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TECHNICAL REQUEST FORM

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

To: **TECHNICAL ADVISOR** Date: 2-19-98

From: SSA [redacted]

Case Agent [redacted]
Squad P-1
Ext. 122
Beeper [redacted]

b6
b7C

Case Title: Joseph Pannone
Chairman, Providence Tax Assessment Review Board
City of Providence

Case File # 194B-BS-81295

TYPE OF COVERAGE DESIRED

[redacted]

b7E

TECHNICAL SUPPORT FOR

☐ Group I ☐ Group II ☐ Off-Sites ☐ Task Force

TARGET INFORMATION

Subscriber: _____ Subscriber: _____
Address: _____ Address: _____

Telephone # _____ Telephone # _____

Details: [redacted]

b7E

Plant Location: [redacted]

APPROVALS

Supervisor: K ASAC: _____ CDC: _____

194B-BS-81295-4

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SERIALIZED ___ FILED ___
FEB 19 1998
FBI-BOSTON

For Technical Use Only

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE Date: 06/12/1998

To: Boston

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

b6
b7C

Approved By: [redacted]

Drafted By: [redacted] WDA

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
OO: 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.

♦♦

6/12/98 [redacted]

(1) Please institute use of code name

(2) Please cross-reference captioned file number with 194B-BS-74741 and 194B-BS-80859

b6
b7C

194B-BS-81295-14

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JUN 12 1998
FBI-BOSTON

UPLOADED

WITH/TEXT ___

WITHOUT/TEXT ___

BY ___

DATE 6/12/98

FD-302 (Rev. 10-6-95)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 6/15/98

[redacted] a recording device was placed [redacted] b7D b7E

The following is a summary of the pertinent portions of the recording:

[redacted] b7D b7E

UPLOADED

195WDA04.302

WITH/TEXT

WITHOUT/TEXT L

Investigation on 6/8/98 at Providence, RI

File # 194B-BS-81295 [redacted] Date dictated 6/15/98 b6

by SA [redacted] b7C b7D

BY EAP

DATE 6/19/98

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.

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 06/26/1998

To: Boston **Attn:** SSA [redacted] b6
SA [redacted] b7C

From: Criminal Investigative
Corruption/Civil Rights Section, PCU, Room 3149
Contact: SSA [redacted] X5702

Approved By: [redacted] b6 b7C

Drafted By: [redacted]:sh

Case ID #: 194B-BS-81295

Title: JOSEPH PANNONE, CHAIRMAN
TAX ASSESSMENT REVIEW BOARD,
CITY OF PROVIDENCE, RI;
CSLPO-LOCAL;
OO: BS

Synopsis: [redacted] b7E

Details: On 6/26/98, an appropriate Bureau official authorized [redacted] b7D b7E

Questions concerning this matter should be directed to SSA [redacted] Corruption/Civil Rights Section, Public Corruption Unit, X5702. b6 b7C

UPLOADED BY [illegible] ON 6/30/98

194B-BS-81295

SEARCHED ___ INDEXED ___
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JUN 26 1998
FBI - BOSTON

194B-BS-81295-26

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

LEAD (s):

Set Lead 1:

BOSTON

AT PROVIDENCE, RI

For appropriate action.

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 07/09/1998

To: Boston

From: SSRA [redacted] b6 b7C
Portsmouth RA
Contact: (603)431-4585, x3009

Approved By: [redacted] b6 b7C

Drafted By: [redacted]:ljc b7E

Case ID #: 66F-BS-4147
194B-BS-81295

Title: BOSTON UC REVIEW COMMITTEE MEETING
RE OPERATION "PLUNDER DOME,"
07/02/1998

Synopsis: Documentation of Boston UC Review Committee meeting regarding captioned matter.

Details: On 07/02/1998, ASAC [redacted] chaired a meeting of the Boston UC Review Committee regarding captioned matter. In attendance were ASAC [redacted] ASAC [redacted] ASAC [redacted] SSAs [redacted] SSRA [redacted] and SA [redacted] SSRA [redacted] participated in captioned meeting by speaker telephone link to the Portsmouth RA. b6 b7C

SA [redacted] gave a summary presentation regarding captioned Group I UCO proposal. SA [redacted] was asked to update the proposal with current contacts with a target of the investigation and to make minor modifications to the Group I UCO proposal. The Boston UC Review Committee approved forwarding the proposal to SAC BARRY W. MAWN following changes by SA [redacted]. b6 b7C

On 07/02/1998, SSRA [redacted] (UCC) received the revised Group I UCO proposal from SA [redacted] The proposal was signed by writer and forwarded to the SAC for his signature. b6 b7C

♦♦

194B-BS-81295 - 32

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194B-BS-81295

JUL 13 1998

FBI - BOSTON

K

The Providence Journal
Page: A-1
Edition: Sunday
Date: 10/19/2008
Title: A corrupt tax official and his disputed inheritance
Classification: 194B-BS-81295-NC
Office: Providence RA

194B-BS-81295-NC-46

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 Pannone, who once raked in the *scarole* as the bribe-taking, foul-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 long-delayed epilogue in Operation Plunder Dome, the corruption case that toppled longtime Mayor Vincent A. "Buddy" Cianci Jr.

FILE PHOTO

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 Plunder Dome, in which a businessman working undercover for the FBI had spent a year secretly recording corrupt encounters with Pannone and other city officials. Pannone opened the door to City Hall and even introduced the businessman to Cianci's top aide, 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, white-haired 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,"

SEE **PANNONE, A10**

projo.com

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

10-22-08

Pannone

Continued from Page A1

Pannone said on one tape. Describing a City Hall confederate who helped him lower people's taxes for kickbacks, 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 age 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 appropriately."

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.

later, the lawyer contesting 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

194B-BS-81295-48

FD-809 (Rev. 8-8-95)

INVESTIGATIVE INFORMATION REQUEST FORM

FBI, Butte Information Technology Center
400 North Main Street, Room #115
Butte, Montana 59701
- Commercial Telephone (406) 782-2304
- FTS: (406) 782-2304 FAX: (406) 782-9504, 782-9507 & 782-7418
- Secure FAX & STU III: (406) 782-2304, Ext. 26

ITC Use Only: BITC Record #: _____
Date/Time In: _____ / _____ ☐ am ☐ pm
Date/Time Out: _____ / _____ ☐ am ☐ pm
Database(s) Used:
1. _____ 5. _____ 9. _____
2. _____ 6. _____ 10. _____
3. _____ 7. _____ 11. _____
4. _____ 8. _____ 12. _____
Handled By: _____

TO: FBI, BUTTE INFORMATION TECHNOLOGY CENTER

Date: 8/14/98
Forfeiture/Seizure Related: ☐ **Type of Request:** ☑ **FAX** ☐ **Telcal** ☐ **Mail** **Reply:** ☑ **FAX** ☐ **Telcal** ☑ **Mail**
Requestor: [redacted] (Requestor Name is Required) **Phone #:** (401) 272-8310 **FAX #:** (401) 272-8335 **UCFN:** 194B-BS-81295 (UCFN (File #) is Required) b6 b7C
Office/RA: BOSTON / Providence RA **Precedence:** ☐ **ROUTINE** ☐ **PRIORITY** ☑ **IMMEDIATE**
Approximate turnaround times (48 hrs) (24 hrs) (2 hrs)

SEARCH CRITERIA (Attach additional sheets if necessary)
Name - Last: PANNONE First: JOSEPH Middle: _____
Alias: JOE Sex: M DOB1: 11/26/22 DOB2: / /
SSAN1: 036-12-1254 SSAN2: - - Spouse: _____
Fugitive: ☐ Yes ☑ No Driver's License #: _____ State: _____
RESIDENCE
Street Address: 86 Lucille St City/State: Providence, RI Zip: _____ Phone: (401) 274-5284
~~**BUSINESS**~~ Residence ~~Business~~ ~~Name:~~ 96 Lucille St, Providence, RI Street Address: _____
City/State: _____ Zip: _____ Phone: _____ Business ID#: _____

CHECK DESIRED SEARCH PARAMETERS (Please check only those that are needed)
☑ 1. Specific Information Desired _____
☑ 2. Determine All Individuals Associated with Social Security Number(s)
☑ 3. Report Validity of Social Security Number
☑ 4. Determine Who is Associated with Telephone Number(s)
☑ 5. Determine Address of Business/Person (____ U.S. MA, RI, CT State(s))
☑ 6. Determine Property Owned by Individual (✓ U.S. _____, _____, _____ State(s))
☑ 7. Determine Who Owns Property Listed Above
☑ 8. Determine Who Resides at Address Listed Above
☑ 9. Determine Financial Background Info, i.e., Bankruptcy, Judgements, Liens, UCC filings, or Lawsuits
☑ 10. Determine Corporate Business Info, i.e., Officer, Director, Registered Agent _____ (Person/Business)
☐ 11. Customs Border Crossings / Subject query / I-94 info *(circle one)*
☐ 12. Federal Prison Inmate Information
☐ 13. Telemarketing Complaints

Reply From: FBI, Butte Information Technology Center (BITC)
Return Reply To:
SAC, BOSTON
Attention: SA [redacted] b6 b7C
Based on search criteria, marked records are attached:
☐ Possible Identifiable Records ☐ Brief Synopsis of Information Found
☐ Other Peripheral Information ☐ No Information Found

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 08/19/1998

To: Boston **Attn.:** SAC & Undercover Coordinator

Finance Division **Attn:** [redacted] b6 b7C

From: Criminal Investigative Division
Undercover & Sensitive Operations Unit (USOU)/Room 3117
Contact: [redacted] x6005

Approved By: [redacted] JHT/(CD) b6 b7C

Drafted By: [redacted]

Case ID #: 194B-BS-81295

Title: "PLUNDER DOME"

Synopsis: "PLUNDER DOME" was approved on 08/18/98 by the Assistant Director (AD), Criminal Investigative Division (CID). "PLUNDER DOME" will expire as a Group I undercover operation (UCO) [redacted] Boston is to initiate appropriate controls to ensure compliance with the stipulations set forth in the enclosed minutes. b7E

Administrative: Reference telecall 08/18/98 from CID SSA [redacted] [redacted] to Boston SSA [redacted] advising that captioned UCO has been approved. b6 b7C

Enclosures: Enclosed for Boston is one copy of the CUORC minutes, including stipulations, approved by the AD, CID. b7E

Details: On 08/12/98, the Criminal Undercover Operations Review Committee (CUORC) recommended approval of your Group I UCO "PLUNDER DOME" [redacted] On 08/18/98 "PLUNDER DOME" was approved by the AD, CID, Thomas J. Pickard.

Funding has been approved in the amount of [redacted] This includes authority to spend [redacted] in Group I funds, no CI/CW funds and no Drug Purchase funds. b7E

Group I funding in the amount of [redacted] will be transferred to the requested account when Boston provides the required bank routing information. Boston should forward the bank routing information for transfer of approved "PLUNDER DOME" funds to the Public Corruption Unit and the Undercover and Sensitive Operations Unit (USOU). Boston's information will then be forwarded to the Confidential Services Unit (CSU), Finance Division (FD). b7E

194B-BS-81295-50

ASAC [redacted]

SSRA [redacted]

SEARCHED ___ INDEXED ___
SERIALIZED ___ FILED ___
AUG 11 1998
FBI - BOSTON

b6 b7C

To: Boston From: Criminal 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

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 08/21/1998

To: Boston **Attn:** SAC Mawn
Attn: SSA [redacted] b6
Providence RA b7C

From: Criminal Investigative
Corruption/Civil Rights Section/PCU
Contact: [redacted] X5702 ASAC [redacted]

Approved By: Pickard Thomas J
[redacted]
Jackson Theodore
Thomas Philip W b6
[redacted] b7C

Drafted By: [redacted]:sh

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

Title: PLUNDER DOME;
CSLPO-STATE LEVEL;
OO: BS

Synopsis: This communication clarifies certain stipulations originally placed on captioned Group I Undercover Operation (UCO).

Details: The Public Corruption Unit (PCU) presented captioned Group I UCO to the CUORC on 8/12/98. Several issues relating to [redacted] As a result, the CUORC recommended approval of the Group I UCO, with certain stipulations. This UCO was authorized by the Assistant Director, Criminal Investigative Division (CID), on 8/18/98, and an EC communicating same was forwarded to the Boston Division on 8/19/98. Instant communication will serve to clarify stipulations #4 and #5 contained within that 8/19/98 authorizing EC from CID to Boston. b7E

Stipulation #4, as originally described on the 8/19/98 EC, should be disregarded. The following stipulation replaces #4 and should be considered in effect as of the date of this communication: b7E

4. [redacted]

[redacted]

194B-BS-81295-5
AUG 31 UPLOADED
BY ON 8/28/98
FBI - BOSTON

[redacted] b7E

[redacted] b7E

[redacted] b7E

Other stipulations in the 8/19/98 EC remain in effect as originally stated.

Questions regarding this matter should be referred to SSA [redacted] Corruption/Civil Rights Section, Public Corruption Unit, (202) 324-5702. b6 b7C

♦♦

1 - Mr. Pickard
1 - [redacted]
1 - Mr. Jackson
1 - Mr. Thomas
1 - [redacted]
1 - [redacted]

b6
b7C

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 08/24/1998

To: BOSTON **Attn:** SSA [redacted] b6 b7C

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

Approved By: [redacted] b6 b7C

Drafted By: [redacted]:WDA

Case ID #: 194B-BS-81295

Title: PLUNDER DOME
CSLPO - LOCAL LEVEL

Synopsis: To recommend the opening of sub-files.

Details: Captioned matter was approved as a Group I UCO on 8/18/98. It is requested that the following sub-files be established for captioned matter.

SUBFILE	CODE
1A Exhibits	1A
FD 192s (Evidence)	1B
FD-192As (Bulky, Non-evidence)	1C
FD-302s and inserts	302
Background Info Re Subjects	
General	BC
VINCENT A. CIANCI, JR.	BC1
[redacted]	
Case Expenditures	CE
Elsur Administrative	ELA
Elsur Original Logs	EL1A
Elsur Summaries/Transcripts	EL1B
Physical Surveillance Logs	FISUR
Forfeiture	FF
Mail Covers	MC
Newspaper Clippings	NC
Subpoenas	SBP
Telephone Subscriber and Tolls	TEL
Pen Register - Administrative	PRA
Pen Register - Data Retrieved	PRD
TIII - Administrative	TIIIA

UPLOADED
WITH/TEXT L
WITHOUT/TEXT
BY EAP
DATE 8/31/98

b6 b7C

8/24/98 [redacted] L
① Please open each subfile as
② Assign ALL to Case Agent
③ Make sufficient copies for each subfile
194B-BS-81295-1B3

SEARCHED EAP INDEXED EAP
SERIALIZED EAP FILED EAP
AUG 24 1998
FBI - BOSTON

243 WDA01.EC

♦♦

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

jdp

Precedence: ROUTINE **Date:** 08/31/1998

To: Boston **Attn:** SAC Boston
SSRA [redacted]
SA [redacted]
FM [redacted]

b6
b7C

From: Boston
P-1/ Prov. RA
Contact: SA [redacted] Ext. 128

Approved By: [redacted]

Drafted By: [redacted] jdp

b6
b7C

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

Title: PLUNDER DOME;
CSLPO-LOCAL LEVEL;
OO: BOSTON

Synopsis: Request the opening of Case Expenditure (CE) Sub Files.

Reference: 194B-BS-81295

Details: It is requested that the following CE sub files be established for the following purposes:

CE(1) - Vouchers
CE(2) - Case Accounting records such as balance sheets, trial balances, income and expense statements, etc.
CE(3) - Quarterly audit reports and workpapers
CE(4) - Bank statements, canceled checks, and reconciliations
CE(5) - Credit card statements
CE(6) - Non-expendable property register
CE(7) - Deposits paid register
CE(8) - Miscellaneous bills, receipts, etc.

For the information of the above listed individuals the case accountant will be maintaining a computerized record of all cash receipts and disbursements.

UPLOADED

On August 31, 1998, Financial Manager [redacted] authorized case accountant Special Agent [redacted] to utilize a computerized set of records to record the cash receipts and disbursements for captioned matter.

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194B-BS-81295-54

EAP

9/1/98

9/1/98 [redacted] Pls open sub CE one thru Eight TKS

SEARCHED ___ INDEXED EAP
SERIALIZED ___ FILED EAP
SEP 1 1998
FBI - BOSTON

244jdp01.EC

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

1 - SAC, Boston
1 - SSRA [redacted]
1 - SA [redacted]
1 - FM [redacted]
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 CE7
1 - 194B-BS-81295 Sub CE8

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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 09/02/1998

To: Boston **Attn:** SSA [redacted]
SSA [redacted]
FM [redacted]

b6
b7C

From: Boston
P-1/ Prov. RA
Contact: SA [redacted] Ext. 128

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]: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 [redacted] for use in captioned matter.

b6
b7C

Reference: Telcall from FM [redacted] to Special Agent [redacted] on September 2, 1998.

Details: In referenced telcall FM [redacted] advised Special Agent [redacted] that he was authorizing the purchase of Quickbooks for use by Special Agent [redacted] in captioned matter. FM [redacted] advised Special Agent [redacted] that the money to purchase Quickbooks would come from the equipment budget.

b6
b7C

Special Agent [redacted] requests that Quickbooks be purchased and installed on the computer (Barcode# F1144329) in the Providence Resident Agency utilized by Special Agent [redacted] for use in captioned matter.

♦♦

UPLOADED
WITH/TEXT L
WITHOUT/TEXT
BY EAP
DATE 9/2/98

194B-BS-81295 - 55

SEARCHED EAP INDEXED EAP
SERIALIZED EAP FILED EAP
SEP 2 1998
FBI-BOSTON

245 jdp 01. EC

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

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 [redacted] X-5702 b6 b7C

Approved By: Jackson Theodore TJ
Thomas Philip W
[redacted]

Drafted By: [redacted] sh

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

Title: PLUNDER DOME
CSLPO-STATE LEVEL
OO: BS

Synopsis: Attached is a proposal for initial presentation to CUORC of the Group I undercover operation (UCO) code named PLUNDER DOME.

Enclosures: Enclosed are the following: (1) A copy of the Boston Division's Group I UCO proposal; (2) A copy of a signed letter from the United States Attorney endorsing the proposal; and (3) Completed Undercover Proposal Checklist.

Details:

[redacted] b6 b7C b7E

SEE CID ADDENDUM PAGE(S) 7+8

194B-BS-81295-57

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

b7E

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b7C
b7D

b7D
b7E

b6
b7C
b7D

b7D

b7D

[redacted] b7D b7E

[redacted] b7D b7E

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) [redacted] b7E

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 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) [redacted] b7E

2) [redacted]

[redacted] b7D b7E

[redacted] b7D b7E

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

b7D
b7E

b7E

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

CC:

1 - [redacted]
1 - [redacted]
1 - [redacted]
1 - [redacted]
1 - [redacted] (Attn: [redacted] b6
1 - [redacted] (Attn: [redacted] b7C
1 - [redacted]
1 - [redacted]
1 - [redacted]
1 - [redacted]
1 - [redacted]
1 - [redacted]
1 - [redacted] (Money laundering only)
1 - [redacted]
1 - [redacted]
1 - [redacted]
1 - [redacted]
1 - [redacted]
1 - [redacted]
1 - [redacted]
1 - [redacted] USOU
1 - [redacted] (Safeguard/Quantico)
1 - [redacted] (TPU/Quantico) (Technical Applications only)
1 - [redacted] (Money laundering Only)
5 - USOU
(1 - [redacted])
(4 - USOU)
1 - USOU Supervisor
1 - [redacted]
2 - Investigative Law Unit
(1 - [redacted])
(1 - [redacted])
1 - [redacted]

♦♦

ADDENDUM TO EC FROM DAD THEODORE JACKSON TO CRIMINAL INVESTIGATIVE, DATED 8/03/98, PREPARED BY SSA [redacted] PCU, 8/12/98

b6
b7C

[redacted]

b7E

MAYOR VINCENT CIANCI, JR.

- Allegations regarding corruption on the part of Cianci have been made for many years. [redacted] told FBI agents that he was aware of approximately 15 different contractors who paid bribes to Cianci for contracts and favors. [redacted] None of the contractors contacted would speak to FBI SA's to further corroborate these allegations.

b6
b7C

- [redacted]

b6
b7C
b7E

- [redacted]

b6
b7C
b7E

b6
b7C
b7E

- b7D

b7D

b6
b7C
b7D
b7E

b6
b7C

- Reliable sources have consistently stated to FBI agents that [redacted] is paid cash in order to facilitate the payment of monies owed by the city of Providence to vendors.

- b6
b7C
b7E

-

[redacted] b7E

- [redacted] b6 b7C b7D

[redacted] b6 b7C b7D

[redacted] told the FBI that [redacted] on several occasions. Additionally, Both the [redacted] and the [redacted] for the City of Providence told the FBI that the lease payments to Voccola were handled in an extraordinary manner, to the benefit of Voccola. b6 b7C

- [redacted] b6 b7C b7D

- [redacted] b6 b7C b7D b7E

- [redacted] b6 b7C b7D

[redacted] b6 b7C b7D

CHAIRMAN OF THE BOARD OF TAX ASSESSMENT JOSEPH PANNONE

- [redacted] b3 b6 b7C b7D

[redacted] b6 b7C

- [redacted] b6 b7C b7D

- [redacted] b7D

- [redacted] b7D

[redacted] b6 b7C

- Several credible sources have related that [redacted] has conspired, with [redacted] and other, in rigging bids in order to help people obtain leases and contracts with the city of Providence.

- [redacted] b6 b7C
- [redacted] b6 b7C b7D b7E
- [redacted]
- [redacted]
- [redacted] b3 b6 b7C b7D

The aforementioned provides a reasonable basis to believe that Vincent Cianci, [redacted] Joseph Pannone, and [redacted] have conspired, and are continuing to conspire, to circumvent the legitimate government process in the city of Providence for their personal benefit. b6 b7C

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 10/01/1998

To: Boston **Attn:** SSA [redacted] b6 b7C

From: Criminal Investigative
Corruption/Civil Rights Section, PCU, Room 3149
Contact: SSA [redacted] X5702

Approved By: Thomas Philip W [redacted] b6 b7C

Drafted By: [redacted] sh

Case ID #: 194B-BS-81295

Title: PLUNDER DOME;
CSLPO-LOCAL;
OO: BS

Synopsis: [redacted] b7E

Details: On 10/01/98, an appropriate Bureau official [redacted] b7D b7E

Questions concerning this matter should be directed to SSA [redacted] Corruption/Civil Rights Section, Public Corruption Unit, X5702. b6 b7C

♦♦

SEARCHED ___ INDEXED ___
SERIALIZED ___ FILED ___
OCT 7 1998
FBI - BOSTON

194B-BS-81295 58

UPLOADED BY SB ON 10/5/98

FD-302 (Rev. 10-6-95)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 9/24/98

A person who is not in a position to provide testimony advised that recently he/she was told by [redacted] that an individual had asked [redacted] [redacted] declined to assist in the investigation.

b6
b7C
b7D

[redacted] declined to tell the source the identity of the person who stated [redacted] but did tell the source that the person was [redacted]

X

[redacted] 279SMB01, 302 (CIU) UPLOADED 1948-BS-81295-60

Investigation on 9/24/98 at Providence, RI

File # 194B-BS-81295 (MAIN), [redacted] Date dictated 9/24/98

by SA W. [redacted]

BY ERP

DATE 10/7/98

SEARCHED ERP INDEXED ERP
SERIALIZED ERP FILED ERP
SEP 24 1998
FBI - BOSTON

b6
b7C
b7D

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.

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 10/14/1998

To: Boston **Attn:** SSA [redacted] b6 b7C

From: Criminal Investigative
Corruption/Civil Rights Section, PCU, Room 3149
Contact: SSA [redacted] X5702

Approved By: Thomas Philip W [redacted] b6 b7C

Drafted By: [redacted]:sh

Case ID #: 194B-BS-81295

Title: PLUNDER DOME;
CSLPO-LOCAL;
OO: BS

Synopsis: [redacted] b7E

Details: On 10/15/98, an appropriate Bureau official authorized [redacted] b7D b7E

Questions concerning this matter should be directed to SSA [redacted] Corruption/Civil Rights Section, Public Corruption Unit, X5702. b6 b7C

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194B-BS-81295-62

UPLOADED BY SB ON 10/19/98

K

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 10/21/1998

To: Boston **Attn:** SSA [redacted]
Providence RA
SSA [redacted]

b6
b7C

From: Criminal Investigative
Corruption/Civil Rights Section/PCU
Contact: SSA [redacted] X5702

Approved By: Thomas Philip W [redacted]

b6
b7C

Drafted By: [redacted] sh

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

Title: PLUNDER DOME;
CSLPO-LOCAL LEVEL;
OO: BOSTON

Synopsis: To advise of on-site review of Group I UCO PLUNDER DOME.

Details: SSAs from the Public Corruption Unit (PCU) and Undercover and Sensitive Operation Unit (USOU) will be in the Boston Division on Wednesday, 11/18 and Thursday, 11/19 for an operational assessment/training relating to corruption. The PCU and USOU will initiate an on-site review of captioned Group I UCO immediately subsequent to this training.

SSA [redacted] USOU, will meet with the UC coordinator, review [redacted] and interview the financial auditor with responsibility for this UCO on Wednesday, 11/18.

b6
b7C
b7D

SSAs will travel to Providence, Rhode Island during the afternoon of 11/19/98 to meet with SSA [redacted] the case agent, and [redacted] On Friday, 11/20, the SSA's will review the case file, interview the case accountant, and meet with [redacted] and AUSA. SAC Boston will be contacted at the conclusion of this review for an exit briefing. SSAs will complete the on-site review and depart Providence on Friday evening.

Questions regarding this matter should be referred to SSA [redacted] PCU, (202) 324-5702, or SSA [redacted] USOU, (202) 324-3731.

b6
b7C

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194B-BS-81295

SEARCHED ___ INDEXED ___
SERIALIZED ___ FILED ___
OCT 26 1998
FBI-BOSTON

194B-BS-81295-63
UPLOADED
BY SB ON 10/28/98

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE Date: 11/05/1998

To: Boston Attn: SA [redacted]
SA
SA

b6
b7C

From: Boston
Providence RA (P-1)
Contact: SRA [redacted] x138

Approved By: [redacted]

b6
b7C

Drafted By: [redacted]

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

Title: PLUNDER DOME

Synopsis: To assign leads to the designated accountant and quarterly audit for the captioned Group I undercover operation (UCO).

Details: SA [redacted] has been assigned as the case accountant for the captioned Group I UCO. SA [redacted] has been assigned the quarterly audits for the captioned Group I UCO.

b6
b7C

Assign leads from the captioned investigation to SA [redacted] and SA [redacted] respectively.

b6
b7C

CC: 1 - 194B-BS-81295
1 - 194B-BS-81295 Sub CE
1 - SA [redacted]
1 - SA
1 - SA

♦♦

b6
b7C

11/5/98
Assign leads to [redacted], Case accountant
Quarterly audits
KA
SA
TKS
K
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BY ERP.
DATE 11/5/98

194B-BS-81295 - 64

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FBI - BOSTON

(12/31/[illegible])

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE Date: 11/04/1998

To: Criminal Investigative Attn: SSA [redacted] b6
Public Corruption Unit b7C
Room 3149

From: RWm|K
Boston
Providence RA (P-1)
Contact: SRA [redacted] (401) 272-8310 x138 b6
b7C

Approved By: [redacted]

Drafted By: [redacted]

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

Title: PLUNDER DOME

Synopsis: To confirm authorization for a "T" number for the purchase of an air conditioning unit in support of the captioned investigation.

Details: This communication will confirm authorization received from SSA [redacted] Public Corruption Unit, to purchase one Carrier air conditioning unit, Model #51TCA081D, Serial #4394X30780, amount: $430.14, (purchased from JKL Engineering, 945 Westminster Street, Providence, R.I. 02903) in support of the captioned Group I undercover operation. b6 b7C

[redacted] b7E

CC: 1 - [redacted] b6
1 - SA [redacted] b7C

♦♦

UNCLASSIFIED
[redacted]
[redacted]
BY [redacted] EAP
DATE [redacted] 11/19/98

[redacted] Pls file in Plunder Dome Group I UCO 194B-BS-81295-65 b6 b7C

Reg 11/8/98

[redacted]

LHP

308DJK01.EC

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 11/30/1998

To: Boston **Attn:** SSA [redacted] b6 b7C

From: Criminal Investigative
Corruption/Civil Rights Section, PCU, Room 3149
Contact: SSA [redacted] X5702

Approved By: Thomas Philip [redacted] b6 b7C

Drafted By: [redacted] sh

Case ID #: 194B-BS-81295

Title: PLUNDER DOME;
CSLPO-LOCAL;
OO: BS

Synopsis: [redacted] b7E

Details: On 11/30/98, an appropriate Bureau official authorized [redacted] b7E

1) [redacted]

2) [redacted] b6 b7C b7E

Questions concerning this matter should be directed to SSA [redacted], Corruption/Civil Rights Section, Public Corruption Unit, X5702. b6 b7C

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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 12/03/1998

To: Boston **Attn:** SSA [redacted] b6 b7C

From: Criminal Investigative
Corruption/Civil Rights Section, PCU, Room 3149
Contact: SSA [redacted] X5702

Approved By: Thomas Philip W [redacted] MBC b6 b7C

Drafted By: [redacted]:sh

Case ID #: 194B-BS-81295

Title: PLUNDER DOME;
CSLPO-LOCAL;
OO: BS

Synopsis: [redacted] b7E

Details: On 12/03/98, an appropriate Bureau official authorized [redacted] b6 b7C b7E

This authority is granted [redacted] Boston Division requires FBIHQ authority [redacted]

Questions concerning this matter should be directed to SSA [redacted] Corruption/Civil Rights Section, Public Corruption Unit, X5702. b6 b7C

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UPLOADED BY LHP ON 12/17/98

194B-BS-81295-70

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 [redacted]
Attn: SSA [redacted]

b6
b7C

From: CID
USOU, Room 3117
Contact: SSA [redacted] Ext 6005

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]:gfr

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

Title: PLUNDER DOME;
CLSPO-STATE LEVEL;
OO: BOSTON

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 [redacted] (USOU), [redacted] (PCU) and [redacted] (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 [redacted] as well as the Assistant United States Attorney (AUSA) assigned to the project. The results of this review are summarized below.

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b7C
b7D

[redacted]

b7E

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[redacted]

b6
b7C

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 12/31/1998

To: Boston **Attn:** SSA [redacted] b6 b7C

From: Criminal Investigative
Corruption/Civil Rights Section, PCU, Room 3149
Contact: SSA [redacted] X5702

Approved By: Thomas Philip W [redacted] b6 b7C

Drafted By: [redacted]:sh

Case ID #: 194B-BS-81295

Title: PLUNDER DOME;
CSLPO-LOCAL;
OO: BS

Synopsis: [redacted] b7E

Details: On 12/31/98, an appropriate Bureau official authorized [redacted]

1) [redacted] b6 b7C b7E

2) [redacted] b7E

3) $ [redacted] b6 b7C b7E

[redacted] b7E

Questions concerning this matter should be directed to SSA [redacted] Corruption/Civil Rights Section, Public Corruption Unit, X5702. b6 b7C

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194B-BS-81295

JAN 11 1999

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

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 01/04/1999

To: Boston **Attn:** ASAC [redacted] b6 b7C

From: Boston
Providence RA (P-1)
Contact: SA W. [redacted]

Approved By: [redacted] b6 b7C

Drafted By: [redacted] wda

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

Title: PLUNDER DOME
CSLPO - LOCAL LEVEL
OO: BOSTON

Synopsis: To advise of status of investigation and anticipated searches.

Details: Captioned matter is a Group I UCO addressing corruption in the City of Providence. The covert investigation to date has established evidence of corruption in the areas of contracts, taxation, regulatory action and law enforcement in the City of Providence. As part of this investigation, [redacted] b6 b7C b7D

[redacted] b6 b7C b7D b7E

[redacted] b6 b7C b7E

194B-BS-81295-75

1/5/99 Please assign to lead to coordinate searches to KA

~~WDA00401.EC~~
011WDA02.EC

ERP ERP JAN 5 1999 b6 b7C

[redacted] b6 b7C b7E

All of the above locations are located in Providence, RI.

[redacted] b6 b7C b7E

Extensive media coverage is expected once the searches are initiated.

The following are estimates of the manpower needs:

[redacted] b6 b7C b7E

It is estimated that a total of [redacted] will be needed to conduct the above interviews and searches. Additionally, [redacted] will be needed for coordination purposes. b7E

[redacted] b7D b7E

[redacted] Case Agent [redacted] will be fully occupied handling these matters. b6 b7C b7E

Search warrant affidavits have been prepared and are being reviewed by the U.S. Attorney's office. SA [redacted] is coordinating the affidavits with AUSA [redacted]. b6 b7C

It is requested that additional personnel be immediately assigned to coordinate the above searches and interviews. SA [redacted] can provide those personnel with background material.

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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 1/05/99

To: Boston **Attn:** SSA [redacted] b6 b7C

From: Criminal Investigative
Corruption/Civil Rights Section, PCU, Room 3149
Contact: SSA [redacted] X5702

Approved By: Thomas Philip W [redacted] b6 b7C

Drafted By: [redacted]:sh

Case ID #: 194B-BS-81295

Title: PLUNDER DOME;
CSLPO-LOCAL;
OO: BS

Synopsis: [redacted] b7E

Details: On 1/05/99, an appropriate Bureau official authorized [redacted] b7E

Questions concerning this matter should be directed to SSA [redacted] Corruption/Civil Rights Section, Public Corruption Unit, X5702. b6 b7C

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JAN 26 1999
FBI - BOSTON

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 01/25/1999

To: Criminal Investigative **Attn:** SSA [redacted] b6
USOU b7C

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

b6
Approved By: [redacted] b7C

Drafted By: [redacted]: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 [redacted] b7E

Boston requests that a budget of [redacted] be approved for the next [redacted] period. b7E

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194B-BS-81295

JAN 25 1999

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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 02/16/1999

To: Boston **Attn:** SSA [redacted] b6
SA [redacted] b7C

From: Criminal Investigative
Corruption/Civil Rights Section, PCU, Room 3149
Contact: SSA [redacted] X5702 b6 b7C

Approved By: [redacted]

Drafted By: [redacted] :kkm

Case ID #: 194B-BS-81295

Title: PLUNDER DOME
CSLPO-STATE LEVEL
OO: BS b7E

Synopsis: [redacted]

Enclosures: Original [redacted] counter-signed by SSA [redacted] b6 b7C
[redacted] Contract Review Unit, FBIHQ. b7E

Details: On 02/16/1999, SSA [redacted] Contract Review Unit, FBIHQ reviewed and approved the enclosed [redacted] The original [redacted] counter-signed by SSA [redacted] b6 b7C b7D b7E

Questions regarding this matter should be referred to SSA [redacted] Corruption/Civil Rights Section, Public Corruption Unit, (202) 324-5701. b6 b7C

194B-BS-81295-83
AR 2/16/99

LEAD (s):

Set Lead 1:

BOSTON

AT PROVIDENCE, RI

For appropriate action.

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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 02/25/1999

To: Boston **Attn:** Public Corruption Squad

From: Criminal Investigative
Corruption/Civil Rights Section/Public Corruption Unit
Contact: Analyst [redacted] ext. 5701 b6 b7C

Approved By: [redacted]

Drafted By: [redacted] sb

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

Title: PLUNDERDOME
CSLPO

Synopsis: To advise Boston Division of FBIHQ approval for [redacted] b7E

Enclosure(s): Enclosed for Boston is an [redacted] with approval.

Details: The Public Corruption Unit (PCU), Corruption/Civil Rights Section/Criminal Investigative Division (CID), FBIHQ has authorized [redacted] b7E

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).

194B-BS-81295-85

MAR 1999

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.

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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/01/1999

To: Criminal Investigative

From: Deputy Assistant Director Theodore Jackson
Section Chief Philip W. Thomas
Contact: C/CRS/Public Corruption Unit, Room 3149

Approved By: Jackson Theodore
Thomas Philip W
[redacted]

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b7C

Drafted By: [redacted] sh

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

Title: PLUNDER DOME;
CSLPO - LOCAL LEVEL;
OO: BS

Synopsis: Attached is a proposal for renewal of the Group I Undercover Operation (UCO) "PLUNDER DOME". Group I authority originally authorized on 8/18/98, and set to expire on [redacted]

b7E

Enclosures: Enclosed are the following: (1) A copy of the Boston Division's Group I UCO proposal; (2) A copy of a signed letter from the United States Attorney endorsing the proposal; and (3) Completed Undercover Proposal Checklist; and (4) previous CUORC minutes.

Details:

[redacted]

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SEE CID ADDENDUM PAGE(S) 6-8

194B-BS-81295-86

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The objectives of the UCO during the renewal period are as follows:

b6
b7C
b7D
b7E

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b7E

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.**

b7E

These sensitive circumstances are mitigated by several factors. 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

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
b7E

BUDGET:

b7E

ASSET FORFEITURE:

Boston Division is exploring asset forfeiture as part

of this UCO.

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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/10/1999

To: Boston **Attn:** SA [redacted] b6 b7C
Providence RA

From: [redacted]
Contact: ASSA [redacted] 212-344-3133 b6 b7C

Approved By: [redacted] b7E

Drafted By: [redacted] nfm

Case ID #: 194B-BS-81295 (Pending)
66-HQ-19473 SUB YYY (Pending)

Title: PLUNDER DOME
WCC
OO: BOSTON

Synopsis: Review of captioned Group I proposal.

Details: On 2/10/99, [redacted] b7E received captioned Group I Undercover Operation (UCO) proposal from the Boston Division/Providence Resident Agency (RA) for review. Prior contact with the SSRA Providence revealed that this previously established UCO has been successful to date with no assistance required from [redacted].

It was agreed upon that Providence and [redacted] b7E [redacted] would maintain contact for the duration of this UCO and should any [redacted] assistance be needed, it will appropriately addressed at that time.

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194B-BS-81295-87

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MAR 5 1999

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/23/1999

To: Boston **Attn:** SAC & Undercover Coordinator

Finance Division [redacted] b6 b7C

From: Criminal Investigative Division
Undercover & Sensitive Operations Unit (USOU)/Room 3117
Contact: [redacted] x6005 b6 b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 194B-BS-81295

Title: "PLUNDER DOME"

Synopsis: A budget enhancement for "PLUNDER DOME"was approved on 2/22/99 by the Assistant Director (AD), Criminal Investigative Division (CID). [redacted] b7E

Administrative: Reference EC dated 2/22/99 from CID to CID requesting a budget enhancement for the captioned UCO.

Enclosure(s): Enclosed for Boston is one copy of the EC approving a budget enhancement for "PLUNDER DOME".

Details: On 2/22/99 a budget enhancement was approved by the AD, CID, Thomas J. Pickard.

Cumulative spending authority has been approved in the amount of [redacted] This includes authority to spend up to [redacted] in Group I funds and no CI/CW or Drug Purchase funds. b7E The approved cumulative spending authority consists of the referenced budget enhancement of [redacted] approved 2/22/99 and previously approved Group I funds in the amount of [redacted] Per the FBIHQ Financial Management System (FMS) as of 1/31/99, "PLUNDER DOME" has expended a total of [redacted] in Group I funds (excluding February expenses). Per the FMS, "PLUNDER DOME" currently has on hand a total of approximately [redacted] by the Confidential Services Unit (CSU), Finance Division (FD). Bank routing information remains as previously reported.

194B-BS-81295-89

1. SSA [redacted]
2. SA [redacted]
3. [redacted]

66F-BS-4147506I-

b6 b7C

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[redacted]

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

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/22/1999

To: Criminal Investigative

From: Criminal Investigative
Corruption/Civil Rights Section/Public
Corruption Unit/Room 3149
Contact: SSA [redacted] X-5702

Approved By: Pickard Thomas J
Jackson Theodore
Thomas Philip W
[redacted]

b6
b7C

Drafted By: [redacted] :kkm

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

Title: PLUNDER DOME
CSLPO-STATE LEVEL
OO: BS

Synopsis: The purpose of this communication is to request a budget enhancement of [redacted] for captioned Group I undercover operation (UCO) code named PLUNDER DOME.

b7E

Enclosures: Enclosed is the original Electronic Communication (EC) from FBI Boston requesting the budget enhancement and detailing the budget requirements [redacted].

Details: On 02/16/1999, PLUNDER DOME was approved for an

[redacted]

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b7E

UPLOADED BY LHP ON 2/23/99

194B-BS-81295-84

To: Criminal Investigative From: Criminal Investigative

Re: 194A-BS-81295

CC: 1 - Mr. Pickard
1 - Mr. Jackson
1 - Mr. Thomas
1 - [redacted]
1 - [redacted]

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b7C

♦♦

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/16/1999

To: Criminal Investigative **Attn:** SSA [redacted] b6 b7C
USOU

From: Boston
Providence RA (P-1)
Contact: SA W. [redacted]

Approved By: Mawn Barry b6 b7C

Drafted By: [redacted] :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 [redacted] b7E

The change of focus detailed in the renewal proposal requires that the budget be amended [redacted] The following reflects the new budget:

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

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/16/1999

To: Boston **Attn:** SAC & Undercover Coordinator [redacted] b6 b7C

Finance Division **Attn:** [redacted] SSA [redacted]

From: Criminal Investigative Division
Undercover & Sensitive Operations Unit (USOU)/Room 3117
Contact: [redacted] x6005 CFR | ED

Approved By: [redacted] b6 b7C

Drafted By: [redacted] JKE

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

Title: "PLUNDER DOME"

Synopsis: An extension of "PLUNDER DOME" was approved on 02/16/99 by the Assistant Director (AD), Criminal Investigative Division (CID). "PLUNDER DOME" [redacted] Group I Undercover Operation (UCO [redacted] Boston is to initiate appropriate controls to ensure compliance with the stipulations set forth in the enclosed minutes. Additional Group I funds will be wire transferred to Boston by the Finance Division following approval of a budget enhancement request submittal. b7E

Administrative: Reference telecall on 02/16/98 from CID SSA [redacted] to Boston SSA [redacted] advising that the captioned UCO has been approved. b6 b7C

Enclosures: Enclosed for Boston is one copy of the Criminal Undercover Operations Review Committee (CUORC) minutes, including stipulations approved by the AD, CID.

Details: On 02/10/99, CUORC recommended extension of your Group I UCO "PLUNDER DOME" [redacted] On 02/16/99, "PLUNDER DOME" was approved by the AD, CID, Thomas J. Pickard.

b7E

Cumulative spending authority was previously approved in the amount of [redacted] which includes authority to spend up to [redacted] in Group I funds, no CI/CW funds and no Drug Purchase funds.

According to the FBIHQ's Financial Management System (FMS), as of 02/16/99 "PLUNDER DOME" [redacted] in Group I funding on hand. Per the FMS, the captioned UCO has expended [redacted] in Group I funds, excluding January and February

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SA [redacted] b6 b7C

expenses. "PLUNDER DOME"'s remaining Group I authority includes [redacted] 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. b7E

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

CC: 2 - Boston
10 - FBIHQ

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 03/12/1999

To: BOSTON

From: BOSTON
PROVIDENCE/RA
Contact: SA [redacted] EXT 131

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b7C

Approved By: [redacted]

Drafted By: [redacted]:jac

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:

SUBFILE	DESCRIPTION
PRD-A	PEN REGISTER REPORT BY DATE AND TIME
PRD-B	PEN REGISTER REPORT BY FREQUENCY BY SECONDARY NUMBER

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BY ERP

DATE 3/15/99

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FEDERAL BUREAU OF INVESTIGATION
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Page 286 ~ Referral/Direct;
Page 316 ~ Referral/Consult;
Page 317 ~ Referral/Consult;
Page 318 ~ Referral/Consult;
Page 319 ~ Referral/Consult;
Page 321 ~ b6; b7C; b7D;
Page 322 ~ b6; b7C;
Page 323 ~ b6; b7C;
Page 324 ~ b6; b7C;
Page 325 ~ b6; b7C; b7D;
Page 337 ~ Referral/Direct;
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(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 4/22/99

To: Boston **Attn:** SSA [redacted]

From: Criminal Investigative
Corruption/Civil Rights Section, PCU, Room 3149
Contact: SSA [redacted] X5702

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b7C

Approved By: Thomas Philip W [redacted]

Drafted By: [redacted]:sh

Case ID #: 194B-BS-81295

Title: PLUNDER DOME;
CSLPO-LOCAL;
OO: BS

Synopsis: [redacted]

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Details: On 4/22/99, an appropriate Bureau official authorized [redacted]

Questions concerning this matter should be directed to SSA [redacted] Corruption/Civil Rights Section, Public Corruption Unit, X5702.

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194B-BS-81295
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APR 29 1999
FBI - BOSTON

194B-BS-81295-97
UPLOADED
BY AR ON 4/28/99

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 04/20/1999

To: BOSTON **Attn:** SAC
A/ASAC [redacted]
SRA [redacted]

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From: BOSTON
P-1/PROVIDENCE RA
Contact: SA [redacted] EXT 131

Approved By: [redacted]

Drafted By: [redacted] :jac

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

Title: PLUNDER DOME;
CSLPO - LOCAL LEVEL;
OO:BOSTON

Synopsis: Execution of numerous search and arrest warrants throughout the City of Providence.

Details:
I. **SITUATION:**

The captioned matter is a Group I Undercover Operation addressing the corruption problems plaguing the City of Providence. To date, this investigation has uncovered overwhelming evidence that widespread corruption exists within the City of Providence to include the following areas: contracts, taxation, regulatory action, and law enforcement.

The covert phase of this investigation is being brought to a conclusion through the execution several search and arrest warrants.

[redacted]

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194B-BS-81295-98

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(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 04/26/1999

To: Criminal Investigative **Attn:** SSA [redacted]
Public Corruption Unit

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

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Approved By: [redacted]

Drafted By: [redacted]

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

Title: PLUNDER DOME
CSLPO - Local Level
OO: BOSTON

Synopsis: To advise of the end of covert phase of the captioned Group I UCO through the arrest of two subjects and the search of seven locations to include to locations in the City Hall, Providence, R.I.

Details:

BACKGROUND

[redacted]

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FBI, Boston and the United States Attorney for the District of Rhode Island believe that PLUNDER DOME has gathered considerable evidence of bribery, extortion, mail fraud, money laundering, and racketeering against the number two official in the City of Providence and the majority of the public officials in the tax assessment and collection system for the City of Providence. [redacted]

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194B-BS-81295-99

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5/4/99

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out of order

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.

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[redacted] b6 b7C b7D b7E

[redacted] b6 b7C b7E

[redacted] b6 b7C b7E

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.

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 05/03/1999

To: Criminal Investigative **Attn:** SSA [redacted]
Public Corruption Unit
Room 3149

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From: Boston
Providence RA (P-1)
Contact: SRA [redacted] (401) 272-8310 x138

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 194B-BS-81295 (Pending)
194B-BS-80859 (Pending)
194B-BS-74741 (Pending)

Title: PLUNDER DOME

Synopsis: To report the arrests of two subjects and the execution of searches at seven locations in connection with the captioned Group I UCO.

Reference: 194B-BS-81295-99

Enclosure(s): Enclosed for the Public Corruption Unit is one copy each of 1) complaint and affidavit supporting the arrest warrants for subjects JOSEPH PANNONE and [redacted] 2) affidavit supporting the search warrants for seven locations to include the City Tax Assessment and Collector Offices; and 3) newspaper articles from the Providence Journal, dated 4/29/99.

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Details: On 4/28/99, PANNONE and [redacted] were arrested without incident based on a complaint charging them with violations of Title 18, USC. Section 1956 (money laundering) and conspiracy to commit the same in violation of 18 USC. Section 1956 (h). [redacted] On the same date, both PANNONE [redacted] were afforded an initial appearance before United States Magistrate Robert W. Lovegreen, District of Rhode Island, and released on $50K personal recognizance bond. Both subjects have retained attorneys who have been in contact with the United States Attorney (USA), District of Rhode Island.

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DATE 6/4/99

194B-BS-81295-100

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On 4/28/99, searches were conducted at the following seven locations:

1. Office of the Tax Assessor, Providence City Hall
2. Office of the Tax Collector, Providence City Hall
3. [redacted] b6 b7C
4. Office of the City of Providence Department of Planning and Development.
5. Office of the City of Providence Department of Inspections and Standards
6. [redacted]
7. Residence of PANNONE.

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.

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).

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

Interviews were conducted with [redacted] ROSEMARY GLANCY, Deputy Tax Assessor; [redacted] b6 b7C of subjects and witnesses simultaneous with the execution of search warrants.

[redacted] b6 b7C

[redacted] b6 b7C

USA Margaret Curran has been granted the appointment of a special federal grand jury (FGJ) to hear evidence regarding this extensive investigation. [redacted] b3 b6 b7C b7E

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.

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(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 05/04/1999

To: Boston **Attn:** ALL PROVIDENCE RA AGENTS

From: Boston
Providence RA
Contact: SRA [redacted] (401) 272-8310 x138

Approved By: [redacted]

Drafted By: [redacted]

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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.

1) It is requested that a subfile be established as a respository for these contacts. 1)

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

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5/4/99 L [redacted]

Please Open Subfile

194B-BS-81295

MAY 4 1999

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(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 05/27/1999

To: Criminal Investigative **Attn:** SSA [redacted]
Public Corruption Unit
Room 3149

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b7C

From: Boston
Providence RA (P-1)
Contact: SRA [redacted] (401) 272-8310 x138

Approved By: [redacted]

Drafted By: [redacted]

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, [redacted] 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.

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Details: On 5/27/99, a special federal grand jury (FGJ) in a 13-count indictment charged PANNONE [redacted] 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 [redacted] with additional counts of conspiracy and money laundering for laundering money to be used for illicit payments to city officials.

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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. [redacted]

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194B-BS-81295-105

VERIFIED AND INDEXED

BY EAP

DATE 6/1/99

EAP EAP

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[redacted] GLANCY is charged with seven counts: two counts of conspiracy, two counts of attempted extortion, and three counts of money laundering. b6 b7C

The affidavit and search warrant executed on 4/28/99, at Providence City Hall, other city offices and [redacted] will be release with discovery materials for each of the subjects. b6 b7C

[redacted] b3 b6 b7C

♦♦

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

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

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Re: Providence Journal Request for City of Providence Records

Dear [redacted]:

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.

 b6 b7C

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.

Very truly yours,

[redacted] b6 b7C

HAM/slb
Enclosures

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

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

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

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).

[**15]

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 nondisclosure 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).

[**16]

III

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.

[**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 marketplace situations and Western [**21] Union's relative position 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	:	
v.	:	P.C. No. 85-1412
RHODE ISLAND HOUSING AND MORTGAGE FINANCE COMPANY et al	:	

D E C I S I O N

STATEMENT OF FACTS

GRANDE, J. 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 Rhode 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 withdrawn 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(d)(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.) § 38-2-2(d)(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 of 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 60(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 memorandum, 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.

Plaintiffs next contend that there are identity of issues. Prior to the hearing for summary judgment, numerous records were subpoened 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(d)(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 <u>made or</u>

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 public bodies 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) ("FOIA"). The FOIA investigatory records exemption provides in pertinent part:

> "This section does 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 conducting a lawful national security intelligence investigation, confidential information furnished only by the 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 subpoenaed 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. Gorodetsky, R.I., 452 A.2d 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. Id. at 1148.

Despite the fact this case dealt with an entirely different exemption, § 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

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 § 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.

I

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-

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

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 proceeding 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.*

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 Circuits. 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. v. 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.

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 05/31/1999

To: Criminal Investigative **Attn:** Public Corruption Unit

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]: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 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:

I. JOSEPH PANNONE, Chairman, Board of Tax Assessment Review [redacted]

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 impaneled to investigate allegations developed through PLUNDER DOME. On 5/27/99, that special Federal grand jury indicted JOSEPH PANNONE, Chairman, Board of Tax Assessment Review, [redacted] and ROSEMARY GLANCY, Deputy Tax Assessor, City of Providence. All three are charged

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WITNESSED _____
BY _____ EAP
DATE 6/7/99

194B-BS-81295-108

SEARCHED ___ SERIALIZED ___ EAP INDEXED ___ FILED ___ EAP
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FBI-BOSTON

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with various criminal counts to include Hobbs Act, Mail Fraud and Conspiracy. [redacted] and PANNONE are also charged with Money Laundering and Conspiracy. [redacted] b6 b7C

II. JOSEPH PANNONE, Chairman, Board of Tax Assessment Review
[redacted]
City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

[redacted] b6 b7C b7D

III. JOSEPH PANNONE, Chairman, Board of Tax Assessment Review
[redacted] b6 b7C
City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

[redacted] b6 b7C b7D

IV. VINCENT A. CIANCI, JR., Mayor
[redacted] b6 b7C
City of Providence
CLSPO - LOCAL LEVEL

OO: Boston

[redacted]

b6
b7C
b7D

V. VINCENT A. CIANCI, JR., Mayor
[redacted]

b6
b7C

JOE PANNONE, Chairman, Board of Tax Assessment Review
ROSEMARY GLANCY, Deputy Tax Assessor
[redacted]
CSLPO - LOCAL LEVEL
OO: Boston

During PLUNDER DOME, PANNONE and [redacted] made numerous recorded statements to indicate that [redacted]

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b7C
b7D

VI. VINCENT A. CIANCI, JR., Mayor
[redacted]

b6
b7C

City of Providence
CLSPO - LOCAL LEVEL
OO: Boston

[redacted]

b6
b7C
b7D

[redacted] b7D

VII. VINCENT A. CIANCI, JR., Mayor

[redacted] b6 b7C

City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

[redacted] b6 b7C b7E b7D

VIII. VINCENT A. CIANCI, JR., Mayor

[redacted] b6 b7C

CSLPO - LOCAL LEVEL
OO: Boston

[redacted] b6 b7C b7E

IX. [redacted] b6 b7C

CLSPO - LOCAL LEVEL
OO: BOSTON

[redacted] b6 b7C b7E

X. VINCENT A. CIANCI, JR., Mayor
[redacted] b6 b7C

City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

[redacted] b6 b7C b7E

XI. [redacted]

City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

Allegations developed from various sources prior to and subsequent to PLUNDER DOME reflect that [redacted] 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 [redacted] has a hidden interest in City/State Computer and Municipal Collections. b6 b7C

XII. [redacted]

City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

Allegations received subsequent to PLUNDER DOME indicate that [redacted] defraud the City of Providence through b6 b7C

[redacted] b6 b7C

XIII. VINCENT A. CIANCI, JR., Mayor
[redacted] b6 b7C

Allegations received prior to and subsequent to PLUNDER DOME indicate that CIANCI and [redacted] 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 [redacted] and in return for various marina and dredging contracts [redacted]

XIV. [redacted]
JOE PANNONE
[redacted] b6 b7C
CSLPO - LOCAL LEVEL
OO: Boston

[redacted] b6 b7C b7D

XV. VINCENT A. CIANCI, JR., Mayor
[redacted] b6 b7C
City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

Allegations received prior to, during and subsequent to PLUNDER DOME indicate that CIANCI and [redacted] 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 [redacted] to include the awarding of contracts, tax reductions and promotions for city employees. b6 b7C

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

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 06/7/1999

To: Boston **Attn:** SA [redacted]

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]

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:

VINCENT A. CIANCI, JR., Mayor
[redacted]
City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

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b7C

[redacted]

b6
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6/7/99
Assign lead to [redacted]

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City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

[redacted]

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b7C
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[redacted]

CSLPO - LOCAL LEVEL
OO: Boston

[redacted]

b6
b7C
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XV. VINCENT A. CIANCI, JR., Mayor
[redacted]

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b7C

City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

Allegations received prior to, during and subsequent to PLUNDER DOME indicate that CIANCI and [redacted] 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 [redacted] to include the awarding of contracts, tax reductions and promotions for city employees.

b6
b7C

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.

♦♦

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 06/7/1999

To: Boston **Attn:** SA [redacted]

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]

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.

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:

VINCENT A. CIANCI, JR., Mayor

[redacted]

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CSLPO - LOCAL LEVEL
OO: Boston

[redacted]

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b7E

6/7/99 L
Assign L
Lead to
SA

194B-BS-81295-110

SEARCHED ERP INDEXED ERP
SERIALIZED FILED
JUN 7 1999
FBI-BOSTON

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b7E

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.

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 06/7/1999

To: Boston **Attn:** SA [redacted]

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]

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:

[redacted]

b6
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City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

Allegations received subsequent to PLUNDER DOME indicate that [redacted]

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b7C

UPLOADED

WITH TEXT L 6/8/99

WITHOUT TEXT

BY ERP

DATE 6/9/99

Assign lead L to All K

194B-BS-81295-111

SEARCHED ERP INDEXED ERP
SERIALIZED FILED
JUN 8 1999
FBI-BOSTON

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[redacted]
JOE PANNONE
[redacted]
CSLPO - LOCAL LEVEL
OO: Boston

b6
b7C

[redacted]

b6
b7C
b7D

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.

♦♦

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 06/8/1999

To: Criminal Investigative **Attn:** SA [redacted]

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]

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.

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:

JOSEPH PANNONE, Chairman, Board of Tax Assessment Review
[redacted]
City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

b6
b7C

[redacted]

b6
b7C
b7D

[redacted]

EAP 6/8/99

DATE 6/9/99

Assign L lead to [redacted] K

194B-BS-81295 - 1F2

SEARCHED EAP INDEXED EAP
SERIALIZED FILED
JUN 8 1999
FBI-BOSTON

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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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(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 06/8/1999

To: Criminal Investigative **Attn:** SA [redacted]

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

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b7C

Approved By: [redacted]

Drafted By: [redacted]

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:

VINCENT A. CIANCI, JR., Mayor
[redacted]
City of Providence
CSLPO - LOCAL LEVEL
OO: Boston

b6
b7C

[redacted]

b6
b7C
b7E

6/8/99 Assign lead to [redacted]

EAP

DATE 6/9/99

159 DJK 03.EC

194B-BS-81295-113

SEARCHED EAP INDEXED EAP
SERIALIZED FILED
JUN 8 1999
FBI-BOSTON

VINCENT A. CIANCI, JR., Mayor

[redacted]

b6
b7C

Allegations received prior to and subsequent to PLUNDER DOME indicate that [redacted]

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.

♦♦

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 06/09/1999

To: Inspection Division **Attn:** [redacted]
Evaluation and Analysis
Section/Audit Unit
Room GRB-204

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b7C

From: Boston
Providence RA (P-1)
Contact: SRA [redacted] (401) 272-8310 x138

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 194B-BS-74741 (Pending)
194B-BS-80859 (Pending)
194B-BS-81295 (Pending)
66F-HQ-C1228606 (Pending)

Title: [redacted]
CONGRESSIONAL AUDIT REPORT

b7E

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.

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WITH/TEXT L
WITHOUT/TEXT
BY EAP
DATE 6/9/99

194B-BS-81295-114

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JUN 9 1999
FBI-BOSTON

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 5/6/1999

To: BOSTON **Attn:** SAC
UCC

From: DIRECTOR, FBI

Approved By: [redacted]
CRIMINAL INVESTIGATIVE DIVISION
UNDERCOVER & SENSITIVE OPERATIONS UNIT/RM. 3117

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Drafted By: [redacted]:wph

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

Title: "PLUNDER DOME"

Synopsis: "PLUNDER DOME" has ceased all covert activity.

Details: Regarding your closed Group I Undercover Operation (UCO), you are requested to review the enclosure and provide a response setting forth action taken on each of the seven items contained therein.

In addition, you are requested to furnish FBIHQ with an [redacted] Information for this critique should be derived from discussions with all personnel assigned to the UCO, including the Case Agent, Contact Agent, Accountant, Assistant Special Agent in Charge, Supervisory Special Agent, and Undercover Agent. Your critique should address the following points, but may include any information you believe will benefit the FBI in the conduct of future UCOs:

b7E

1. What were the specific objectives of the UCO? Were they met? If not, why?

2. What methods were used [redacted] Were any problems encountered [redacted] How were they resolved?

b7E

N/A

Enclosure
1 - Corruption/Civil Rights Section [redacted]
(Attn: [redacted] Room 3149)
1 - Operations Support Section
(Attn: [redacted]
2 - USOU
(Attn: [redacted]
(Attn: USOU SSA)
1 - "PLUNDER DOME" Tickler
WPH (6)

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194B BS 81295-115

SEARCHED EAP INDEXED EAP
SERIALIZED EAP FILED EAP
MAY 10 1999
FBI - BOSTON

A. ASAC [redacted]

[redacted]

5877

[redacted]

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3. [redacted]

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.

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.

4. [redacted] b7E

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.

6. **Gross Income**

List the amount of gross receipts received during this operation to include normal business income, income from sale of property/equipment, [redacted] and interest income. b7E

A. Income generated (other than interest) $ _____

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.

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. [redacted] appropriate exemptions should be identified. As the authority to [redacted] any continuation of [redacted] All requests to continue to [redacted] must be coordinated with the appropriate substantive section and the Administrative Unit, CID. b7E

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 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. This 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. 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 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 [redacted] must be returned to the [redacted] from which it was obtained. b7E

♦♦

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 06/23/1999

To: Administrative Services **Attn:** Confidential Funding Unit [redacted]

Criminal Investigative Undercover Unit

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]:wda

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

Title: PLUNDER DOME
CSLPO
OO: BOSTON

Synopsis: Report of return of confidential funds to FBIHQ.

Details: Captioned matter is a Group I UCO which has now become an overt investigation. On 6/22/99, all remaining covert funds previously provided by FBIHQ for this Group I were returned to FBIHQ [redacted] The amount transferred included all interest accrued but not previously forwarded to FBIHQ. PLUNDER DOME no longer has GROUP I funds and the final voucher will be for the month of June, 1999 and will be submitted as required.

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EAP

6/24/99

194B-BS-81295-116

SEARCHED EAP INDEXED EAP
SERIALIZED FILED

JUN 23 1999

FBI-BOSTON

U.S. Department of Justice

Federal Bureau of Investigation

In Reply, Please Refer to
File No.

One Center Plaza

Boston, Massachusetts 02108
June 23, 1999

[redacted] b6 b7C

Re: [redacted] b6 b7C

Dear [redacted]

On June 22, 1999, Special Agents [redacted] and [redacted] from the Providence Resident Agency of the Federal Bureau of Investigation interviewed Chief Alfred Massarone at the Division of Motor Vehicle Safety and Emission Control Unit about [redacted] automobile inspection license. As a result of the interview your permission is requested to acquire and copy the administrative file maintained for this inspection station. The original file would be returned Chief Massarone the following day. b6 b7C

Sincerely,

1-Addressee
(1)-Boston (194B-BS-81295)
WPR/wpr
(2)

Barry W. Mawn
Special Agent In Charge

UPLOADED

174WPR01.LET

WITH TEXT L
WITHOUT TEXT
BY ERP
DATE 6/25/99

By: [redacted] b6 b7C
Supervisory Senior
Resident Agent

194B-BS-81295-117

SEARCHED ERP INDEXED ERP
SERIALIZED ERP FILED ERP
JUN 23 1999
FBI-BOSTON

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 06/28/1999

To: Criminal Investigative **Attn:** SSA [redacted]
Public Corruption Unit
Room 3149

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b7C

From: Boston
Providence RA (P-1)
Contact: SRA [redacted] (401) 272-8310 x138

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 194B-BS-81295 (Pending)
194B-BS-80859 (Pending)
194B-BS-74741 (Pending)

Title: PLUNDER DOME

Synopsis: To report the status of the corruption investigation entitled, "PLUNDER DOME; 194B-BS-81295".

Reference: Re BS electronic communication to the Public Corruption Unit, dated 5/27/99.

Enclosure(s): Enclosed for the Public Corruption Unit are: 1) one copy of an LHM entitled, "UNSUB(S); PROVIDENCE COMMUNITY ACTION PROGRAM (PROCAP), 518 HARTFORD AVENUE, PROVIDENCE, RHODE ISLAND; FRAUD AGAINST THE GOVERNMENT; 46H-BS-84862; and 2) one copy each of news articles from the Providence Journal, dated 6/17, 6/18, and 6/24/99, respectively.

Details: As reported previously, on 5/27/99, a special federal grand jury (FGJ) in a 13-count indictment charged PANNONE, [redacted] 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 [redacted] with additional counts of conspiracy and money laundering for laundering money to be used for illicit payments to city officials.

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In the 13-count indictment, PANNONE was 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

WITHIN TEXT [redacted]
WITHOUT TEXT [redacted]
BY EAP
DATE 6/29/99

194B-BS-81295-118

EAP INDEXED EAP
FILED
JUN 28 1999
FBI-BOSTON

179DJK01.EC

1956(h), 1956(a)(3)(A) and 2. [redacted] b6 b7C

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.

[redacted] b3 b6 b7C

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. [redacted] b6 b7C b7E

[redacted]

CSLPO - LOCAL LEVEL
OO: BOSTON

[redacted] b6 b7C b7E

VINCENT A. CIANCI, JR., MAYOR
[redacted] b6 b7C
CITY OF PROVIDENCE
CSLPO - LOCAL LEVEL
OO: Boston

Allegations received prior to, during and subsequent to PLUNDER DOME indicate that CIANCI and [redacted] 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 [redacted] to include the awarding of contracts, tax reductions and promotions for city employees. b6 b7C

VINCENT A. CIANCI, JR., Mayor
CITY OF PROVIDENCE
CSLPO - LOCAL LEVEL
OO: Boston

[redacted] b6 b7C b7D

VINCENT A. CIANCI, JR., Mayor
[redacted] b6 b7C
CITY OF PROVIDENCE
CSLPO - LOCAL LEVEL
OO: Boston

Allegations developed in a prior overt investigation [redacted] and received subsequent to PLUNDER DOME publicity reveal that CIANCI, [redacted] b6 b7C b7E

[redacted] b6 b7C

UNSUB(S);
PROVIDENCE COMMUNITY ACTION PROGRAM
(PROCAP),
518 HARTFORD AVENUE,
PROVIDENCE, RHODE ISLAND;
FRAUD AGAINST THE GOVERNMENT;
46H-BS-84862

[redacted] b7D

[redacted] b3 b6 b7C

[redacted] b7D

Two matters involving corruption at the state level were developed during "PLUNDER DOME". [redacted] b3 b6 b7C

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

♦♦

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 06/03/1999

To: Director, FBI **Attn:** Criminal Investigative Division
Undercover & Sensitive Operations Unit/Room 3117
[redacted]

From: Boston
P-1 Squad/Providence RA
Contact: SSRA [redacted] Ext 138

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b7C

Approved By: [redacted]

Drafted By: [redacted]:jmb

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

Title: PLUNDER DOME

Synopsis: Response to questions contained in EC from Director dated 5/6/1999.

Details: The following are rough draft answers to the questions regarding the end of the covert phase of the UCO:

1. What were the specific objectives of the UCO? Were they met? If not, why?

[redacted]

b7E

2. What methods were used [redacted]? Were any problems encountered [redacted]? How were they resolved?

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[redacted]

b7D
b7E

1-Corruption/Civil Rights Section (Attn: [redacted] Rm 3149)
1-Operations Support Section (Attn: [redacted]
2-USOU (Attn: [redacted] Attn: USOU SSA)
1-PLUNDER DOME Tickler
3-Boston 1-Acting ASAC [redacted]
1-(Attn: SSA [redacted]
1-(194B-BS-81295)

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WITH/TEXT L
WITHOUT/TEXT
BY ERP
DATE 7/6/99

194B-BS-81295-119

SEARCHED ERP INDEXED ERP
SERIALIZED FILED
JUN 14 1999
FBI - BOSTON

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[redacted] 183UMB06.EC

3. Describe any [redacted] Were any problems encountered [redacted] How were they addressed? b7E

[redacted]

4. Describe any problems encountered with any financing aspect of the UCO, i.e. bookkeeping, vouchers, quarterly audits, and how they were resolved.

[redacted] b7E

5. What interesting or innovative techniques were utilized during this UCO?

[redacted] b7D b7E

[redacted] b7D b7E

6. What additional problems other than financial were encountered during this UCO? How were they resolved?

No additional problems [redacted] were encountered during this UCO. b7E

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. <u>FBIHQ "STOPS"</u>

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. <u>ALIAS/FALSE IDENTIFICATION A/FID</u>

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.

[redacted] b7E

3. <u>SPECIAL WEAPONS</u>

Identify special weapons assigned to your undervocer oepratives. 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 USO, CID.

No special weapons were assigned/issued.

4. [redacted] b7E

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.

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.

[redacted] b7E

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. [redacted]

appropriate exemptions should be identified. As the authority to [redacted] once the UCO terminates requires FBIHQ authority to ensure that General Services Administration [redacted] is followed. All requests to continue [redacted] must be coordinated with the appropriate substantive section and the Administrative Unit, CID. b7E

[redacted] b7D b7E

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 [redacted] must be returned to the [redacted] from which it was obtained. b7E

No Non-Expendable vehicles were purchased during UCO.

♦♦

FD-515 (Rev. 10-1-96)

[K] Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared _____
Date Loaded 6-8-99
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☐
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS-81255

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
Prov	P-1

Assisting Agents Soc. Sec. No. ×
Name:
2. - -
Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential

For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			
		Elsur / FISC			Polygraph			Crim Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - WRCSC			

b6
b7C
b7E

A. Complaint / Information / Indictment
☐ Federal ☐ Local ☐ International
Complaint Date _____
Check if Civil Rico Complaint ☐
Information Date _____
Indictment Date 5/28/98

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date _____
Arrest Date _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons
☒ Federal ☐ Local
Summons Date 5/28/98

D. Hostage(s) Released Date _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date _____

E. Recovery / Restitution / PELP ×
☐ Federal ☐ Local ☐ International
Recovery Date _____

Code •	Amount
	$
	$

Restitution Date _____
☐ Court Ordered
☐ Pretrial Diversion

Code •	Amount
	$

PELP Date _____

Code •	Amount
	$

F. Civil Rico Matters Date _____
Also Complete Section I
or
Other Civil Matters Date _____
Judgment ____ ____ •
Judicial Outcome ____ ____ × •
Amount: $_____
Suspension:

Years	Months

G. Administrative Sanctions Date _____
Subject Description Code ____ ____ •
Type: ☐ Suspension ☐ Debarment ☐ Injunction
Length: ☐ Permanent ☐

Years	Months

H. Conviction
☐ Federal ☐ Local ☐ International
Conviction Date: _____
Subject Description Code: __ __ • (_____) •
For 6F, G, H--Include Agency Code
☐ Felony Or ☐ Misdemeanor
☐ Plea Or ☐ Trial
State: _____ Judicial District: _____

I. U.S. Code Violations
Required for Sections A, B, F, and H
(Federal only)

Title	Section	# of Counts
~~18~~	~~1956~~	
18	1341	3
18	1951	2
18	371	2

J. Sentence Date: _____
Sentence type: __ __, __ __, __ __ •

In-Jail Years	In-Jail Months	Suspended Years	Suspended Months	Probation Years	Probation Months

Fines: $ _____

K. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date _____
Dismissal Date _____
Pretrial Diversion Date _____

L. Subject Information (Required for all Sections excluding Section D and E (Recovery/PELP))

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
Rosemary Glancy	W	F	1/2/53	038-36-6305

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

× 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

For Further Instructions See: MAOP, Part [illegible]ctions 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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 Stocks/Bonds/Currency/ Negotiable Instruments
23 Counterfeit/Pirated Sound Recordings or Motion Pictures
24 Bank Theft 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

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 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

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 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
6B 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 & 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
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

06/08/1999

********** SUMMONS **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name:
Stat Agent SOC.:

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

b6
b7C
b7E

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

GLANCY, ROSEMARY

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN COOR
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	TEL TOLL RECS	POC-WRCSC	

Federal or Local Summons (F/L). .: F

b7E

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

06/08/1999

********** INDICTMENT **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name:
Stat Agent SOC.:

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

b6
b7C
b7E

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

GLANCY, ROSEMARY

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN COOR
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	TEL TOLL RECS	POC-WRCSC	

b7E

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

Form FD-515a Side 2:
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	Counts
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) . . . . .:
Position in LCN 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. :

--

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)

K Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared _____
Date Loaded 6/8/99
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☑
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PROV	P-1

Assisting Agents Soc. Sec. No. ×

Name:
2. - -
Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential

For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			
		Elsur / FISC			Polygraph			Crim Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - WRCSC			

b6
b7C
b7E

A. Complaint / Information / Indictment

☒ Federal ☐ Local ☐ International

Complaint Date 4/28/98

~~Check if Civil Rico Complaint~~ ☐

Information Date _____

Indictment Date 5/28/98

B. Locate/ Arrest

☒ Federal ☐ Local ☐ International

Subject Priority: ☐ A ☐ B ☐ C

Locate Date _____

Arrest Date 4/28/98

☐ Subject Resisted Arrest

☐ Subject Arrested was Armed

C. Summons

☐ Federal ☐ Local

Summons Date _____

D. Hostage(s) Released Date _____

Released by: ☐ Terrorist ☐ Other

Number of Hostages: _____

Child Located Date _____

E. Recovery / Restitution / PELP ×

☐ Federal ☐ Local ☐ International

Recovery Date _____

Code •	Amount
	$
	$

Restitution Date _____

☐ Court Ordered

☐ Pretrial Diversion

Code •	Amount
	$

PELP Date _____

Code •	Amount
	$

F. Civil Rico Matters Date _____

Also Complete Section I

or

Other Civil Matters Date _____

Judgment ____ ____ •

Judicial Outcome ____ ____ × •

Amount: $_____

Suspension:

Years	Months

G. Administrative Sanctions Date _____

Subject Description Code ____ ____ •

Type: ☐ Suspension ☐ Debarment ☐ Injunction

Length: ☐ Permanent ☐

Years	Months

H. Conviction

☐ Federal ☐ Local ☐ International

Conviction Date: _____

Subject Description Code: ____ • (_____) •

For 6F, G, H--Include Agency Code

☐ Felony Or ☐ Misdemeanor

☐ Plea Or ☐ Trial

State: _____ Judicial District: _____

I. U.S. Code Violations

Required for Sections A, B, F, and H (Federal only)

Title	Section	# of Counts
18	1956	1
18	1341	3
18	1951	3
18	371 ~~2~~	3

J. Sentence Date: _____

Sentence type: ____ ____, ____ ____, ____ ____ •

In-Jail Years	In-Jail Months	Suspended Years	Suspended Months	Probation Years	Probation Months

Fines: $ _____

K. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date _____

Dismissal Date _____

Pretrial Diversion Date _____

L. Subject Information (Required for all Sections excluding Section D and E (Recovery/PELP))

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
Joseph A. Pannone	W	M	11-26-22	039-~~32~~-1254 12

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

× 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
121

For Further Instructions See: MAOP, Part [illegible]ctions 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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 Stocks/Bonds/Currency/ Negotiable Instruments
23 Counterfeit/Pirated Sound Recordings or Motion Pictures
24 Bank Theft 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

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 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

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 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
6B 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 & 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
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

06/08/1999

********** COMPLAINT **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name:
Stat Agent SOC.:

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

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

PANNONE, JOSEPH

RA	Squad	Task Force
PROV	P1	

b6
b7C
b7E

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN COOR
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	TEL TOLL RECS	POC-WRCSC	

b7E

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

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 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 VIOLATI ON 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

06/08/1999

********** INDICTMENT **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

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

b6
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Does Accomplishment Involve	
Drugs	N
A Fugitive.	N
Bankruptcy Fraud.	N
Computer Fraud/Abuse.	N
Corruption of Public Officials:	Y
Forfeiture Assets	N

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

PANNONE, JOSEPH

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

[redacted] FINAN ANALYST	[redacted] LAB DIV EXAMS	[redacted] UCO-GROUP I	[redacted] FT. MON-NRCSC
AIRCRAFT ASST	LAB FIELD SUP	UCO-GROUP II	FOR LANG ASST
[redacted]OMPUTER ASST	PEN REGISTERS	UCO-OTHER	NON FBI LAB EX
[redacted]ONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITN COOR
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	TEL TOLL RECS	POC-WRCSC	

b7E

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

Form FD-515a Side 2:
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	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) . . . . . :
Position in LCN 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. :

--

Accomplishment Narrative

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

FD-515 (Rev. 10-1-96)

K Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared _____
Date Loaded 5-9-99
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)

- Drugs ☐
- A Fugitive ☐
- Bankruptcy Fraud ☐
- Computer Fraud/Abuse ☐
- Corruption of Public Officials ☒
- Forfeiture Assets ☒
- Sub Invest Asst by FO (s) ☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number: 194B-BS-81255

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
Prov	P-1

Assisting Agents Soc. Sec. No. ×

Name:

2. - -

Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3-Helped, substantially
4-Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			
		Elsur / FISC			Polygraph			Crim Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - WRCSC			

b6
b7C
b7E

A. Complaint / Information / Indictment

☒ Federal ☐ Local ☐ International

Complaint Date 4/28/99

Check if Civil Rico Complaint ☐

Information Date _____

Indictment Date 5/28/99

B. Locate/ Arrest

☒ Federal ☐ Local ☐ International

Subject Priority: ☐ A ☐ B ☐ C

Locate Date _____

Arrest Date 4/28/99

☐ Subject Resisted Arrest

☒ Subject Arrested was Armed

C. Summons

~~☒ Federal~~ ☐ Local

Summons Date ~~5/28/99~~

D. Hostage(s) Released Date _____

Released by: ☐ Terrorist ☐ Other

Number of Hostages: _____

Child Located Date _____

E. Recovery / Restitution / PELP ×

☐ Federal ☐ Local ☐ International

Recovery Date _____

Code •	Amount
	$
	$

Restitution Date _____

☐ Court Ordered

☐ Pretrial Diversion

Code •	Amount
	$

PELP Date _____

Code •	Amount
	$

F. Civil Rico Matters Date _____

Also Complete Section I

or

Other Civil Matters Date _____

Judgment ____ ____ •

Judicial Outcome ____ ____ × •

Amount: $_____

Suspension:

Years	Months

G. Administrative Sanctions Date _____

Subject Description Code ____ ____ •

Type: ☐ Suspension ☐ Debarment ☐ Injunction

Length: ☐ Permanent ☐

Years	Months

H. Conviction

☐ Federal ☐ Local ☐ International

Conviction Date: _____

Subject Description Code: __ __ • (_____) •

For 6F, G, H--Include Agency Code

☐ Felony Or ☐ Misdemeanor

☐ Plea Or ☐ Trial

State: _____ Judicial District: _____

I. U.S. Code Violations

Required for Sections A, B, F, and H (Federal only)

Title	Section	# of Counts
18	1956	1
18	1341	3
18	1951	3
18	371 2	3
18	982	1

J. Sentence Date: _____

Sentence type: __ __, __ __, __ __ •

In-Jail Years	In-Jail Months	Suspended Years	Suspended Months	Probation Years	Probation Months

Fines: $ _____

K. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date _____

Dismissal Date _____

Pretrial Diversion Date _____

L. Subject Information (Required for all Sections excluding Section D and E (Recovery/PELP))

Name	Race •	Sex	Date of Birth	Social Security No. (if available)

b6
b7C

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

× 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: 122

For Further Instructions See: MAOP, Part [illegible]ctions 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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 Stocks/Bonds/Currency/ Negotiable Instruments
23 Counterfeit/Pirated Sound Recordings or Motion Pictures
24 Bank Theft 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

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 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

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 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
6B 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 & 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
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

06/09/1999

********** COMPLAINT **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

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

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Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

[redacted]	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-WITN COOR
	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	TEL TOLL RECS	POC-WRCSC	

b7E

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

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 [redacted] 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

b6
b7C

SENSITIVE / UNCLASSIFIED

06/09/1999

********** INDICTMENT **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.:

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

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

[redacted]	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-WITN COOR
	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	TEL TOLL RECS	POC-WRCSC	

b7E

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

Form FD-515a Side 2:
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	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) . . . . . .:
Position in LCN 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. :

--

Accomplishment Narrative

ON 4/28/99 [redacted] WAS
INDICTED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND [redacted] WAS CHARGED
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

b6
b7C

SENSITIVE / UNCLASSIFIED

06/10/1999

********** ARREST **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

Report Date: 06/10/1999
Accom Date.: 04/28/1999

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

[redacted]	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-WITN COOR
	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	TEL TOLL RECS	POC-WRCSC	

b7E

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
18	1951	3
18	371	3

Accomplishment Narrative

ON 4/28/99 [redacted] WAS ARRESTED 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

b6
b7C

SENSITIVE / UNCLASSIFIED

FD-515 (Rev. 10-1-96)

[K] Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 5/4/99
Date Loaded 5/5/99
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☐
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number: 1948-85-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
Providence	P-1

Assisting Agents Soc. Sec. No. ×

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential

For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			
		Elsur / FISC			Polygraph			Crim Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - WRCSC			

b6
b7C
b7E

A. Complaint / Information / Indictment
☐ Federal ☐ Local ☐ International
Complaint Date _____
Check if Civil Rico Complaint ☐
Information Date _____
Indictment Date _____

B. Locate/ Arrest
☑ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☑ C
Locate Date _____
Arrest Date 4/28/99
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons
☐ Federal ☐ Local
Summons Date _____

D. Hostage(s) Released Date _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date _____

E. Recovery / Restitution / PELP ×
☐ Federal ☐ Local ☐ International
Recovery Date _____

Code •	Amount
	$
	$

Restitution Date _____
☐ Court Ordered
☐ Pretrial Diversion

Code •	Amount
	$

PELP Date _____

Code •	Amount
	$

F. Civil Rico Matters Date _____
Also Complete Section I
or
Other Civil Matters Date _____
Judgment___ ___ •
Judicial Outcome ___ ___ × •
Amount: $_____
Suspension:

Years	Months

G. Administrative Sanctions Date _____
Subject Description Code ___ ___ •
Type: ☐ Suspension ☐ Debarment ☐ Injunction
Length: ☐ Permanent ☐

Years	Months

H. Conviction
☐ Federal ☐ Local ☐ International
Conviction Date: _____
Subject Description Code: __ __ • (_____)•
For 6F, G, H--Include Agency Code
☐ Felony Or ☐ Misdemeanor
☐ Plea Or ☐ Trial
State: _____ Judicial District: _____

I. U.S. Code Violations
Required for Sections A, B, F, and H
(Federal only)

Title	Section	# of Counts
18	1956	2
18	1955(b)	1

J. Sentence Date: _____
Sentence type: __ __, __ __, __ __ •

In-Jail Years	In-Jail Months	Suspended Years	Suspended Months	Probation Years	Probation Months

Fines: $ _____

K. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date _____
Dismissal Date _____
Pretrial Diversion Date _____

L. Subject Information (Required for all Sections excluding Section D and E (Recovery/PELP))

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
JOSEPH PANNONE	W	M	11/26/22	036-12-1524

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

× 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: 123

For Further Instructions See: MAOP, Part [illegible]ctions 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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 Stocks/Bonds/Currency/ Negotiable Instruments
23 Counterfeit/Pirated Sound Recordings or Motion Pictures
24 Bank Theft 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

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 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

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 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
6B 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 & 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
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

06/08/1999

********** ARREST **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.:

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

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

PANNONE, JOSEPH

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN COOR
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	TEL TOLL RECS	POC-WRCSC	

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	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)

SENSITIVE / UNCLASSIFIED

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 08/19/1999

To: Inspection Division **Attn:** [redacted] b6 b7C
Evaluation and Analysis
Section/Audit Unit
Room GRB-204

From: Boston
Providence RA (P-1)
Contact: SRA [redacted] (401) 272-8310 x138 b6 b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 194B-BS-74741 (Pending)
194B-BS-80859 (Pending)
194B-BS-81295 (Pending)
66F-HQ-C1228606 (Pending)

Title: [redacted] b7E
CONGRESSIONAL AUDIT REPORT

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.

♦♦

EAP
8/19/99

194B-BS-81295-136

SEARCHED EAP INDEXED EAP
SERIALIZED FILED
AUG 1 9 1999
FBI-BOSTON

231DJK01.EC

(1/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 09/28/1999

To: LABORATORY DIVISION **Attn:** EST II
FORENSIC PROGRAM

From: BOSTON
P-1/PROVIDENCE RA
Contact: SA [redacted] EXT 131

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]:jac

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

Title: PLUNDERDOME
CSLPO - LOCAL LEVEL

Synopsis: [redacted] b7D

Package Copy: The original cassette tape and the original recording equipment are being forwarded under separate cover.

Enclosure(s): Enclosed for the Laboratory Division are one (1) original ELSUR Cassette Tape, Item # 1D 178, BSCM-1213-7U, dated 7/29/99, one (1) SONY Cassette Recorder, Serial number #270156, Model #TCM-S67V, [redacted]. b7E

Details: Reference Bureau Telcal between writer and [redacted] Examiner, Laboratory Division on September 27, 1999. b6 b7C

[redacted] b7D

[redacted] b7D

Writer removed the aforementioned cassette tape from the recording device on August 2, 1999. Upon further review of this cassette, it was determined that the tape appeared to be blank

194B-BS-81295-142

WITHOUT ENCL

WITHOUT ENCL

BY EBP

DATE 9/30/99

273JAC01.EC

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.

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 10/01/1999

To: Boston

From: Boston
P-1 Squad/Providence RA
Contact: [redacted] EXT 127

Approved By: [redacted]

Drafted By: [redacted] :jmb

b6
b7C

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

Title: PLUNDER DOME;
CSLPO-LL(B)
OO:BOSTON

Synopsis: The two (2) cellphones that were purchased in captioned case were turned off at the Providence RA and forwarded to C-1, SSA [redacted] Boston Office. On 10/1/99, SA [redacted] Relief Supervisor, verified the receipt of the two cellphones.

b6
b7C

Details: Same as above.

♦♦2-Boston (194B-BS-81295)

EAR

DATE 10/12/99

194B-BS-81295 Sub CE

EAR EAR

OCT 8 1999

b6
b7C

[redacted] 2745m B 08. EC

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 10/20/1999

To: Boston

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

b6
b7C

Approved By: [redacted]

Drafted By: [redacted] wda

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

Title: PLUNDER DOME
CSLPO
OO: BOSTON

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

Synopsis: Explanation for delayed submission of evidence to evidence storage room.

Details: On 6/24-25/99, several documents were received from the Federal grand jury investigating captioned matter. These items have been retained by SA [redacted] in a locked file cabinet. On 10/19/99, a decision was made to store these items in the evidence room with other documentary evidence seized in this investigation.

b6
b7C

♦♦

194B-BS-81295-148

EAP EAP

OCT 2 1 1999

293CVDAO1.EC

FD-515 (Rev. 10-1-96)

K 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 Initials _____

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☒
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
1948.65 81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PROV	P-1

Assisting Agents Soc. Sec. No. ×
1. - -

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			
		Elsur / FISC			Polygraph			Crim Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - WRCSC			

b6
b7C
b7E

A. Complaint / Information / Indictment
☐ Federal ☐ Local ☐ International
Complaint Date _____
Check if Civil Rico Complaint ☐
Information Date 11/24/99
Indictment Date _____

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date _____
Arrest Date _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons
☒ Federal ☐ Local
Summons Date 11/24/99

D. Hostage(s) Released Date _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date _____

E. Recovery / Restitution / PELP ×
☐ Federal ☐ Local ☐ International
Recovery Date _____

Code •	Amount
	$
	$

Restitution Date _____
☐ Court Ordered
☐ Pretrial Diversion

Code •	Amount
	$

PELP Date _____

Code •	Amount
	$

F. Civil Rico Matters Date _____
Also Complete Section I

or

Other Civil Matters Date _____
Judgment ____ ____ •
Judicial Outcome ____ ____ × •
Amount: $_____
Suspension:

Years	Months

G. Administrative Sanctions Date _____
Subject Description Code ____ ____ •
Type: ☐ Suspension ☐ Debarment ☐ Injunction
Length: ☐ Permanent ☐

Years	Months

H. Conviction
☒ Federal ☐ Local ☐ International
Conviction Date: _____
Subject Description Code: __ __ • (_____) •
For 6F, G, H--Include Agency Code
☐ Felony Or ☐ Misdemeanor
☐ Plea Or ☐ Trial
State: _____ Judicial District: _____

I. U.S. Code Violations
Required for Sections A, B, F, and H
(Federal only)

Title	Section	# of Counts
18	1001	1

J. Sentence Date: _____
Sentence type: __ __, __ __, __ __ •

In-Jail Years	In-Jail Months	Suspended Years	Suspended Months	Probation Years	Probation Months

Fines: $ _____

K. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date _____
Dismissal Date _____
Pretrial Diversion Date _____

b6
b7C

L. Subject Information (Required for all Sections excluding Section D and E (Recovery/PELP))

Name	Race •	Sex	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

× 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
150

For Further Instructions See: MAOP, Part [illegible] Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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04 Vehicles
05 Heavy Machinery & Equipment
06 Aircraft
07 Jewelry
08 Vessels
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11 Real Property
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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

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22 Counterfeit Stocks/Bonds/Currency/ Negotiable Instruments
23 Counterfeit/Pirated Sound Recordings or Motion Pictures
24 Bank Theft Scheme Aborted
25 Ransom, Extortion or Bribe Demand Aborted
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A Asian/Pacific Islander
B Black
I Indian/American
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X Nonindividual

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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

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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

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 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
6B 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 & 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
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

03/29/2000

********** SUMMONS **********
SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.:

Report Date: 03/29/2000
Accom Date.: 11/24/1999

b6
b7C
b7E

[redacted]

Assisting Agents SOC
[redacted]

Subject Name
[redacted]

RA	Squad	Task Force
PROV	P1	

Does Accomplishment Involve

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

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

[redacted]	FINAN ANALYST	[redacted]	LAB DIV EXAMS	[redacted]	UCO-GROUP I	[redacted]	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-WITN COOR
	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		TEL TOLL RECS		POC-WRCSC		

b7E

Federal or Local Summons (F/L). .: F

Accomplishment Narrative

ON 11/24/00 A FEDERAL SUMMONS WAS ISSUED ON
[redacted] ON 1 COUNT IN
VIOLATION OF TITLE 18, U.S.C., SECTION 1001

b6
b7C

SENSITIVE / UNCLASSIFIED

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 12/6/1999

To: Criminal Investigative **Attn:** Unit Chief [redacted] b6
SSA [redacted] b7C
Public Corruption Unit
Room 3149

From: Boston
Providence RA (P-1)
Contact: SRA [redacted] (401) 272-8310 x138

Approved By: [redacted] b6 b7C

Drafted By: [redacted]

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

Title: PLUNDER DOME

Synopsis: To report the status of the corruption investigation entitled, "PLUNDER DOME; 194B-BS-81295".

Reference: Re BS electronic communication to the Public Corruption Unit, dated 6/28/99.

Enclosure(s): Enclosed for the Public Corruption Unit are: one copy each of news articles from the Providence Journal, dated 10/24, 11/25, 12/3, 12/4, and 12/7/99, respectively.

Details: As reported previously, on 5/27/99, a special federal grand jury (FGJ) in a 13-count indictment charged PANNONE, [redacted] 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 [redacted] with additional counts of conspiracy and money laundering for laundering money to be used for illicit payments to city officials. b6 b7C

In the 13-count indictment, PANNONE was 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. [redacted] b6 b7C

194B-BS-81295-159

SEARCHED ___ INDEXED ___
SERIALIZED ___ FILED ___
DEC 8 1999
FBI - BOSTON

EAP

12/8/99

342 DJK 01. EC

[redacted] b6 b7C
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.

[redacted] b6 b7C

[redacted] b6 b7C
Sentencing has been set for 2/23/2000.

On 12/3/99, PANNONE agreed to plead guilty and cooperate with the government in the captioned investigation. On 12/7/99, PANNONE plead guilty in United States District Court to 14 felony charges of conspiracy to commit extortion, attempted 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. That statement provides details of payments to [redacted] and GLANCY; that PANNONE and [redacted] 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 [redacted] for a tax break that was granted 15 minutes before the tax board officially met on [redacted] therefore avoiding any public opposition. [redacted] b6 b7C b7D

[redacted]

b3
b6
b7C
b7E

[redacted]

b3
b6
b7C
b7D

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 [redacted] and PANNONE. In addition, Boston is aware of the fact that both [redacted] have evidence regarding the alleged criminal activities of Mayor CIANCI.

b6
b7C

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

♦♦

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE Date: 12/14/1999

To: Boston

From: Boston
Providence RA (P-1)
Contact: SA [redacted] b6 b7C

Approved By: [redacted]

Drafted By: [redacted] :jc

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

Title: Operation Plunder Dome;
CSLPO

Synopsis: To report on findings at The Clerk Of the Probate Court, Providence City Hall, Providence, Rhode Island.

Details: On December 14, 1999, SA [redacted] of the Rhode Island State Police reviewed the probate files of the estate on Fernando Ronci, Office of the Clerk of Probate, Providence City Hall, Providence, Rhode Island. The case number is 81230. The following information was obtained from the files: b6 b7C

[redacted] was the original attorney representing the estate of Fernando Ronci who died in 1985. On 09/08/1994, [redacted] withdrew from the estate. On 11/01/1994, [redacted] was admitted to represent the estate, specifically the [redacted]. [redacted] was admitted to represent [redacted] on 08/31/1994. b6 b7C

The three original [redacted] were [redacted] and Anthony Ronci. Anthony Ronci died on 10/18/1993, and was replaced by [redacted]. b6 b7C

A petition was filed for a disputed finders fee to be paid to [redacted] in the amount of [redacted] for the sale of 241-245 Reservoir Avenue, Providence, Rhode Island. The Probate Judge has yet to rule on the petition as of this date. A hearing is scheduled before the Probate Judge on 12/21/1999.

A total of eight heirs were listed on the estate.

UNCLASSIFIED
WHEN FILLED IN
BY ERP.
DATE 12/15/99

194B-BS-81295-152

SEARCHED ERP INDEXED ERP
SERIALIZED FILED
DEC 14 1999
FBI-BOSTON

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 12/21/1999

To: Boston **Attn:** [redacted] b6 b7C

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

Approved By: [redacted]

Drafted By: [redacted] :wda

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

Title: PLUNDER DOME
CSLPO
OO: BOSTON

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

Synopsis: Explanation of delay in submission of evidence.

Details: [redacted] were maintained by SA [redacted] for review and copying prior to submission for storage. That review and photocopy work was completed on 12/15/99, an attempt was made to submit that evidence on 12/16/99, but the Evidence Technician was not on duty because it was Thursday. A second attempt was made on Friday, 12/17/99 by giving it to the back-up evidence technician and SA [redacted] was advised that this EC was required because of the ten day rule. The computers were down on Monday, 12/20/99 so no EC could be prepared. This macro has shut down three times so far on 12/21/99 and the EC has had to be typed a total of four times. b3 b6 b7C

355 WDA 01.EC

194B-BS-81295-153

ERP

12/21/99

SEARCHED ERP INDEXED ERP
SERIALIZED FILED
DEC 21 1999
FBI - BOSTON

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 12/23/1999

To: Inspection Division **Attn:** [redacted] b6 b7C
Evaluation and Analysis
Section/Audit Unit
Room GRB-204

From: Boston
Providence RA (P-1)
Contact: SRA [redacted] (401) 272-8310 x138

Approved By: [redacted] b6 b7C

Drafted By: [redacted]

Case ID #: 194B-BS-74741 (Pending)
194B-BS-80859 (Pending)
194B-BS-81295 (Pending)
66F-HQ-C1228606 (Pending)

Title: [redacted] b7E
CONGRESSIONAL AUDIT REPORT

Reference: Inspection Division EC, dated 8/6/99, 66F-HQ-C1228606-I-139.

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.

♦♦

194B-BS-81295-155

DEC 2 3 1999

357DJKD1.EC

194B-BS-81295 = 156

8-291 (Rev. 1-6-93)
Evidence Shipping
FEDERAL BUREAU OF INVESTIGATION
BLDG 27958A
QUANTICO, VA 22135

39

Date: 1/11/00

Re: PLUNDERDOME;
CSLPO - LOCAL LEVEL

To: SA [redacted]
FEDERAL BUREAU OF INVESTIGATION
SUITE 900
10 DORRANCE STREET
PROVIDENCE, RHODE ISLAND 02903
TEL# (401) 272-8310/8311

b6
b7C

Invoice of Contents

Description of Contents:

1. SPECIMEN Q1 (ONE MAXELL AUDIO CASSETTE)
2. SPECIMEN K1 (ONE SONY RECORDER + BATTERIES)
3. SPECIMEN K2 [redacted]

FBI File# 194B-BS-81295

LAB# 991001255 QZ

b7E

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.

[redacted]

1/13/00

b6
b7C

Shipping Methods

☐ Registered Mail/Return Receipt Requested

☒ Overnight Security Signature Service

☐ Other

Packaged by
Signature

☐ Hand Delivered Date

All items listed above are contained in this package.
Signature Written

31

U.S. Department of Justice

Federal Bureau of Investigation

In Reply, Please Refer to
File No.

One Center Plaza

Boston, Massachusetts 02108
January 10, 2000

[redacted]

b6
b7C
b7D

Dear [redacted]:

[redacted]

b7D

[redacted]

b7D

[redacted]

b6
b7C
b7D
b7E

[redacted] 194B-BS-81295-158

EAP EAR

JAN 1 2000

[redacted] b7E

Sincerely,

Barry Mawn
Special Agent in Charge

By: [redacted] b6
Senior Supervisory Special Agent b7C

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/14/2000

To: BOSTON

From: BOSTON
P-1/PROVIDENCE RA
Contact: SA [redacted] EXT 110 b6 b7C

Approved By: [redacted]

Drafted By: [redacted] 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.

♦♦

UPLOADED

EAP

2/15/00

194B-BS-81295-1

SEARCHED INDEXED
SERIALIZED FILED
FEB 14 2000
FBI-BOSTON

045JA001 EC

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/26/2000

To: Boston

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

b6
b7C

Approved By: [redacted]

Drafted By: [redacted] :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 originally taken in the search of [redacted] on 4/26/99 was returned to [redacted] The evidence returned is detailed in the attached documents. AUSA [redacted] concurred with the return of the evidence.

b6
b7C

057 WD A01. EC

EAR
3/2/00

194B-BS-81295-161

SEARCHED ___ INDEXED ___
SERIALIZED ___ FILED ___
FEB 29 2000
FBI-BOSTON

FD-1 (Rev. 5-13-99)

FBI LABORATORY

FEDERAL BUREAU OF INVESTIGATION
WASHINGTON, D. C. 20535

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 [redacted] b7E

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.

194B-BS-81295

SEARCHED ____ INDEXED ____
SERIALIZED ____ FILED ____

MAR 16 2000

FBI-BOSTON

This Report is Furnished ~~for Official Use Only~~

7-1a (Rev. 5-18-99)

FEDERAL BUREAU OF INVESTIGATION
WASHINGTON, D. C. 20535

Report of Examination

Examiner Name:	[redacted]	Date:	February 28, 2000	b6 b7C
Unit:	Forensic Audio, Video & Image Analysis	Phone No.:	(703) 632-6219	
Case ID No.:	194B-BS-81295	Lab No.:	991001255 QZ	

Results of Examinations:

[redacted] 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): b7E

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 [redacted] b7E

This Report is Furnished ~~for Official Use Only~~

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 05/12/2000

To: Inspection Division **Attn:** [redacted] b6 b7C
Evaluation and Analysis
Section/Audit Unit
Room GRB-204

From: Boston
Providence RA (P-1)
Contact: SRA [redacted] (401) 272-8310 x138

Approved By: [redacted] b6 b7C

Drafted By: [redacted]

Case ID #: 194B-BS-74741 (Pending)
194B-BS-80859 (Pending)
194B-BS-81295 (Pending)
66F-HQ-C1228606 (Pending)

Title: [redacted] b7E
CONGRESSIONAL AUDIT REPORT

Reference: Inspection Division EC, dated 4/12/00, 66F-HQ-C1228606-I-209.

Synopsis: To report status of captioned case as pending.

Details: Criminal proceedings remain pending for the captioned investigation. Six subjects have been indicted by a special federal grand jury (FGJ) on Hobbs Act, mail fraud and conspiracy charges. All six subjects have been convicted and are awaiting sentencing. The FGJ continues to hear evidence against additional subjects and it is expected to be asked to indict additional subjects. Evidence gathered in the captioned case will be discoverable in these criminal proceedings.

♦♦

194B-BS-81295

ERP

5/16/00

ERP ERP 166

1 2 2000

FD-515 (Rev. 6-4-98)

[C] Squad supervisor approval (please initial)

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

Date Prepared 03/29/2000
Date Loaded _____
Data Loader's Initials _____

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☒
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) ___, ___, ___, ___ (A, B, C, D)

Task Force: _____

File Number: 194B-BS-81295

Stat Agent Soc. Sec. No.: _____

Stat Agent Name: _____

RA: Prov. Squad: P-1

Assisting Agents Soc. Sec. No. ×
1. - -
Name:
2. - -
Name:

Investigative Assistance or Technique Used
1-Used, but did not help
2-Helped, minimally
3-Helped, substantially
4-Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Fl. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAF			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Inte. Ass			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt			Show Money			Crisis Neg. - Loca			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - WRCSC			

b6
b7C
b7E

A. [redacted] / Information / [redacted]
☒ Federal ☐ Local ☐ International
Complaint Date: _____
Check if Civil Rico Complaint ☐
Information Date: 03/29/2000
Indictment Date: _____

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: _____
Arrest Date: _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: _____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X
☐ Federal ☐ Local ☐ International
Recovery Date: _____
Code• _____ ✓ Amount $ _____
Code• _____ ✓ Amount $ _____
Restitution Date: _____
☐ Court Ordered
☐ Pretrial Diversion
Code • _____ Amount $ _____
PELP Date: _____
Code• _____ ✓ Amount $ _____

E. Hostage(s) Released Date: _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date: _____

F. Conviction
☒ Federal ☐ Local ☐ International
Conviction Date: 03/29/2000
For 6F, G, H--Include Agency Code
☐ Felony or ☐ Misdemeanor
☒ Plea or ☐ Trial
State: R.I. Judicial District: _____

G. U.S. Code Violation
Required for Sections A, B, F, and J
(Federal only)

Title	Section	# Counts
18	1951	2
[redacted]		

H. Sentence Date: _____
Sentence Type: ___, ___, ___ •
In Jail: Years _____ Months _____
Suspended: Years _____ Months _____
Probation: Years _____ Months _____
Fines: $ _____

I. Disruption/Dismantlement:
Disruption Date: _____
Dismantlement Date: _____
Completion of FD-515a Side 2 Mandatory

J. Civil Rico Matters Date: _____
Also Complete "Section G"
Other Civil Matters Date: _____
Judgment ___ ___ ___ ___ •
Judicial Outcome ___ ___ ___ ___ • X
Amount $ _____
Suspension: Years _____ Months _____

b7E

K. Administrative Sanction Date: _____
Subject Description Code ____ •
Type: ☐ Suspension ☐ Debarment ☐ Injunction
Length: ☐ Permanent or Years ____ Months ____

L. Asset Seizure Date: _____
Asset Forfeiture Date: _____
CATS # Mandatory _____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do not indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: _____
Dismissal Date: _____
Pretrial Diversion Date: _____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L.)

Name	Race •	Sex	Date of Birth	Social Security No. (if available)

b6
b7C

☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (ICC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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
167

03/29/2000

********** INFORMATION **********
SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

Report Date: 03/29/2000
Accom Date.: 03/29/2000

b6
b7C
b7E

Does Accomplishment Involve

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

Assisting Agents SOC

[redacted]

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

[redacted]	FINAN ANALYST	[redacted]	LAB DIV EXAMS	[redacted]	UCO-GROUP I	[redacted]	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-WITN COOR
	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		TEL TOLL RECS		POC-WRCSC		

b7E

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

United States Code Violation

Title	Section	Counts
18	1951	2

Accomplishment Narrative

ON 3/29/2000 A FEDERAL INFORMATION WAS FILED IN U.S. DISTRICT COURT ON [redacted] FOR 2 COUNTS IN VIOLATION OF TITLE 18, U.S.C., SECTION 1951

b6
b7C

SENSITIVE / UNCLASSIFIED

03/29/2000

********** CONVICTION **********
SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.:

Report Date: 03/29/2000
Accom Date.: 03/29/2000

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

[redacted]	FINAN ANALYST	[redacted]	LAB DIV EXAMS	[redacted]	UCO-GROUP I	[redacted]	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-WITN COOR
	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		TEL TOLL RECS		POC-WRCSC		

b7E

Date of Conviction (MM/DD/YYYY) . . . . . .: 03/29/2000
Date of Sentencing (MM/DD/YYYY) . . . . . .:

[redacted]

b7E

Federal, Local, or International (F/L/I) . . . . . .: F
Felony or Misdemeanor (F/M) . . . . . .: F

Plea or Trial (P/T) . . . . . .: P
Judicial State. . . . . .: RI
Judicial District . . . . . .: RI
Type of Sentence . . . :

	Year	Month
Time in Jail. .:		
Time Suspended.:		
Probation Time.:		

Total Fines. . :$

U. S. Code Violation(s)

Title	Section	Counts
18	1951	2

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

Accomplishment Narrative

ON 3/29/2000 [redacted]
PLED GUILTY TO 2 COUNTS IN VIOLATION OF TITLE 18, U.S.C., SECTION 1951

b6
b7C

SENSITIVE / UNCLASSIFIED

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 05/26/2000

To: Boston

From: Boston
Providence RA (P-1)
Contact: SRA [redacted] (401) 458-1138

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]

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

Title: PLUNDER DOME

Synopsis: To clear lead assigned to SA [redacted]

b6
b7C

Details: A lead was set on 11/5/98 for the assignment of a case auditor for the captioned Group I UCO.

The covert stage of this investigation is complete and there is no further need for a case auditor.

Lead should be marked and cleared.

♦♦

5/26/00
Please mark lead Covered and Clear

194B-BS-81295

ERP ERP 169

2 0 2000

ERP

DATE 5/30/00

147DJK01.EC

FD-515 (Rev. 6-4-98)

K Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 7-7-00
Date Loaded 7-7-00
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☒
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) ___, ___, ___, ___ (A, B, C, D)

Task Force

File Number: 194B-BS-81295

Stat Agent Soc. Sec. No.

RA	Squad
PROV	P-1

Assisting Agents Soc. Sec. No. ×

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Int/CW Info			Phone Toll Rec			Poc - WRCSC			

b6
b7C
b7E

A. Complaint / Information / Indictment
☐ Federal ☐ Local ☐ International
Complaint Date: ___
Check if Civil Rico Complaint ☐
Information Date: ___
Indictment Date: ___

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: ___
Arrest Date: ___
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: ___
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X
☐ Federal ☐ Local ☐ International
Recovery Date: ___
Code• ___ ✓ Amount $ ___
Code• ___ ✓ Amount $ ___
Restitution Date: 7-7-00
☒ Court Ordered
☐ Pretrial Diversion
Code • 01 Amount $ 75,000
PELP Date: ___
Code• ___ ✓ Amount $ ___

E. Hostage(s) Released Date: ___
Released by: ☐ Terrorist ☐ Other
Number of Hostages: ___
Child Located Date: ___

F. Conviction
☒ Federal ☐ Local ☐ International
Conviction Date: 7-7-00
For 6F, G, H--Include Agency Code
☒ Felony or ☐ Misdemeanor
☒ Plea or ☐ Trial
State: RI Judicial District: RI

G. U.S. Code Violation
Required for Sections A, B, F, and J
(Federal only)

Title	Section	# Counts
18	195 and 2	3
18	1951	3
18	371 and 2	3
18	1956(H)	1

H. Sentence Date: 7-7-00
Sentence Type: JS, ___, ___ •
In Jail: Years ___ Months 60
Suspended: Years ___ Months ___
Probation: Years 3 Months ___
Fines: $ ___

I. Disruption/Dismantlement:
Disruption Date: ___
Dismantlement Date: ___
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: ___
Also Complete "Section G"
Other Civil Matters Date: 7-7-00
Judgment ___ ___ ___ •
Judicial Outcome RN ___ ___ ___ • X
Amount $ 75,000
Suspension: Years ___ Months ___

b7E

K. Administrative Sanction Date: ___
Subject Description Code ___ •
Type: ☐ Suspension ☐ Debarment ☐ Injunction
Length: ☐ Permanent or Years ___ Months ___

L. Asset Seizure Date: ___
Asset Forfeiture Date: ___
CATS # Mandatory ___
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: ___
Dismissal Date: ___
Pretrial Diversion Date: ___

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L.)

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
Rosemary Gabaney Joseph Pannone				

For Indictments/Convictions only:
☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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: 177

K

For Further Instructions See: MAOP, Part II, Se[illegible] 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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 Stocks/Bonds/Currency/ Negotiable Instruments
23 Counterfeit/Pirated Sound Recordings or Motion Pictures
24 Bank Theft 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
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
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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

07/19/2000

********** CONVICTIO **********
SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295
ate: 07/19/2000
Serial No.:
te.: 07/07/2000

Stat Agent Name: [redacted]

Stat Agent SOC.: [redacted]

Report D

Accom Da

b6
b7C
b7E

[redacted]

Assisting Agents SOC

[redacted]

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N
PANNONE, JOSEPH, A
A Fugitive. . . . . : N
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

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

Investigative Assistance or Technique Used
bstantially

Essential

[redacted] FINAN ANALYST	[redacted] LAB DIV EXAMS	[redacted] UCO-GROUP I	[redacted] 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-WITN COOR
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	TEL TOLL RECS	POC-WRCSC	

b7E

Date of Conviction (MM/DD/YYYY) . . . . . .: 07/07/2000
Date of Sentencing (MM/DD/YYYY) . . . . . .:

[redacted]

b7E

Federal, Local, or International (F/L/I) . . . . . .: F
Felony or Misdemeanor (F/M) . . . . . .: F

Plea or Trial (P/T) . . . . . .: P
Judicial State. . . . . .: RI
Judicial District . . . . . .: RI
Type of Sentence . . . :

U. S. Code Violation(s)

Title	Section	Counts
18	2	6
18	1951	3
18	371	3
18	1956	1

Form FD-515a Side 2

Investigative Eff

Subject's Role =

Scope = N/A OR N

:

Year Month
---- -----

orts = N/A OR NONE
Time in Jail. .:
N/A OR NONE
Time Suspended.:
ONE
Probation Time.:

Total Fines. . :$

07/19/2000

********** SENTENCING **********
SENSITIVE / UNCLASSIFIED

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

b6
b7C
b7E

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N
PANNONE, JOSEPH, A
A Fugitive. . . . . : N
Bankruptcy Fraud. . . . . : N
Computer Fraud/Abuse. . . . . : N
RA Squad Task Force
Corruption of Public Officials: Y
---- ----- ----------
Money Laundering. . . . . : N
PROV P1

Assisting Agents SOC

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

nimally

bstantially

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

Investigative Assistance or Technique Used

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	NON FBI LAB EX
CONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITN COOR
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	TEL TOLL RECS	POC-WRCSC	

b7E

Type of Sentence . . . : JS PB
Date of Sentencing . ..: 07/07/2000
Federal, Local, or International (F/L/I): F

	Year	Month
Time in Jail. .:	5	
Time Suspended.:		
Probation Time.:	3	
Total Fines. . :$		

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

SENSITIVE / UNCLASSIFIED

07/19/2000

********** RESTITUTION **********
SENSITIVE / UNCLASSIFIED

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

b6
b7C
b7E

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N
PANNONE, JOSEPH, A
A Fugitive. . . . . : N
Bankruptcy Fraud. . . . . : N
Computer Fraud/Abuse. . . . . : N
RA Squad Task Force
Corruption of Public Officials: Y
---- ----- ----------
Money Laundering. . . . . : N
PROV P1

Assisting Agents SOC

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

nimally

bstantially

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

Investigative Assistance or Technique Used

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	NON FBI LAB EX	
CONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITN COOR	
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	TEL TOLL RECS	POC-WRCSC		

b7E

Restitution is for Federal, Local, or International (F/L/I)...: F
Restitution Court Ordered or by Pretrial Diversion (C/P).....: C

Restitutio
n Property

==========

CODE	AMOUNT
01	$ 75000

CODE	AMOUNT
----	----------
	$

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)

K Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 7-7-00
Date Loaded 7-7-2000
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☐
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PROV	7-1

Assisting Agents Soc. Sec. No. X
1. - -
Name:
2. - -
Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - WRCSC			

b6
b7C
b7E

A. Complaint / Information / Indictment
☐ Federal ☐ Local ☐ International
Complaint Date: ____
Check if Civil Rico Complaint ☐
Information Date: ____
Indictment Date: ____

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: ____
Arrest Date: ____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: ____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X
☐ Federal ☐ Local ☐ International
Recovery Date: ____
Code• ____ ✓ Amount $ ____
Code• ____ ✓ Amount $ ____
Restitution Date: 7-7-00
☒ Court Ordered
☐ Pretrial Diversion
Code • 01 Amount $ 25,000
PELP Date: ____
Code• ____ ✓ Amount $ ____

E. Hostage(s) Released Date: ____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: ____
Child Located Date: ____

F. Conviction
☒ Federal ☐ Local ☐ International
Conviction Date: 7-7-00
For 6F, G, H--Include Agency Code
☒ Felony or ☐ Misdemeanor
☐ Plea or ☒ Trial
State: RI Judicial District: RI

G. U.S. Code Violation
Required for Sections A, B, F, and J
(Federal only)

Title	Section	# Counts
18	195 and 2	2
18	1951	2
18	371 and 2	3

H. Sentence Date: 7-7-00
Sentence Type: JS
In Jail: Years ____ Months 33
Suspended: Years ____ Months ____
Probation: Years 3 Months ____
Fines: $ ____

I. Disruption/Dismantlement:
Disruption Date: ____
Dismantlement Date: ____
Completion of FD-515a Side 2 Mandatory

J. Civil Rico Matters Date: ____
Also Complete "Section G"
Other Civil Matters Date: 7-7-00
Judgment ____ •
Judicial Outcome RN ____ • X
Amount $ 25,000.00
Suspension: Years ____ Months ____

b7E

K. Administrative Sanction Date: ____
Subject Description Code ____ •
Type: ☐ Suspension ☐ Debarment ☐ Injunction
Length: ☐ Permanent or Years ____ Months ____

L. Asset Seizure Date: ____
Asset Forfeiture Date: ____
CATS # Mandatory ____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do not indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: ____
Dismissal Date: ____
Pretrial Diversion Date: ____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L.)

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
Rosemary Glancy	W	F	1-2-53	038-36-6305

For Indictments/Convictions only:
☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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
178

K

For Further Instructions See: MAOP, Part II, S[illegible]s 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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

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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 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
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
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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

07/19/2000

********** CONVICTIO **********
SENSITIVE / UNCLASSIFIED

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

b6
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b7E

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N
GLANCY, ROSEMARY
A Fugitive. . . . . : N
Bankruptcy Fraud. . . . . : N
Computer Fraud/Abuse. . . . . : N
RA Squad Task Force
Corruption of Public Officials: Y
---- ----- ----------
Money Laundering. . . . . : N
PROV P1

Assisting Agents SOC

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

nimally

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

bstantially

4 = Absolutely

Investigative Assistance or Technique Used

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	NON FBI LAB EX
CONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITN COOR
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	TEL TOLL RECS	POC-WRCSC	

Date of Conviction (MM/DD/YYYY) . . . . . .: 07/07/2000
Date of Sentencing (MM/DD/YYYY) . . . . . .:

b7E

Federal, Local, or International (F/L/I) . . . . . .: F
Felony or Misdemeanor (F/M) . . . . . .: F

Plea or Trial (P/T) . . . . . .: P
Judicial State. . . . . .: RI
Judicial District . . . . . .: RI
Type of Sentence . . . :

U. S. Code Violation(s)
==========

Form FD-515a Side 2

Year	Month	Title	Section	Counts
----	-----	-----	-------	------
		18	1951	2
		18	2	5
		18	371	3

:

orts = N/A OR NONE
Time in Jail. .:
N/A OR NONE
Time Suspended.:
ONE
Probation Time.:

Total Fines. . :$

Investigative Eff

Subject's Role =

Scope = N/A OR N

Accomplishment Narrative

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

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

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b7E

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N
GLANCY, ROSEMARY
A Fugitive. . . . . : N
Bankruptcy Fraud. . . . . : N
Computer Fraud/Abuse. . . . . : N
RA Squad Task Force
Corruption of Public Officials: Y
---- ----- ----------
Money Laundering. . . . . : N
PROV P1

Assisting Agents SOC

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

nimally

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

bstantially

4 = Absolutely

Investigative Assistance or Technique Used

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	NON FBI LAB EX
CONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITN COOR
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	TEL TOLL RECS	POC-WRCSC	

Type of Sentence . . . : JS PB
Date of Sentencing . ..: 07/07/2000
Federal, Local, or International (F/L/I): F

	Year	Month
Time in Jail. .:	2	9
Time Suspended.:		
Probation Time.:	3	
Total Fines. . :$		

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

********** RESTITUTION **********
SENSITIVE / UNCLASSIFIED

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

b6
b7C
b7E

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N
GLANCY, ROSEMARY
A Fugitive. . . . . : N
Bankruptcy Fraud. . . . . : N
Computer Fraud/Abuse. . . . . : N
RA Squad Task Force
Corruption of Public Officials: Y
---- ----- ----------
Money Laundering. . . . . : N
PROV P1

Assisting Agents SOC

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

nimally

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

Investigative Assistance or Technique Used
bstantially

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	NON FBI LAB EX
CONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITN COOR
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	TEL TOLL RECS	POC-WRCSC	

Restitution is for Federal, Local, or International (F/L/I)...: F
Restitution Court Ordered or by Pretrial Diversion (C/P).....: C

Restitutio
n Property

==========

==========

CODE	AMOUNT
----	----------
	$

CODE	AMOUNT
----	----------
01	$ 25000

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)

[✓] 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 JMD

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☐
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
1946. BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PROV	P-1

Assisting Agents Soc. Sec. No. X

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			JCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			JCO - Group II			For. Lang Asst.
		Computer			Pen Registers			JCO - Nat. Back			Non FBI Lab Ex.
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - WRCSC			

b6
b7C
b7E

A. Complaint / Information / Indictment
☒ Federal ☐ Local ☐ International
Complaint Date: _____
Check if Civil Rico Complaint ☐
Information Date: 1/19/00
Indictment Date: _____

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: _____
Arrest Date: _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: _____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X
☐ Federal ☐ Local ☐ International
Recovery Date: _____
Code• _____ ✓Amount $ _____
Code• _____ ✓Amount $ _____
Restitution Date: _____
☐ Court Ordered
☐ Pretrial Diversion
Code • _____ Amount $ _____
PELP Date: _____
Code• _____ ✓ Amount $ _____

E. Hostage(s) Released Date: _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date: _____

F. Conviction
☐ Federal ☐ Local ☐ International
Conviction Date: _____
Subject Description Code: __ __ • (____)•
For 6F, G, H--Include Agency Code
☐ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: _____ Judicial District: _____

G. U.S. Code Violation
Required for Sections A, B, F, and J
(Federal only)

Title	Section	# Counts
18	1951	2

H. Sentence Date: _____
Sentence Type: ____, ____, ____•
In Jail: Years _____ Months _____
Suspended: Years _____ Months _____
Probation: Years _____ Months _____
Fines: $ _____

I. Disruption/Dismantlement:
Disruption Date: _____
Dismantlement Date: _____
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____
Also Complete "Section G"
Other Civil Matters Date: _____
Judgment ___ ___ ___ ___•
Judicial Outcome ___ ___ ___ ___• X
Amount $ _____
Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____
Subject Description Code ____•
Type: ☐ Suspension ☐ Debarment ☐ Injunction
Length: ☐ Permanent or Years ____ Months ____

L. Asset Seizure Date: _____
Asset Forfeiture Date: _____
CATS # **Mandatory** _____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: _____
Dismissal Date: _____
Pretrial Diversion Date: _____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L.)

Name	Race •	Sex	Date of Birth	Social Security No. (if available)

b6
b7C

For indictments/Convictions only:
☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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: 179

K

For Further Instructions See: MAOP, Part II, S[illegible]s 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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 Stocks/Bonds/Currency/ Negotiable Instruments
23 Counterfeit/Pirated Sound Recordings or Motion Pictures
24 Bank Theft 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
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
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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

07/19/2000

********** INFORMATIO **********
SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295
ate: 07/19/2000
Serial No.:
te.: 01/19/2000

Stat Agent Name: [redacted]

Stat Agent SOC.: [redacted]

Report D

Accom Da

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b7C
b7E

[redacted]

Assisting Agents SOC

[redacted]

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N
[redacted]
A Fugitive. . . . . : N
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

bstantially

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

Investigative Assistance or Technique Used

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		NON FBI LAB EX
	CONSEN MONITR		PHOTO COVERGE		NCAVC/VI-CAP		VICT-WITN COOR
	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		TEL TOLL RECS		POC-WRCSC		

b7E

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

United States Code Violation

Title	Section	Counts
18	1951	2

Accomplishment Narrative

ON 1/19/2000 A FEDERAL COMPLAINT WAS FILED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND CHARGING [redacted] WITH 2 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 1951

b6
b7C

SENSITIVE / UNCLASSIFIED

FD-5[redacted] (Rev. 6-4-98)

☐ Squad supervisor approval (please initial)

Accomplishment Report

[redacted]plishment must be reported and loaded into ISRAA[redacted] within 30 days from date of accomplishment)

Date Prepared _____
Date Loaded _____
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)

- Drugs ☐
- A Fugitive ☐
- Bankruptcy Fraud ☐
- Computer Fraud/Abuse ☐
- Corruption of Public Officials ☐
- Forfeiture Assets ☐
- Sub Invest Asst by FO (s) ☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number: 194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PROV	P-1

Assisting Agents Soc. Sec. No. X

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
	[redacted]	Fin. Analyst		[redacted]	Lab. Div. Exam			UCO - Group I		[redacted]	Ft. Mon.- NRCSC
	[redacted]	Aircraft Asst.		[redacted]	Lab. Field Sup			UCO - Group II		[redacted]	For. Lang Asst.
	[redacted]	Computer			Pen Registers			UCO - Nat. Back		[redacted]	Non FBI Lab Ex
		Consen Mon.			Photo Cover.		[redacted]	NCAVC / VI - CAP		[redacted]	Vict-Witn Coor
		Elsur / FISC		[redacted]	Polygraph		[redacted]	Crim/NS Intel Asst			
		Elsur / T. III			Search Warrant		[redacted]	Crisis Neg. - Fed.			
	[redacted]	Eng. Field Spt.		[redacted]	Show Money		[redacted]	Crisis Neg. - Local			
	[redacted]	Eng. Tape Ex			SOG Asst.		[redacted]	ERT Asst.			
	[redacted]	Legats Asst.		[redacted]	Swat Team		[redacted]	Butte - ITC			
		Evid Purchase		[redacted]	Tech. Ag/Equip.		[redacted]	Sav - ITC			
		Inf/CW Info		[redacted]	Phone Toll Rec		[redacted]	Poc - WRCSC			

b6
b7C
b7E

A. Complaint / Information / Indictment
☒ Federal ☐ Local ☐ International
Complaint Date: _____
Check if Civil Rico Complaint ☐
Information Date: 11/23/99
Indictment Date: _____

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: _____
Arrest Date: _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: _____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X
☐ Federal ☐ Local ☐ International
Recovery Date: _____
Code• ____ ✓Amount $ _____
Code• ____ ✓Amount $ _____
Restitution Date: _____
☐ Court Ordered
☐ Pretrial Diversion
Code • _____ Amount $ _____
PELP Date: _____
Code• ____ ✓ Amount $ _____

E. Hostage(s) Released Date: _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date: _____

F. Conviction
☐ Federal ☐ Local ☐ International
Conviction Date: _____
Subject Description Code: ____ • (____)•
For 6F, G, H--Include Agency Code
☐ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: _____ Judicial District: _____

G. U.S. Code Violation
Required for Sections A, B, F, and J
(Federal only)

Title	Section	# Counts
18	1001	1

H. Sentence Date: _____
Sentence Type: ____, ____, ____•
In Jail: Years _____ Months _____
Suspended: Years _____ Months _____
Probation: Years _____ Months _____
Fines: $ _____

I. Disruption/Dismantlement:
Disruption Date: _____
Dismantlement Date: _____
Completion of FD-515a Side 2 Mandatory

J. Civil Rico Matters Date: _____
Also Complete "Section G"
Other Civil Matters Date: _____
Judgment ___ ___ ___ ___•
Judicial Outcome ___ ___ ___ ___• X
Amount $ _____
Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____
Subject Description Code ____•
Type: ☐ Suspension ☐ Debarment ☐ Injunction
Length: ☐ Permanent or Years ____ Months ____

L. Asset Seizure Date: _____
Asset Forfeiture Date: _____
CATS # Mandatory _____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do not indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: _____
Dismissal Date: _____
Pretrial Diversion Date: _____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L.)

Name	Race •	Sex	Date of Birth	Social Security No. (if available)

b6
b7C

For Indictments/Convictions only:
☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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: 180

K

For Further Instructions See: MAOP, Part II, [illegible] 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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 Stocks/Bonds/Currency/ Negotiable Instruments
23 Counterfeit/Pirated Sound Recordings or Motion Pictures
24 Bank Theft 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
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
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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

07/19/2000

********** INFORMATIO[redacted]**********
SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295
ate: 07/19/2000
Serial No.:
te.: 11/23/1999

Stat Agent Name: [redacted]

Stat Agent SOC.: [redacted]

Report D

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[redacted]

Assisting Agents SOC

[redacted]

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N

[redacted]

A Fugitive. . . . . : N
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

bstantially

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

Investigative Assistance or Technique Used

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	NON FBI LAB EX
CONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITN COOR
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	TEL TOLL RECS	POC-WRCSC	

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

United States Code Violation

Title	Section	Counts
18	1001	1

Accomplishment Narrative

ON 11/23/1999 A FEDERAL COMPLAINT WAS FILED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND CHARGING [redacted] WITH 1 COUNT IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 1001

b6
b7C

SENSITIVE / UNCLASSIFIED

FD-515 (Rev. 10-1-96)

[1] Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 7-7-00
Date Loaded 7/21/2000
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☐
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PROV.	P-1

Assisting Agents Soc. Sec. No. ×
1. - -
Name:
2. - -
Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential

For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			
		Elsur / FISC			Polygraph			Crim Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - WRCSC			

b6
b7C
b7E

A. Complaint / Information / Indictment

☑ Federal ☐ Local ☐ International

Complaint Date _____

Check if Civil Rico Complaint ☐

Information Date _____

Indictment Date 6-29-00

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International

Subject Priority: ☐ A ☐ B ☐ C

Locate Date _____

Arrest Date _____

☐ Subject Resisted Arrest

☐ Subject Arrested was Armed

C. Summons

☐ Federal ☐ Local

Summons Date _____

D. Hostage(s) Released Date _____

Released by: ☐ Terrorist ☐ Other

Number of Hostages: _____

Child Located Date _____

E. Recovery / Restitution / PELP ×

☐ Federal ☐ Local ☐ International

Recovery Date _____

Code •	Amount
	$
	$

Restitution Date _____

☐ Court Ordered

☐ Pretrial Diversion

Code •	Amount
	$

PELP Date _____

Code •	Amount
	$

F. Civil Rico Matters Date _____

Also Complete Section I

or

Other Civil Matters Date _____

Judgment ____ ____ •

Judicial Outcome ____ ____ × •

Amount: $ _____

Suspension:

Years	Months

G. Administrative Sanctions Date _____

Subject Description Code ____ ____ •

Type: ☐ Suspension ☐ Debarment ☐ Injunction

Length: ☐ Permanent ☐

Years	Months

H. Conviction

☐ Federal ☐ Local ☐ International

Conviction Date: _____

Subject Description Code: __ __ • (_____) •

For 6F, G, H--Include Agency Code

☐ Felony Or ☐ Misdemeanor

☐ Plea Or ☐ Trial

State: _____ Judicial District: _____

I. U.S. Code Violations

Required for Sections A, B, F, and H (Federal only)

Title	Section	# of Counts
18	1951	6
18	371	1
18	1341	2

J. Sentence Date: _____

Sentence type: __ __, __ __, __ __ •

In-Jail Years	In-Jail Months	Suspended Years	Suspended Months	Probation Years	Probation Months

Fines: $ _____

K. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date _____

Dismissal Date _____

Pretrial Diversion Date _____

L. Subject Information (Required for all Sections excluding Section D and E (Recovery/PELP))

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
JOSEPH PANNONE	W	M	11/26/22	036-12-1254

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

× 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: 102

K

For Further Instructions See: MAOP, Part [illegible] ections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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 Stocks/Bonds/Currency/ Negotiable Instruments
23 Counterfeit/Pirated Sound Recordings or Motion Pictures
24 Bank Theft 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

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 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

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 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
6B 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 & 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
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

07/21/2000

********** INDICTMEN[redacted]**********
SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295
ate: 07/21/2000
Serial No.:
te.: 06/29/2000

Stat Agent Name: [redacted]

Stat Agent SOC.: [redacted]

Report D

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b7E

Assisting Agents SOC

[redacted]

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N
PANNONE, JOSEPH, A
A Fugitive. . . . . : N
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

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

Investigative Assistance or Technique Used
bstantially

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	NON FBI LAB EX
CONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITN COOR
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	TEL TOLL RECS	POC-WRCSC	

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

Form FD-515a Side 2:
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	Counts
18	1951	6
18	371	1
18	1341	2

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

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

osition:
If La Cosa Nostra (LCN) Member or Asso (M/A):
Name of LCN Organized Crime Group (OCG) . . . . . :
Position in LCN 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 (Rev. 6-4-98)

☑ Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 7-19-2000
Date Loaded 7-19-2000
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☒
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS-81255

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PROV	P-1

Assisting Agents Soc. Sec. No. X
1. - -
2. - - .
Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate FO	IAT	Rate FO	IAT	Rate FO	IAT	Rate FO	IAT
	Fin. Analyst		Lab. Div. Exam		UCO - Group I		Ft. Mon.- NRCSC
	Aircraft Asst.		Lab. Field Sup		UCO - Group II		For. Lang Asst.
	Computer		Pen Registers		UCO - Nat. Back		Non FBI Lab Ex
	Consen Mon.		Photo Cover.		NCAVC / VI - CAP		Vict-Witn Coor
	Elsur / FISC		Polygraph		Crim/NS Intel Asst		
	Elsur / T. III		Search Warrant		Crisis Neg. - Fed.		
	Eng. Field Spt.		Show Money		Crisis Neg. - Local		
	Eng. Tape Ex		SOG Asst.		ERT Asst.		
	Legats Asst.		Swat Team		Butte - ITC		
	Evid Purchase		Tech. Ag/Equip		Sav - ITC		
	Inf/CW Info		Phone Toll Rec		Poc - WRCSC		

b6
b7C
b7E

A. Complaint / Information / Indictment
☐ Federal ☐ Local ☐ International
Complaint Date: ____
Check if Civil Rico Complaint ☐
Information Date: ____
Indictment Date: 6/29/00

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: ____
Arrest Date: ____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: 7/9/00
☑ Federal ☐ Local

D. Recovery/Restitution/PELP X
☐ Federal ☐ Local ☐ International
Recovery Date: ____
Code• ____ ✓ Amount $ ____
Code• ____ ✓ Amount $ ____
Restitution Date: ____
☐ Court Ordered
☐ Pretrial Diversion
Code • ____ Amount $ ____
PELP Date: ____
Code• ____ ✓ Amount $ ____

E. Hostage(s) Released Date: ____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: ____
Child Located Date: ____

F. Conviction
☐ Federal ☐ Local ☐ International
Conviction Date: ____
Subject Description Code: __ • (____)•
For 6F, G, H--Include Agency Code
☐ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: ____ Judicial District: ____

G. U.S. Code Violation
Required for Sections A, B, F, and J
(Federal only)

Title	Section	# Counts
18	1951	6
18	371	1
18	1341	2

H. Sentence Date: ____
Sentence Type: ____, ____, ____ •
In Jail: Years ____ Months ____
Suspended: Years ____ Months ____
Probation: Years ____ Months ____
Fines: $ ____

I. Disruption/Dismantlement:
Disruption Date: ____
Dismantlement Date: ____
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: ____
Also Complete "Section G"
Other Civil Matters Date: ____
Judgment __ __ __ __ •
Judicial Outcome __ __ __ __ • X
Amount $ ____
Suspension: Years ____ Months ____

K. Administrative Sanction Date: ____
Subject Description Code ____ •
Type:
☐ Suspension
☐ Debarment
☐ Injunction
Length:
☐ Permanent
or
Years ____ Months ____

L. Asset Seizure Date: ____
Asset Forfeiture Date: ____
CATS # Mandatory ____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: ____
Dismissal Date: ____
Pretrial Diversion Date: ____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L.)

Name	Race •	Sex	Date of Birth	Social Security No. (if available)

b6
b7C

For Indictments/Convictions only:
☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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
181

K

For Further Instructions See: MAOP, Part II, S[illegible]s 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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 Stocks/Bonds/Currency/ Negotiable Instruments
23 Counterfeit/Pirated Sound Recordings or Motion Pictures
24 Bank Theft 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
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
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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

07/21/2000

********** INDICTMEN[redacted]**********
SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295
ate: 07/21/2000
Serial No.:
te.: 06/29/2000

Stat Agent Name: [redacted]

Stat Agent SOC.: [redacted]

Report D

Accom Da

b6
b7C
b7E

[redacted]

Assisting Agents SOC

[redacted]

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N
[redacted]
A Fugitive. . . . . : N
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

1 = Used, but

2 = Helped, Mi

nimally

3 = Helped, Su

bstantially

4 = Absolutely

Investigative Assistance or Technique Used

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		NON FBI LAB EX
	CONSEN MONITR		PHOTO COVERGE		NCAVC/VI-CAP		VICT-WITN COOR
	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		TEL TOLL RECS		POC-WRCSC		

b7E

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

Form FD-515a Side 2:
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	Counts
18	1951	6
18	371	1
18	1341	2

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

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

osition:
If La Cosa Nostra (LCN) Member or Asso (M/A):
Name of LCN Organized Crime Group (OCG) . . . . .:
Position in LCN 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 [redacted] WAS INDICTED IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND ON 6 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE, 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

b6
b7C

SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295
ate: 07/19/2000
Serial No.:
te.: 07/09/2000

Stat Agent Name: [redacted]

Stat Agent SOC.: [redacted]

Report D

Accom Da

b6
b7C
b7E

[redacted]

Assisting Agents SOC

[redacted]

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N
[redacted]
A Fugitive. . . . . : N
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

bstantially

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

Investigative Assistance or Technique Used

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		NON FBI LAB EX
	CONSEN MONITR		PHOTO COVERGE		NCAVC/VI-CAP		VICT-WITN COOR
	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		TEL TOLL RECS		POC-WRCSC		

b7E

Federal or Local Summons (F/L). .: F

Accomplishment Narrative

ON 7/9/2000 A FEDERAL SUMMONS WAS SERVED ON [redacted] TO APPEAR 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

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 08/08/2000

To: Boston

From: Boston
Providence RA (P-1)
Contact: [redacted] x130

b6
b7C

Approved By: [redacted]

Drafted By: [redacted] jc

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

Title: OPERATION PLUNDER DOME;
CSLPO

Synopsis: To report sentencing of [redacted]

b6
b7C

Details: [redacted]

EAP

8/10/00

194B-BS-81295-185

SEARCHED EAP INDEXED EAP
SERIALIZED FILED

AUG 1 0 2000

FBI - BOSTON

221 JC02 - EC

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 10/23/2000

To: Boston

From: Boston
Providence RA
Contact: [redacted]

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]

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

Title: CHANGED
Operation Plunder Dome;
[redacted]
CSLPO

b6
b7C

Synopsis: To add [redacted] as a subject.

Enclosures: A copy of the affidavit on the complaint of [redacted]

Previous Title: Title marked "Changed" to reflect the addition of [redacted] as a subject.
Title previously carried as "Operation Plunder Dome".

Details: [redacted]

b6
b7C
b7D

♦♦

194B - BS - 81295 - 188

GRP

10/23/00

297JC01 - EC

(12/31/1995)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 11/08/2000

To: Boston

From: Boston
Providence RA, P-1
Contact: [redacted] x130

b6
b7C

Approved By: [redacted]

Drafted By: [redacted] jc

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

Title: Operation Plunder Dome;
CSLPO

Synopsis: To report indictment of [redacted].

b6
b7C

Enclosure(s): One copy of an indictment of [redacted]

Details: [redacted]

b6
b7C

♦♦

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE Date: 11/15/2000

To: Jacksonville Attn: SSA [redacted]

From: Boston
Providence RA
Contact: SA [redacted] (401) 458-1139

b6
b7C

Approved By: [redacted]

Drafted By: [redacted] cwj

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

Title: PLUNDER DOME;
CSLPO

Synopsis: To set lead at Jacksonville Division.

Reference: Telcal between SSA [redacted] Jacksonville Division, and SA [redacted] Providence RA.

b6
b7C

Enclosures: Enclosed for Jacksonville is a copy of a grand jury subpoena originally sent by fax on 09/07/2000.

Details: During a public corruption investigation in Providence, Rhode Island, allegations were made that a bribe was paid [redacted] Investigation to date has substantiated this allegation. [redacted] Jacksonville Division has previously provided, by fax, some of the documents obtained from the Jacksonville Sheriff's Department.

b6
b7C

194B-BS-81295-193
SEARCHED ERP
SERIALIZED ERP
INDEXED ERP
NOV 1 2000
FBI - JACKSONVILLE

ERP
11/15/00

NJM/lab

320cwj01.ec

To: Jacksonville From: Boston
Re: 194B-BS-81295, 11/15/2000

LEAD (s):

Set Lead 1:

JACKSONVILLE

AT JACKSONVILLE, FLORIDA

Will provide the original complete personnel file [redacted] 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.

b6
b7C

♦♦

United States District Court

DISTRICT OF RHODE ISLAND

TO: [redacted] b3

SUBPOENA TO TESTIFY BEFORE GRAND JURY

SUBPOENA FOR: [redacted] b3

YOU ARE HEREBY COMMANDED to appear and testify before the Grand Jury of the United States District Court at the place, date, and time specified below.

PLACE	COURTROOM
United States District Court John O. Pastore Building (U.S. Post Office) Two Exchange Terrace, Room 314 Providence, Rhode Island 02903	314
	DATE AND TIME [redacted] b3

YOU ARE ALSO COMMANDED to bring with you the following document(s) or object(s):*

☐ *Please see additional information on reverse*

This subpoena shall remain in effect until you are granted leave to depart by the court or by an officer acting on behalf of the court.

CLERK	DATE
(BY) DEPUTY CLERK Ronald R. Huey Chief Deputy Clerk	9/7/00

This subpoena is issued on application of the United States of America

MARGARET E. CURRAN
UNITED STATES ATTORNEY

NAME, ADDRESS AND PHONE NUMBER OF ASSISTANT U.S. ATTORNEY

[redacted] b6 b7C

Assistant United States Attorney
United States Attorney's Office
50 Kennedy Plaza, Fleet Ctr., 8th Flr.
Providence, RI 02903 [redacted]

*If not applicable, enter "none"

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 11/17/2000

To: Chicago

Attn: SRA 2

From: Boston
Providence RA
Contact: SA [redacted] (401) 458-1139

b6
b7C

Approved By: [redacted]

Drafted By: [redacted] :cwj

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

Title: PLUNDER DOME;
CSLPO

Synopsis: To advise the South RA of an interview being conducted in South Holland, Illinois.

Reference: Telcal between SA [redacted] Boston Division, and SSA [redacted] Chicago Division, on 11/17/2000.

b6
b7C

Details: During the course of a public corruption investigation in Providence, Rhode Island, questions have been raised about police department promotion examinations administered by a company located in South Holland, Illinois. SA [redacted] will be conducting an interview and obtaining documents for use as evidence at Resource Management Associates, 625 East 170th Street, South Holland, Illinois on 11/22/2000. The SACs of the Boston and Chicago Divisions have been advised of the travel of SA [redacted] to the Chicago Division and concur.

194B - BS - 81295 - 194

EAP

11/20/00

325cwj01.ec

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 11/24/2000

To: Boston **Attn:** Providence RA, SA [redacted]

From: Jacksonville
Squad 5
Contact: SA [redacted] ext 6165

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 194B-BS-81295 195 (Pending)

Title: PLUNDER DOME;
CSLPO

Synopsis: To send case a copy of personnel file and clear lead.

Enclosure(s): Enclosed for Providence RA is a FD-340 containing Personnel file of [redacted] from the Jacksonville Sheriff's Office.

b6
b7C

Details: Enclosed is a copy of the Personnel File of [redacted] from the Jacksonville Sheriff's Office. As there is no further investigation in the Jacksonville Division, this lead is considered covered.

♦♦

2000

FEDERAL BUREAU OF INVESTIGATION
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;
Page 17 ~ Referral/Direct;
Page 21 ~ Referral/Direct;
Page 22 ~ Referral/Direct;
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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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X   Deleted Page(s)    X
X   No Duplication Fee X
X   For this Page      X
XXXXXXXXXXXXXXXXXXXXXXXXX
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(Rev. 08-28-2000)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 01/04/2001

To: Boston

From: Boston
Providence RA
Contact: SA [redacted]

b6
b7C

Approved By: [redacted]

Drafted By: [redacted]

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

Title: PLUNDERDOME;
CSLPO-LOCAL
OO:BS

Synopsis: Close lead.

Details: Lead assigned has been designated unnecessary by lead agent on case.
Lead covered, clear lead.

♦♦

Pl
Close Leads
WTM
1/5/01

194B-BS-81295-198

EAR

1/8/01

OOAms02ec

(Rev. 08-28-2000)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 01/10/2001

To: Boston

Attn: Providence RA

From: Boston
Providence RA
Contact: SA [redacted] (401) 458-1139

b6
b7C

Approved By: [redacted]

Drafted By: [redacted] :cwj

Case ID #: 194B-BS-81295 (Pending)
194B-BS-84963 (Pending)

Title: PLUNDER DOME;
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.

♦♦

194B-BS-81295-199

EAP

1/11/01

P-1 Rotor
Please assign [redacted] SA as co-case agt
WJM/bab
1/11/01

b6
b7C

11cwj01.ec

FD-515 (Rev. 8-1-00)

MM Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 1/5/01
Date Loaded 1/5/01
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☐
Money Laundering	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
3090	4450

Assisting Agents Soc. Sec. No. ×

Name:

2. - -

Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
	■	Fin. Analyst		■	Lab. Div. Exam			UCO - Group I		■	Ft. Mon.- ITC
	■	Aircraft Asst.		■	Lab. Field Sup			UCO - Group II		■	For. Lang Asst.
	■	Computer			Pen Registers			UCO - Nat. Back		■	Non FBI Lab Ex
		Consen Mon.			Photo Cover.		■	NCAVC / VI - CAP		■	Vict-Witn Coor
		Elsur / FISC		■	Polygraph		■	Crim/NS Intel Asst		■	IO Wanted Flyer
		Elsur / T. III			Search Warrant		■	Crisis Neg. - Fed.		■	SARs
	■	Eng. Field Spt.		■	Show Money		■	Crisis Neg. - Local		■	CART
	■	Eng. Tape Ex			SOG Asst.		■	ERT Asst.			
	■	Legats Asst.		■	Swat Team		■	Butte - ITC			
		Evid Purchase		■	Tech. Ag/Equip.		■	Sav - ITC			
		Inf/CW Info		■	Phone Toll Rec		■	Poc - ITC			

b6
b7C
b7E

A. Complaint / Information / Indictment
☒ Federal ☐ Local ☐ International
Complaint Date: ____
Check if Civil Rico Complaint ☐
Information Date: ____
Indictment Date: 1/3/2001

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: ____
Arrest Date: ____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: ____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X
☐ Federal ☐ Local ☐ International
Recovery Date: ____
Code • ____ ✓ Amount $____
Code • ____ ✓ Amount $____
Restitution Date: ____
☐ Court Ordered ☐ Pretrial Diversion
Code • ____ ✓ Amount $____
PELP Date: ____
Code • ____ ✓ Amount $____

E. Hostage(s) Released Date: ____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: ____
Child Located Date: ____

F. Conviction
☐ Federal ☐ Local ☐ International
Conviction Date: ____
Subject Description Code: ____ •(____)•
For 6F, G, H-Include Agency Code
☐ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: ____ Judicial District: ____

G. U.S. Code Violation
Required for sections A,B,F,and J
(Federal Only)

Title	Section	# Counts
18	1512	1
18	1513	1

H. Sentence Date: ____
Sentence Type: ____, ____, ____ •
In Jail: Years____ Months ____
Suspended: Years____ Months ____
Probation: Years____ Months ____
Fines: $____

I. Disruption/Dismantlement:
Disruption Date: ____
Dismantlement Date: ____
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: ____
Also Complete "Section G"
Other Civil Matters Date: ____
Judgment ____ ____ ____ ____ •
Judicial Outcome ____ ____ ____ ____ •x
Amount $____
Suspension: Years ____ Months ____

K. Administrative Sanction Date: ____
Subject Description Code ____ •
Type: Length:
☐ Suspension ☐ Permanent
☐ Debarment or
☐ Injunction Year____ Months ____

L. Asset Seizure Date: ____
Asset Forfeiture Date: ____
CATS # **Mandatory** ____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: ____
Dismissal Date: ____
Pretrial Diversion Date: ____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

b6
b7C

Name	Race •	Sex	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), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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: 220

For Further Instructions See: MAOP, Part [illegible] ections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

01/17/2001

********** INDICTMENT **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.:

Report Date: 01/05/2001
Accom Date.: 01/03/2001

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b7C
b7E

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Does Accomplishment Involve

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

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

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

Form FD-515a Side 2:
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	Counts
18	1512	1
18	1513	1

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:
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

ON 1/3/2001, [redacted] WAS
INDICTED IN U.S. DISTRICT COURT ON 1 COUNT EACH IN VIOLATION OF TITLE 18
U.S. CODE SECTION(S) 1512 AND 1513

b6
b7C

SENSITIVE / UNCLASSIFIED

FD-515 (Rev. 10-1-96)

Squad supervisor approval (please initial) [JMM]

Accomplishment Report

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

Date Prepared _____
Date Loaded 3/8/01
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)

- Drugs ☐
- A Fugitive ☐
- Bankruptcy Fraud ☐
- Computer Fraud/Abuse ☐
- Corruption of Public Officials ☐
- Forfeiture Assets ☐
- Sub Invest Asst by FO (s) ☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number: 194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
3090	4450

Assisting Agents Soc. Sec. No. ×

Name:

2. - -

Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3-Helped, substantially
4-Absolutely essential

For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			
		Elsur / FISC			Polygraph			Crim Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec.			Poc - WRCSC			

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b7E

A. Complaint / Information / Indictment

☐ Federal ☐ Local ☐ International

Complaint Date _____

Check if Civil Rico Complaint ☐

Information Date _____

Indictment Date _____

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International

Subject Priority: ☐ A ☐ B ☐ C

Locate Date _____

Arrest Date _____

☐ Subject Resisted Arrest

☐ Subject Arrested was Armed

C. Summons

☐ Federal ☐ Local

Summons Date _____

D. Hostage(s) Released Date _____

Released by: ☐ Terrorist ☐ Other

Number of Hostages: _____

Child Located Date _____

E. Recovery / Restitution / PELP ×

☐ Federal ☐ Local ☐ International

Recovery Date _____

Code •	Amount
	$
	$

Restitution Date _____

☐ Court Ordered

☐ Pretrial Diversion

Code •	Amount
	$

PELP Date _____

Code •	Amount
	$

F. Civil Rico Matters Date _____

Also Complete Section I

or

Other Civil Matters Date _____

Judgment ____ ____ •

Judicial Outcome ____ ____ × •

Amount: $ _____

Suspension:

Years	Months

G. Administrative Sanctions Date _____

Subject Description Code ____ ____ •

Type: ☐ Suspension ☐ Debarment ☐ Injunction

Length: ☐ Permanent ☐

Years	Months

H. Conviction

☒ Federal ☐ Local ☐ International

Conviction Date: 2/18/01

Subject Description Code: ____ • (_____) •

For 6F, G, H--Include Agency Code

☒ Felony Or ☐ Misdemeanor

☒ Plea Or ☐ Trial

State: RI Judicial District: RI

I. U.S. Code Violations

Required for Sections A, B, F, and H (Federal only)

Title	Section	# of Counts
18	1512	1

J. Sentence Date: _____

Sentence type: ____ ____, ____ ____, ____ ____ •

In-Jail Years	In-Jail Months	Suspended Years	Suspended Months	Probation Years	Probation Months

Fines: $ _____

K. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date _____

Dismissal Date _____

Pretrial Diversion Date _____

L. Subject Information (Required for all Sections excluding Section D and E (Recovery/PELP))

Name	Race •	Sex	Date of Birth	Social Security No. (if available)

b6
b7C

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

× 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: 2044

03/08/2001

********** CONVICTION **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

Report Date: 03/08/2001
Accom Date.: 02/18/2001

b6
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b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

Date of Conviction (MM/DD/YYYY) . . . . . .: 02/18/2001

[redacted]

b7E

Federal, Local, or International (F/L/I) . . . . . .: F
Felony or Misdemeanor (F/M) . . . . . .: F

Plea or Trial (P/T) . . . . . .: P
Judicial State. . . . . .: RI
Judicial District . . . . . .: RI

U. S. Code Violation(s)

Title	Section	Counts
18	1512	1

Form FD-515a:
Subject's Role =

Accomplishment Narrative

[redacted] PLED

b6
b7C

GUILTY TO 1 COUNT IN VIOLATION OF TITLE 18, SECTION 1512

196

194B-BS-81295-205

(Rev. 08-28-2000)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 04/04/2001

To: Boston **Attn:** Providence RA

From: Boston
Providence RA
Contact: SA [redacted] (401) 458-1139 b6 b7C

Approved By: [redacted]

Drafted By: [redacted] :cwj

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

Title: Plunder Dome;
CSLPO

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.

♦♦

194B-BS-81295-206

ERP

4/6/01

95cwj01.ec

FD-515 (Rev. 6-4-98)

[AM] Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 8-8-2000
Date Loaded 8-29-2000
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☒
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) ___, ___, ___, ___ (A, B, C, D)

Task Force

File Number: 194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name: SA

RA	Squad
PRW	R1

Assisting Agents Soc. Sec. No. ×

1. - -

2. - - .

Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - WRCSC			

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b7E

A. Complaint / Information / Indictment
☐ Federal ☐ Local ☐ International
Complaint Date: ___
Check if Civil Rico Complaint ☐
Information Date: ___
Indictment Date: ___

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: ___
Arrest Date: ___
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: ___
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X
☑ Federal ☐ Local ☐ International
Recovery Date: ~~8/8/2000~~
Code• ___ ✓Amount $ ___
Code• ___ ✓Amount $ ___
Restitution Date: 8/8/2000
☒ Court Ordered
☐ Pretrial Diversion
Code • 01 Amount $ 12,000
PELP Date: ___
Code• ___ ✓ Amount $ ___

E. Hostage(s) Released Date: ___
Released by: ☐ Terrorist ☐ Other
Number of Hostages: ___
Child Located Date: ___

F. Conviction
☒ Federal ☐ Local ☐ International
Conviction Date: 3/29/00
For 6F, G, H--Include Agency Code
☒ Felony or ☐ Misdemeanor
☒ Plea or ☐ Trial
State: RI Judicial District: RI

G. U.S. Code Violation
Required for Sections A, B, F, and J
(Federal only)

Title	Section	# Counts
18	1951	2

H. Sentence Date: 8/8/2000
Sentence Type: JS, PB, ___ •
In Jail: Years 2 Months 6
Suspended: Years ___ Months ___
Probation: Years 3 Months ___
Fines: $ 15,000

I. Disruption/Dismantlement:
Disruption Date: ___
Dismantlement Date: ___
Completion of FD-515a Side 2 Mandatory

J. Civil Rico Matters Date: ___
Also Complete "Section G"
Other Civil Matters Date: ___
Judgment ___ ___ ___ ___ •
Judicial Outcome ___ ___ ___ ___ • X
Amount $ ___
Suspension: Years ___ Months ___

b7E

K. Administrative Sanction Date: ___
Subject Description Code ___ •
Type: ☐ Suspension ☐ Debarment ☐ Injunction
Length: ☐ Permanent or Years ___ Months ___

L. Asset Seizure Date: ___
Asset Forfeiture Date: ___
CATS # Mandatory ___
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do not indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: ___
Dismissal Date: ___
Pretrial Diversion Date: ___

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L.)

Name	Race •	Sex	Date of Birth	Social Security No. (if available)

b6
b7C

For Indictments/Convictions only:
☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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: 311

For Further Instructions See: MAOP, Part II, Se[illegible] 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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 Stocks/Bonds/Currency/ Negotiable Instruments
23 Counterfeit/Pirated Sound Recordings or Motion Pictures
24 Bank Theft 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
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
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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

08/29/2000

********** CONVICTION **********
SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295
ate: 08/29/2000
Serial No.:
te.: 03/29/2000

Stat Agent Name: [redacted]

Stat Agent SOC.: [redacted]

Report D

Accom Da

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b7E

[redacted]

Assisting Agents SOC

[redacted]

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N

[redacted]

A Fugitive. . . . . : N
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

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

Investigative Assistance or Technique Used
bstantially

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	NON FBI LAB EX	b7E
CONSEN MONITR	PHOTO COVERGE	NCAVC/VI-CAP	VICT-WITN COOR	
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	TEL TOLL RECS	POC-WRCSC		

Date of Conviction (MM/DD/YYYY) . . . . . .: 03/29/2000
Date of Sentencing (MM/DD/YYYY) . . . . . .:

[redacted] b7E

Federal, Local, or International (F/L/I) . . . . . .: F
Felony or Misdemeanor (F/M) . . . . . .: F

Plea or Trial (P/T) . . . . . .: P
Judicial State. . . . . .: RI
Judicial District . . . . . .: RI
Type of Sentence . . . :

U. S. Code Violation(s)

Title	Section	Counts
18	1951	2

Form FD-515a Side 2

Investigative Eff

Subject's Role =

Scope = N/A OR N

Year Month
:
---- -----
orts = N/A OR NONE
Time in Jail. .:
N/A OR NONE
Time Suspended.:
ONE
Probation Time.:

Total Fines. . :$

Accomplishment Narrative

[redacted]

b6
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PLED GUILTY TO 2 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE SECTION 1951

SENSITIVE / UNCLASSIFIED

08/29/2000

********** SENTENCING **********
SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295
ate: 08/29/2000
Serial No.:
te.: 08/08/2000

Stat Agent Name: [redacted]

Stat Agent SOC.: [redacted]

Report D

Accom Da

b6
b7C
b7E

[redacted]

Assisting Agents SOC

[redacted]

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N
[redacted]
A Fugitive. . . . . : N
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

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

Investigative Assistance or Technique Used
bstantially

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		NON FBI LAB EX
	CONSEN MONITR		PHOTO COVERGE		NCAVC/VI-CAP		VICT-WITN COOR
	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		TEL TOLL RECS		POC-WRCSC		

b7E

Type of Sentence . . . . : JS PB
Date of Sentencing . ..: 08/08/2000
Federal, Local, or International (F/L/I): F

	Year	Month
Time in Jail. .:	2	6
Time Suspended.:		
Probation Time.:	3	
Total Fines. . :$	15000	

Accomplishment Narrative

[redacted]

b6
b7C

WAS SENTENCED TO SERVE 2 YEARS 6 MONTHS IN FEDERAL PRISON, FOLLOWED BY 3 YEARS SUPERVISED PROBATION. [redacted] WAS ALSO FINED $15,000 IN COURT COSTS

SENSITIVE / UNCLASSIFIED

09/05/2000

********** RESTITUTION **********
SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-81295
ate: 08/29/2000
Serial No.:
te.: 08/08/2000

Stat Agent Name: [redacted]

Stat Agent SOC.: [redacted]

Report D

Accom Da

b6
b7C
b7E

[redacted]

Assisting Agents SOC

[redacted]

Does Accomplishment Involve
Subject Name

Drugs . . . . . : N

[redacted]

A Fugitive. . . . . : N
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

1 = Used, but

2 = Helped, Mi

3 = Helped, Su

4 = Absolutely

Investigative Assistance or Technique Used
bstantially

Essential

[redacted]	FINAN ANALYST	[redacted]	LAB DIV EXAMS	[redacted]	UCO-GROUP I	[redacted]	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-WITN COOR
	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		TEL TOLL RECS		POC-WRCSC		

b7E

Restitution is for Federal, Local, or International (F/L/I)...: F
Restitution Court Ordered or by Pretrial Diversion (C/P).....: C

Restitutio
n Property

==========

==========

CODE	AMOUNT
----	----------
	$

CODE	AMOUNT
----	----------
01	$ 12000

b6
b7C

Accomplishment Narrative

[redacted]

WAS ORDERED BY THE COURT TO PAY $12,000 IN RESTITUTION

FD-515 (Rev. 10-1-96)

NDM Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 11/13/2000
Date Loaded 11/13/2000
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☐
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PGOV	P-1

Assisting Agents Soc. Sec. No. ×

Name:

2. - -

Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Fl. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			
		Elsur / FISC			Polygraph			Crim Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - WRCSC			

b6
b7C
b7E

A. Complaint / Information / Indictment

☒ Federal ☐ Local ☐ International
Complaint Date 10/13/00
Check if Civil Rico Complaint ☐
Information Date ____
Indictment Date ____

B. Locate/ Arrest

☒ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date ____
Arrest Date 10/12/00
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons

☐ Federal ☐ Local
Summons Date ____

D. Hostage(s) Released Date ____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: ____
Child Located Date ____

E. Recovery / Restitution / PELP ×

☐ Federal ☐ Local ☐ International
Recovery Date ____

Code •	Amount
	$
	$

Restitution Date ____
☐ Court Ordered
☐ Pretrial Diversion

Code •	Amount
	$

PELP Date ____

Code •	Amount
	$

F. Civil Rico Matters Date ____
Also Complete Section I

or

Other Civil Matters Date ____
Judgment ____ ____ •
Judicial Outcome ____ ____ × •
Amount: $____
Suspension:

Years	Months

G. Administrative Sanctions Date ____
Subject Description Code ____ ____ •
Type: ☐ Suspension ☐ Debarment ☐ Injunction
Length: ☐ Permanent ☐

Years	Months

H. Conviction

☐ Federal ☐ Local ☐ International
Conviction Date: ____
Subject Description Code: __ __ • (____)•
For 6F, G. H--Include Agency Code
☐ Felony Or ☐ Misdemeanor
☐ Plea Or ☐ Trial
State: ____ Judicial District: ____

I. U.S. Code Violations

Required for Sections A, B, F, and H (Federal only)

Title	Section	# of Counts
18	1513	1

J. Sentence Date: ____
Sentence type: __ __, __ __, __ __ •

In-Jail Years	In-Jail Months	Suspended Years	Suspended Months	Probation Years	Probation Months

Fines: $ ____

K. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date ____
Dismissal Date ____
Pretrial Diversion Date ____

L. Subject Information (Required for all Sections excluding Section D and E (Recovery/PELP))

Name	Race •	Sex	Date of Birth	Social Security No. (if available)

b6
b7C

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

× 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: 212

11/07/2000

********** COMPLAINT **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.:

Report Date: 11/07/2000
Accom Date.: 10/13/2000

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

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

United States Code Violation

Title	Section	Counts
18	1513	1

Accomplishment Narrative

[redacted] A FEDERAL COMPLAINT WAS FILED IN U.S. DISTRICT COURT ON
[redacted] ON ONE COUNT IN
VIOLATION OF TITLE 18, UNITED STATES CODE, SECTION 1513

b6
b7C

11/14/2000

********** ARREST **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.:

Report Date: 11/14/2000
Accom Date.: 10/12/2000

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

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	1513	1

Accomplishment Narrative

[redacted] WAS
ARRESTED ON 1 COUNT IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 1513

b6
b7C

SENSITIVE / UNCLASSIFIED

Accomplishment Narrative

[redacted] 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

b6
b7C

SENSITIVE / UNCLASSIFIED

FD-515 (Rev. 8-1-00)

MM 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
Date Loaded 5/3/01
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☑
Money Laundering	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ A, B, C, D

Task Force

File Number
194B, BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PROV	P-1

Assisting Agents Soc. Sec. No. ×
1. - -
Name:
2. - -
Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- ITC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAF			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Ass			IO Wanted Flyer
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			SARs
		Eng. Field Spt			Show Money			Crisis Neg. - Loca			CART
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - ITC			

b6
b7C
b7E

A. Complaint / Information / Indictment

☑ Federal ☐ Local ☐ International
Complaint Date: ____
Check if Civil Rico Complaint ☐
Information Date: ____
Indictment Date: 4/2/01

B. Locate/ Arrest

☑ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☑ B ☐ C
Locate Date: ____
Arrest Date: 4/2/01
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: 4/2/01
☑ Federal ☐ Local

D. Recovery/Restitution/PELP X

☐ Federal ☐ Local ☐ International
Recovery Date: ____
Code • ____ ✓ Amount $____
Code • ____ ✓ Amount $____
Restitution Date: ____
☐ Court Ordered ☐ Pretrial Diversion
Code • ____ ✓ Amount $____
PELP Date: ____
Code • ____ ✓ Amount $____

E. Hostage(s) Released Date: ____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: ____
Child Located Date: ____

F. Conviction

☐ Federal ☐ Local ☐ International
Conviction Date: ____
Subject Description Code: ____ •(____)•
For 6F, G, H-Include Agency Code
☐ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: ____ Judicial District: ____

G. U.S. Code Violation

Required for sections A,B,F,and J
(Federal Only)

Title	Section	# Counts
18	1341	30 Total
18	1951	
18	1346	
18	1561	
~~18~~	~~1512~~	

H. Sentence Date: ____
Sentence Type: ____, ____, ____ •
In Jail: Years____ Months ____
Suspended: Years____ Months ____
Probation: Years____ Months ____
Fines: $____

I. Disruption/Dismantlement:

Disruption Date: ____
Dismantlement Date: ____
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: ____
Also Complete "Section G"
Other Civil Matters Date: ____
Judgment ____ ____ ____ ____ •
Judicial Outcome ____ ____ ____ ____ •x
Amount $____
Suspension: Years ____ Months ____

K. Administrative Sanction Date: ____
Subject Description Code ____ •
Type: Length:
☐ Suspension ☐ Permanent
☐ Debarment or
☐ Injunction Year____ Months ____

L. Asset Seizure Date: ____
Asset Forfeiture Date: ____
CATS # **Mandatory** ____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date: ____
Dismissal Date: ____
Pretrial Diversion Date: ____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
Vincent A. Cianci, JR	W	M		

For Indictments/Convictions only:
☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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
213

For Further Instructions See: MAOP, Part II, Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

05/03/2001

********** INDICTMENT **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name:
Stat Agent SOC.:

Report Date: 05/03/2001
Accom Date.: 04/02/2001

b6
b7C
b7E

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

CIANCI, VINCENT, A

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

b7E

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

U. S. Code Violation(s)

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. . . . :

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:

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

Name of Company Subject Connected with:

Elected/Appointed Public Official Position:
If Other, Specify. :

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

SENSITIVE / UNCLASSIFIED

FD-515 (Rev. 10-1-96)

Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 11-14-00
Date Loaded 11-14-00
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☐
Forfeiture Assets	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS 81245

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
C-1	

Assisting Agents Soc. Sec. No. ×

Name:

2. - -

Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- NRCSC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			
		Elsur / FISC			Polygraph			Crim Intel Asst			
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - WRCSC			

b6
b7C
b7E

A. Complaint / Information / Indictment

☐ Federal ☐ Local ☐ International

Complaint Date _____

Check if Civil Rico Complaint ☐

Information Date _____

Indictment Date 11/8/00

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International

Subject Priority: ☐ A ☐ B ☐ C

Locate Date _____

Arrest Date _____

☐ Subject Resisted Arrest

☐ Subject Arrested was Armed

C. Summons

☒ Federal ☐ Local

Summons Date _____

D. Hostage(s) Released Date _____

Released by: ☐ Terrorist ☐ Other

Number of Hostages: _____

Child Located Date _____

E. Recovery / Restitution / PELP ×

☐ Federal ☐ Local ☐ International

Recovery Date _____

Code •	Amount
	$
	$

Restitution Date _____

☐ Court Ordered

☐ Pretrial Diversion

Code •	Amount
	$

PELP Date _____

Code •	Amount
	$

F. Civil Rico Matters Date _____

Also Complete Section I

or

Other Civil Matters Date _____

Judgment ____ ____ •

Judicial Outcome ____ ____ × •

Amount: $_____

Suspension:

Years	Months

G. Administrative Sanctions Date _____

Subject Description Code ____ ____ •

Type:	Length:
☐ Suspension	☐ Permanent
☐ Debarment	☐
☐ Injunction	

Years	Months

H. Conviction

☐ Federal ☐ Local ☐ International

Conviction Date: _____

Subject Description Code: __ __ • (_____) •

For 6F, G, H--Include Agency Code

☐ Felony Or ☐ Misdemeanor

☐ Plea Or ☐ Trial

State: _____ Judicial District: _____

I. U.S. Code Violations

Required for Sections A, B, F, and H (Federal only)

Title	Section	# of Counts
18	1503	1
18	1513	1

J. Sentence Date: _____

Sentence type: __ __, __ __, __ __ •

In-Jail Years	In-Jail Months	Suspended Years	Suspended Months	Probation Years	Probation Months

Fines: $ _____

K. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date _____

Dismissal Date _____

Pretrial Diversion Date _____

L. Subject Information (Required for all Sections excluding Section D and E (Recovery/PELP))

Name	Race •	Sex	Date of Birth	Social Security No. (if available)

b6
b7C

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

× 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: 214

11/14/2000

********** INDICTMENT **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

Report Date: 11/14/2000
Accom Date.: 11/08/2000

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC: [redacted]

Subject Name: [redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

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

Form FD-515a Side 2:
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	Counts
18	1503	1
18	1513	1

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:
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. :

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 5/3/01
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)

- Drugs [ ]
- A Fugitive [ ]
- Bankruptcy Fraud [ ]
- Computer Fraud/Abuse [ ]
- Corruption of Public Officials [X]
- Money Laundering [ ]
- Sub Invest Asst by FO (s) [ ]

Asst. FO(s) __, __, __, __
A, B, C, D

Task Force

File Number: 194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
3090	4450

Assisting Agents Soc. Sec. No. X
1. - -
Name:
2. - -
Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate FO	IAT	Rate FO	IAT	Rate FO	IAT	Rate FO	IAT
	Fin. Analyst		Lab. Div. Exam		UCO - Group I		Ft. Mon.- ITC
	Aircraft Asst.		Lab. Field Sup		UCO - Group II		For. Lang Asst.
	Computer		Pen Registers		UCO - Nat. Back		Non FBI Lab Ex
	Consen Mon.		Photo Cover.		NCAVC / VI - CAP		Vict-Witn Coor
	Elsur / FISC		Polygraph		Crim/NS Intel Asst		IO Wanted Flyer
	Elsur / T. III		Search Warrant		Crisis Neg. - Fed.		SARs
	Eng. Field Spt.		Show Money		Crisis Neg. - Local		CART
	Eng. Tape Ex		SOG Asst.		ERT Asst.		
	Legats Asst.		Swat Team		Butte - ITC		
	Evid Purchase		Tech. Ag/Equip.		Sav - ITC		
	Inf/CW Info		Phone Toll Rec		Poc - ITC		

b6
b7C
b7E

A. Complaint / Information / Indictment
[X] Federal [ ] Local [ ] International
Complaint Date: _____
Check if Civil Rico Complaint [ ]
Information Date: _____
Indictment Date: 4/2/01

B. Locate/ Arrest
[ ] Federal [ ] Local [ ] International
Subject Priority: [ ] A [ ] B [ ] C
Locate Date: _____
Arrest Date: _____
[ ] Subject Resisted Arrest
[ ] Subject Arrested was Armed

C. Summons Date: 4/6/01
[X] Federal [ ] Local

D. Recovery/Restitution/PELP X
[ ] Federal [ ] Local [ ] International
Recovery Date: _____
Code • _____ ✓ Amount $_____
Code • _____ ✓ Amount $_____
Restitution Date: _____
[ ] Court Ordered [ ] Pretrial Diversion
Code • _____ ✓ Amount $_____
PELP Date: _____
Code • _____ ✓ Amount $_____

E. Hostage(s) Released Date: _____
Released by: [ ] Terrorist [ ] Other
Number of Hostages: _____
Child Located Date: _____

F. Conviction
[ ] Federal [ ] Local [ ] International
Conviction Date: _____
Subject Description Code: _____ •(____)•
For 6F, G, H-Include Agency Code
[ ] Felony or [ ] Misdemeanor
[ ] Plea or [ ] Trial
State: _____ Judicial District: _____

G. U.S. Code Violation
Required for sections A,B,F,and J
(Federal Only)

Title	Section	# Counts
18	371	1
18	666	2

H. Sentence Date: _____
Sentence Type: _____,_____,_____ •
In Jail: Years_____ Months _____
Suspended: Years_____ Months _____
Probation: Years_____ Months _____
Fines: $_____

I. Disruption/Dismantlement:
Disruption Date: _____
Dismantlement Date: _____
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____
Also Complete "Section G"
Other Civil Matters Date: _____
Judgment ____ ____ ____ ____ •
Judicial Outcome ____ ____ ____ ____ •x
Amount $_____
Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____
Subject Description Code _____ •
Type: Length:
[ ] Suspension [ ] Permanent
[ ] Debarment or
[ ] Injunction Year_____ Months _____

L. Asset Seizure Date: _____
Asset Forfeiture Date: _____
CATS # **Mandatory** _____
Check one of the three:
[ ] Asset Forfeiture - Administrative
[ ] Asset Forfeiture - Civil Judicial
[ ] Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: _____
Dismissal Date: _____
Pretrial Diversion Date: _____

b6
b7C

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	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), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
[ ] 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
315

For Further Instructions See: MAOP, Part II, Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

05/03/2001

********** INDICTMENT **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.:

Report Date: 05/03/2001
Accom Date.: 04/02/2001

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

	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-WITN 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		

b7E

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

Form FD-515a Side 2:
Subject's Role =

U. S. Code Violation(s)

Title	Section	Counts
18	371	1
18	666	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) . . . . .:
Position in LCN 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. :

Accomplishment Narrative

[redacted] 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

b6
b7C

SENSITIVE / UNCLASSIFIED

FD-515 (Rev. 8-1-00)

MMS 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 5/3/2001
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☐
Money Laundering	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS-8 5

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PROV	P-1

Assisting Agents Soc. Sec. No. X

Investigative Assistance or Technique Used

1-Used, but did not help; 2-Helped, minimally; 3 - Helped, substantially; 4 - Absolutely essential

For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- ITC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			IO Wanted Flyer
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			SARs
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			CART
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - ITC			

b6 b7C b7E

sex arrest

A. Complaint / Information / Indictment

☑ Federal ☐ Local ☐ International

Complaint Date: _____

Check if Civil Rico Complaint ☐

Information Date: _____

Indictment Date: 4/2/01

B. Locate/ Arrest

☑ Federal ☐ Local ☐ International

Subject Priority: ☐ A ☑ B ☐ C

Locate Date: _____

Arrest Date: 4/2/01

☐ Subject Resisted Arrest

☐ Subject Arrested was Armed

C. Summons Date: _____

☐ Federal ☐ Local

D. Recovery/Restitution/PELP X

☐ Federal ☐ Local ☐ International

Recovery Date: _____

Code • _____ ✓ Amount $ _____

Code • _____ ✓ Amount $ _____

Restitution Date: _____

☐ Court Ordered ☐ Pretrial Diversion

Code • _____ ✓ Amount $ _____

PELP Date: _____

Code • _____ ✓ Amount $ _____

E. Hostage(s) Released Date: _____

Released by: ☐ Terrorist ☐ Other

Number of Hostages: _____

Child Located Date: _____

F. Conviction

☐ Federal ☐ Local ☐ International

Conviction Date: _____

Subject Description Code: _____ •(____)•

For 6F, G, H-Include Agency Code

☐ Felony or ☐ Misdemeanor

☐ Plea or ☐ Trial

State: _____ Judicial District: _____

G. U.S. Code Violation

Required for sections A,B,F,and J (Federal Only)

Title	Section	# Counts
18	1341	30 TOTAL
	1951	
	1546	
	1561	

H. Sentence Date: _____

Sentence Type: ____, ____, ____ •

In Jail: Years_____ Months _____

Suspended: Years_____ Months _____

Probation: Years_____ Months _____

Fines: $_____

I. Disruption/Dismantlement:

Disruption Date: _____

Dismantlement Date: _____

Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____

Also Complete "Section G"

Other Civil Matters Date: _____

Judgment ____ ____ ____ ____ •

Judicial Outcome ____ ____ ____ ____ •x

Amount $_____

Suspension: Years _____ Months _____

b6 b7C

K. Administrative Sanction Date: _____

Subject Description Code _____ •

Type: Length:

☐ Suspension ☐ Permanent

☐ Debarment or

☐ Injunction Year_____ Months _____

L. Asset Seizure Date: _____

Asset Forfeiture Date: _____

CATS # **Mandatory** _____

Check one of the three:

☐ Asset Forfeiture - Administrative

☐ Asset Forfeiture - Civil Judicial

☐ Asset Forfeiture - Criminal

Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date: _____

Dismissal Date: _____

Pretrial Diversion Date: _____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
EDWARD UOCCOLA	W	M	1/11/29	039-18-6573

For Indictments/Convictions only:

☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.

☐ 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: 216

For Further Instructions See: MAOP, Part [illegible] ections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

05/03/2001

********** INDICTMENT **********

SENSITIVE / UNCLASSIFIED

Case Number: 194B-BS-80859
Serial No.:

Stat Agent Name:
Stat Agent SOC.:

Report Date: 05/03/2001
Accom Date.: 04/02/2001

b6
b7C
b7E

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

VOCCOLA, EDWARD

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

b7E

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

U. S. Code Violation(s)

Form FD-515a Side 2:
Subject's Role =

Title	Section	Counts
18	1341	8
18	1951	8
18	1946	7
18	1961	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 LCN Organized Crime Group (OCG) . . . . .:
Position in LCN 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. :

Position in Union.:
If Other, Specify:

Accomplishment Narrative

SENSITIVE / UNCLASSIFIED

FD-515 (Rev. 8-1-00)

MMS 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 5/11/01
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☒
Money Laundering	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __
A, B, C, D

File Number
194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PROV	P-1

Task Force

Assisting Agents Soc. Sec. No. ×
1. - -
Name:
2. - -
Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- ITC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			IO Wanted Flyer
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			SARs
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			CART
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - ITC			

b6
b7C
b7E

A. Complaint / Information / Indictment
☒ Federal ☐ Local ☐ International
Complaint Date: _____
Check if Civil Rico Complaint ☐
Information Date: _____
Indictment Date: 04/02/01

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: _____
Arrest Date: _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: _____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X
☐ Federal ☐ Local ☐ International
Recovery Date: _____
Code • _____ ✓ Amount $_____
Code • _____ ✓ Amount $_____
Restitution Date: _____
☐ Court Ordered ☐ Pretrial Diversion
Code • _____ ✓ Amount $_____
PELP Date: _____
Code • _____ ✓ Amount $_____

E. Hostage(s) Released Date: _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date: _____

F. Conviction
☐ Federal ☐ Local ☐ International
Conviction Date: _____
Subject Description Code: _____ •(____)•
For 6F, G, H-Include Agency Code
☐ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: _____ Judicial District: _____

G. U.S. Code Violation
Required for sections A,B,F,and J
(Federal Only)

Title	Section	# Counts
18	1962	2
18	1951	8
18	1341	3

H. Sentence Date: _____
Sentence Type: _____,_____,_____ •
In Jail: Years_____ Months _____
Suspended: Years_____ Months _____
Probation: Years_____ Months _____
Fines: $_____

I. Disruption/Dismantlement:
Disruption Date: _____
Dismantlement Date: _____
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____
Also Complete "Section G"
Other Civil Matters Date: _____
Judgment ____ ____ ____ ____ •
Judicial Outcome ____ ____ ____ ____ •x
Amount $_____
Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____
Subject Description Code _____ •
Type: Length:
☐ Suspension ☐ Permanent
☐ Debarment or
☐ Injunction Year_____ Months _____

L. Asset Seizure Date: _____
Asset Forfeiture Date: _____
CATS # **Mandatory** _____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: _____
Dismissal Date: _____
Pretrial Diversion Date: _____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
PANNONE, JOSEPH A.	W	M	11/26/1922	036-12-1254

For Indictments/Convictions only:
☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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
317

For Further Instructions See: MAOP, Part I, Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

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.

05/11/2001

********** INDICTMENT **********

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

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

Assisting Agents SOC

Subject Name

PANNONE, JOSEPH, A

b6
b7C
b7E

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

b7E

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

U. S. Code Violation(s)

Form FD-515a Side 2:
Subject's Role =

Title	Section	Counts
18	1962	2
18	1951	8
18	1341	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) . . . . .:
Position in LCN 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. :

Position in Union.:
If Other, Specify:

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)

SENSITIVE / UNCLASSIFIED

FD-515 (Rev. 8-1-00)

[illegible] Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 5/10/01
Date Loaded 5/14/01
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☒
Money Laundering	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __
A, B, C, D

Task Force

File Number
194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
3090	4450

Assisting Agents Soc. Sec. No. ×
1. - -
Name:
2. - -
Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- ITC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			IO Wanted Flyer
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			SARs
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			CART
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - ITC			

b6
b7C
b7E

A. Complaint / Information / Indictment
☐ Federal ☐ Local ☐ International
Complaint Date: _____
Check if Civil Rico Complaint ☐
Information Date: _____
Indictment Date: _____

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: _____
Arrest Date: _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: _____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X
☐ Federal ☐ Local ☐ International
Recovery Date: _____
Code •_____✓ Amount $_____
Code •_____✓ Amount $_____
Restitution Date: _____
☐ Court Ordered ☐ Pretrial Diversion
Code •_____✓ Amount $_____
PELP Date: _____
Code •_____✓ Amount $_____

E. Hostage(s) Released Date: _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date: _____

F. Conviction
☐ Federal ☐ Local ☐ International
Conviction Date: _____
Subject Description Code:_____•(____)•
For 6F, G, H-Include Agency Code
☐ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: _____ Judicial District: _____

G. U.S. Code Violation
Required for sections A,B,F,and J
(Federal Only)

Title	Section	# Counts

H. Sentence Date: _____
Sentence Type: ____,____,____•
In Jail: Years_____ Months _____
Suspended: Years_____ Months _____
Probation: Years_____ Months _____
Fines: $_____

I. Disruption/Dismantlement:
Disruption Date: _____
Dismantlement Date: _____
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____
Also Complete "Section G"
Other Civil Matters Date:_____
Judgment ____ ____ ____ ____•
Judicial Outcome ____ ____ ____ ____•x
Amount $_____
Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____
Subject Description Code _____•
Type: Length:
☐ Suspension ☐ Permanent
☐ Debarment or
☐ Injunction Year_____ Months _____

L. Asset Seizure Date: 4/3/01
Asset Forfeiture Date: _____
CATS # **Mandatory** 01-FBI-002235
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☒ Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: _____
Dismissal Date: _____
Pretrial Diversion Date: _____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	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), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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
2118

For Further Instructions See: MAOP, Part I[illegible]ctions 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

05/16/2001

********** SEIZURE **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

Report Date: 05/14/2001
Accom Date.: 04/03/2001

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

Subject Name

b6
b7C
b7E

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

TYPE OF SEIZURE: CRIMINAL
DATE OF ACCOMPLISHMENT: 20010403
CATS #: 01FBI002235

Accomplishment Narrative

SEIZURE OF JERE REALTY FURNITURE

SENSITIVE / UNCLASSIFIED

FD-515 (Rev. 8-1-00)

[illegible] 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 5/11/01
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☐
Money Laundering	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number: 194B-LS-81295

Stat Agent Soc. Sec. No.

RA: PROV | Squad: P-1

Assisting Agents Soc. Sec. No. ×

Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2 -Helped, minimally
3 - Helped, substantially
4 - Absolutely essential

For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate FO	IAT	Rate FO	IAT	Rate FO	IAT	Rate FO	IAT
	Fin. Analyst		Lab. Div. Exam		UCO - Group I		Ft. Mon.- ITC
	Aircraft Asst.		Lab. Field Sup		UCO - Group II		For. Lang Asst.
	Computer		Pen Registers		UCO - Nat. Back		Non FBI Lab Ex
	Consen Mon.		Photo Cover.		NCAVC / VI - CAP		Vict-Witn Coor
	Elsur / FISC		Polygraph		Crim/NS Intel Asst		O Wanted Flyer
	Elsur / T. III		Search Warrant		Crisis Neg. - Fed.		SARs
	Eng. Field Spt.		Show Money		Crisis Neg. - Local		CART
	Eng. Tape Ex		SOG Asst.		ERT Asst.		
	Legats Asst.		Swat Team		Butte - ITC		
	Evid Purchase		Tech. Ag/Equip.		Sav - ITC		
	Inf/CW Info		Phone Toll Rec		Poc - ITC		

b6
b7C
b7E

A. Complaint / Information / Indictment

☐ Federal ☐ Local ☐ International

Complaint Date: _____

Check if Civil Rico Complaint ☐

Information Date: _____

Indictment Date: 4/2/01

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International

Subject Priority: ☐ A ☐ B ☐ C

Locate Date: _____

Arrest Date: _____

☐ Subject Resisted Arrest

☐ Subject Arrested was Armed

C. Summons Date: 4/2/01

☒ Federal ☐ Local

D. Recovery/Restitution/PELP X

☐ Federal ☐ Local ☐ International

Recovery Date: _____

Code •_____✓ Amount $_____

Code •_____✓ Amount $_____

Restitution Date: _____

☐ Court Ordered ☐ Pretrial Diversion

Code •_____✓ Amount $_____

PELP Date: _____

Code •_____✓ Amount $_____

E. Hostage(s) Released Date: _____

Released by: ☐ Terrorist ☐ Other

Number of Hostages: _____

Child Located Date: _____

F. Conviction

☐ Federal ☐ Local ☐ International

Conviction Date: _____

Subject Description Code:_____•(____)•

For 6F, G, H-Include Agency Code

☐ Felony or ☐ Misdemeanor

☐ Plea or ☐ Trial

State: _____ Judicial District: _____

G. U.S. Code Violation

Required for sections A,B,F,and J (Federal Only)

Title	Section	# Counts
18	1341	
18	1951	
18	1346	
18	1961	
18	1512	

H. Sentence Date: _____

Sentence Type: ____,____,____•

In Jail: Years_____ Months _____

Suspended: Years_____ Months _____

Probation: Years_____ Months _____

Fines: $_____

I. Disruption/Dismantlement:

Disruption Date: _____

Dismantlement Date: _____

Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____

Also Complete "Section G"

Other Civil Matters Date: _____

Judgment ____ ____ ____ ____•

Judicial Outcome ____ ____ ____ ____•x

Amount $_____

Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____

Subject Description Code _____•

Type: Length:

☐ Suspension ☐ Permanent

☐ Debarment or

☐ Injunction Year_____ Months _____

L. Asset Seizure Date: _____

Asset Forfeiture Date: _____

CATS # **Mandatory** _____

Check one of the three:

☐ Asset Forfeiture - Administrative

☐ Asset Forfeiture - Civil Judicial

☐ Asset Forfeiture - Criminal

Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date: _____

Dismissal Date: _____

Pretrial Diversion Date: _____

b6
b7C

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	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), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.

☐ 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: 219

For Further Instructions See: MAOP, Part II, Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

05/11/2001

********** SUMMONS **********

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

b6
b7C
b7E

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

b7E

Federal or Local Summons (F/L). .: F

Accomplishment Narrative

ON PUBLIC CORRUPTIONS CHARGES INCLUDING TITLE 18, SECTIONS 1341, 1951, 1346, 1961 AND 1512, MULTIPLE COUNTS

b6
b7C

SENSITIVE / UNCLASSIFIED

05/11/2001

********** INDICTMENT **********

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

b6
b7C
b7E

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

b7E

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

Form FD-515a Side 2:
Subject's Role =

U. S. Code Violation(s)

Title	Section	Counts
18	1341	8
18	1951	8
18	1346	8
18	1961	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 LCN Organized Crime Group (OCG) . . . . .:
Position in LCN 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. :

Accomplishment Narrative

SENSITIVE / UNCLASSIFIED

FD-515 (Rev. 8-1-00)

[illegible] Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 5/10/01
Date Loaded 5/16/01
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☒
Money Laundering	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
3640	4450

Assisting Agents Soc. Sec. No. ×

1. - -
Name:
2. - -
Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential

For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- ITC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			IO Wanted Flyer
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			SARs
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			CART
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - ITC			

b6
b7C
b7E

A. Complaint / Information / Indictment
☐ Federal ☐ Local ☐ International
Complaint Date: ____
Check if Civil Rico Complaint ☐
Information Date: ____
Indictment Date: ____

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: ____
Arrest Date: ____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: ____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X
☐ Federal ☐ Local ☐ International
Recovery Date: ____
Code • ____ ✓ Amount $____
Code • ____ ✓ Amount $____
Restitution Date: ____
☐ Court Ordered ☐ Pretrial Diversion
Code • ____ ✓ Amount $____
PELP Date: ____
Code • ____ ✓ Amount $____

E. Hostage(s) Released Date: ____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: ____
Child Located Date: ____

F. Conviction
☐ Federal ☐ Local ☐ International
Conviction Date: ____
Subject Description Code: ____ •(____)•
For 6F, G, H-Include Agency Code
☐ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: ____ Judicial District: ____

G. U.S. Code Violation
Required for sections A,B,F,and J
(Federal Only)

Title	Section	# Counts

H. Sentence Date: ____
Sentence Type: ____, ____, ____ •
In Jail: Years____ Months ____
Suspended: Years____ Months ____
Probation: Years____ Months ____
Fines: $____

I. Disruption/Dismantlement:
Disruption Date: ____
Dismantlement Date: ____
Completion of FD-515a Side 2 Mandatory

J. Civil Rico Matters Date: ____
Also Complete "Section G"
Other Civil Matters Date: ____
Judgment ____ ____ ____ ____ •
Judicial Outcome ____ ____ ____ ____ •x
Amount $____
Suspension: Years ____ Months ____

K. Administrative Sanction Date: ____
Subject Description Code ____ •
Type: Length:
☐ Suspension ☐ Permanent
☐ Debarment or
☐ Injunction Year____ Months ____

L. Asset Seizure Date: 4/3/01
Asset Forfeiture Date: ____
CATS # Mandatory 01-FBI-002230
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☒ Asset Forfeiture - Criminal
Do not indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: ____
Dismissal Date: ____
Pretrial Diversion Date: ____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	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), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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
220

05/16/2001

********** SEIZURE **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

Report Date: 05/16/2001
Accom Date.: 04/03/2001

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

Subject Name

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

TYPE OF SEIZURE: CRIMINAL
DATE OF ACCOMPLISHMENT: 20010403
CATS #: 01FBI002230

Accomplishment Narrative

SEIZURE OF VOCCOLA BUILDING AT 15 PENELOPE PLACE

SENSITIVE / UNCLASSIFIED

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 5/10/01
Date Loaded 5/16/01
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☒
Money Laundering	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
3090	4450

Assisting Agents Soc. Sec. No. ×
1. - -
Name:
2. - -
Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- ITC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			IO Wanted Flyer
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			SARs
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			CART
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - ITC			

b6
b7C
b7E

A. Complaint / Information / Indictment
☐ Federal ☐ Local ☐ International
Complaint Date: _____
Check if Civil-Rico Complaint ☐
Information Date: _____
Indictment Date: _____

B. Locate/ Arrest
☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: _____
Arrest Date: _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: _____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X
☐ Federal ☐ Local ☐ International
Recovery Date: _____
Code • _____ ✓ Amount $ _____
Code • _____ ✓ Amount $ _____
Restitution Date: _____
☐ Court Ordered ☐ Pretrial Diversion
Code • _____ ✓ Amount $ _____
PELP Date: _____
Code • _____ ✓ Amount $ _____

E. Hostage(s) Released Date: _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date: _____

F. Conviction
☐ Federal ☐ Local ☐ International
Conviction Date: _____
Subject Description Code: _____ •(____)•
For 6F, G, H-Include Agency Code
☐ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: _____ Judicial District: _____

G. U.S. Code Violation
Required for sections A,B,F,and J
(Federal Only)

Title	Section	# Counts

H. Sentence Date: _____
Sentence Type: ____,____,____ •
In Jail: Years_____ Months _____
Suspended: Years_____ Months _____
Probation: Years_____ Months _____
Fines: $_____

I. Disruption/Dismantlement:
Disruption Date: _____
Dismantlement Date: _____
Completion of FD-515a Side 2 Mandatory

J. Civil Rico Matters Date: _____
Also Complete "Section G"
Other Civil Matters Date: _____
Judgment ____ ____ ____ ____ •
Judicial Outcome ____ ____ ____ ____ •x
Amount $_____
Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____
Subject Description Code _____ •
Type: Length:
☐ Suspension ☐ Permanent
☐ Debarment or
☐ Injunction Year_____ Months _____

L. Asset Seizure Date: 4/3/01
Asset Forfeiture Date: _____
CATS # Mandatory 01-FBI-002228
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☒ Asset Forfeiture - Criminal
Do not indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion
Acquittal Date: _____
Dismissal Date: _____
Pretrial Diversion Date: _____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	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), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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
221

05/16/2001

********** SEIZURE **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.:

Report Date: 05/16/2001
Accom Date.: 04/03/2001

b6
b7C
b7E

Does Accomplishment Involve	
Drugs	N
A Fugitive.	N
Bankruptcy Fraud.	N
Computer Fraud/Abuse.	N
Corruption of Public Officials	Y
Money Laundering.	N

[redacted]

Assisting Agents SOC

Subject Name

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

TYPE OF SEIZURE: CRIMINAL
DATE OF ACCOMPLISHMENT: 20010403
CATS #: 01FBI002228

Accomplishment Narrative

SEIZURE OF VOCCOLA BUILDING AT 425 WASHINGTON STREET

SENSITIVE / UNCLASSIFIED

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 08/22/2001

To: Boston

Attn: Evidence Control-Providence

From: Boston
Providence RA
Contact: [redacted]

b6
b7C

Approved By: [redacted]

Drafted By: [redacted] :jc

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 [redacted] returned a cell phone to [redacted]. It is requested that item 194B-BS-81295-1B80 be removed from evidence.

b6
b7C

194B-BS-81295-223

EAP

8/27/01

234JC03·EC

FD-597 (Rev 8-11-94)

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION
Receipt for Property Received/Returned/Released/Seized

File # 194B-BS-81295

On (date) 10/23/2001

item(s) listed below were:
- ☐ Received From
- ☒ Returned To
- ☐ Released To
- ☐ Seized

(Name) [redacted] b6 b7C

(Street Address)

(City)

Description of Item(s): ONE Nokia cell Phone (black).

Received By: [redacted]

Received From: SA [redacted] b6 b7C

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: (check all that apply)	
Drugs	☐
A Fugitive	☐
Bankruptcy Fraud	☐
Computer Fraud/Abuse	☐
Corruption of Public Officials	☐
Money Laundering	☐
Sub Invest Asst by FO (s)	☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
3090	4450

Assisting Agents Soc. Sec. No. ×

Name:

2. - -

Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- ITC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			IO Wanted Flyer
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			SARs
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			CART
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - ITC			

b6
b7C
b7E

A. Complaint / Information / Indictment

☐ Federal ☐ Local ☐ International

Complaint Date: _____

Check if Civil Rico Complaint ☐

Information Date: _____

Indictment Date: _____

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International

Subject Priority: ☐ A ☐ B ☐ C

Locate Date: _____

Arrest Date: _____

☐ Subject Resisted Arrest

☐ Subject Arrested was Armed

C. Summons Date: _____

☐ Federal ☐ Local

D. Recovery/Restitution/PELP X

☐ Federal ☐ Local ☐ International

Recovery Date: _____

Code •_____✓ Amount $_____

Code •_____✓ Amount $_____

Restitution Date: _____

☐ Court Ordered ☐ Pretrial Diversion

Code •_____✓ Amount $_____

PELP Date: _____

Code •_____✓ Amount $_____

E. Hostage(s) Released Date: _____

Released by: ☐ Terrorist ☐ Other

Number of Hostages: _____

Child Located Date: _____

F. Conviction

☐ Federal ☐ Local ☐ International

Conviction Date: _____

Subject Description Code:_____•(____)•

For 6F, G, H-Include Agency Code

☐ Felony or ☐ Misdemeanor

☐ Plea or ☐ Trial

State: _____ Judicial District: _____

G. U.S. Code Violation

Required for sections A,B,F,and J (Federal Only)

Title	Section	# Counts
18	1503	1

H. Sentence Date: 6/22/01

Sentence Type: JS, PB •

In Jail: Years 2 Months 6

Suspended: Years_____ Months _____

Probation: Years 3 Months _____

Fines: $ 100

I. Disruption/Dismantlement:

Disruption Date: _____

Dismantlement Date: _____

Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____

Also Complete "Section G"

Other Civil Matters Date:_____

Judgment ____ ____ ____ ____•

Judicial Outcome ____ ____ ____ ____•x

Amount $_____

Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____

Subject Description Code _____•

Type: Length:

☐ Suspension ☐ Permanent

☐ Debarment or

☐ Injunction Year_____ Months _____

L. Asset Seizure Date: _____

Asset Forfeiture Date: _____

CATS # **Mandatory** _____

Check one of the three:

☐ Asset Forfeiture - Administrative

☐ Asset Forfeiture - Civil Judicial

☐ Asset Forfeiture - Criminal

Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date: _____

Dismissal Date: _____

Pretrial Diversion Date: _____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

b6
b7C

Name	Race •	Sex	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), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.

☐ 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: 224

influence or expediting

For Further Instructions See: MAOP, Part II, Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 05/03/2002

To: Boston

From: Boston
P-1/Providence RA
Contact: SA [redacted]

Approved By: [redacted] NSMU

Drafted By: [redacted] DRS

b6
b7C

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

Title: OPERATION PLUNDER DOME

Synopsis: Suspicious fire [redacted]

Details: On April 30, 2002, SA's [redacted] responded to a call from [redacted] reporting a suspicious fire at [redacted] believed that the fire may have been set in retaliation [redacted] Present at the scene were Providence [redacted] advised that a complete report on this matter would be forwarded to the FBI.

b6
b7C

♦♦

194B-BS-81295-225

EFR

5/13/02

123GRG01.EC

(01/26/1998)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 05/20/2002

To: Boston

From: Boston
Providence RA
Contact: [redacted]

Approved By: [redacted]

Drafted By: [redacted] :jc

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

Title: OPERATION PLUNDER DOME;
CSLPO

Synopsis: To report contact with [redacted]

b6
b7C

Details: [redacted] advised that while jogging two white males drove next to him and made rude and harassing comments. [redacted] obtained the vehicle registration, [redacted]

A query into the Department of Motor Vehicles, revealed that the vehicle, a black 1990 Buick, is registered to [redacted] (no wants or warrants).

b6
b7C

194B-BS-81295-326

EFP

5/24/02

1463C01 · EC

04/30/2002

An individual, who is not in the position to testify, provided the following information:

[redacted]

b3
b6
b7C

FD-515 (Rev. 8-1-00)

MMV Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 8/23/2002
Date Loaded
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)

- Drugs ☐
- A Fugitive ☐
- Bankruptcy Fraud ☐
- Computer Fraud/Abuse ☐
- Corruption of Public Officials ☑
- Money Laundering ☑
- Sub Invest Asst by FO (s) ☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number: 194B-BS-81255

Stat Agent Soc. Sec. No.

Stat Agent Name

RA | Squad: P-1

Assisting Agents Soc. Sec. No. ×

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- ITC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			IO Wanted Flyer
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			SARs
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			CART
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - ITC			

b6
b7C
b7E

A. Complaint / Information / Indictment

☐ Federal ☐ Local ☐ International
Complaint Date: _____
Check if Civil Rico Complaint ☐
Information Date: _____
Indictment Date: _____

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: _____
Arrest Date: _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: _____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X

☐ Federal ☐ Local ☐ International
Recovery Date: _____
Code •_____✓ Amount $_____
Code •_____✓ Amount $_____
Restitution Date: _____
☐ Court Ordered ☐ Pretrial Diversion
Code •_____✓ Amount $_____
PELP Date: _____
Code •_____✓ Amount $_____

E. Hostage(s) Released Date: _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date: _____

F. Conviction

☑ Federal ☐ Local ☐ International
Conviction Date: 6/24/02
Subject Description Code:_____•(____)•
For 6F, G, H-Include Agency Code
☑ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: RI Judicial District: RI

G. U.S. Code Violation

Required for sections A,B,F,and J
(Federal Only)

Title	Section	# Counts
18	1962 d	1
18	1962 c	1
18	371	2
18	1951A	3

H. Sentence Date: _____
Sentence Type: _____,_____,_____•
In Jail: Years_____ Months _____
Suspended: Years_____ Months _____
Probation: Years_____ Months _____
Fines: $_____

I. Disruption/Dismantlement:

Disruption Date: _____
Dismantlement Date: _____
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____
Also Complete "Section G"
Other Civil Matters Date: _____
Judgment ____ ____ ____ ____•
Judicial Outcome ____ ____ ____ ____•x
Amount $_____
Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____
Subject Description Code _____•
Type: Length:
☐ Suspension ☐ Permanent
☐ Debarment or
☐ Injunction Year_____ Months _____

L. Asset Seizure Date: _____
Asset Forfeiture Date: _____
CATS # **Mandatory** _____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date: _____
Dismissal Date: _____
Pretrial Diversion Date: _____

b6
b7C

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	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), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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: 228

FILE COPY

For Further Instructions See: MAOP, Part [illegible], Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

08/23/2002

********** CONVICTION **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

Report Date: 08/23/2002
Accom Date.: 06/24/2002

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

	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-WITN 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		

b7E

Date of Conviction (MM/DD/YYYY) . . . . . : 06/24/2002

[redacted]

b7E

Federal, Local, or International (F/L/I) . . . . . : F
Felony or Misdemeanor (F/M) . . . . . : F

Plea or Trial (P/T) . . . . . : T
Judicial State. . . . . : RI
Judicial District . . . . . : RI

U. S. Code Violation(s)

Title	Section	Counts
18	1962D	1
18	1962C	1
18	371	2
18	1951A	3

Form FD-515a:
Subject's Role =

Accomplishment Narrative

[redacted]

b6
b7C

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 VIOLAITON OF TITLE 18,U.S.C. SECTION 371 AND THREE COUNTS IN VIOLATION OF TITLE 18, U.S.C., SECTION 1951(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 8/21/2002
Date Loaded 8/27/2002
Data Loader's Initials JMD

Accomplishment involves: (check all that apply)

- Drugs ☐
- A Fugitive ☐
- Bankruptcy Fraud ☐
- Computer Fraud/Abuse ☐
- Corruption of Public Officials ☑
- Money Laundering ☐
- Sub Invest Asst by FO (s) ☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number: 194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
Prov	D-1

Assisting Agents Soc. Sec. No. ×

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- ITC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAF			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			IO Wanted Flyer
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			SARs
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			CART
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - ITC			

b6
b7C
b7E

A. Complaint / Information / Indictment

☐ Federal ☐ Local ☐ International
Complaint Date: _____
Check if Civil Rico Complaint ☐
Information Date: _____
Indictment Date: _____

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: _____
Arrest Date: _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: _____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X

☐ Federal ☐ Local ☐ International
Recovery Date: _____
Code • _____ ✓ Amount $ _____
Code • _____ ✓ Amount $ _____
Restitution Date: _____
☑ Court Ordered ☐ Pretrial Diversion
Code • 30 ✓ Amount $ 50,000
PELP Date: _____
Code • _____ ✓ Amount $ _____

E. Hostage(s) Released Date: _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date: _____

F. Conviction

☑ Federal ☐ Local ☐ International
Conviction Date: 1/21/2000
For 6F, G, H-Include Agency Code
☑ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: RI Judicial District: RI

G. U.S. Code Violation

Required for sections A,B,F,and J
(Federal Only)

Title	Section	# Counts
18	1952	2

H. Sentence Date: 8/21/02
Sentence Type: ~~JD~~, PB •
In Jail: Years ~~0~~ Months ~~0~~
Suspended: Years ____ Months ____
Probation: Years ~~03~~ Months 0
Fines: $50,000

I. Disruption/Dismantlement:

Disruption Date: _____
Dismantlement Date: _____
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____
Also Complete "Section G"
Other Civil Matters Date: _____
Judgment ____ ____ ____ ____ •
Judicial Outcome ____ ____ ____ ____ •x
Amount $ _____
Suspension: Years ____ Months ____

b7E

K. Administrative Sanction Date: _____
Subject Description Code _____ •
Type: Length:
☐ Suspension ☐ Permanent
☐ Debarment or
☐ Injunction Year ____ Months ____

L. Asset Seizure Date: _____
Asset Forfeiture Date: _____
CATS # **Mandatory** _____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date: _____
Dismissal Date: _____
Pretrial Diversion Date: _____

b6
b7C

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	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), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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: 229

FILE COPY

For Further Instructions See: MAOP, Part II, Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

09/18/2002

********** CONVICTION **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name:
Stat Agent SOC.:

Report Date: 09/18/2002
Accom Date.: 01/21/2000

b6
b7C
b7E

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

b7E

Date of Conviction (MM/DD/YYYY) . . . . . : 01/21/2000

b7E

Federal, Local, or International (F/L/I) . . . . . : F
Felony or Misdemeanor (F/M) . . . . . : F

Plea or Trial (P/T) . . . . . : P
Judicial State. . . . . : RI
Judicial District . . . . . : RI

U. S. Code Violation(s)

Title	Section	Counts
18	1952	2

Form FD-515a:
Subject's Role =

Accomplishment Narrative

PLEADED GUILTY IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND, TO 2 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 1952

b6
b7C

08/27/2002

********** SENTENCING **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name:
Stat Agent SOC.:

Report Date: 08/27/2002
Accom Date.: 08/21/2002

b6
b7C
b7E

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

b7E

Type of Sentence . . . : PB
Date of Sentencing . ..: 08/21/2002
Federal, Local, or International (F/L/I): F

	Year	Month
Time in Jail. .:		
Time Suspended.:		
Probation Time.:	3	
Total Fines. . :$	50000	

Accomplishment Narrative

WAS SENTENCED IN U.S. DISTRICT COURT TO 3 YEARS PROBATION. IN ADDITION, WAS FINED $50,000.00

b6
b7C

SENSITIVE / UNCLASSIFIED

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 8/26/2002
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)

- Drugs ☐
- A Fugitive ☐
- Bankruptcy Fraud ☐
- Computer Fraud/Abuse ☐
- Corruption of Public Officials ☑
- Money Laundering ☑
- Sub Invest Asst by FO (s) ☐

Asst. FO(s) ___, ___, ___, ___ (A, B, C, D)

Task Force

File Number: 194B-BS-81285

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PROV	P-1

Assisting Agents Soc. Sec. No. ×

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- ITC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			O Wanted Flyer
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			SARs
		Eng. Field Spt.			Show Money			Crisis Neg. - Local			CART
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - ITC			

b6
b7C
b7E

A. Complaint / Information / Indictment

☐ Federal ☐ Local ☐ International
Complaint Date: _____
Check if Civil Rico Complaint ☐
Information Date: _____
Indictment Date: _____

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: _____
Arrest Date: _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: _____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X

☐ Federal ☐ Local ☐ International
Recovery Date: _____
Code •_____✓ Amount $_____
Code •_____✓ Amount $_____
Restitution Date: _____
☐ Court Ordered ☐ Pretrial Diversion
Code •_____✓ Amount $_____
PELP Date: _____
Code •_____✓ Amount $_____

E. Hostage(s) Released Date: _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date: _____

F. Conviction

☑ Federal ☐ Local ☐ International
Conviction Date: 6/24/02
For 6F, G, H-Include Agency Code
☑ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: RI Judicial District: RI

G. U.S. Code Violation

Required for sections A,B,F,and J
(Federal Only)

Title	Section	# Counts
18	1962d	1

H. Sentence Date: _____
Sentence Type: ____,____,____•
In Jail: Years_____ Months _____
Suspended: Years_____ Months _____
Probation: Years_____ Months _____
Fines: $_____

I. Disruption/Dismantlement:

Disruption Date: _____
Dismantlement Date: _____
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____
Also Complete "Section G"
Other Civil Matters Date: _____
Judgment ____ ____ ____ ____•
Judicial Outcome ____ ____ ____ ____•x
Amount $_____
Suspension: Years _____ Months _____

b7E

K. Administrative Sanction Date: _____
Subject Description Code _____•
Type: Length:
☐ Suspension ☐ Permanent
☐ Debarment or
☐ Injunction Year_____ Months _____

L. Asset Seizure Date: _____
Asset Forfeiture Date: _____
CATS # **Mandatory** _____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date: _____
Dismissal Date: _____
Pretrial Diversion Date: _____

b6
b7C

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
CIANCI, VINCENT A, JR.	W	M	4/3/41	037-26-3733

For Indictments/Convictions only:
☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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: 230

FILE COPY

For Further Instructions See: MAOP, Part II, Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

08/26/2002

********** CONVICTION **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

Report Date: 08/26/2002
Accom Date.: 06/24/2002

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

CIANCI, VINCENT, A

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

	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-WITN 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		

b7E

Date of Conviction (MM/DD/YYYY) . . . . . : 06/24/2002

[redacted]

b7E

Federal, Local, or International (F/L/I) . . . . . : F
Felony or Misdemeanor (F/M) . . . . . : F

Plea or Trial (P/T) . . . . . : T
Judicial State. . . . . : RI
Judicial District . . . . . : RI

U. S. Code Violation(s)

Title	Section	Counts
18	1962D	1

Form FD-515a:.
Subject's Role =

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 8/26/2002
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)

- Drugs ☐
- A Fugitive ☐
- Bankruptcy Fraud ☐
- Computer Fraud/Abuse ☐
- Corruption of Public Officials ☑
- Money Laundering ☑
- Sub Invest Asst by FO (s) ☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number: 194A-BS-81295

Stat Agent Soc. Sec. No.

RA	Squad
PROV	P-1

Assisting Agents Soc. Sec. No. x

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- ITC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAP			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Ass			IO Wanted Flyer
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			SARs
		Eng. Field Spt			Show Money			Crisis Neg. - Loca			CART
		Eng. Tape Ex			SOG Asst.			ERT Asst.			b6
		Legats Asst.			Swat Team			Butte - ITC			b7C
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			b7E
		Inf/CW Info			Phone Toll Rec			Poc - ITC			

A. Complaint / Information / Indictment

☐ Federal ☐ Local ☐ International
Complaint Date: _____
Check if Civil Rico Complaint ☐
Information Date: _____
Indictment Date: _____

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: _____
Arrest Date: _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: _____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X

☐ Federal ☐ Local ☐ International
Recovery Date: _____
Code • _____ ✓ Amount $_____
Code • _____ ✓ Amount $_____
Restitution Date: _____
☐ Court Ordered ☐ Pretrial Diversion
Code • _____ ✓ Amount $_____
PELP Date: _____
Code • _____ ✓ Amount $_____

E. Hostage(s) Released Date: _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date: _____

F. Conviction

☐ Federal ☐ Local ☐ International
Conviction Date: 3/15/02
For 6F, G, H-Include Agency Code
☑ Felony or ☐ Misdemeanor
☐ Plea or ☐ Trial
State: RI Judicial District: RI

G. U.S. Code Violation

Required for sections A,B,F,and J (Federal Only)

Title	Section	# Counts
18	1962	1
18	1951a	4

H. Sentence Date: 3/15/02
Sentence Type: JS, ___, ___ •
In Jail: Years_____ Months 60
Suspended: Years_____ Months _____
Probation: Years_____ Months _____
Fines: $_____

I. Disruption/Dismantlement:

Disruption Date: _____
Dismantlement Date: _____
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____
Also Complete "Section G"
Other Civil Matters Date: _____
Judgment ___ ___ ___ ___ • b7E
Judicial Outcome ___ ___ ___ ___ •x
Amount $_____
Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____
Subject Description Code _____ •
Type: Length:
☐ Suspension ☐ Permanent
☐ Debarment or
☐ Injunction Year_____ Months _____

L. Asset Seizure Date: _____
Asset Forfeiture Date: _____
CATS # **Mandatory** _____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date: _____
Dismissal Date: _____
Pretrial Diversion Date: _____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
Joseph Pannone	W	M	11/26/22	036-12-1524

For Indictments/Convictions only:
☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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: 231

FILE COPY

For Further Instructions See: MAOP, Part II, Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

08/26/2002

********** CONVICTION **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

Report Date: 08/26/2002
Accom Date.: 03/15/2002

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

PANNONE, JOSEPH

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

Date of Conviction (MM/DD/YYYY) . . . . . .: 03/15/2002

[redacted]

b7E

Federal, Local, or International (F/L/I) . . . . . .: F
Felony or Misdemeanor (F/M) . . . . . .: F

Plea or Trial (P/T) . . . . . .: P
Judicial State. . . . . .: RI
Judicial District . . . . . .: RI

U. S. Code Violation(s)

Title	Section	Counts
18	1962	1
18	1951A	4

Form FD-515a:
Subject's Role =

Accomplishment Narrative

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)

08/26/2002

********** SENTENCING **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name:
Stat Agent SOC.:

Report Date: 08/26/2002
Accom Date.: 03/15/2002

b6
b7C
b7E

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

PANNONE, JOSEPH

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

	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-WITN 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		

b7E

Type of Sentence . . . : JS
Date of Sentencing . ..: 03/15/2002
Federal, Local, or International (F/L/I): 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 (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 8-26-2002

Data Loader's Initials JMB

Accomplishment involves: (check all that apply)

- Drugs ☐
- A Fugitive ☐
- Bankruptcy Fraud ☐
- Computer Fraud/Abuse ☐
- Corruption of Public Officials ☐
- Money Laundering ☐
- Sub Invest Asst by FO (s) ☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number: 194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

HA | Squad

Assisting Agents Soc. Sec. No. x

1. - -

Name:

2. - -

Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential

For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT	Rate	FO	IAT
		Fin. Analyst			Lab. Div. Exam			UCO - Group I			Ft. Mon.- ITC
		Aircraft Asst.			Lab. Field Sup			UCO - Group II			For. Lang Asst.
		Computer			Pen Registers			UCO - Nat. Back			Non FBI Lab Ex
		Consen Mon.			Photo Cover.			NCAVC / VI - CAF			Vict-Witn Coor
		Elsur / FISC			Polygraph			Crim/NS Intel Asst			IO Wanted Flyer
		Elsur / T. III			Search Warrant			Crisis Neg. - Fed.			SARs
		Eng. Field Spt			Show Money			Crisis Neg. - Local			CART
		Eng. Tape Ex			SOG Asst.			ERT Asst.			
		Legats Asst.			Swat Team			Butte - ITC			
		Evid Purchase			Tech. Ag/Equip.			Sav - ITC			
		Inf/CW Info			Phone Toll Rec			Poc - ITC			

b6 b7C b7E

A. Complaint / Information / Indictment

☐ Federal ☐ Local ☐ International

Complaint Date: _____

Check if Civil Rico Complaint ☐

Information Date: _____

Indictment Date: _____

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International

Subject Priority: ☐ A ☐ B ☐ C

Locate Date: _____

Arrest Date: _____

☐ Subject Resisted Arrest

☐ Subject Arrested was Armed

C. Summons Date: _____

☐ Federal ☐ Local

D. Recovery/Restitution/PELP X

☐ Federal ☐ Local ☐ International

Recovery Date: _____

Code • _____ ✓ Amount $_____

Code • _____ ✓ Amount $_____

Restitution Date: _____

☐ Court Ordered ☐ Pretrial Diversion

Code • _____ ✓ Amount $_____

PELP Date: _____

Code • _____ ✓ Amount $_____

E. Hostage(s) Released Date: _____

Released by: ☐ Terrorist ☐ Other

Number of Hostages: _____

Child Located Date: _____

F. Conviction

☐ Federal ☐ Local ☐ International

Conviction Date: _____

For 6F, G, H-Include Agency Code

☐ Felony or ☐ Misdemeanor

☐ Plea or ☐ Trial

State: _____ Judicial District: _____

G. U.S. Code Violation

Required for sections A,B,F,and J (Federal Only)

Title	Section	# Counts
18	371	1
18	666	1

H. Sentence Date: _____

Sentence Type: ____, ____, ____ •

In Jail: Years_____ Months _____

Suspended: Years_____ Months _____

Probation: Years_____ Months _____

Fines: $_____

I. Disruption/Dismantlement:

Disruption Date: _____

Dismantlement Date: _____

Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____

Also Complete "Section G"

Other Civil Matters Date: _____

Judgment ____ ____ ____ ____ •

Judicial Outcome ____ ____ ____ ____ • x

Amount $_____

Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____

Subject Description Code _____ •

Type: Length:

☐ Suspension ☐ Permanent

☐ Debarment or

☐ Injunction Year_____ Months _____

L. Asset Seizure Date: _____

Asset Forfeiture Date: _____

CATS # **Mandatory** _____

Check one of the three:

☐ Asset Forfeiture - Administrative

☐ Asset Forfeiture - Civil Judicial

☐ Asset Forfeiture - Criminal

Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date: 7/8/02

Dismissal Date: _____

Pretrial Diversion Date: _____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	Date of Birth	Social Security No. (if available)

b6 b7C

For Indictments/Convictions only:

☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.

☐ 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: 232

FILE COPY

For Further Instructions See: MAOP, Part II, Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

08/26/2002

********* ACQUITTAL **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

Report Date: 08/26/2002
Accom Date.: 07/08/2002

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

	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-WITN 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		

b7E

Accomplishment Narrative

[redacted] WAS
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

b6
b7C

SENSITIVE / UNCLASSIFIED

FD-515 (Rev. 8-1-00)

[MW] Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 8-27-2002
Date Loaded 8-27-2002
Data Loader's Initials DMB

Accomplishment involves: (check all that apply)

- Drugs ☐
- A Fugitive ☐
- Bankruptcy Fraud ☐
- Computer Fraud/Abuse ☐
- Corruption of Public Officials ☑
- Money Laundering ☐
- Sub Invest Asst by FO (s) ☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number: IGUB-BS-81255

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PROV	P-1

Assisting Agents Soc. Sec. No. ×

1. - -

Name:

2. - -

Name:

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential

For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate FO	IAT	Rate FO	IAT	Rate FO	IAT	Rate FO	IAT
	Fin. Analyst		Lab. Div. Exam		UCO - Group I		Ft. Mon.- ITC
	Aircraft Asst.		Lab. Field Sup		UCO - Group II		For. Lang Asst.
	Computer		Pen Registers		UCO - Nat. Back		Non FBI Lab Ex
	Consen Mon.		Photo Cover.		NCAVC / VI - CAF		Vict-Witn Coor
	Elsur / FISC		Polygraph		Crim/NS Intel Ass		IO Wanted Flyer
	Elsur / T. III		Search Warrant		Crisis Neg. - Fed.		SARs
	Eng. Field Spt.		Show Money		Crisis Neg. - Loca		CART
	Eng. Tape Ex		SOG Asst.		ERT Asst.		
	Legats Asst.		Swat Team		Butte - ITC		
	Evid Purchase		Tech. Ag/Equip.		Sav - ITC		
	Inf/CW Info		Phone Toll Rec		Poc - ITC		

b6
b7C
b7E

A. Complaint / Information / Indictment

☐ Federal ☐ Local ☐ International

Complaint Date: _____

Check if Civil Rico Complaint ☐

Information Date: _____

Indictment Date: _____

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International

Subject Priority: ☐ A ☐ B ☐ C

Locate Date: _____

Arrest Date: _____

☐ Subject Resisted Arrest

☐ Subject Arrested was Armed

C. Summons Date: _____

☐ Federal ☐ Local

D. Recovery/Restitution/PELP X

☐ Federal ☐ Local ☐ International

Recovery Date: _____

Code • _____ ✓ Amount $ _____

Code • _____ ✓ Amount $ _____

Restitution Date: _____

☐ Court Ordered ☐ Pretrial Diversion

Code • _____ ✓ Amount $ _____

PELP Date: _____

Code • _____ ✓ Amount $ _____

E. Hostage(s) Released Date: _____

Released by: ☐ Terrorist ☐ Other

Number of Hostages: _____

Child Located Date: _____

F. Conviction

☐ Federal ☐ Local ☐ International

Conviction Date: _____

Subject Description Code: _____ •(____)•

For 6F, G, H-Include Agency Code

☐ Felony or ☐ Misdemeanor

☐ Plea or ☐ Trial

State: _____ Judicial District: _____

G. U.S. Code Violation

Required for sections A,B,F,and J (Federal Only)

Title	Section	# Counts
18	1962	2

H. Sentence Date: _____

Sentence Type: _____, _____, _____ •

In Jail: Years _____ Months _____

Suspended: Years _____ Months _____

Probation: Years _____ Months _____

Fines: $ _____

I. Disruption/Dismantlement:

Disruption Date: _____

Dismantlement Date: _____

Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____

Also Complete "Section G"

Other Civil Matters Date: _____

Judgment ____ ____ ____ ____ •

Judicial Outcome ____ ____ ____ ____ •x

Amount $ _____

Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____

Subject Description Code _____ •

Type: Length:

☐ Suspension ☐ Permanent

☐ Debarment or

☐ Injunction Year _____ Months _____

L. Asset Seizure Date: _____

Asset Forfeiture Date: _____

CATS # **Mandatory** _____

Check one of the three:

☐ Asset Forfeiture - Administrative

☐ Asset Forfeiture - Civil Judicial

☐ Asset Forfeiture - Criminal

Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date: 6/15/02

Dismissal Date: _____

Pretrial Diversion Date: _____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	Date of Birth	Social Security No. (if available)
VOCCOLA EDWARD	W	M	1/11/29	039-18-6573

For Indictments/Convictions only:

☐ Subject related to an LCN, Asian Organized Crime (AOC), Italian Organized Crime (IOC), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.

☐ 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: 233

FILE COPY

For Further Instructions See: MAOP, Part II, Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

08/27/2002

********** ACQUITTAL **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name:
Stat Agent SOC.:

Report Date: 08/27/2002
Accom Date.: 06/15/2002

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

VOCCOLA, EDWARD

b6
b7C
b7E

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

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

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 8 27 2002
Data Loader's Initials _____

Friends of Carl

Accomplishment involves: (check all that apply)

- Drugs ☐
- A Fugitive ☐
- Bankruptcy Fraud ☐
- Computer Fraud/Abuse ☐
- Corruption of Public Officials ☑
- Money Laundering ☑
- Sub Invest Asst by FO (s) ☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number: 194B-BS-81295

Stat Agent Soc. Sec. No.: - -

Stat Agent Name

RA	Squad
PROV	

Assisting Agents Soc. Sec. No. ×

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential

For Sub. Invest. Assist. by other FO (s) Indicate A,B,C,D for corresponding FO

Rate FO	IAT	Rate FO	IAT	Rate FO	IAT	Rate FO	IAT
	Fin. Analyst		Lab. Div. Exam		UCO - Group I		Ft. Mon.- ITC
	Aircraft Asst.		Lab. Field Sup		UCO - Group II		For. Lang Asst.
	Computer		Pen Registers		UCO - Nat. Back		Non FBI Lab Ex
	Consen Mon.		Photo Cover.		NCAVC / VI - CAP		Vict-Witn Coor
	Elsur / FISC		Polygraph		Crim/NS Intel Asst		IO Wanted Flyer
	Elsur / T. III		Search Warrant		Crisis Neg. - Fed.		SARs
	Eng. Field Spt		Show Money		Crisis Neg. - Local		CART
	Eng. Tape Ex		SOG Asst.		ERT Asst.		
	Legats Asst.		Swat Team		Butte - ITC		
	Evid Purchase		Tech. Ag/Equip.		Sav - ITC		
	Inf/CW Info		Phone Toll Rec		Poc - ITC		

b6
b7C
b7E

A. Complaint / Information / Indictment

☐ Federal ☐ Local ☐ International

Complaint Date: _____

Check if Civil Rico Complaint ☐

Information Date: _____

Indictment Date: _____

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International

Subject Priority: ☐ A ☐ B ☐ C

Locate Date: _____

Arrest Date: _____

☐ Subject Resisted Arrest

☐ Subject Arrested was Armed

C. Summons Date: _____

☐ Federal ☐ Local

D. Recovery/Restitution/PELP X

☐ Federal ☐ Local ☐ International

Recovery Date: _____

Code • _____ ✓ Amount $_____

Code • _____ ✓ Amount $_____

Restitution Date: _____

☐ Court Ordered ☐ Pretrial Diversion

Code • _____ ✓ Amount $_____

PELP Date: _____

Code • _____ ✓ Amount $_____

E. Hostage(s) Released Date: _____

Released by: ☐ Terrorist ☐ Other

Number of Hostages: _____

Child Located Date: _____

F. Conviction

☑ Federal ☐ Local ☐ International

Conviction Date: 6/24/02

Subject Description Code: _____ •(____)•

For 6F, G, H-Include Agency Code

☑ Felony or ☐ Misdemeanor

☐ Plea or ☐ Trial

State: RI Judicial District: RI

G. U.S. Code Violation

Required for sections A,B,F,and J (Federal Only)

Title	Section	# Counts
18	1962d	1
18	371	2

H. Sentence Date: _____

Sentence Type: ____, ____, ____ •

In Jail: Years_____ Months _____

Suspended: Years_____ Months _____

Probation: Years_____ Months _____

Fines: $_____

I. Disruption/Dismantlement:

Disruption Date: _____

Dismantlement Date: _____

Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____

Also Complete "Section G"

Other Civil Matters Date: _____

Judgment ____ ____ ____ ____ •

Judicial Outcome ____ ____ ____ ____ •x

Amount $_____

Suspension: Years _____ Months _____

K. Administrative Sanction Date: _____

Subject Description Code _____ •

Type: Length:

☐ Suspension ☐ Permanent

☐ Debarment or

☐ Injunction Year Months ____

L. Asset Seizure Date: _____

Asset Forfeiture Date: _____

CATS # **Mandatory** _____

Check one of the three:

☐ Asset Forfeiture - Administrative

☐ Asset Forfeiture - Civil Judicial

☐ Asset Forfeiture - Criminal

Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date: _____

Dismissal Date: _____

Pretrial Diversion Date: _____

b6
b7C

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

Name	Race •	Sex	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), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.

☐ 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: 234

FILE COPY

For Further Instructions See: MAOP, Part [illegible], Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

08/27/2002

********** CONVICTION **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name: [redacted]
Stat Agent SOC.: [redacted]

Report Date: 08/27/2002
Accom Date.: 06/24/2002

b6
b7C
b7E

Does Accomplishment Involve

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

[redacted]

Assisting Agents SOC

[redacted]

Subject Name

[redacted]

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

[redacted]	FINAN ANALYST	[redacted]	LAB DIV EXAMS	[redacted]	UCO-GROUP I	[redacted]	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-WITN 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		

b7E

Date of Conviction (MM/DD/YYYY) . . . . . : 06/24/2002

[redacted]

b7E

Federal, Local, or International (F/L/I) . . . . . : F
Felony or Misdemeanor (F/M) . . . . . : F

Plea or Trial (P/T) . . . . . : T
Judicial State. . . . . : RI
Judicial District . . . . . : RI

U. S. Code Violation(s)

Title	Section	Counts
18	1962D	1
18	371	2

Form FD-515a:
Subject's Role =

Accomplishment Narrative

[redacted] WAS 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)

MW Squad supervisor approval (please initial)

Accomplishment Report

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

Date Prepared 9-4-2002
Date Loaded 9-4-02
Data Loader's Initials JMB

Accomplishment involves: (check all that apply)

- Drugs ☐
- A Fugitive ☐
- Bankruptcy Fraud ☐
- Computer Fraud/Abuse ☐
- Corruption of Public Officials ☑
- Money Laundering ☐
- Sub Invest Asst by FO (s) ☐

Asst. FO(s) __, __, __, __ (A, B, C, D)

Task Force

File Number
194B-BS-81295

Stat Agent Soc. Sec. No.

Stat Agent Name

RA	Squad
PGW	P-1

Assisting Agents Soc. Sec. No. x

Investigative Assistance or Technique Used

1-Used, but did not help
2-Helped, minimally
3 - Helped, substantially
4 - Absolutely essential
For Sub. Invest. Assist. by other FO (s) indicate A,B,C,D for corresponding FO

Rate FO	IAT	Rate FO	IAT	Rate FO	IAT	Rate FO	IAT
	Fin. Analyst		Lab. Div. Exam		UCO - Group I		Ft. Mon.- ITC
	Aircraft Asst.		Lab. Field Sup		UCO - Group II		For. Lang Asst.
	Computer		Pen Registers		UCO - Nat. Back		Non FBI Lab Ex
	Consen Mon.		Photo Cover.		NCAVC / VI - CAP		Vict-Witn Coor
	Elsur / FISC		Polygraph		Crim/NS Intel Asst		IO Wanted Flyer
	Elsur / T. III		Search Warrant		Crisis Neg. - Fed.		SARs
	Eng. Field Spt		Show Money		Crisis Neg. - Local		CART
	Eng. Tape Ex		SOG Asst.		ERT Asst.		
	Legats Asst.		Swat Team		Butte - ITC		
	Evid Purchase		Tech. Ag/Equip.		Sav - ITC		
	Inf/CW Info		Phone Toll Rec		Poc - ITC		

b6
b7C
b7E

A. Complaint / Information / Indictment

☐ Federal ☐ Local ☐ International
Complaint Date: _____
Check if Civil Rico Complaint ☐
Information Date: _____
Indictment Date: _____

B. Locate/ Arrest

☐ Federal ☐ Local ☐ International
Subject Priority: ☐ A ☐ B ☐ C
Locate Date: _____
Arrest Date: _____
☐ Subject Resisted Arrest
☐ Subject Arrested was Armed

C. Summons Date: _____
☐ Federal ☐ Local

D. Recovery/Restitution/PELP X

☐ Federal ☐ Local ☐ International
Recovery Date: _____
Code • _____ ✓ Amount $ _____
Code • _____ ✓ Amount $ _____
Restitution Date: _____
☑ Court Ordered ☐ Pretrial Diversion
Code • 30 ✓ Amount $ 60,000
PELP Date: _____
Code • _____ ✓ Amount $ _____

E. Hostage(s) Released Date: _____
Released by: ☐ Terrorist ☐ Other
Number of Hostages: _____
Child Located Date: _____

F. Conviction

☐ Federal ☐ Local ☐ International
Conviction Date: 2/14/2000
For 6F, G, H-Include Agency Code
☒ Felony or ☐ Misdemeanor
☒ Plea or ☐ Trial
State: _____ Judicial District: _____

G. U.S. Code Violation

Required for sections A,B,F,and J
(Federal Only)

Title	Section	# Counts
18	1951	3

H. Sentence Date: 8/21/2002
Sentence Type: PB ___ ___ •
In Jail: Years ____ Months ____
Suspended: Years ____ Months ____
Probation: Years 5 Months ____
Fines: $ 5,000

I. Disruption/Dismantlement:

Disruption Date: _____
Dismantlement Date: _____
Completion of FD-515a Side 2 **Mandatory**

J. Civil Rico Matters Date: _____
Also Complete "Section G"
Other Civil Matters Date: _____
Judgment ____ ____ ____ ____ •
Judicial Outcome ____ ____ ____ ____ •x
Amount $ _____
Suspension: Years ____ Months ____

b7E

K. Administrative Sanction Date: _____
Subject Description Code _____ •
Type: Length:
☐ Suspension ☐ Permanent
☐ Debarment or
☐ Injunction Year ____ Months ____

L. Asset Seizure Date: _____
Asset Forfeiture Date: _____
CATS # **Mandatory** _____
Check one of the three:
☐ Asset Forfeiture - Administrative
☐ Asset Forfeiture - Civil Judicial
☐ Asset Forfeiture - Criminal
Do **not** indicate $ value in Section D

M. Acquittal / Dismissal / Pretrial Diversion

Acquittal Date: _____
Dismissal Date: _____
Pretrial Diversion Date: _____

N. Subject Information (Required for all Sections excluding Section D (Recovery/PELP), Section E (Hostage), Section I, and Section L).

b6
b7C

Name	Race •	Sex	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), Russian/Eastern European, Caribbean, or Nigerian Organized Crime Group - Complete FD-515a, Side 1 Blocks A-E mandatory, F-H as appropriate.
☐ 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
235

FILE COPY

For Further Instructions See: MAOP, Pa[illegible], Sections 3-5 thru 3-5.3.

PROPERTY CODES

01 Cash
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
LP Life Parole
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 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

AFOIS Air Force Office of Special Investigations
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
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

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 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

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 Manager
5M Financial Secretary
5N Recording Secretary
5P Office Manager
5Q Clerk
5R Shop Steward
5S Member
5T Trustee
5U Other

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

6A Presidential Appointee
6B 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 & 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
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

09/18/2002

***** ****** CONVICTION **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name:
Stat Agent SOC.:

Report Date: 09/18/2002
Accom Date.: 02/14/2000

b6
b7C
b7E

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

b7E

Date of Conviction (MM/DD/YYYY) . . . . . .: 02/14/2000

b7E

Federal, Local, or International (F/L/I) . . . . . .: F
Felony or Misdemeanor (F/M) . . . . . .: F

Plea or Trial (P/T) . . . . . .: P
Judicial State. . . . . .: RI
Judicial District . . . . . .: RI

U. S. Code Violation(s)

Title	Section	Counts
18	1951	3

Form FD-515a:
Subject's Role =

Accomplishment Narrative

b6
b7C

ON 2/14/2000 PLEADED GUILTY IN U.S. DISTRICT COURT, DISTRICT OF RHODE ISLAND, TO 3 COUNTS IN VIOLATION OF TITLE 18, U.S. CODE, SECTION 1951

09/04/2002

********** SENTENCING **********

SENSITIVE / UNCLASSIFIED

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

Stat Agent Name:
Stat Agent SOC.:

Report Date: 09/04/2002
Accom Date.: 08/21/2002

b6
b7C
b7E

Does Accomplishment Involve

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

Assisting Agents SOC

Subject Name

RA	Squad	Task Force
PROV	P1	

Sub. Invest. Asst by Other FOs:

1 = Used, but did not help
2 = Helped, Minimally
3 = Helped, Substantially
4 = Absolutely Essential

Investigative Assistance or Technique Used

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-WITN 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	

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Type of Sentence . . . : PB
Date of Sentencing . ..: 08/21/2002
Federal, Local, or International (F/L/I): F

	Year	Month
Time in Jail. .:		
Time Suspended.:		
Probation Time.:	5	
Total Fines. . :$	5000	

Accomplishment Narrative

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ON 8/21/2002 WAS 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 CODE, SECTION 1951

SENSITIVE / UNCLASSIFIED

FD-302 (Rev. 10-6-95)

FEDERAL BUREAU OF INVESTIGATION

Date of transcription 09/12/2002

Individual, who is not in a position to testify, provided the following information:

[redacted] b6 b7C b7D

Administrative: This information was provided to PLUNDERDOME case agent [redacted] for appropriate action. b6 b7C

Investigation on 9/5/02 at Providence, RI (telephonically)

File # [redacted]/194B-BS-81295 -236 Date dictated 9/12/02 b6 b7C b7D

by SA [redacted]

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P-1

(Rev. 08-28-2000)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 09/25/2002

To: Criminal Investigative **Attn:** Public Corruption Unit

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

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Approved By: [redacted]

Drafted By: [redacted]: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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P1
CLOSE-6
NM 9/26/02

EFIP

194B-BS-81295-238
9/26/02

(Rev. 08-28-2000)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 09/25/2002

To: Boston **Attn:** ASAC [redacted]

From: Boston
Providence RA (P-1)
Contact: SA [redacted]

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Approved By: [redacted]

Drafted By: [redacted]:wda

Case ID #: 194B-BS-81295 (Pending)
194B-BS-74741 (Pending)

Title: PLUNDER DOME
[redacted]

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Synopsis: Request for letters of commendation from the Director for non-FBI personnel who assisted in captioned matters.

Details: For [redacted] the Providence Resident Agency of the Boston Division has been investigating allegations of public corruption involving both administrations of Providence, Rhode Island Mayor Vincent A. Cianci, Jr. Several FBI investigations were conducted during Cianci's first administration (1971 - 1984) resulting in convictions of over 25 lower level city officials and contractors for corruption and fraud. Although there was substantial information that Cianci was himself directly participating in corrupt activity, there was insufficient evidence to bring charges against him during his first administration. Mayor Cianci's first administration ended in 1984 when he was convicted of assaulting his ex-wife's alleged lover and city contractor while two Providence Police officers held the man down. After performing as a talk show host during his break from mayoral service, Cianci was again elected in 1990 by a 300 vote margin. He brought with him his racketeering enterprise.

During Cianci's second administration he claimed to be responsible for the renaissance of Providence. The downtown area did experience significant improvement, but not without the taint of corruption. Popularity polls reflected high ratings for Cianci and in 1994 and 1998, after running unopposed, he was reelected making him the longest serving mayor in the United States.

Beginning in 1994, the FBI initiated various investigations relative to corruption within the highest levels

194B-BS-81295-239

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9/27/02

of Cianci's second administration. [redacted]

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Although significant intelligence was gathered [redacted]

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[redacted]

[redacted]

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[redacted]

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[redacted] b7E

On April 28, 1999, searches and arrests were made [redacted] b6 b7C b7D

[redacted] b6 b7C b7D

After breaking the secret veil of corruption [redacted] b6 b7C b7E Other FBI Agents were assigned investigative responsibilities for newly identified avenues of investigation and assistance was sought from the Rhode Island State Police who assigned [redacted]

[redacted] 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 [redacted] and faced certain retribution if they cooperated. b6 b7C

During the initial phases of "Plunder Dome" *First Assistant U.S. Attorney (AUSA)* [redacted] 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* [redacted] was assigned primary prosecutive responsibilities and AUSA [redacted] as also assigned as co-prosecutor. b6 b7C

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.

As the investigation progressed, AUSA [redacted] utilized his excellent organizational and legal skills to sort through the mounds of evidence. Under the direction of First Assitant [redacted] he developed and implemented a complex but sound prosecutive theory. b6 b7C

AUSA [redacted] was the primary prosecutor for the complex "Tow List" aspects of the investigation and prosecution. AUSA [redacted] also handled all legal motions prior to and during the trial. It was AUSA [redacted] persistence, professionalism and keen knowledge of the law that allowed for success of this matter. b6 b7C

The following subjects pled guilty to various corruption related charges:

[redacted] b6 b7C

JOE PANNONE - Former Chairman, Board of Tax Assessment Review, City of Providence. [redacted] He is currently serving a 60 month sentence. b6 b7C b7D

[redacted] b6 b7C

[redacted] b6 b7C

[redacted] b6 b7C

[redacted] b6 b7C

Just prior to the trial of Deputy Tax Assessor Rosemary Glancy, [redacted] b6 b7C b7D

Rosemary Glancy was convicted of all counts after a three week trial prosecuted flawlessly by AUSA [redacted] Glancy was subsequently sentenced to 33 months until life threatening kidney failure earned her a compassionate release. She subsequently died on January 14, 2001. b6 b7C

Based on the tape recordings and subsequent investigation, [redacted] b7E

[redacted] b6 b7C b7D

[redacted] b6 b7C b7D

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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. [redacted] SAs [redacted] 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 promotional system [redacted] The facts

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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.

VINCENT A. CIANCI, JR., Mayor, City of Providence

[redacted] b6 b7C

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 [redacted] would be tried separately. b6 b7C

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. [redacted] and the 190 plus tapes from "Plunder Dome." b7E

[redacted] of the U.S. Attorney's office 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 of operations. b6 b7C

On April 17, 2002, trial commenced for Cianci, [redacted] and Voccola. AUSAs [redacted] shared 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 [redacted] 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 Cianci, [redacted] of RICO Conspiracy (18 U.S.C. §§ 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. The 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 contributions. Cianci would use [redacted] to receive cash on Cianci's behalf w hich allowed Cianci to conceal and deny his active role in the criminal affairs of the enterprise.

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[redacted] b6 b7C

[redacted] b6 b7C

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:

Vincent A. Cianci, Jr. - 64 months in prison, $100,000 fine, $200 special assessment and $250,000 forfeiture of "Friends of Cianci" campaign funds.

[redacted] b6 b7C

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 anti-corruption 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:

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