

Assassination Records Review Board

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After consultation with appropriate Federal agencies, the Review Board determined that the attached record from the House Select Committee on Assassinations may now be opened in full -- as referenced in the Federal Register notice for the Board's September 27, 1996 meeting.

JFK ASSASSINATION SYSTEM
IDENTIFICATION FORM

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Box 10.

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HEARINGS

Before The

SELECT COMMITTEE ON ASSASSINATIONS

HOUSE OF REPRESENTATIVES

DEPOSITION OF WILLIAM F. LARSON

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House of Representatives,
Select Committee on Assassinations,
Washington, D. C.
Tuesday, June 27, 1978

Deposition of

WILLIAM F. LARSON

called for examination by counsel for the committee in the offices of the Select Committee on Assassinations, Second and D Streets, S. W., Washington, D. C., beginning at two o'clock p.m., before Annabelle Short, a Notary Public in and for the District of Columbia, when were present on behalf of the respective parties:

For the Select Committee on Assassinations:

Michael Goldsmith, Staff Attorney
Betsy Wolf, Researcher

William F. Larson, Witness



P R O C E E D I N G S

1
2 Mr. Goldsmith. Would you swear the witness.

3 Whereupon,

4 WILLIAM F. LARSON

5 was called for examination by counsel for the committee and,
6 having been first duly sworn by the Notary Public, was exam-
7 ined and testified as follows:

DIRECT EXAMINATION

8 By Mr. Goldsmith:

9
10 Q Would you state your name and occupation for the
11 record?

12 A My name is William F. Larson and I am Chief of the
13 Information Management Staff, DDO, CIA.

14 Q Mr. Larson, my name is Michael Goldsmith and
15 pursuant to House Resolution 222 and Committee Rule 4 I am
16 designated counsel for the Select Committee on Assassinations
17 to take your statement under oath for the purpose of this
18 meeting today for us to take this deposition.

19 Mr. Larson, are you here voluntarily today?

20 A I am.

21 Q And you are not here under subpoena, are you?

22 A I am not.

23 Q Do you understand that you have the right to have
24 counsel present?

25 A I do.

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Q Do you waive that right?

A I do.

Q Have you received a copy of the Committee Rules and the Resolutions in support of the rules?

A I have.

Q And have you read Rule 4?

A I have.

Q Do you understand Rule 4?

A I think so.

Q Mr. Larson, the entire record of this deposition will be transcribed and you will be given an opportunity to review it for accuracy. The court reporter will be asked to certify that the transcript prepared by her is accurate and true.

Now the committee's rules normally provide for a witness to obtain a copy of the transcript but by virtue of the arrangement which the committee has worked out with the CIA, the agency has asked us to request of present and former CIA employees that they waive their right actually to receive a transcript. The reason for that is because the transcript makes reference to classified information and classified documents, so rather than releasing the transcript from the committee's classified files and putting it in the mail or giving it to the witness, we would simply ask the witness to waive the right to receive the transcript and to rely



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1 exclusively on the right to review it for accuracy. Are you
2 willing to do that arrangement?

3 A I understand that and agree to that.

4 Q All right. Have you had a chance to read the letter
5 dated March 23, 1978, from Mr. Carlucci to the Chairman of
6 this committee?

7 A I have.

8 Q Do you understand that letter?

9 A I think I do.

10 Q Fine. How many years have you been working with
11 the CIA?

12 A Well, about twenty-four years.

13 Q And you are presently head of the Information
14 Services?

15 A Information Management Staff.

16 Q Information Management Staff.

17 A Of the Director of Operations.

18 Q How long have you been in that capacity?

19 A About fifteen months.

20 Q What did you do immediately prior to that position?

21 A At that time I was Deputy Chief of what was called
22 Division D which was concerned with COMINT.

23 Q Was your previous responsibility in any way
24 connected to the records keeping of that agency?

25 A It was not.



1 Q What is your primary responsibility today?

2 A To oversee the information management processes of
3 the DO, the Director of Operations.

4 Q Are you familiar with the concept of a 201 File?

5 A I am.

6 Q Would you tell us what a 201 File is?

7 A It is a folder or dossier with a number which is
8 described as the 201 number in which information about a
9 particular individual is collated.

10 Q Generally what would be the criteria which would
11 govern the opening of the 201 File?

12 A Well, there would be several. If there was an
13 individual in whom an operational element of the Director of
14 Operations had an interest, an operational interest, a target,
15 they would open the 201 File. If there was an individual in
16 which there was a counterintelligence interest, it is very
17 likely that the 201 File would be opened. There are some
18 automatic procedures that are followed. In the course of
19 running a trace, if more than five documents or five refer-
20 ences to an individual are found, it is possible that a 201
21 File would be opened.

22 Q Are these general criteria that you have just
23 referred to the same as the general criteria that were in
24 effect in 1959?

25 A I would assume so but I cannot state that as a

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matter of fact.

Q Are there regulations governing the opening of a 201 File?

A There is a handbook that is referred to as the DO handbook that proscribes regulations for opening 201 Files, guidelines. I would say it was a guideline for opening 201 Files.

Q Do you know how often those guidelines are modified?

A It is not on a regular schedule but every several years they are updated.

Q How does a 201 File actually get opened?

A Well, there are a number of ways. A case officer or analyst working on a desk -- this is one of the operational desks -- will pull together a certain amount of material pertaining to an individual and want to systematize that, collect it all in one place, so they will open up a 201 File.

It may happen as a result of a case officer in the field through a station indicating that this individual that we are reporting on in a particular piece of correspondence, we are going to have more information or expect to have more information about him and please open the 201 File.

It may result, as I started to say earlier, as the result of our conducting a trace on an individual and as we conduct that trace more than five documents are found on that individual and so we don't want to have to do it again, and



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1 so automatically the analyst conducting the trace may -- and
2 I underline the word may -- pull together that material and
3 open the 201 File.

4 I might add one other category. There are certain areas
5 where we will open 201 Files. For example, some divisions
6 want 201 Files to be automatically opened on certain cate-
7 gories of people or let's say intelligence officers of a
8 foreign power and they will automatically ask IMS and the
9 desk here at headquarters as a mutual thing to open a 201
10 File. So we may open files on the presence of all nationali-
11 ties serving abroad in a certain country. There are other
12 things like that that have occurred over the years.

13 Q Generally, aside from the cases where the opening
14 of a file is automatic either by virtue of the provisions set
15 forth in the handbook or by virtue of the particular desire
16 of one of the divisions or desks that you just referred to,
17 is the opening of a file generally discretionary?

18 A Yes.

19 Q Once a CIA employee decides to open up a file, how
20 long does it take for the file actually to be established?

21 A Well, they fill out a form, I think it is Form 831,
22 which requests the people in IMS to open up the file and
23 depending on the backlogs that may exist at any particular
24 time I would say that they could have a 201 number issued to
25 them if they were in a hurry within a matter of hours so in

1 fact the file is opened then but if you are really talking
2 about having it organized, bound, placed in the proper order
3 and so forth, it may take a few weeks before it actually
4 exists as a dossier.

5 Q So in the ordinary course of business it could take
6 anywhere from several hours if it is a very high priority case
7 to as long as several weeks, two to four weeks, depending on
8 the backlog, is that correct?

9 A That is correct.

10 Now in that regard I would like to comment that very
11 often in our business we refer to individuals by 201 number
12 and so in order to carry on a dialogue without having to
13 repeat the number over and over again we will issue a number
14 very quickly so that that dialogue can be carried on with the
15 field and that process can take place in just a couple of
16 hours.

17 Q Once a 201 File has been established, how many
18 copies of it are in existence, if any?

19 A The register 201 File, there is only one of those.
20 That is the one that keeps the original documents in it and
21 has cross referenced into it references to the originals that
22 may be elsewhere. Now there may be a soft file, a working
23 file, that has material that is in the process of moving into
24 the 201 file. A person may have pulled together newspaper
25 clippings or other types of information that are kept in a

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1 soft file and are not yet in a 201 file at any particular
2 moment. It is a dynamic situation.

3 Q Aside from an occasional soft file which may have
4 duplicative materials in it, are there any officially recog-
5 nized copies of a 201 file?

6 A Other than the one original one?

7 Q Yes.

8 A No.

9 Q So there would not be, for example, a duplicate
10 file containing copies of each copy of it in the original
11 201 File?

12 A Not that is recognized by the system, no. The
13 system recognizes one 201 File.

14 Q Would any employees from the Office of Security
15 ever have occasion to open a 201 File?

16 A Not in the Directorate of Operations, no.

17 Q Is the Office of Security divided in the manner --?

18 A The Office of Security is not part of the Directorate
19 of Operations.

20 Q So the answer to the question posed then would be
21 Office of Security personnel would not be opening up 201
22 Files?

23 A That is correct.

24 Q If the Office of Security came across information
25 related to an individual of a derogatory nature or which



1 indicated that the individual was either of potential
 2 intelligence significance or counterintelligence significance,
 3 would the Office of Security pass that information along to
 4 DDO?

5 A They might. Now if they did, and if -- this is an
 6 independent judgment from that that is made in the Office of
 7 Security -- but if the CI staff or whatever it happened to be
 8 that received that information thought that there was a lead
 9 to be followed up, be that an obsolete or a counterintelli-
 10 gence lead, and there was sufficient material that it should
 11 be collated in one place, yes, they very likely would open
 12 the 201 File.

13 Q Do you know as a matter of standard operating
 14 procedure the Security Office would be requested to pass that
 15 to elements in DDO for the purpose of opening up a 201 File?

16 A Not for the purpose of opening up a 201 File. I
 17 know of no dialogue that takes place for the purpose of
 18 opening up a 201 File.

19 Q Without placing the emphasis then on the word
 20 "purpose," does the Office of Security as a matter of routine
 21 procedure contact elements in DDO to pass on information of
 22 intelligence significance or counterintelligence significance?

23 A They have never been in contact with me on such
 24 matters but I have reason to believe that they have an active
 25 dialogue with the counterintelligence staff.

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1 Q Is there a liaison between the Office of Security
2 and DDO?

3 A Yes, through a number of channels.

4 Q What are those channels?

5 A Well, a number of elements throughout the DDO have
6 security officers assigned to them and they support us on
7 routine security matters, security violations -- leaving a
8 safe open, things of that sort. So a channel does exist to
9 carry on a dialogue with the Office of Security.

10 Q And it would be this channel that you are referring
11 to which might pass on that type of information that I have
12 been referring to?

13 A They might but it would not normally take place with
14 an element such as the Information Management Staff nor would
15 I expect that it would take place with other elements that I
16 have been associated with in the past but if there was some-
17 thing that come to the attention of someone in the Office of
18 Security that was in counterintelligence's interest in their
19 eyes to the DDO or of an obsolete nature to the DDO, yes, they
20 would very likely provide it to an element within the DDO and
21 probably through the CIA staff.

22 Q Mr. Larson, I want you to understand that I know you
23 do not have personal direct information on some of the ques-
24 tions that I have been asking you and probably will continue
25 to ask you in the afternoon. However, the questions need to



1 be asked and the likelihood is that I am going into detail
2 because I am considering whom else in the agency to consider
3 meeting with for the purpose of resolving some of these
4 questions.

5 In the case of an American citizen who defects to another
6 country, an eastern bloc country, would a 201 File normally be
7 opened?

8 A Very likely one would be opened.

9 Q How soon after the fact that the defection came to
10 the attention of the agency could one expect the file to be
11 opened?

12 A Well, you have to bear in mind that the 201 File is
13 driven by the existence of paper and if there soon was an
14 accumulation of paper about this individual, it might start
15 with a newspaper article and then reported from some place in
16 the field, as soon as that started to accumulate or if there
17 was a request from some place else in the community -- Do you
18 know anything about this individual? Collate everything you
19 can. Any one of those things could stimulate the opening of
20 such a file and I would say that one could be opened again
21 any place from a few hours to a few weeks after the discovery
22 that a defection had taken place.

23 Q When a 201 file is opened, is it opened under the
24 individual's true name or a pseudonym?

25 A As a general rule under his true name.

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1 Q Are there circumstances when it might be opened
2 up under a pseudonym?

3 A There may be. If we discover them from the stand-
4 point of Information Management Staff, we will challenge them
5 but as a general rule they are opened under the true name.

6 Q So that no one would have authorization to open up
7 a 201 File under a pseudonym, is that a fair statement?

8 A Well, it is not a case of authorization. The
9 system won't work and serve your purpose if you put it in
10 there in a pseudonym. You see, one of the reasons for having
11 the system is that if somebody else makes an inquiry about
12 your individual, it will be signaled to you and if you have
13 the name in there as an alias and somebody else makes an
14 inquiry about him, you will never know about it. Do you
15 follow me?

16 Q Yes. Even if the alias or a pseudonym has been
17 assigned by the agency to the individual, it would still not
18 be customary to open up a 201 File under a pseudonym?

19 A It may happen occasionally but it would not be
20 customary.

21 Q And if that came to your attention, you say you
22 would challenge it?

23 A We would challenge it and discuss it, yes, because
24 the system would not work right.

25 Q Are you aware of any cases where a file was opened



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1 under a pseudonym?

2 A Not specifically, no, I am not.

3 Q If a person is working for the agency in some
4 capacity, would that fact be indicated in a 201 File?

5 A Generally there are 201 Files on agents. I mean
6 by that field agents. Generally there are 201 Files on
7 trusted contacts, sources as we call them, but we generally
8 do not have 201 Files on staff employees, staff agents and
9 this category of people. Now when you get into the so-called
10 contract category, there may be some people that have a file
11 on them and some that do not, it depends on whether it was a
12 field contract, and a debate breaks out over that from time
13 to time.

14 Q If there was a field contract, would there be a
15 201 File?

16 A Very likely would be, yes. Yes, very likely a
17 field contract.

18 Q And in the case where you have an agent, a source
19 or a field contractor, would the fact of that relationship
20 with the agency be indicated in the 201 File?

21 A I would expect it to be.

22 Q So that if Mr. X is an agent of the CIA and I were
23 to examine his 201 File, there would be an indication of his
24 agency connection with the CIA?

25 A I would expect there to be.

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Q In what form would that indication be?

A Well, there are a number of documents that you might expect in there, what we call a PRQ which outlines the biographic data pertaining to you, and if there was a field contract relationship with you I would expect to find that specifying an amount of money that might be paid or a WAE when you are working or a spot payment arrangement. If you were a safe housekeeper and you were keeping a house somewhere in our behalf, that would be recorded, the function you were performing. These things would sort of all be reflected in the file.

Q And how is this information withheld from other individuals?

A By compartmentation. 201 Files are, by request of the action element, restricted to them. Basically 201 Files will break down, answering your question, three ways: Those that are held right at the desk and they will add to the 201 File. After that they are totally compartmented because it is locked up in their safes. We know it exists but it is in their safes.

Those 201 Files which are sealed and returned to IMS, my staff, and we keep them on the shelf and it is just for a matter of convenience. They are sealed down there and nobody can get into them because they are restricted to a particular desk and if somebody needs that 201 File we must clear it



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with that particular desk to issue it.

Then those which are open on the shelf in the Information Management Staff.

So the compartmented ones are the first two categories I described.

Q Now you indicated before that generally there would not be a 201 File on a CIA employee.

A That is right.

Q Are there exceptions to that rule?

A Well, occasionally errors are made. Occasionally a person may have served as a staff agent or had some other relationship with the agency as a field agent, maybe as a student abroad at some time, and a file will have been opened on him when he was in that status. Then years later maybe he seeks employment with the agency or because of his experience in the field is recommended for employment and is picked up and there will be this residue file that exists.

Q Would that be the only type of exception to the general rule that you mentioned before?

A Except that there are errors occasionally. I will admit that we are not perfect and there could be errors.

Q Will the 201 File contain operational information?

A Some of them do, yes, but as a general rule we attempt to separate the operational reporting from the collection of data in the 201 File.

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1 Q So that generally the 201 File would contain
2 biographical information?

3 A That is true.

4 Q Not operational information?

5 A That is true. However, we have a desks that tend
6 to operate out of their 201 Files so there are 201 Files that
7 you will find with operational material in them.

8 Q Do you know whether any of the desks in the Soviet
9 Russia unit or in any of the western hemisphere units operate
10 out of the 201 File?

11 A Yes, some of them do.

12 Q Do you know whether the Mexico City desk operates
13 in that manner?

14 A I don't know.

15 Q In those cases where the operational information is
16 not included in the 201 File, where is it stored?

17 A There are separate operational files which are
18 numbered and in the system.

19 Q So it would be a project file?

20 A A project file, yes. It could be called a project
21 file, that is right.

22 Q What else might it be if it were not a project file?

23 A Well, there are files which reflect the positive
24 intelligence reporting from a source and there may be some
25 operational information there. There are files that may



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1 reflect any particular financial arrangements if they are
2 special financial arrangements and there may be something
3 reflected in that file.

4 Then there is the ops file and the so-called project
5 file. When you talk about the project file you are talking
6 about a more formal document frequently used at headquarters
7 for the approving of certain types of activity and we refer
8 to that as the project or the op act.

9 Q What is the difference between a project file and
10 an ops file?

11 A Well, the project file is a more formal document
12 that has probably several signatures on it approving the
13 activity that you are about and it probably is because there
14 is a sum of money or some other phase of the activity involved
15 in that operation that has to be approved up to the hierarchy
16 and some other regulation proscribes that this approval
17 authority has to be gone through so a project is formed or
18 written or an op act is written and signed off up through
19 the hierarchy and there are certain levels with regard to the
20 amount of money that had to be signed off and so forth and
21 this will be a formal document, project action, op action.

22 Now that is separate from an ops file which is more
23 likely to contain the dialogue of what went on in this
24 meeting and our guidance going back to the field on what you
25 do at the next meeting and then what went on in that meeting,

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1 a back and forth dialogue in the ops file and then here and
2 there a reflection of the reporting that grew out of that
3 meeting and that will generally be split out and be in a
4 folder next to that which is the reporting file which leads
5 to the product.

6 Q That reporting file would be part of the ops file?

7 A It is usually adjacent to it in the filing system,
8 yes.

9 Q So generally the project file would not be used for
10 the purpose of storing the bulk of the operational information?

11 A No. Generally that is the paper used to get approval
12 for whatever you are undertaking.

13 Now you should understand all these things shade into
14 each other and just like you can't be precise about the
15 opening of a 201 file, it is discretionary. Some of these
16 other files don't exist with regard to some operations.

17 Q How would an ops file be filed? In other words,
18 how would it be located if someone wanted to get access to it?

19 A Well, there is a number in the system for the ops
20 file just like the 201 file. If you have an approved opera-
21 tion or an approved -- if you set it up like the system
22 proscribes, you will get an ops number, a file that we can
23 search for in the system just like you can search for the
24 201 Files.

25 Q Was a number assigned to the ops filing the same as

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1 the number assigned to the project file?

2 A Yes, very likely. Not always be but generally the
3 system is designed that they would be related to each other
4 although we could not find anything, in other words.

5 Q In order to get access to an ops file or a project
6 file, would you have to know either the name of the operation
7 or project or the file number?

8 A Those two elements would help a great deal. How-
9 ever, you probably can get at it because in the 201 File it
10 would probably reflect that the ops reporting for this oper-
11 ation is in and then there would be a number.

12 Q If the Director of the Central Intelligence Agency
13 wanted to determine what operations a particular agent had
14 been involved in --

15 A What do you mean by agent?

16 Q A field agent of the CIA.

17 If the Director wanted to get a list of all the opera-
18 tions that the individual had been involved in, what would
19 be the way that he would go about doing it?

20 A It would be very difficult. I would pull that
21 agent's file, let's say a 201 File, and from that attempt to
22 determine where he was working in our behalf and then any
23 reflections of certain types of activities that he carried
24 out I would look for the op act files that would support that
25 type of activity.

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For example, if you are talking about a field agent who had been responsible for surveillance teams that we might have in a particular country and he was the chief of those surveillance teams, there would probably be some reflection in his 201 File of the functions that he performed in our behalf. Now there probably somewhere is an ops file describing the activities of that surveillance team and so with a particular station in mind we would look for that ops file and perhaps out of that would discover other personalities associated with the surveillance team and that would lead us to other 201s and we would package it together.

Now over time if the man moved on from surveillance activities to some other activities on behalf of that station, if he became an access agent directed against the particular target and we see a reflection of that, then we go and look for that file to see if in fact he gained access to that target. These are just examples; it is a complicated process.

Q So there would not, for example, simply be a list which would include every operational activity that the particular agent had been involved in?

A I find it unlikely. We would have to construct it and it would be a very painstaking process.

Q Incidentally, although you indicated earlier that you have been working in your present capacity just for the past fifteen months, for how many years have you been working



1 with or exposed to the 201 files?

2 A Probably since the mid 1950s.

3 Q During that time have you had contact of some kind
4 with -- is it fair to say thousands of files?

5 A Hundreds.

6 Q Once the 201 File has been established, will it
7 contain all of the documents pertaining to an individual?

8 A That is the objective. That is the objective. Now
9 it may not be perfect but that is what we strive for.

10 Q Are documents ever removed from a 201 File?

11 A Periodically if a desk is doing its job well, it
12 will review its 201 Files and remove the accumulation of
13 things that are no longer germane that collect in them.

14 Q Is that the concept of purging?

15 A That is correct.

16 Q We will get into that a bit more later on.

17 When a 201 File is established, as a matter of routine
18 are any documents that the Office of Security has on an
19 individual consolidated into the 201 File?

20 A Not as a matter of routine, no. Now there may be
21 information that is channeled to us through the Office of
22 Security that we will include in a 201 File but I would not
23 want to assume it as a matter of routine. In fact, most 201
24 Files the Office of Security by its very nature has nothing
25 to report to us because most of them have to do with people

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1 who are abroad and who are not Americans and the primary
 2 focus of the Office of Security is on the security of our
 3 installation and our people. The DO is a foreign intelligence/
 4 counterintelligence operation that works overseas so most of
 5 the documents that we flow into a 201 File would not have
 6 anything to do with the Office of Security so I cannot say
 7 as a matter of routine that when you open a file there would
 8 be something in there from the Office of Security, no.

9 Q As a matter of routine when a 201 File is open,
 10 would the Office of Security be notified?

11 A In the process of receiving a preliminary ops
 12 approval or an ops approval there is a process that we go
 13 through that requires a check throughout the intelligence
 14 community to see if there is any information on a particular
 15 individual in some other organization and some of those
 16 channels flow or have flowed in the past through the Office
 17 of Security and you might have in that channel information
 18 come and be put in the file, yes.

19 Q But other than that, would the Office of Security
 20 be notified? For example, you have just given examples of
 21 cases where someone was being considered for recruitment as
 22 an agent or as a source perhaps so the Office of Security
 23 would be contacted to insure that there was no derogatory
 24 information on that person in the Office of Security files?

25 A Yes.



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1 Q What about when someone is a counterintelligence
2 threat, would the Office of Security be notified that a 201
3 File is being opened?

4 A If that threat was in some way to the CIA, yes, they
5 would probably suspect that a 201 File was being opened but
6 the 201 File does not drive the system, the 201 File is sort
7 of the result of an accumulation of paper and, yes, they might
8 know it was opened. They might assume it was opened but I
9 don't think there is a dialogue that takes place with anybody
10 over there that says "Let's open a 201 File" except on a rare
11 occasion maybe.

12 Q Prior to the opening of the 201 file when the
13 individual doing research on the subject of a potential 201
14 File does a document trace in your system, would that document
15 trace make any reference to materials in the Office of
16 Security?

17 A I am thinking through the process.
18 There might be something that we would find that would
19 indicate that we should include the Office of Security in our
20 query, yes. That might happen in a few cases but that would
21 not be the general rule that we would run a trace through our
22 indices.

23 Q When you run a trace through your indices, the
24 resulting printout from that trace, would that printout
25 include a list of all the documents pertaining to the



1 individual involved?

2 A Hopefully, yes, but only within the DO. You see,
3 we do not provide a service to the other directorates.

4 Q Fine. That was the distinction I was getting at.

5 So if the system is working well, it would refer to all
6 documents pertaining to this individual within the DO?

7 A That is right. Now there might be an occasion when
8 one of those documents would have a reflection in it of some-
9 thing in the Office of Security and signal us in that direc-
10 tion or there may have been an error sometime over the years
11 when an Office of Security document got put in the system.
12 That is what I would allow for here.

13 Q I understand.

14 Do you know whether the Office of Security has a covert
15 security division or a covert security unit?

16 A I don't know.

17 Q Do you know what the term P and L means?

18 A Yes.

19 Q What does it mean?

20 A Proscribed and Limited.

21 Q Would you define that concept?

22 A It is a compartmentation concept, it is designed
23 to limit the distribution of certain material. We have levels
24 of compartmentation, and something that is Proscribed and
25 Limited indicates to me that no more than X number of copies

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1 can be produced and that number of copies is proscribed with
2 regard to that operation. It might be five copies, it might
3 be a dozen copies but it is a hold down on the distribution
4 and it also generally leads to the material being enveloped.
5 In other words, it just does not float around open.

6 Q Does the concept apply primarily to communications?

7 A Yes, to the flow of information if it is Proscribed
8 and Limited, that is right. Generally it applies to communi-
9 cations but it applies to the paper that results from that
10 communication. If I am looking at electronic communication
11 from abroad, something comes in with certain slugs on it and
12 you can tell from those slugs it is Proscribed and Limited
13 and therefore the paper that results from that is only
14 produced in so many copies.

15 Q Would the concept ever apply to a 201 File?

16 A We don't use that term with regard to 201 Files.
17 A 201 File is restricted or not restricted.

18 Q Are there cases where someone might be an agent of
19 the CIA and there would not be any indication to that effect
20 in the person's 201 File?

21 A It is possible.

22 Q Could that be outside the ordinary course of busi-
23 ness?

24 A It would tend to defeat the system if you will let
25 me describe why.



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Q Please do.

A You got to the purging bit a while ago, we alluded to it. We under our current guidelines do not willy-nilly just collate material on people and every several months we review the 201 Files that have recently been opened on prospective recruits or prospective targets, all of these in the operational sense. If a file that was opened, let's say, six months ago has led to a recruitment and the man is now in our employ and it is not reflected in that file, then we are very likely to identify that file to be purged and I am particularly talking with regard to Americans now because otherwise you are just cluttering up the system by having that file remain in the system.

So then at that point when we note this file and see it and review it, we would draw it to the attention of the action element that we see no reason for the continuation of this file. Your plan with regard to this individual obviously did not come to fruition and therefore we recommend that the file be purged from the system. That will usually cause the element involved to correct the status of the file by bringing it up to date if it has not been brought up to date, if there is certain material in the ops file that should have been shifted over into this 201 File to reflect his current status with us.

Q Who actually conducts this review?



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1 A It is stimulated by the Information Management
2 Staff and carried out by the accountable officers on each
3 desk with the assistance of a records management officer who
4 is a member of my staff.

5 Q For how long has this system been in operation?

6 A Oh, as a very regular calculated process probably
7 about eighteen months. Prior to that it was hit and miss.

8 Q So prior to that was it more likely that there
9 might be a 201 file on someone which did not give any
10 indication as to that person's agency relationship to the
11 CIA?

12 A Most 201 Files do reflect the person's relationship.

13 Q Even prior to the adoption of this system?

14 A Yes, sir.

15 Q However, prior to eighteen months ago it would have
16 been easier to avoid getting caught if you were acting outside
17 the ordinary course of business by having a file which did not
18 make the reference to the agency relationship?

19 A No, that is not the case. Most 201 Files do reflect
20 over all the years our status with an individual. It is just
21 that more recently the procedures we have set up will question
22 periodically the status of a 201 File and if there is not a
23 reflection of progress with regard to the operation, then we
24 will suggest that it be removed from the system.

25 Q If someone were an agent for the CIA operating under



1 deep cover, would the 201 File still as a matter of routine
2 reflect the fact of the agency relationship?

3 A Well, is this individual an American?

4 Q Yes.

5 A Operating under deep cover?

6 Q Yes.

7 A It is a very good likelihood that he would not be
8 in the 201 system.

9 Q What system would he be in?

10 A See, you just described an individual to me who is
11 probably a staff agent or in some status that is an employee
12 of the United States Government and in such a system he would
13 not be in the 201 system. The 201 system generally does not
14 include employees of CIA, staff agents of CIA. People under
15 non-official cover that are staffers of CIA are generally not
16 in there.

17 Q Does the agency have any Americans working for it
18 overseas who do not fit into those categories that you just
19 outlined?

20 A Yes.

21 Q But not in deep cover positions?

22 A Not what I would call deep cover positions. If we
23 entered into a relationship with, let's say, a student overseas
24 and he was already a student when we entered into our relation-
25 ship with him, we don't call that deep cover, that is just

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1 taking advantage of using the word "cover" that he already
 2 has and from your perspective it probably would be deep cover,
 3 yes, but when you say deep cover to me that is we have
 4 entered into a relationship with someone and we have arranged
 5 to cover for him. That is not official cover, it is not an
 6 official U. S. Government agency cover. So he is under deep
 7 cover, some commercial cover or something.

8 Q So you would restrict the deep cover where first
 9 the agency is arranging the cover and secondly the cover would
 10 be of a non-official status?

11 A That is right.

12 Q Now in cases where that procedure has been followed
 13 and we are not talking about an American, would the indivi-
 14 dual's 201 File indicate the deep cover and the fact of the
 15 agency relationship to the CIA?

16 A It most likely would, yes, or it would refer you
 17 to an ops file and the ops file would detail his cover. It
 18 might be compartmented in some way.

19 Q I would like at this point to ask you to perhaps go
 20 into a bit more detail on why it would be self-defeating for
 21 the system not to make reference to the fact of an agency
 22 relationship. In other words, why wouldn't it make sense to
 23 have a 201 File on an agent and for the file not to indicate
 24 the fact of the agency relationship?

25 A Well, one of the reasons for the existence of the

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1 record system and the computerized tracing system that we
 2 have is that if you have someone who you do not expect to be
 3 expressing interest in the individual that you have some
 4 place operating in your behalf around the world, the system
 5 is designed to protect you in that regard. If you have his
 6 name in it and he is in a 201 File to begin with, which means
 7 heightened interest over and beyond the other millions of
 8 names that are in the system, in the index -- if a trace or
 9 additional information came in on that individual, there
 10 would be a reaction throughout the system.

11 Employees would react to the fact that, hey, there is a
 12 query with regard to, let's say, the subject of 201 and so
 13 on. That is a restricted 201, it is not the case of better.
 14 We would draw it to the attention of the desk that is holding
 15 it and say, hey, somebody in Wagadoogu is inquiring about
 16 this individual who you have a restricted file on and that
 17 suggests to the people in the system a special interest in
 18 and sensitizes those people who work throughout the system
 19 that there is a probe in a sense and so you react.

20 Now if you didn't have a relationship with that indivi-
 21 dual and just left his file down on the shelf as just one of
 22 those books in a sense to be drawn by anybody, that bit of
 23 information that came in from Wagadoogu would just be filed
 24 away and never signaled to you, never signaled to anybody.

25 Q So in a sense you are protecting both the individual

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1 and yourself, the case officer?

2 A Yes, and a professional wants that edge. In effect,
3 it makes the whole service working for you rather than a
4 singleton out there playing it alone by himself.

5 Q Would the same purpose then be achieved by opening
6 up a 201 File whenever you have an agent rather than attempting
7 to operate the agent without opening a 201 File?

8 A I think so.

9 Q Now are there cases where someone might have a 201
10 File without op?

11 A That may be.

12 Q Would that be out of the ordinary course of business?

13 A I think so.

14 Q Even if the individual were operating under deep
15 cover, you would still be inclined to have a 201 file on him?

16 A If the individual is under cover as I describe it.

17 Q Yes, under your definition.

18 A He is just a field agent and he should be in the
19 system, he should have a 201 number. If you are talking about
20 what I refer to as a NOC, a non-official cover staff officer,
21 that is a different category of fish; he is very likely not in
22 the system.

23 Q So he would be a CIA employee?

24 A Yes.

25 Q What is the difference between a field agent and

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1 staff agent?

2 A Well, a staff agent is an individual that is very
 3 likely buried in another organization such as the Foreign
 4 Agricultural Service. He is a CIA staff officer but he is
 5 full time employed by the Foreign Agricultural Service. He
 6 is a staff agent. He has left our payroll and is on FAS's
 7 payroll as a result of an agreement with the FAS's staff.
 8 While a field agent is an individual recruited in the field
 9 away from here and could be an American and he could be a
 10 student, therefore as you said under a cover of some sort,
 11 he would be processed in the normal field papers and be in
 12 our system.

13 Q Is there a difference between a staff agent and the
 14 term case officer?

15 A A staff agent can be a case officer if he is running
 16 cases, yes.

17 Q But the term staff agent applies to someone who is
 18 not directly employed by the CIA himself, he is an agent of
 19 the CIA but he does not get paid by the CIA?

20 A I am sure within the bureaucracy there is some
 21 balancing off and the money takes shifts between the agencies
 22 involved so that the CIA is paying him. I am sure there is
 23 some offset but on the surface he is employed in some other
 24 organization.

25 Q Is it possible to get a computer printout of all

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1 documents contained in someone's 201 File?

2 A If the system works.

3 Q Is it necessary actually to go to the 201 File to
4 obtain that printout?

5 A No. Our index should show, if it is up to date,
6 the documents that are in the 201 file. Now it is subject
7 to error just like anything else but when you have a huge
8 library it should.

9 Q I would like to show you what has been marked as
10 CIA Document No. 784, it is just this top page over here, and
11 I would like to ask you to read it, please.

12 A Yes.

13 Q Would it be unusual for documents to be missing
14 from the Oswald 201 File?

15 A Unusual?

16 Q Well, Mr. Larson, I want you to understand I don't
17 want you to speculate and I am not asking for an answer that
18 involves speculation but given your position, would it be out
19 of the ordinary course of business for documents to be missing
20 from a 201 File?

21 A I would be unhappy about it. We strive to keep
22 201 Files complete, and those documents that are filed in
23 with them or cross referenced into them we strive to keep
24 those documents in them so I am distressed -- This is a 1964
25 document but I am distressed to find a statement such as this.

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Q Now if --

A I have seen 201 Files that got every document in them that the run shows they should have them in and I have seen others that did not. Quite often what happens is that the cross referencing is not done right and those documents -- for example, the cables -- may exist elsewhere but the cross reference action never took place that actually got entered in the 201 File. That is just a commentary on it, I am speculating.

Q What would be the best procedure to determine which of those documents from Oswald's 201 File were missing from it? In other words, this document, CIA No. 784, makes reference to materials that are not available in the file. How would it be possible to determine specifically which materials were missing from the file?

A Well, there must be at this time in 1964 an inventory of some type that revealed that two dispatches were missing, seven memoranda were missing. If so, there must have been some numbers that told whoever prepared this document that the 201 File as written at that time or as compiled at that time was incomplete. Something told the author of this document that. I don't know who the author of this document is but --

Q This document makes reference to an attachment so I would imagine what you are saying is that one way to

1 determine which materials are missing from the file is to
2 examine that attachment.

3 A "A machine listing of documents officially recorded
4 as being in Oswald's 201 was requested." I would make the
5 presumption that that machine listing was attached and it
6 reflected that these documents should have been in the file
7 and there must have been some nomenclature associated with
8 them.

9 Q And then the person who received that machine
10 listing presumably would have checked the file for each
11 document listed in the machine listing and that person
12 presumably came up with these missing items?

13 A That is my assumption.

14 Q I understand.

15 Is the best procedure today for determining which of
16 those documents are to obtain a machine listing of everything
17 in Oswald's 201 file and make the same type of cross referenc-
18 ing check?

19 A Yes, and then I would ask IMS to conduct a search
20 and see if they can reconstruct the file.

21 Q Does the agency have a method for cross referencing
22 201 numbers, true names, pseudonyms and cryptonyms?

23 A The true name, pseudonym, cryptonym function is
24 handled separately and is completely separate from the 201
25 system. Then the 201 and the cryptonym is handled as another

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1 system. We generally keep the true name/pseudonym area
 2 separate. Now we have a system whereby we can relate true
 3 name to pseudonym but it is separate from the 201 system.
 4 A cryptonym in the 201 system we can relate.

5 Q So if you had someone's true name, you could go to
 6 an index, I take it, and determine the individual's pseudonym
 7 and cryptonym if he had one?

8 A That is right.

9 Q And if you had someone's --

10 A But the cryptonym is a separate thing. Usually
 11 where people are concerned, talking about Americans now,
 12 true names and pseudonyms are kept in a completely different
 13 compartmented element. A cryptonym is generally used vis-a-
 14 vis the field and it also exists in this same shop but you
 15 may not find true name/pseudonym/cryptonym all lined up.

16 It may be a completely different function when you get
 17 to the cryptonym. It is not easy to explain the cryptonym
 18 thing but it is separate from this sequence. If I had an
 19 example that we were going after, we would find the answer
 20 and our system is designed to do it and keep it compartmented.

21 Q So staying with the first example that I gave you,
 22 you have a true name and we want to get the pseudonym and/or
 23 cryptonym. What would be the name of the index that you would
 24 refer to, if there is one?

25 A I would send you to what we call the SIS, Sensitive



1 Information Section, of IMS and there we have the capability
2 to check for what you are looking for but it is not part of
3 the 201 system.

4 Q Now when you look at the individual's true name,
5 would the printout then register both his pseudonym and his
6 cryptonym?

7 A A pseudonym very likely, a cryptonym is another
8 matter.

9 Q So you would get the pseudonym and then you would
10 have to go from pseudonym to some other index which would
11 give you the cryptonym?

12 A Right, and it might not be direct. You might have
13 to go indirectly to that because cryptonyms are dispersed
14 throughout the building in a variety of registries and we
15 could track it down but it is not as simple as the pseudonym.

16 Q From the true name to pseudonym is a centralized
17 index?

18 A Yes.

19 Q However, you are saying, I think, that from true
20 name or from pseudonym to cryptonym there is no centralized
21 index.

22 A No, that would be a different system.

23 Q Now is there in fact a system for determining what
24 the pseudonym would be? Is there a system for determining
25 that?

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1 A On the pseudonym and true name this is absolutely
 2 systematized and we can go back to the beginning of time and
 3 I don't think we have lost very many. I don't think we would
 4 lose very much true name to pseudonym, pseudonym to true name.
 5 The system is very complete in that regard.

6 When you get to cryptonym, cryptonym is dispersed
 7 throughout the building. To give you an example, if you have
 8 a cryptonym like Hamburger, you might have Hamburger 1,
 9 Hamburger 2, Hamburger 3, Hamburger 4. Well, Hamburger 15
 10 might be the same as this true name pseudonym. Might be.
 11 We might not have that available at this same SIS shop that
 12 I just mentioned. That would be dispersed some place in the
 13 building.

14 Q My question is whether there is in fact a system
 15 for going from a pseudonym or true name to cryptonym in the
 16 sense that in the former case we had a centralized index and
 17 you can truly refer to that as a system. In this case can we
 18 refer to it as a system?

19 A Yes, there is a system for tracking down cryptonyms.

20 Q So even though it is decentralized, there is a
 21 system?

22 A Yes, that is right.

23 Q Is there a centralized index which would cross
 24 reference true name or pseudonym to the 201 number?

25 A No.



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Q What centralized system, if any, is there corresponding to 201 numbers?

A You can produce a 201 list that would have a 201 true name relationship for all 201s. I am making the one proviso and that is that somebody has not slipped in to us a pseudonym by mistake.

Q So it will give you a 201 number if there is one?

A Yes.

Q Conversely, if you have a 201 number, you can go to the true name?

A Yes. Now also you can run the 201 system against cryptonym and that does not mean everybody who has a 201 has a cryptonym but if there is we can probably run against it and find it. That is why I separated these two.

Mr. Goldsmith. We will take a recess at this time.

(Whereupon, at 3:15 p.m., a recess was taken until 3:35 p.m.)

Mr. Goldsmith. Back on the record.

By Mr. Goldsmith:

Q I would like you now to examine CIA Document No. 1763, the first page of that document, and identify it if you can.

A Well, it is Annex B of the DO Handbook 70-1-1 referred to as Chapter 3 and it is concerned with the 201 system.



1 Q More specifically, does this document contain
 2 regulations or guidelines governing the manner in which the
 3 201 system operates?

4 A That is correct. It is the latest regulation on
 5 that topic dated November 1974.

6 Q By whom are these regulations adopted?

7 A After coordination throughout the Directorate of
 8 Operations they are adopted over the signature of the DDO
 9 but as a practical matter most of the drafting of them takes
 10 place within the staffs of the DDO and in this particular
 11 case the focus is in the Information Management Staff.

12 Q Once the regulations are adopted, is it as a matter
 13 of routine communicated throughout the system?

14 A That is correct.

15 Q So that a CIA employee operating in DDO who might
 16 have occasion to open up a 201 File or to review a 201 File
 17 would be expected to be familiar with these regulations?

18 A That is correct.

19 Q As a general rule are you able to state whether or
 20 not these regulations are followed?

21 A Generally they are followed.

22 Q On CIA Document 1763, Section 2C, would you please
 23 read that.

24 A Yes.

25 Q What information is contained in the master 201

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1 record?

2 A It is a running list of 201 numbers and associated
3 with it the name of the person to whom the 201 is assigned
4 and then other associated data, if available, may be keyed
5 following that 201 number and name.

6 Q Would this list be the list that contains all the
7 documents that are in the individual's 201 file?

8 A No.

9 Q What list would that be?

10 A I cannot give you the name of it here but I will be
11 happy to provide it. There is a system within our system
12 that provides us, if it has been compiled, the contents of
13 the 201 File and I cannot give you here the precise name for
14 it but I can give that to you.

15 Q If it becomes important to get that information,
16 we will get back in touch with you.

17 Turning now to CIA No. 1764, there is a model copy of
18 a card appearing on that page and I have a few questions to
19 ask you about the entries on that card. First drawing your
20 attention to the upper right hand corner where it is indicated
21 Type Name, what does that refer to, if you know?

22 A I don't know the answer to that. It says Type Name
23 T on that particular document and I cannot tell you from
24 examining this what that means.

25 Q Further down on the page apparently cross referenced.



1 to that entry is the number 9 and it says Name Type Indicator.
2 Does that help you in any way?

3 A No. It might suggest that it means T for true but
4 I don't know that.

5 Q Have you ever seen one of these forms before?

6 A Not specifically this one. I am generally aware of
7 it but I have not focused on that particular column. I didn't
8 concern myself with it.

9 Q Now under where it says Type Name T on the form
10 itself it indicates OI Code. What does the term OI Code
11 mean?

12 A All right. The OI Code, and if you will look
13 further into the document --

14 Q Yes, I have read the document.

15 A It is a two letter indicator that is utilized so
16 that we can search against the 201 system for certain types
17 of information. Some customers, some desks within the
18 Directorate of Operations have asked that people that they
19 put in the system be coded. For example, if we are dealing
20 with a foreign intelligence service and the members of that
21 service and we are particularly dealing with the foreign
22 service in that country, we may want to have an indicator of
23 which of our intelligence officers and so the code may have
24 been entered under this OI code designation and this gives
25 us the capability to run against the system and pull out



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1 everyone that that desk has identified as belonging to say
2 that intelligence service and produce that list for him.

3 Q Does the OI Code appear anywhere in the subject's
4 201 File?

5 A The Form 831 that is used to put information into
6 the system I believe provides a space on it to indicate OI
7 Code if you care to so indicate and a copy of that form very
8 likely will be in the 201 File. However, it is possible that
9 the OI Codes have been entered by a separate operation without
10 reference to the 201 File and if that should happen you might
11 not see it in the 201 File.

12 Q Were OI Codes in existence in 1959 and 1960, to
13 your knowledge?

14 A I don't know.

15 Q I would like to refer you to CIA Document No. 788
16 which is the field personality file request form that was
17 used for Lee Harvey Oswald and a copy of it and I would like
18 to ask you whether this particular form gives any indication
19 of an OI Code?

20 A I don't see any.

21 Q Do you know if the same forms are being used today
22 that were used in 1959 and 1960?

23 A The number is the same, A-31.

24 Q Is the form itself the same?

25 A I can't answer that.



1 Q Is the form that you have in front of you in your
2 opinion the same form that is in existence today?

3 A No. I think today we are using an updated version
4 of the form that you are showing me with No. 788 on it.

5 Q What is the basis for that conclusion on your part?

6 A Well, the current regulation makes reference to one
7 being able to fill in Box 13 if you wish to have an OI Code
8 associated with the 201 number. The form utilized in opening
9 the Oswald 201 does not have such a box; therefore, there
10 must be a new form since this time.

11 Q By the present regulation you are referring to CIA
12 Document No. 1765, is that correct?

13 A That is correct.

14 Q If someone is not a field contract employee, what
15 type of a file would the CIA have on him?

16 A Well, if he is not a field contract employee -- for
17 example if he were a defector, if he were a counterintelligence
18 target of interest, if he were a Soviet intelligence officer --
19 we would have 201 Files on him.

20 Q Let me be more specific. If someone were a contract
21 employee but he is not a field contract employee, that is what
22 I meant by the question, what type of a file would you have on
23 him? I ask because it is my understanding based upon your
24 earlier testimony that those individuals would not have 201
25 Files.

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1 A That is right. Contract employees as you are
 2 talking about now, their files would be in the Office of
 3 Personnel, the key word being employee, in perhaps a different
 4 office but associated with the files of employees of the
 5 Government, in this case a contract employee of the Government.
 6 They would probably be kept separately from staff employees of
 7 the Government or staff employees of the CIA in this case and
 8 the contract personnel people would have a file.

9 Q Would the Security Office also have the file?

10 A Yes, they would have a file because undoubtedly a
 11 security clearance has been run on this employee.

12 Q Turning to CIA No. 1767, Section B indicates that a
 13 photograph might be included in the 201 File.

14 A That is correct.

15 Q Would standard operating procedure require the
 16 person opening the file as a matter of routine to attempt to
 17 get a photograph?

18 A If there is a photograph available, a hard photo-
 19 graph or a newspaper photograph, a good intelligence assistant
 20 or case officer will include it in the 201 File, but to imply
 21 that that individual would take the initiative to obtain such
 22 a picture would be stretching it.

23 Q So it would not be standard operating procedure?

24 A No.

25 Q What about in the case where it is relatively easy

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SECRET

1 to obtain a photograph, for example, by contacting another
2 governmental agency and asking for one to be delivered?

3 A If we had some particular reason for wanting such
4 a photograph, if we anticipated having to surveil an indivi-
5 dual, if we anticipated having to run photographs by defectors
6 or others to have them look at it because we are something
7 like a rogues' gallery, yes, then we would seek such photo-
8 graphs but otherwise it would not be a SOP to go after them.

9 Q In the case of Lee Harvey Oswald where he had been
10 a defector to the Soviet Union at the time his 201 File was
11 opened, would it have been standard operating procedure to
12 attempt to find a photograph of Oswald for placement in his
13 file?

14 A I am speculating but it probably would not have
15 been SOP to obtain it. However, if we had a concern or had
16 conveyed to us a concern that this individual was more than
17 a casual defector, there was some loss to the American
18 Government in the sense that he might be divulging information
19 based on what he carried in his head and we were concerned
20 about tracking him in the Soviet Union, then we might seek a
21 photograph to show to people and see if we could locate him
22 but I would not say it would have been SOP.

23 Q I would like to show you now CIA Document No. 796
24 and ask you to read that.

25 A Yes.

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1 Q Now that document which was a telegram from the
 2 Department of State to the Secretary of State, a copy of
 3 which was sent to the CIA's Office of Security reports,
 4 among other things, that Oswald offered to provide information
 5 he had acquired in the military to the Soviets. I have several
 6 questions to ask you about the document.

7 My first question is, would the information contained in
 8 that document normally lead to the opening of a 201 File?

9 A Yes, it would very likely lead to the opening of
 10 a 201 File because we would anticipate that there would be
 11 more -- this if from an Information Management viewpoint.
 12 We would anticipate that there would probably be more traffic
 13 pertaining to this, probably a trace would be asked for and I
 14 would not be surprised that very shortly after this a 201 File
 15 would be opened, to find that one had been opened. I didn't
 16 notice on that other document the dates.

17 Q We will get back to that document in a little while
 18 and look into that in a little more detail.

19 So would this kind of document be the type which the
 20 Office of Security would pass on to DDO?

21 A They would. However, I would not necessarily assume
 22 that it only went to the Office of Security. I don't know
 23 what this 4 PO means.

24 Q Finally, would this be the type of information which
 25 would prompt whomever opened Oswald's 201 File to attempt to



1 obtain a picture of him based upon your earlier testimony?

2 A Not by itself, no. It might have but not necessar-
3 ily. This document might well have also gone to the Operating
4 Division concerned with operations in the Soviet Union. There
5 is no reason that I can see, glancing at this document, why
6 it would not have gone there as well.

7 Now that element might have been concerned because Lee
8 Harvey Oswald might have appeared on the street in Moscow,
9 as he obviously has as is reflected in this report, and that
10 action element might have been more inclined to seek out a
11 picture than apparently the people who did open the 201 File
12 from what I have seen. Where defectors are concerned, the
13 organization that is concerned with the territory in which
14 they are moving about would be concerned because they might
15 bump into him, might see him.

16 Q Now which section was this that you say this docu-
17 ment might have gone to?

18 A It might have gone to the division responsible for
19 Soviet operations. You said that it might be the Office of
20 Security.

21 Q Within the DDO.

22 A Yes, within the DDO. That is why I commented
23 earlier that this document might not just have gone to the
24 Office of Security, somebody there may have noted it and I
25 take your word for it that that is where you found this, yes.

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EX-100 HSCA (RG)



NSA (RG)

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1 Q Right.

2 A Now that does not surprise me but I would not have
3 been surprised to find also that a copy of this went to the
4 USSR branch of the SE Division. I would not have been sur-
5 prised to find that it went to the CIA staff, that several
6 copies were wandering around in the building. There are no
7 controls that would hold this down that would have kept it
8 from having a broader circulation except for the fact that
9 it is confidential.

10 Q So even though this document indicates that Oswald
11 was giving information to the Soviets and secondly by refer-
12 ring to the fact that Oswald had been in the Marine Corps,
13 the document indicates that at least by implication the
14 photograph is readily available, it would not have been
15 standard operating procedure to attempt to locate one?

16 A Not necessarily. This grows from the fact, what
17 are you going to do about it? See, if some action is contem-
18 plated, that is why I say to you that the USSR branch of the
19 SE Division might have been more inclined to get the photo-
20 graph because they would be concerned about having to do
21 something about it. The staff may have routinely, just to
22 make its records complete, sought a picture and they might
23 not have sought a picture. That is sort of at the -- it
24 depends on the manager of that unit at the time.

25 Q Now the USSR section of the SE Division, would that

1 be concerned with information that really is more of a.
2 counterintelligence significance than --

3 A No, not necessarily. They would have some concern
4 there but they would be concerned in this case because this
5 man is walking around on their turf, he is now in Moscow and
6 he might appear and accost somebody there and in that sense
7 they would have a more immediate concern.

8 Q Now turning to letter C, according to the regulation
9 the personal record questionnaire, Part 1 and 2, would normally
10 be included in a 201 File if these forms were filled out?

11 A Yes.

12 Q So that would be as a matter of standard operating
13 procedure?

14 A That is correct. However, PRQ 1 and 2 are usually
15 filled out for agents that we have in our employ, people who
16 are working for us, and you have been able to sit down and ask
17 them this information and have obtained it or elicited it from
18 them and therefore you fill out the form. PRQs very often are
19 not filled out and then filed in the 201 Files of other indi-
20 viduals who are not assets.

21 Q I am not sure if I follow that response. Let's see
22 if we can go over it.

23 A Okay.

24 Q If someone is an agent --

25 A He generally will have a complete PRQ Part 1.

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Q What about the PRQ Part 2?

A It may or may not have been filled out, it depends on how deep your relationship was with him. It is more complete information you obtain from the person.

Q Is the PRQ Part 2 oriented towards giving further background information on the individual or is it a form which concentrates more on operational information?

A The further background but more assessment type information. It is deeper impressions of the individual. Part 1 you have the name, place of birth and things of this sort, more factual. When you get into Part 2 you are beginning to talk a little bit about the individual as you perceive him, as he interrelates and so on and so forth. Part 1 and Part 2 are usually a requirement on the well managed desks as a part of the essentials in recruiting an agent and you want those filled out.

Q By agent we are not referring to a staff agent, are we?

A No, field agents and foreigners and so forth.

Q I understand.

A It is a way for management to know how deeply you have gained information about the person you are targeting and it is sort of a crutch that you follow and as a manager you can see, well, you have not got his birth place yet. That may not be critical. You don't have if he is married



1 or not, things like that.

2 Q If both Part 1 and Part 2 have been filled out,
3 would they both be included in the 201 File?

4 A Very likely.

5 Q And then the fact that there is no Part 2 would
6 indicate simply that Part 2 was never filled out?

7 A Probably.

8 Q Rather than Part 2 is located in some other file?

9 A Probably it was never filled out.

10 Q Can you think of exceptions to that principle?

11 A No.

12 Q Now letter D refers to operational and other
13 security approvals. Again it is a matter of standard
14 operating procedure. If the approval of the Security Office
15 was given, there would be a reference to that effect in the
16 file?

17 A That is correct. Again that is a mechanism to make
18 sure you run all the traces, you contacted other Government
19 agencies that may have information on this individual and
20 collated it, brought it together. From a management viewpoint
21 it is a way of making sure your lieutenants have done their
22 job.

23 Q Letter F refers to acknowledgement of pseudonym.
24 Who would be in the position to acknowledge a pseudonym?

25 A There are situations where an individual may want

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1 to sign, let's say, vouchers when he has obtained money from
2 you and he does not want to sign them in a true name so he
3 will acknowledge a pseudonym that will be reflected in the
4 file. There may be a piece of equipment that he has been
5 given and he does not want to sign for it in a true name so
6 a pseudonym will be acknowledged so that you can track that
7 equipment.

8 Q Is it customary to assign agents pseudonyms?

9 A It is not a frequent occurrence but it does happen.

10 Q Am I correct in assuming that it is more customary
11 for CIA case officers to have pseudonyms?

12 A That is correct.

13 Q What is the purpose of a pseudonym in that context?

14 A In the course of normal communications, written
15 communications it is to conceal the identity of the indivi-
16 dual for the casual observer, the person without a need to
17 know.

18 Q Letter G refers to a 201 personality assessment and
19 evaluation. What is a 201 personality assessment and evalua-
20 tion?

21 A Well, this is what I take it to mean. We sometimes
22 will take the information that we have collated in a 201 file
23 and will give it to a psychologist to examine and come up with
24 an assessment and evaluation of this person and that may be
25 included in the file if one exists; this is where it should

1 be filed.

2 Q Is that done as a matter of standard operating
3 procedure with every file?

4 A No, not by a long shot.

5 Q Now letters H and I refer to a copy of the contract
6 and termination papers and the secrecy agreement. As a matter
7 of standard operating procedure would these items be included
8 in the 201 File?

9 A If there is a contract and if there are termination
10 papers, this is where it should be. If there is a secrecy
11 agreement, this is where it should be.

12 Q Letter G refers to the agent duty status report.
13 What is that item?

14 A Well, you might have some indication of whether this
15 is an active case, where he is in the world at the present
16 time. That is rather formalized, it sounds like a morning
17 report from the army and it does not exist as such. I am not
18 acquainted with it in that way but you should be able to tell
19 from the 201 File whether the individual is current, active,
20 where he is.

21 Q How often are these reports filed?

22 A I don't know of the agent duty status report as a
23 regular report by that title but periodically now, speaking
24 of the present, we have reporting from the field that gives
25 us the status of each of our assets and an entry, if the

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1 system works correctly, is put in the file at that time.

2 But don't look for a standard form such as some that we have
3 looked for; I don't know of any such.

4 Q Would that take place at least once a year?

5 A Under the current procedures it would but now bear
6 in mind we are talking about agents here and if you are deal-
7 ing with an individual who is a target and not an agent there
8 would not be any such thing here.

9 Q Yes, I understand.

10 A Or some other category.

11 Q Letter K refers to training and evaluation.

12 A Yes. If the individual has been trained in some
13 technique that we have or is to play a special role for us
14 that requires training, there will be reflections of this
15 there. It might be language training or something else.

16 Q What about evaluation? Would there be periodic
17 evaluation?

18 A In this case it is an evaluation of the training.
19 This is different than the assessment of the individual.

20 Q Letter G.

21 A Yes.

22 Q How often is an agent evaluated?

23 A Well, it is a continuing process but periodically
24 as a management took the system forces these evaluations and
25 this could be irregular but they might look at it from the

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1 standpoint of production, has this product made it worth it
2 or should we terminate this individual? I don't want to imply
3 that this is a scheduled thing from a management viewpoint
4 but evaluation is continuous in any operation.

5 Q In the case of a CIA case officer there would be a
6 periodic evaluation, is that correct?

7 A Fitness report.

8 Q Fitness report.

9 A Yes.

10 Q How often?

11 A Annually.

12 Q Are you saying then that the same procedure does not
13 apply to agents?

14 A No, it does not. It is not uniform in that manner
15 at all.

16 Q So that agents might be evaluated periodically but
17 there is no set time period for determining what those periods
18 are to be?

19 A No, there is no fitness report system as there
20 exists with employees. It is a continuous process and in
21 management usually periodically, a year or every two years,
22 depending on the division you are talking about reviewing.

23 Q Is there a specific form that would be used in that
24 case?

25 A No.

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1 Q So if letter G refers to 201 personality assessments
2 and evaluations, that is not referring to a specific form?

3 A No, it isn't.

4 Q Letter L refers to the cryptonym: SGSWIRL report.
5 What is that report?

6 A It is an indication whether that man has been poly-
7 graphed or not and if he has it is in the file or an indication
8 of the fact that it is in the file.

9 Q And the actual report would be in the Office of
10 Security?

11 A That is right. There may be some interpretative
12 comments in this file but the actual report is likely to be
13 elsewhere.

14 Q How are papers organized in a 201 File?

15 A Well, I have seen many over the years and there is
16 a proscribed arrangement that we ask for that sequence is done
17 by date but as a matter of fact they don't always end up that
18 way.

19 Q So when you say that per what management would view
20 as standard operating procedure the organization would be to
21 have the documents in chronologically and under that approach
22 I take it the initial entry would be in the bottom document.

23 A Yes.

24 Q Then the next entry would go on top of it, is that
25 correct?



1 A Yes. I think that is reflected in the handbook.

2 Q What inferences, if any, can be drawn from a file
3 which is absolutely not at all in sequential order?

4 A Well, I would just be inclined to believe that
5 whoever was handling that file through the material into the
6 file and periodically clipped it into the file and didn't pay
7 any attention to it. I would not see anything sinister in it.
8 I have seen a lot of files that are that way.

9 Q Are agency employees ever disciplined or reprimanded
10 in any way for not following standard procedures with regard
11 to 201 Files?

12 A This varies from unit to unit. However, I have been
13 present in units where people had comments included in their
14 fitness reports about their being pack rats or not being up to
15 snuff with regard to keeping their records and this has been
16 reflected in their fitness report and led to their being rated
17 lower. I have also been in units where they turned out and a
18 whole day or two would be taken to policing some sloppy files
19 that were found. On the other hand, I have found other units
20 where the records are in excellent condition. The answer to
21 your question is yes, it has been reflected in fitness reports
22 and I have seen quite a few of those over the years.

23 Q CIA Document No. 1768 makes reference to the concept
24 of purging. Would you define that concept?

25 A Well, purging is a process that involves the desk

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1 officer or the responsible officer working together with the
2 records management officer assigned to that unit and they will
3 go through a dossier periodically to determine whether there
4 are duplicates in it, other material accumulated in it that
5 should not be there. If a thorough job is done, even opera-
6 tional material will be shifted at that time from the personnel
7 file to the appropriate operational files. That does not
8 always happen with regard to purging.

9 Q You referred to the personnel file.

10 A I am talking about the 201 Files.

11 Now there is also an exercise that takes place within
12 IMS. We have a procedure within IMS to try to keep on the
13 shelves within my staff a zero increase in the number of 201
14 Files so in order to do this we have a group that reviews 201
15 Files, a certain number a week, and arranges for them to be
16 microfilmed and they go through and sequence the documents in
17 the proper sequence removing duplicate copies and other things
18 that are not supposed to be in the purging in that sense but
19 they do not destroy originals, they do not destroy anything
20 that is judged to be germane to that 201 File. That is the
21 purging process.

22 Q So the original would still stay in the file?

23 A Yes, or a cross reference to the original.

24 Q In the operation file or in the project file?

25 A That is right.

Q Now how often is the file purged?

A The process I have described of purging, that is going on within IMS as a regular thing. It takes place every day, reviewing the 201 Files, regularizing the sequence of the documents in it, taking all duplicates and microfilming them which of course is essential from the vital documents viewpoint. If we have a fire or something, we want a separate record we can fall back on. That process is taking place every day. Up on the desks it is irregular.

Q Would a file be purged at least once a year?

A No, not necessarily at all. The file assigned to a desk if it was inactive for a year or didn't have some reason to be focused on it might not be purged. Now it might go for several years.

Q So even though the regulation provides purging to be done periodically, the period involved is irregular.

A Irregular, that is correct, except for the process going on within IMS.

Q Once a file has been purged, is there an indication placed in the file to that effect?

A My people and I will be able to tell that it has been reviewed at that time.

Q If the desk officer has purged a file --

A I can't answer that. I don't know that I could determine that.



1 Q So to your knowledge there is not any specific
2 indication placed on a file when it has been purged?

3 A No.

4 Q Turning to CIA No. 1769, Section 5, would you please
5 read that?

6 A Yes.

7 Q Now the language of Section 5 seems to contemplate
8 the possibility of a 201 File being opened in pseudonym. Is
9 that sentence concerned with the situation where in fact that
10 situation has happened, the file has been opened in pseudonym?

11 A Yes.

12 Q Is that sentence indicating that if a file has been
13 opened in pseudonym it should be opened under the true name
14 and properly consolidated?

15 A The statement here is a 201 opened in pseudonym
16 should be consolidated into the true name 201 if one exists
17 or converted to the true name. Now as I stated earlier, if
18 we find one that is in an alias or pseudonym and we are aware
19 of it, we will go up and have a conversation with the action
20 components to get it converted to true name. That is the one
21 situation.

22 Now the other one is this. Since I have not looked at
23 the previous version of this regulation which is apparently
24 October 1966 and maybe other previous regulations, there may
25 have been a period in time where some 201s were allowed to be

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1 opened in pseudonym and what they are saying in this revision
2 of the regulations in November 1974 is if there is one in
3 pseudonym, get it into true name. That is the way I read
4 this.

5 There are the two situations. If an error was done or
6 if it was calculated or done previously, that is the way I
7 read that.

8 Q Can you perhaps clarify the language here. I will
9 read the sentence again: "A 201 open pseudonym should be
10 consolidated into the true name 201 if one exists or converted
11 to the true name."

12 What is the difference between consolidating a 201 into
13 the true name 201 and converting to the true name? In other
14 words, the sentence suggests that there is a difference between
15 the two.

16 A Yes. What I would suggest they are saying is in the
17 first of these two situations they find that there are two
18 201s, one in pseudonym and one in true name.

19 Q All right.

20 A They are saying get them together in true name.

21 Q Okay.

22 A In the second situation if you have a pseudonym/
23 true name 201, they are saying convert it to the true name in
24 the system. Just get it over there.

25 Q So that language is redundant, there is a difference?

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A I think there is a difference, yes.

Q Now Section 6 on CIA 1769 makes reference to field and duplicate 201 Files. Would you please read that section?

A Yes. Okay.

Q Now earlier we talked about the question of whether there were copies of a 201 File, officially recognized copies, and I believe your answer at that time was that there are not. Can that answer be reconciled with this reference here to field and duplicate 201 Files?

A Yes. In our business there is one 201 File which is a record copy which is the authoritative set of documents that pertains to the individual whose dossier it is. Now in the field the documents that are held there are not part of the central record system until you communicate it to headquarters. The minute you put it electronically or by dispatch to headquarters, a number is associated with that document and the minute you put a number on that document it enters the system.

If that document comes in Dispatch No. 10 or so and so or cable number so and so and it refers to X and X has a 201 File, the analyst on this end will pick up that document and put it in the permanent 201 File. Now that field file, that shadow file or working file that you have out in the station some place is not part of the record system. Now the duplicate they are talking about here at headquarters or shadow file is

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again a soft file as we call it or a working file as it is referred to and an officer at his desk is very often handling fifteen or twenty cases or more and he will have in his safe shadow files, soft files on which he is keeping notes and doing things, drafts of cables he is getting ready to go out or a dispatch he is working on, something along that line, and this type of material will accumulate and periodically he is instructed, as this paragraph states, that this shadow material in the field or the duplicate shadow file that may exist, the soft file at headquarters, when that individual is no longer active it should be incorporated into the official 201 File. In other words, you just don't destroy it, you have to incorporate it. Here the records management officer and the CIA sit down and go through this material and see that it gets into the 201 File.

Q Turning now to paragraph 10, Section 10, of CIA No. 1769, three terms are referred to: P&L, RYBAT and KAPOK. Would you please define those terms? P&L I take it is Proscribed and Limited. We have referred to that already.

A Yes.

Q Would you please define the other two?

A RYBAT or KAPOK are other indicators of Proscribed and Limited. They save us having to spell out the whole term Proscribed and Limited. RYBAT just means that the dissemination of the information in the incoming communication is to be

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1 reduced beyond the normal. KAPOK is an old indicator which
2 still exists on some correspondence and also signals that this
3 document is not to be widely disseminated. There are other
4 indicators of Proscribed and Limited but not quite as restric-
5 tive.

6 Q CIA No. 1771 refers to restricted dossiers. Are
7 there any regulations governing when a dossier is to be
8 restrictive?

9 A I know of no regulation that states you must restrict
10 that 201 File. However, if you are handling an operation
11 wherein most of the traffic is proscribed and limited by the
12 nature of it, the action personnel and the managers accountable
13 for it are likely to restrict it.

14 Q Would that be the only situation in which a dossier
15 would be restricted?

16 A No. If you are working with agents and it is very
17 likely that you will restrict to your desk those dossiers,
18 those 201 Files that pertain to your agents so that they don't
19 wander around the building and can't be called up by anybody.

20 Q Can you think of any other examples under which a
21 file would be restricted?

22 A Well, if you had a sensitive counterintelligence
23 operation going on and you had a 201 File on the individual
24 who was the target of the investigation and the nationality
25 makes no difference here, it could be an American or a

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1 foreigner --

2 Q This target would be the person who --

3 A His dossier might be restricted.

4 Q For clarification purposes this would be the indivi-
5 dual who might be suspected of attempting to penetrate the
6 CIA?

7 A CIA or a friendly service that we are doing liaison
8 with or a business firm we are doing work with.

9 Q CIA No. 1773, Section 9, refers to 201 dossier
10 cancellation. Under what circumstances will a dossier be
11 cancelled?

12 A Well, the authority exists to close 201 Files and
13 cancel them. That is what this section deals with. This
14 could happen upon the death of an individual and if we wanted
15 to purge the system of that record a decision might be made
16 to do this.

17 Q So in this case cancellation actually means destroy-
18 ing the file and its contents?

19 A That is right. However, I want to make a comment
20 with regard to this. There is very little of this being done
21 because as you are aware there is a moratorium on the actual
22 destruction of 201 Files or anything else. There is a large
23 volume of material identified for destruction but it is not
24 taking place. Furthermore, even though this proviso exists I
25 doubt if we went back over the years that we would find very

1 many examples of this because the agency did not have an
2 approved destruction program until about a year ago so most
3 of the material that has accumulated over thirty years exists.
4 It may not be findable but it exists.

5 Q Do you know of any cases where individuals destroyed
6 files or partial contents of files outside of the ordinary
7 course of business?

8 A I personally don't. I believe there is a case
9 within the last several months where an employee was fired
10 but I am not personally involved in it and it was not a person
11 in the DO.

12 Q Would it be easy for someone to destroy a file or a
13 part of a file without any other individual in the agency
14 knowing about it?

15 A I am speculating. It might be very possible to
16 destroy the paper that exists immediately in your hands.
17 However, most paper that flows that is official paper coming
18 from the field and going out to the field is logged, a record
19 of the existence of that paper is some place beyond your
20 control. Up to the present time, all electronic traffic,
21 there is another copy held some place else and you have no
22 capability of destroying that.

23 Q For how long are these logs maintained?

24 A Well, it is more than a log. With regard to
25 electronic traffic it is actually photographic copies going

1 back I believe for thirty years. Now I would comment though
2 to find it could be a whale of a job. Now if you are talking
3 about a piece of paper that a man has created himself and it
4 is a memo circulating at headquarters and there are only one
5 or two copies, it is conceivable that individual could destroy
6 it without a trace.

7 Q If a file has been cancelled per the procedure
8 outlined in the regulation, would there be any indication
9 anywhere that that has taken place?

10 A I would have to check further on this but if a 201
11 file was issued, I think we would find the fact that that 201
12 did exist in the past and was issued. That would never be
13 struck from the record.

14 Q All right.

15 A But I would check further if you want to pursue that.

16 Q Section 10 refers to a machine listing. What is a
17 machine listing?

18 A A machine listing is a list by 201 number or name or
19 by other field identification that exists in the 201 system of
20 all of the 201s that, for example, belong or are associated
21 with a particular station, a particular desk, a particular
22 division, and we produce them fairly frequently so that an
23 element of the Director of Operations is aware of how many
24 201s are associated with X branch.

25 Q Would they be tied in -- by "they" I am referring

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to these machine listings. Would they give on one piece of paper the individual's name, cryptonym and 201 number?

A They would give the name, and 201 number but it is very likely that the cryptonym would be suppressed although you might be able to create it from the system.

Q By creating it from the system you mean it would be possible to go through the system and obtain that information?

A That is right. You have to presume that it is in the system. There may not be a cryptonym assigned or it may not have been entered, tied to the 201.

Q I would now like you to look at CIA No. 1779 and if you can identify this document, please do so.

A After scanning this, this is Annex B of the CS Hnadbook 43-1-1. This is a predecessor document to what is now called DO Handbook 70-1-1. This particular annex is dated February 1960 and it deals with personalities, 201 and IDN numbers.

Q So in essence this is the earlier version of the regulations that we just reviewed?

A That is correct, and I must say I am not at all acquainted with the IDN number concept. During the period that it was utilized I was in the field and I am not aware or acquainted with it. I have discussed it with a few of my colleagues but what is here is all I know about it.

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1 Q Is that concept still in use today?

2 A No.

3 Q Now I note from reviewing these regulations that
4 they are not nearly as complete or as comprehensive as the
5 regulations we just reviewed in part.

6 A Yes.

7 Q Is there any reason for that?

8 A Well, I think our records keeping system has evolved
9 and the date on this is 1960. If you look at our computers,
10 they really came to bear on the records keeping problem in
11 1962 and so from that date on I would expect more comprehen-
12 sive regulations, more detailed regulations.

13 Q The committee submitted a request to the agency for
14 the criteria that are applied in determining whether or not a
15 201 File should be opened and in response to that request the
16 committee received the regulations dated February 15, 1960,
17 and the later ones we just reviewed from November of 1974.
18 Do you know whether there are any regulations which are prior
19 to these dated February 15, 1960?

20 A Well, I suspect that there were and I know that the
21 201 system existed as far back as 1951 or 1950 and maybe
22 earlier. I talked to my colleagues about this and as a result
23 of your query we made a search to try to find earlier documen-
24 tation and one of my experts in this area found this document
25 but I must say candidly I have not seen anything that predates

1 this.

2 Q Now I realize that you have indicated that you do
3 not have much information about the concept of an IDN number
4 and that you don't really know more than is indicated in this
5 form. Let me ask you this question, however.

6 If the CIA has information on an individual, will that
7 individual automatically have either a 201 File or an IDN
8 number?

9 A No. The individual could be in the index and have
10 neither. Now of course I am only speaking about the Director
11 of Operations.

12 Q I understand.

13 Do you know what the term CI/SIG stands for?

14 A I would suspect that it is an element in the
15 Counterintelligence Staff but I can't tell you what SIG stands
16 for. I have seen it but I can't tell you what it stands for.

17 Q Do you know whether that term stands for Counter-
18 intelligence/Special Investigatory Group or Special Investi-
19 gations Group?

20 A No, I don't.

21 Can I go off the record?

22 Q Sure.

23 (Discussion off the record.)

24 By Mr. Goldsmith:

25 Q Do you know what the Executive Registry is?

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1 A Yes. Executive Registry is that office that is
2 responsible for the correspondence that flows to and from the
3 Director's office.

4 Q Does that office keep a record of all of that
5 correspondence?

6 A I presume so.

7 Q Is the correspondence to and from the Director
8 permanently kept on file at the agency?

9 A I don't know.

10 Q Would the Executive Registry also be involved in
11 or responsible for storing the private or personal files of
12 the Director?

13 A I don't know.

14 Q I would like to refer you again to CIA No. 788
15 which is the field personality file request form that was
16 used to open Lee Harvey Oswald's 201 File. Can you tell
17 from that document on what date Oswald's file was opened with
18 the request to open a file?

19 A Yes, I would suspect it was 9 December 1960.

20 Q Now earlier we reviewed CIA No. 796, the cable dated
21 October 31, 1959.

22 A Correct.

23 Q Over a year earlier which contained derogatory
24 information or specifically indicated that he was offered or
25 had offered information pertaining to his radar experience to

1 the Soviets and I believe your testimony was that normally a
2 telegram such as the one contained in CIA 796 would lead to
3 the opening of a 201 File. Apparently that was not the case.

4 A I see that, yes.

5 Q In your opinion is there anything unusual about the
6 fact that this information about Oswald was received in October
7 of 1959 and the file is not opened until December of 1960?

8 A I am not surprised.

9 Q Why aren't you surprised?

10 A Because apparently the action element which I would
11 have considered to be the USSR branch in the SE Division either
12 was not made aware of the contents of this incoming Moscow
13 cable or if they were aware of it they were not concerned
14 about the fact that Mr. Oswald had walked into the American
15 Embassy and made this statement he did and they didn't sense
16 a counterintelligence or an obsolete aspect to it so nobody
17 moved on it.

18 Q Now, however, earlier you had indicated that this
19 kind of document would be the type that normally would trigger
20 the opening of a 201 file.,

21 A A defector in the Soviet Union who had made the
22 statements of this sort would very likely have stimulated
23 somebody to open it if they anticipated there was going to
24 be more information about it, yes, that is true.

25 Q Notwithstanding that you are not surprised the file

was not opened?

2 A No, sir. I have been there for a good many years
3 and things like this happen.

4 Q The reason I focus on this, for your background, is
5 that the fact of this, what has been referred to as a delayed
6 opening of the file, has been taken by the Warren Commission
7 critics as a departure from the standard operating procedure
8 suggestion I have of something unusual happening in Oswald's
9 case and that is why it is an important issue for the committee
10 to attempt to resolve.

11 A I can't resolve it for you. I would not have been
12 surprised to have seen a 201 File opened in October 1959 or,
13 you know, in November 1959 when the cable came in. However,
14 if no traffic moved in CIA channels at this time, and I don't
15 know sitting here today if they did or not, but if no traffic
16 moved, it does not surprise me that that document in itself
17 did not because a dossier would be opened.

18 Q What if there were at that time in October and
19 November of 1959 more than five documents pertaining to Oswald
20 on file?

21 A If a trace had been run about that time and five
22 documents or more had been accumulated, under the present
23 regulations whoever ran that trace should have opened a 201
24 File and brought that out, collated that material, because
25 they had found enough in the system to justify it.

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Q And you said before, as I recall, that while you do not know whether the present regulation was in effect in 1959, at least that part of the present regulation dealing with the five document rule, you would assume that the same procedure was in effect.

A Approximately so, that is correct.

Q In order to reconcile this general issue that I have outlined, what assistance could you give us in terms of procedures that the committee could take to ask the agency for an explanation as to the first time that any interest of some kind was displayed or demonstrated with regard to Oswald?

A Well, I would suggest that you first of all determine when was the first time that Oswald's name in any form was indexed into our system. Then I would attempt to find out when Oswald was first traced in our system and then in that sequence of course you know when the first time the 201 File was opened on him.

Q What would the significance be of the first time that Oswald was indexed in the system?

A Well, this would suggest that some analyst was working under a guidance some place in the system to put him in because of whatever is indicated at the time they put him in. Now the analysts associated with the different desks were working on a variety of criteria counterintelligence, operational aggressive pursuit of people, whatever it may be, and

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1 would be interesting to determine if for any reason someone
 2 was inclined to indexing and when that occurred regardless of
 3 what the reason was and then follow the sequence until the
 4 201 is open. You may find nothing or you may find something,
 5 I don't know.

6 Q Turning to the document again, it makes reference to
 7 the term "source document" where it is indicated CI/SIG. What
 8 does the term "source document" mean?

9 A This means that something came to the attention of
 10 CI/SIG that caused them to open the 201 File.

11 Q So that does not necessarily mean that the document
 12 originated from CI/SIG?

13 A No, it does not. In fact, the way the world works,
 14 there may not have even been a document, it may have been that
 15 his name appeared in the newspaper or something else but the
 16 document did not have to if there was a document -- did not
 17 have to be produced at CI/SIG.

18 Q Now on the next line it refers to the middle name.
 19 The middle name there is Henry, that is the name that is
 20 indicated. Would the person requesting that the file be
 21 opened on Oswald be required to open the file under the
 22 individual's actual true name?

23 A I would suspect that the person used whatever
 24 information was provided to him or her. If in reading this
 25 thing it has the name Henry and they wrote the name Henry,

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is the way I take it.

Q In the middle of the page there is a section which states "Other Identification." What does the term "Other Identification" mean?

A I don't know on this form.

Q Does the present form have any counterpart to that to your knowledge?

A I can't answer that here.

Q Do you know what the term AG stands for?

A No, I don't.

Q Towards the bottom middle part of the page there is a notation which says Country of Residence. I take it that refers to the place in which the individual is living at the time the file is being opened.

A That is correct.

Q Next to the Country of Residence, which here states USSR, there is a number 074. Do you know what that number refers to?

A No, I don't know.

Q Might that be a code reference to USSR?

A It could be but I don't know.

Q The next term is Action Desk. I take it that refers to the desk that is opening up the 201 File.

A That is correct.

Q And the number 731 appears in that section. Do you

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Now what that would refer to?

A I would speculate that this is a number that relates to our system for routing material but I would have to check it out.

Going back to Country of Residence, 074, it may also be in our coding that when we put into the system we put in a number for the USSR but I am again speculating and I would have to check them for you. We can do that.

Q Now the next box indicates Second Country Interest.

A Yes.

Q Somebody wrote in SR and crossed it out. What does the term Second Country Interest mean?

A All right. In a case such as the one you have here, apparently Mr. Oswald at this particular point in time is in the Soviet Union and the Second Country Interest would from the standpoint of our organization within the DO signal to some other element that they should be concerned about this individual being there so the action desk is indicated as CI/SIG and this Second Country Interest in this case is indicating to me SR Division and that means the USSR branch in that division.

Q Now someone crossed out the term SR. Is that unusual in the 201 form -- not in the 201 form but rather on a form such as this one? Because by crossing out the reference to SR, SR no longer gets informed.

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A I can't explain it.

Q Earlier we talked about the fact that Oswald's middle name is incorrectly cited on this form, it states Henry instead of Harvey. I believe you indicated that the likelihood was that the person who wrote that in had received incorrect information and he was basing the entry upon that information. I would like you to scan briefly CIA No. 821 and 822 which is a letter from the State Department that eventually triggered the opening of the 201 File.

A So what you are pointing out to me is in the State Department memorandum from INR they list Mr. Oswald as Lee Harvey Oswald, Tourist but the form shows him as Lee Henry Oswald. Well, if this particular list of American defectors provided by INR and State was the list used to prepare this 201 File opening request, I would have anticipated that the name would have been Lee Harvey Oswald.

Q Now the committee has interviewed Ann Egerter, the individual who was responsible for starting the process which led to the opening of Oswald's file. She reviewed this particular form and maintained that the word "Henry" was not written in her handwriting and she also referred to other aspects of this form which she said were not in her handwriting. Would it be unusual for more than one person to be involved in the opening of a 201 File?

A Well, it would not be unusual to have more than one

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erson involved but I would generally expect the form to be filled out by one person. Therefore, I would generally have expected to have the handwriting consistent on that form but I don't know what procedure was used in that particular unit at that time.

Q If someone else had made a notation or an entry on this form, would he be required to indicate that anywhere?

A Well, as you see on the form, somebody has changed Henry to Harvey and made a notation. This is a good many years later.

Q Yes.

A And generally where names are concerned and corrections are made by our analysts you do see either a different color in pencil or ink. If I had this in the original, you might see that and you can tell that an analyst has been working with the material and correcting it. For example, it is not unusual to see them correct a 201 number where a digit is off and they will red ink it or blue ink it and then you will know clearly. Now there may not be an initial but you can tell by the different color that they used that an analyst has been working with the material.

Q Finally, on the bottom of the page there is an indication that Oswald's file was restricted. Can you think of any reason in light of the answer that you previously gave why Oswald's file would have been restricted?

1 A The only reason I can think of is that some element
2 was pulling together all of the files that were germane to
3 defectors in Eastern Europe or in the Soviet Union and was
4 collating them for some purpose. That is the only thing that
5 occurs to me.

6 Q Was it possible that Oswald was an agent of either
7 the KGB or the CIA and for that reason it would have been
8 restricted?

9 A I don't know. I would not care to speculate about
10 that.

11 Q Is there anything unusual about Oswald's file having
12 been restricted?

13 A Well, I see one thing on the bottom here and it is
14 just a comment. The file is restricted but it is not perman-
15 ently charged to whomever restricted it and it again depends
16 on the people that are handling the case but if it were an
17 agent I think they would not only have restricted it but it
18 would have been permanently charged to them but that is just
19 a comment.

20 Q Is there any way that we could follow up on that
21 comment by reviewing other 831 forms of individuals who were
22 known agents to see whether in fact their files were restricted
23 and permanently charged, leaving aside for the moment the
24 problem of divulging the agent's identity to the committee?

25 A Well, there is one thing that is not directly

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1 covering your question but if we had received a query such
2 as described in your No. 821 from State, if we had received
3 such a query from INR where they asked us to bring them up to
4 date on people who have defected to Eastern Europe and the
5 Soviet Union or who are agents, it may well be that an unit
6 -- and it could be that it was CI-SIG -- was instructed by
7 the then managers to pull together and regularize our system
8 with regard to people who are defectors or Americans who are
9 resident in the Soviet Union and claim to have defected and as
10 a result someone down there just marched through a whole series
11 of things working from this list and perhaps another list
12 because clearly from the tenor of this Mr. Cumming was asking
13 for us to verify and possibly expand this list. What I would
14 be inclined to do would be to try to get a look at what else
15 was associated with this, not only with regard to the dozen
16 names here but any other files that may have been at the same
17 time brought together by this unit.

18 Now I am speculating but if you were to find that there
19 were eighteen or twenty such documents which meant that a
20 dozen of them were based here and the others were found else-
21 where and all of those were just restricted and no permanent
22 charge, then I would go in the direction of thinking that this
23 was just a collection of defectors as far as this unit is
24 concerned.

25 Q So as I understand it that is one way of approaching

1 the issue to examine whether 201 files were opened on some of
2 the other individuals mentioned in a letter from the State
3 Department and to see whether their files were also restricted
4 and yet not permanently charged. Returning to the initial
5 concept that I raised earlier, it is a theoretical matter.

6 I am not asking you to commit yourself to doing this
7 for us. Would it be possible to obtain the field personality
8 file request forms of individuals who are known to be agents
9 of the CIA and to look at those forms to see if in fact as a
10 matter of standard operating procedure the result is files
11 would be on permanent charge? Does that make sense to you?

12 A As a technical matter from the standpoint of
13 management of information and my responsibility, yes, that
14 makes sense. As a practical matter to do so, I would have
15 to go back and have a discussion with Mr. Carlucci about
16 doing so because of what would be indicated by the rest of
17 the information on such forms. Do you follow me?

18 Q Yes, I understand the problems you are referring
19 to.

20 A But as a practical matter of determining does X
21 branch where it is concerned with its best assets permanently
22 charge them to it, certainly we could canvass several of the
23 units and find out just how these squares are marked.

24 Q That is another way of handling it?

25 A Yes.

Q By canvassing the units without --

A Certainly. We can do that. That is not difficult.

Mr. Goldsmith. I have no further questions, Mr. Larson.

I would like to thank you for the time that you have given to the committee today.

Now normally when a witness appears before a committee at a hearing he is given five minutes to make a statement. Although this is not a formal hearing, if you would like to make a statement for the record at this time, I would like to give you that opportunity to do so.

The Witness. No, I have no statement.

Mr. Goldsmith. Fine.

You understand you will be given an opportunity to review the transcript for accuracy.

The Witness. I will appreciate that.

Mr. Goldsmith. Thank you very much.

(Whereupon, at 5:15 p.m., the deposition was concluded.)

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CERTIFICATE OF NOTARY PUBLIC

2 I, Annabelle Short, the officer before whom the
 3 foregoing deposition was taken, do hereby certify that the
 4 witness whose testimony appears in the foregoing deposition
 5 was duly sworn by me; that the testimony of said witness was
 6 taken by me in shorthand to the best of my ability and there-
 7 after reduced to typewriting by me; that said deposition is
 8 a true record of the testimony given by said witness; that
 9 I am neither counsel for, related to, nor employed by any of
 10 the parties to the action in which this deposition was taken;
 11 and further that I am not a relative or employee of any
 12 attorney or counsel employed by the parties thereto, nor
 13 financially or otherwise interested in the outcome of the
 14 action.

 Notary Public in and for
 the District of Columbia

My Commission expires --
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