



U.S. Department of Justice

*United States Attorney
Southern District of New York*

The Silvio J. Mollo Building
One Saint Andrew's Plaza
New York, New York 10007

November 22, 2019

JP Morgan Chase
National Subpoena Processing Center
7610 West Washington Street
Mail Code: [REDACTED]
Indianapolis, IN 46231
Fax: [REDACTED]

To whom it may concern:

Please be advised that the accompanying grand jury subpoena has been issued in connection with an official criminal investigation of a suspected felony being conducted by a federal grand jury. The Government hereby requests that you voluntarily refrain from disclosing the existence of the subpoena to any third party. While you are under no obligation to comply with our request, we are requesting you not to make any disclosure in order to preserve the confidentiality of the investigation and because disclosure of the existence of this investigation might interfere with and impede the investigation.

Moreover, if you intend to disclose the existence of this subpoena to a third party, please let me know before making any such disclosure.

Thank you for your cooperation in this matter.

Sincerely,
GEOFFREY S. BERMAN
United States Attorney

By:

[REDACTED]

[REDACTED]

Assistant United States Attorneys

[REDACTED]

United States District Court
SOUTHERN DISTRICT OF NEW YORK

TO: JP Morgan Chase
National Subpoena Processing Center
7610 West Washington Street
Mail Code: [REDACTED]
Indianapolis, IN 46231
Fax: [REDACTED]

GREETINGS:

WE COMMAND YOU that all and singular business and excuses being laid aside, you appear and attend before the GRAND JURY of the people of the United States for the Southern District of New York, at the United States Courthouse, 40 Foley Square, Room 220, in the Borough of Manhattan, City of New York, New York, in the Southern District of New York, at the following date, time and place:

Appearance Date: December 6, 2019 Appearance Time: 10:00 a.m.

to testify and give evidence in regard to an alleged violation of :

18 U.S.C. §§ 201, 1956

and not to depart the Grand Jury without leave thereof, or of the United States Attorney, and that you bring with you and produce at the above time and place the following:

See Attached Rider

N.B.: Personal appearance is not required if the requested documents are: (1) produced on or before the return date to FBI Special Agent [REDACTED], Federal Bureau of Investigation, 26 Federal Plaza, New York, NY 10278, Telephone: [REDACTED], Email: [REDACTED]; and (2) accompanied by an executed copy of the attached Declaration of Custodian of Records.

Failure to attend and produce any items hereby demanded will constitute contempt of court and will subject you to civil sanctions and criminal penalties, in addition to other penalties of the Law.

DATED: New York, New York
November 22, 2019

Geoffrey S. Berman [REDACTED]
GEOFFREY S. BERMAN
*United States Attorney for the
Southern District of New York*

[REDACTED]
[REDACTED]

Assistant United States Attorneys
One St. Andrew's Plaza
New York, New York 10007
Telephone: [REDACTED]
[REDACTED]



RIDER

Grand Jury Subpoena to JP Morgan Chase dated November 22, 2019
Reference # 2019R01059

Please provide copies of all records and all account information (including microfilm/microfiche copies thereof) and information contained in computers (including hard drives, discs and any other magnetic or electronic media) relating or referring to the following businesses, individuals, and/or any other account(s) for which the below individuals are authorized signers for, the period of 01/01/2019 through the present, in electronic format:

Follow up requests for underlying documents related to these statements, such as images of cancelled checks or other instruments, current account status, or current account balances will be deemed as requested under this subpoena.

Name: Tova Noel

Address: [REDACTED]

SSAN: [REDACTED]

DOB: [REDACTED]

Name: Michael Thomas

Address: [REDACTED]

SSAN: [REDACTED]

DOB: [REDACTED]

Your response should include, but not be limited to, the following documents and data:

1. All savings, checking, loan and credit card accounts for the above listed businesses and/or individuals for the time period of 01/01/2019 through present
2. The associated financial institution and account numbers;
3. The associated dates of transaction;
4. Savings accounts - signature cards, items of deposit, deposit tickets, items of withdrawal, withdrawal tickets, statement of account, 1099's issued or other correspondence sent indicating interest earned, and all correspondence and notes of telephone conversations or discussions;
5. Certificates of deposit - signature cards, items of deposit, deposit tickets, items of withdrawal, withdrawal tickets, items of payoff, payoff ticket, statements of account, 1099's issued or other correspondence sent indicating interest earned, and all correspondence and notes of telephone conversations or discussions;
6. Checking accounts - signature cards, items of deposit, deposit tickets, debit and credit memos, canceled checks, statements of account, and all correspondence and notes of telephone conversations or discussions;
7. Loans & Lines of Credit - including active loans, paid off loans, written off loans, applications, borrowing base certificates, financial statements, signature cards, items of disbursement, items of

payment, ledger cards, loan statements, records of third party credit checks in possession of financial institution, and all correspondence and notes of telephone conversations or discussions;

8. Any credit cards such as VISA or Master Charge accounts, active and inactive - application, financial statements, signature cards, items of payment, statements of account, credit/ background check and all correspondence and notes of telephone conversations or discussions;

9. Safe deposit box - application, signature card, box number, entry cards for all entries, rental payments and/or lease agreement, all correspondence and notes of telephone conversations or discussions;

10. Money orders, bank drafts - records in the register, money orders or bank drafts, retained copies of the money orders or bank drafts, and all correspondence and notes of telephone conversations or discussions;

11. Wire transfers - all documents relating to monies transferred by wire or other electronic means including but not limited to full transaction reports, debit or credit slips, transaction sheets, letters or any other forms of correspondence authorizing the transfer;

12. Copies of bank checks, cashier's checks and/or money orders and all copies of any items deposited or withdrawn from accounts to obtain these instruments, including all correspondence and notes of telephone conversations or discussions;

13. Copies of traveler's checks including all correspondence and notes of telephone conversations or discussions;

14. Copies of all purchases and sales of Treasury Bills including all correspondence and notes of telephone conversations or discussions;

15. Retained copies of IRS Form 4798 - Currency Transaction Reports, filed on behalf of the captioned entities.

The point of contact is SA [REDACTED], telephone number [REDACTED], email address [REDACTED]. Please forward the above requested information to:

FBI
Attn: SA [REDACTED]/C19
26 Federal Plaza
New York, NY 10278

Do not disclose the existence of this subpoena to the individual or any third party.

Declaration of Custodian of Records

Pursuant to 28 U.S.C. § 1746, I, the undersigned, hereby declare:

My name is _____.
(name of declarant)

I am a United States citizen and I am over eighteen years of age. I am the custodian of records of the business named below, or I am otherwise qualified as a result of my position with the business named below to make this declaration.

I am in receipt of a Grand Jury Subpoena, dated November 22, 2019, and signed by Assistant United States Attorney [REDACTED], requesting specified records of the business named below. Pursuant to Rules 902(11) and 803(6) of the Federal Rules of Evidence, I hereby certify that the records provided herewith and in response to the Subpoena:

- (1) were made at or near the time of the occurrence of the matters set forth in the records, by, or from information transmitted by, a person with knowledge of those matters;
- (2) were kept in the course of regularly conducted business activity; and
- (3) were made by the regularly conducted business activity as a regular practice.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on _____.
(date)

(signature of declarant)

(name and title of declarant)

(name of business)

(business address)

Definitions of terms used above:

As defined in Fed. R. Evid. 803(6), "record" includes a memorandum, report, record, or data compilation, in any form, of acts, events, conditions, opinions, or diagnoses. The term "business" as used in Fed. R. Evid. 803(6) and the above declaration includes business, institution, association, profession, occupation, and calling of every kind, whether or not conducted for profit.



U.S. Department of Justice

*United States Attorney
Southern District of New York*

*The Silvio J. Mollo Building
One Saint Andrew's Plaza
New York, New York 10007*

November 22, 2019

Re: Grand Jury Subpoena

Dear Sir/Madam:

This letter describes the procedure for requesting reimbursement for subpoenaed records.

12 CFR part 219 (subpart A), issued by the Board of Governors of Federal Reserve System under section 1115 of the Right to Financial Privacy Act (12 U.S.C. 3415), sets the rates and conditions for reimbursement of costs directly incurred by financial institutions in assembling or providing customer financial records to a government authority pursuant to the Act. No costs are reimbursable if the records are those of a corporation or a partnership comprised of more than five individuals.

If reimbursement is authorized, and the estimated billing to the government will exceed \$500, advance permission is necessary from [REDACTED] at [REDACTED].

If the subpoenaed records indicated on the rider are eligible for reimbursement, please complete section B of the enclosed form OBD-211, which will serve as your invoice, and return it with a copy of the subpoena to the following address:

U.S. Attorney's Office - SDNY
Accounts Payable Department
86 Chambers Street, 3rd floor
New York, NY 10007

Please send your invoice to the above address within 60 days of the submission of the subpoenaed records. If no invoice is received within 120 days, funds will not be available to pay the invoice.

Thank you,
Accounts Payable
Department
[REDACTED]

Enclosure: OBD-211

INSTRUCTIONS

Form USA-211

ATTORNEYS:

1. Fill in blocks 2, 3, 4 (name only), 8, 9, and 10.
2. Mail the subpoena and the USA-211 to the financial institution. (A copy of this “Instructions” sheet and the attached “Important Notice” must be included with each USA-211).

In a situation where the financial institution directly returns to you the USA-211 with an invoice and the subpoena/rider, please forward to Budget and sign Box 14, 15 and the bottom of Box 22 to acknowledge receipt of the requested service.

FINANCIAL OFFICIAL COMPLETES THE FOLLOWING:

1. Complete block 4 (address).

Section B.

2. Complete block 11A and 11B (payments cannot be processed without a Tax ID Number).
3. Either complete or write “See attached invoice” and attach to the USA-211.
4. Sign block 12 and Date block 13. Note carefully the certification in conjunction with the attached “Important Notice”.

5. Send the following documents to → **U.S. Attorney’s Office – SDNY
Budget / Fiscal Unit
86 Chambers Street – 3rd Floor
New York, NY 10007**

- a. **Completed USA-211**
- b. **Copy of Subpoena and Rider**
- c. **Attach invoice, if applicable**

IMPORTANT NOTICE

Pursuant to the Right to Financial Privacy Act (RFPA), Title 12, United States Code, Section 3415, financial institutions may be reimbursed for necessary costs actually incurred for producing subpoenaed financial records. **Reimbursement may only be made in connection with financial records of checking, savings, share, loan or credit card accounts if the accounts belong to individuals or partnerships of five or fewer partners.** Reimbursement may only be made to an entity defined as a financial institution under the RFPA. The Federal Reserve Board has established the following guidelines:

1. **Search and Processing Costs** – May be billed at the following rates of:
Clerical/Technical, hourly rate - \$22.00
Computer Support Specialist, hourly rate - \$30.00*
Manager/Supervisory, hourly rate - \$30.00

*If itemized separately, personnel time for computer searches may be paid at the rates set for specialized computer support ***only*** when compliance with the request for information requires that the financial institution use programming or other higher level technical services of specialized computer support in order to reproduce electronically stored information in the format requested by the government authority.

2. **Reproduction Costs** – May be billed at the following rates of:
Photocopy, per page - \$0.25**
Paper copies of microfiche, per frame - \$0.25
Duplicate microfiche, per microfiche - \$0.50
Storage Media (CD, flash storage device, etc.) – Actual Cost***

Reimbursement is not permitted on a per-page basis for production of paper documents that had been stored electronically, unless the government specifically requested production of paper documents. *Storage media may include encryption technologies.

3. **Transportation Costs** – If itemized separately, financial institutions may bill for:
 - ✓ Reasonably necessary costs directly incurred to transport personnel to locate and retrieve the requested information, and to deliver such material to the place of examination.
 - ✓ Reasonable measures taken to insure against a data breach, such as the use of registered mail or courier services as required.
 - ✓ No fixed reimbursement will be available for transmittal made by email. However, financial institutions may be reimbursed for personnel costs and other identified costs incurred related to making email transmissions.

REIMBURSEMENTS CANNOT BE MADE FOR RECORDS RELATING TO ACCOUNTS OF:

1. Corporations
2. Large Partnerships (6 or more partners)
3. Associations
4. Trusts
5. State and local government agencies
6. Other legal entities

Unless otherwise requested, all financial record requests should be delivered in an electronic format.

- Section B, item numbers 11 through 13 of the attached purchase order form must be completed and returned to the United States Attorney's Office to support reimbursement.
- To assure prompt payment, please submit an invoice within 60 days. Mail should be directed to the attorney whose name and address appears on the subpoena. Please include the appropriate tax ID number.

Note: If invoicing for these services is expected to exceed 120 days, please notify the United States Attorney's Office immediately to ensure funds remain available for payment.

This form shall be used when requesting financial records of individuals and partnerships of five or fewer individuals under the RFPA.

1 Tracking Number:	2 Date Order Prepared:	3 USAO Number: [REDACTED]
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Section A - Authorization and Purchase Order

4 Name and Address of Financial Institution: JP Morgan Chase	Funding Certification & Authorization:	A. <i>N/A</i> Budget Official Signature: [REDACTED] Funding Available: 54-8113 Date: [REDACTED] B. Approving Official Signature: [REDACTED] Date: [REDACTED]
5 Deliver Records To: See attached subpoena for delivery instructions	Send Completed USA-211 Form & Invoice To: U.S. Attorney's Office - SDNY Budget / Fiscal Unit 86 Chambers Street, 3rd Floor New York, NY 10007	6 Return Date: See attached

7 Remarks: Do not proceed with compliance if the total cost will exceed \$ 500.00 without prior approval. To obtain approval, call the requestor listed in Item 8. If invoicing for these services is expected to exceed 120 days, please notify the United States Attorney's Office immediately to ensure funds remain available for payment. Please see the attached Important Notice for additional information on invoicing and other requirements for reimbursement.

8 Name of Requestor: AUSA [REDACTED]	9 Telephone Number: [REDACTED]	10 Date of request: 11/22/2019
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Section B - Financial Institution Invoice

No Payment Shall Be Made Unless Expenses Are Itemized Below Or Set Forth On Your Attached Invoice.

11A Invoice Number: 11B Tax ID Number:	Quantity	Unit Price		Amount
		Cost	Per	
11C Service(s)/Records Provided:				
A. Searching and processing costs (clerical or technical personnel)	<input type="text"/>	\$22.00	Hour	<input type="text"/>
B. Searching and processing costs (management/supervisory personnel)	<input type="text"/>	\$30.00	Hour	<input type="text"/>
C. Searching and processing costs (computer support specialist)	<input type="text"/>	\$30.00	Hour	<input type="text"/>
D. Reproduction Costs (Photocopying) - **Note: Copy charges will be disallowed if the information is stored electronically, unless the US Attorney's Office requests paper.	<input type="text"/>	\$0.25	Page	<input type="text"/>
E. Reproduction Costs (Paper Copies of Microfiche: provide justification)	<input type="text"/>	\$0.25	Frame	<input type="text"/>
F. Reproduction Costs (Duplicate Microfiche: provide justification)	<input type="text"/>	\$0.50	Microfiche	<input type="text"/>
G. Storage Media Cost (e.g., Compact Disc, DVD, etc., at Actual Cost)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
H. Transportation Costs (Direct Costs Only)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

In Item #12, I certify that the services invoiced above were not performed relative to any corporate accounts and pertain only to accounts of individuals and partnerships of five or fewer individuals.

12 Signature of Financial Institution Official:	13 Date Signed:	Total Amount Claimed By Financial Institution
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Section C - Receiving Report

14 I certify that the articles and services listed were received:	15 Date Received:	16 Disallowance (See Attached)
		17 Net to Financial Institution

18 Right to Financial Privacy Act - Public Law 95-630 (12 U.S.C. 3401-3422) Request Pursuant To: <i>(Check One Only)</i>	19 Signature of Approving Official:	20 Funding Source: [REDACTED] Accounting Code: Program: [REDACTED]																								
<table border="0"> <tr> <th>SECTION</th> <th></th> <th>OBJECT CLASS</th> </tr> <tr> <td><input type="checkbox"/> 3404</td> <td>Customer Authorization</td> <td>2545</td> </tr> <tr> <td><input type="checkbox"/> 3405</td> <td>Administrative Subpoena or Summons</td> <td>2545</td> </tr> <tr> <td><input type="checkbox"/> 3406</td> <td>Search Warrant</td> <td>2545</td> </tr> <tr> <td><input type="checkbox"/> 3407</td> <td>Judicial Subpoena</td> <td>2545</td> </tr> <tr> <td><input type="checkbox"/> 3408</td> <td>Formal Written Request</td> <td>2545</td> </tr> <tr> <td><input type="checkbox"/> 3413</td> <td>Grand Jury Subpoena</td> <td>2545</td> </tr> <tr> <td><input type="checkbox"/> 3414</td> <td>Special Procedures</td> <td>2545</td> </tr> </table>	SECTION		OBJECT CLASS	<input type="checkbox"/> 3404	Customer Authorization	2545	<input type="checkbox"/> 3405	Administrative Subpoena or Summons	2545	<input type="checkbox"/> 3406	Search Warrant	2545	<input type="checkbox"/> 3407	Judicial Subpoena	2545	<input type="checkbox"/> 3408	Formal Written Request	2545	<input type="checkbox"/> 3413	Grand Jury Subpoena	2545	<input type="checkbox"/> 3414	Special Procedures	2545		21 Other Accounting/Fund Information: Program Code: N/A Project Code: N/A YREGDOC: 54-8113
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22 Remarks:	Call Number (if applicable): OBL Month (YRMO): Tax ID Number:
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To the best of my knowledge, the financial records received, for which we are being billed, are those of an individual or partnership of five or fewer individuals.

Signature of United States Attorney's Office Representative _____ Date _____