Description of document: List of closed investigations at Department of Justice (DOJ) Office of Professional Responsibility (OPR), 2004 - 2006

Requested date: 30-December-2006

Released date: 30-September-2009

Posted date: 11-January-2010

Date/date range of document: 05-January-2004 – 24-January-2007

Source of document: Special Counsel for FOI and Privacy Acts
Office of Professional Responsibility
950 Pennsylvania Avenue, N.W., Suite 3529
Washington, D.C. 20530

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This is in response to your December 30, 2006 Freedom of Information Act request to this Office for a list of “closed investigations at OPR for the time period January 1, 2004 to the present.” We received your request on January 11, 2007. It has been assigned request number F07-0008. Please refer to that number in any correspondence pertaining to this matter. We apologize for the delay in this response.

A search of our computer database, for investigations closed from January 1, 2004 through January 24, 2007, identified 117 pages responsive to your request. The disclosable portion of these pages is enclosed.

I am withholding the remaining information pursuant to 5 U.S.C. §552 (b)(6) and (b)(7)(C). Exemption (b)(6) permits the withholding of information about individuals in “personnel and medical files and similar files” when disclosure of such information “would constitute a clearly unwarranted invasion of personal privacy.” Exemption (b)(7)(C) allows for the withholding of information compiled for law enforcement purposes the release of which “could reasonably be expected to constitute an unwarranted invasion of personal privacy.”

If you are not satisfied with this response, you may appeal in writing within sixty days of the date of this letter to the Director, Office of Information Policy. Your letter and envelope should be marked “FREEDOM OF INFORMATION APPEAL” and addressed to:

Office of Information Policy
United States Department of Justice
1425 New York Ave., N.W.
Suite 11050
Washington, D.C. 20530-0001
If you are dissatisfied with the result of any appeal you make, judicial review may thereafter be available to you in the United States District Court for the judicial district in which you reside, or in which you have your principal place of business, or in the District of Columbia.

Sincerely,

[Signature]

Marlene M. Wahowiak
Special Counsel
for Freedom of Information and Privacy Acts

Enclosures
User: Analyst  Date: November 26, 2007

******************************************************************************
Case/Subject No: C02-0032-01
Date Opened: June 12, 2002
Date Closed: January 5, 2004
Subject Name:
Subject Location:
Case Name:
Attorney: McCarty, Margaret S.
Source Name:
Complainant Name: U.S. COURT OF APPEALS FOR THE DISTRICT OF COLUMBIA
Allegation/Disposition Codes:
******************************************************************************
Case/Subject No: C03-0038-01
Date Opened: February 11, 2003
Date Closed: January 5, 2004
Subject Name:
Subject Location:
Case Name:
Attorney: White, Alexander S.
Source Name:
Complainant Name: U.S. COURT OF APPEALS FOR THE FEDERAL CIRCUIT
Allegation/Disposition Codes:
A404 D02 -- Misrepresentation /Misleading the Court. Substantiated - Reckless Disregard.
******************************************************************************
Case/Subject No: C03-0078-01
Date Opened: July 17, 2003
Date Closed: January 5, 2004
Subject Name:
Subject Location: Unlisted Location (EOUSA).
Case Name: None
Attorney: Duncan, James G.
Source Name:
Complainant Name:
Allegation/Disposition Codes:
A535 D13 -- Unauthorized disclosure (non-media): other (including Priv Act violations and Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
******************************************************************************
Case/Subject No: None
Date Opened: July 17, 2003
Date Closed: January 5, 2004
Subject Name:
Subject Location: None
**Case/Subject No:** C01-0073-01
**Date Opened:** September 13, 2001
**Date Closed:** January 8, 2004

**Subject Name:**

**Complainant Name:**

**Source Name:** None

**Allegation/Disposition Codes:**

A535 D13 -- Unauthorized disclosure (non-media): other (including Priv Act violations and Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

**Case/Subject No:** C03-0049-01
**Date Opened:** March 12, 2003
**Date Closed:** January 8, 2004

**Subject Name:**

**Complainant Name:** ANONYMOUS ("A CONCERNED AUSA")

**Source Name:** None

**Allegation/Disposition Codes:**

A542 D01 -- Failure to comply with DOJ Rules and Regulations. Substantiated - Intentional.

**Case/Subject No:** C00-0044-01
**Date Opened:** February 21, 2000
**Date Closed:** January 12, 2004

**Subject Name:**

**Complainant Name:** ANONYMOUS ("A CONCERNED AUSA")

**Source Name:** None

**Allegation/Disposition Codes:**

A062 D09 -- Conflict: general, including appearance of conflict. Unsubstantiated. Allegation not sustained for Professional Misconduct (PM).

Case/Subject No: C02-0013-01
Date Opened: January 10, 2002
Date Closed: January 12, 2004
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Hardy, Lyn
Source Name: 
Complainant Name: 

Allegation/Disposition Codes:
A422 D01 -- Lateness re Court Order. Substantiated - Intentional.
A421 D01 -- Intentional Failure to comply with court order/other than lateness Substantiated - Intentional.
A422 D01 -- Lateness re Court Order. Substantiated - Intentional.
A421 D01 -- Intentional Failure to comply with court order/other than lateness Substantiated - Intentional.
A422 D02 -- Lateness re Court Order. Substantiated - Reckless Disregard.
A421 D02 -- Intentional Failure to comply with court order/other than lateness Substantiated - Reckless Disregard.
A421 D13 -- Intentional Failure to comply with court order/other than lateness Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A421 D02 -- Intentional Failure to comply with court order/other than lateness Substantiated - Reckless Disregard.
A422 D02 -- Lateness re Court Order. Substantiated - Reckless Disregard.
A253 D02 -- Incompetence (Inability to perform). Substantiated - Reckless Disregard.
A404 D01 -- Misrepresentation /Misleading the Court. Substantiated - Intentional.
A404 D01 -- Misrepresentation /Misleading the Court. Substantiated - Intentional.
A404 D01 -- Misrepresentation /Misleading the Court. Substantiated - Intentional.
A404 D05 -- Misrepresentation /Misleading the Court. Substantiated for Poor Judgment. Report of inquiry referred to management.
A404 D05 -- Misrepresentation /Misleading the Court. Substantiated for Poor Judgment. Report of inquiry referred to management.
A157 D13 -- Falsification of records. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A534 D13 -- Unauthorized disclosure (non-media): 6(e) (including Misuse of GJ materials in Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A462 D13 -- Subornation of perjury/Failure to correct false testimony. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

A402 D05 -- Prosecutorial Misconduct (General - OPR atty/pls provide specific code). Substantiated for Poor Judgment. Report of inquiry referred to management.


Case/Subject No:  C00-0044-02
Date Opened:  February 21, 2000
Date Closed:  January 12, 2004
Subject Name:  Complainant Name:  Wehner, Karen
Subject Location:  Case Name:  Attorney:  W
Source Name:  Allegation/Disposition Codes:

Case/Subject No:  C01-0044-01
Date Opened:  April 18, 2001
Date Closed:  January 13, 2004
Subject Name:  Complainant Name:  Ward, Barbara L.
Subject Location:  Case Name:  Attorney:  W
Source Name:  Allegation/Disposition Codes:
  A539 D13 -- Unprof statements or comments. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No:  C01-0064-01
Date Opened:  July 9, 2001
Date Closed:  January 13, 2004
Subject Name:  Case Name:  Leiner, Frederick C.
Subject Location:  Case Name:  Attorney:  W
Source Name:  Allegation/Disposition Codes:
  A404 D15 -- Misrepresentation/Misleading the Court. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances.

Case/Subject No:  C03-0017-01
Date Opened:  December 27, 2002
Date Closed:  January 13, 2004
Subject Name:  Subject Location:  Case Name:  C
User: Analyst

Attorney: Kessler, Tamara J.
Source Name:
Complainant Name:

Allegation/Disposition Codes:
A405 D14 -- Misrepresentation to Opposing Counsel. Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C03-0089-01
Date Opened: September 5, 2003
Date Closed: January 13, 2004
Subject Name:
Subject Location: None
Case Name:
Attorney: Ross, Simone E.
Source Name: None
Complainant Name: 

Allegation/Disposition Codes:
A543 D01 -- Failure to maintain active Bar membership. Substantiated - Intentional.

Case/Subject No: C02-0044-01
Date Opened: June 27, 2002
Date Closed: January 27, 2004
Subject Name:
Subject Location: None
Case Name:
Attorney: Fraase, Mark G.
Source Name: U.S. COURT OF APPEALS FOR THE
Complainant Name: 

Allegation/Disposition Codes:
A404 D29 -- Misrepresentation /Misleading the Court. Closed administratively. Other. Specify.

Case/Subject No: C03-0021-01
Date Opened: January 29, 2003
Date Closed: February 23, 2004
Subject Name:

Subject Location: None
Case Name:
Attorney: Thomas, R. Keith
Source Name: 

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Case/Subject No: C03-0072-01
Date Opened: June 13, 2003
Date Closed: February 23, 2004
Subject Name: 

Subject Location: 
Case Name: MULTIPLE CASES,
Attorney: Thomas, R. Keith
Source Name: 
Complainant Name: 

Allegation/Disposition Codes:
A404 D01 -- Misrepresentation /Misleading the Court. Substantiated - Intentional.
A341 D02 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Reckless Disregard.
A341 D01 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Intentional.
A404 D01 -- Misrepresentation /Misleading the Court. Substantiated - Intentional.
A537 D05 -- Unprof or unethical behavior: other (unspecific). Substantiated for Poor Judgment. Report of inquiry referred to management.
A341 D02 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Reckless Disregard.
A404 D02 -- Misrepresentation /Misleading the Court. Substantiated - Reckless Disregard.
A341 D01 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Intentional.
A342 D01 -- Intentional Failure to Perform Substantiated - Intentional.
A341 D01 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Intentional.
A065 D02 -- Conflicting personal interests. Substantiated - Reckless Disregard.
A341 D05 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated for Poor Judgment. Report of inquiry referred to management.
A002 D01 -- Abuse of prosecutive or investigative authority (general). Substantiated - Intentional.
A422 D02 -- Lateness re Court Order. Substantiated - Reckless
Disregard.

Case/Subject No: C03-0069-01
Date Opened: May 27, 2003
Date Closed: March 1, 2004
Subject Name:
Subject Location: MULTIPLE CASES,
Case Name:
Attorney: Duncan, James G.
Source Name:
Complainant Name:
Allegation/Disposition Codes:
A001 D29 -- Abuse of authority or misuse of official position. Closed administratively. Other. Specify.
A535 D29 -- Unauthorized disclosure (non-media): other (including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0039-01
Date Opened: February 13, 2003
Date Closed: March 5, 2004
Subject Name:
Subject Location:
Case Name:
Attorney: Wehner, Karen
Source Name:
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A542 D14 -- Failure to comply with DOJ Rules and Regulations. Unsubstantiated. Allegation not sustained. Subject made a mistake.
A422 D14 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C03-0065-01
Date Opened: May 13, 2003
Date Closed: March 5, 2004
Subject Name:
Subject Location:
Case Name:
Attorney: Leiner, Frederick C.
Source Name:
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A542 D14 -- Failure to comply with DOJ Rules and Regulations. Unsubstantiated. Allegation not sustained. Subject made a mistake.
A422 D14 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained. Subject made a mistake.
Allegation/Disposition Codes:
A414 D15 -- Improper use of peremptory strikes during jury selection.
Unsubstantiated. Allegation not sustained. Subject acted appropriately
in all circumstances

Case/Subject No: C03-0031-01
Date Opened: February 5, 2003
Date Closed: March 10, 2004
Subject Name:
Subject Location: 
Case Name: 
Attorney: Meade, James A.
Source Name: None
Complainant Name: 
Allegation/Disposition Codes:
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not
sustained. Subject made a mistake.

Case/Subject No: C04-0004-01
Date Opened: October 3, 2003
Date Closed: March 15, 2004
Subject Name:
Subject Location: 
Case Name: MULTIPLE CASES,
Attorney: Hardy, Lyn
Source Name: None
Complainant Name: 
Allegation/Disposition Codes:
A422 D29 -- Lateness re Court Order. Closed administratively. Other.
Specify.
A340 D29 -- Negligence/dereliction/improper perf of duties (failure to
A342 D29 -- Intentional Failure to Perform Closed administratively.
Other. Specify.
A404 D29 -- Misrepresentation /Misleading the Court. Closed
administratively. Other. Specify.

Case/Subject No: C03-0044-01
Date Opened: March 3, 2003
Date Closed: March 17, 2004
Subject Name:
Subject Location: 

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Case Name: C03-0035-01
Date Opened: February 9, 2003
Date Closed: March 18, 2004
Subject Name: 
Subject Location:
Case Name:
Attorney: Wehner, Karen
Source Name:
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C03-0088-01
Date Opened: August 26, 2003
Date Closed: March 19, 2004
Subject Name: 
Subject Location: 
Case Name:
Attorney: Wehner, Karen
Source Name:
Complainant Name: 
Allegation/Disposition Codes:
A532 D09 -- Unauthorized disclosure to media: other - including Priv Act violations and Unsubstantiated. Allegation not sustained for Professional Misconduct (PM).

Case/Subject No: C03-0063-01
Date Opened: May 13, 2003
Date Closed: March 25, 2004
Subject Name: 
Subject Location: 
Case Name:
Attorney: Kessler, Tamara J.
Source Name: OPR SEARCH OF WESTLAW
Complainant Name: 

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Allegation/Disposition Codes:
A420 D02 -- Unauthorized plea agreements. Substantiated - Reckless Disregard.
A15Q D09 -- Failure to honor plea agreement. Unsubstantiated.
Allegation not sustained for Professional Misconduct (PM).

Case/Subject No: C03-0023-01
Date Opened: January 29, 2003
Date Closed: March 30, 2004
Subject Name:
Subject Location: D6
Case Name:
Attorney: Leiner, Frederick C.
Source Name: OPR SEARCH OF WESTLAW
Complainant Name: D6

Allegation/Disposition Codes:
A633 D01 -- Speedy Trial Act violation Substantiated - Intentional.
A421 D01 -- Intentional Failure to comply with court order/other than lateness Substantiated - Intentional.
A341 D01 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Intentional.

Case/Subject No: C04-0040-01
Date Opened: March 10, 2004
Date Closed: March 30, 2004
Subject Name:
Subject Location: D6
Case Name:
Attorney: Leiner, Frederick C.
Source Name:
Complainant Name: D6

Allegation/Disposition Codes:
A421 D14 Intentional Failure to comply with court order/other than lateness Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C01-0062-01
Date Opened: July 2, 2001
Date Closed: April 5, 2004
Subject Name:
Subject Location: D6
Case Name:
Attorney: Hurley, Neil
Source Name:
Complainant Name: D6

Allegation/Disposition Codes:
A002 D02 -- Abuse of prosecutive or investigative authority (general Substantiated - Reckless Disregard.
A009 D02 -- Abuse of the grand jury or indictment process. Substantiated - Reckless Disregard.
Case/Subject No: C01-0062-02
Date Opened: July 2, 2001
Date Closed: April 5, 2004

Subject Name:  
Subject Location:  
Case Name:  
Attorney: Hurley, Neil  
Source Name:  
Complainant Name:  

Allegation/Disposition Codes:
A002 D13 -- Abuse of prosecutive or investigative authority (general). Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A009 D13 -- Abuse of the grand jury or indictment process. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C01-0077-01
Date Opened: September 28, 2001
Date Closed: April 5, 2004

Subject Name:  
Subject Location:  
Case Name:  
Attorney: Leiner, Frederick C.  
Source Name: None  
Complainant Name:  

Allegation/Disposition Codes:
A418 D13 -- Ex parte Communication. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A062 D13 -- Conflict: general, including appearance of conflict. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A252 D13 -- Improper contacts with rep party/interference with atty-client relationship. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C03-0045-01
Date Opened: March 3, 2003
Date Closed: April 5, 2004

Subject Name:  
Subject Location:  
Case Name:  
Attorney: Hardy, Lyn  
Source Name:  
Complainant Name:  

Allegation/Disposition Codes:
A404 D05 -- Misrepresentation /Misleading the Court. Substantiated for Poor Judgment. Report of inquiry referred to management.
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A157 D13 -- Falsification of records. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

*********************************************************************
Case/Subject No: C03-0046-01
Date Opened: March 7, 2003
Date Closed: April 5, 2004
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Ross, Simone E.
Source Name: 
Complainant Name: 
Allegation/Disposition Codes:
A370 D15 -- Obstruction of justice/coverup. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

*********************************************************************
Case/Subject No: C03-0083-01
Date Opened: July 28, 2003
Date Closed: April 5, 2004
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Leiner, Frederick C.
Source Name: 
Complainant Name: 
Allegation/Disposition Codes:
A543 D02 -- Failure to maintain active Bar membership. Substantiated - Reckless Disregard.
A542 D02 -- Failure to comply with DOJ Rules and Regulations. Substantiated - Reckless Disregard.

*********************************************************************
Case/Subject No: C04-0041-01
Date Opened: March 29, 2004
Date Closed: April 5, 2004
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Ross, Simone E.
Source Name: 
Complainant Name: 
Allegation/Disposition Codes:
A002 D15 -- Abuse of prosecutive or investigative authority (general). Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

*********************************************************************
Case/Subject No: C02-0042-01
Date Opened: June 26, 2002

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Analyst Date: November 26, 2007

Date Closed: April 27, 2004
Subject Name: 
Subject Location: 
Case Name: 1)

Attorney: Ross, Simone E.
Source Name: 
Complainant Name: 

Allegation/Disposition Codes:

*********************************************************************
Case/Subject No: C04-0010-01
Date Opened: October 22, 2003
Date Closed: May 15, 2004
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Duncan, James G.
Source Name: 
Complainant Name: 

Allegation/Disposition Codes:
A001 D01 -- Abuse of authority or misuse of official position. Substantiated - Intentional.
A540 D01 -- Improper use of official information. Substantiated - Intentional.
A535 D01 -- Unauthorized disclosure (non-media): other (including Priv Act violations and Substantiated - Intentional.
A535 D01 -- Unauthorized disclosure (non-media): other (including Priv Act violations and Substantiated - Intentional.
A536 D02 -- Unprofessional or unethical behavior: bar complaints. Substantiated - Reckless Disregard.
A002 D01 -- Abuse of prosecutive or investigative authority (general). Substantiated - Intentional.
A314 D05 -- Misuse of government property (other than OGVs) - Aircraft/Computers etc. Substantiated for Poor Judgment. Report of inquiry referred to management.
A542 D13 -- Failure to comply with DOJ Rules and Regulations. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

*********************************************************************
Case/Subject No: C04-0011-01
Date Opened: October 22, 2003
Date Closed: May 15, 2004
Allegation/Disposition Codes:
A001 D13 -- Abuse of authority or misuse of official position.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Allegation not sustained for Poor Judgment or Professional Misconduct.
A065 D13 -- Conflicting personal interests. Unsubstantiated.
Allegation not sustained for Poor Judgment or Professional Misconduct.
A999 D13 -- Other or not specified above (failure to register a foreign agent). Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0011-02
Date Opened: October 22, 2003
Date Closed: May 15, 2004
Subject Name: Duncan, James G.
Case Name: None
Attorney: Duncan, James G.
Source Name: None
Complainant Name: Duncan, James G.
Allegation/Disposition Codes:
A001 D13 -- Abuse of authority or misuse of official position.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C03-0034-01
Date Opened: February 7, 2003
Date Closed: May 18, 2004
Subject Name: McCarty, Margaret S.
Case Name: None
Attorney: McCarty, Margaret S.
Source Name: None
Complainant Name: McCarty, Margaret S.
Allegation/Disposition Codes:
A402 D15 -- Prosecutorial Misconduct (General - OPR atty/pls provide specific code). Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances.
Allegation not sustained. Subject acted appropriately in all circumstances.

Case/Subject No: C03-0034-02
Date Opened: February 7, 2003
Date Closed: May 18, 2004
Subject Name:

Subject Location: -- Civil Division.
Case Name:
Attorney: McCarty, Margaret S.
Source Name:
Complainant Name:

Allegation/Disposition Codes:
A402 D15 -- Prosecutorial Misconduct (General - OPR atty/pls provide specific code). Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances.

Case/Subject No: C03-0034-03
Date Opened: February 7, 2003
Date Closed: May 18, 2004
Subject Name:

Subject Location: -- Civil Division.
Case Name:
Attorney: McCarty, Margaret S.
Source Name:
Complainant Name:

Allegation/Disposition Codes:
A402 D14 -- Prosecutorial Misconduct (General - OPR atty/pls provide specific code). Unsubstantiated. Allegation not sustained. Subject made a mistake.
A402 D15 -- Prosecutorial Misconduct (General - OPR atty/pls provide specific code). Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances.
Case/Subject No: C03-0034-05
Date Opened: February 7, 2003
Date Closed: May 18, 2004
Subject Name: McCarty, Margaret S.

Case/Subject No: C03-0092-01
Date Opened: September 30, 2003
Date Closed: May 18, 2004
Subject Name: McCarty, Margaret S.

Case/Subject No: C03-0092-02
Date Opened: September 30, 2003
**User: Analyst**

Date: November 26, 2007

**Date Closed:** May 18, 2004

**Subject Name:**

**Subject Location:**

**Case Name:** WHISTLEBLOWER CLAIM

**Attorney:** Kessler, Tamara J.

**Source Name:** OIG

**Complainant Name:**

**Allegation/Disposition Codes:**

A432 D39 -- Retaliation or reprisals. OPR Investigation completed. Retaliation found. Referred to OARM.

*********************************************************************

**Case/Subject No:** C04-0038-01

**Date Opened:** March 12, 2004

**Date Closed:** May 18, 2004

**Subject Name:**

**Subject Location:**

**Case Name:**

**Attorney:** Leiner, Frederick C.

**Source Name:**

**Complainant Name:**

**Allegation/Disposition Codes:**

A539 D15 -- Unprof statements or comments. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

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**Case/Subject No:** C03-0034-06

**Date Opened:** February 7, 2003

**Date Closed:** May 18, 2004

**Subject Name:**

**Subject Location:**

**Case Name:**

**Attorney:** McCarty, Margaret S.

**Source Name:**

**Complainant Name:**

**Allegation/Disposition Codes:**

A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject made a mistake.

*********************************************************************

**Case/Subject No:** C03-0034-07

**Date Opened:** February 7, 2003

**Date Closed:** May 18, 2004

**Subject Name:**

**Subject Location:**

**Case Name:**

**Attorney:** McCarty, Margaret S.

**Source Name:**

**Complainant Name:**

**Allegation/Disposition Codes:**

A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated.
Allegation not sustained. Subject made a mistake.

Case/Subject No: C04-0051-01
Date Opened: April 29, 2004
Date Closed: May 24, 2004
Subject Name: 

Subject Location: None
Case Name: Wahowiak, Marlene M.
Source Name: 
Complainant Name: 

Allegation/Disposition Codes:
A531 D29 -- Unauthorized disclosure to media: 6(e) material. Closed administratively. Other. Specify.
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0013-01
Date Opened: December 27, 2002
Date Closed: May 25, 2004
Subject Name: 

Subject Location: None
Case Name: Ward, Barbara L.
Source Name: 
Complainant Name: 

Allegation/Disposition Codes:
A542 D14 -- Failure to comply with DOJ Rules and Regulations. Unsubstantiated. Allegation not sustained. Subject made a mistake.
A542 D13 -- Failure to comply with DOJ Rules and Regulations. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C03-0011-01
Date Opened: November 22, 2002
Date Closed: June 4, 2004
Subject Name: 

Subject Location: None
Case Name: Hurley, Neil
Source Name: None
Complainant Name: 

Allegation/Disposition Codes:
A404 D05 -- Misrepresentation /Misleading the Court. Substantiated for Poor Judgment. Report of inquiry referred to management.
A407 D09 -- Discovery - Brady Violation/Exculpatory Information. Unsubstantiated. Allegation not sustained for Professional Misconduct (PM).
<table>
<thead>
<tr>
<th>Case/Subject No:</th>
<th>C04-0019-01</th>
</tr>
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<tbody>
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<td>White, Alexander S.</td>
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<td>A421 D02 -- Intentional Failure to comply with court order/other than lateness Substantiated - Reckless Disregard.</td>
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<td>A422 D02 -- Lateness re Court Order. Substantiated - Reckless Disregard.</td>
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<td>Ross, Simone E.</td>
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<td>Source Name:</td>
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<td>Allegation/Disposition Codes:</td>
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<td>A407 D15 -- Discovery - Brady Violation/Exculpatory Information. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances</td>
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Case/Subject No: C02-0039-01
Date Opened: June 24, 2002
Date Closed: June 14, 2004
Subject Name: 
Subject Location: b6 b7c
Case Name: 
Attorney: Hardy, Lyn
Source Name: None
Complainant Name: b6 b7c
Allegation/Disposition Codes:
A413 D01 -- Prejudicial Statement to a Grand or Petit Jury. Substantiated - Intentional.
A001 D01 -- Abuse of authority or misuse of official position. Substantiated - Intentional.
A421 D01 -- Intentional Failure to comply with court order/other than lateness Substantiated - Intentional.

Case/Subject No: C02-0039-02
Date Opened: June 24, 2002
Date Closed: June 14, 2004
Subject Name: 
Subject Location: b6 b7c
Case Name: 
Attorney: Hardy, Lyn
Source Name: None
Complainant Name: b6 b7c
Allegation/Disposition Codes:
A413 D05 -- Prejudicial Statement to a Grand or Petit Jury. Report of inquiry referred to management.

Case/Subject No: C03-0061-01
Date Opened: May 6, 2003
Date Closed: June 14, 2004
Subject Name: 
Subject Location: b6 b7c
Case Name: 
Attorney: Godwin, David E.
Source Name: 
Complainant Name: b6 b7c
Allegation/Disposition Codes:
A404 D02 -- Misrepresentation /Misleading the Court. Substantiated - Reckless Disregard.

Case/Subject No: C03-0061-02
Date Opened: May 6, 2003
Case/Subject No: C03-0061-03
Date Opened: May 6, 2003
Date Closed: June 14, 2004
Subject Name: Subject Location: Case Name: Attorney: Godwin, David E.
Source Name: Complainant Name: 
Allegation/Disposition Codes:
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated.
Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C03-0057-01
Date Opened: April 22, 2003
Date Closed: June 15, 2004
Subject Name: Subject Location: Case Name:
Attorney: Leiner, Frederick C.
Source Name: Complainant Name: U.S. ATTORNEY'S OFFICE MANAGEMENT,
Allegation/Disposition Codes:
A253 D02 -- Incompetence (Inability to perform). Substantiated - Reckless Disregard.
A421 D14 -- Intentional Failure to comply with court order/other than lateness Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C03-0068-01
Date Opened: May 27, 2003
Date Closed: June 15, 2004
Subject Name: Subject Location: Case Name: MULTIPLE CASES
Attorney: Hardy, Lyn
Source Name: Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
- A422 D01 -- Lateness re Court Order. Substantiated - Intentional.
- A152 D01 -- Failure to report misconduct. Substantiated - Intentional.

Case/Subject No: C04-0008-01
Date Opened: October 17, 2003
Date Closed: June 15, 2004
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Ross, Simone E. SELF-REPORTING
Source Name: 
Complainant Name: 

Allegation/Disposition Codes:
- A404 D15 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances
- A405 D15 -- Misrepresentation to Opposing Counsel. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C02-0068-01
Date Opened: September 30, 2002
Date Closed: June 16, 2004
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Wahowiak, Marlene M.
Source Name: 
Complainant Name: 

Allegation/Disposition Codes:
- A062 D14 -- Conflict: general, including appearance of conflict. Unsubstantiated. Allegation not sustained. Subject made a mistake.
- A002 D15 -- Abuse of prosecutive or investigative authority (general). Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances
- A418 D15 -- Ex parte Communication. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

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Allegation/Disposition Codes:
A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated.
   Allegation not sustained. Subject made a mistake.
A405 D13 -- Misrepresentation to Opposing Counsel. Unsubstantiated.
   Allegation not sustained for Poor Judgment or Professional Misconduct.
A542 D13 -- Failure to comply with DOJ Rules and Regulations.
   Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C03-0010-01
Date Opened: November 21, 2002
Date Closed: June 17, 2004
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Fraase, Mark G.
Source Name: None
Complainant Name: 

Allegation/Disposition Codes:
A156 D01 -- False statements, misrepresentation (administrative). Substantiated - Intentional.
A001 D05 -- Abuse of authority or misuse of official position. Substantiated for Poor Judgment. Report of inquiry referred to management.

Case/Subject No: C02-0020-01
Date Opened: February 19, 2002
Date Closed: June 30, 2004
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Wehner, Karen A.
Source Name: OPR SEARCH OF WESTLAW
Complainant Name: UNITED STATES COURT OF APPEALS FOR THE 
Allegation/Disposition Codes:

Case/Subject No: C03-0086-01
Date Opened: August 12, 2003
Date Closed: June 30, 2004
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Kessler, Tamara J.
Report of inquiry referred to management.

Case/Subject No: C03-0086-02  
Date Opened: August 12, 2003  
Date Closed: June 30, 2004  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Kessler, Tamara J.  
Source Name: None  
Complainant Name:  
Allegation/Disposition Codes:  
A418 D05 -- Ex parte Communication. Substantiated for Poor Judgment.  
Report of inquiry referred to management.

Case/Subject No: C03-0086-03  
Date Opened: August 12, 2003  
Date Closed: June 30, 2004  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Kessler, Tamara J.  
Source Name: None  
Complainant Name:  
Allegation/Disposition Codes:  
A418 D13 -- Ex parte Communication. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.  
Report of inquiry referred to management.

Case/Subject No: C03-0086-04  
Date Opened: August 12, 2003  
Date Closed: June 30, 2004  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Kessler, Tamara J.  
Source Name: None  
Complainant Name:  
Allegation/Disposition Codes:  
A418 D05 -- Ex parte Communication. Substantiated for Poor Judgment.  
Report of inquiry referred to management.

Case/Subject No: C02-0059-01  
Date Opened: August 26, 2002  
Date Closed: July 1, 2004  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Meade, James A.
Case/Subject No:  C02-0059-02
Date Opened:  August 26, 2002
Date Closed:  July 1, 2004
Subject Name:  66 67C
Subject Location:  66 67C
Case Name:  
Attorney:  Meade, James A.
Source Name:  66 67C
Complainant Name:  66 67C
Allegation/Disposition Codes:  
A600 D14 -- Wiretaps and electronic surveillance: improper or illegal (Title III). Unsubstantiated. Allegation not sustained. Subject made a mistake.
*********************************************************************
Case/Subject No:  C02-0017-01
Date Opened:  February 11, 2002
Date Closed:  July 2, 2004
Subject Name:  66 67C
Subject Location:  66 67C
Case Name:  MULTIPLE CASES
Attorney:  Leiner, Frederick C.
Source Name:  66 67C
Complainant Name:  66 67C
Allegation/Disposition Codes:  
A633 D01 -- Speedy Trial Act violation Substantiated - Intentional.
*********************************************************************
Case/Subject No:  C02-0030-01
Date Opened:  June 6, 2002
Date Closed:  July 2, 2004
Subject Name:  66 67C
Subject Location:  66 67C
Case Name:  
Attorney:  Wehner, Karen
Source Name:  66 67C
Complainant Name:  66 67C
Allegation/Disposition Codes:  
A408 D02 -- Discovery - Impeachment/Jencks. Substantiated - Reckless Disregard.
A407 D02 -- Discovery - Brady Violation/Exculpatory Information. Substantiated - Reckless Disregard.
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<td>Meade,</td>
<td>James A.</td>
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<td>C04-0046-01</td>
<td>April 19, 2004</td>
<td>July 2, 2004</td>
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<td>A422 D20 -- Lateness re Court Order. Closed Administratively. Referred to PIS/CRM. A404 D20 -- Misrepresentation /Misleading the Court. Closed Administratively. Referred to PIS/CRM.</td>
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**Case/Subject No:** C04-0053-01  
**Date Opened:** May 6, 2004  
**Date Closed:** July 2, 2004  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Hardy, Lyn  
**Source Name:**  
**Complainant Name:**  
**Allegation/Disposition Codes:**  
A157 D20 -- Falsification of records. Closed Administratively. Referred to PIS/CRM.  
A404 D20 -- Misrepresentation /Misleading the Court. Closed Administratively. Referred to PIS/CRM.  
A421 D20 -- Intentional Failure to comply with court order/other than lateness Closed Administratively. Referred to PIS/CRM.  
A422 D20 -- Lateness re Court Order. Closed Administratively. Referred to PIS/CRM.

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**Case/Subject No:** C03-0019-01  
**Date Opened:** December 30, 2002  
**Date Closed:** July 6, 2004  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Ward, Barbara L  
**Source Name:**  
**Complainant Name:** U.S. COURT OF APPEALS FOR THE  
**Allegation/Disposition Codes:**  
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.  
A411 D09 -- Improper Examination of a Witness. Unsubstantiated. Allegation not sustained for Professional Misconduct (PM).

**********************************************************************************

**Case/Subject No:** C04-0049-01  
**Date Opened:** April 28, 2004  
**Date Closed:** July 6, 2004  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  

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Analyst

Attorney: Fraase, Mark G.
Source Name: None
Complainant Name: 

Allegation/Disposition Codes:
A534 D13 -- Unauthorized disclosure (non-media): 6(e) (including Misuse of GJ materials in Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0050-01
Date Opened: April 29, 2004
Date Closed: July 6, 2004
Subject Name: UNKNOWN DOJ EMPLOYEE(S), POSSIBLY IN
Subject Location: 
Case Name: 
Attorney: Fraase, Mark G.
Source Name: None
Complainant Name: 

Allegation/Disposition Codes:
A531 D13 -- Unauthorized disclosure to media: 6(e) material. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A532 D13 -- Unauthorized disclosure to media: other - including Priv Act violations and Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C02-0025-01
Date Opened: March 8, 2002
Date Closed: July 16, 2004
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Ward, Barbara L.
Source Name: OPR SEARCH OF WESTLAW
Complainant Name: 

Allegation/Disposition Codes:
A410 D02 -- Improper Closing Argument (Improper vouching). Substantiated - Reckless Disregard.
A411 D02 -- Improper Examination of a Witness. Substantiated - Reckless Disregard.

Case/Subject No: C04-0079-01
Date Opened: August 2, 2004
Date Closed: August 23, 2004
Subject Name: 
Subject Location: 
Case Name: 

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Analyst Date: November 26, 2007
Attorney: Ward, Barbara L.

Allegation/Disposition Codes:

A009 D09 - Abuse of the grand jury or indictment process.
Unsubstantiated. Allegation not sustained for Professional Misconduct (PM).

Case/Subject No: C04-0079-02
Date Opened: August 2, 2004
Date Closed: August 23, 2004

Subject Name: Ward, Barbara L.
Complainant Name: -----

Allegation/Disposition Codes:

A009 D09 - Abuse of the grand jury or indictment process.
Unsubstantiated. Allegation not sustained for Professional Misconduct (PM).

*********************************************************************

Case/Subject No: C04-0043-01
Date Opened: April 12, 2004
Date Closed: September 21, 2004

Subject Name: Hardy, Lyn
Source Name: 
Complainant Name: -----

Allegation/Disposition Codes:

A535 D16 -- Unauthorized disclosure (non-media): other (including Priv Act violations and Unsubstantiated. Allegation sustained for better practice.
A542 D15 -- Failure to comply with DOJ Rules and Regulations.
Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

*********************************************************************

Case/Subject No: C04-0043-02
Date Opened: April 12, 2004
Date Closed: September 21, 2004

Subject Name: 
Source Name: Hardy, Lyn
Complainant Name: -----

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Allegation/Disposition Codes:
A535 D16 -- Unauthorized disclosure (non-media): other (including Priv Act violations and Unsubstantiated. Allegation sustained for better practice.

A542 D15 -- Failure to comply with DOJ Rules and Regulations. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C03-0062-01
Date Opened: May 14, 2003
Date Closed: September 29, 2004
Subject Name:
Subject Location: BC
Case Name:
Attorney: White, Alexander S.
Source Name: OPR SEARCH OF WESTLAW
Complainant Name: U.S. COURT OF APPEALS FOR THE BC
Allegation/Disposition Codes:

Case/Subject No: C04-0025-01
Date Opened: January 16, 2004
Date Closed: September 29, 2004
Subject Name:
Subject Location: BC
Case Name:
Attorney: Kessler, Tamara J.
Source Name:
Complainant Name: BC
Allegation/Disposition Codes:
A404 D15 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C04-0025-02
Date Opened: January 16, 2004
Date Closed: September 29, 2004
Subject Name:
Subject Location: BC
Case Name:
Attorney: Kessler, Tamara J.
Source Name:
Complainant Name: BC
Allegation/Disposition Codes:
A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C02-0041-01
Date Opened: June 26, 2002
Date Closed: September 30, 2004
Subject Name: BC
**Analysis**

**Case/Subject No:** C03-0060-01  
**Date Opened:** May 5, 2003  
**Date Closed:** September 30, 2004

**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Wehner, Karen  
**Source Name:** OPR SEARCH OF WESTLAW  
**Complainant Name:**  

**Allegation/Disposition Codes:**  
A404 D09 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained for Professional Misconduct (PM).  
A405 D09 -- Misrepresentation to Opposing Counsel. Unsubstantiated. Allegation not sustained for Professional Misconduct (PM).

**Case/Subject No:** C03-0066-01  
**Date Opened:** May 16, 2003  
**Date Closed:** September 30, 2004

**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Kessler, Tamara J.  
**Source Name:**  
**Complainant Name:** UNKNOWN DOJ EMPLOYEE COMPLAINANT(S)

**Allegation/Disposition Codes:**  
A421 D15 -- Intentional Failure to comply with court order/other than lateness Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

**Case/Subject No:** C03-0060-02  
**Date Opened:** May 5, 2003  
**Date Closed:** September 30, 2004

**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Wehner, Karen  
**Source Name:** OPR SEARCH OF WESTLAW  

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Complainant Name:  

Allegation/Disposition Codes:  
A421 D15 -- Intentional Failure to comply with court order/other than lateness Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No:  C03-0084-01  
Date Opened:  August 1, 2003  
Date Closed:  September 30, 2004  
Subject Name:  
Subject Location:  
Case Name:  
Attorney:  Wahowiak, Marlene M.  
Source Name:  None  
Complainant Name:  
Allegation/Disposition Codes:  
A542 D02 -- Failure to comply with DOJ Rules and Regulations. Substantiated - Reckless Disregard.

Case/Subject No:  C03-0087-01  
Date Opened:  August 22, 2003  
Date Closed:  September 30, 2004  
Subject Name:  
Subject Location:  
Case Name:  
Attorney:  Leiner, Frederick C.  
Source Name:  
Complainant Name:  
Allegation/Disposition Codes:  

Case/Subject No:  C03-0087-02  
Date Opened:  August 22, 2003  
Date Closed:  September 30, 2004  
Subject Name:  
Subject Location:  
Case Name:  
Attorney:  Leiner, Frederick C.  
Source Name:  
Complainant Name:  
Allegation/Disposition Codes:  
A406 D15 -- Discovery - Rule 16. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No:  C04-0005-01  
Date Opened:  October 3, 2003  
Date Closed:  September 30, 2004  
Subject Name:  

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**Case/Subject No:** C03-0070-01  
**Date Opened:** June 2, 2003  
**Date Closed:** October 4, 2004  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Clarke, Nadira  
**Source Name:**  
**Complainant Name:**  
**Allegation/Disposition Codes:**  
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated.  
Allegation not sustained for Poor Judgment or Professional Misconduct.

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**Case/Subject No:** C02-0049-01  
**Date Opened:** July 2, 2002  
**Date Closed:** October 5, 2004  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Hurley, Neil  
**Source Name:**  
**Complainant Name:**  
**Allegation/Disposition Codes:**  
A535 D02 -- Unauthorized disclosure (non-media): other (including Priv  
Act violations and Substantiated - Reckless Disregard.

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**Case/Subject No:** C04-0032-01  
**Date Opened:** February 19, 2004  
**Date Closed:** October 14, 2004  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Wehner, Karen  
**Source Name:**  
**Complainant Name:**  
**Allegation/Disposition Codes:**  
A340 D29 -- Negligence/derelection/improper perf of duties (failure to  
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<td>Allegation/Disposition Codes:</td>
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<tr>
<td>Attorney:</td>
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<td>Hurley, Neil</td>
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<tr>
<td>Source Name:</td>
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<td>OPR SEARCH OF WESTLAW</td>
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</table>
Case/Subject No: C03-0020-01
Date Opened: January 27, 2003
Date Closed: October 28, 2004
Subject Name:
Subject Location: b6b7c
Case Name:
Attorney: Ward, Barbara
Source Name: OPR SEARCH

Allegation/Disposition Codes:
A252 D15 -- Improper contacts with rep party/interference with atty-client relationship. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C03-0020-02
Date Opened: January 27, 2003
Date Closed: October 28, 2004
Subject Name: n
Subject Location: b6b7c
n
Case Name:
Attorney: Ward, Barbara L.
Source Name: OPR SEARCH

Allegation/Disposition Codes:
A252 D15 -- Improper contacts with rep party/interference with atty-client relationship. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C03-0020-03
Date Opened: January 27, 2003
Date Closed: October 28, 2004
Subject Name: n
Subject Location: b6b7c

Case Name:
Attorney: Ward, Barbara
Source Name: OPR SEARCH
Complainant Name: [Redacted]

Allegation/Disposition Codes:
A252 D15 -- Improper contacts with rep party/interference with atty-client relationship. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C03-0020-04
Date Opened: January 27, 2003
Date Closed: October 28, 2004
Subject Name: [Redacted]

Subject Location: [Redacted]
Case Name: [Redacted]
Attorney: Ward, Barbara L.
Source Name: OPR SEARCH

Complainant Name: [Redacted]

Allegation/Disposition Codes:
A252 D15 -- Improper contacts with rep party/interference with atty-client relationship. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C03-0020-05
Date Opened: January 27, 2003
Date Closed: October 28, 2004
Subject Name: [Redacted]

Subject Location: [Redacted]
Case Name: [Redacted]
Attorney: Ward, Barbara L.
Source Name: OPR SEARCH

Complainant Name: [Redacted]

Allegation/Disposition Codes:
A252 D15 -- Improper contacts with rep party/interference with atty-client relationship. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C03-0015-01
Date Opened: December 27, 2002
Date Closed: November 24, 2004
Subject Name: [Redacted]

Subject Location: [Redacted]
Case Name: [Redacted]
Attorney: McCarty, Margaret S.
Source Name: [Redacted]

Complainant Name: U.S. COURT OF APPEALS FOR THE [Redacted]

Allegation/Disposition Codes:
A404 D02 -- Misrepresentation /Misleading the Court. Substantiated -
## Case/Subject No: C03-0085-01
### Date Opened: August 6, 2003
### Date Closed: December 2, 2004
### Subject Name: [Redacted]
### Subject Location: [Redacted]
### Case Name: [Redacted]
### Attorney: Wahowiak, Marlene M.
### Source Name: OPR REVIEW OF DOJ NEWSCLIPS
### Complainant Name: [Redacted]
### Allegation/Disposition Codes:
- **A539 D02**: Unprof statements or comments. Substantiated - Reckless Disregard.

## Case/Subject No: C04-0084-01
### Date Opened: September 24, 2004
### Date Closed: December 8, 2004
### Subject Name: [Redacted]
### Subject Location: [Redacted]
### Case Name: [Redacted]
### Attorney: White, Alexander S.
### Source Name: None
### Complainant Name: [Redacted]
### Allegation/Disposition Codes:
- **A340 D13**: Negligence/dereliction/improper perf of duties (failure to perform). Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

## Case/Subject No: C04-0021-01
### Date Opened: December 1, 2003
### Date Closed: December 9, 2004
### Subject Name: [Redacted]
### Subject Location: [Redacted]
### Case Name: MULTIPLE CASES
### Attorney: Colby, Paul L.
### Source Name: None
### Complainant Name: [Redacted]
### Allegation/Disposition Codes:
- **A602 D20**: Abuse of prosecutive or investigative authority (general). Closed Administratively. Referred to PIS/CRM.
- **A370 D20**: Obstruction of justice/coverup. Closed Administratively. Referred to PIS/CRM.
- **A420 D20**: Unauthorized plea agreements. Closed Administratively. Referred to PIS/CRM.
- **A535 D20**: Unauthorized disclosure (non-media): other (including Priv Act violations and Closed Administratively. Referred to PIS/CRM.
- **A542 D20**: Failure to comply with DOJ Rules and Regulations. Closed Administratively. Referred to PIS/CRM.
Case/Subject No: C04-0031-01
Date Opened: February 18, 2004
Date Closed: December 9, 2004
Subject Name: 
Subject Location: ______

Case Name: 
Attorney: Colby, Paul L.
Source Name: None
Complainant Name: 

Allegation/Disposition Codes:
A533 D20 -- Unauthorized disclosure (non-media): classified information. Closed Administratively. Referred to PIS/CRM.
A465 D20 -- Security violations. Closed Administratively. Referred to PIS/CRM.

*********************************************************************
Case/Subject No: C03-0081-01
Date Opened: July 29, 2003
Date Closed: December 16, 2004
Subject Name: 
Subject Location: ______
Case Name: 
Attorney: Ward, Barbara L.
Source Name: None
Complainant Name: 
Allegation/Disposition Codes: 
A542 D02 -- Failure to comply with DOJ Rules and Regulations. Substantiated - Reckless Disregard.

*********************************************************************
Case/Subject No: C04-0078-01
Date Opened: August 23, 2004
Date Closed: December 20, 2004
Subject Name: 
Subject Location: ______
Case Name: 
Attorney: White, Alexander S.
Source Name: None
Complainant Name: 
Allegation/Disposition Codes: 

*********************************************************************
Case/Subject No: C04-0088-01
Date Opened: August 9, 2004
Date Closed: December 27, 2004
Subject Name: 
Subject Location: ______
Case Name: 
Attorney: Leiner, Frederick C.
Source Name: 
Complainant Name: DEPARTMENT OF JUSTICE
User: Analyst  Date: November 26, 2007

Allegation/Disposition Codes:
A543 D01 -- Failure to maintain active Bar membership. Substantiated - Intentional.
*********************************************************************
Case/Subject No: C05-0002-01
Date Opened: October 13, 2004
Date Closed: December 27, 2004
Subject Name: ...
Subject Location:...
Case Name: ...
Attorney: Clarke, Nadira
Source Name: ...
Complainant Name: ...

Allegation/Disposition Codes:
Case/Subject No: C04-0070-01  
Date Opened: August 16, 2004  
Date Closed: January 4, 2005  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Leiner, Frederick C.  
Source Name:  
Complainant Name:  
Allegation/Disposition Codes:  
A421 D27 -- Intentional Failure to comply with court order/other than lateness Closed administratively. Complaint withdrawn.

Case/Subject No: C04-0003-01  
Date Opened: October 2, 2003  
Date Closed: January 5, 2005  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: White, Alexander S.  
Source Name:  
Complainant Name:  
Allegation/Disposition Codes:  
A539 D05 -- Unprof statements or comments. Substantiated for Poor Judgment. Report of inquiry referred to management.  

Case/Subject No: C04-0036-01  
Date Opened: March 10, 2004  
Date Closed: January 5, 2005  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Leiner, Frederick C.  
Source Name:  
Complainant Name:  
Allegation/Disposition Codes:  
A421 D02 -- Intentional Failure to comply with court order/other than lateness Substantiated - Reckless Disregard.

Case/Subject No: C04-0083-01  
Date Opened: September 10, 2004  
Date Closed: January 6, 2005  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Howard, Lisa G.
Allegation/Disposition Codes:

A002 D15 -- Abuse of prosecutive or investigative authority (general).
Unsubstantiated. Allegation not sustained. Subject acted appropriately
in all circumstances

Case/Subject No: C03-0076-01
Date Opened: June 26, 2003
Date Closed: January 7, 2005
Subject Name:
Subject Location:
Case Name:
Attorney: Ross, Simone E.
Source Name: OPR REVIEW OF NEWS ARTICLES
Complainant Name:
Allegation/Disposition Codes:
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not
sustained. Subject made a mistake.
A421 D15 -- Intentional Failure to comply with court order/other than
lateness Unsubstantiated. Allegation not sustained. Subject acted
appropriately in all circumstances
A410 D15 -- Improper Closing Argument. Unsubstantiated. Allegation not
sustained. Subject acted appropriately in all circumstances

Case/Subject No: C03-0076-02
Date Opened: June 26, 2003
Date Closed: January 7, 2005
Subject Name:
Subject Location:
Case Name:
Attorney: Ross, Simone E.
Source Name: OPR SEARCH OF NEWS ARTICLES
Complainant Name:
Allegation/Disposition Codes:
A410 D05 -- Improper Closing Argument. Substantiated for Poor Judgment.
Report of inquiry referred to management.
A410 D15 -- Improper Closing Argument. Unsubstantiated. Allegation not
sustained. Subject acted appropriately in all circumstances
A421 D14 -- Intentional Failure to comply with court order/other than
lateness Unsubstantiated. Allegation not sustained. Subject made a
mistake.

Case/Subject No: C04-0012-01
Date Opened: October 27, 2003
Date Closed: January 7, 2005
Subject Name:
Subject Location:
Case Name:
Attorney: Hardy, Lvn
Source Name:
Complainant Name:

Allegation/Disposition Codes:
A404 D15 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances.

Case/Subject No: C04-0015-01
Date Opened: October 27, 2003
Date Closed: January 7, 2005
Subject Name:
Subject Location:
Case Name:
Attorney: Wahowiak, Marlene M.
Source Name:
Complainant Name: U.S. COURT OF APPEALS FOR TH
Allegation/Disposition Codes:
A061 D13 -- Civil or constitutional rights violations. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0064-01
Date Opened: July 7, 2004
Date Closed: January 8, 2005
Subject Name:
Subject Location:
Case Name:
Attorney: Leiner, Frederick C.
Source Name: OPR WESTLAW SEARCH
Complainant Name: b6 b7c
Allegation/Disposition Codes:

Case/Subject No: C03-0058-01
Date Opened: May 5, 2003
Date Closed: January 10, 2005
Subject Name:
Subject Location:
Case Name:
Attorney: Kessler, Tamara J.
Source Name:
Complainant Name:

Allegation/Disposition Codes:
A404 D15 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances.

Case/Subject No: C03-0058-02
Date Opened: May 5, 2003
Date Closed: January 10, 2005
Subject Name: b6 b7c

PAGE 3
### Case/Subject No: C03-0058-03
**Date Opened:** May 5, 2003  
**Date Closed:** January 10, 2005  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Kessler, Tamara J.  
**Source Name:**  
**Complainant Name:**  

**Allegation/Disposition Codes:**  
A404 D15 -- Misrepresentation /Misleading the Court. Unsubstantiated.  
Allegation not sustained. Subject acted appropriately in all circumstances

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### Case/Subject No: C03-0058-04
**Date Opened:** May 5, 2003  
**Date Closed:** January 10, 2005  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Kessler, Tamara J.  
**Source Name:**  
**Complainant Name:**  

**Allegation/Disposition Codes:**  
A404 D15 -- Misrepresentation /Misleading the Court. Unsubstantiated.  
Allegation not sustained. Subject acted appropriately in all circumstances

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### Case/Subject No: C03-0074-01
**Date Opened:** June 19, 2003  
**Date Closed:** January 10, 2005  
**Subject Name:**  
**Subject Location:**  
**Case Name:** None  
**Attorney:** White, Alexander S.  
**Source Name:** FBI/OPR (pursuant to request by DOJ/OPR)  
**Complainant Name:** GRASSLEY, CHARLES and LEAHY, PATRICK (U.S. Senators)  

**Allegation/Disposition Codes:**  
A532 D01 -- Unauthorized disclosure to media: other - including Priv
Act violations and Substantiated - Intentional.

Case/Subject No: C04-0007-01
Date Opened: October 14, 2003
Date Closed: January 10, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Gross, Charles R.
Source Name: 
Complainant Name: 
Allegation/Disposition Codes: 

Case/Subject No: C04-0007-02
Date Opened: October 14, 2003
Date Closed: January 10, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Gross, Charles R.
Source Name: 
Complainant Name: 
Allegation/Disposition Codes: 

Case/Subject No: C04-0023-01
Date Opened: December 8, 2003
Date Closed: January 10, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Meade, James A.
Source Name: 
Complainant Name: 
Allegation/Disposition Codes: 
Case/Subject No: C04-0029-01
Date Opened: February 10, 2004
Date Closed: January 10, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Howard, Lisa G.
Source Name: FOUND BY OPR DURING REVIEW OF NEWS CLIPS
Complainant Name: U.S. COURT OF APPEALS FOR THE 
Allegation/Disposition Codes:
A150 D05 -- Failure to honor plea agreement. Substantiated for Poor Judgment. Report of inquiry referred to management.

Case/Subject No: C04-0052-01
Date Opened: May 6, 2004
Date Closed: January 11, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Wehner, Karen
Source Name: 
Complainant Name: 
Allegation/Disposition Codes:
A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C04-0077-01
Date Opened: August 16, 2004
Date Closed: January 11, 2005
Subject Name: 
Subject Location: 
Case Name: MULTIPLE CASES
Attorney: Clarke, Nadira
Source Name: None
Complainant Name: 
Allegation/Disposition Codes:
A633 D01 -- Speedy Trial Act violation Substantiated - Intentional.
A633 D01 -- Speedy Trial Act violation Substantiated - Intentional.
A633 D01 -- Speedy Trial Act violation Substantiated - Intentional.
A999 D01 -- Other (failure to inform client of material facts; misleading supervisors). Substantiated - Intentional.

Case/Subject No: C04-0087-01
Date Opened: September 28, 2004
Date Closed: January 11, 2005
Subject Name: 
Subject Location: None
Case Name: 
Attorney: Leiner, Frederick C.
Analyst Date: November 26, 2007

Source Name: LlJh
Complainant Name: 

A062 D23 -- Conflict: general, including appearance of conflict. Closed Administratively. Referred to the OIG.
A065 D23 -- Conflicting personal interests. Closed Administratively. Referred to the OIG.
A001 D23 -- Abuse of authority or misuse of official position. Closed Administratively. Referred to the OIG.

------------------------------------------------------------------------------------------------------------------
Case/Subject No: C04-0087-02
Date Opened: September 28, 2004
Date Closed: January 11, 2005
Subject Name: 
Subject Location: b6 b7c
Case Name: 
Attorney: Leiner, Frederick C.
Source Name: 
Complainant Name: b6 b7c

Allegation/Disposition Codes:
A001 D23 -- Abuse of authority or misuse of official position. Closed Administratively. Referred to the OIG.
A220 D24 -- Hatch Act violations. Closed Administratively. Referred/more appropriately handled by Office of Special Counsel.

------------------------------------------------------------------------------------------------------------------
Case/Subject No: C04-0026-01
Date Opened: January 30, 2004
Date Closed: March 4, 2005
Subject Name: 
Subject Location: b6 b7c
Case Name: 
Attorney: Duncan, James G.
Source Name: 
Complainant Name: b6 b7c

Allegation/Disposition Codes:
A140 D02 -- Negligence/dereliction/improper perf of duties (failure to perform). Substantiated - Reckless Disregard.
A370 D13 -- Obstruction of justice/coverup. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

------------------------------------------------------------------------------------------------------------------
Case/Subject No: C04-0028-01
Date Opened: February 5, 2004
Date Closed: March 4, 2005
Subject Name: d6 h7c
Subject Location: None
Case Name: 
Attorney: White, Alexander S.
Source Name: None
User: Analyst
Complainant Name: __________

Allegation/Disposition Codes:
A432 D13 -- Retaliation or reprisals. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A157 D13 -- Falsification of records. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0028-02
Date Opened: February 5, 2004
Date Closed: March 4, 2005
Subject Name: __________

Subject Location: __________
Case Name: __________
Attorney: White, Alexander S.
Source Name: __________
Complainant Name: __________

Allegation/Disposition Codes:
A432 D13 -- Retaliation or reprisals. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A157 D13 -- Falsification of records. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0062-01
Date Opened: July 7, 2004
Date Closed: March 5, 2005
Subject Name: __________
Subject Location: __________
Case Name: __________
Attorney: Kessler, Tamara J.
Source Name: OPR WESTLAW SEARCH
Complainant Name: __________

Allegation/Disposition Codes:

Case/Subject No: C04-0039-01
Date Opened: March 15, 2004
Date Closed: March 15, 2005
Subject Name: __________
Subject Location: __________
Case Name: MULTIPLE CASES
Attorney: Ward, Barbara L.
Source Name: None
Complainant Name: __________

Allegation/Disposition Codes:
A422 D05 -- Lateness re Court Order. Substantiated for Poor Judgment. Report of inquiry referred to management.
A422 D05 -- Lateness re Court Order. Substantiated for Poor Judgment. Report of inquiry referred to management.

A422 D14 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained. Subject made a mistake.

A422 D14 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C04-0065-01
Date Opened: July 7, 2004
Date Closed: March 18, 2005
Subject Name: 
Subject Location: 
Case Name: MULTIPLE CASES
Attorney: Ward, Barbara L.
Source Name: EOUSA GENERAL COUNSEL'S OFFICE
Complainant Name: U.S. DISTRICT COURT
Allegation/Disposition Codes:
A633 D01 -- Speedy Trial Act violation Substantiated - Intentional.
A341 D01 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Intentional.

Case/Subject No: C04-0006-01
Date Opened: October 14, 2003
Date Closed: March 25, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: McCarty, Margaret S.
Source Name: 
Complainant Name: 
Allegation/Disposition Codes:

Case/Subject No: C04-0063-01
Date Opened: July 7, 2004
Date Closed: March 25, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Wehner, Karen
Source Name: CPR WESTLAW SEARCH
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A422 D15 Lateness re Court Order. Unsubstantiated. Allegation not
sustained. Subject acted appropriately in all circumstances

Case/Subject No: C04-0063-02
Date Opened: July 7, 2004
Date Closed: March 25, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Wehner, Karen
Source Name: OPR WESTLAW SEARCH
Complainant Name: U.S. COURT OF APPEALS FOR TH
Allegation/Disposition Codes:
A422 D15 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C04-0013-01
Date Opened: October 27, 2003
Date Closed: March 31, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Wahowiak, Marlene M.
Source Name: 
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A061 D05 -- Civil or constitutional rights violations. Substantiated for Poor Judgment. Report of inquiry referred to management.

Case/Subject No: C04-0086-01
Date Opened: September 27, 2004
Date Closed: March 31, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Hardy, Lyn
Source Name: NOT EXECUTIVE SECRETARIAT
Complainant Name: U.S. Congressman, on behalf of
Allegation/Disposition Codes:

Case/Subject No: C04-0086-02
Date Opened: September 27, 2004
Date Closed: March 31, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Hardy, Lyn
Allegation/Disposition Codes:


Case/Subject No: C04-0035-01
Date Opened: March 10, 2004
Date Closed: April 1, 2005
Subject Name:
Subject Location: b6 b7c
Case Name:
Attorney: Colby, Paul L.
Source Name:
Complainant Name:

Allegation/Disposition Codes:
A542 D15 -- Failure to comply with DOJ Rules and Regulations. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances.

Case/Subject No: C04-0035-02
Date Opened: March 10, 2004
Date Closed: April 1, 2005
Subject Name:
Subject Location: b6 b7c
Case Name:
Attorney: Colby, Paul L.
Source Name:
Complainant Name:

Allegation/Disposition Codes:
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<th>Date Opened</th>
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<th>Subject Name</th>
<th>Subject Location</th>
<th>Case Name</th>
<th>Attorney</th>
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<th>Complainant Name</th>
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<td>C04-0069-01</td>
<td>August 10, 2004</td>
<td>April 5, 2005</td>
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<td>Meade, James A.</td>
<td>None</td>
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<td>A002 D15 -- Abuse of prosecutive or investigative authority (general). Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances</td>
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User: Analyst Date: November 26, 2007

Source Name: None
Complainant Name: None

Allegation/Disposition Codes:
A535 D02 -- Unauthorized disclosure (non-media): other (including Priv
Act violations and Substantiated - Reckless Disregard.

*********************************************************************
Case/Subject No: C05-0012-01
Date Opened: November 8, 2004
Date Closed: April 5, 2005
Subject Name: 
Subject Location: b6 b7c
Case Name: 
Attorney: Hurley, Neil
Source Name: 
Complainant Name: U.S. ATTORNEY'S OFFICE

Allegation/Disposition Codes:
A535 D13 -- Unauthorized disclosure (non-media): other (including Priv
Act violations and Unsubstantiated. Allegation not sustained for Poor
Judgment or Professional Misconduct.

*********************************************************************
Case/Subject No: C05-0012-02
Date Opened: November 8, 2004
Date Closed: April 5, 2005
Subject Name:
Subject Location: b6 b7c
Case Name:
Attorney: Hurley, Neil
Source Name: 
Complainant Name: U.S. ATTORNEY'S OFFICE

Allegation/Disposition Codes:
A535 D13 -- Unauthorized disclosure (non-media): other (including Priv
Act violations and Unsubstantiated. Allegation not sustained for Poor
Judgment or Professional Misconduct.

*********************************************************************
Case/Subject No: C03-0071-01
Date Opened: June 2, 2003
Date Closed: April 6, 2005
Subject Name: 
Subject Location: b6 b7c
Case Name:
Attorney: Hurley, Neil
Source Name: 
Complainant Name:

Allegation/Disposition Codes:
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not
sustained. Subject made a mistake.
A407 D15 -- Discovery - Brady Violation/Exculpatory Information.
Unsubstantiated. Allegation not sustained. Subject acted appropriately
in all circumstances
A411 D15 -- Improper Examination of a Witness. Unsubstantiated.
Allegation not sustained. Subject acted appropriately in all
**Case/Subject No:** C03-0043-01  
**Date Opened:** March 3, 2003  
**Date Closed:** April 7, 2005  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Leiner, Frederick C.  
**Source Name:**  
**Complainant Name:** U.S. COURT OF APPEALS FOR THE  
**Allegation-Disposition Codes:**  
A150 D15 -- Failure to honor plea agreement. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances.  
A404 D15 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances.  

**Case/Subject No:** C04-0018-01  
**Date Opened:** November 17, 2003  
**Date Closed:** April 7, 2005  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Hardv. Lvn  
**Source Name:**  
**Complainant Name:** U.S. COURT OF APPEALS FOR THE  
**Allegation-Disposition Codes:**  
A462 D14 -- Subornation of perjury/Failure to correct false testimony. Unsubstantiated. Allegation not sustained. Subject made a mistake.  
A462 D13 -- Subornation of perjury/Failure to correct false testimony. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.  

**Case/Subject No:** C04-0027-01  
**Date Opened:** January 14, 2004  
**Date Closed:** April 7, 2005  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Fraase, Mark G.  
**Source Name:**  
**Complainant Name:**  
**Allegation-Disposition Codes:**  
A531 D13 -- Unauthorized disclosure to media: 6(e) material. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.  
A532 D13 -- Unauthorized disclosure to media: other - including Priv Act violations and Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.  

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Case/Subject No: C04-0037-01  
Date Opened: March 12, 2004  
Date Closed: April 7, 2005  

Subject Name: b6 b7c  
Subject Location: b6 b7c  
Case Name:  
Attorney: Meade, James A.  
Source Name: b6 b7c  
Complainant Name: b6 b7c  

Allegation/Disposition Codes:  
A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated.  
Allegation not sustained. Subject made a mistake.

*********************************************************************

Case/Subject No: C04-0037-02  
Date Opened: March 12, 2004  
Date Closed: April 7, 2005  

Subject Name: b6 b7c  
Subject Location: b6 b7c  
Case Name:  
Attorney: Meade, James A.  
Source Name: b6 b7c  
Complainant Name: b6 b7c  

Allegation/Disposition Codes:  
A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated.  
Allegation not sustained. Subject made a mistake.

*********************************************************************

Case/Subject No: C05-0015-01  
Date Opened: November 30, 2004  
Date Closed: April 7, 2005  

Subject Name: b6 b7c  
Subject Location: b6 b7c  
Case Name:  
Attorney: McCarty, Margaret S.  
Source Name: OPR SEARCH OF WESTLAW  
Complainant Name: U.S. COURT OF APPEALS FOR THE  

Allegation/Disposition Codes:  
A410 D02 -- Improper Closing Argument. Substantiated - Reckless Disregard.

*********************************************************************

Case/Subject No: C04-0045-01  
Date Opened: April 16, 2004  
Date Closed: April 14, 2005  

Subject Name: b6 b7c  
Subject Location: None  
Case Name:  
Attorney: Fraase, Mark G.  
Source Name: None  
Complainant Name: b6 b7c  

Allegation/Disposition Codes:  
A532 D13 -- Unauthorized disclosure to media: other - including Priv Act violations and Unsubstantiated. Allegation not sustained for Poor
Judgment or Professional Misconduct.

******************************************************************************
Case/Subject No: C05-0018-01
Date Opened: December 3, 2004
Date Closed: May 27, 2005
Subject Name: 
Subject Location: b6 b7c
Case Name: 
Attorney: Ward, Barbara L.
Source Name: OPR WESTLAW SEARCH
Complainant Name: 
Allegation/Disposition Codes:
A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject made a mistake.

******************************************************************************
Case/Subject No: C03-0064-01
Date Opened: May 13, 2003
Date Closed: May 31, 2005
Subject Name: 
Subject Location: b6 b7c
Case Name: 
Attorney: Ross, Simone E.
Source Name: OPR SEARCH OF WESTLAW
Complainant Name: 
Allegation/Disposition Codes:
A407 D13 -- Discovery - Brady Violation/Exculpatory Information. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A408 D13 -- Discovery - Impeachment/Jencks. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

******************************************************************************
Case/Subject No: C05-0004-01
Date Opened: October 20, 2004
Date Closed: May 31, 2005
Subject Name: 
Subject Location: b6 b7c
Case Name: None
Attorney: Wehner, Karen
Source Name: 
Complainant Name: 
Allegation/Disposition Codes:
A413 D01 -- Prejudicial Statement to a Grand or Petit Jury. Substantiated - Intentional.
A413 D02 -- Prejudicial Statement to a Grand or Petit Jury. Substantiated - Reckless Disregard.
A418 D02 -- Ex parte Communication. Substantiated - Reckless Disregard.
<table>
<thead>
<tr>
<th>Case/Subject No.</th>
<th>Date Opened</th>
<th>Date Closed</th>
<th>Subject Name</th>
<th>Subject Location</th>
<th>Case Name</th>
<th>Attorney</th>
<th>Source Name</th>
<th>Complainant Name</th>
<th>Allegation/Disposition Codes</th>
</tr>
</thead>
</table>
Case Name: None
Attorney: Wahowiak, Marlene M.
Source Name: I

Complainant Name: [Signature]
Allegation/Disposition Codes:
A535 D02 -- Unauthorized disclosure (non-media): other (including Priv Act violations and Substantiated - Reckless Disregard.
A062 D13 -- Conflict: general, including appearance of conflict. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0035-01
Date Opened: January 28, 2005
Date Closed: June 9, 2005
Subject Name: [Signature]
Subject Location:
Case Name: [Signature]
Attorney: Leiner, Frederick C.
Source Name: [Signature]
Complainant Name: [Signature]
Allegation/Disposition Codes:
A252 D02 -- Improper contacts with rep party/interference with atty-client relationship. Substantiated - Reckless Disregard.

Case/Subject No: C03-0073-01
Date Opened: June 17, 2003
Date Closed: June 13, 2005
Subject Name: [Signature]
Subject Location:
Case Name: [Signature]
Attorney: Hurley, Neil
Source Name: OPR SEARCH OF WESTLAW
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A411 D02 -- Improper Examination of a Witness. Substantiated - Reckless Disregard.

Case/Subject No: C04-0034-01
Date Opened: March 5, 2004
Date Closed: June 15, 2005
Subject Name: [Signature]
Subject Location:
Case Name: [Signature]
Attorney: Meade, James A.
Source Name: [Signature]
Complainant Name: [Signature]
Allegation/Disposition Codes:
A411 D14 -- Improper Examination of a Witness. Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C04-0047-01
Date Opened: April 23, 2004
Date Closed: June 21, 2005
Subject Name: 
Subject Location: NC
Case Name: 
Attorney: Ward, Barbara L.
Source Name: 
Complainant Name: 

Allegation/Disposition Codes:
A150 D05 -- Failure to honor plea agreement. Substantiated for Poor Judgment. Report of inquiry referred to management.

Case/Subject No: C04-0047-02
Date Opened: April 23, 2004
Date Closed: June 21, 2005
Subject Name: 
Subject Location: NC
Case Name: 
Attorney: Ward, Barbara L.
Source Name: 
Complainant Name: 

Allegation/Disposition Codes:
A150 D05 -- Failure to honor plea agreement. Substantiated for Poor Judgment. Report of inquiry referred to management.

Case/Subject No: C04-0075-01
Date Opened: August 16, 2004
Date Closed: June 23, 2005
Subject Name: 
Subject Location: NC
Case Name: 
Attorney: Howard, Lisa G.
Source Name: OPR WESTLAW SEARCH
Complainant Name: U.S. COURT OF APPEALS FOR THE 

Allegation/Disposition Codes:

Case/Subject No: C05-0036-01
Date Opened: February 11, 2005
Date Closed: June 23, 2005
Subject Name: 
Subject Location: NC
Case Name: 
Attorney: White, Alexander S.
Source Name: MARGOLIS, DAVID (Associate Deputy Attorney General)
Complainant Name: OFFICE OF THE DEPUTY ATTORNEY GENERAL

Allegation/Disposition Codes:
A535 D13 -- Unauthorized disclosure (non-media): other (including Priv
Act violations and Unsubstantiated. Allegation not sustained for Poor
Judgment or Professional Misconduct.

*****************************************************
Case/Subject No: C04-0016-01
Date Opened: October 31, 2003
Date Closed: June 27, 2005
Subject Name: 
Subject Location: 
Case Name: 
Source Name: 
Complainant Name: 
Allegation/Disposition Codes:
A404 D02 -- Misrepresentation /Misleading the Court. Substantiated -
Reckless Disregard.
A404 D02 -- Misrepresentation /Misleading the Court. Substantiated -
Reckless Disregard.

*****************************************************
Case/Subject No: C04-0016-02
Date Opened: October 31, 2003
Date Closed: June 27, 2005
Subject Name: 
Subject Location: 
Case Name: 
Source Name: 
Complainant Name: 
Allegation/Disposition Codes:
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated.
Allegation not sustained for Poor Judgment or Professional Misconduct.

*****************************************************
Case/Subject No: C04-0016-03
Date Opened: October 31, 2003
Date Closed: June 27, 2005
Subject Name: DOJ ATTORNEYS WHO PARTICIPATED IN AND SUPERVISED
Subject Location: B6 - Unknown (various locations).
Case Name: 
Source Name: 
Complainant Name: 
Allegation/Disposition Codes:
A404 D02 -- Misrepresentation /Misleading the Court. Substantiated -
Reckless Disregard.

*****************************************************
Case/Subject No: C04-0009-01
Date Opened: October 20, 2003
Date Closed: June 28, 2005
Subject Name: 

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Subject Location: JJ
Case Name: 
Attorney: Koss, Simone E.
Source Name: 
Complainant Name: U.S. COURT OF APPEALS FOR THE

 Allegation/Disposition Codes:
 A411 D14 -- Improper Examination of a Witness. Unsubstantiated. Allegation not sustained. Subject made a mistake.

*********************************************************************
Case/Subject No: C03-0059-01
Date Opened: May 5, 2003
Date Closed: June 30, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Kessler, Tamara J.
Source Name: OPR SEARCH OF WESTLAW
Complainant Name: 

 Allegation/Disposition Codes:
 A422 D14 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained. Subject made a mistake.
 A011 D15 -- Overzealous prosecution. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

*********************************************************************
Case/Subject No: C03-0059-02
Date Opened: May 5, 2003
Date Closed: June 30, 2005
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Kessler, Tamara J.
Source Name: OPR SEARCH OF WESTLAW
Complainant Name: 

 Allegation/Disposition Codes:
 A404 D02 -- Misrepresentation /Misleading the Court. Substantiated - Reckless Disregard.
 A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.
 A422 D14 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained. Subject made a mistake.
 A011 D15 -- Overzealous prosecution. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

*********************************************************************
Case/Subject No: C05-0014-01
Date Opened: November 19, 2004
Date Closed: June 30, 2005
Subject Name: 
Subject Location: 
Case Name: None
Attorney: Wehner, Karen
CASE NO. C05-0014-02
Case Name: OIG REFERRAL
Date Opened: November 19, 2004
Date Closed: June 30, 2005
Subject Name: OIG REFERRAL
Complainant Name: OIG REFERRAL
Allegation/Disposition Codes: A404 D15 -- Misrepresentation / Misleading the Court. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances.

Case NO. C05-0045-01
Case Name: OPR WESTLAW SEARCH
Date Opened: February 28, 2005
Date Closed: June 30, 2005
Subject Name: OPR WESTLAW SEARCH
Complainant Name: OPR WESTLAW SEARCH

Case NO. C04-0073-01
Case Name: OPR REVIEW OF NEWS ARTICLES
Date Opened: August 16, 2004
Date Closed: July 1, 2005
Subject Name: OPR REVIEW OF NEWS ARTICLES
Complainant Name: OPR REVIEW OF NEWS ARTICLES

Case NO. C03-0082-01
Case Name: OPR REVIEW OF NEWS ARTICLES
Date Opened: July 29, 2003
Date Closed: July 5, 2005
Subject Name: [Redacted]

Case Name: [Redacted]
Attorney: Fraase, Mark G.
Source Name: SELF-REPORTING BY
Complainant Name: [Redacted]

Allegation/Disposition Codes:

Case/Subject No: C04-0058-01
Date Opened: June 3, 2004
Date Closed: July 5, 2005
Subject Name: [Redacted]

Case Name: None
Attorney: Wahowiak, Marlene M.
Source Name: None
Complainant Name: [Redacted]

Allegation/Disposition Codes:
A418 D13 -- Ex parte Communication. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A252 D13 -- Improper contacts with rep party/interference with atty-client relationship. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0072-01
Date Opened: August 16, 2004
Date Closed: July 5, 2005
Subject Name: [Redacted]

Subject Location: [Redacted]
Case Name: MULTIPLE CASES
Attorney: Ward, Barbara L.
Source Name: None
Complainant Name: [Redacted]

Allegation/Disposition Codes:
A421 D02 -- Intentional Failure to comply with court order/other than lateness Substantiated - Reckless Disregard.

Case/Subject No: C05-0019-01
Date Opened: December 3, 2004
Date Closed: July 5, 2005
Subject Name: [Redacted]
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<th>Case/Subject No.</th>
<th>Date Opened</th>
<th>Date Closed</th>
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<th>Case Name</th>
<th>Attorney</th>
<th>Source Name</th>
<th>Complainant Name</th>
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<td>December 6, 2004</td>
<td>September 9, 2005</td>
<td>Kessler, Tamara J.</td>
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<td></td>
<td>OPR WESTLAW SEARCH</td>
<td></td>
<td>A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject made a mistake.</td>
</tr>
</tbody>
</table>
A002 D13 -- Abuse of prosecutive or investigative authority (general). Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0034-01
Date Opened: January 26, 2005
Date Closed: September 14, 2005
Subject Name: 
Subject Location: b6 b7c
Case Name: 
Attorney: wenner, Karen
Source Name: U.S. ATTORNEY'S OFFICE.
Complainant Name: 
Allegation/Disposition Codes:
A407 D02 -- Discovery - Brady Violation/Exculpatory Information. Substantiated - Reckless Disregard.

Case/Subject No: C05-0034-02
Date Opened: January 26, 2005
Date Closed: September 14, 2005
Subject Name: 
Subject Location: b6 b7c
Case Name: 
Attorney: Wehner, Karen
Source Name: U.S. ATTORNEY'S OFFICE.
Complainant Name: 
Allegation/Disposition Codes:
A407 D02 -- Discovery - Brady Violation/Exculpatory Information. Substantiated - Reckless Disregard.

Case/Subject No: C04-0067-01
Date Opened: July 20, 2004
Date Closed: September 15, 2005
Subject Name: 
Subject Location: b6 b7c
Case Name: 
Attorney: Howard, Lisa G.
Source Name: OPR REVIEW OF NEWS ARTICLES
Complainant Name: U.S. COURT OF APPEALS FOR b6 b7c
Allegation/Disposition Codes:
A410 D02 -- Improper Closing Argument. Substantiated - Reckless Disregard.
A411 D02 -- Improper Examination of a Witness. Substantiated - Reckless Disregard.
A413 D02 -- Prejudicial Statement to a Grand or Petit Jury. Substantiated - Reckless Disregard.

Case/Subject No: C05-0067-01
Date Opened: July 13, 2005
Date Closed: September 28, 2005
Subject Name: b6 b7c
Subject Location: Unknown.

Case Name: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.

Case/Subject No: C03-0054-01
Date Opened: April 15, 2003
Date Closed: September 30, 2005
Subject Name: Unknown.
Subject Location: Unknown.
Case Name: C03-0054-01
Attorney: Meade, James A.
Source Name: None
Complainant Name: Unknown.
Allegation/Disposition Codes:
A532 D29 -- Unauthorized disclosure to media: other - including Priv Act violations and Closed administratively. Other. Specify.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0082-01
Date Opened: September 1, 2004
Date Closed: September 30, 2005
Subject Name: Leiner, Frederick C.
Subject Location: MULTIPLE CASES
Case Name: MULTIPLE CASES
Attorney: Leiner, Frederick C.
Source Name: OPR WESTLAW SEARCH
Complainant Name: COURT OF APPEALS for the

Allegation/Disposition Codes:
A422 D14 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained. Subject made a mistake.
A422 D13 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0007-01
Date Opened: October 25, 2004
Date Closed: September 30, 2005
Subject Name: McCarty, Margaret S.
Subject Location: MULTIPLE CASES
Case Name: MULTIPLE CASES
Attorney: McCarty, Margaret S.
Source Name: OPR WESTLAW SEARCH
Complainant Name: COURT OF APPEALS for the

Allegation/Disposition Codes:
A410 D13 Improper Closing Argument. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0030-01
Date Opened: January 18, 2005
Date Closed: September 30, 2005
Subject Name: Thomson, Robert
Subject Location: MULTIPLE CASES
Case Name: MULTIPLE CASES
Attorney: Thomson, Robert
Source Name: OFFICE OF THE DEPUTY ATTORNEY GENERAL
Complainant Name: U.S. ATTORNEY'S OFFICE,

Allegation/Disposition Codes:
A404 D01 -- Misrepresentation /Misleading the Court. Substantiated - Intentional.
A342 D01 -- Intentional Failure to Perform Substantiated - Intentional.
A999 D01 -- Other or not specified above. Substantiated - Intentional.
A537 D01 -- Unprof or unethical behavior: other (unspecific).
Substantiated - Intentional.

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<td>Date Closed:</td>
<td>September 30, 2005</td>
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<td>Subject Name:</td>
<td>Ward, Barbara L.</td>
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<tr>
<td>Source Name:</td>
<td>Leiner, Frederick C.</td>
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</table>

Allegation/Disposition Codes: A424 D14 -- Discovery - Civil Unsubstantiated. Allegation not sustained. Subject made a mistake.

<table>
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<tr>
<th>Case/Subject No:</th>
<th>C05-0048-01</th>
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<tbody>
<tr>
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<td>Date Closed:</td>
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<td>Ward, Barbara L.</td>
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<td>April 26, 2004</td>
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<tr>
<td>Date Closed:</td>
<td>October 3, 2005</td>
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<tr>
<td>Subject Name:</td>
<td>Thomson, Robert</td>
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<tr>
<td>Source Name:</td>
<td>OPR SEARCH OF WESTLAW</td>
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<tr>
<td>Complainant Name:</td>
<td>U.S. COURT OF APPEALS FOR THE</td>
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</tbody>
</table>

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Allegation/Disposition Codes:
A411 D14 -- Improper Examination of a Witness. Unsubstantiated.
Allegation not sustained. Subject made a mistake.
A411 D14 -- Improper Examination of a Witness. Unsubstantiated.
Allegation not sustained. Subject made a mistake.

Case/Subject No: C05-0051-01
Date Opened: April 11, 2005
Date Closed: October 15, 2005
Subject Name: 66 b7c
Subject Location: 66 b4c
Case Name: 66 b7c
Attorney: Brandon, Kathleen
Source Name: 

Complainant Name: 66 b7c

Allegation/Disposition Codes:
A421 D29 -- Intentional Failure to comply with court order/other than lateness Closed administratively. Other. Specify.

Case/Subject No: C05-0003-01
Date Opened: October 15, 2004
Date Closed: October 28, 2005
Subject Name: 
Subject Location: 66 b7c
Case Name: 
Attorney: McCarty, Margaret S.
Source Name: IDENTIFIED BY OPR DURING COURSE OF ANOTHER OPR INVESTIGATION

Complainant Name: U.S. ATTORNEY'S OFFICE, 66 b7c

Allegation/Disposition Codes:
A341 D02 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Reckless Disregard.
A404 D13 -- Misrepresentation Misleading the Court. Unsubstantiated.
Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0003-02
Date Opened: October 15, 2004
Date Closed: October 28, 2005
Subject Name: 
Subject Location: 66 b7c
Case Name: 
Attorney: McCarty, Margaret S.
Source Name: IDENTIFIED BY OPR DURING COURSE OF ANOTHER OPR INVESTIGATION

Complainant Name: U.S. ATTORNEY'S OFFICE, 66 b7c

Allegation/Disposition Codes:
A462 D13 -- Subornation of perjury/Failure to correct false testimony. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
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<th>C05-0037-01</th>
<th>Date Opened:</th>
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<td>Allegation/Disposition Codes:</td>
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<th>August 26, 2004</th>
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User: Analyst
Date: November 26, 2007

Kessler, Tamara J.
DEPARTMENT OF JUSTICE
LEAHY, PATRICK (U.S. Senator, by letter to the
Attorney General)

A002 D13 -- Abuse of prosecutive or investigative authority (general).
Unsubstantiated. Allegation not sustained for Poor Judgment or
Professional Misconduct.
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated.
Allegation not sustained for Poor Judgment or Professional Misconduct.

C04-0080-02
August 26, 2004
December 6, 2005
Dist. Of Oregon.
BRANDON MAYFIELD MATTER
Kessler, Tamara J.
DEPARTMENT OF JUSTICE
LEAHY, PATRICK (U.S. Senator, by letter to the
Attorney General)

A002 D13 -- Abuse of prosecutive or investigative authority (general).
Unsubstantiated. Allegation not sustained for Poor Judgment or
Professional Misconduct.
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated.
Allegation not sustained for Poor Judgment or Professional Misconduct.

C04-0080-03
August 26, 2004
December 6, 2005
Dist. Of Oregon.
BRANDON MAYFIELD MATTER
Kessler, Tamara J.
DEPARTMENT OF JUSTICE
LEAHY, PATRICK (U.S. Senator, by letter to the
Attorney General)

A002 D13 -- Abuse of prosecutive or investigative authority (general).
Unsubstantiated. Allegation not sustained for Poor Judgment or
Professional Misconduct.
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated.
Allegation not sustained for Poor Judgment or Professional Misconduct.

C04-0080-04
August 26, 2004
December 6, 2005
Dist. Of Oregon.
BRANDON MAYFIELD MATTER
Kessler, Tamara J.
DEPARTMENT OF JUSTICE
LEAHY, PATRICK
(U.S. Senator, by letter to the Attorney General)

Allegation/Disposition Codes:
A002 D13 -- Abuse of prosecutive or investigative authority (general).
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0080-05
Date Opened: August 26, 2004
Date Closed: December 6, 2005
Subject Name:

Subject Location: -- Criminal Division.
Case Name: BRANDON MAYFIELD MATTER
Attorney: Kessler, Tamara J.
Source Name: DEPARTMENT OF JUSTICE
Complainant Name: LEAHY, PATRICK (U.S. Senator, by letter to the Attorney General)

Allegation/Disposition Codes:
A002 D13 -- Abuse of prosecutive or investigative authority (general).
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0080-06
Date Opened: August 26, 2004
Date Closed: December 6, 2005
Subject Name:

Subject Location: -- Criminal Division.
Case Name: BRANDON MAYFIELD MATTER
Attorney: Kessler, Tamara J.
Source Name: DEPARTMENT OF JUSTICE
Complainant Name: LEAHY, PATRICK (U.S. Senator, by letter to the Attorney General)

Allegation/Disposition Codes:
A002 D13 -- Abuse of prosecutive or investigative authority (general).
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0080-07
Date Opened: August 26, 2004
Date Closed: December 6, 2005
Subject Name:

Subject Location: -- Criminal Division.
Case Name: BRANDON MAYFIELD MATTER
Attorney: Kessler, Tamara J.
Source Name: DEPARTMENT OF JUSTICE
Complainant Name: LEAHY, PATRICK (U.S. Senator, by letter to the Attorney General)

Allegation/Disposition Codes:
A002 D13 -- Abuse of prosecutive or investigative authority (general). Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0080-08
Date Opened: August 26, 2004
Date Closed: December 6, 2005

Subject Name: UNIDENTIFIED
Subject Location: __ __ __ __
Case Name: BRANDON MAYFIELD MATTER
Attorney: Kessler, Tamara J.
Source Name: DEPARTMENT OF JUSTICE
Complainant Name: LEAHY, PATRICK (U.S. Senator, by letter to the Attorney General)

Allegation/Disposition Codes:
A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0042-01
Date Opened: February 22, 2005
Date Closed: December 6, 2005

Subject Name: UNIDENTIFIED
Subject Location: __ __ __ __
Case Name: BRANDON MAYFIELD MATTER
Attorney: Kessler, Tamara J.
Source Name: DEPARTMENT OF JUSTICE
Complainant Name: LEAHY, PATRICK (U.S. Senator, by letter to the Attorney General)

Allegation/Disposition Codes:
Case/Subject No: C05-0075-01
Date Opened: July 31, 2005
Date Closed: December 6, 2005

Subject Name: 
Subject Location: 
Case Name: 
Attorney: Fraase, Mark G.
Source Name: 
Complainant Name: 

Allegation/Disposition Codes:
A341 D29 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Closed administratively. Other. Specify.
A422 D29 -- Lateness re Court Order. Closed administratively. Other. Specify.

Case/Subject No: C05-0022-01
Date Opened: December 7, 2004
Date Closed: December 8, 2005

Subject Name: 
Subject Location: 
Case Name: Howard, Lisa G.
Attorney: 
Source Name: (U.S. Attorney) 
Complainant Name: 

Allegation/Disposition Codes:
A407 D02 -- Discovery - Brady Violation/Exculpatory Information. Substantiated - Reckless Disregard.
A462 D02 -- Subornation of perjury/Failure to correct false testimony. Substantiated - Reckless Disregard.

Case/Subject No: C04-0081-01
Date Opened: August 31, 2004
Date Closed: December 15, 2005

Subject Name: 
Subject Location: 
Case Name: Thomson, Robert
Attorney: 
Source Name: OPR REVIEW OF NEWS ARTICLES
Complainant Name: (subject of arrest and indictment) 

Allegation/Disposition Codes:
Analyst Date: November 26, 2007

Case/Subject No: C04-0081-02
Date Opened: August 31, 2004
Date Closed: December 15, 2005

Subject Name: [Redacted]
Subject Location: [Redacted]
Case Name: [Redacted]
Attorney: Thomson, Robert
Source Name: OPR REVIEW OF NEWS ARTICLES
Complainant Name: [Redacted] (subject of arrest and indictment)

Allegation/Disposition Codes:
A529 D14 -- Intentional Failure to Comply with DOJ Press Guidelines.
Unsubstantiated. Allegation not sustained. Subject made a mistake.

*********************************************************************

Case/Subject No: C04-0081-03
Date Opened: August 31, 2004
Date Closed: December 15, 2005

Subject Name: [Redacted]
Subject Location: [Redacted]
Case Name: [Redacted]
Attorney: Thomson, Robert
Source Name: OPR REVIEW OF NEWS ARTICLES
Complainant Name: [Redacted] (subject of arrest and indictment)

Allegation/Disposition Codes:
A529 D14 -- Intentional Failure to Comply with DOJ Press Guidelines.
Unsubstantiated. Allegation not sustained. Subject made a mistake.

*********************************************************************

Case/Subject No: C04-0081-04
Date Opened: August 31, 2004
Date Closed: December 15, 2005

Subject Name: [Redacted]
Subject Location: [Redacted]
Case Name: [Redacted]
Attorney: Thomson, Robert
Source Name: OPR REVIEW OF NEWS ARTICLES
Complainant Name: [Redacted] (subject of arrest and indictment)

Allegation/Disposition Codes:
A529 D14 -- Intentional Failure to Comply with DOJ Press Guidelines.
Unsubstantiated. Allegation not sustained. Subject made a mistake.

*********************************************************************

Case/Subject No: C05-0033-01
Date Opened: January 17, 2005
Date Closed: December 15, 2005

Subject Name: [Redacted]
Subject Location: [Redacted]
Case Name: [Redacted]
Attorney: Kessler, Tamara J.
Source Name: [Redacted]
Complainant Name: [Redacted]

Allegation/Disposition Codes:
A001 D13 -- Abuse of authority or misuse of official position.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

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Case/Subject No: C05-0033-02
Date Opened: January 17, 2005
Date Closed: December 15, 2005

Subject Name:
Subject Location: 
Case Name:
Attorney: Kessler, Tamara J.
Source Name: 

Complainant Name:
Allegation/Disposition Codes:
A001 D13 -- Abuse of authority or misuse of official position. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0059-01
Date Opened: June 2, 2005
Date Closed: December 15, 2005
Subject Name:
Subject Location: MULTIPLE CASE:
Case Name:
Attorney: Hurley, Neil
Source Name: U.S. ATTORNEY'S OFFICE,

Complainant Name: 
Allegation/Disposition Codes:
A341 D01 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Intentional.
A404 D01 -- Misrepresentation /Misleading the Court. Substantiated - Intentional.
A341 D02 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Reckless Disregard.

Case/Subject No: C05-0050-01
Date Opened: March 16, 2005
Date Closed: December 23, 2005
Subject Name:
Subject Location: 
Case Name:
Attorney: Howard, Lisa G.
Source Name: 
Complainant Name: U.S. ATTORNEY'S OFFICE,

Allegation/Disposition Codes: 
A402 D29 Prosecutorial Misconduct (General - OPR atty/pls provide specific code). Closed administratively. Other. Specify.
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**Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.**

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**Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.**

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<td>CO5-0029-01</td>
<td>January 18, 2005</td>
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Allegation/Disposition Codes:
A407 D13 -- Discovery - Brady Violation/Exculpatory Information. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Allegation/Disposition Codes:
A422 D01 -- Lateness re Court Order. Substantiated - Intentional.

Allegation/Disposition Codes:
A423 D13 -- Intentional interference to defendant's right to counsel. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Date Opened: January 18, 2005
Date Closed: December 31, 2005
Subject Name:

Case Name: 
Attorney: Derden, Terry L.
Source Name: 
Complainant Name: U.S. COURT OF APPEALS FOR THE  
Allegation/Disposition Codes:
A150 D15 -- Failure to honor plea agreement. Unsubstantiated. 
Allegation not sustained. Subject acted appropriately in all 
circumstances

Case/Subject No: C04-0085-01
Date Opened: September 24, 2004
Date Closed: January 4, 2006
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Wahowiak, Marlene M.
Source Name: OPR WESTLAW SEARCH 
Complainant Name: U.S. COURT OF APPEALS FOR THE  
Allegation/Disposition Codes:
A002 D13 -- Abuse of prosecutive or investigative authority (general). 
Unsubstantiated. Allegation not sustained for Poor Judgment or 
Professional Misconduct.

Case/Subject No: C05-0073-01
Date Opened: July 26, 2005
Date Closed: January 4, 2006
Subject Name:  
Subject Location:  
Case Name: None
Attorney: Thomson, Robert
Source Name: DOJ EXECUTIVE SECRETARIAT  
Complainant Name:  
Allegation/Disposition Codes:
A156 D15 -- False statements, misrepresentation (administrative).
Unsubstantiated. Allegation not sustained. Subject acted appropriately 
in all circumstances
A542 D15 -- Failure to comply with DOJ Rules and Regulations.
Unsubstantiated. Allegation not sustained. Subject acted appropriately 
in all circumstances

Case/Subject No: C05-0073-02
Date Opened: July 26, 2005
Date Closed: January 4, 2006
Subject Name:  
Subject Location:  
Case Name: None
Attorney: Thomson, Robert
Source Name: DOJ EXECUTIVE SECRETARIAT
Complainant Name: 
Allegation/Disposition Codes:
A156 D15 -- False statements, misrepresentation (administrative).
Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances
A542 D15 -- Failure to comply with DOJ Rules and Regulations.
Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C05-0073-03
Date Opened: July 26, 2005
Date Closed: January 4, 2006
Subject Name: 
Subject Location:
Case Name: None
Attorney: Thomson, Robert
Source Name: DOJ EXECUTIVE SECRETARIAT
Complainant Name: 
Allegation/Disposition Codes:
A156 D15 -- False statements, misrepresentation (administrative).
Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances
A542 D15 -- Failure to comply with DOJ Rules and Regulations.
Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C05-0073-04
Date Opened: July 26, 2005
Date Closed: January 4, 2006
Subject Name: 
Subject Location:
Case Name: None
Attorney: Thomson, Robert
Source Name: DOJ EXECUTIVE SECRETARIAT
Complainant Name: 
Allegation/Disposition Codes:
A156 D15 -- False statements, misrepresentation (administrative).
Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances
A542 D15 -- Failure to comply with DOJ Rules and Regulations.
Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C05-0010-01
Date Opened: October 31, 2004
Date Closed: January 5, 2006
Subject Name: 
Subject Location:
Case Name: 
Attorney: Brandon, Kathleen

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<td>b6 b7c</td>
<td>U.S. Court of Appeals for the U.S.</td>
<td>A422 D13 -- Lateness re Court Order. Unsubstantiated.</td>
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<td>October 2, 2003</td>
<td>January 6, 2006</td>
<td>b6 b7c</td>
<td>Ross, Simone E.</td>
<td>U.S. Attorney</td>
<td>A421 D02 -- Intentional Failure to comply with court order/other than lateness Substantiated - Reckless Disregard.</td>
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<td>May 19, 2004</td>
<td>January 6, 2006</td>
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<td>U.S. Attorney, Appeals for the U.S.</td>
<td>A422 D13 -- Lateness re Court Order. Unsubstantiated.</td>
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PAGE 41
Case Name:  
Attorney: Leiner, Frederick C.  
Source Name: SELF-REPORT BY  
Complainant Name: U.S. ATTORNEY'S OFFICE  

Allegation/Disposition Codes:
A542 D02 -- Failure to comply with DOJ Rules and Regulations. Substantiated - Reckless Disregard.  
A062 D13 -- Conflict: general, including appearance of conflict. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

*********************************************************************

Case/Subject No: C04-0071-01  
Date Opened: August 16, 2004  
Date Closed: January 6, 2006  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Hurley, Neil  
Source Name:  
Complainant Name: U.S. ATTORNEY'S OFFICE  

Allegation/Disposition Codes:
A418 D02 -- Ex parte Communication. Substantiated - Reckless Disregard.

*********************************************************************

Case/Subject No: C05-0011-01  
Date Opened: November 1, 2004  
Date Closed: January 6, 2006  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Wehner, Karen  
Source Name:  
Complainant Name: U.S. COURT OF APPEALS FOR THE  

Allegation/Disposition Codes:
A410 D02 -- Improper Closing Argument. Substantiated - Reckless Disregard.

*********************************************************************

Case/Subject No: C05-0028-01  
Date Opened: January 13, 2005  
Date Closed: January 6, 2006  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Koss, Simone E.  
Source Name:  
Complainant Name:  

Allegation/Disposition Codes:
A421 D14 -- Intentional Failure to comply with court order/other than lateness Unsubstantiated. Allegation not sustained. Subject made a mistake.  
A404 D15 -- Misrepresentation /Misleading the Court. Unsubstantiated.
Allegation not sustained. Subject acted appropriately in all circumstances.

A404 D15 -- Misrepresentation /Misleading the Court. Unsubstantiated.

Allegation not sustained. Subject acted appropriately in all circumstances.

*********************************************************************
Case/Subject No: C05-0044-01
Date Opened: February 28, 2005
Date Closed: January 6, 2006
Subject Name: 
Subject Location: Dis
Case Name: 
Attorney: Kraase, Mark G.
Source Name: OPR WESTLAW SEARCH
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A411 D14 -- Improper Examination of a Witness. Unsubstantiated.
Allegation not sustained. Subject made a mistake.

*********************************************************************
Case/Subject No: C05-0057-01
Date Opened: May 25, 2005
Date Closed: January 6, 2006
Subject Name: 
Subject Location: Dis
Case Name: 
Attorney: Koss, Simone E.
Source Name: None
Complainant Name: None
Allegation/Disposition Codes:
A535 D05 -- Unauthorized disclosure (non-media): other (including Priv Act violations and Substantiated for Poor Judgment. Report of inquiry referred to management.
A534 D13 -- Unauthorized disclosure (non-media): 6(e) (including Misuse of GJ materials in Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

*********************************************************************
Case/Subject No: C05-0053-01
Date Opened: April 22, 2005
Date Closed: February 22, 2006
Subject Name: 
Subject Location: Dis
Case Name: None
Attorney: Ward, Barbara L.
Source Name: None
Complainant Name: None
Allegation/Disposition Codes:

*********************************************************************
Case/Subject No: C05-0071-01  
Date Opened: July 20, 2005  
Date Closed: February 23, 2006

Subject Name:

Subject Location:

Case Name:

Attorney: Kessler, Tamara J.

Source Name:

Complainant Name:

Allegation/Disposition Codes:
A002 D15 -- Abuse of prosecutive or investigative authority (general). Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances.

Case/Subject No: C06-0018-01  
Date Opened: January 30, 2006  
Date Closed: February 24, 2006

Subject Name:

Subject Location:

Case Name:

Attorney: Leiner, Frederick C.

Source Name:

Complainant Name:

Allegation/Disposition Codes:
A539 D29 -- Unprof statements or comments. Closed administratively. Other. Specify.

Case/Subject No: C05-0069-01  
Date Opened: July 8, 2005  
Date Closed: March 9, 2006

Subject Name:

Subject Location:

Case Name:

Attorney: Fraase, Mark G.

Source Name: OPR.WESTLAW SEARCH

Complainant Name: U.S. COURT OF APPEALS FOR THE

Allegation/Disposition Codes:
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.
A413 D14 -- Prejudicial Statement to a Grand or Petit Jury Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C05-0062-01  
Date Opened: June 8, 2005  
Date Closed: March 14, 2006

Subject Name:

Subject Location:

Case Name:

Attorney: Wehner, Karen

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### Case/Subject No: C05-0062-02  
**Date Opened:** June 8, 2005  
**Date Closed:** March 14, 2006  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Wenner, Karen  
**Source Name:** None  
**Complainant Name:**  
**Allegation/Disposition Codes:**  
- A341 D05 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated for Poor Judgment. Report of inquiry referred to management.

### Case/Subject No: C04-0076-01  
**Date Opened:** August 18, 2004  
**Date Closed:** March 15, 2006  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Wahowjak, Marlene M.  
**Source Name:** None  
**Complainant Name:**  
**Allegation/Disposition Codes:**  
- A542 D02 -- Failure to comply with DOJ Rules and Regulations. Substantiated - Reckless Disregard.

### Case/Subject No:  
**Date Opened:** February 28, 2006  
**Date Closed:** March 19, 2006  
**Subject Name:**  
**Subject Location:**  
**Case Name:**  
**Attorney:** Duncan, James G.  
**Source Name:** OPR WESTLAW SEARCH  
**Complainant Name:** U.S. COURT OF APPEALS FOR THE  
**Allegation/Disposition Codes:**  
- A001 D29 -- Abuse of authority or misuse of official position. Closed administratively. Other. Specify.
<table>
<thead>
<tr>
<th>Case/Subject No:</th>
<th>C05-0074-01</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date Opened:</td>
<td>July 31, 2005</td>
</tr>
<tr>
<td>Date Closed:</td>
<td>March 20, 2006</td>
</tr>
<tr>
<td>Subject Name:</td>
<td></td>
</tr>
<tr>
<td>Subject Location:</td>
<td></td>
</tr>
<tr>
<td>Case Name:</td>
<td>C077 (b7c)</td>
</tr>
<tr>
<td>Attorney:</td>
<td>Wehner, Karen</td>
</tr>
<tr>
<td>Source Name:</td>
<td>None</td>
</tr>
<tr>
<td>Complainant Name:</td>
<td></td>
</tr>
<tr>
<td>Allegation/Disposition Codes:</td>
<td>A539 D29 -- Unprof statements or comments. Closed administratively. Other. Specify.</td>
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<table>
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<th>Case/Subject No:</th>
<th>C06-0022-01</th>
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<tbody>
<tr>
<td>Date Opened:</td>
<td>January 30, 2006</td>
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<tr>
<td>Date Closed:</td>
<td>March 21, 2006</td>
</tr>
<tr>
<td>Subject Name:</td>
<td>UNIDENTIFIED AUSA</td>
</tr>
<tr>
<td>Subject Location:</td>
<td>C077 (b7c)</td>
</tr>
<tr>
<td>Case Name:</td>
<td></td>
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<tr>
<td>Attorney:</td>
<td>Ward, Barbara L.</td>
</tr>
<tr>
<td>Source Name:</td>
<td>OPR WESTLAW SEARCH</td>
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<tr>
<td>Complainant Name:</td>
<td>COURT OF APPEALS</td>
</tr>
<tr>
<td>Allegation/Disposition Codes:</td>
<td>A150 D13 -- Failure to honor plea agreement. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.</td>
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<table>
<thead>
<tr>
<th>Case/Subject No:</th>
<th>C05-0077-01</th>
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<td>Date Opened:</td>
<td>July 27, 2005</td>
</tr>
<tr>
<td>Date Closed:</td>
<td>March 22, 2006</td>
</tr>
<tr>
<td>Subject Name:</td>
<td></td>
</tr>
<tr>
<td>Subject Location:</td>
<td>C077 (b7c)</td>
</tr>
<tr>
<td>Case Name:</td>
<td></td>
</tr>
<tr>
<td>Attorney:</td>
<td>Wehner, Karen</td>
</tr>
<tr>
<td>Source Name:</td>
<td>OPR WESTLAW SEARCH</td>
</tr>
<tr>
<td>Complainant Name:</td>
<td>U.S. COURT OF APPEALS FOR THE C077 (b7c)</td>
</tr>
<tr>
<td>Allegation/Disposition Codes:</td>
<td>A423 D13 -- Intentional interference to defendant's right to counsel. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Case/Subject No:</th>
<th>C05-0078-01</th>
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<td>Date Opened:</td>
<td>July 27, 2005</td>
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<td>Date Closed:</td>
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<tr>
<td>Subject Location:</td>
<td>C077 (b7c)</td>
</tr>
<tr>
<td>Case Name:</td>
<td></td>
</tr>
</tbody>
</table>
Case/Subject No: C05-0081-01
Date Opened: August 10, 2005
Date Closed: March 24, 2006
Subject Name: 
Subject Location: 06 07
Case Name: 
Attorney: Howard, Lisa G. (U.S. Attorney)
Complainant Name: U.S. COURT OF APPEALS FOR THE 
Allegation/Disposition Codes:
A011 D15 -- Overzealous prosecution. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

*********************************************************************

Case/Subject No: C05-0081-02
Date Opened: August 10, 2005
Date Closed: March 24, 2006
Subject Name: 
Subject Location: 06 07
Case Name: 
Attorney: Howard, Lisa G. (U.S. Attorney)
Complainant Name: U.S. COURT OF APPEALS FOR THE 
Allegation/Disposition Codes:
A011 D15 -- Overzealous prosecution. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

*********************************************************************

Case/Subject No: C05-0013-01
Date Opened: November 14, 2004
Date Closed: March 27, 2006
Subject Name: 
Subject Location: 06 07
Case Name: 
Attorney: Ross, Simone E.
Source Name: None
Complainant Name: U.S. COURT OF APPEALS FOR THE 
Allegation/Disposition Codes:
A421 D05 -- Intentional Failure to comply with court order/other than lateness Substantiated for Poor Judgment. Report of inquiry referred to management.
A405 D05 -- Misrepresentation to Opposing Counsel. Substantiated for

Case/Subject No: C05-0058-01
Date Opened: June 2, 2005
Date Closed: March 31, 2006
Subject Name: 
Subject Location: B6 B7C
Case Name: 
Attorney: Fraase, Mark G.
Source Name: (_self-reporting_)
Complainant Name: U.S. COURT OF APPEALS FOR THE B6 B7C
Allegation/Disposition Codes:
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.
A411 D13 -- Improper Examination of a Witness. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C06-0006-01
Date Opened: November 21, 2005
Date Closed: March 31, 2006
Subject Name: 
Subject Location: B6 B7C
Case Name: 
Attorney: Howard, Lisa G.
Source Name: None
Complainant Name: B6 B7C
Allegation/Disposition Codes:

Case/Subject No: C06-0017-01
Date Opened: January 24, 2006
Date Closed: March 31, 2006
Subject Name: 
Subject Location: B6 B7C
Case Name: 
Attorney: Kessler, Tamara J.
Source Name: U.S. ATTORNEY'S OFFICE
Complainant Name: B6 B7C
Allegation/Disposition Codes:
A409 D13 -- Improper Opening Argument. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0020-01
Date Opened: November 24, 2003
Date Closed: April 6, 2006
Subject Name: 
Subject Location: B6 B7C

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Allegation/Disposition Codes:
A341 D02 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Reckless Disregard.
A402 D02 -- Prosecutorial Misconduct (General - OPR atty/pls provide specific code). Substantiated - Reckless Disregard.
A407 D09 -- Discovery - Brady Violation/Exculpatory Information. Unsubstantiated. Allegation not sustained for Professional Misconduct (PM).

*********************************************************************
Case/Subject No:  C04-0060-01
Date Opened:  June 17, 2004
Date Closed:  April 6, 2006
Subject Name:  
Subject Location:  Hurley, Neil
Case Name:  
Attorney:  Howard, Lisa G.
Source Name:  
Complainant Name:  U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A341 D02 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Reckless Disregard.
A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject made a mistake.

*********************************************************************
Case/Subject No:  C04-0088-01
Date Opened:  September 29, 2004
Date Closed:  April 6, 2006
Subject Name:  
Subject Location:  
Case Name:  
Attorney:  Hurley, Neil
Source Name:  
Complainant Name:  U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A411 D14 -- Improper Examination of a Witness. Unsubstantiated. Allegation not sustained. Subject made a mistake.
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.

*********************************************************************
Case/Subject No:  C05-0027-01
Date Opened:  January 14, 2005
Date Closed:  April 6, 2006
Subject Name:  
Subject Location:  
Case Name:  
Attorney:  Ward, Barbara L.
Source Name:  U.S. ATTORNEY'S OFFIC
Complainant Name:  
Allegation/Disposition Codes:
Allegation/Disposition Codes:
A424 D13 -- Discovery - Civil Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C06-0008-01
Date Opened: December 7, 2005
Date Closed: April 6, 2006
Subject Name: [redacted]

Subject Location: 
Case Name: 
Attorney: Derden, Terry L.
Source Name: None
Complainant Name: [redacted]

Allegation/Disposition Codes:
A499 D01 -- Threats, physical or verbal abuse or harassment/intimidation. Substantiated - Intentional.
A539 D01 -- Unprof statements or comments. Substantiated - Intentional.
A413 D01 -- Prejudicial Statement to a Grand or Petit Jury. Substantiated - Intentional.
A421 D02 -- Failure to comply with court order (other than lateness) or federal rule. Substantiated - Reckless Disregard.
A529 D02 -- Intentional Failure to Comply with DOJ Press Guidelines. Substantiated - Reckless Disregard.
A532 D02 -- Unauthorized disclosure to media: other - including Priv Act violations and Substantiated - Reckless Disregard.
A402 D02 -- Prosecutorial Misconduct (General - OPR atty/pls provide specific code). Substantiated - Reckless Disregard.

Case/Subject No: C06-0011-01
Date Opened: January 10, 2006
Date Closed: April 6, 2006
Subject Name: [redacted]

Subject Location: 
Case Name: 
Attorney: Kessler, Tamara J.
Source Name: None
Complainant Name: [redacted]

Allegation/Disposition Codes:
A535 D13 -- Unauthorized disclosure (non-media): other (including Priv Act violations and Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0032-01
Date Opened: January 18, 2005
Date Closed: April 7, 2006
Subject Name: [redacted]

Subject Location: 
Case Name: 
Attorney: Wehner, Karen
Source Name: [redacted]
Complainant Name: XXXX
Allegation/Disposition Codes: A422 D13 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0032-02
Date Opened: January 18, 2005
Date Closed: April 7, 2006
Subject Name: XXXX
Subject Location: XXXX
Case Name: XXXX
Attorney: Wehner, Karen
Source Name: XXXX
Complainant Name: XXXX
Allegation/Disposition Codes: A422 D13 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0055-01
Date Opened: May 12, 2005
Date Closed: April 7, 2006
Subject Name: XXXX
Subject Location: XXXX
Case Name: XXXX
Attorney: Thomson, Robert
Source Name: Thomson, Robert (USA)
Complainant Name: XXXX
Allegation/Disposition Codes: A002 D13 -- Abuse of prosecutive or investigative authority (general). Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0055-02
Date Opened: May 12, 2005
Date Closed: April 7, 2006
Subject Name: XXXX
Subject Location: XXXX
Case Name: XXXX
Attorney: Thomson, Robert
Source Name: Thomson, Robert (USA)
Complainant Name: XXXX
Allegation/Disposition Codes: A002 D13 -- Abuse of prosecutive or investigative authority (general). Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C06-0009-01
Date Opened: December 13, 2005
Date Closed: April 7, 2006
Subject Name: XXXX
Case/Subject No: C06-0012-01
Date Opened: January 11, 2006
Date Closed: May 10, 2006
Subject Name: UNIDENTIFIED DOJ ATTORNEYS, UNKNOWN LOCATION(S)
Subject Location: L000 -- Unknown.
Case Name: MULTIPLE CASES

Attorney: Meade, James A.; Kessler, Tamara J.
Source Name: VARIOUS DOJ OFFICES, INCLUDING OIG
Complainant Name: MULTIPLE MEMBERS OF CONGRESS
Allegation/Disposition Codes:
A600 D29 -- Wiretaps and electronic surveillance: improper or illegal (Title III). Closed administratively. Other. Specify.
A404 D29 -- Misrepresentation /Misleading the Court. Closed administratively. Other. Specify.

*********************************************************************

Case/Subject No: C05-0052-01
Date Opened: April 11, 2005
Date Closed: May 12, 2006
Subject Name: None
Subject Location: None
Case Name: None
Attorney: Leiner, Frederick C.
Source Name: None
Complainant Name: MULTIPLE MEMBERS OF CONGRESS
Allegation/Disposition Codes:
A600 D29 -- Wiretaps and electronic surveillance: improper or illegal (Title III). Closed administratively. Other. Specify.
A404 D29 -- Misrepresentation /Misleading the Court. Closed administratively. Other. Specify.

*********************************************************************
Allegation/Disposition Codes:
A537 D05 -- Unprof or unethical behavior: other (unspecific).

Case/Subject No: C04-0066-01
Date Opened: July 13, 2004
Date Closed: May 30, 2006
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Hardy, Ivn
Source Name: 
Complainant Name: U.S. ATTORNEY'S OFFICE

Allegation/Disposition Codes:
A420 D13 -- Unauthorized plea agreements. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A421 D13 -- Intentional Failure to comply with court order/other than lateness Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0079-01
Date Opened: August 2, 2005
Date Closed: May 30, 2006
Subject Name: 
Subject Location: 
Case Name: RE AUSA'S HANDLING OF MULTIPLE COURT CASES
Attorney: Meade, James A.
Source Name: 
Complainant Name: U.S. ATTORNEY'S OFFICE

Allegation/Disposition Codes:

Case/Subject No: C05-0065-01
Date Opened: June 9, 2005
Date Closed: June 1, 2006
Subject Name: 
Subject Location: Associate Attorney General's Office.
Case Name: U.S. v. PHILIP MORRIS, INC., ET AL. (civil case, USDC D.C.)
Attorney: Colby, Paul L.; Duncan, James G.; McCarty, Margaret S.
Source Name: IG GLENN A. FINE
Complainant Name: CONGRESSMEN HENRY WAXMAN and MARTIN MEEHAN; SENATORS EDWARD KENNEDY, FRANK LAUTENBERG, RICHARD DURBIN, ROY WYDEN, TOM HARKIN, and BILL NELSON

Allegation/Disposition Codes:
A002 D13 -- Abuse of prosecutive or investigative authority (general).
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A062 D13 -- Conflict: general, including appearance of conflict.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A341 D13 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

*********************************************************************
Case/Subject No: C05-0065-02
Date Opened: June 9, 2005
Date Closed: June 1, 2006
Subject Name: L018 -- Civil Division.
Case Name: U.S. v. PHILIP MORRIS, INC., ET AL. (civil case, USDC D.C.)
Attorney: Colby, Paul L.; Duncan, James G.; McCarty, Margaret S.
Source Name: INSPECTOR GENERAL GLENN A. FINE
Complainant Name: CONGRESSMEN HENRY WAXMAN and MARTIN MEEHAN; SENATORS EDWARD KENNEDY, FRANK LAUTENBERG, RICHARD DURBIN, ROY WYDEN, TOM HARKIN and BILL NELSON
Allegation/Disposition Codes:
A002 D13 -- Abuse of prosecutive or investigative authority (general). Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A341 D13 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

*********************************************************************
Case/Subject No: C05-0065-03
Date Opened: June 9, 2005
Date Closed: June 1, 2006

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User: Analyst

Date: November 26, 2007

Subject Name:

Subject Location: -- Civil Division.

Case Name: U.S. v. PHILIP MORRIS, INC., ET AL. (Civil case, USDC D.C.)

Attorney: Colby, Paul L.; Duncan, James G.; McCarty, Margaret S.

Source Name: INSPECTOR GENERAL GLENN A. FINE

Complainant Name: CONGRESSMEN HENRY WAXMAN and MARTIN MEEHAN; SENATORS EDWARD KENNEDY, FRANK LAUTENBERG, RICHARD DURBIN, ROY WYDEN, TOM HARKIN and BILL NELSON

Allegation/Disposition Codes:
A002 D13 -- Abuse of prosecutive or investigative authority (general).
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

A141 D13 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

********************************************************************************

Case/Subject No: C05-0056-01
Date Opened: May 20, 2005
Date Closed: June 19, 2006

Subject Name:

Subject Location: 

Case Name: 

Attorney: Wehner, Karen

Source Name: None

Complainant Name: 

Allegation/Disposition Codes:
A001 D15 -- Abuse of authority or misuse of official position. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

********************************************************************************

Case/Subject No: C04-0055-01
Date Opened: May 17, 2004
Date Closed: June 28, 2006

Subject Name:

Subject Location: 

Case Name: 

Attorney: Meade, James A.

Source Name: OPR (REVIEW OF DOJ CLIPS)

Complainant Name: 

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Allegation/Disposition Codes:
A406 D15 -- Discovery - Rule 16. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C04-0055-02
Date Opened: May 17, 2004
Date Closed: June 28, 2006
Subject Name:
Subject Location: 66 67C
Case Name:
Attorney: Meade, James A.
Source Name: OPR REVIEW OF DOJ NEWS CLIPS
Complainant Name: 66 67C

Allegation/Disposition Codes:
A406 D15 -- Discovery - Rule 16. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C04-0055-03
Date Opened: May 17, 2004
Date Closed: June 28, 2006
Subject Name:
Subject Location: 66 67C
Case Name:
Attorney: Meade, James A.
Source Name: OPR REVIEW OF DOJ CLIPS
Complainant Name: 66 67C

Allegation/Disposition Codes:
A410 D15 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C05-0021-01
Date Opened: December 6, 2004
Date Closed: June 28, 2006
Subject Name:
Subject Location: 66 67C
Case Name:
Attorney: Howard, Lisa G.
Source Name: OPR WESTLAW SEARCH
Complainant Name: 66 67C

Allegation/Disposition Codes:
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C05-0038-01
Date Opened: February 16, 2005
Date Closed: June 28, 2006
Subject Name:
Subject Location: 66 67C
Case Name:  
Attorney:  Howard, Lisa G.
Source Name:  

Complainant Name:  

Allegation/Disposition Codes:  
A406 D15 -- Discovery - Rule 16. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

*********************************************************************

Case/Subject No:  
Date Opened:  
Date Closed:  
Subject Name:  
Subject Location:  
Case Name:  
Attorney:  Howard, Lisa G.
Source Name:  

Complainant Name:  

Allegation/Disposition Codes:  
A406 D15 -- Discovery - Rule 16. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

*********************************************************************

Case/Subject No:  
Date Opened:  
Date Closed:  
Subject Name:  

Subject Location:  
Case Name:  
Attorney:  Ward, Barbara L.
Source Name:  

Complainant Name:  

Allegation/Disposition Codes:  
A404 D15 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

*********************************************************************

Case/Subject No:  
Date Opened:  
Date Closed:  
Subject Name:  

Subject Location:  
Case Name:  
Attorney:  Ward, Barbara L.
Source Name:  

Complainant Name:  

Allegation/Disposition Codes:  
A404 D15 -- Misrepresentation /Misleading the Court. Unsubstantiated.

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Allegation not sustained. Subject acted appropriately in all circumstances.

**Case/Subject No:** C06-0016-01
**Date Opened:** January 24, 2006
**Date Closed:** June 28, 2006
**Subject Name:**
**Subject Location:** b6 b7C
**Case Name:**
**Attorney:** Clarke, Nadira
**Source Name:** b6 b7C
**Complainant Name:**

**Allegation/Disposition Codes:**
A002 D01 -- Abuse of prosecutive or investigative authority (general).
   Substantiated - Intentional.
A404 D01 -- Misrepresentation /Misleading the Court. Substantiated - Intentional.
A341 D01 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Intentional.

**Case/Subject No:** C06-0010-01
**Date Opened:** December 15, 2005
**Date Closed:** June 29, 2006
**Subject Name:**
**Subject Location:** b6 b7C
**Case Name:**
**Attorney:** Ward, Barbara L.
**Source Name:** b6 b7C
**Complainant Name:**

**Allegation/Disposition Codes:**
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.

**Case/Subject No:** C06-0051-01
**Date Opened:** June 5, 2006
**Date Closed:** July 3, 2006
**Subject Name:**
**Subject Location:** b6 b7C
**Case Name:**
**Attorney:** Kessler, Tamara J.
**Source Name:** b6 b7C
**Complainant Name:**

**Allegation/Disposition Codes:**
A432 D39 -- Retaliation or reprisals. OPR Investigation completed. Retaliation found. Referred to OARM.

**Case/Subject No:** C05-0031-01
**Date Opened:** January 18, 2005
**Date Closed:** July 7, 2006
Case Name: C05-0031-02  
Date Opened: January 18, 2005  
Date Closed: July 7, 2006  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Brandon, Kathleen  
Source Name:  
Complainant Name: U.S. COURT OF APPEALS FOR THE  
Allegation/Disposition Codes:  
A002 D05 -- Abuse of prosecutive or investigative authority (general).  
A150 D09 -- Failure to honor plea agreement. Unsubstantiated.  
Allegation not sustained for Professional Misconduct (PM).  
*********************************************************************  
Case/Subject No: C06-0047-01  
Date Opened: May 10, 2006  
Date Closed: July 10, 2006  
Subject Name:  
Subject Location:  
Case Name:  
Attorney: Kessler, Tamara J.  
Source Name:  
Complainant Name:  
Allegation/Disposition Codes:  
A404 D05 -- Misrepresentation /Misleading the Court. Substantiated for Poor Judgment. Report of inquiry referred to management.  
Allegation not sustained for Poor Judgment or Professional Misconduct.  
*********************************************************************  
Case/Subject No: C05-0001-01  
Date Opened: October 7, 2004  
Date Closed: July 11, 2006  
Subject Name:  
Subject Location:  
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Case Name: U.S. COURT OF APPEALS FOR THE
Attorney: Kessler, Tamara J.
Source Name: OPR SEARCH OF WESTLAW
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.
A407 D13 -- Discovery - Brady Violation/Exculpatory Information. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0014-01
Date Opened: October 24, 2003
Date Closed: July 12, 2006
Subject Name: 
Subject Location:  
Case Name: 
Attorney: Kessler, Tamara J. (SELF-REPORTING)
Source Name: OPR WESTLAW SEARCH
Complainant Name: 
Allegation/Disposition Codes:
A421 D01 -- Intentional Failure to comply with court order/other than lateness Substantiated - Intentional.
A421 D01 -- Intentional Failure to comply with court order/other than lateness Substantiated - Intentional.
A421 D02 -- Intentional Failure to comply with court order/other than lateness Substantiated - Reckless Disregard.
A062 D13 -- Conflict: general, including appearance of conflict. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A341 D05 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated for Poor Judgment. Report of inquiry referred to management.

Case/Subject No: C05-0017-01
Date Opened: December 3, 2004
Date Closed: July 13, 2006
Subject Name: 
Subject Location:  
Case Name: 
Attorney: Thomson, Robert
Source Name: OPR WESTLAW SEARCH
Complainant Name: 
Allegation/Disposition Codes:

Case/Subject No: C05-0017-02
Date Opened: December 3, 2004
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<td>Thomson, Robert</td>
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<td>Attorney</td>
<td>Leiner, Frederick C.</td>
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<td>Allegation/Disposition Codes:</td>
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sustained. Subject made a mistake.
A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject made a mistake.
A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject made a mistake.
A410 D13 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

*********************************************************************
Case/Subject No: C06-0021-01
Date Opened: January 30, 2006
Date Closed: September 12, 2006
Subject Name:
Subject Location:
Case Name:
Attorney: Howard, Lisa G.
Source Name:
Complainant Name: U.S. COURT OF APPEALS
Allegation/Disposition Codes:
A410 D13 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
*********************************************************************
Case/Subject No: C06-0042-01
Date Opened: April 19, 2006
Date Closed: September 12, 2006
Subject Name:
Subject Location:
Case Name:
Attorney: Meade, James A.
Source Name: EOUSA
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A410 D15 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances
*********************************************************************
Case/Subject No: C05-0087-01
Date Opened: September 29, 2005
Date Closed: September 14, 2006
Subject Name:
Subject Location:
Case Name:
Attorney: Leiner, Frederick C.
Source Name: U.S. COURT OF APPEALS FOR THE
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.
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Case/Subject No: C06-0025-01
Date Opened: February 8, 2006
Date Closed: September 14, 2006
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<th>Attorney</th>
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Subject Location: 
Case Name: 

Attorney: Wehner, Karen 
Source Name: self-reporting, through supervisor chain of command 
Complainant Name: Appeals for the 

Allegation/Disposition Codes: 
A422 D15 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C04-0044-01
Date Opened: April 12, 2004
Date Closed: September 28, 2006
Subject Name: 
Subject Location: 
Case Name: MULTIPLE CASES
Attorney: Hardy, Lyn 
Source Name: None 
Complainant Name: (U.S. Attorney, 

Allegation/Disposition Codes: 
A342 D15 -- Intentional Failure to Perform Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances 
A340 D15 -- Negligence/dereliction/improper perf of duties (failure to perform). Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances 
A340 D15 -- Negligence/dereliction/improper perf of duties (failure to perform). Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances 
A342 D15 -- Intentional Failure to Perform Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances 
A342 D15 -- Intentional Failure to Perform Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances 
A342 D15 -- Intentional Failure to Perform Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances 
A342 D15 -- Intentional Failure to Perform Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances 
A342 D15 -- Intentional Failure to Perform Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances 
A340 D15 -- Negligence/dereliction/improper perf of duties (failure to perform). Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances 

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A422 D15 -- Lateness re Court Order. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

A422 D15 -- Intentional Failure to Perform Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

*********************************************************************

Case/Subject No: C04-0030-01
Date Opened: February 12, 2004
Date Closed: September 29, 2006
Subject Name:  
Subject Location:
Case Name:
Attorney: Hardy, Lyn; Fraase, Mark G.
Source Name: ASSOCIATE DAG DAVID MARGOLIS

Complainant Name:  

Allegation/Disposition Codes:
A431 D05 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated for Poor Judgment. Report of inquiry referred to management.
A404 D15 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

*********************************************************************

Case/Subject No: C04-0030-02
Date Opened: February 12, 2004
Date Closed: September 29, 2006
Subject Name:  
Subject Location:
Case Name:
Attorney: Hardy, Lyn; Fraase, Mark G.
Source Name: MARGOLIS, DAVID (ADAG)

Complainant Name:  

Allegation/Disposition Codes:
A420 D02 -- Unauthorized plea agreements. Substantiated - Reckless Disregard.
A431 D05 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Reckless Disregard.

*********************************************************************

Case/Subject No: C04-0030-03
Date Opened: February 12, 2004
Date Closed: September 29, 2006
Subject Name:  
Subject Location:
Case Name:
Attorney: Hardy, Lyn; Fraase, Mark G.
Source Name: MARGOLIS, DAVID (ADAG)
Complainant Name:  

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Allegation/Disposition Codes:
A341 D02 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated - Reckless Disregard.

Case/Subject No: C04-0030-04
Date Opened: February 12, 2004
Date Closed: September 29, 2006
Subject Name:
Subject Location:
Case Name:
Attorney: Hardy, Lyn; Fraase, Mark G.
Source Name: MARGOLIS, DAVID (ADAG) and OFFICE

Allegation/Disposition Codes:
A341 D13 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C04-0030-05
Date Opened: February 12, 2004
Date Closed: September 29, 2006
Subject Name:
Subject Location:
Case Name:
Attorney: Hardy, Lyn; Fraase, Mark G.
Source Name: ASSOCIATE DAG DAVID MARGOLIS

Complainant Name:

Allegation/Disposition Codes:
A420 D02 -- Unauthorized plea agreements. Substantiated - Reckless Disregard.

Case/Subject No: C04-0030-06
Date Opened: February 12, 2004
Date Closed: September 29, 2006
Subject Name:
Subject Location:
Case Name:
Attorney: Hardy, Lyn; Fraase, Mark G.
Source Name: ASSOCIATE DAG DAVID MARGOLIS

Complainant Name:
Judgment or Professional Misconduct.

Case/Subject No: C04-0030-07

Date Opened: February 12, 2004
Date Closed: September 29, 2006
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Hardy, Lyn; Fraase, Mark G.
Source Name: MARGOLIS, DAVID (ADAG) 
Complainant Name: 

Allegation/Disposition Codes:
A341 D13 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0054-01
Date Opened: April 22, 2005
Date Closed: September 29, 2006
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Hurlev, Neil
Source Name: 
Complainant Name: U.S. ATTORNEY'S OFFICE, 

Allegation/Disposition Codes:
A542 D01 -- Failure to comply with DOJ Rules and Regulations. Substantiated - Intentional.
A542 D02 -- Failure to comply with DOJ Rules and Regulations. Substantiated - Reckless Disregard.
A535 D14 -- Unauthorized disclosure (non-media): other (including Priv Act violations and Unsubstantiated. Allegation not sustained. Subject made a mistake.
A460 D13 -- Searches: improper or illegal. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Case/Subject No: C05-0054-02
Date Opened: April 22, 2005
Date Closed: September 29, 2006
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Hurlev, Neil
Source Name: 
Complainant Name: U.S. ATTORNEY'S OFFICE, 

Allegation/Disposition Codes:
A460 D13 -- Searches: improper or illegal. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

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<td>Attorney:</td>
<td>Wahowiak, Marlene M.</td>
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Allegation/Disposition Codes:
A404 D05 -- Misrepresentation/Misleading the Court. Substantiated for Poor Judgment. Report of inquiry referred to management.

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<td>Attorney:</td>
<td>Kessler, Tamara J.</td>
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<td>Source Name:</td>
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Complainant Name: [Redacted]

Allegation/Disposition Codes:
A407 D13 -- Discovery - Brady Violation/Exculpatory Information. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

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<td>Attorney:</td>
<td>Leiner, Frederick C.</td>
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Complainant Name: U.S. COURT OF APPEALS FOR [Redacted]

Allegation/Disposition Codes:
Case Name: U.S. COURT OF APPEALS FOR THE 9th Circuit
Attorney: Leiner, Frederick C.
Source Name: 9th Circuit
Complainant Name: 

Allegation/Disposition Codes:
A407 D15 -- Discovery - Brady Violation/Exculpatory Information. Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C06-0065-01
Date Opened: July 16, 2006
Date Closed: November 6, 2006
Subject Name:
Subject Location: 

Case/Subject No: C05-0068-01
Date Opened: July 8, 2005
Date Closed: November 7, 2006
Subject Name:
Subject Location: 

Case/Subject No: C06-0080-01
Date Opened: September 30, 2006
Date Closed: November 8, 2006
Subject Name:
Subject Location: 

Complainant Name: U.S. COURT OF APPEALS FOR THE 9th Circuit
Attorney: Leiner, Frederick C.
Source Name: 9th Circuit
Complainant Name: U.S. COURT OF APPEALS FOR THE 9th Circuit
Attorney: Leiner, Frederick C.
Source Name: 9th Circuit
Complainant Name: U.S. COURT OF APPEALS FOR THE 9th Circuit
Attorney: Leiner, Frederick C.
Source Name: 9th Circuit
Complainant Name: U.S. COURT OF APPEALS FOR THE 9th Circuit
Attorney: Leiner, Frederick C.
Source Name: 9th Circuit

Allegation/Disposition Codes:
A410 D13 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
A411 D14 -- Improper Examination of a Witness. Unsubstantiated. Allegation not sustained. Subject made a mistake.

Allegation/Disposition Codes:
A412 D15 -- Improper Coercion/Intimidation of a Witness.
Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances

Case/Subject No: C07-0002-01
Date Opened: October 5, 2006
Date Closed: November 14, 2006
Subject Name:
Subject Location: 
Case Name:
Attorney: Wehner, Karen
Source Name: OPR LEGAL RESEARCH IN THE COURSE OF ANOTHER INVESTIGATION
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A410 D25 -- Improper Closing Argument. Closed administratively. No merit to alleg. Improvidently opened. Number as Inquiry or Correspondence.
A411 D25 -- Improper Examination of a Witness. Closed administratively. No merit to alleg. Improvidently opened. Number as Inquiry or Correspondence.

Case/Subject No: C07-0013-01
Date Opened: November 1, 2006
Date Closed: November 15, 2006
Subject Name:
Subject Location: 
Case Name: None
Attorney: Colby, Paul L.
Source Name: None
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A535 D05 -- Unauthorized disclosure (non-media): other (including Priv Act violations and Substantiated for Poor Judgment. Report of inquiry referred to management.

Case/Subject No: C05-0041-01
Date Opened: February 22, 2005
Date Closed: November 28, 2006
Subject Name:
Subject Location:
Case Name: McCarty, Margaret S.
Attorney: OPR WESTLAW SEARCH
Source Name: OPR WESTLAW SEARCH
Complainant Name: U.S. COURT OF APPEALS FOR THE
Allegation/Disposition Codes:
A410 D02 -- Improper Closing Argument. Substantiated - Reckless Disregard.
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.

Case/Subject No: C05-0046-01

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Date Opened: February 28, 2005  
Date Closed: November 28, 2006  

Case/Subject No: C06-0034-01  
Date Opened: April 17, 2006  
Date Closed: November 28, 2006  

Case/Subject No: C06-0038-01  
Date Opened: April 17, 2006  
Date Closed: December 19, 2006  

Allegation/Disposition Codes:  
A410 D02 -- Improper Closing Argument. Substantiated - Reckless Disregard.  
A410 D14 -- Improper Closing Argument. Unsubstantiated. Allegation not sustained. Subject made a mistake.

Allegation/Disposition Codes:  
Case/Subject No: C06-0005-01
Date Opened: November 9, 2005
Date Closed: December 22, 2006

Subject Name:
Subject Location:
Case Name:
Attorney: Fraase, Mark G.
Source Name: OPR WESTLAW SEARCH
Complainant Name:
Allegation/Disposition Codes:
A407 D15 Discovery - Brady Violation/Exculpatory Information.
Unsubstantiated. Allegation not sustained. Subject acted appropriately in all circumstances.

Allegation/Disposition Codes:
A411 D13 -- Improper Examination of a Witness. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
Allegation/Disposition Codes:
A421 D13 -- Failure to comply with court order (other than lateness) or federal rule. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

Allegation/Disposition Codes:
A002 D00 Abuse of prosecutive or investigative authority (general).

Case/Subject No: C05-0043-02
Date Opened: February 22, 2005
Date Closed: January 9, 2007
Subject Name: Thomson, Robert
Subject Location: 
Case Name: 
Attorney: 
Source Name: 
Complainant Name: 

Allegation/Disposition Codes: 
A002 D00 Abuse of prosecutive or investigative authority (general).

Case/Subject No: C06-0002-01
Date Opened: October 6, 2005
Date Closed: January 9, 2007
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Kessler, Tamara J.
Source Name: OPR WESTLAW SEARCH
Complainant Name: U.S. COURT OF APPEALS FOR THE 
Allegation/Disposition Codes: 
A001 D02 Abuse of authority or misuse of official position. 
Substantiated - Reckless Disregard.

Case/Subject No: C06-0019-01
Date Opened: January 31, 2006
Date Closed: January 9, 2007
Subject Name: 
Subject Location: 
Case Name: 
Attorney: Kessler, Tamara J.
Source Name: FOUND BY OPR WESTLAW SEARCH
Complainant Name: U.S. COURT OF APPEALS FOR THE 
Allegation/Disposition Codes: 
A001 D02 Abuse of authority or misuse of official position. 
Substantiated - Reckless Disregard.

Case/Subject No: C06-0045-01
Date Opened: May 10, 2006
Date Closed: January 9, 2007
Subject Name: 
Subject Location: 

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Case Name:  
Attorney:  Kessler, Tamara J.  
Source Name:  
Complainant Name:  U.S. COURT OF APPEALS FOR THE 
Allegation/Disposition Codes: 
A001 D02 -- Abuse of authority or misuse of official position. 
Substantiated - Reckless Disregard.  

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Case Name:  
Attorney:  Kessler, Tamara J.  
Source Name:  
Complainant Name:  U.S. COURT OF APPEALS FOR THE 
Allegation/Disposition Codes: 
A001 D02 -- Abuse of authority or misuse of official position. 
Substantiated - Reckless Disregard.  

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Allegation/Disposition Codes: 
A002 D13 -- Abuse of prosecutive or investigative authority (general). 
Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.  

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Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

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Allegation/Disposition Codes:
- A341 D05 -- Failure to Diligently Represent the Interest of the Client (Model Rule 1.3) Substantiated for Poor Judgment. Report of inquiry referred to management.
- A001 D05 -- Abuse of authority or misuse of official position. Substantiated for Poor Judgment. Report of inquiry referred to management.
- A404 D05 -- Misrepresentation /Misleading the Court. Substantiated for Poor Judgment. Report of inquiry referred to management.
- A001 D13 -- Abuse of authority or misuse of official position. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.
- A404 D13 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained for Poor Judgment or Professional Misconduct.

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<td>April 19, 2006</td>
</tr>
<tr>
<td>Date Closed:</td>
<td>January 11, 2007</td>
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<tr>
<td>Subject Name:</td>
<td>Clarke, Nadira</td>
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<td>Source Name:</td>
<td>MANAGEMENT OF THE U.S. ATTORNEY'S OFFICE</td>
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<tr>
<td>Complainant Name:</td>
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Allegation/Disposition Codes:
User: Analyst Date: November 26, 2006

Attorney: Howard, Lisa G.
Source Name: Complainant Name: 

Allegation/Disposition Codes:
A404 D14 -- Misrepresentation /Misleading the Court. Unsubstantiated. Allegation not sustained. Subject made a mistake.

*********************************************************************
Case/Subject No: C05-0060-01
Date Opened: June 1, 2005
Date Closed: January 12, 2007
Subject Name: 
Subject Location: 

Case Name: MULTIPLE CASES

Attorney: Brandon, Kathleen
Source Name: Complainant Name: THREE U.S. DISTRICT JUDGES, IN THREE CASES

Allegation/Disposition Codes:
A633 D14 -- Speedy Trial Act violation Unsubstantiated. Allegation not sustained. Subject made a mistake.

*********************************************************************
Case/Subject No: C06-0071-01
Date Opened: August 11, 2006
Date Closed: January 23, 2007
Subject Name: 
Subject Location: 

Case Name: MULTIPLE CASES

Attorney: Hurley, Neil
Source Name: Complainant Name: ANONYMOUS FEDERAL LAW ENFORCEMENT OFFICIAL

Allegation/Disposition Codes:
A002 D05 -- Abuse of prosecutive or investigative authority (general). Substantiated for Poor Judgment. Report of inquiry referred to management.

*********************************************************************
Case/Subject No: C06-0036-01
Date Opened: April 18, 2006
Date Closed: January 24, 2007
Subject Name: 
Subject Location: 

Case Name: 
Attorney: Hardy, Lyn
Source Name: Complainant Name: U.S. DISTRICT COURT

Allegation/Disposition Codes:

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<th>Date: November 26, 2007</th>
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<td>Attorney:</td>
<td>Ward, Barbara L.</td>
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<td>A402 D00 -- Prosecutorial Misconduct (General - OPR atty/pls provide specific code).</td>
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