b		
	2	-			Evid Purchase			Tech. Ag/Equi	p.		Sav - ITC			——b	/ E	
	Name:		Inf/CW Info Phone T						ec		Poc - ITC				1	
A. Complaint / Information	n / Indiatment				·					ii pi	co Matters Date				ī	
		F. Convict						'			mplete "Section (					
☐ Federal ☐ Local ☐		Fede	ral [	Lo	ocal 🗌 Interna	ation	al				ivil Matters Date					
Complaint Date:		ı						-								
Check if Civil Rico Comp		Subject	Desc	riptic	on Code:	_•(		)•		-	nt					
Information Date:		For 6F,	G, H	-Inclu	ıde Agency Co	de					Outcome					
Indictment Date:		☐ Felo	ny	(	or 🗌 Mis	dem	eanor	r			\$					
B. Locate/ Arrest		☐ Plea		(	or 🔲 Tria	ti			Sus	pen	sion: Years	_ Mor	iths			
☐ Federal ☐ Local ☐		State: _			Judicial Distri	ct: _					<del></del>				1	
Subject Priority: A					-			F	(. Adı	nini	strative Sanction	n Date	:			
Locate Date:		G. U.S. Co							Sub	ject	Description Cod	e	<b>_</b> •			
Arrest Date:	oct		ed for sections A,B,F,and J						Type: Length:							
☐ Subject Arrested was		Title	Only	•	ection #	# Counts			☐ Suspension ☐ Permanent							
		<u> </u>						☐ Debarment or					-			
C. Summons Date:					<del></del> _					Injun	ction Year		Months_			
Federal Loca	al							_					<del>, , ,  </del>		4	
D. Recovery/Restitution/F	PELP X		L. Asset Seizure Date: 4/3/6/							<u> [6]</u>						
☐ Federal ☐ Local ☐	] International		Asset Forfeiture Date:													
Recovery Date:	·	⊔ Conton	00 D	***					CA	rs#	Mandatory <u>Ol</u>	<u>-FB:</u>	(-00)	<u> 23</u> 5		
Code •✓ Amour	nt \$				1				Che	ck o	ne of the three:					
Code •✓ Amour	nt \$	In Jail:	C iy		arsM					Asse	t Forfeiture - Adn	ninistra	ative			
Restitution Date:			ded:		ars M						t Forfeiture - Civi		ial			
☐ Court Ordered ☐ F		Probatio			ars Mo			1	•		t Forfeiture - Crin				ı	
Code •✓ Amour PELP Date:	П \$	Fines:		\$					Do	not i	ndicate \$ value ir	n Secti	on D			
Code •✓ Amour	nt \$								1 ^	:44.	I / Diamina al / D		Diversis		1	
E. Hostage(s) Released D		I. Disrupti								-	al / Dismissal / P					
Released by: Terroris		· ·						i			Date:					
Number of Hostages:					ate:						al Date:					
Child Located Date:		Complet	ion o	f FD	-515a Side 2 <b>N</b>	lan	dator	У	Pre	trial (	Diversion Date: _	<u>-</u>	<del></del>			
N. Subject Information (Re		s excluding S	ectio	n D /	Recovery/PFI	_p\	Section	on F (Hoets	age) (	Secti	on I. and Section	n ! )			1	
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				_			-	JON DE	01 1	1	200101 00001	, 140	. in availar	)	1	
For Indictments/Convictions only	:	·									!			<del></del>	1	
Subject related to an LCN, Complete FD-515a, Side 1	Asian Organized Crime ( Blocks A-E mandatory F	AOC), Italian C	rgani:	zed C	Crime (IOC), Ru	ssia	n/East	ern Europea	n, Cari	ibbea	ın, or Nigerian Org	anized	Crime Gro	up -		
Subject related to an OC/Di	rug Organization, a VCM	O Program Nat	ional	Gang	Strategy targe	gro	up, or	a VCMO Pro	gram	Natio	onal Priority Initiati	ve targ	et group -			
Complete FD-515a, Side 1	DIOCKS A-C only.											oriel !	No. of ED	<u> </u>	1	

Additional information may be added by attaching another form or a plain sheet of paper for additional entries.

See codes on reverse side.

Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

#### PROPERTY CODES

- Cash
- Stocks, Bonds or Negot. Instruments
- General Retail Merchandise
- 04
- Heavy Machinery & Equipment 05
- 06 Aircraft
- 07 Jeweirv
- Vessels
- 09 Art, Antiques or Rare Collections
- 11 Real Property
- All Other

#### SENTENCE TYPES

- Capital Punishment
- Jail Sentence
- Life Parole LP
- LS Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a
- Corporation) PR Probation
- Suspension of Jail Sentence
- Youth Correction Act

#### PELP CODES

- 22 Counterfeit
  - Stocks/Bonds/Currency/ Negotiable Instruments
- Counterfeit/Pirated Sound
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- Ransom, Extortion or Bribe Demand Aborted
- Theft From or Fraud Against 26
- Government Scheme Aborted
- Commercial or Industrial Theft Scheme Aborted
- 30 All Other

- Black
- п
- White

#### AGENCY CODES

- AFOIS
- ACIS Army Criminal Investigative Service
- Defense Contract Audit Agency DCAA
- Drug Enforcement Administration
- Department of Corrections DOC

- HHS Dept. of Health & Human Services
- IRS Internal Revenue Service
- NBIS Nat'l NARC Border Interdiction
- Naval Criminal Investigative Service

- U.S. Secret Service
- USTR U.S. Treasury
- CITY City
- State
- Other
- OTHR

#### SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME SUBJECTS

- İF Boss Underboss 1G
- Consigliere 111
- Acting Boss 1J
- 1K Capodecina
- Soldier

#### KNOWN CRIMINALS

- Top Ten or I.O. Fugitive
- Top Thief
- 2C Top Con Man

#### FOREIGN NATIONALS

- Legal Alien 3A
- Illegal Alien 3B
- Foreign Official W/out 3C Diplomatic Immunity
- 3D U.N. Employee W/out
- Diplomatic Immunity
- 3E Foreign Student
- 3F All Others

#### **OTHERS**

- All Other Subjects 8A
- 8B Company or Corporation

#### RACE CODES

- Asian/Pacific Islander
- Indian/American
- Unknown
- w
- Nonindividual

- Air Force Office of Special Investigations
- BATF Bureau of Alcohol, Tobacco & Firearms
- Bureau of Indian Affairs BIA
- Defense Criminal Investigative Service DCIS
- DEA
- DOI Dept. of Interior
- Environmental Protection Agency **EPA**
- FAA Federal Aviation Administration
- Food and Drug Administration FDA
- Dept. of Housing & Urban Development HUD
- Immigration and Naturalization Service INS
- NASA Nat'l Aeronautics & Space Admin
- NCIS RCMP Royal Canadian Mounted Police
- Small Business Administration SBA
- USBP U.S. Border Patrol
- U.S. Coast Guard
- USCG
- USCS U.S. Customs Service
- U.S. Department of State USDS
- USMS U.S. Marshals Service
- USPS U.S. Postal Service
- USSS
- LOC Local
- County COUN
- ST

- TERRORISTS
- Known Member of a
- Terrorist Organization Possible Terrorist Member or Sympathizer

## **UNION MEMBERS**

- 5D President
- Vice-President 5E
- 5F Treasurer
- Secretary/Treasurer 5G **Executive Board Member**
- 5H **Business Agent** 51
- Representative 5J
- 5K Organizer
- 5L Business Manager
- 5M Financial Secretary Recording Secretary 5N
- Office Manager 5P
- 5Q Clerk 5R Shop Steward
- 5S Member 5T Trustee Other

5U

GOVERNMENT SUBJECTS

(6F,6G,6H-Include Agency Code)

- Presidential Appointee

JUDGMENT CODES

Dismissal

CO

DI

IN

SI

MV

BR

CC

DC

FΙ

PΙ

PR

PS

SP

VR

Consent Judgment Court Ordered Settlement

Default Judgment

Mixed Verdict

JUDICIAL OUTCOME

Barred/Removed

Civil Contempt

Disciplinary Charges

Preliminary Injunction

Pre-filing Settlement

Voluntary Resignation

Restitution

Suspension

SUBJECT PRIORITY

Other

Temporary Restraining Order

Subject wanted for crimes of violence

convicted of such a crime in the past five

Subject wanted for crimes involving loss

excess of \$25,000 or convicted of such a

or destruction of property valued in

crime in the past five years.

All other subjects.

(i.e., murder, manslaughter, forcible

rape) against another individual or

AG Agreement

Fine

Summary Judgment

Verdict for Plaintiff

Verdict for Defendant

Judgment Notwithstanding

- U.S. Senator/Staff U.S. Representative/Staff
- Federal Judge/Magistrate 6D Federal Prosecutor
- Federal Law Enforcement Officer 6F
- Federal Employee GS 13 & Above
- Federal Employee GS 12 & Below 6H

6E

- 61 Governor
- Lt. Governor 6K
- 6L State Legislator State Judge/Magistrate
- 6N State Prosecutor State Law Enforcement Officer 6P
- State All Others 60
- 6R Mayor Local Legislator
- Local Judge/Magistrate 6T
- Local Prosecutor
- Local Law Enforcement Officer Local - All Others
- County Commissioner City Councilman

#### BANK EMPLOYEES

- 7A Bank Officer
- Bank Employee

05/16/2001

\*\*\*\*\*\*\*\* SEIZURE \*\*\*\*\*\*\*\*\*\*\* SENSITIVE / UNCLASSIFIED

•	

Case Number: 194B-E Serial No.:	3S-81295	Stat Agent Na Stat Agent SC					05/14/200 04/03/200		
Does Accomplish	ment Involve			Assist	ing Agents SOC		Subject	Name	
Drugs	: N : N se : N					RA	Squad	Task Force	
Money Laundering						PROV	P1		
Sub. Invest. Asst b	y Other FOs:	Technique Used			1 = Used, b 2 = Helped, 3 = Helped, 4 = Absolut	Minimal Substan	ly tially		
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW	LAB DIV EXAMS LAB FIELD SUP PEN REGISTERS PHOTO COVERGE POLYGRAPH SRCH WAR EXEC SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP TEL TOLL RECS	UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	FOR L NON F VICT-	ION-NRCSC ANG ASST BI LAB EX WITN COOR NTED FLYR	4 - Absolut	ety Esse			

TYPE OF SEIZURE: CRIMINAL DATE OF ACCOMPLISHMENT: 20010403

CATS #: 01FBI002235

Accomplishment Narrative

SEIZURE OF JERE REALTY FURNITURE

SENSITIVE / UNCLASSIFIED

b6 b7C b7E

# FD-515 (Rev. 8-1-00) Squad supervisor approval (please initial)

See codes on reverse side.

✓ Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

Accomplishment Report
(Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

Date Prepare	d	
Date Loaded	3/11,	101
Date Loaded Data Loader's	Initials .	_JMB

Accomplishment involves:								Dala	LUAUEI S II	itiais — 1//		
(check all that apply)	File Numb					_	e Assistanc	e or Tec	•			
Drugs	1948.65.	81295			, but did no					substantially		
A Fugitive			}		ed, minima vest Assist		FO (s) indicat	A B C	4 - Absoluti D for correst	ely essential		
Bankruptcy Fraud	Stat Agent Soc	Sec. No. 1	Rate FO								14.	
Computer Fraud/Abuse				n. Analyst	Rate FO	Lab. Div.	Rate F	$\neg$	Group I	Rate FO	IAT	$\dashv$
Corruption of Public Officials			I ⊢	······					-	· ·	on,- ITC	-
Money Laundering			I	rcraft Asst.		Lab. Field	<del></del>	UCO -	Group II	For. I	Lang Assi	<u>t.</u>
Sub Invest Asst by FO (s)			C	omputer		Pen Regi	sters	UCO-	Nat. Back	Non 1	FBI Lab E	żх
Asst. FO(s),,,	/RA	Squad	<u> </u>	onsen Mon.		Photo Co	ver.	NCAV	C/VI-CAP	√ict-\	Witn Coor	
A, B, C, D	TROV	8-1	E	sur / FISC		Polygrapi	1	Crim/N	S Intel Asst	ow	anted Fly	er
	Assisting Agents Soc.	Can No X	E	sur / T. III		Search W	arrant	Crisis I	leg Fed.	BAR		1
Task Force	TASSISIIITO AGENIS SOC.	Sec No · ·	<b>d</b> ⊢-	ng. Field Spt.		Show Mo	<del></del>		leg Local	CAR		┥
			l							PAN		Ť
			I	ng. Tape Ex		SOG Ass	_	ERT A				o6
			Le	gats Asst.		Swat Tea	m	Butte -	ITC			o7C
			ΕV	id Purchase		Tech. Ag/l	Equip.	Sav - I	гс		k	o7E
	Name:		Int	f/CW Info		Phone To	ll Rec	Poc - l'	гс			7
												╡
A. Complaint / Informatio		F. Convict	ion									
☐ Federal ☐ Local ☐	] International	☐ Fede	ral 🗌 Loca	l 🗌 Interna	tional		Also C	omplete	"Section G	11		
Complaint Date:		_	ion Date:				Other	Civil Ma	tters Date:			
Check if Civil Rico Comp						_	Judgm	ent		•		
Information Date:		I .	Description (			) <b>"</b>					•v	
Indictment Date: 4		For 6F,	G, H-Include	Agency Co	de							
maiciment Date:	12/01	☐ Felo	ny or	☐ Misc	demeanoi	r	Amount \$					
B. Locate/ Arrest		☐ Plea	or	☐ Tria	1		Susper	nsion: Y	ears	Months		
- Federal □ Local □	] International	State:	Ju	dicial Distric	et:	ł	•					$\dashv$
Subject Priority: A							K. Admin	istrative	Sanction	Date:		1
Locate Date:		G. U.S. Co	de Violation						ption Code			
Arrest Date:		Require	d for sections	A.B.F.and	J		Type: Length:					
☐ Subject Resisted Arre	est	(Federal		, , , , , , , , , , , , , , , , , , , ,				Suspension Permanent				
☐ Subject Arrested was	Armed ·	Title	Section . # Counts						manent			
•	1 1		<u></u>	41			☐ Deb	parment		or		
C. Summons Date:	201	18	7 1551 ☐ Injunction						Year_	Month	s	
Federal Loca	al /	18		46					1		-	╛
D D		18		1/1		_	L. Asset Seizure Date:					7
D. Recovery/Restitution/F		10	<del>~                                    </del>	<del>~</del> / <del>~</del> / <del>~</del>			Asset Forfeiture Date:					
☐ Federal ☐ Local ☐	] International	1.5	<del></del>	3/2								
Recovery Date:		H. Senten	e Date:			ľ		# Mand	•			
Code •✓ Amour	nt \$		e Type:						e three:			
	nt \$	In Jail:		Mo			☐ Ass	et Forfe	ture - Admi	nistrative		
Restitution Date:		1	led: Years				☐ Ass	et Forfe	ture - Civil	Judicial		Ī
☐ Court Ordered ☐ I		Probatio		Mo			☐ Ass	et Forfe	ture - Crim	nal		-
Code •✓ Amour		Fines:	\$		JIIII		Do not	indicate	\$ value in	Section D		1
PELP Date:		1 11163.	Ψ									_
Code •✓ Amour	nt \$	I. Disrupti	on/Diamont	lamart.			M Acquit	lai / Die	missal / Dr	etrial Divers	ion	1
E Hostore(a) Delta de	-1	1					Avquit					
E. Hostage(s) Released D		Disruptio	n Date:	· · · · · · · · · · · · · · · · · · ·		_	Acquitta	al Date:				
Released by: Terroris		Dismant	ement Date:	·		_	Dismiss	al Date				
Number of Hostages:			ion of FD-51									
Child Located Date:		Complet				,						6
N. Subject Information (Re	equired for all Sections	s excludina S	ection D (Re	coverv/PFI	.P). Secti	on E (He	ostage). Sec	tion I. a	nd Section	L).	b	7C
	Name				Race •	Sex	Date of Birth			y No. (if avai		٦
	Hallie			, r	iau <del>c  </del>	Jex	Date Of Dill	<u>'                                    </u>	olai Getull	y Ivo. (II aval	iable)	$\dashv$
bor logiotmosto//	-											_
For Indictments/Convictions only  Subject related to an LCN	Asian Organized Crimo	AOC). Italian O	roanized Crim	ne (IOC). Pur	ssian/Fast	ern Euro	nean Caribba	an or Mi	nerian Orga	nized Crime G	aroun -	
	Disales A Constant of the Control of	II oo ooneensis	. garnera Cilii	(100), rius	Joidin Last	Citi Lato	Juli, Janube	uii, 01 14	gonan Orga	meed oning (	aroup -	1
Complete FD-5158, 5106 1	BIOCKS A-E mandatory, F	as appropris	ile.				_					
Complete FD-515a, Side 1 Subject related to an OC/D Complete FD-515a, Side 1	rug Organization, a VCM	O Program Nati	onal Gang St	rategy target	group, or	a VCMO	Program Nat	ional Prid	rity Initiative	target group		

#### sections 3-5 thru 3-5.3. For Further Instructions See: MAOP, Part 1,

#### PROPERTY CODES

- 01 Cash
- Stocks, Bonds or Negot. Instruments
- General Retail Merchandise
- 04 Vehicles
- 05 Heavy Machinery & Equipment
- 06 Aircraft
- 07 Jewelry
- 08 Vessels
- Art, Antiques or Rare Collections 09
- 11 Real Property
- All Other

#### SENTENCE TYPES

- Capital Punishment
- JS Jail Sentence
- I.P Life Parole
- I.S Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a
- Corporation)
- PR Probation
- Suspension of Jail Sentence
- Youth Correction Act

#### PELP CODES

- Counterfeit
  - Stocks/Bonds/Currency/
- Negotiable Instruments Counterfeit/Pirated Sound
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- Ransom, Extortion or Bribe **Demand Aborted**
- 26 Theft From or Fraud Against
- Government Scheme Aborted
- Commercial or Industrial
- Theft Scheme Aborted
- 30 All Other

#### RACE CODES

- Asian/Pacific Islander
- Black
- Indian/American
- IJ Unknown
- w White
- Nonindividual

#### AGENCY CODES

- Air Force Office of Special Investigations **AFOIS**
- ACIS Army Criminal Investigative Service
- Bureau of Alcohol, Tobacco & Firearms BATF
- Bureau of Indian Affairs BIA
- Defense Contract Audit Agency DCAA
- DCIS Defense Criminal Investigative Service
- DEA Drug Enforcement Administration
- Department of Corrections DOC
- DOI Dept. of Interior
- Environmental Protection Agency **EPA**
- Federal Aviation Administration FAA FDA Food and Drug Administration
- Dept. of Health & Human Services **ZHH**
- Dept. of Housing & Urban Development HUD
- INS Immigration and Naturalization Service
- IRS Internal Revenue Service
- NASA Nat'l Aeronautics & Space Admin
- Nat'l NARC Border Interdiction NRIS
- Naval Criminal Investigative Service NCIS
- RCMP Royal Canadian Mounted Police Small Business Administration SBA
- U.S. Border Patrol USBP
- USCG U.S. Coast Guard
- USCS U.S. Customs Service
- USDS U.S. Department of State
- USMS U.S. Marshals Service
- USPS U.S. Postal Service
- USSS U.S. Secret Service U.S. Treasury
- USTR LOC Local
- CITY City
- COUN County
- State ST
- OTHR Other

### ORGANIZED CRIME

- SUBJECTS
- 1F Boss 1G Underboss
- Consigliere 111
- IJ **Acting Boss**
- 1K Capodecina
- Soldier

#### KNOWN CRIMINALS

- Top Ten or I.O. Fugitive
- 2B Top Thief
- Top Con Man 2C

#### FOREIGN NATIONALS

- Legal Alien 3 A
- 3B Illegal Alien
- 3C Foreign Official W/out Diplomatic Immunity
- 3D U.N. Employee W/out Diplomatic Immunity
- 3E Foreign Student
- All Others 3F

#### **OTHERS**

- All Other Subjects
- Company or Corporation

#### JUDGMENT CODES

- Consent Judgment
- co Court Ordered Settlement
- Default Judgment
- DI Dismissal
- IN Judgment Notwithstanding
- MV Mixed Verdict
- SJ Summary Judgment
- Verdict for Defendant
- Verdict for Plaintiff

#### JUDICIAL OUTCOME

- AG Agreement
- Barred/Removed BR
- Civil Contempt CC
- DC Disciplinary Charges
- FI Fine
- ΡI Preliminary Injunction
- Temporary Restraining Order PR
- PS Pre-filing Settlement
- Restitution SP Suspension
- Voluntary Resignation VR
- Other

#### SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

#### SUBJECT DESCRIPTION CODES

#### TERRORISTS

- Known Member of a
- Terrorist Organization Possible Terrorist Member 4B or Sympathizer

## **UNION MEMBERS**

- President 5D 5E Vice-President
- 5F Treasurer
- 5G Secretary/Treasurer **Executive Board Member** 5H
- 51 **Business Agent**
- Representative 5J
- 5K Organizer **Business Manager**
- 5L 5M Financial Secretary
- Recording Secretary 5N Office Manager 5P
- 5Q Clerk 5R Shop Steward
- 5S Member
- 5T Trustee Other

5U

- Presidential Appointee U.S. Senator/Staff U.S. Representative/Staff 6C
  - Federal Judge/Magistrate 6D
  - Federal Prosecutor 6E

**GOVERNMENT SUBJECTS** (6F,6G,6H- Include Agency Code)

- Federal Law Enforcement Officer 6F
- Federal Employee GS 13 & Above Federal Employee - GS 12 & Below 6H
- 61 Governor
- Lt. Governor 6K
- 6L State Legislator
- State Judge/Magistrate 6M
- 6N State Prosecutor State Law Enforcement Officer 6P
- State All Others 6Q Mayor
- 6S Local Legislator
- Local Judge/Magistrate 6T
- Local Prosecutor 611 Local Law Enforcement Officer
- Local All Others
- County Commissioner City Councilman

### **BANK EMPLOYEES**

- 7A Bank Officer
- Bank Employee

#### SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295 Serial No.:	Stat Agent Name: Stat Agent SOC.:	· ·	Report Date: 05/11/2001 Accom Date.: 04/02/2001							
Does Accomplishment Involve		Assisting Agents SOC	Subject Name	b7C b7E						
Drugs N										
A Fugitive										
Bankruptcy Fraud			RA Squad Task Force							
Corruption of Public Officials: Y										
Money Laundering N		j	PROV P1							
Sub. Invest. Asst by Other FOs:  Investigative Assistance or  FINAN ANALYST LAB DIV EXAMS	UCO-GROUP I T. MON	2 = Helped, 3 = Helped, 4 = Absolut	out did not help Minimally Substantially cely Essential							
AIRCRAFT ASST LAB FIELD SUP	UCO-GROUP II FOR LAN									
COMPUTER ASST PEN REGISTERS CONSEN MONITR PHOTO COVERGE	UCO-OTHER NON FBI NCAVC/VI-CAP VICT-WI			b7E						
ELSUR/FISC POLYGRAPH	CRIM/NS INTEL TO WANT									
ELSUR/III SRCH WAR EXEC	CRIS NEG-FED SARS									
ENG FIELD SUP SHOW MONEY	CRIS NEG-LOC CART									
ENG TAPE EXAM SOG ASST	ERT ASST									
LEGATS ASST. SWAT TEAM	BUTTE-ITC		•							
EVIDNCE PURCH TECH AG/EQUIP	SAVANNAH-ITC .			•						
INFORMANT/CW TEL TOLL RECS	POC-WRCSC									
Federal or Local Summons (F/L): F	****									
	Accomplishment Nar	rativa								

Accomplishment Narrative

ON PUBLIC

b6

b7C

CORRUPTIONS CHARGES INCLUDING TITLE 18, SECTIONS 1341, 1951, 1346, 1961 AND

1512, MULTIPLE COUNTS

Case Number: 194B-BS-81295 Serial No.:	Stat Agent Na Stat Agent SC			Report Date: Accom Date.:			<b>b</b> 6
Does Accomplishment Involve		Ass	isting Agents SO	<u> </u>	Subject	Name	ь7с
Drugs				RA  PROV	Squad  P1	Task Force	b7E
Sub. Invest. Asst by Other FOs:				ed, but did n			
Investigative Assistance or	Technique Used		3 = He	lped, Minimal lped, Substan solutely Esse	tially		
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW LAB DIV EXAMS LAB LAB DIV EXAMS LAB LAB DIV EXAMS LAB LAB DIV EXAMS LAB LAB DIV EXAMS LAB LAB LAB LAB LAB LAB LAB LAB LAB LAB	UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-FED CRIS ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	FT. MON-NRCSC FOR LANG ASST NON FBI LAB EX VICT-WITN COOR IO WANTED FLYR SARS CART					<b>Ъ7</b> Е
Indictment is for Federal, Local, or Ir	nternational (F/L/I	I): F					
	U. S.	Code Violation(s	)				
form FD-515a Side 2:	Title	Section	Counts				
Subject's Role =	18 18 18 18	1341 1951 1346 1961	8 8 8 7				,

Subject's Criminal Activity: If Other, Specify. . . :

If NON-LCN Member or Associate (M/A): Name of NON-LCN Criminal Group. . . :

If La Cosa Nostra (LCN) Member or Asso (M/A): 

Name of Union:

Union Affiliation: If Other, Specify:

Level of Union. . . : If Local, Give Number: Position in Union.: If Other, Specify:

Business Influenced/Affected: If Other, Specify. . . . .:

Name of Company Subject Connected with:

Elected/Appointed Public Official Position: If Other, Specify. :

Accomplishment Narrative

FD-515 (Rev. 8-1-00)	
Squad supervisor approval (please initial)	

## Accomplishment Report nplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

b6 b7C b7E

Accomplishment involves:										Data Loader's	Initial	s —/	f JIIC
(check all that apply)	File Numb					lı	nvestigati	ive Assi	stanc	e or Technique Us	ed		
Drugs	194B-BS-	81295	1			but did				3 - Helper			,
A Fugitive					•	ed, minin	•	er FO (s)	indicat	4 - Absolute A,B,C,D for corre	•		
Bankruptcy Fraud	Stat Agent Soc.	. Sec. No.	Bat	e FO	IAT	Rate FO	-		Rate F		Rate	_	IAT
Computer Fraud/Abuse			<del>  ```</del>		Fin. Analyst		Lab. Div			UCO - Group I			t. Mon ITC
Corruption of Public Officials	Stat Agent A	lama	,		Aircraft Asst.		Lab. Fiel		+	UCO - Group II			or. Lang Asst.
Money Laundering  Sub Invest Asst by FO (s)			<del> </del>	- 4	Computer		Pen Reg			UCO - Nat. Back			Ion FBI Lab Ex
	RA	Squad	'├─		Consen Mon.		Photo C			NCAVC / VI - CAF		_	ict-Witn Coor
Asst. FO(s),,		450	$\vdash$	$\vdash$			Polygrap					_	
A, B, C, D			-	<del> </del>	Elsur / FISC					Crim/NS Intel Ass			O Wanted Flye
Task Force	Assisting Agents Soc.	Sec. No. X	-		Elsur / T. III		Search V			Crisis Neg Fed.			SARs
	1		_	-	Eng. Field Spt.		Show M		_	Crisis Neg Loca		C	CART
	Name:		_		Eng. Tape Ex		SOG As	<del></del>		ERT Asst.			<del> </del>
	2		$\vdash$		Legats Asst.		Swat Te			Butte - ITC	$\sqcup$	<del></del>	
		·	_	<u> </u>	Evid Purchase		Tech. Ag		_	Sav - ITC		<u> </u>	
	Name:		L	<u> </u>	Inf/CW Info		Phone T	oli Rec		Poc - ITC			
A. Complaint / Information	n / Indictment	F. Convic	.:					J. (	Civil B	lico Matters Date	:		· · · · · · · · · · · · · · · · · · ·
								1		omplete "Section			
Federal Local					ocal 🗀 Interna			1		Civil Matters Dat			
Complaint Date:		Convic	tion	Date:				i		ent			
Check if Civil Rico Com	· —	Subject	Des	criptic	n Code:	_•(	_)•	1					
Information Date:		For 6F,	G, F	l-Inclu	ide Agency Co	ode		1		al Outcome			
Indictment Date:		☐ Felo	ny	(	or 🔲 Mis	demear	ior	<i> </i>	\mour	nt \$			<del></del>
B. Locate/ Arrest		☐ Plea			or 🔲 Tria	al			Suspe	nsion: Years	_ Mo	onths .	
☐ Federal ☐ Local [	_ International	State: _			Judicial Distri	ct:							
Subject Priority: A			-					- K. A	Admin	istrative Sanctio	n Da	te:	
Locate Date:		G. U.S. Co	de V	/iolati	ion			5	Subjec	t Description Cod	e	•	1
Arrest Date:		1			ons A,B,F,and	IJ		1	Гуре:	Leng	th:		
☐ Subject Resisted Art		(Federa Title	Section # Counts Suspension Permanent										
☐ Subject Arrested wa	s Armed	11116		3,	SCHOTI	# Count	3		⊡ Del	barment	or		
C. Summons Date:									 □ Inju	unction Year		_ Mo	onths
☐ Federal ☐ Loc	al												
D D (D		<del></del>					<del></del>	L. A	Asset	Seizure Date:	4	13/	0/
D. Recovery/Restitution/										Forfeiture Date:			
Federal Local							•	1 .		# Mandatory Ol			
Recovery Date: ✓ Amou	int C							i		one of the three:			
Code • ✓ Amou	int S	Sentend	e T							set Forfeiture - Ad	ninis	trative	٤
Restitution Date:		In Jail:			ars M					set Forfeiture - Civ			•
☐ Court Ordered ☐		i .			ars M			_	_	set Forfeiture - Cri			
Code •✓ Amou		Probation	on:		ars M				_	t indicate \$ value i			0
PELP Date:		Fines:		_\$_									
Code •✓ Amou	int \$	I. Disrupt	: 1	<b>D</b> :				M	\cauit	ttal / Dismissal / I	Pretri	al Div	version
E Hostogo(a) Pologged (		1											
E. Hostage(s) Released [								<i> </i>	\cquitt	al Date:			
	Released by: Terrorist Other  Number of Hostages:						tlement Date: Dismissal Date:						
Child Located Date:		Comple	tion	of FD	-515a Side 2 l	Mandat	ory	F	Pretria	I Diversion Date: _			<u> </u>
						: :	= 1	<u> </u>					
N. Subject Information (R	······································	s excluding S	ecti	on D	· · · · · · · · · · · · · · · · · · ·								
	Name					Race •	Sex	Date	of Birt	h Social Secu	nty N	10. (if a	available)
Fortally 15							<u> </u>	<u> </u>					
For Indictments/Convictions onl Subject related to an LCN	Asian Organized Crime (	(AOC). Italian (	Organ	nized (	Crime (IOC). Ri	ussian/Ea	astern Eur	ropean. (	Caribbe	ean, or Nigerian Or	ganize	ed Crir	me Group •
Complete FD-515a, Side Subject related to an OC/I	1 Blocks A-E mandatory, F	F-H as appropr	ate.										
Complete FD-515a, Side 1	Blocks A-C only.	- rogram Na	uona	ı Gail	J Sualeyy large	, group,	or a voivi	- riogn	4111 IVd	nonar i nonty milat	id	- gar gi	oup ·

x Additional information may be added by attaching another form or a plain sheet of paper for additional entries.

See codes on reverse side.

Requires that an explanation be attached and loaded into ISRAA for recovery over S1m and PELP over S5m.

Serial No. of FD-515





05/16/2001

## \*\*\*\*\*\*\*\*\*\*\*\* SEIZURE \*\*\*\*\*\*\*\*\*\*\*\*



SENSITIVE / UNCLASSIFIED

Case Number: 194B- Serial No.:	38-81295	Stat Agent Na Stat Agent SO		Report Date: 05/16/2001 Accom Date.: 04/03/2001						
Does Accomplish	hment Involve		Assisti	ng Agents SOC		Subject	b6 b7C b7E			
Drugs					RA  PROV	Squad	Task Force			
Sub. Invest. Asst i	oy Other FOs:			1 = Used, but 2 = Helped, M						
Investigative Assistance or Technique Used				3 = Helped, Su						
				4 = Absolutely	y Essen	tial				
FINAN ANALYST	LAB DIV EXAMS	UCO-GROUP I	FT. MON-NRCSC							
AIRCRAFT ASST	LAB FIELD SUP	UCO-GROUP II	FOR LANG ASST							
COMPUTER ASST	PEN REGISTERS	UCO-OTHER	NON FBI LAB EX							
CONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITH COOR							
ELSUR/FISC	POLYGRAPH	CRIM/NS INTEL	IO WANTED FLYR							
ELSUR/III	SRCH WAR EXEC	CRIS NEG-FED	SARS							
ENG FIELD SUP	SHOW MONEY	CRIS NEG-LOC	CART							
ENG TAPE EXAM	SOG ASST	ERT ASST								
LEGATS ASST.	SWAT TEAM	BUTTE-ITC								
EVIDNCE PURCH	TECH AG/EQUIP	SAVANNAH-ITC								
INFORMANT/CW	TEL TOLL RECS	POC-WRCSC								
YPE OF SEIZURE: CRI ATE OF ACCOMPLISHMEN ATS #: 01FBI002230										
•										

Accomplishment Narrative

......

SEIZURE OF VOCCOLA BUILDING AT 15 PENELOPE PLACE

FD:515 Fee 8-1-00) Squad supervisor approval											
Man	Squad supervisor approval (please initial)										

# Accomplishment Report implishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

Sholor
Date Prepared 3/1/1/
Date Loaded 5/16/0/
Data Loader's Initials

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(please initial)												Data Loader's I	nitia	als _	JMB		
Accomplishment involves: (check all that apply)	File Number			Investigative Assistance or Technique Used													
Drugs	194B-B5-81295			1-Used, but did not help 3 - Helped, substantially											•		
A Fugitive			2 -Helped, minimally 4 - Absolutely essential For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO														
Bankruptcy Fraud  Computer Fraud/Abuse	Stat Agent Soc. Sec. No.			te FO	IAT	Rate	FO	IAT	F	Rate	FO	TAT	Rate	e FO	) IAT		
Corruption of Public Officials			, L		Fin. Analyst			Lab. Div. E	Exam	$\perp \!\! \! \! \! \! \! \! \! \! \! \! \! \! \! \! \! \! \! $		UCO - Group I			Ft. Mon ITC		
Money Laundering	Chat A	And Manager	ΙL	,4 .	Aircraft Asst.		å .	Lab. Field	Sup			UCO - Group II			For. Lang Asst.		
Sub Invest Asst by FO (s)					Computer			Pen Regis	ters			UCO - Nat. Back			Non FBI Lab Ex		
Asst. FO(s),,,	RA	Squad			Consen Mon.			Photo Cov				NCAVC / VI - CAP		•	Vict-Witn Coor		
A, B, C, D	30 90	4450	<u> </u>	_	Elsur / FISC	<u> </u>	1	Polygraph	_	_		Crim/NS Intel Asst			IO Wanted Flyer		
Task Force	Assisting Agents	Soc. Sec. No. ×	<b> </b>		Elsur / T. III			Search Wa	arrant	_		Crisis Neg Fed.			SARs		
	1	-	<b> </b>	_ '	Eng. Field Spt	_	,	Show Money		_		Crisis Neg. • Local			CART		
<u> </u>		<b> </b>	_	Eng. Tape Ex	<u> </u>		SOG Asst.				ERT Asst.		<del> </del>				
	•	-		Legats Asst.	-		Swat Tean		-1		Butte - ITC		<del>                                     </del>				
	•	L	-	Evid Purchase	-		Tech. Ag/E		_	r las	Sav - ITC		<del> </del>				
	Name:		ᆫ	<u> </u>	Inf/CW Info	<u> </u>		Phone Toll	I Rec			Poc - ITC		<u></u>			
A. Complaint / Informatio	n / Indictment	F. Convid	tion						J. (	Civil	Ric	o Matters Date	:: _				
Federal Local					ocal 🗀 Intern	atior	nal		Also Complete "Section G"								
Complaint Date:	_		☐ Federal ☐ Local ☐ International Other Civil Ma							ivil Matters Date	a:						
Check if Civil-Rico Com	plaint 🗀		ludament									_•					
Information Date:	<del>-</del>	l l	Subject Description Code:									•x					
Indictment Date:		i i	For 6F, G, H-Include Agency Code  Felony or Misdemeanor Amount S														
B. Locate/ Arrest		<del></del>   _	Plea or Trial Suspension: Years Month:								ns						
☐ Federal ☐ Local [	International	_	State: Judicial District:														
Subject Priority: A	-							K. Administrative Sanction Date:									
Locate Date:	<b>I</b>	G. U.S. Code Violation						Subject Description Code									
Arrest Date:		Required for sections A,B,F,and J						Type: Length:									
☐ Subject Resisted Arr ☐ Subject Arrested wa	•	(Federal Only) Title Section # Counts ☐ Suspension ☐ Permanent									nt						
		Debarment or															
C. Summons Date:		_								] lr	njun	ction Year		!	Months		
☐ Federal ☐ Loc	al										-			_	1.1		
D. Recovery/Restitution/		L. Asset Seizure Date: 4/3/6															
Federal Local [	] International										Asset Forfeiture Date:						
Recovery Date:			H. Sentence Date:							CATS # Mandatory 6/-FBI- @2228							
Code •✓ Amou		_   Conton	Sentence Type:										•				
Code •✓ Amount \$		— In Iail·	In Jail: Years Months Months Asset Forfaiture														
Restitution Date:	i Suspei	Suspended: Years Months Asset Forfeiture - Civil Judicial  Probation: Years Months Asset Forfeiture - Criminal									<sup>11</sup>						
I Code ● √ Amount €			Probation. TeatsWioritis									n D					
	PELP Date: Fines:																
Code •✓ Amou	·ion(	nicm	antiamanti				M. <i>A</i>	\cai	uitta	al / Dismissal / F	ret <sup>°</sup>	rial I	Diversion				
			ion/Dismantlement:						· ·								
Defended DT 1. DO			ion Date:						Acquittal Date:								
Number of Hostages:				tlement Date:					Dismissal Date:								
Child Located Date: Comple					ion of FD-515a Side 2 Mandatory Pretrial Diversion Date:												
N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).																	
Name					<u> </u>		e •	Sex	Date of Birth   Social Security No. (if available)								
For Indictments/Convictions onl					<u> </u>						L 1-	a an Marada a			Crimo Cross		
Subject related to an LCN Complete FD-515a, Side	I Blocks A-E manda	atory, F-H as approp	riate.		, ,-			,					_				
Subject related to an OC/Drug Organization, a VCMO Program National Gang Strategy target group, or a VCMO Program National Priority Initiative target group - Complete FD-515a, Side 1 Blocks A-C only.																	

x Additional information may be added by attaching another form or a plain sheet of paper for additional entries.

See codes on reverse side.
 Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

Serial No. of FD-515

#### SENSITIVE / UNCLASSIFIED

Case Nur	mber:	194B-BS-81295
Serial	No.:	

Stat Agent Name: Stat Agent SOC.: Report Date: 05/16/2001 Accom Date:: 04/03/2001

b6

b7C

b7E

Task Force

Does Accomplishment Involve Assisting Agents SOC Subject Name ------Drugs . . . . . . . . . . . . . . . N A Fugitive. . . . . . . . . . . . N Bankruptcy Fraud. . . . . . . . N Computer Fraud/Abuse. . . . : N RΑ Squad Corruption of Public Officials: Y Money Laundering. . . . . . .  $\aleph$ **PROV** P1 1 = Used, but did not help Sub. Invest. Asst by Other FOs: 2 = Helped, Minimally 3 = Helped, Substantially Investigative Assistance or Technique Used 4 = Absolutely Essential FINAN ANALYST LAB DIV EXAMS UCO-GROUP I FT. MON-NRCSC AIRCRAFT ASST LAB FIELD SUP UCO-GROUP II FOR LANG ASST

COMPUTER ASST PEN REGISTERS UCO-OTHER CONSEN MONITR PHOTO COVERGE NCAVC/VI-CAP ELSUR/FISC POLYGRAPH CRIM/NS INTEL SRCH WAR EXEC ELSUR/III CRIS NEG-FED ENG FIELD SUP SHOW MONEY CRIS NEG-LOC ENG TAPE EXAM SOG ASST ERT ASST LEGATS ASST. SWAT TEAM BUTTE-ITC EVIDNCE PURCH TECH AG/EQUIP SAVANNAH-ITC INFORMANT/CW TEL TOLL RECS POC-WRCSC

FT. MON-NRCSC
FOR LANG ASST
NON FBI LAB EX
VICT-WITN COOR
IO WANTED FLYR

SARS CART

TYPE OF SEIZURE: CRIMINAL

DATE OF ACCOMPLISHMENT: 20010403

CATS #: 01FBI002228

Accomplishment Narrative

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SEIZURE OF VOCCOLA BUILDING AT 425 WASHINGTON STREET

SENSITIVE / UNCLASSIFIED

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE  Date: 08/22/2001  To: Boston  Providence RA Contact:  Approved By:  Drafted By:  Case ID #: 194B-BS-81295 (Pending)  Title: OPERATION PLUNDER DOME; CSLPO  Synopsis: To return evidence and remove from inventory.  Enclosures: One FD-597, receipt for property.  Details: On 08/17/2001, SA Teturned a cell phone to Tit is requested that item 194B-BS-81295- 1B80 be removed from evidence.
From: Boston  Providence RA Contact:  Approved By:  Drafted By:  Case ID #: 194B-BS-81295 (Pending)  Title: OPERATION PLUNDER DOME; CSLPO  Synopsis: To return evidence and remove from inventory.  Enclosures: One FD-597, receipt for property.  Details: On 08/17/2001, SA returned a cell phone to to the property.  It is requested that item 194B-BS-81295-
Providence PA Contact:  Approved By:  Drafted By:  Case ID #: 194B-BS-81295 (Pending)  Title: OPERATION PLUNDER DOME; CSLPO  Synopsis: To return evidence and remove from inventory.  Enclosures: One FD-597, receipt for property.  Details: On 08/17/2001, SA returned a cell phone to requested that item 194B-BS-81295-
Drafted By: :jc (Pending)  Case ID #: 194B-BS-81295 (Pending)  Title: OPERATION PLUNDER DOME;
Title: OPERATION PLUNDER DOME; CSLPO  Synopsis: To return evidence and remove from inventory.  Enclosures: One FD-597, receipt for property.  Details: On 08/17/2001, SA returned a cell phone to returned item 194B-BS-81295-
CSLPO  Synopsis: To return evidence and remove from inventory.  Enclosures: One FD-597, receipt for property.  Details: On 08/17/2001, SA returned a cell phone to returned item 194B-BS-81295-
Enclosures: One FD-597, receipt for property.  Details: On 08/17/2001, SA returned a cell phone to returned item 194B-BS-81295-
Details: On 08/17/2001, SA returned a cell phone to returned a cell phone
to It is requested that item 194B-BS-81295-

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Page	of	

# UNITED STATES DEPARTMENT OF JUSTICE FEDERAL BUREAU OF INVESTIGATION Receipt for Property Received/Returned/Released/Seized

On (date)	10/27/2001	item(s) listed below were:  Received From Returned To Released To Seized
(Name)		
(City)		•
Description of Item	(s):	
	Nokia cell Phone C	
$\overline{}$		
		•
		· · · · · · · · · · · · · · · · · · ·
	<u> </u>	
******		

5 , 3 A

FD-515 (Rev. 8-1-00)
Squad supervisor approval (please initial)

Accomplishment Report
(Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

Date Prepared
Date Loaded
Data Loader's Initials

Accomplishment involves:										Data Loade	rs init	iais .		
(check all that apply)  Drugs  A Fugitive  Bankruptcy Fraud	File Num  /94 B-B5 -  Stat Agent So	1-Used, but did not help 3 - Helped, substantially 2 - Helped, minimally 4 - Absolutely essential												
In	Clair / igent Got	2. CCC. NO.										ite F		
Computer Fraud/Abuse Corruption of Public Officials		***			Fin. Analyst		Lab. Div	. Exar	n	UCO - Group I			Ft. Mon i	
Money Laundering	Stat Agent	Name			Aircraft Asst.		Lab. Fie	ld Sur	,	UCO - Group I			For. Lang	Asst.
Sub Invest Asst by FO (s)					Computer	ľ	Pen Re	aisters		UCO - Nat. Ba			Non FBI L	_
	RA	Squad	•		Consen Mon.	╁╴	Photo C			NCAVC / VI - C			Vict-Witn	
Asst. FO(s),,,,	3090	4450	-	1	Elsur / FISC	<del>                                     </del>	Polygra							
A, B, C, D			-	<del> </del>	<del></del>	$\vdash$		_		Crim/NS Intel A	-	-	IO Wante	3 Fiyen
Task Force	Assistina Agents Soc	Sec. No. X	$\vdash$	_	Elsur / T. III	$\vdash$	Search \	_	IE]	Crisis Neg Fe			SARs	
					Eng. Field Spt.	<u> </u>	Show M	<u> </u>	-	Crisis Neg Lo	cal		CART	
	Name:		<u> </u>	-	Eng. Tape Ex		SOG As			ERT Asst.	$\perp$	<del> </del>		b6
	2		<u> </u>		Legats Asst.	_	Swat Te	am		Butte - ITC	$\bot$	↓_		—ъ7с
				<u> </u>	Evid Purchase	L_	Tech. Ag	/Equip	).	Sav - ITC				_b7E
	Name:				Inf/CW Info		Phone T	oll Re	c .	Poc - ITC		<u> </u>		
A. Complaint / Informatio	n / Indiatment	F 0	••••						Civil D	ico Matters D	oto:			
<b>!</b>		F. Convic						ľ				-	<u></u>	-
Federal Local		☐ Fede	ral	□ Lo	ocal 🗌 Interna	ation	nal-			•	Section G"			
Complaint Date:		Convic	tion I	Date:	<u></u>		<del></del>			Civil Matters E				-
Check if Civil Rico Comp		Subject	Desc	criptic	on Code:	_•(	)•			ent				
Information Date:		1			ude Agency Co		·/		Judicia	Judicial Outcomex				
Indictment Date:	· _ · · · · · · · · · · · · · · · · · ·	☐ Felo			or 🔲 Mise		neanor	İ	Amoun	t \$				,
B. Locate/ Arrest		_ ☐ Plea	•		or 🔲 Tria			l	Susper	nsion: Years _	1	Vont	:hs	_
Federal Local	☐ International	1 -			Judicial Distric									
Subject Priority: A						J		. ĸ	. Admin	istrative Sanc	tion D	ate:		_
Locate Date:		G. U.S. Co	de V	iolati	ion			ì	Subject	Description C	ode		•	_
Arrest Date:		Require	d for	section	ons A,B,F,and	J		1	Type:		ength:		_	
☐ Subject Resisted Arre	est	(Federa	al Only)					Suspension Permanent						
☐ Subject Arrested was	s Armed		Section # Counts										ĺ	
C C		<del>-/-8</del> -							Debarment or					
C. Summons Date: Loca								☐ Injunction Year Months						
	aı 				<del> </del>									
D. Recovery/Restitution/F	PELP X		L. Asset Seizure						Seizure Date:				-	
☐ Federal ☐ Local ☐	] International			-		,		1		Forfeiture Date				-
Recovery Date:		H Santan	ence Date:						CATS # Mandatory					
Code •✓ Amour	nt \$		ce Type: $5, 75$					Check one of the three:						
Code •✓ Amour	nt \$	In Jail:							☐ Asset Forfeiture - Administrative					
Restitution Date:			ded: Years Months						Asset Forfeiture - Civil Judicial					
Court Ordered	Pretrial Diversion	Probatio							☐ Asset Forfeiture - Criminal					
Code •✓ Amour PELP Date:	nt \$	Fines:		\$	100				Do not	indicate \$ valu	\$ value in Section D			
Code •✓ Amour														
OodeV Allioui	п ф	l. Disrupt	ion/E	)isma	antlement:			М	. Acquitt	tal / Dismissal	/ Pret	trial	Diversion	
E. Hostage(s) Released D		Disruption	on Da	ate: _				İ	Acquitts	al Data:				
Released by:   Terroris		Dismant	leme	ent Da	ate:					Acquittal Date:				
Number of Hostages:														
Child Located Date:		Comple	Completion of FD-515a Side 2 Mandatory Pretrial Div								<u>'- — </u>			_
N. Subject Information (Re	equired for all Section	s excluding S	ectio	on D (	Recovery/PEI	.P).	Section E (I	losta	ge), Sect	tion I, and Sec	tion L	.).		b6
	Name								te of Birth				(if available	b7C
					<u> </u>									
For indictments/Convictions only								_	•			—		<b>—</b>
Subject related to an LCN, Complete FD-515a, Side 1	Asian Organized Crimo	AOC), Italian C	rgani	ized C	Crime (IOC), Ru	ssia	n/Eastern Eur	opear	, Caribbe	an, or Nigerian	Organi	zed (	Crime Grou	ρ-
I Subject related to an OC/Di	rug Organization, a VCM	n as appropri O Program Nat	ate. ional	Gano	Strategy target	t gro	up, or a VCM	O Pro	gram Nati	onal Priority Init	iative t	large	t group -	
Complete FD-515a, Side 1	Blocks A-C only.													
<ul> <li>X Additional information may be</li> <li>See codes on reverse side.</li> </ul>	pe added by attaching a	other form or a	plair	n shee	et of paper for a	ddit	ional entries.			}-	Seri	al N	lo. of FD-5	15
<ul> <li>Requires that an explanation</li> </ul>	n be attached and loade	d into ISBAA fo	r reco	)Ven/	over \$1m and F	PEI I	P over \$5m				22	*		
-		101 /// 10		- v 61 y	Oron with and r		. 0.01 <b>ψ</b> 0111.			L.		<i>-</i>		

influming or experiency

#### For Further Instructions See: MAOP, Part II, ctions 3-5 thru 3-5.3.

#### PROPERTY CODES

٥1 Cash

Stocks, Bonds or Negot. Instruments

General Retail Merchandise

04

Heavy Machinery & Equipment 05

06 Aircraft

07 Jewelry

Vessels

09 Art, Antiques or Rare Collections

11 Real Property

All Other

#### SENTENCE TYPES

Capital Punishment

Jail Sentence

Life Parole LP

Life Sentence LS

No Sentence (Subject is a Fugitive, Insane, has Died, or is a

Corporation)

PB Probation

Suspension of Jail Sentence

Youth Correction Act

#### PELP CODES

22 Counterfeit

Stocks/Bonds/Currency/ Negotiable Instruments

Counterfeit/Pirated Sound

Recordings or Motion Pictures

Bank Theft Scheme Aborted

Ransom, Extortion or Bribe Demand Aborted

Theft From or Fraud Against 26

Government Scheme Aborted Commercial or Industrial

Theft Scheme Aborted

30 All Other

#### RACE CODES

Asian/Pacific Islander

Black

Indian/American

u Unknown

w White

Nonindividual

#### AGENCY CODES

Air Force Office of Special Investigations **AFOIS** 

**ACIS** Army Criminal Investigative Service

BATF Bureau of Alcohol, Tobacco & Firearms

BIA Bureau of Indian Affairs

Defense Contract Audit Agency DCAA

Defense Criminal Investigative Service **DCIS** 

DEA Drug Enforcement Administration

Department of Corrections DOC

DOI Dept. of Interior

Environmental Protection Agency **EPA** 

FAA Federal Aviation Administration

Food and Drug Administration **FDA** 

HHS Dept. of Health & Human Services

HUD Dept. of Housing & Urban Development

Immigration and Naturalization Service INS IRS Internal Revenue Service

NASA Nat'l Aeronautics & Space Admin

NBIS Nat'l NARC Border Interdiction

Naval Criminal Investigative Service NCIS

**RCMP** Royal Canadian Mounted Police

Small Business Administration SBA

USBP U.S. Border Patrol

USCG U.S. Coast Guard

USCS U.S. Customs Service

USDS U.S. Department of State

USMS U.S. Marshals Service U.S. Postal Service USPS

Known Member of a

or Sympathizer

UNION MEMBERS

President

Treasurer

5E 5F

5G 5H

51

53

5K

5L

5M

5N

5P

5Q Clerk

5S

5T

5U Other

Vice-President

**Business Agent** 

Representative

Financial Secretary

Office Manager

Shop Steward

Member

Trustee

Recording Secretary

Organizer Business Manager

Secretary/Treasurer

**Executive Board Member** 

Terrorist Organization

Possible Terrorist Member

USSS U.S. Secret Service

USTR U.S. Treasury

LOC Local

CITY City

COUN County ST State

OTHR Other

**TERRORISTS** 

#### SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME SUBJECTS

1F

Underboss 1G

1H Consigliere

Acting Boss 1.1

1K Capodecina

Soldier

#### KNOWN CRIMINALS

Top Ten or I.O. Fugitive

Top Thief

2C Top Con Man

#### FOREIGN NATIONALS

Legal Alien 3A

Illegal Alien 3B

Foreign Official W/out 3C

**Diplomatic Immunity** 

3D U.N. Employee W/out

Diplomatic Immunity

Foreign Student 3E

3F All Others

#### **OTHERS**

All Other Subjects 8A

8B Company or Corporation

#### JUDGMENT CODES

Consent Judgment

CO Court Ordered Settlement

Default Judgment

DI Dismissal

Judgment Notwithstanding IN

MV Mixed Verdict

SJ Summary Judgment

VD Verdict for Defendant

Verdict for Plaintiff

### JUDICIAL OUTCOME

AG Agreement

BR Barred/Removed

Civil Contempt CC

DC Disciplinary Charges

FI Fine

PΙ Preliminary Injunction

Temporary Restraining Order PR

PS Pre-filing Settlement

Restitution

SP Suspension

Voluntary Resignation VR

Other

#### SUBJECT PRIORITY

Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five

Subject wanted for crimes involving loss of destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.

All other subjects.

#### GOVERNMENT SUBJECTS (6F,6G,6H- Include Agency Code)

6A Presidential Appointee 6B U.S. Senator/Staff

U.S. Representative/Staff

Federal Judge/Magistrate

Federal Prosecutor 6E

Federal Law Enforcement Officer 6F

Federal Employee - GS 13 & Above

Federal Employee - GS 12 & Below 6J Governor

6K Lt. Governor

61. State Legislator

State Judge/Magistrate

State Prosecutor State Law Enforcement Officer 6P

State - All Others 60

6R Mayor Local Legislator

Local Judge/Magistrate 6T

Local Prosecutor

Local Law Enforcement Officer

Local - All Others

County Commissioner

City Councilman

#### BANK EMPLOYEES

7A Bank Officer

7B Bank Employee

(01/26/1998)

# FEDERAL BUREAU OF INVESTIGATION

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b6 b7C

ROUTINE	Date:	05/03/2002
/Providence RA tact: SA		
m 3 m		
25,703		
4B-BS-81295 (Pending)		
TION PLUNDER DOME		
spicious fire		
responded to a suspicious fire at the later have been set in retaliation		rom believed that
Present at the scene were Pr		ladvised chac
eport on this matter would be	forward	ed to the FBI.
	1948-6	89 - 8129 F - 225 EFIR
	ATION PLUNDER DOME  April 30, 2002, SA's responded to a suspicious fire at have been set in retaliation Present at the scene were Principle.	/Providence RA ttact: SA  W 5000  PAB-BS-81295 (Pending)  ATION PLUNDER DOME  April 30, 2002, SA's  responded to a call finate bar at the scene were Providence  Export on this matter would be torward.

123GRG01.EC

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE	Date:	05/20/2002
To: Boston		
From: Boston Providence RA Contact:		
Approved By:		
Drafted By: :jc		
Case ID #: 194B-BS-81295 (Pending)		
Title: OPERATION PLUNDER DOME; CSLPO		
Synopsis: To report contact with		
Details: advised that while drove next to him and made rude and hard obtained the vehicle registration,	le jogging assing com	two wh <u>ite ma</u> les ments.
A query into the Department of that the vehicle a black 1990 Buick, is	E Motor Vel	hicles, revealed ed to
(no wants or warrants).		
A ROMAN TO THE ROMAN THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO THE ROMAN TO		
The state of the s	, t	948-89-81295-326
	*	e en en en en en en en en en en en en en
	•	:EFP
_	<b>4</b>	5/24/02

b6 b7C

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b6 b7C

1

b3 b6 b7C

04/30/2002

An individual, who is not in the position to testify, provided the following information:

Case ID : Serial : 227
194B-BS-81295-302
599

# FD-515 (Rev. 8-1-00) Squad supervisor approval (please initial)

Accomplishment Report
(Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

Date Prepared
Date Prepared State Date Loaded State 25
Data Loader's Initials

(prease initial)							Data Loader	s Initials _	gmB		
Accomplishment involves: (check all that apply) File Numb	per	<u> </u>		In	vestinative	Assistance					
Drugs   1948.85-8		Investigative Assistance or Technique Used 1-Used, but did not help 3 - Helped, substantially									
A Fugitive	3 27 3	<u> </u>	2 -Help	olutely esse							
Bankruptcy Fraud Stat Agent Soc	. Sec. No.	1					A,B,C,D for corr				
Computer Fraud/Abuse		Rate FO	Fin. Analyst	Rate FO	IAT Lab. Div. E	Rate FO	UCO - Group I	Rate FC	Ft. Mon ITC		
Corruption of Public Officials Stat Agent 1	Vame	4			Lab. Field S	<del>-</del>		-			
Worley Laundening	vaino :		Aircraft Asst.			<del></del> -	UCO - Group II		For. Lang Asst.		
Sub Invest Asst by FO (s)			Computer		Pen Regist		UCO - Nat. Baci	-1	Non FBI Lab Ex		
Asst. FO(s),,,	Squad		Consen Mon.		Photo Cove	<u>r.</u>	NCAVC / VI - CA	-	Vict-Witn Coor		
A, B, C, D	<i>P-</i> /		Elsur / FISC		Polygraph	_	Crim/NS Intel As	-	IO Wanted Flyer		
Task Force Assisting Agents Soc.	Sec. No. X	A	Elsur / T. III		Search War		Crisis Neg Fed		SARs		
			Eng. Field Spt.		Show Mone	y	Crisis Neg Loc	al	CART 1		
			Eng. Tape Ex		SOG Asst.		ERT Asst.	4	b7		
			Legats Asst.		Swat Team	_	Butte - ITC	_	b7		
			Evid Purchase		Tech. Ag/Ed	uip	Sav - ITC	_			
			Inf/CW Info		Phone Toll	Red	Poc - ITC				
A. Complaint / Information / Indictment	F. Convic	tion				J. Civil Ri	co Matters Da	te:			
	' ' ' ' ' ' '						mplete "Section		i		
☐ Federal ☐ Local ☐ International			ocal   Interna				ivil Matters Da		_ [		
Complaint Date:	į.		: 424		_		nt				
Check if Civil Rico Complaint ☐	Subject	Description	on Code:	_•(	_)•		Outcome				
Information Date:	For 6F,	G, H-Incl	ude Agency Co	de					i		
Indictment Date:			or - 🔲 Mis				\$				
B. Locate/ Arrest	☐ Plea	-	or   Tria  Judicial Distri	ıl _		Súspens	sion: Years	Month	18		
☐ Federal ☐ Local ☐ International	State: _	ドレ	_Judicial Distri	ot: <u> <b>K_1</b></u>							
Subject Priority: ☐ A ☐ B ☐ C							strative Sancti				
Locate Date:	G. U.S. Co						Description Co		<b>-•</b>		
Arrest Date:	Hequire (Federa		ions A,B,F,and	J		Type: Length:					
<ul><li>☐ Subject Resisted Arrest</li><li>☐ Subject Arrested was Armed</li></ul>	Title		ection	# Counts		☐ Suspension ☐ Permanent					
Cubject Affected was Affiled	_18		19628			☐ Deba	arment	or			
C. Summons Date:	18		562 c.	1		🔲 Injun	ction Ye	ar!	Months		
☐ Federal ☐ Local	18		371	1	⊨						
D. Recovery/Restitution/PELP X	18	<u> </u>	19514	3		L. Asset S	eizure Date: _				
☐ Federal ☐ Local ☐ International						Asset F	orfeiture Date	:			
Recovery Date:	١., .	<b>-</b> .				CATS#	Mandatory _				
Code •						Check o	ne of the three:	:			
Code ●✓ Amount \$	In Jail:	o Type. Vo	arsM	onths		☐ Asşe	et Forfeiture - A	dministrat	ive		
Restitution Date:			ars M			☐ Asse	et Forfeiture - C	ivil Judicia	al		
☐ Court Ordered ☐ Pretrial Diversion	Probation		ars M				et Forfeiture - C				
Code • Amount \$	Fines:						ndicate \$ value		n D		
PELP Date: ✓ Amount \$		· ,									
	l. Disrupt	ion/Dism	antlement:			M. Acquitte	al / Dismissal /	Pretrial I	Diversion		
E. Hostage(s) Released Date:	Disrupti	on Date:			_	Acquitta	l Date:				
Released by: Terrorist Other	Disman	tlement D	ate:		_	•	al Date:				
Number of Hostages:	i		)-515a Side 2 I			Pretrial I	Diversion Date:				
Child Located Date:	<u> </u>							<del></del>	b6		
N. Subject Information (Required for all Section									b70		
Name				Race • I	Sex	Date of Birth	Social Sec	curity No.	(if available)		
4											
For Indictments/Convictions only: Subject related to an LCN, Asian Organized Crime	(AOC) Italian (	)rnanizod	Crime (IOC) Po	ssian/Ear	stern Europ	an. Caribbe	an, or Nigerian C	rganized (	Crime Group -		
Complete FD-515a, Side 1 Blocks A-E mandatory, t	F-H as appropri	iate.									
Subject related to an OC/Drug Organization, a VCN Complete FD-515a, Side 1 Blocks A-C only.	IO Program Na	tional Gan	g Strategy targe	t group, o	ra vcmo i	rogram Natio	onal Priority Initia	auve targe	r group -		
x Additional information may be added by attaching at	nother form or a	a plain she	et of paper for a	dditional	entries.			Serial N	lo. of FD-515		

See codes on reverse side.

Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

#### Sections 3-5 thru 3-5.3. For Further Instructions See: MAOP, Pal

#### PROPERTY CODES

- 01 Cash
- Stocks, Bonds or Negot. Instruments 02
- General Retail Metchandise
- Vehicles
- Heavy Machinery & Equipment 05
- 06 Aircraft
- 07 Jewelry
- 08 Vessels
- 09 Art, Antiques or Rare Collections
- 11 Real Property
- All Other

#### SENTENCE TYPES

- Capital Punishment
- Jail Sentence
- Life Parole LP
- Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a Corporation)
- PR Probation
- Suspension of Jail Sentence
- YC Youth Correction Act

#### PELP CODES

- 22 Counterfeit
  - Stocks/Bonds/Currency/
- **Negotiable Instruments** Counterfeit/Pirated Sound
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- Ransom, Extortion or Bribe **Demand Aborted**
- Theft From or Fraud Against 26
- Government Scheme Aborted 27 Commercial or Industrial
- Theft Scheme Aborted
- All Other

#### ORGANIZED CRIME **SUBJECTS**

- 1F Boss
- Underboss 1G
- Consigliere 1H
- IJ Acting Boss
- Capodecina 1K
- 1L Soldier

#### KNOWN CRIMINALS

- Top Ten or I.O. Fugitive
- 2B Top Thief
- 2C Top Con Man

#### FOREIGN NATIONALS

- 3A Legal Alien
- Illegal Alien 3B
- Foreign Official W/out 3C
  - Diplomatic Immunity
- 3D U.N. Employee W/out Diplomatic Immunity
- 3E Foreign Student
- 3F All Others

## **OTHERS**

- All Other Subjects
- 8B Company or Corporation

#### RACE CODES

- Asian/Pacific Islander A
- Black В
- Indian/American
- Ħ Unknown
- w White
- х Nonindividual

## AGENCY CODES

- Air Force Office of Special Investigations **AFOIS**
- **ACIS** Army Criminal Investigative Service
- Bureau of Alcohol, Tobacco & Firearms BATF
- Bureau of Indian Affairs BIA
- DCAA Defense Contract Audit Agency
- Defense Criminal Investigative Service DCIS DEA Drug Enforcement Administration
- Department of Corrections DOC
- Dept. of Interior DOI
- Environmental Protection Agency **EPA**
- Federal Aviation Administration FAA
- FDA Food and Drug Administration
- Dept. of Health & Human Services HHS
- Dept. of Housing & Urban Development HUD
- Immigration and Naturalization Service INS
- Internal Revenue Service IRS
- NASA Nat'l Aeronautics & Space Admin
- Nat'l NARC Border Interdiction **NBIS**
- Naval Criminal Investigative Service NCIS
- Royal Canadian Mounted Police **RCMP**
- Small Business Administration SBA
- USBP U.S. Border Patrol
- USCG U.S. Coast Guard
- USCS U.S. Customs Service
- U.S. Department of State USDS
- U.S. Marshals Service
- USMS USPS U.S. Postal Service
- U.S. Secret Service USSS
- USTR U.S. Treasury
- LOC Local
- CITY City
- COUN County
- ST State
- OTHR Other

# SUBJECT DESCRIPTION CODES

#### TERRORISTS

- Known Member of a
  - Terrorist Organization
- Possible Terrorist Member
  - or Sympathizer

#### UNION MEMBERS

- President
- Vice-President 5E
- 5F Treasurer
- Secretary/Treasurer 5G
- **Executive Board Member** 5H
- 5I **Business Agent**
- Representative 5J Organizer
- 5K Business Manager 51.
- Financial Secretary 5M
- 5N Recording Secretary Office Manager 5P
- 50 Clerk
- Shop Steward 5R
- 5S Member
- 5T Trustee
- Other 5U

#### JUDGMENT CODES

- Consent Judgment
- Court Ordered Settlement co
- Default Judgment
- Diśmissal 🔭
- Judgment Notwithstanding JN
- Mixed Verdict MV
- Summary.Judgment ·SI
- VD Verdict for Defendant
- Verdict for Plaintiff

#### JUDICIAL OUTCOME

- AG Agreement
- Barred/Removed
- Civil Contempt CC
- DC Disciplinary Charges
- Fine FI
- Prefiminary Injunction PΙ
- Temporary Restraining Order PR
- Pre-filing Settlement PS
- Restitution RN
- Suspension SP
- Voluntary Resignation VR
- OT Other

# SUBJECT PRIORITY

vears

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

#### GOVERNMENT SUBJECTS (6F,6G,6H- Include Agency Code)

- 6A Presidential Appointee
- U.S. Senator/Staff 6B 6C U.S. Representative/Staff
- Federal Judge/Magistrate 6D
- Federal Prosecutor 6E
- Federal Law Enforcement Officer
- Federal Employee GS 13 & Above 6G
- Federal Employee GS 12 & Below 6H
- 6J Governor
- Lt. Governor 6K
- 6L State Legislator State Judge/Magistrate
- 6M State Prosecutor 6N
- State Law Enforcement Officer 6P
- State All Others
- 6Q
- 6R Mayor
- 6S Local Legislator 6T Local Judge/Magistrate
- Local Prosecutor 6U Local Law Enforcement Officer 6V
- Local All Others 6W
- County Commissioner 6X City Councilman

# BANK EMPLOYEES

- Bank Officer
- Bank Employee

# SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295 Serial No.:	Stat Agent Name: Stat Agent SOC.:		Repor Accom	D2 b6	
Does Accomplishment Involve  Drugs	•	Assist	ing Agents SOC	RA Squad	Name b76  Name b76  Task Force
Sub. Invest. Asst by Other FOs:  Investigative Assistance or	Technique Used		2 = Helped, 3 = Helped,	ut did not help Minimally Substantially ely Essential	
FINAN ANALYST  AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP SHOW MONEY ENG TAPE EXAM SOG ASST LEGATS ASST. EVIDNCE PURCH INFORMANT/CW LAB DIV EXAMS LAB DIV EXAMS LAB DIV EXAMS LAB FIELD SUP PHOTO COVERGE POLYGRAPH SRCH WAR EXEC SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP TEL TOLL RECS	UCO-GROUP II FOR L UCO-OTHER NON F NCAVC/VI-CAP VICT-	ON-NRCSC ANG ASST BI LAB EX WITN COOR NTED FLYR	4 - Absolut		ь71
Federal, Local, or International (F/L) Felony or Misdemeanor (F/M)	/I)				b7
Plea or Trial (P/T) Judicial State		I I			
	Title Section	Counts	Form FD-515a:	_	
	18 1962D 18 1962C 18 371 18 1951A	1 1 2 3	Subject's Role	· <del>-</del>	
	Accomplishment N	larrative			

WAS CONVICTED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND ON ONE COUNT EACH IN VIOLATION OF TITLE 18, U.S.C., SECTIONS 1962(D) AND 1962(C), 2 COUNTS IN VIOLATION OF TITLE 18, U.S.C. SECTION 371 AND THREE COUNTS IN VIOLATION OF TITLE 18, U.S.C., SECTION 1951(A)

b6 b7C (Fev. 8-1-00) Squad supervisor approval (please initial)

Accomplishment Report
(Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

Date Prepared 8 kl 12002

Accomplishment involves:									Data Loader	's Initials -	gines.			
(check all that apply)	File Numb		1			_	ve Ass	sistance c	or Technique					
Drugs   A Funitive	194 B. B5-81	295			, but did no ed, minima	•				oed, substai olutely esse				
A Fugitive   Bankruptcy Fraud	Stat Agent Soc	Sec. No.		For Sub. Invest. Assist. by other FO (s) Indicate A,B,C,D for correspond							FO ,			
Computer Fraud/Abuse			Rate FO	IAT	Rate FO	<del></del>		Rate FO	IAT	Rate FC				
Corruption of Public Officials				Fin. Analyst		Lab. Div.	Exam	Ľ	UCO - Group I		Ft. Mon ITC			
Money Laundering	Stat Agent N	ame i	ł	Aircraft Asst.		Lab. Fiel	d Sup	Į.	UCO - Group II		For. Lang Asst.			
Sub Invest Asst by FO (s)				Computer		Pen Reg	_		UCO - Nat. Bac		Non FBI Lab Ex			
Asst. FO(s),,,		Squad		Consen Mon.		Photo Co	over.	ļ!	NCAVC / VI - C	AP	Vict-Witn Coor			
A, B, C, D	PROU P			Elsur / FISC		Polygrap			Crim/NS Intel A	_	IO Wanted Flyer			
Task Force	Assisting Agents Soc.	Sec. No. ×		Elsur / T. III		Search V	/arrant	- F	Crisis Neg Fe		SARs			
				Eng. Field Spt.		Show Mo	<u> </u>	<u> </u>	Crisis Neg Lo	cal	CART b6			
				Eng. Tape Ex		SOG Ass	st.		ERT Asst.	_	b70			
				Legats Asst.		Swat Tea		9	Butte - ITC		b7E			
				Evid Purchase		Tech. Ag	Equip.	<u> </u>	Sav - ITC					
				Inf/CW Info		Phone To	oll Rec		Poc - ITC					
A. Complaint / Information	ı / Indictment	F. Convict	ion				J.	Civil Rice	o Matters Da	ate:				
☐ Federal ☐ Local ☐				ocal 🔲 Interna	tiona!			Also Com	nplete "Sectio	n G"				
Complaint Date:	·					i		Other Ci	vil Matters D	ate:				
Check if Civil Rico Comp	_	Convict	ion Date:		0,000	_	,	Judgmen	t		• b71			
Information Date:		<u> </u>							Outcome		l l			
Indictment Date:				ude Agency Co				Amount \$						
	*	Felor	-	_	demeand	or	Suspension: Years Months							
B. Locate/ Arrest	3 I I.	☐ Plea	RT	or 📋 Tria Judicial Distric	". Da	r								
☐ Federal ☐ Local ☐ Subject Priority: ☐ A [	-	State:	<u> </u>	Judicial Distric	ot: <u>/&gt;-</u>	<u></u>	K	Administ	trative Sanct	ion Date:				
Locate Date:		G. U.S. Co	de Violati	ion			Subject Description Code							
Arrest Date:			Required for sections A,B,F,and J						Type: Length:					
☐ Subject Resisted Arre	est	(Federal Only)						Suspension Permanent						
Subject Arrested was	Armed	Title Section # Counts						☐ Suspension ☐ Permanent						
0.0	7-1	18 1952 2					☐ Injunction Year Months							
C. Summons Date:						_	1	injunc	aion re	al i	Wortens			
								Accet Co	irura Datas					
D. Recovery/Restitution/P				<del> </del>			l		izure Date: _ rfeiture Date					
☐ Federal ☐ Local ☐			·····	1 .										
		H. Sentence Date: \$\frac{9}{21}6^2						CATS # Mandatory Check one of the three:						
Code Amoun	it \$ it \$	Sentence Type: ************************************						Asset Forfeiture - Administrative						
Restitution Date:		In Jail:			onths 💇		`		Forfeiture - C		1			
☑Court Ordered ☐ F		Suspend			onths		•		Forfeiture - C					
Code • 30 ✓ Amoun	t \$ 50 000	Probatio Fines:		ars <b>53</b> M	ontns <u>U</u>			_	dicate \$ value		n D			
PELP Date:		1-11105.	Φ-73	0,000										
Code • Amoun	t \$	I. Disrupti	on/Disma	antiement:			М.	Acquittal	/ Dismissal	/ Pretrial I	Diversion			
E. Hostage(s) Released Da	ate:							A	Datas		·			
Released by:   Terroris		•	_	ate:			Acquittal Date: Dismissal Date:							
Number of Hostages:														
Child Located Date:		Completion of FD-515a Side 2 Mandatory Pretrial Diversion Date:							b6					
N. Subject information (Re	quired for all Sections	excluding S	ection D	(Recovery/PEI	_P), Sect	ion E (H	lostag	e), Sectio	on I, and Sect	ion L).	b7C			
	Name				Race • I			of Birth			(if available)			
, <u> </u>														
TOT MOICHMOINS CONVICTIONS ONLY	~								_		-			
Subject related to an LCN, A Complete FD-515a, Side 1	Asian Organized Crime (	AOC), Italian O	rganized ( ate.	Orime (IOC), Ru	ssian/Eas	tern Euro	pean,	Caribbear	ı, <del>ör reigenan c</del>	<del>ziganizeu (</del>	<del>June Group</del> !-			
Subject related to an OC/Dr Complete FD-515a, Side 1 I	rug Organization, a VCM	O Program Nat	ional Gano	g Strategy targe	t group, o	r a VCMi	O Progr	am Natior	nal Priority Initi	ative targe	t group -			
x Additional information may b	<del></del>	other form or a	nlain eho	et of naner for a	dditional	entries			T	Serial N	o. of FD-515			
	of allacining all	omior rollings a	שווט וווטוק ו	or or babor ior a					<u> </u>					

See codes on reverse side.

Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

#### . For Further Instructions See: MAOP, Part 11, Sections 3-5 thru 3-5.3.

#### PROPERTY CODES

- 01 Cash
- 02 Stocks, Bonds or Negot. Instruments
- General Retail Merchandise
- 04
- 05 Heavy Machinery & Equipment
- 06 Aircraft
- 07 Jewelry
- 08 Vessels
- 09 Art, Antiques or Rare Collections
- Real Property 11
- All Other

#### SENTENCE TYPES

- CP Capital Punishment
- Jail Sentence IS
- LP Life Parole
- Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a Corporation)
- PB Probation
- Suspension of Jail Sentence
- Youth Correction Act

#### PELP CODES

- 22 Counterfeit
  - Stocks/Bonds/Currency/
- Negotiable Instruments Counterfeit/Pirated Sound 23
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- Ransom, Extortion or Bribe Demand Aborted
- Theft From or Fraud Against 26 Government Scheme Aborted
- 27 Commercial or Industrial Theft Scheme Aborted
- 30 All Other

#### RACE CODES

- Asian/Pacific Islander A
- В Black
- Indian/American
- U Unknown
- White W
- Nonindividual

## AGENCY CODES

- **AFOIS** Air Force Office of Special Investigations
- Army Criminal Investigative Service ACIS
- Bureau of Alcohol, Tobacco & Firearms BATF Bureau of Indian Affairs
- BIA
- Defense Contract Audit Agency DCAA Defense Criminal Investigative Service DCIS
- Drug'Enforcement Administration DEA
- Department of Corrections DOC
- Dept. of Interior TOO
- Environmental Protection Agency **EPA**
- FAA Federal Aviation Administration
- FDA Food and Drug Administration
- Dept. of Health & Human Services HHS
- Dept. of Housing & Urban Development HID Immigration and Naturalization Service INS
- IRS Internal Revenue Service
- Nat'l Aeronautics & Space Admin NASA
- Nat'l NARC Border Interdiction **NBIS**
- Naval Criminal Investigative Service NCIS
- Royal Canadian Mounted Police RCMP
- Small Business Administration \$BA
- U.S. Border Patrol USBP
- USCG U.S. Coast Guard
- U.S. Customs Service USCS
- U.S. Department of State USDS
- USMS U.S. Marshals Service
- U.S. Postal Service USPS
- USSS U.S. Secret Service
- U.S. Treasury USTR
- LOC Local
- CITY City
- COUN County
- ST State
- OTHR Other

#### JUDGMENT CODES

- Consent Judgment
- Court Ordered Settlement
- Default Judgment DF
- DΪ Dismissal
- Judgment Notwithstanding IN
- Mixed Verdict MV
- Summary Judgment
- VD, Verdict for Defendant
- Verdict for Plaintiff

#### JUDICIAL OUTCOME

- AG Agreement
- Barred/Removed BR
  - CC Civil Contempt
  - DC Disciplinary Charges
  - FI Fine
- PΙ Preliminary Injunction
- PŔ Temporary Restraining Order
- Pre-filing Settlement PS.
- RN Restitution
- SP Suspension
- VR
- Voluntary Resignation
- Other OT

# SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

#### SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME **SUBJECTS**

- 1F
- Boss
- Underboss 16
- lΗ Consigliere Acting Boss IJ
- 1K Capodecina
- Soldier 1L

# KNOWN CRIMINALS

- 2A Top Ten or I.O. Fugitive
- Top Thief
- 2B Top Con Man 2C

#### FOREIGN NATIONALS

- Legal Alien 3A
- 3B Illegal Alien
- Foreign Official W/out 3C
- Diplomatic Immunity
- U.N. Employee W/out 3D **Diplomatic Immunity**
- 3E Foreign Student 3F All Others

# OTHERS,

- All Other Subjects 8A
- 8B Company or Corporation

#### TERRORISTS

- Known Member of a
  - Terrorist Organization
- Possible Terrorist Member or Sympathizer

## UNION MEMBERS

- Vice-President 5E
- 5F Treasurer
- Secretary/Treasurer 5G
- 5H **Executive Board Member**
- **Business Agent** 51 Representative **5**J
- Organizer 5K
- 5L **Business Manager**
- 5M Financial Secretary
- Recording Secretary Office Manager 5P
- Clerk 50 Shop Steward SR.

5N

- 5S Member Trustee 5T
- Other

- GOVERNMENT SUBJECTS (6F,6G,6H- Include Agency Code)
- 6A Presidential Appointee U.S. Senator/Staff 6B
- U.S. Representative/Staff 6C
- Federal Judge/Magistrate 6D
- Federal Prosecutor 6E 6F Federal Law Enforcement Officer
- Federal Employee GS 13 & Above 6G
- Federal Employee GS 12 & Below 6H
- 6J Governor
- 6K Lt. Governor State Legislator 6L
- State Judge/Magistrate 6M
- 6N State Prosecutor
- State Law Enforcement Officer 6P 6Q State - All Others
- 6R Mayor 6S Local Legislator
- Local Judge/Magistrate 6T
- Local Prosecutor 6U
- Local Law Enforcement Officer 6V 6W Local - All Others
- County Commissioner 6X City Councilman

#### BANK EMPLOYEES"

6Y

- **Bank Officer**
- 7B Bank Employee

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09/1	8/2002

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Case Number: 194B-BS-81295 Serial No.:	Stat Agent Stat Agent			1	Report Date: 09/18/2002 Accom Date:: 01/21/2000				
Does Accomplishment Involve			Assist	ing Agents SOC	Subject Name	b7C b7E			
Drugs					RA Squad Task Force				
Sub. Invest. Asst by Other FOs:  Investigative Assistance or	Technique Used			2 = Helped 3 = Helped	out did not help , Minimally , Substantially tely Essential				
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW LAB DIV EXAMS LAB FIELD SUP PEN REGISTERS PHOTO COVERGE POLYGRAPH SRCH WAR EXEC SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP TEL TOLL RECS	UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTE CRIS NEG-FED CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	FOR LANON FI VICT-IO WAI SARS CART	ON-NRCSC ANG ASST BI LAB EX WITN COOR NTED FLYR			b7E			
Date of Conviction (MM/DD/YYYY)		: 0	1/21/2000			b7E			
Federal, Local, or International (F/Felony or Misdemeanor (F/M)  Plea or Trial (P/T)		: F	I						
		Code Viola							
	Title	Section	Counts	Form FD-515a: Subject's Rol	e =				
	18	1952	2						
	Accom	plishment N	arrative						
GUILTY IN U.S. DISTRICT COURT, DISTRI VIOLATION OF TITLE 18, U.S. CODE, SEC		AND, TO 2 C	PLEADED COUNTS IN			ь6 ь7С			

Case Number: 194B-BS-81295 Stat Agent Name: Serial No.: Stat Agent SOC.:		Report Date: 08/27/2002 Accom Date:: 08/21/2002					ь6 ь7с		
Does Accomplish	ment Involve			Assisting	Agents SOC		Subject	Name	b7E
Drugs A Fugitive	: N : N e: N c Officials: N					RA  PROV	Squad  P1	Task Force	
Sub. Invest. Asst by	y Other FOs: ive Assistance or	Technique Used			1 = Used, b 2 = Helped, 3 = Helped, 4 = Absolut	, Minimal , Substar	ly tially		
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW	LAB DIV EXAMS LAB FIELD SUP PEN REGISTERS PHOTO COVERGE POLYGRAPH SRCH WAR EXEC SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP TEL TOLL RECS	UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	FT. MON-N FOR LANG NON FBI L VICT-WITN IO WANTED SARS CART	ASST AB EX COOR	4 - Absolut				b7E
Type of Sentence . Date of Sentencing Federal, Local, or	: 08/21/2002								
Time in Jail: Time Suspended.:	ear Month  3 50000								

SENSITIVE / UNCLASSIFIED

Accomplishment Narrative

SENTENCED IN U.S. DISTRICT COURT TO 3 YEARS PROBATION. IN ADDITION,

WAS FINED \$50,000.00

WAS

b6

b7C

1
D-515 (Rgv. 8-1-00)
Squad supervisor approval (please initial)
(please initial)





Accomplishment Report
(Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

Date	Prepared	1			
Date	Loaded Loader's	_8/0	<u>26 f</u>		
Data	Loader's	Initials	-\$2	<u>M</u>	

(please initial)		WILLIAM	o days nom date or	accomplism	ioni		Data Loader's Initia	Is AMO
Accomplishment involves: (check all that apply)	File Numb	er		11	vestigat	ive Ass	istance or Technique Used	
Drugs	1948-63-81			1-Used, but did not help 3 - Helped, substantially 2 - Helped, minimally 4 - Absolutely essential				
A Fugitive	Stat Agent Soc			For Sub. Invest. Assist. by other FO (s) Indicate A,B,C,D for corres				
Bankruptcy Fraud  Computer Fraud/Abuse	Glat Agent Soc	. 560. 110.	Rate FO IAT	Rata FO	IAT		Rate FO IAT Rate	FO IAT
Corruption of Public Officials			Fin. Anal	/st	Lab. Div	. Exam	UCO - Group I	Ft. Mon ITC
Money Laundering	Stat Agent 1	lame	Aircraft A	sst.	Lab. Fie		UCO - Group II	For. Lang Asst.
Sub Invest Asst by FO (s)			Compute		Pen Reg	_	UCO - Nat. Back	Non FBI Lab Ex
Asst. FO(s),,,	RA	Squad	Consen f		Photo C		NCAVC / VI - CAP	Vict-Witn Coor
A, B, C, D	PROU	P-1	Eisur / FI		Polygrap		Crim/NS Intel Asst	O Wanted Flyer
Task Force	Assisting Agents Soc.	Sec. No. ×	Elsur / T.		Search V		Crisis Neg Fed.	BARs
			Eng. Field		Show Mo		Crisis Neg Local	DART
			Eng. Tap		Swat Te	-	ERT Asst.	b7C
			Legats As Evid Purc		Tech. Ag		Butte - ITC Sav - ITC	ь7Е
			Inf/CW In		Phone T		Poc - ITC	
		!	IIII/O44 III		110110 1	<del>                                     </del>	· · · · · · · · · · · · · · · · · · ·	
A. Complaint / Information		F. Convic	tion			1	Civil Rico Matters Date:	
☐ Federal ☐ Local ☐	•		eral 🗌 Local 🗌 İn			I	Also Complete "Section G"	1
Complaint Date:		Convic	tion Date: <u> </u>	24/02			Other Civil Matters Date:	
Check if Civil Rico Comp	_					į.	Judgment	
Information Date:		For 6F,	G, H-Include Agend	y Code			Judicial Outcome	/ I
Indictment Date:		Felo	ony or 🗌	Misdemean	or	Amount \$		
B. Locate/ Arrest		☐ Plea		Trial	_		Suspension: Years Mo	onths
☐ Federal ☐ Local ☐		State: _	RI Judicial I	District:	<u> </u>	10	Administrative Constian De	· / · /
Subject Priority: A		0 110 01	ala Vialatian			ļ	Administrative Sanction Da	
Locate Date: Arrest Date:			U.S. Code Violation Required for sections A,B,F,and J			i .	Subject Description Code	<del></del> 7 / 1
☐ Subject Resisted Arre		(Federa				Type: Length: /		
☐ Subject Arrested was	Armed	Title	Section	# Counts	3	"	–	ment
O O		18	19620			! -	☐ Debarment or ☐ Injunction Year	Months
C. Summons Date: Loca				<del>- · · · · · · · · · · · · · · · · · · ·</del>		-	injunction	_ MODIUS
				<del></del>		1 /	Asset Seizure Date:	
D. Recovery/Restitution/P					<del></del>		Asset Forfeiture Date:	
☐ Federal ☐ Local ☐ Recovery Date:							CATS # Mandatory	
Code • ✓ Amoun	t \$		ce Date:			1	Check one of the three:	
Code • Amoun	t \$	l	ce Type:,_				☐ Asset Forfeiture - Adminis	trative
Restitution Date:		In Jail:	Yearsded: Years				Asset Forfeiture - Civil Jud	licial
☐ Court Ordered ☐ F		Probatio					Asset Forfeiture - Criminal	
Code • ✓ Amoun		Fines:	\$			ן נ	Do <b>not</b> indicate <b>\$</b> value in Sec	ction D
PELP Date: ✓ Amoun	t \$			* .		N/ /	Acquittal / Dismissal / Pretri	ial Diversion
		1	ion/Dismantlemen			"". 7	roquittar/ Distillestil/ Fielfi	a. Diversion
E. Hostage(s) Released Da Released by: Terroris		-	on Date:			j	Acquittal Date:	l l
Number of Hostages:			tlement Date:			i .	Dismissal Date:	
Child Located Date:		Comple	tion of FD-515a Sid	e 2 Mandato	ory	F	Pretrial Diversion Date:	
		s avaluding S	Section D (Recover	/PEI D\ Soc	tion F /L	lostana	e), Section I, and Section L).	b6
	Name	- carriaging 3	CONON D (NECOVE)	Race •			of Birth Social Security N	
Canada	Alex 7 A	T0		10.7	m			
For Indictments/Convictions only:	iveral A)	14.				4.4	1304/ 037-20	6-5733
Subject related to an LCN, Complete FD-515a, Side 1	Asian Organized Crime (	AOC), Italian (	Organized Crime (IOC	), Russian/Ea	stern Eur	opean, (	Caribbean, or Nigerian Organizo	ed Crime Group -
Subject related to an OC/Dr Complete FD-515a, Side 1		O Program Na	tional Gang Strategy	target group,	or a VCM	O Progra	am National Priority Initiative ta	rget group -
x Additional information may b	· · · · · · · · · · · · · · · · · · ·	other form or	a plain cheet of page	for additions	l entries		Serial	No. of FD-515
A - received anomation may b	o added by allacining ar	POULD IOTHER OF S	a piairi sileet oi papei	ioi auditioria	. G110169.			

See codes on reverse side.
 Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

FILE COPY

#### For Further Instructions See: MAOP, Part In Sections 3-5 thru 3-5.3.

#### PROPERTY CODES

- Cash
- Stocks, Bonds or Negot. Instruments
- 03 General Retail Merchandise
- 04 Vehicles
- 05 Heavy Machinery & Equipment
- 06
- Jewelry
- 08 Vessels
- 09 Art, Antiques or Rare Collections
- 11 Real Property
- All Other

#### SENTENCE TYPES

- Capital Punishment
- Jail Sentence
- LP Life Parole
- LS Life Sentence
- No Sentence (Subject is a Fugitive, NS Insane, has Died, or is a Corporation)
- Probation
- Suspension of Jail Sentence
- YC Youth Correction Act

#### PELP CODES

- Counterfeit
  - Stocks/Bonds/Currency/ Negótiable Instruments
- Counterfeit/Pirated Sound
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted 24 25 Ransom, Extortion or Bribe
- Demand Aborted Theft From or Fraud Against
- Government Scheme Aborted
- Commercial or Industrial 27 Theft Scheme Aborted
- 30 All Other

#### RACE CODES

- Asian/Pacific Islander A
- Black В
- Indian/American
- Unknown U
- w White
- х Nonindividual

## AGENCY CODES

- Air Force Office of Special Investigations **AFOIS**
- ACIS Army Criminal Investigative Service
- Bureau of Alcohol, Tobacco & Firearms BATF
- Bureau of Indian Affairs BIA
- Defense Contract Audit Agency **DCAA**
- Defense Criminal Investigative Service DCIS
- DEA Drug Enforcement Administration Department of Corrections DOC
- וסמ Dept. of Interior
- Environmental Protection Agency **EPA**
- Federal Aviation Administration FAA
- FDA Food and Drug Administration
- Dept. of Health & Human Services HHS
- Dept. of Housing & Urban Development HUD
- Immigration and Naturalization Service INS
- IRS Internal Revenue Service
- NASA Nat'l Aeronautics & Space Admin
- Nat'l NARC Border Interdiction **NBIS**
- NCIS Naval Criminal Investigative Service
- Royal Canadian Mounted Police RCMP
- Small Business Administration SBA
- USBP U.S. Border Patrol
- USCG U.S. Coast Guard
- USCS U.S. Customs Service
- U.S. Department of State USDS
- U.S. Marshals Service USMS
- USPS U.S. Postal Service

Known Member of a

or Sympathizer

UNION MEMBERS

President

Treasurer

5E

5F

5G

5H

5I

5J

5K

5L

5M

5N

5P

5Q

SR.

5S

5T

Vice-President

**Business Agent** 

Representative

**Business Manager** 

Financial Secretary

Office Manager

Shop Steward

Recording Secretary

Organizer

Clerk

Member

Trustee

Other

Secretary/Treasurer

**Executive Board Member** 

Terrorist Organization

Possible Terrorist Member

- U.S. Secret Service USSS U.S. Treasury
- USTR Local
- LOC
- CITY City
- COUN County State ST
- OTHR Other

TERRORISTS

# SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME SUBJECTS

- 1F Boss
- Underboss 1**G**
- 1H Consigliere
- **Acting Boss** IJ
- 1K Capodecina
- Soldier 1L

#### KNOWN CRIMINALS

- 2A Top Ten or I.O. Fugitive
- 2B Top Thief
- Top Con Man

#### FOREIGN NATIONALS

- Legal Alien
- Illegal Alien
- 3C Foreign Official W/out
- **Diplomatic Immunity**
- 3D U.N. Employee W/out
- **Diplomatic Immunity** 3E Foreign Student
- 3F All Others

#### **OTHERS**

- 84 All Other Subjects
- 8B Company or Corporation

#### JUDGMENT CODES

- Consent Judgment
- Court Ordered Settlement
- DF **Default Judgment**
- DI Dismissal •
- Judgment Notwithstanding IN
- MV Mixed Verdict
- ·SJ Summary Judgment
- Verdict for Defendant VĎ
- Verdict for Plaintiff VP

#### JUDICIAL.OUTCOME

- AG Agreement
- BR Barred/Removed
- Civil Contempt CC
- Disciplinary Charges DC
- FI
- M. Preliminary Injunction
- Temporary Restraining Order PR
- Pre-filing Settlement PS
- RN Restitution
- SP Suspension
- VR Voluntary Resignation
- Other OT

#### SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

#### **GOVERNMENT SUBJECTS** (6F,6G,6H-Include Agency Code)

- Presidential Appointee
- U.S. Senator/Staff 6B
- U.S. Representative/Staff 6C
- Federal Judge/Magistrate
- 6E Federal Prosecutor
- 6F Federal Law Enforcement Officer
- Federal Employee GS 13 & Above 6G 6H Federal Employee - GS 12 & Below
- 63 Governor
- Lt. Governor 6K
- 6L State Legislator
- State Judge/Magistrate 6M
- 6N State Prosecutor
- State Law Enforcement Officer 6P State - All Others 6Q
- 6R Mayor
- Local Legislator 6S
- Local Judge/Magistrate 6T Local Prosecutor
- 6V Local Law Enforcement Officer

6U

- 6W Local - All Others 6X County Commissioner
- City Councilman 6Y

#### BANK EMPLOYEES

- Bank Officer 7A
- Bank Employee 7B

## SENSITIVE / UNCLASSIFIED

Case Number: 1948-BS-81295 Serial No.:	Stat Agent Name: Stat Agent SOC.:	•	port Date: 08/26/2002 com Date.: 06/24/2002	
Does Accomplishment Involve	State Agent 300.1	Assisting Agents SOC	Subject Name	b6 b7C b7E
Drugs			CIANCI, VINCENT, A	D/E
Bankruptcy Fraud N  Computer Fraud/Abuse N  Corruption of Public Officials: Y  Money Laundering Y			RA Squad Task Force PROV P1	
Sub. Invest. Asst by Other FOs:  Investigative Assistance or	Technique Used	2 = Help 3 = Help	, but did not help ed, Minimally ed, Substantially	
FINAN ANALYST  AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM SHOW MONEY EVIDNCE PURCH INFORMANT/CW  LAB DIV EXAMS LAB DIV EXAMS LAB DIV EXAMS LAB DIV EXAMS LAB DIV EXAMS LAB DIV EXAMS POUNT EXAMS POUNT SUP SOUNT SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP INFORMANT/CW TEL TOLL RECS	UCO-GROUP II FOR LA UCO-OTHER NON FB NCAVC/VI-CAP VICT-W	4 = Abso N-NRCSC NG ASST I LAB EX IITN COOR TED FLYR	lutely Essential	, b7E
Date of Conviction (MM/DD/YYYY)		/24/2002 		b7E
Federal, Local, or International (F/Felony or Misdemeanor (F/M)				
Plea or Trial (P/T) Judicial State Judicial District	RI			
	U. S. Code Violat			
	Title Section	Counts Form FD-515a: Subject's R		
	18 1962D	1		

Accomplishment Narrative

ON 6/24/2002. VINCENT A. CIANCI, JR., W/M, 4/30/1941, SSAN: 037-26-3733 MAYOR OF PROVIDENCE, RHODE ISLAND WAS CONVICTED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND ON 1 COUNT IN VIOLATION OF TITLE 18, U.S.C., SECTION 1962(D). MAYOR CIANCI WILL BE SENTENCED ON SEPTEMBER 6, 2002

FD-515 (Rev. 8-1-00)
Squad supervisor approval (please initial)

. Accomplishment Report
(Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

Date Prepared
Date Loaded Sale/2002  Data Loader's Initials
Data Loader's Initials

								Data Load	iers initials -	The second
Accomplishment involves: (check all that apply)	File Numb	er	[	<del></del>	In	vestinati	ve Assistance			
Drugs	1948 · B5-K/2	Investigative Assistance or Technique Used 1-Used, but did not help 3 - Helped, substantially								
A Fugitive				2 -Helped, minimally For Sub. Invest. Assist. by other FO (s) indicate A,B,					bsolutely esse	
Bankruptcy Fraud	Otal Agent Soc	<del>. 000. 1</del> 10.								
Computer Fraud/Abuse			Rate FO	IAT	Rate FO		Rate FO	IAT	Rate FO	
Corruption of Public Officials			il	Fin. Analyst	-	Lab. Div.		UCO - Group		Ft. Mon ITC
Money Laundering				Aircraft Asst.		Lab. Field		UCO - Group	O II	For. Lang Asst.
Sub Invest Asst by FO (s)				Computer		Pen Reg	isters	UCO - Nat. E	Back	Non FBI Lab Ex
Asst. FO(s),,,	RA	Squad		Consen Mon.		Photo Co	ver.	NCAVC / VI	- CAF	Vict-Witn Coor
A, B, C, D	PROU P	- 1		Elsur / FISC		Polygrap	h	Crim/NS Inte	l Ass	IO Wanted Flyer
	Assisting Assets Con	O N- X		Elsur / T. III	1	Search W	/arrant	Crisis Neg	Fed.	SARs
Task Force	Assisting Agents Soc.	Sec. No.		Eng. Field Sp	, <del>,</del>	Show Mo	nev	Crisis Neg		CART
				Eng. Tape Ex	-	SOG Ass		ERT Asst.		
	11				4	-				b6
				Legats Asst.	4	Swat Tea	<del></del>	Butte - ITC		b7C
				Evid Purchas	e	Tech. Ag/	<del></del>	Sav - ITC		b7E
				inf/CW info		Phone To	oll Rec	Poc - ITC		
A Complaint / Information	**		- 4	<del></del>			.L Civil Bio	o Mattere	Date:	
A. Complaint / Information		F. Convic	tion							
☐ Federal ☐ Local ☐	] International	☐ Fede	eral 🔲 Lo	ocal 🔲 Interr	national			nplete "Sec		·
Complaint Date:	·· //	Convic	tion Date:	3/5	102				Date:	•
Check if Civil Rico Comp	olaint 🗍						Judgmei	nt		• b7E
Information Date:		Eor 6E	G H-Indu	ide Agency C	`odo		Judicial (	Outcome		•x
Indictment Date:			•	•			Amount	\$		
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B. Locate/ Arrest		☐ Plea	`~~ (	or 🗌 Tr	ial O-		Odopone	1011.		
☐ Federal ☐ Local ☐		State: _	RZ	Judicial Dist	rict: 🔼 🚣	<u>_</u>	1/ A dunini	Augalius Cou	ation Date:	
Subject Priority: A		~							oction Date:	
Locate Date:		G. U.S. Co					Subject		Code	
Arrest Date:		Required for sections A,B,F,and J (Federal Only)				Type: Length:				
☐ Subject Resisted Arre		Title Section # Counts				Suspension Permanent			nt	
<ul><li>Subject Arrested was</li></ul>	Armed	18 1962				☐ Debarment or				
C. Summons Date:		18 195/4 4				Injun	ction	Year	Months	
☐ Federal ☐ Loca			<u> </u>	, , ,						
		•			-		I Accet S	nizuro Doto	:	
D. Recovery/Restitution/P	PELP X			<del></del>						·
☐ Federal ☐ Local ☐	] International								ate:	
Recovery Date:	•	H Senten	ce Date:	3/15/	162			Mandatory		
Code • Amour	nt \$	Senten	ce Type:	<u> </u>	. •			ne of the thr		
Code •✓ Amour	nt \$	In Jail:		ars !	Months 4	00	_		<ul> <li>Administrat</li> </ul>	
Restitution Date:					Months		☐ Asse	t Forfeiture	<ul> <li>Civil Judicia</li> </ul>	al la
☐ Court Ordered ☐ F		Probation		arsi			☐ Asset Forfeiture - Criminal			
Code • Amour		Fines:					Do <b>not</b> ii	ndicate \$ va	due in Sectio	n D
PELP Date:							<del></del>			
Code •✓ Amour	nt \$	I. Disrupt	ion/Disma	antlement:			M. Acquitta	l / Dismiss	al / Pretrial I	Diversion
E. Hostage(s) Released D	ato:	-								
Released by: Terroris		-					-			
Number of Hostages:		Disman	tlement Da	ate:			Dismissa	ıl Date:		
Child Located Date:		Comple	tion of FD	-515a Side 2	Mandato	ry	Pretrial [	Diversion Da	ate:	
										<del></del>
N. Subject Information (Re	equired for all Sections	excluding S	Section D (	(Recovery/P	ELP), Sec	tion E (H	ostage), Secti	on I, and Se	ection L).	
	Name				Race •	Sex	Date of Birth	Social	Security No.	(if available)
Joseph Pinn	NONE				$\omega$	m	11/24/23	036	- 12 -15	24
For Indictments/Convictions only			·					<del></del>		
Subject related to an LCN, Complete FD-515a, Side 1	Asian Organized Crime (	AOC), Italian (	Organized C	Crime (IOC), F	Russian/Eas	stern Euro	pean, Caribbea	n, or Nigeria	n Organized (	Jrime Group -
Subject related to an OC/D	rug Organization, a VCM	O Program Na	tional Gang	Strategy targ	jet group, d	r a VCMC	O Program Natio	nal Priority I	nitiative targe	t group -
Complete FD-515a, Side 1								····	Carial M	o of ED 515
Additional information may be See codes on reverse side.	pe added by attaching ar	other form or	a plain she	et of paper for	additional	entries.			Serial IV	lo. of FD-515

Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

FILE COPY

#### For Further Instructions See: MAOP, Part In, Sections 3-5 thru 3-5.3.

#### PROPERTY CODES

- 01 Cash
- Stocks, Bonds or Negot. Instruments 02
- General Retail Merchandise
- Heavy Machinery & Equipment 05
- 06 Aircraft
- 07 Jewelry
- 08 Vessels
- 09 Art, Antiques or Rare Collections
- Real Property 11
- All Other

#### SENTENCE TYPES

- Capital Punishment
- Jail Sentence IS
- LP Life Parole
- Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a Corporation)
- PB Probation
- Suspension of Jail Sentence
- Youth Correction Act YC

#### PELP CODES

- 22 Counterfeit
  - Stocks/Bonds/Currency/
- Negotiable Instruments Counterfeit/Pirated Sound
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- Ransom, Extortion or Bribe Demand Aborted
- Theft From or Fraud Against 26 Government Scheme Aborted
- 27 Commercial or Industrial Theft Scheme Aborted
- All Other

#### RACE CODES

- Asian/Pacific Islander A
- B Black
- Indian/American
- H Haknown
- W White
- Nonindividual

## AGENCY CODES

- Air Force Office of Special Investigations **AFOIS**
- Army!Criminal Investigative Service ACIS
- Bureau of Alcohol, Tobacco & Firearms BATF
- Bureau of Indian Affairs BIA
- Defense Contract Audit Agency DCAA
- Defense Criminal Investigative Service DCIS
- Drug Enforcement Administration DEA
- Department of Corrections DOC
- Dept. of Interior חמו
- Environmental Protection Agency **EPA**
- Federal Aviation Administration FAA
- FDA Food and Drug Administration
- Dept. of Health & Human Services HHS
- Dept. of Housing & Urban Development Immigration and Naturalization Service HUD
- INS
- IRS Internal Revenue Service
- Nat'l Aeronautics & Space Admin NASA
- Nat'l NARC Border Interdiction NBIS
- Naval Criminal Investigative Service NCIS
- Royal Canadian Mounted Police RCMP
- Small Business Administration SBA
- U.S. Border Patrol USBP
- USCG U.S. Coast Guard
- U.S. Customs Service USCS
- U.S. Department of State USDS
- USMS U.S. Marshals Service
- U.S. Postal Service USPS

Known Member of a

or Sympathizer

UNION MEMBERS

President

Treasurer

Vice-President

**Business Agent** 

Representative

Business Manager

Financial Secretary

Office Manager

Shop Steward

Recording Secretary

Organizer

Clerk

Member

Trustee

Other

Secretary/Treasurer

**Executive Board Member** 

5E

5F

5G

5H

51

5J

5K

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5R

5S

5T

5U

Terrorist Organization

Possible Terrorist Member

- USSS U.S. Secret Service
- U.S. Treasury USTR
- LOC Local
- CITY City
- COUN County
- ST State
- OTHR Other

TERRORISTS

#### SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME SUBJECTS

- 1F Boss
- 16 Underboss
- lΗ Consigliere
- Acting Boss IJ
- 1K Capodecina
- 1LSoldier

#### KNOWN CRIMINALS

- Top Ten or I.O. Fugitive
- 2B Top Thief
- 2C Top Con Man

## FOREIGN NATIONALS

- Legal Alien 3A
- **3B** Illegal Alien
- Foreign Official W/out 3C
  - Diplomatic Immunity
- 3D U.N. Employee W/out Diplomatic Immunity
- 3E Foreign Student
- 3F All Others

#### **OTHERS**

- All Other Subjects 8A
- 8B Company or Corporation

## JUDGMENT CODES

- Consent Judgment
- Court Ordered Settlement
- Default Judgment
- Dľ Dismissal
- Judgment Notwithstanding IN.
- Mixed Verdict ΜV
- Summary Judgment ·SJ
- Verdict for Defendant VD
- Verdict for Plaintiff

## JUDICIAL OUTCOME

- AG Agreement
- Barred/Removed BR
- Civil Contempt CC
- Disciplinary Charges DC
- FI Fine
- PΙ **Preliminary Injunction**
- PR Temporary Restraining Order
- Pre-filing Settlement PS
- Restitution RN
- Suspension ŞP
- VR Voluntary Resignation
- Other

## SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

## GOVERNMENT SUBJECTS

# 6A Presidential Appointee

- U.S. Senator/Staff 6B
- U.S. Representative/Staff 6C
- Federal Judge/Magistrate 6D
- Federal Prosecutor 6E
- 6F Federal Law Enforcement Officer

(6F,6G,6H- Include Agency Code)

- Federal Employee GS 13 & Above 6G
- Federal Employee GS 12 & Below 6H 6J Governor
- 6K Lt. Governor
- State Legislator 6L
- State Judge/Magistrate 6M
- State Prosecutor 6N
- State Law Enforcement Officer 6P 60 State - All Others
- 6R Mayor
- 6S Local Legislator Local Judge/Magistrate **6T**
- Local Prosecutor 6U
- Local Law Enforcement Officer 6V 6W Local - All Others
- County Commissioner 6X City Councilman

# BANK EMPLOYEES

- Bank Officer
- 7B Bank Employee

#### SENSITIVE / UNCLASSIFIED

Case Number: 194B-R Serial No.:	38-81295	Stat Agent No Stat Agent St			ort Date: om Date.:		_	b6
Does Accomplish			Ass	sisting Agents SOC		Subject		b7 b7
Drugs	N N se N				RA 	Squad		
Money Laundering.  Sub. Invest. Asst    Investiga		Technique Used		1 = Used, 2 = Helpec 3 = Helpec	l, Minimal	ly		
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW	LAB DIV EXAMS LAB FIELD SUP PEN REGISTERS PHOTO COVERGE POLYGRAPH SRCH WAR EXEC SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP TEL TOLL RECS	UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	FT. MON-NRCSC FOR LANG ASST NON FBI LAB EX VICT-WITN COOR IO WANTED FLYF SARS CART	<b>t</b>	itely Esse	ntial		
Date of Conviction	International (F/N	./I)	: F	2				b
Plea or Trial (P/T) Judicial State. Judicial District	)		: P : RI					
		=======	ection Counts		a -			

Accomplishment Narrative

1962

1951A

18

18

ON 3/15/2002, JOSEPH PANN, W/M, DOB: 11/26/22, SSAN: 036-12-1524, PLED GUILTY IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND, TO 1 COUNT IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 1962 AND 4 COUNTS IN VIOLATION OF TITLE 18, U.S.CODE, SECTION 1951(A)

7E

Case Number: 194B-BS-81295 Serial No.:	Stat Agent Name: Stat Agent SOC.:			Date: 08/26/20		<b>b</b> 6
Does Accomplishment Involve		Assisting	Agents SOC	Subject	Name	b7C b7E
Drugs				PANNONE, JOS  RA Squad PROV P1	Task Force	
Sub. Invest. Asst by Other FOs:			1 = Used, bu 2 = Helped,	nt did not help Minimally		
Investigative Assistance or	Technique Used		•	Substantially ely Essential		
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/FISC ENG FIELD SUP SRCH WAR EXEC ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW LAB DIV EXAMS AND EXAMS PHOTO COVERGE	UCO-GROUP II FOUCO-OTHER NO CAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED SA	T. MON-NRCSC OR LANG ASST ON FBI LAB EX ICT-WITN COOR O WANTED FLYR ARS ART				b7E
Type of Sentence : JS  Date of Sentencing : 03/15/200  Federal, Local, or International (F/						
Year Month						
Time in Jail: 5 Time Suspended.: Probation Time.: Total Fines:\$						

Accomplishment Narrative

ON 3/15/2002 JOSEPH PANNONE, W/M, DOB: 11/26/1922, SSAN: 036-12-1524 WAS SENTENCED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND, TO SERVE FIVE YEARS IN FEDERAL PRISON

SENSITIVE / UNCLASSIFIED

FD-515 (Flev. 8-1-00)
Squad supervisor approval (please initial)

Accomplishment Report
(Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

Date Prepared	
Date Loaded -	8-26-2002
Data Loader's I	Initials

(please miliar)	1							Data Loader's	Initials _	JMB
Accomplishment involves: (check all that apply)	File Numb	er			In	vestigative As	sistance	or Technique Us		
Drugs	1948.85-8			1-Used	, but did n	-	.5.5.0		d, substan	ıtialiy .
A Fugitive	1798 87 8	1213	1		ed, minim				utely esse	
Bankruptcy Fraud	Stat Agent Soc	. Sec. No.	1					A,B,C,D for corre		f .
Computer Fraud/Abuse			Rate FO		Rate FO	IAT	Rate FO		Rate FO	
Corruption of Public Officials				Fin. Analyst		Lab. Div. Exan	1	UCO - Group I	4	Ft. Mon ITC
Money Laundering	Olat Agont 1	ano	1	Aircraft Asst.		Lab. Field Sup		UCO - Group II	4	For. Lang Asst.
Sub Invest Asst by FO (s)		Į		Computer		Pen Registers		UCO - Nat. Back	1	Non FBI Lab Ex
Asst. FO(s),,,	187	Oquau		Consen Mon.		Photo Cover.		NCAVC / VI - CAI	1	Vict-Witn Coor
A, B, C, D				Elsur / FISC		Polygraph		Crim/NS Intel Ass	1	IO Wanted Flyer
	Assisting Agents Soc.	Sec No X		Elsur / T. III		Search Warrant		Crisis Neg Fed.		SARs
Task Force		000.110.		Eng. Field Spt.		Show Money	1	Crisis Neg Loca		CART
	1			Eng. Tape Ex		SOG Asst.	1	ERT Asst.		b6
	Name:			Legats Asst.		Swat Team	1	Butte - ITC	1	b7C
	2						1		1	b7E
	l			Evid Purchase		Tech. Ag/Equip.	1	Sav - ITC	┨	
	Name:			Inf/CW Info		Phone Toll Rec		Poc - ITC	<u> </u>	
A. Complaint / Information	on / Indictment	F. Convict	tion			J.	Civil Ric	co Matters Date	e:	
☐ Federal ☐ Local [				0001 II Inter-	tiona!		Also Co	mplete "Section	G"	.
_				.ocal 🔲 Interna	MONA			ivil Matters Dat		
Complaint Date:		Convict	ion Date	:	•	_		nt		
Check if Civil Rico Com										
Information Date:		For 6F,	G, H-Incl	ude Agency Co	ode			Outcome		<b>I</b>
Indictment Date:		☐ Felo	ny	or	demeand	or	Amount	\$		
B. Locate/ Arrest		_ ☐ Plea	•	or 🔲 Tria	al		Suspension: Years Months			is
- ☐ Federai ☐ Locai [	T International	_		_ Judicial Distri		-				
Subject Priority: A		Ciaio				к.	Adminis	strative Sanctio	n Date: _	
Locate Date:		G. U.S. Co	de Violat	tion			Subject	Description Cod	le	•
Arrest Date:		Require	d for sect	ions A,B,F,and	J		Туре:	Leng		
☐ Subject Resisted Arr	rest	(Federal	Only)						ermanen	nt
☐ Subject Arrested wa	s Armed	Title			# Counts					"
· · · · · · · · · · · · · · · · · · ·	· · · · · · · · · · · · · · · · · · ·			371		_	☐ Deba			
C. Summons Date:		18		Leleb	<u> </u>	_	☐ Injun	ction Yea	r <i>N</i>	Months
☐ Federal ☐ Loc	eal					_				
D. Recovery/Restitution/	PEI D Y					L.	Asset S	eizure Date:		
☐ Federal ☐ Local [							Asset F	orfeiture Date:		
Recovery Date:	_] milomational						CATS#	Mandatory		
•	nt \$					<b>-</b>	Check o	ne of the three:		
Code • ✓ Amou	nt \$			11-			☐ Asse	t Forfeiture - Ad	ministrati	ve
Restitution Date:		In Jail:		arsM				t Forfeiture - Civ		
☐ Court Ordered ☐		· ·		arsM		l l		t Forfeiture - Cri		
Code •✓ Amou		Probatio		arsM		<del></del>		ndicate \$ value i		n D
PELP Date:		Fines:	\$ <u>_</u>							
Code •✓ Amou		<u></u> .				BA .	Acquitte	al / Dismissal / I	Pretrial F	)iversion
		· -		antlement:			•			
E. Hostage(s) Released D				,,,			Acquitta	I Date:	102	
Released by: Terrori		· I					al Date:			
Number of Hostages:		Complet	tion of FE	)-515a Side 2 I	Mandato	ry	Pretrial [	Diversion Date: _		
Child Located Date:						<u>-</u>				 
N. Subject Information (R	equired for all Sections	s excluding S	ection D	(Recovery/PE	LP), Sec	tion E (Hosta	ge), Secti	ion I, and Sectio	n L).	b7c
	Name				Race •		e of Birth	——————————————————————————————————————		
<i>y</i>										
For Indictments/Convictions only	v:									
☐ Subject related to an LCN	Asian Organized Crime (	AOC), Italian C	organized	Crime (IOC), Ru	ıssian/Eas	tern European	, Caribbea	an, or Nigerian Or	ganized C	rime Group -
Complete FD-515a, Side 1 Subject related to an OC/E	i biocks A-E mandatory, F Drug Organization, a VCM	⊶н as appropri O Program Nat	ลเอ. tional Gan	g Strategy targe	t group. c	r a VCMO Pro	gram Natio	onal Priority Initiat	ive target	group -
Complete FD-515a, Side 1	Blocks A-C only.	· · · · · · · · · · · · · · · · · · ·		• • •				· · · · · · · · · · · · · · · · · · ·		
x Additional information may	be added by attaching ar	other form or a	a plain she	et of paper for a	additional	entries.			Serial No	o. of FD-515

Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

FILE COPY

## For Further Instructions See: MAOP, Part 11, Sections 3-5 thru 3-5.3.

#### PROPERTY CODES

- 01 Cash
- Stocks, Bonds or Negot. Instruments
- General Retail Merchandise
- 04 Vehicles
- Heavy Machinery & Equipment 05
- 06 Aircraft
- 07 Jewelry
- Vessels
- 09 Art, Antiques or Rare Collections
- Real Property 11
- All Other

#### SENTENCE TYPES

- Capital Punishment
- Jail Sentence IS
- LP Life Parole
- Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a
  - Corporation)
- PB Probation
- Suspension of Jail Sentence
- Youth Correction Act

#### PELP CODES

- 22 Counterfeit
  - Stocks/Bonds/Currency/
- Negotiable Instruments
- Counterfeit/Pirated Sound Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- 25 Ransom, Extortion or Bribe
- Demand Aborted Theft From or Fraud Against
- 26 Government Scheme Aborted
- Commercial or Industrial Theft Scheme Aborted
- 30 All Other

#### RACE CODES

- Asian/Pacific Islander A
- Rlack R
- Indian/American
- 11 Unknown
- White
- Nonindividual

# AGENCY CODES

- **AFOIS** Air Force Office of Special Investigations
- Army, Criminal Investigative Service **ACIS**
- Bureau of Alcohol, Tobacco & Firearms BATF
- Bureau of Indian Affairs BIA
- Defense Contract Audit Agency DCAA
- Defense Criminal Investigative Service **DCIS**
- DEA Drug Enforcement Administration
- Department of Corrections DOC
- Dept. of Interior DOI
- Environmental Protection Agency **EPA**
- FAA Federal Aviation Administration
- FDA Food and Drug Administration
- Dept. of Health & Human Services HHS
- Dept. of Housing & Urban Development HUD Immigration and Naturalization Service INS
- IRS Internal Revenue Service
- Nat'l Aeronautics & Space Admin NASA
- Nat'l NARC Border Interdiction **NBIS**
- NCIS Naval Criminal Investigative Service
- Royal Canadian Mounted Police RCMP Small Business Administration SBA
- U.S. Border Patrol USBP
- U.S. Coast Guard USCG
- U.S. Customs Service USCS
- U.S. Department of State USDS
- USMS U.S. Marshals Service
- U.S. Postal Service USPS
- USSS U.S. Secret Service U.S. Treasury HISTR
- LOC Local
- CITY City
- COUN County
- ST State
- OTHR Other

#### JUDGMENT CODES

- Consent Judgment
- Court Ordered Settlement
- Default Judgment
- Dismissal -
- Judgment Notwithstanding IN
- Mixed Verdict ΜV
- SJ Summary Judgment
- ŶD Verdict for Defendant
- Verdict for Plaintiff

#### JUDICIAL OUTCOME

- AG Agreement
- Barred/Removed BR
- Civil Contempt CC
- Disciplinary Charges DC:
- FI Fine
- ΡI **Preliminary Injunction**
- PR Temporary Restraining Order
- Pre-filing Settlement PS
- Restitution . RN
- SP Suspension
- ÝR Voluntary Resignation
- Other

#### SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

# SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME

# SUBJECTS

- 1F Boss
- 1G Underboss
- Consigliere 1H
- IJ **Acting Boss**
- Capodecina 1K Soldier

# KNOWN CRIMINALS

- Top Ten or I.O. Fugitive
- Top Thief 2B
- 2C Top Con Man

## FOREIGN NATIONALS

- Legal Alien 3A
- Illegal Alien 3R
- Foreign Official W/out 3C
- Diplomatic Immunity
- 3D U.N. Employee W/out Diplomatic Immunity
- Foreign Student 3E
- 3F All Others

#### **OTHERS**

- All Other Subjects 8A
- 8B Company or Corporation

# TERRORISTS

- Known Member of a
- **Terrorist Organization** Possible Terrorist Member or Sympathizer

# UNION MEMBERS

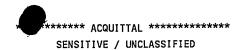
- President
- Vice-President 5E
- Treasurer 5F Secretary/Treasurer 5G
- 5H **Executive Board Member**
- **Business Agent** 5I
- 5J Representative
- Organizer 5K **Business Manager** 5L
- 5M Financial Secretary
- Recording Secretary 5N Office Manager 5P
- Clerk 50
- Shop Steward 5R 5S Member
- 5T Trustee Other

- GOVERNMENT SUBJECTS (6F,6G,6H- Include Agency Code)
- Presidential Appointee U.S. Senator/Staff 6B
- U.S. Representative/Staff 6C Federal Judge/Magistrate
- 6D 6E Federal Prosecutor
- 6F Federal Law Enforcement Officer Federal Employee - GS 13 & Above 6G
- Federal Employee GS 12 & Below 6H
- 6J Governor
- 6K Lt. Governor
- State Legislator 6L
- State Judge/Magistrate 6M State Prosecutor 6N
- State Law Enforcement Officer 6P
- State All Others 6Q 6R
- Mayor Local Legislator 6S
- Local Judge/Magistrate 6T
- Local Prosecutor 6U Local Law Enforcement Officer 6V
- Local All Others
- County Commissioner 6X City Councilman

# BANK EMPLOYEES

- Bank Officer
- 7B Bank Employee

5	-
08/26	/2002





Case Number: 194B-BS-81295 Serial No.:	Stat Agent Name Stat Agent SOC.		•	t Date: 08/26/2002 Date:: 07/08/2002	<b>b</b> 6
Does Accomplishment Involve		Assistir	ng Agents SOC	Subject Name	b7C b7E
Drugs N			1		
A Fugitive N			į		
Bankruptcy Fraud N			Ì		
Computer Fraud/Abuse N			İ	RA Squad Task Force	
Corruption of Public Officials: N			1		
Money Laundering N			I	PROV P1	
Sub. Invest. Asst by Other FOs:			•	ut did not help	
			2 = Helped,	·	
Investigative Assistance or	Technique Used			Substantially	
		•	4 = Absolut	ely Essential	
FINAN ANALYST LAB DIV EXAMS		FT. MON-NRCSC			
AIRCRAFT ASST LAB FIELD SUP	UCO-GROUP II	FOR LANG ASST			b7E
COMPUTER ASST PEN REGISTERS	UCO-OTHER	NON FBI LAB EX			
CONSEN MONITR PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITH COOR		· ·	
ELSUR/FISC POLYGRAPH '	CRIM/NS INTEL	IO WANTED FLYR			
ELSUR/III SRCH WAR EXEC	CRIS NEG-FED	SARS			
ENG FIELD SUP SHOW MONEY	CRIS NEG-LOC	CART			
ENG TAPE EXAM SOG ASST	ERT ASST				
LEGATS ASST. SWAT TEAM	BUTTE-ITC				
EVIDNCE PURCH TECH AG/EQUIP	SAVANNAH-ITC				
INFORMANT/CW TEL TOLL RECS	POC-WRCSC				
	Jl	J			

Accomplishment Narrative

Twas

ACQUITTED ON 1 COUNT IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 371 AND 1 COUNT IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 666

SENSITIVE / UNCLASSIFIED

b6

b7C

**Accomplishment Report** 

FD-515 (Rev. 8-1-00)
Squad supervisor approval (please initial)

(Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

Date Prepared 8-27-2007

Date Loaded 8-27-2007

Data Loader's Initials 07/16

Accomplishment involves:	] <del></del>								Data Loaders		///	<del></del> 1
(check all that apply)  Drugs	File Numb			haei I-t			ve Assistan	ce o	r Technique Us	ed d. substant	tially	
A Fugitive	1948.85-81	255		2 -Helped, minimally 4 - Absolutely essent								
Bankruptcy Fraud	Stat Agent Soc	. Sec. No.	1	For Sub. In	vest. Assi:	st. by othe	r FO (s) indic	ate /	A,B,C,D for corre	sponding F	· ·	
Computer Fraud/Abuse			Rate FO		Rate FO			_	IAT	Rate FO	TAI	
Corruption of Public Officials				Fin. Analyst		Lab. Div.	Exam		UCO - Group I		Ft. Mon I	TC
Money Laundering	Stat Agent 1	Vame [		Aircraft Asst.		Lab. Fiel	d Sup	Į	JCO - Group II		For. Lang	Asst.
Sub Invest Asst by FO (s)				Computer		Pen Reg	isters	L	JCO - Nat. Back		Non FBI L	ab Ex
Asst. FO(s),,	RA	Squad		Consen Mon.		Photo Co	over.	ľ	NCAVC / VI - CAF		Vict-Witn	Coor
A, B, C, D	PROU	9-1		Elsur / FISC		Polygrap	h		Crim/NS Intel Ass		O Wante	d Flyer
	Assisting Agents Soc.	Sec No X	1	Elsur / T. III		Search W	/arrant	[	Crisis Neg Fed.		SARs	
Task Force		060.110.		Eng. Field Spt.		Show Mo	ney	Ī	Crisis Neg Loca		CART	b6
	_   1			Eng. Tape Ex		SOG Ass	st.	Ī	ERT Asst.			b70
	Name:			Legats Asst.		Swat Tea	am	H	Butte - ITC			—b7E
	2			Evid Purchase		Tech. Ag		- 1-	Sav - ITC			
	Name:			Inf/CW Info		Phone To		-	Poc - ITC			
· · · · · · · · · · · · · · · · · · ·		1	<u> </u>	mi/CVV mi/O		r none re	Jii rieq		-00-110		<del></del>	_
A. Complaint / Information	on / Indictment	F. Convict	tion						Matters Date			-
☐ Federal ☐ Local ☐	] International	☐ Fede	ral 🗀 L	.ocal 🔲 Interna	tional		Also	Com	plete "Section	G" ·		
Complaint Date:		]		:			Othe	r Civ	il Matters Dat	e:	<del></del>	_
Check if Civil Rico Com	plaint [7]	1		on Code:		10	Judg	nent	t		_•	
Information Date:		1				_/~	Judic	ial O	utcome			x
Indictment Date:		,	-	ude Agency Co			Amo	ınt S	B			1
B. Locate/ Arrest		1		or Misc		or	i		on: Years			l l
		☐ Plea		or 🔲 Tria			Оцор	01101	on: Todio			
Federal Local [		State: _		_Judicial Distric	ot:		K Admi	nict	rative Sanction	n Data:		
Subject Priority: A Locate Date:		0.110.00	de Viele									-
Arrest Date:		G. U.S. Co			.1		-		Description Cod		-	
☐ Subject Resisted Arr		(Federal	d for sections A,B,F,and J I Onlv)			Type: Length:						
☐ Subject Arrested wa		Title	Section # Counts			☐ Suspension ☐ Permanent						
		18		1962	2_			ebar	ment	or		
C. Summons Date:							☐ In	junc	tion Year	N	onths	
☐ Federal ☐ Loc	al									-		
D. Recovery/Restitution/	PELP X						L. Asse	t Sei	izure Date:	· · · · · · · · · · · · · · · · · · ·		-
☐ Federal ☐ Local [				<u> </u>			Asse	Asset Forfeiture Date:				-
			<b>.</b> .				CATS	\$ # T	Mandatory			_
	nt \$		ce Type:				Chec	k on	e of the three:			
Code ● ✓ Amou	nt \$	Sentenc In Jail:					☐ A:	sset	Forfeiture - Adr	ninistrativ	/e	
Restitution Date:		B .		ars Mo ars Mo	onths		☐ A:	set	Forfeiture - Civ	il Judicial		
☐ Court Ordered ☐		Probatio		ars Mo			☐ A:	set	Forfeiture - Crir	ninal		
Code •✓ Amou	nt \$	Fines:		u.o			, Do no	ot ind	dicate \$ value i	n Section	D	
PELP Date:							`					
Code •✓ Amou	nt \$	I. Disrupti	on/Dism	antlement:			M. Acqu	ittal	/ Dismissal / F	Pretrial D	iversion	• • .
E. Hostage(s) Released D	Date:	1 .					Acqui	, 1 1044	Date: 6 13	1/02		
Delegand has C Taxas to C out									Date:			-
Number of Hostages:		Dismandement Date.							=-			
	Child Located Date: Completion of FD-515a Side 2 Mandatory Pretrial Diversion Date:											
N. Subject Information (R		s excluding S	ection D	(Recovery/PFI	P) Sec	tion F (H	ostage). Se	ctio	n I. and Sectio	n L).		
(n	Name	- cacidality o	204011 D	<del></del>	Race •	Sex	Date of Bi		Social Secu		f available	<del>)</del>
1 12Beens A		····	<del></del>		w		-, ,					<del></del>
For Indictments/Convictions only	EJUARD		· · · · · · · · · · · · · · · · · · ·		<u>~</u>	M	1 11/3	-1_	039-	10.0	رر د	
Subject related to an LCN, Complete FD-515a, Side 1	Asian Organized Crime	(AOC), Italian C	rganized	Crime (IOC), Ru	ssian/Eas	stern Euro	pean, Carib	bean	, or Nigerian Orç	ganized C	rime Grou	p -
Subject related to an OC/D	Drug Organization, a VCM	н as appropri Ю Program Nat	ατθ. ional Gan	g Strategy target	t group, o	r a VČMO	) Program N	ation	al Priority Initiati	ive target	group -	
Complete FD-515a, Side 1	Blocks A-C only.	· · · · · · · · · · · · · · · · · · ·							,			<u>.                                    </u>

Additional information may be added by attaching another form or a plain sheet of paper for additional entries.

See codes on reverse side.

Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PFI P over \$5m



# For Further Instructions See: MAOP, Part 17, Sections 3-5 thru 3-5.3.

#### PROPERTY CODES

- 01 Cash
- Stocks, Bonds or Negot. Instruments 02
- General Retail Merchandise 03
- 04 Vehicles
- Heavy Machinery & Equipment
- 06 Aircraft
- Jewelry 07
- 08 Vessels
- 09 Art, Antiques or Rare Collections
- Real Property
- All Other

#### SENTENCE TYPES

- Capital Punishment
- Jail Sentence JS
- Life Parole LP
- Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a Corporation)
- PB Probation
- Suspension of Jail Sentence SI
- YC Youth Correction Act

#### PELP CODES

- 22 Counterfeit
  - Stocks/Bonds/Currency/ Negotiable Instruments
- Counterfeit/Pirated Sound
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- 25 Ransom, Extortion or Bribe Demand Aborted
- Theft From or Fraud Against 26 Government Scheme Aborted
- Commercial or Industrial 27 Theft Scheme Aborted
- 30 All Other

#### RACE CODES

- Asian/Pacific Islander A
- B
- Indian/American
- Unknown U
- w White
- Х Nonindividual

#### AGENCY CODES

- Air Force Office of Special Investigations **AFOIS**
- Army Criminal Investigative Service ACIS
- BATF Bureau of Alcohol, Tobacco & Firearms
- Bureau of Indian Affairs BLA
- DCAA Defense Contract Audit Agency Defense Criminal Investigative Service DCIS
- Drug Enforcement Administration DEA
- Department of Corrections DOC
- DOI Dept. of Interior
- Environmental Protection Agency EPA
- Federal Aviation Administration FAA
- Food and Drug Administration FDA
- Dept. of Health & Human Services HHS
- Dept. of Housing & Urban Development HUD
- Immigration and Naturalization Service INS
- Internal Revenue Service IRS
- NASA Nat'l Aeronautics & Space Admin
- **NBIS** Nat'l NARC Border Interdiction
- Naval Criminal Investigative Service NCIS
- RCMP Royal Canadian Mounted Police
- Small Business Administration SBA
- ILS. Border Patrol USBP
- USCG U.S. Coast Guard
- **U.S. Customs Service** USCS
- U.S. Department of State USDS
- U.S. Marshals Service USMS
- USPS **U.S. Postal Service**
- USSS U.S. Secret Service
- USTR U.S. Treasury
- LOC Local
- CITY City
- COUN County
- State ST
- OTHR Other

## SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME SUBJECTS

- 1F Boss
- 1G Underboss
- Consigliere 1H
- IJ **Acting Boss**
- 1K Capodecina
- Soldier

#### KNOWN CRIMINALS

- Top Ten or I.O. Fugitive
- Top Thief
- 2C Top Con Man

#### FOREIGN NATIONALS

- Legal Alien
- Illegal Alien 3B
- 3C Foreign Official W/out
- Diplomatic Immunity
- 3D U.N. Employee W/out **Diplomatic Immunity**
- 3E Foreign Student
- 3F All Others

# OTHERS

- All Other Subjects
- 8B Company or Corporation

#### JUDGMENT CODES

- Consent Judgment
- Court Ordered Settlement CO
- DF Default Judgment
- DI Dismissal
- JN Judgment Notwithstanding
- ΜV Mixed Verdict
- Summary Judgment SJ
- Verdict for Defendant VD
- Verdict for Plaintiff

#### JUDICIAL OUTCOME

- AG Agreement
- BR Barred/Removed
- Civil Contempt CC
- DC Disciplinary Charges
- Fine FI
- Preliminary Injunction PΙ
- Temporary Restraining Order PR
- Pre-filing Settlement PS
- RN Restitution
- Suspension SP
- Voluntary Resignation VR
- OT Other

#### SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

#### **TERRORISTS**

- Known Member of a
  - Terrorist Organization
- Possible Terrorist Member or Sympathizer

# UNION MEMBERS

- 5D President
- 5E Vice-President
- 5F
- Treasurer 5G Secretary/Treasurer
- Executive Board Member 5H
- 51 **Business Agent**
- 5J Representative
- Organizer 5K **Business Manager** 5L
- Financial Secretary 5M
- Recording Secretary 5N 5P Office Manager
- 5Q Clerk
- 5R Shop Steward Member 5S
- 5T Trustee 5U Other

- **GOVERNMENT SUBJECTS** (6F,6G,6H-Include Agency Code)
- 6A Presidential Appointee U.S. Senator/Staff 6B
- 6C U.S. Representative/Staff Federal Judge/Magistrate 6D
- Federal Prosecutor 6E
- Federal Law Enforcement Officer 6F Federal Employee - GS 13 & Above
- Federal Employee GS 12 & Below 6H
- Governor 6.1 6K Lt. Governor
- State Legislator 6L State Judge/Magistrate
- 6N State Prosecutor
- State Law Enforcement Officer 6P
- State All Others 60
- 6R Mayor
- 6S Local Legislator
- 6T Local Judge/Magistrate
- Local Prosecutor 6U Local Law Enforcement Officer 6V
- Local All Others 6W
- County Commissioner 6X City Councilman

# BANK'EMPLOYEES

- 7A Bank Officer
- 7B Bank Employee

08/27/2002

# \*\*\*\*\*\*\*\*\* ACQUITTAL \*\*\*\*\*\*\*\*\*\*\*\*\* SENSITIVE / UNCLASSIFIED

	4
***	•

Case Number: 194B-BS-81295 Serial No.:	Stat Agent Name: Stat Agent SOC.:		Report Date: (	08/27/200 06/15/200	)2 )2	
Does Accomplishment Involve		Assisting Age	ents SOC	Subject	Name	b6 b7C
Drugs N A Fugitive N			vocc	OLA, EDWA	ARD	b7E
Bankruptcy Fraud N  Computer Fraud/Abuse N			RA	Squad	Task Force	
Corruption of Public Officials: N Money Laundering : Y		_	PROV	P1		
Sub. Invest. Asst by Other FOs:  Investigative Assistance or			1 = Used, but did n 2 = Helped, Minimal 3 = Helped, Substan 4 = Absolutely Esse	ly tially		
FINAN ANALYST AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH INFORMANT/CW  LAB DIV EXAMS LAB DIV EXAMS LAB FIELD SUP PHOTO COVERGE PHOTO COVERGE PHOTO COVERGE PHOTO COVERGE PHOTO COVERGE PHOTO COVERGE SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP TEL TOLL RECS	UCO-GROUP II FO UCO-OTHER NO NCAVC/VI-CAP VI				,	b7E

Accomplishment Narrative

ON 6/15/2002 EDWARD VOCCOLA, W/M DOB:1/11/29, SSAN: 039-18-6573 WAS ACQUITTED IN U.S. DISTRICT COURT ON 2 COUNTS IN VIOLATION OF TITLE 18, U.S CODE, SECTION 1962

SENSITIVE / UNCLASSIFIED

* /*	4		Accomplishment Rep	ort				
FD-515 (Rev. 8-1-00)		Accomplishme	ent must be reported and		AA Date Prep	ared		
Squad supervisor app (please initial)	orovai		0 days from date of acco	mplishment)	Date Load	led 8 27 2002		
Accomplishment involves:				Rights	Data Load	der's Initials		
(check all that apply)	File Numb	per		_	ive Assistance or Techniqu			
Drugs	194B-B5-1	31295	<b> </b>	but did not help ed, minimally		lelped, substantially		
A Fugitive	Stat Agent Soc	Soo No			er FO (s) Indicate A,B,C,D for			
Bankruptcy Fraud Computer Fraud/Abuse	Stat Agent Soc	. 360. No.	Rate FO IAT	Rate FO IAT	Rate FO IAT	Rate FO IAT		
Computer Fraud/Abuse  Corruption of Public Officials			Fin. Analyst	Lab. Div	. Exam UCO - Group	o I Ft. Mon ITC		
Money Laundering	Stat Agent 1	Vame	Aircraft Asst.	Lab. Fie	id Sup UCO - Group	For. Lang Asst.		
Sub Invest Asst by FO (s)			Computer	Pen Reg	gisters UCO - Nat. E	Back Non FBI Lab Ex		
Asst. FO(s),,,	RA	Squad	Consen Mon.	Photo C	over. NCAVC / VI	- CAP Vict-Witn Coor		
A, B, C, D	PROU		Elsur / FISC	Polygraj	oh Crim/NS Inte	l Asst O Wanted Flyer		
	Assisting Agents Soc.	Sec No X	Elsur / T. III	Search \	Varrant Crisis Neg	Fed. SARs		
Task Force	7 socioung 7 gents coo.	000.110.	Eng. Field Spt	Show M	oney Crisis Neg	Local CART b6		
			Eng. Tape Ex	SOG As	st. ERT Asst.	b70		
			Legats Asst.	Swat Te	am Butte - ITC			
			Evid Purchase	Tech. Ag	/Equip. Sav - ITC			
			Inf/CW Info	Phone T	<del></del>			
<u> </u>	l					2-4		
A. Complaint / Information		F. Convic	tion		J. Civil Rico Matters			
☐ Federal ☐ Local ☐	International	<b>⊘</b> Fede	ral 🗌 Local 🔲 Interna	tional	Also Complete "Sec			
Complaint Date:		Convict	tion Date: 6/24/0	) <u>}_</u>	Other Civil Matters	· · · · · · · · · · · · · · · · · · ·		
Check if Civil Rico Compl	laint 🔲	,	Description Code:		Judgment			
Information Date:		1	G, H-Include Agency Co		Judicial Outcome	•x		
Indictment Date:		Felo		demeanor	Amount \$			
B. Locate/ Arrest		☐ Plea	•		Suspension: Years	Months		
- Federal □ Local □	I International		RT_ Judicial Distric			<u></u>		
Subject Priority: A [			- Julian Didina	···	K. Administrative San	ction Date:		
Locate Date:		G. U.S. Co	de Violation		Subject Description	Code•		
Arrest Date:		Require	d for sections A,B,F,and	J	Type: Length:			
Subject Resisted Arre		(Federa	• • • • • • • • • • • • • • • • • • • •		☐ Suspension [	Permanent		
☐ Subject Arrested was	Armed	Title		Counts	☐ Debarment or			
C. Summons Date:		12	371		-	Year Months		
☐ Federal ☐ Loca	1	<u> </u>				,		
		ļ —			L. Asset Seizure Date			
D. Recovery/Restitution/P					Asset Forfeiture D			
☐ Federal ☐ Local ☐					CATS # Mandato	*		
Recovery Date: Amount			ce Date:		Check one of the thr			
	t \$	1	e Type:,,		☐ Asset Forfeiturle			
Restitution Date:		In Jail:	Years Mo		Asset Forfeitune			
Court Ordered P		1	ded: YearsM		Asset Forfeiture			
Code •✓ Amount		Probation Fines:	on: Years Mo \$		Do not indicate \$ va	_		
PELP Date:		Filles.	Φ		? .			
Code •✓ Amount	t \$	I. Disrupt	ion/Dismantlement:		M. Acquittal / Dismiရန်s	al / Pretrial-Diversion		
E. Hostage(s) Released Da		Disrupti	on Date:		Acquittal Date:			
Released by: Terroris		Dismantlement Date:			1			
Number of Hostages:				Pretrial Diversion Da	ate:			
		L			<u> </u>	b6		
N. Subject Information (Re	quired for all Section	s excluding S	Section D (Recovery/PE	P), Section E (I	lostage), Section I, and Se	ection L). b7		
	Name			Race ● I Sex	Date of Birth Social	Security No. (if available)		
×								
For indictments/Convictions only:	Anton Our - it is too	(400) :: :: -	Name	lon/C	annon Caribbaan as Nissel-	n Organizad Crima Crava		
Subject related to an LCN, A Complete FD-515a, Side 1	asian Organized Crime Blocks A-E mandatory, I	(AUU), Italian ( F-H as appropri	urganizea Crime (IOC), Ru iate.	ssian/Eastern Eur	opean, Canobean, or Nigeria	n Organized Critile Group -		
Subject related to an OC/Dr Complete FD-515a, Side 1 E	ug Organization, a VCM	O Program Na	tional Gang Strategy targe	group, or a VCM	O Program National Priority I	nitiative target group -		
x Additional information may be		nother form or	nlain sheet of naner for a	dditional entries		Serial No. of FD-515		
<ul> <li>See codes on reverse side.</li> </ul>			•			234		
<ul> <li>Requires that an explanation</li> </ul>	he attached and loads	d into ISDAA 4-	er roccuons over \$1m and !	OFI P over \$5m		(X57)·		

FILE COPY

#### Sections 3-5 thru 3-5.3. For Further Instructions See: MAOP, Park

#### PROPERTY CODES

- 01 Cash
- Stocks, Bonds or Negot. Instruments 02
- 03 General Retail Merchandise
- 04 Vehicles
- Heavy Machinery & Equipment
- 06 Aircraft
- 07 Jewelry
- 08 Vessels
- 09 Art, Antiques or Rare Collections
- 11 Real Property
- All Other

#### SENTENCE TYPES

- Capital Punishment
- Jail Sentence
- Life Parole LP
- Life Sentence
- No Sentence (Subject is a Fugitive, Insane, has Died, or is a Corporation)
- PB Probation
- Suspension of Jail Sentence
- YC Youth Correction Act

#### PELP CODES

- 22 Counterfeit
  - Stocks/Bonds/Currency/ Negotiable Instruments
- Counterfeit/Pirated Sound
- Recordings or Motion Pictures
- Bank Theft Scheme Aborted
- Ransom, Extortion or Bribe Demand Aborted
- Theft From or Fraud Against 26 Government Scheme Aborted
- 27 Commercial or Industrial Theft Scheme Aborted
- All Other

#### RACE CODES

- Asian/Pacific Islander A
- Black В
- Indian/American
- IJ Unknown
- W White
- Х Nonindividual

#### AGENCY CODES

- Air Force Office of Special Investigations **AFOIS**
- ACIS Army. Criminal Investigative Service ..
- Bureau of Alcohol, Tobacco & Firearms BATF
- Bureau of Indian Affairs BIA
- Defense Contract Audit Agency DCAA
- Defense Criminal Investigative Service DCIS
- DEA Drug Enforcement Administration
- Department of Corrections DOC
- DOI Dept. of Interior
- Environmental Protection Agency EPA
- Federal Aviation Administration FAA
- FDA Food and Drug Administration
- Dept. of Health & Human Services HHS
- Dept. of Housing & Urban Development HUD
- Immigration and Naturalization Service INS
- IRS Internal Revenue Service
- NASA Nat'l Aeronautics & Space Admin
- Nat'l NARC Border Interdiction **NBIS** Naval Criminal Investigative Service
- NCIS Royal Canadian Mounted Police RCMP
- Small Business Administration SBA
- USBP U.S. Border Patrol
- USCG U.S. Coast Guard
- U.S. Customs Service USCS
- U.S. Department of State USDS
- U.S. Marshals Service USMS
- USPS U.S. Postal Service
- U.S. Secret Service USSS
- USTR U.S. Treasury
- LOC Local
- CITY City
- COUN County
- ST State
- OTHR Other

TERRORISTS

Known Member of a

or Sympathizer

UNION MEMBERS

President

Treasurer

5E

5F

5G

5H

**5**I

5J

5K

5L

5M

5N

5P

50

5R

5S

5T

5U

Vice-President

Secretary/Treasurer

**Business Agent** 

Representative

Business Manager

Financial Secretary

Office Manager

Shop Steward

Recording Secretary

Organizer

Clerk

Member

Trustee

Other

Executive Board Member

Terrorist Organization

Possible Terrorist Member

#### SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME **SUBJECTS**

- 1F Bóss
- Underboss 1G
- 1H Consigliere
- IJ **Acting Boss**
- Capodecina 1K
- Soldier 1L

#### KNOWN CRIMINALS

- Top Ten or I.O. Fugitive
- 2B Top Thief
- Top Con Man 2C

#### FOREIGN NATIONALS

- 3A Legal Alien
- Illegal Alien 3B
- 3C Foreign Official W/out
- Diplomatic Immunity 3D U.N. Employee W/out
- Diplomatic Immunity
- 3F Foreign Student
- 3F All Others

## OTHERS

- All Other Subjects
- Company or Corporation 8B

#### JUDGMENT CODES

- Consent Judgment
- Court Ordered Settlement CO
- Default Judgment DF.
- DI . Dismissal . .
- Judgment Notwithstanding JN
- Mixed Verdict MV
- Summary Judgment SI
- VD Verdict for Defendant
- Verdict for Plaintiff

# , JUDICIAL OUTCOME

- AG Agreement
- Barred/Removed
- Civil Contempt CC
- DC Disciplinary Charges
- FI Fine
- Preliminary Injunction ΑPI
- Temporary Restraining Order PŔ
- Pre-filing Settlement PS
- ŔŃ Restitution
- βP Suspension
- VR Voluntary Resignation

#### Other

#### SUBJECT PRIORITY

- Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five years
- Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.
- All other subjects.

# GOVERNMENT SUBJECTS

- Presidential Appointee
- U.S. Senator/Staff **6B**
- U.S. Representative/Staff 6C Federal Judge/Magistrate 6D
- 6E Federal Prosecutor
- 6F Federal Law Enforcement Officer

(6F,6G,6H- Include Agency Code)

- Federal Employee GS 13 & Above 6G
- Federal Employee GS 12 & Below 6H
- 6J Governor 6K Lt. Governor
- State Legislator 6L
- State Judge/Magistrate 6M
- State Prosecutor 6N
- State Law Enforcement Officer 6P
- State All Others 6Q
- Mayor 6R
- Local Legislator 6S **6T**
- Local Judge/Magistrate Local Prosecutor 6U
- Local Law Enforcement Officer 6V
- 6W Local - All Others County Commissioner 6X
- City Councilman

# BANK EMPLOYEES

- 7A Bank Officer
- 7B Bank Employee

# \*\*\*\*\*\* CONVICTION \*\*\*\*\*\*\*\*\*



SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295 Serial No.:	Stat Agent Name: Stat Agent SOC.:	Report Date: 08/27/2002 Accom Date: 06/24/2002	1.0
Does Accomplishment Involve  Drugs	Assisti	RA Squad Task Force	b6 b7С b7Е
AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC ELSUR/III ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH LCD LCD LCD LCD LCD LCD LCD LCD LCD LCD	TOP GROUP I  CO-GROUP II  CO-OTHER  CAVC/VI-CAP RIM/NS INTEL RIS NEG-FED RIS NEG-LOC RT ASST UTTE-ITC AVANNAH-ITC CO-GROUP II FT. MON-NRCSC FOR LANG ASST VICT-WITN COOR IO WANTED FLYR SARS CART  CART	PROV P1  1 = Used, but did not help  2 = Helped, Minimally  3 = Helped, Substantially  4 = Absolutely Essential	<b>b7E</b>
Date of Conviction (MM/DD/YYYY)  Federal, Local, or International (F/L/I) Felony or Misdemeanor (F/M)  Plea or Trial (P/T)	U. S. Code Violation(s)  Title Section Counts  18 1962D 1	Form FD-515a: Subject's Role =	b7E
	18 371 2		

Accomplishment Narrative

CONVICTED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND ON 1 COUNT IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 1962 (D) AND TWO COUNTS IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 371

b6

b7C

# FD-515 (Rev. 8-1-00) Squad supervisor approval

Accomplishment Report
(Accomplishment must be reported and loaded into ISRAA within 30 days from date of accomplishment)

Date Prepared 9-4-2007
Date Loaded 9-4-02

(please initial)	•	Within	o days no	in date of acco	undusium	5111)		Data Load	er's Initials -	07n/3
Accomplishment involves: (check all that apply)	File Numb	or	l [	<del></del>	Inv	vootiesti.	/e Assistance			<i>y</i>
Drugs	1946 · B5 - 812			1-Used	ını but did no,	_		3-H	lelped, substar	
A Fugitive					ed, minima		r FO (s) indicate	4 - A	bsolutely esse	
Bankruptcy Fraud	Stat Agent Soc.	Sec. No.	Rate FO		Rate FO	_ IAT	Rate FO		Rate FC	
Computer Fraud/Abuse	^		I TABLE 10	Fin. Analyst	nate 10	Lab. Div.	_	UCO - Group		Ft. Mon ITC
Corruption of Public Officials Money Laundering	Stat Agent N	lame		Aircraft Asst.		Lab. Field	Sup	UCO - Group		For. Lang Asst.
Sub Invest Asst by FO (s)				Computer		Pen Regis	sters	UCO - Nat. B		Non FBI Lab Ex
	RA	Squad		Consen Mon.		Photo Co		NCAVC / VI -		Vict-Witn Coor
Asst. FO(s),,,,		-1		Elsur / FISC		Polygraph	1	Crim/NS Intel	Asst	IO Wanted Flyer
	Assisting Agents Soc.	Soo No X		Elsur / T. III		Search Wa	arrant	Crisis Neg	Fed.	SARs
Task Force	Assisting Agents Soc.	5ec. No.	il	Eng. Field Spt		Show Mor	ney	Crisis Neg		CART
				Eng. Tape Ex		SOG Assi	t.	ERT Asst.		b6
				Legats Asst.		Swat Tea	m	Butte - ITC		ь70
				Evid Purchase		Tech. Ag/E	Equip.	Sav - ITC		b7I
				inf/CW Info		Phone To	il Rec	Poc - ITC		
A 01-1-1-1	<b>-</b>		<u> </u>				1 01.215		Data	
A. Complaint / Information		F. Convic				Ì		co Matters mplete "Seci		
Federal Local	=			ocal   Interna				implete Seci Sivil Matters		
Complaint Date:		Convic	tion Date:	: 2/14/6	2000	<del>_</del>		ent	· · · · · · · · · · · · · · · · · · ·	
Check if Civil Rico Comp							_			<del></del> .
Information Date:		For 6F,	G, H-Incl	ude Agency Co	ode	<b>-</b>				•x
Indictment Date:		☑ Felc	ny (	or 🗌 Mis	demeano	or		\$		
B. Locate/ Arrest		🗓 Plea	1	or 🗌 Tria	al		Suspen	sion: Years	Monti	ns
☐ Federal ☐ Local ☐		State: _	,	Judicial Distri	ct:	[	16 4 -1	-1	ation Date:	
Subject Priority: A			.1. 10-1-1	•				strative San		
Locate Date: Arrest Date:		G. U.S. Co		ion ions A,B,F,and	.1		-	Description		-
☐ Subject Resisted Arre		(Federa		٠ المرام ١٥٠١٥	•	ĺ	Type:		Length:	
☐ Subject Arrested was		Title,			# Counts			pension [		nt
· · · · · · · · · · · · · · · · · · ·			<i>!</i>	19511	25	— l	☐ Deba		or	
C. Summons Date: Loca				<del></del> -		— l	∐ Injur	ection '	rear	Months
	ai					— t	1 A	Salanuna Data		
D. Recovery/Restitution/F				-				ieizure Date orfeiture Da		
☐ Federal ☐ Local ☐				·				Mandatory		
Recovery Date:		H. Senten	ce Date:	8/21/2	2002			ne of the thr		
Code ● ✓ Amour	nt \$ nt \$	Sentend	се Туре:		•	ł		et Forfeiture -		tive
Restitution Date:		In Jail:			onths			et Forfeiture -		i
Court Ordered	Pretrial Diversion	Suspen			onths onths		☐ Asse	et Forfeiture -	- Criminal	
Code • 30 ✓ Amour	nt \$ <b>60,000</b>	Probation Fines:		ars <u> </u>	ontris		_	indicate \$ va		on D
PELP Date:		1 11100.	Ψ_	2,000						-:
Code • Amour	nt \$	I. Disrupt	ion/Dism	antlement:			M. Acquitt	al / Dismiss	al / Pretrial i	Diversion
E. Hostage(s) Released D	ate:				_		Acquitta	J Date:		
Released by: Terrorist Other Dismantlement Date:						•				
Number of Hostages:				-515a Side 2 I						
Child Located Date:		Comple			a.i.uat0	• •				
N. Subject Information (Re	equired for all Sections	s excluding S	Section D	(Recovery/PE	LP), Sect	tion E (H	ostage), Sect	ion I, and Se	ection L).	b6 b70
	Name				Race •	Sex	Date of Birth	Social	Security No.	(if available)
p <sup>i</sup>										
Subject related to an LCN,	Asian Organized Colmo /	AOC) Italian (	Organizad (	Crime (IOC) Pr	issian/Eas	tern Furo	nean Caribbe	an, or Niceria	n Organizad (	Crime Group -
Complete FD-515a, Side 1	Blocks A-E mandatory, F	-H as appropr	iate.							
Subject related to an OC/D Complete FD-515a, Side 1	rug Organization, a VCM Blocks A-C only.	O Program Na	tional Gan	g Strategy targe	t group, o	ra VCMO	Program Nati	onal Priority li	iitiative targe	ı group -
x Additional information may I		other form or	a plain she	et of paper for a	additional	entries.			Serial N	lo. of FD-515

See codes on reverse side. Requires that an explanation be attached and loaded into ISRAA for recovery over \$1m and PELP over \$5m.

FILE GOPY

#### Sections 3-5 thru 3-5.3. For Further Instructions See: MAOP, Par

#### PROPERTY CODES

01 Cash

Stocks, Bonds or Negot. Instruments 02

03 General Retail Merchandise

04 Vehicles

Heavy Machinery & Equipment

06 Aircraft 07 Jewelry

08

Vessels

09 Art, Antiques or Rare Collections

Real Property 11

All Other

#### SENTENCE TYPES

Capital Punishment

Jail Sentence JS

Life Parole I.P

Life Sentence

No Sentence (Subject is a Fugitive, Insane, has Died, or is a

Corporation)

PB Probation

Suspension of Jail Sentence

YC Youth Correction Act

#### PELP CODES

22 Counterfeit

Stocks/Bonds/Currency/ **Negotiable Instruments** 

Counterfeit/Pirated Sound

Recordings or Motion Pictures

Bank Theft Scheme Aborted

25 Ransom, Extortion or Bribe Demand Aborted

Theft From or Fraud Against 26 Government Scheme Aborted

27 Commercial or Industrial Theft Scheme Aborted

All Other

#### RACE CODES

Asian/Pacific Islander A

В Black

Indian/American

U Unknown

w White Х Nonindividual

#### AGENCY CODES

Air Force Office of Special Investigations **AFOIS** 

Army Criminal Investigative Service ACIS

BATF Bureau of Alcohol, Tobacco & Firearms

Bureau of Indian Affairs BIA

Defense Contract Audit Agency DCAA Defense Criminal Investigative Service DCIS

Drug Enforcement Administration DEA

Department of Corrections DOC

DOI Dept. of Interior

Environmental Protection Agency EPA

Federal Aviation Administration FAA

Food and Drug Administration FDA

Dept. of Health & Human Services HHS

Dept. of Housing & Urban Development HUD

Immigration and Naturalization Service INS

Internal Revenue Service IRS

NASA Nat'l Aeronautics & Space Admin

**NBIS** Nat'l NARC Border Interdiction

Naval Criminal Investigative Service NCIS

RCMP Royal Canadian Mounted Police Small Business Administration SBA

U.S. Border Patrol USBP

USCG U.S. Coast Guard

U.S. Customs Service USCS

U.S. Department of State USDS

U.S. Marshals Service USMS

USPS **IJ.S. Postal Service** 

USSS U.S. Secret Service

U.S. Treasury USTR

LOC Local City

CITY COUN County

State

OTHR Other

#### JUDGMENT CODES

Consent Judgment

Court Ordered Settlement co

30 EVE 3

DF **Default Judgment** 

Dismissal

JN Judgment Notwithstanding

Mixed Verdict ΜV

Summary Judgment SI

Verdict for Defendant VD

Verdict for Plaintiff

#### JUDICIAL OUTCOME

AG Agreement

BR Barred/Removed

Civil Contempt CC

DC Disciplinary Charges

FI Fine

Preliminary Injunction PI

Temporary Restraining Order PR

PS Pre-filing Settlement

RN Restitution

Suspension -SP

VR Voluntary Resignation

OT Other

#### SUBJECT PRIORITY

Subject wanted for crimes of violence (i.e., murder, manslaughter, forcible rape) against another individual or convicted of such a crime in the past five

Subject wanted for crimes involving loss or destruction of property valued in excess of \$25,000 or convicted of such a crime in the past five years.

All other subjects.

## SUBJECT DESCRIPTION CODES

#### ORGANIZED CRIME SUBJECTS

1F Boss

1G Underboss

1H Consigliere

IJ Acting Boss

1K Capodecina Soldier

# KNOWN CRIMINALS

2A Top Ten or I.O. Fugitive

Top Thief

2C Top Con Man

# FOREIGN NATIONALS

Legal Alien

Illegal Alien 3B 3C Foreign Official W/out

Diplomatic Immunity

3D U.N. Employee W/out Diplomatic Immunity

3E Foreign Student

All Others 3F

#### **OTHERS**

All Other Subjects Company or Corporation 8B

#### TERRORISTS

Known Member of a

Terrorist Organization **4B** Possible Terrorist Member or Sympathizer

#### UNION MEMBERS

5D President

5E Vice-President

5F

Treasurer Secretary/Treasurer 5G

Executive Board Member 5H

5I **Business Agent** 5J Representative

5K Organizer

Business Manager SL. Financial Secretary 5M

Recording Secretary 5N 5P Office Manager

5Q Clerk Shop Steward 5R

Member 5S Trustee

5U Other

5T

#### **GOVERNMENT SUBJECTS** (6F,6G,6H- Include Agency Code)

Presidential Appointee

U.S. Senator/Staff 6B

6C U.S. Representative/Staff

Federal Judge/Magistrate 6D Federal Prosecutor 6E

Federal Law Enforcement Officer 6F

Federal Employee - GS 13 & Above 6G

Federal Employee - GS 12 & Below 6H Governor

63 6K

Lt. Governor

State Legislator 6L State Judge/Magistrate

6N State Prosecutor

State Law Enforcement Officer 6P

State - All Others 60

6R Mayor

6S Local Legislator

6T Local Judge/Magistrate

Local Prosecutor 6U Local Law Enforcement Officer 6V

Local - All Others 6W

6X County Commissioner City Councilman

# BANK EMPLOYEES

Bank Officer

7B Bank Employee

09/1	872002	~. h
<b>JY/ I</b>	0/2002	

ON 2/14/2000

GUILTY IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND, TO 3 COUNTS IN

VIOLATION OF TITLE 18, U.S. CODE, SECTION 1951

		/
****	CONVICTION	****
SENSITIVE	/ UNCLASS	IFIED

_	
•	
•	

b7C

Case Number: 1948-BS-8	1295	Stat Agent Na Stat Agent St				m Date:: 02/14/2000	. b6
Does Accomplishmen				Assisti	ng Agents SOC	Subject Name	b7C b7E
Drugs	: N : N : N Officials: Y : N				1 = Used,	RA Squad Task PROV P1 but did not help	Force
Sub. Invest. Asst by C	Other FOs: e Assistance or T	echnique Used			2 = Helpe 3 = Helpe	d, Minimally d, Substantially utely Essential	
AIRCRAFT ASST COMPUTER ASST CONSEN MONITR ELSUR/FISC	LAB DIV EXAMS  LAB FIELD SUP PEN REGISTERS PHOTO COVERGE POLYGRAPH SRCH WAR EXEC	UCO-GROUP I UCO-GROUP II UCO-OTHER NCAVC/VI-CAP CRIM/NS INTEL CRIS NEG-FED	VICT-WI				b7E
ENG FIELD SUP ENG TAPE EXAM LEGATS ASST. EVIDNCE PURCH	SHOW MONEY SOG ASST SWAT TEAM TECH AG/EQUIP TEL TOLL RECS	CRIS NEG-LOC ERT ASST BUTTE-ITC SAVANNAH-ITC POC-WRCSC	CART				
Pate of Conviction (Market Property of Conviction (Market Property of Market Property of	nternational (F/L	./1)	: F	/14/2000			b7E
Plea or Trial (P/T) Judicial State Judicial District .			: RI				
			Code Violat				
		Title	Section	Counts	Form FD-515a: Subject's F		
	•	18	1951	3			
		Accom	olishment N	arrative			<b>b</b> 6

PLEADED

ON 8/21/2002

CODE, SECTION 1951

*****	SENTENCING	*****	,

Case Number: 194B-BS-8	1295	Stat Agent Name Stat Agent SOC.			Date: 09/04/200 ate.: 08/21/200	
Does Accomplishmen  Drugs	 : N : N : N	Stat Agent 555.		Agents SOC	Subject  RA Squad	b6 b7C b7E
Corruption of Public O Money Laundering			``		PROV P1	
FINAN ANALYST  AIRCRAFT ASST  COMPUTER ASST  CONSEN MONITR  ELSUR/FISC  ELSUR/III  ENG FIELD SUP  ENG TAPE EXAM  LEGATS ASST.  EVIDNCE PURCH	Assistance or Te	UCO-GROUP I UCO-GROUP II UCO-OTHER	FT. MON-NRCSC FOR LANG ASST NON FBI LAB EX VICT-WITN COOR IO WANTED FLYR SARS CART	1 = Used, but 2 = Helped, M 3 = Helped, S 4 = Absolute	Substantially	<b>b7</b> E
Type of Sentence Date of Sentencing Federal, Local, or Int	.: 08/21/2002 cernational (F/L/) Month	I): F				
Time in Jail: Time Suspended.: Probation Time.: 5 Total Fines:\$	5000					 

Accomplishment Narrative

SENTENCED IN U.S. DISTRICT COURT TO 5 YEARS SUPERVISED PROBATION AND FINED \$5,000 ON.HIS GUILTY PLEA TO 3 COUNTS IN VIOLATION OF TITLE 18,U.S

WAS

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# FEDERAL BUREAU OF INVESTIGATION

09/12/2002 Date of transcription Individual, who is not in a position to testify, provided the following information: This information was provided to for appropriate action. PLUNDERDOME case agent (telephonically) at Providence, RI 9/5/02 Investigation on Date dictated 9/12/02 194B-BS-81295 File # SA

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

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(Rev. \$-28-2000)



Precedence: ROUTINE

Date: 09/25/2002

To: Criminal Investigative

Attn: Public Corruption Unit

From: (Boston

Providence RA (P-1)
Contact: SA

Approved By:

Drafted By: War : wda

Case ID #: 194B-BS-81295 (Closed)

Title: PLUNDER DOME

Synopsis: Report of closing of captioned matter.

Enclosure(s): LHM (original and three copies)

Details: Now that the systemically corrupt racketeering enterprise that has been led by (former) Providence Mayor Vincent A. Cianci, Jr. for the past twenty years had now been completely dismantled by the FBI, captioned matter is considered "Closed" by the Boston Division. (Details of this miraculous feat are provided in the attached LHM which may be disseminated as necessary by FBIHQ.)

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## FEDERAL BUREAU OF INVESTIGATION

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9/27/02

Precedence: ROUTINE	Date: 09/25/2002
To: Boston Attn:	ASAC
From: Boston Providence RA (P-1) Contact: SA	
Approved By:	
Drafted By: \(\frac{1}{2}\):wda	
Case ID #: 194B-BS-81295 (Pending) 194B-BS-74741 (Pending)	
Title: PLUNDER DOME	
Synopsis: Request for letters of commer for non-FBI personnel who assisted in ca	ndation from the Director aptioned matters.
of the Boston Division has been investige public corruption involving both administ Rhode Island Mayor Vincent A. Cianci, Jrinvestigations were conducted during Ciandministration (1971 - 1984) resulting in lower level city officials and contracted fraud. Although there was substantial invastigation was himself directly participating in consufficient evidence to bring charges a first administration. Mayor Cianci's fin 1984 when he was convicted of assault lover and city contractor while two Province and city contractor while two Province and City contractor while two Province and City contractor while two Province and City Contractor while two Province and City Contractor W	strations of Providence, c. Several FBI anci's first in convictions of over 25 ors for corruption and information that Cianci orrupt activity, there was against him during his irst administration ended ting his ex-wife's alleged vidence Police officers a talk show host during was again elected in 1990 him his racketeering
During Cianci's second administresponsible for the renaissance of Providid experience significant improvement, of corruption. Popularity polls reflected and in 1994 and 1998, after running unopmaking him the longest serving mayor in	idence. The downtown area but not without the taint ed high ratings for Cianci pposed, he was reelected
Beginning in 1994, the FBI in investigations relative to corruption w	itiated various ithin the highest levels
	general company and the same of the same of
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20000	EFP.

Boston From: Boston 194B-BS-81295, 09/25/2002 To:

Re:

of Cianci's second administration.
of claimer b become admiring control of the control
Although significant intelligence was gathered

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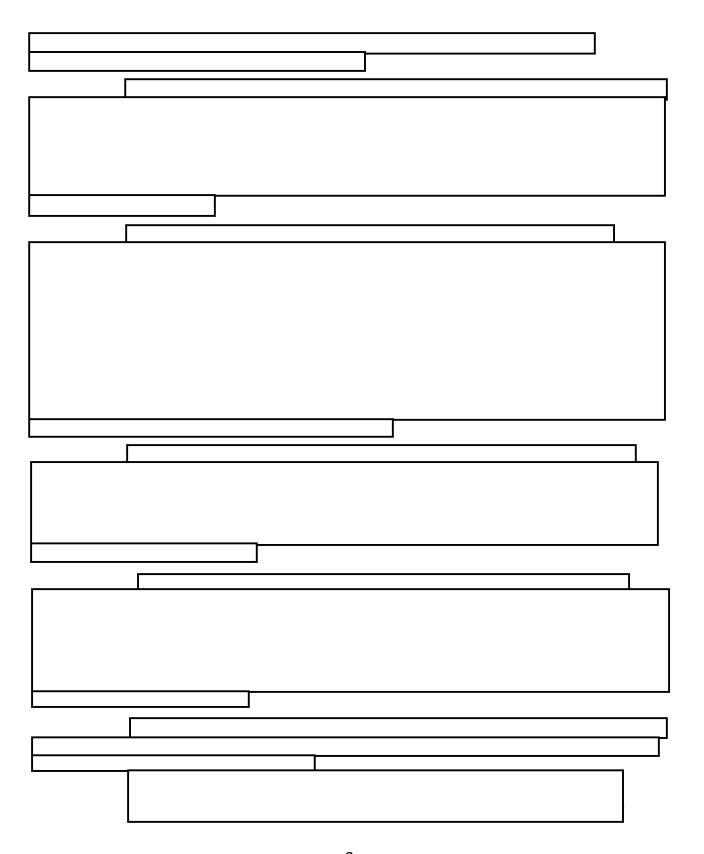
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Boston From: Boston 194B-BS-81295, 09/25/2002 To:

Re:



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On April 28, 1999, searches and arrests were made	
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	b6 b7С b7D
After breaking the secret veil of corruption  Other FBI  Agents were assigned investigative responsibilities for newly identified avenues of investigation and assistance was sought	b6 b7C b7E
was assigned co-responsibility for investigating the Providence City Tow Association. He worked diligently and developed numerous tow operators as witnesses for the government in spite of the fact that those tow operators were reaping significant benefits through paying extorted campaign contributions to Cianci and and faced certain retribution if they cooperated.	b6 b7С
During the initial phases of "Plunder Dome" First  Assistant U.S. Attorney (AUSA) provided legal guidance and direction to the investigation. He viewed all audio/video tapes and listened to all the audio tapes. He provided immediate access to the case agent and provided valuable insight and support to the investigation.	b6 b7C
During the final covert phases of "Plunder Dome," AUSA was assigned primary prosecutive responsibilities	b6 b7С

To: Boston From: Boston

Re: 194B-BS-81295, 09/25/2002

A Special Federal grand jury was impaneled in May, 1999. During the course of the overt investigation, the FBI conducted over 500 interviews and the grand jury issued over 200 subpoenas. Thousands of documents were gathered through the searches and subpoenas.

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As the investigation progressed, AUSA utilized his excellent organizational and legal skills to sort through the mounds of evidence. Under the direction of First Assitant he developed and implemented a complex but sound prosecutive theory.
AUSA was the primary prosecutor for the complex "Tow List" aspects of the investigation and prosecution. AUSA also handled all legal motions prior to and during the trial. It was AUSA persistence, professionalism and keen knowledge of the law that allowed for success of this matter.
The following subjects pled guilty to various corruption related charges:
JOE PANNONE - Former Chairman. Board of Tax Assessment Review, City of Providence.  He is Currently serving a 60 month sentence.

b6 b7C b6 b7C Just prior to the trial of Deputy Tax Assessor Rosemary b6 Glancy b7C b7D Rosemary Glancy was convicted of all counts after a three week trial prosecuted flawlessly by AUSA Glancy was b6 b7C subsequently sentenced to 33 months until life threatening kidney failure earned her a compassionate release. She subsequently died on January 14, 2001. Based on the tape recordings and subsequent b7E investigation, b6 b7C b7D b6 b7C b7D

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Re:

Boston From:

194B-BS-81295, 09/25/2002

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During the course of the investigation, it was determined that the Providence Police Department had been rigging the promotional process for the rank of captain and above for the purpose of rewarding significant fund raisers for and contributors to Mayor Cianci. SAs conducted a complicated detailed analysis of all the promotional records of the Providence Police Department and were able to determine that every promotional process for the rank of sergeant and above have been rigged for the past seven years. As a result of the investigation, the Providence Police Union has taken steps to correct the deficiencies in the

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promotional system

194B-BS-81295, 09/25/2002

of operations.

of that investigation have been forwarded to the Rhode Island Attorney General for prosecution.

On April 2, 2000, the Federal Grand jury issued an indictment charging the following individuals with various criminal acts relating to a RICO conspiracy.

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VINCENT A CIANCI JR. Mavor, City of Providence
EDWARD VOCCOLA, Providence Business Owner
The 93 page indictment contained 33 individual counts of racketeering, extortion, money laundering, mail fraud, bribery, obstruction of justice, witness tampering and conspiracy included in which are 114 racketeering acts.
The indictment also sought the forfeiture of "Friends of Cianci," Cianci's campaign fund and various Voccola properties.
Prior to trial, Pannone pled guilty to various racketeering charges and was sentenced to a 60 month term to run concurrent, but not more than the current 60 month term his is serving. U. S. District Court Judge Ernest Torres ruled that would be tried separately.
The "Plunder Dome" trial was the first in the district to utilize digital electronic courtroom technology. Every video and audio tape along with every piece of documentary evidence (1200 government exhibits) had to be digitized for presentation to the judge and jury. Also, copies of over 8000 items were provided to six defendants during the discovery process.
plus tapes from "Plunder Dome."
worked diligently during the discovery process to coordinate the distribution of discovery materials. She also coordinated the digitization of the tapes and documents and successfully operated the electronic equipment during the trial that allowed for the presentation of the evidence to the judge and jury. Her dedication and tireless efforts greatly enhanced the efficiency

Boston From:

194B-BS-81295, 09/25/2002 Re:

On April 17, 2002, trial commenced for Cianci and Voccola. AUSAs prosecution responsibilities during the trial, both arguing to the judge and jury and presenting witnesses. After six weeks of testimony by 60 witnesses, the prosecution rested. After the prosecution ended its case, U.S. District Judge Ernest Torres stated that although there was sufficient evidence presented to indicate that Voccola had paid bribes to and that Voccola had committed money laundering with the proceeds of that illicit activity, the judge was of the opinion that Voccola did not share the same goals of the RICO enterprise and therefore was acquitted of the RICO counts. Due to statute of limitations issues, Voccola had not been charged with other substantive counts and he was released. USDC Judge Torres also acquitted defendant Cianci of the witness tampering counts. The defense presented two weeks of testimony prior to resting.

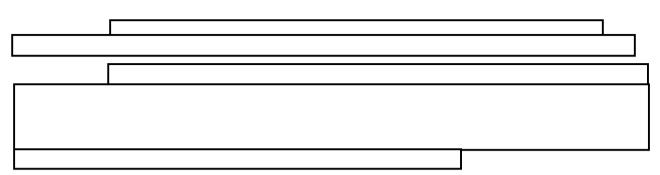
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After deliberating for nine days, the jury convicted of RICO Conspiracy (18 U.S.C. §§ Cianci, 1961 (c), (d), and 2). That count charged the three as members and associates of an enterprise who engaged in extortion, mail fraud, bribery, money laundering, and witness intimidation, operating in the District of Rhode Island, and elsewhere. The enterprise made use of, among other things, the City of Providence, Rhode Island ("Providence") and various offices, agencies, and entities of Providence, including, but not limited to, the Office of Mayor; the Office of the Director of Administration; the Providence City Solicitor's Office; the Department of Planning and Development; the Providence Redevelopment Agency; the Tax Collector's Office; the Tax Assessor's Office, the Board of Tax Assessment Review, the Finance Department; the Department of Public Safety; the Providence School Department; the Department of Inspection and Standards; and the Building Board of Review. The enterprise also made use of the Friends of Cianci, the political organization of Defendant Cianci. The purpose of the enterprise was to enrich defendant Cianci and Friends of Cianci through extortion, mail fraud, bribery, money laundering, and witness intimidation; and through the same means enrich, promote, and protect the power and assets of the leaders and associates of the enterprise. manner and means of the RICO conspiracy included the facts that Cianci used the Friends of Cianci campaign fund to obtain money from individuals and entities doing business with and employed by the City of Providence under the guise of legitimate campaign to receive contributions. Cianci would use cash on Cianci's behalf w hich allowed Cianci to conceal and deny his active role in the criminal affairs of the enterprise.



On 7/11/02, Cianci announced that he would not seek reelection. On 7/17/02, Judge Torres denied defense motions for acquittal and on 8/9/02 order the forfeiture of Friends of Cianci campaign funds.

On 9/6/02, Judge Torres issued the following sentences:

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Vincent A. Cianci, Jr. - 64 months in prison, \$100,000 fine, \$200 special assessment and \$250,000 forfeiture of "Friends of Cianci" campaign funds.

Print, radio and television media coverage of this matter and prosecution has been substantial and supportive of the investigation. Through the investigation, trial and subsequent media coverage, the public has now been made aware of a long existing systemically corrupt form of city government and the costs of that corruption. The resulting public outcry against corruption has been swift and significant. Mayor Cianci has gone from being one of the most popular mayor's in the United States to one who is despised and distrusted. The Rhode Island general public is now recognizing the costs of corruption and is questioning its own past tolerance of corrupt public officials. Candidates to replace Mayor Cianci have all taken an anticorruption stance. As U.S. Attorney Margaret Curren stated in her post-conviction press conference, "Providence now has the opportunity to truly become a renaissance city."

The tremendous success of this investigation and prosecution could not have been achieved without the significant contributions of individuals as described above. Therefore, it is recommended that letters of commendation from the Director be provided to the following individuals:

Boston From: Boston 194B-BS-81295, 09/25/2002 To: Re:

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